# CABINET

## Monday 11 July 2022
## 10.00 a.m.
## Council Chamber, Rotherham Town Hall, Moorgate Street, Rotherham. S60 2TH

**Cabinet Members:-**

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| Leader of the Council | Councillor Chris Read |
| Deputy Leader of the Council, Neighbourhood Working Portfolio | Councillor Sarah Allen |
| Adult Social Care and Health Portfolio | Councillor David Roche |
| Children and Young People Portfolio | Councillor Victoria Cusworth |
| Corporate Services, Community Safety and Finance Portfolio | Councillor Saghir Alam |
| Housing Portfolio | Councillor Amy Brookes |
| Jobs and the Local Economy Portfolio | Councillor Denise Lelliott |
| Social Inclusion Portfolio | Councillor Dave Sheppard |
| Transport and Environment Portfolio | Councillor Dominic Beck |

Rotherham Metropolitan Borough Council

# CABINET

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| **Venue:** | **Council Chamber - Rotherham Town Hall, Moorgate Street, Rotherham, South Yorkshire S60 2TH** |
| **Date and Time:** | **Monday 11 July 2022 at 10.00 a.m.** |
| **Agenda Contact** | **Governance Unit – goverance@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 9 - 21)

To receive the record of proceedings of the Cabinet meeting held on 20 June 2022.

## 5. Exclusion of the Press and Public

Agenda Item 11 has an exempt appendix. Therefore, if necessary when considering that item, 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 involves the likely disclosure of exempt information as defined in paragraph 3 of Part 1 of Schedule 12(A) of such Act indicated, as now amended by the Local Government (Access to Information) (Variation) Order 2006.

## ADULT SOCIAL CARE AND HEALTH

## 6. Public Health Proposals for Drugs and Alcohol Grant 2022-2025 (Pages 23 - 179)

Report from the Strategic Director of Adult Care, Housing and Public Health.

**Recommendations:**

1. That Cabinet accept the grant funding and approve the approach to management of the grant.

2. That Cabinet agree the 3-year outlined grant plan, and to receive an annual update.

3. That Cabinet note that at present there is a national expectation that this is the first 3 years of a 10-year national strategy but there is no certainty of funding beyond 2025.

4. That the proposal to continue to be part of the Yorkshire and The Humber regional consortium is agreed as the method of accepting the inpatient detoxification grant from OHID.

## CORPORATE SERVICES, COMMUNITY SAFETY AND FINANCE

## 7. Finance Outturn 2021/22 (Pages 181 - 223)

Report from the Strategic Director of Finance and Customer Services.

**Recommendations:**

That Cabinet:

1. Note the revenue outturn position.

2. Note the budgeted transfer from HRA reserves was reduced by £2.1m following the revenue and capital outturn positions.

3. Note the carry forward of the combined schools balance of £3.794m in accordance with the Department for Education regulations.

4. Note the reduced DSG deficit following receipt of Safety Valve funding, as set out in paragraph 2.13.

5. Note the reserves position set out in paragraphs 2.50 to 2.59.

6. Note the capital outturn and funding position as set out in paragraphs 2.60 to 2.82.

7. Refer the report to Council for information and recommend to Council approval of the updated Capital Programme as set out in paragraphs 2.83 to 2.86 and Appendices 1 to 4 of this report.

**8. Annual Treasury Management Report and Actual Prudential Indicators 2021/22 (Pages 225 - 245)**

Report from the Strategic Director of Finance and Customer Services.

**Recommendations:**

1. To note the Treasury Management Prudential Indicators outturn position as set out in section 3 and Appendix 1.

2. To agree that the report is forwarded to Audit Committee for information.

**9. May Financial Monitoring 2022/23 (Pages 247 - 271)**

Report from the Strategic Director of Finance and Customer Services.

**Recommendations:**

That Cabinet

1. Note the current General Fund Revenue Budget forecast overspend of £7.7m.

2. Note that actions will continue to be taken to reduce the overspend position but that it is likely that the Council will need to draw on its reserves to balance the 2022/23 financial position.

3. Note the Capital Programme update.

## HOUSING

### 10. Rotherham's Housing Strategy 2022-25 (Pages 273 - 325)

Report from the Strategic Director of Adult Care, Housing and Public Health.

**Recommendations:**

1. That Cabinet approves the Housing Strategy 2022-25

### 11. Annual Housing Development Report - 2022/23 (Pages 327 - 372)

Report from the Strategic Director of Adult Care, Housing and Public Health.

**Recommendations:**

1. That Cabinet approve the Council-owned sites listed in Appendix 2 being brought forward to deliver new homes, with developments which will deliver more than ten homes being subject to further Cabinet approvals.

2. That Cabinet approve the purchase of homes from any of the schemes identified in Exempt Appendix 3.

## LEADER OF THE COUNCIL

### 12. Household Support Fund (Pages 373 - 387)

Report from the Assistant Chief Executive.

**Recommendations:**

1. That the allocation of Household Support Fund grant of £2,489,030 for the first half of 2022/2023 be updated as follows:

   a) Food vouchers for children eligible for free school meals be increased to £1,433,775.

   b) £45,000 allocation to support care leavers, being young people leaving foster or local authority care and living independently in their own accommodation who are responsible for paying their own utility bills, providing additional financial support through the cost of living increases.

   c) That the £250,000 for pensioner households to apply for support with rising household living costs be maintained at the level set in May Cabinet report.

   d) That the remaining funding is distributed equally across pensioners

in receipt of Council Tax Support as at 31st August 2022.

2. Subject to further announcement and receipt of allocations and grant conditions for HSF covering the period October 2022 to March 2023, a further report be presented to Cabinet in the Autumn to assess progress made and make allocations.

## TRANSPORT AND ENVIRONMENT

### 13. Transport Capital Programme 2022-23 (Pages 389 - 414)

Report from the Strategic Director of Regeneration and Environment.

**Recommendations:**

1. That Cabinet note the funding, as stated in the report, and that it will be used to support delivery of the Council's programme of transport projects.

2. That Cabinet approve receipt of £1.2 million City Region Sustainable Transport Settlement (CRSTS) – Local & Neighbourhood Improvement block funding, and £181,000 South Yorkshire Mayoral Combined Authority capital for pedestrian crossings, as set out in paragraph 2.1.

3. That Cabinet approve the allocations for use of this funding, and previously approved RMBC capital funding, as set out in paragraph 2.1.

4. That Cabinet approve the schemes set out in paragraphs 2.8 and 2.10 for delivery under the 2022-23 Transport Capital Programme. Further schemes for development and delivery will be presented in a future Cabinet for approval once they have been identified.

### 14. Household Waste Recycling Centre (HWRC) Options Paper (Pages 415 - 433)

Report from the Strategic Director of Regeneration and Environment.

**Recommendations:**

That Cabinet:

1. Approve the option of undertaking a collaborative procurement and award a contract for the provision of Household Waste Recycling Centres in the borough using the Contract Procedure Rules of Doncaster Metropolitan Borough Council and approve the leasing of the 4 HWRCs to the successful provider.

2. Receive a further update on the Household Waste Recycling service

offer before the new contract commences.

3. Approve the changes to the practice at the HWRCs to align with DEFRA's final national proposals, following its consultation on household DIY waste.

**15. Outcomes from the Overview and Scrutiny Management Board relating to Road Safety concerns Cumwell Lane / Kingsforth Lane Petition (Pages 435 - 441)**

Report from the Assistant Chief Executive.

**Recommendations:**

1. That Cabinet receive the recommendations and Council Officer proposed measures as detailed in Section 3 of this report.

**JOBS AND LOCAL ECONOMY**

**16. Local Plan: Consultation on draft Supplementary Planning Documents (Pages 443 - 680)**

Report from the Strategic Director of Regeneration and Environment.

**Recommendations:**

1. That approval be given to public consultation on the draft Supplementary Planning Documents at Appendices 1 to 5.

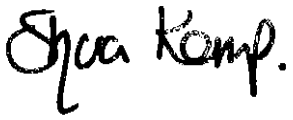
2. That, following consultation, a further report be submitted to Cabinet in early 2023 regarding adoption of the Supplementary Planning Documents.

**17. 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 6 July 2022.

**18. Date and Time of Next Meeting**

The next meeting of the Cabinet will be held on Monday 19 September 2022 commencing at 10.00am in Rotherham Town Hall.



**SHARON KEMP,**
Chief Executive.

**THE CABINET**
**Monday 20 June 2022**

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

Apologies for absence were received from Councillors Cusworth and Councillor Clark.

## 1. DECLARATIONS OF INTEREST

There were no declarations of interest.

## 2. QUESTIONS FROM MEMBERS OF THE PUBLIC

(1) Rachel Graham, Clerk to Waverley Community Council, asked the following question in relation to Waverley Junior Academy: Could the Council provide portacabins for the young students come September 2022 to commence their education in their village, which they can walk to, as there are an additional 21 students without placements at the moment.

The Assistant Director of Education and Inclusion, Nathan Heath responded by explaining that it was right to recognise that there was a clear challenge for those children and young people that had not been accepted into Waverley Junior Academy. RMBC had been doing a significant piece of work with the DfE and having dialogue with them around the forward planning for Waverley. The DfE's position was very clear and they had made in consistently clear that within the Planning Area of Waverley there are available school spaces for children and young people that are within the catchment area. In direct response to the question, Mr Heath confirmed that the Council would not be providing portacabins at Waverley Junior Academy this year.

In her supplementary question, the Clerk to Waverley Community Council confirmed that in previous correspondence with the Council, it had been confirmed that it was RMBC Policy to encourage sustainable travel to school which includes walking over car usage. How does this marry up?

Mr Heath stated that that was a very valid question but explained that the schools that were in and around the Waverley village and catchment were within the criteria set by the DfE. It was recognised that a number of children who had not been admitted to Waverley for September may be at wider parameters of the catchment area. However, from the specific and detailed work that had been done around that, all children should be able to access a local catchment school.

## 3. MINUTES OF THE PREVIOUS MEETING

**Resolved:-**

That the minutes of the previous meeting of the Cabinet held on 16 May, 2022, be approved as a true and correct record of the proceedings.

## 4. EXCLUSION OF THE PRESS AND PUBLIC

The Chair advised that Appendix 1 to Item 11 on the agenda contained exempt information however the meeting remained open to the public and press throughout.

## 5. CABINET RESPONSE TO THE OUTCOMES FROM THE SCRUTINY SPOTLIGHT REVIEW ON YOUNG CARERS

Consideration was given to the report which outlined the response of Cabinet to the outcomes from the Scrutiny Spotlight review on Young Carers. The findings of the Scrutiny Review had been presented to Cabinet on 28 March 2022 and were as follows:

a) *That action plans and performance matrix be supplied as part of the next update in 6 months' time.*

b) *That a plan be developed to address the current data gap in respect of young carers who mature into adult carers, with a view to providing the best preparation possible and making this transition as seamless as possible for young carers who may continue to have caring responsibilities into adulthood.*

c) *That consideration be given to how best to provide additional support to young carers seeking to access employment skills, education and training.*

Cabinet accepted all of the recommendations and Appendix 1 to the report outlined further detail on how the recommendations had been or would be actioned. A report would be taken back to the Improving Lives Select Commission in July 2022 to update on the progress made.

**Resolved:-**

1. That Cabinet approve the response to the recommendations, as detailed in Appendix 1, and note the report.

## 6. EQUALITY, DIVERSITY AND INCLUSION STRATEGY (2022/2025), ACTION PLAN (2022/2023) AND ANNUAL REPORT (2021/2022)

Consideration was given to the report which explained that the Council Plan 2022/2025 had set out the Council's ambition was to create an inclusive borough for people to live, work and enjoy; a borough where

nobody is left behind and where all are welcome and treated fairly. The Equality, Diversity and Inclusion (EDI) Strategy set out the commitments that the Council was making to support those outcomes. It would ensure that equality objectives truly underpinned the themes of the Council Plan to ensure that achieving equality outcomes was embedded in everything that the Council did. It would also commit to achieving the highest national standards as set out in the Equalities Framework for Local Government.

The Strategy was built on four key equality objectives: understanding, listening to and working with Rotherham's communities; delivering accessible and responsive services that meet diverse needs; provide leadership and organisational commitment to actively promote equalities; and ensuring a diverse and engaged workforce.

The Council had set out its commitment to achieving and demonstrating the highest standards in equality, diversity and inclusion through aspiring to reach "Excellent" in the Equalities Framework for Local Government (EFLG), which was the national standard. The New EDI Strategy and objectives supported the achievement and then the maintenance of the "Excellent" standard. Appendix 2 set out the action plan to support this.

The Equalities Annual report provided an overview of equalities activity and achievement over the last year and commitments going forward in relation to the priorities of the new EDI strategy. Each year, the looking ahead section of the Annual report would form a cycle of review and forward planning over the lifetime of the EDI Strategy ensuring that actions were always informed and current.

An extensive consultation process has been undertaken seeking views on three initial, draft objectives along with key actions and the approach to taking forward the EDI Strategy. The consultation responses helped to shape the final four objectives and this was described in section 4 of the report and Appendix 3.

This report was considered by the Overview and Scrutiny Management Board as part of the pre-decision scrutiny process. The Board fully supported the recommendations and asked that consideration be given as to how equalities are presented in Council reports going forward.

**Resolved:-**

1. That the Equality, Diversity and Inclusion Strategy 2022/2025 be approved.

2. That the Equalities Annual Report 2021/2022 be received.

3. That the Equalities 2022/2023 action plan and Equality, Diversity and Inclusion consultation findings report be noted.

## 7. FINANCE UPDATE

Consideration was given to the report which provided an update on a number of financial matters, including those related to COVID-19. It also provided an interim update following the approval of the Budget and Council Tax 2022.23 report at Council on 2 March 2022. This was in advance of the Financial Outturn 2021/22 and Financial Monitoring 2022/23 reports which would be submitted to Cabinet in July 2022. There was also an update on the Council's administration of the Local Council Tax Support Top Up payment for 2022/23, Council Tax (Energy) Rebate and COVID Additional Relief Fund (CARF.)

The final outturn position for 2021/22 reflected a positive movement of £4.1m in the Directorate outturn positions since December's Financial Monitoring position, reported to Cabinet on the 14 February 2022. The main reasons for the movements per directorate were set out in the report however, a more detailed narrative would be provided in the Financial Outturn report to Cabinet in July 2022. The positive improvement removed the need for the Council to use £1.7m of the Budget and Financial Strategy Reserve to support the 2021/22 outturn position. That improvement generated a £2.4m underspend as the Council remained able to use the full £14.0m of Covid grant to support the outturn position. This had therefore allowed the Council to transfer £2.4m into the Council's Budget and Financial Strategy Reserve, as per the recommendation within the Council's Budget and Council Tax report 2022/23.

The strong outturn position placed the Council in a more robust position heading into the financial year 2022/23. It was therefore, more able to mitigate against cost pressures and the financial challenges that were not evident at the time of setting the 2022/23 Budget, such as the war in Ukraine and the significant rise in energy prices and inflation. The Council was more able to manage the impact rather than needing to consider making cuts in services.

The financial challenges were being considered as part of the Councils ongoing Medium Term Financial Planning. The energy price rises, and inflation would impact the Council's costs in the provision of services. However, some of those cost impacts would be mitigated in future years by increased core funding as business rates income was indexed to the rate of inflation. It was currently expected that the period of high inflation would last for two years before returning to a more normal level. As such, the Council would face short term financial pressures that would need to be managed and mitigated through the Medium-Term Financial Strategy and the Council's reserves. As such the Council's ability to build further capacity into those reserves as part of the 2021/22 outturn position was a benefit. The Council was currently reviewing the reserves balances as at the 2021/22 outturn to assess the capacity to provide this budget risk mitigation and would report further on reserves within the Financial Outturn report to Cabinet in July.

In relation to the Local Council Tax Support Top Up Scheme 2022/23, it was reported that a total of £1.387m had been awarded across 14,567 accounts with 10,403 of those accounts being reduced to nil.

In relation to the Council Tax (Energy) Rebate scheme, it was reported that to date, 74,143 payments had been made to Band A-D households and 6,413 discretionary payments to Band E-H households.

The COVID Additional Relief Fund had been set up to sort businesses affected by the pandemic but who had been ineligible for existing support linked to business rates. Following the closure of the applications process, the Council has received and approved a total of 120 businesses, with a total relief value of £528k based on the Cabinet approved awards. Therefore, the Council had needed to agree an approach to topping up the businesses that did apply for the award to further utilise the funding and potentially, providing a smaller award to those businesses that could benefit from the scheme but had not come forward for support. An officer decision was taken to allow the Council to increase the award for businesses that have been approved via the Council's application process to 100% businesses rates relief, up to a maximum of £30k. This would cost £1.9m. The remaining funding would then be used to provide a smaller payment to businesses that were eligible but had not applied, a payment of up to £2,900 per business would be made at an estimated cost of £2.9m. Businesses provided with an award would receive a revised 2021/22 business rates bill.

As at March 2022, the Council had fully spent its £2.489m allocation from the Household Support Fund 2021/22 by delivering on a range of themes as set out in paragraph 2.5.1 of the report. This included food vouchers, reduction in Council Tax liability, support to the Voluntary and Community Sector etc.

An update was also provided on the Test and Trace Self-Isolation Support Payments at paragraph 2.6 of the report.

This report was considered by the Overview and Scrutiny Management Board as part of the pre-decision scrutiny process. The Board fully supported the recommendations and asked that, in future, the Council ensures options for Council Tax (energy) Rebate payments are more widely published in an easy-to-read format. The Leader explained that, at the OSMB meeting, Members had requested that the Council ensure that the information is easily accessible and that there is as much information as possible that is easy to read which would also be taken under consideration.

**Resolved:-**

1. That the update on the revenue budget financial outturn 2021/22 be noted.

2. That the Councils progress on the delivery of the Local Council Tax Support Top Up payment be noted.

3. That the Councils progress on the delivery of the Council Tax (Energy) Rebate be noted.

4. That the Councils progress on the delivery of the Covid Additional Relief Fund be noted.

5. That the Councils delivery of the Household Support Fund 2021/22 be noted.

6. That the Councils delivery of the Test and Trace Support Payments be noted.

## 8. FITZWILLIAM ROAD PUBLIC SPACES PROTECTION ORDER, JUNE 2022

Consideration was given to the report which explained that since 2019, a Public Space Protection Order (PSPO) had been in force in the Fitzwilliam Road area of Rotherham. This was due to expire in June 2022 as the maximum duration of PSPO's was three years. The report detailed a review of the existing PSPO, the outcomes of the targeted public consultation on renewing the order along with the recommendations to review the Order. It was also recommended that a new condition relating to bins on the street be included in the renewed order.

From 25 April to 15 May 2022 a public and stakeholder consultation process had been carried out. This included:

- Key partners and stakeholder letters issued to South Yorkshire Police, South Yorkshire Fire and Rescue, Local Voluntary and Third Sector Groups and Ward Councillors
- A public consultation on the website with social media sign posting and links
- Engagement with local residents who have English as a second language at Clifton Learning Partnership with translation support

The effectiveness of the current order was explained in paragraph 2.1 of the report. Since 1 January 2018, there had been 1,020 Anti-Social Behaviour (ASB) incidents in the Fitzwilliam-Eastwood PSPO area, showing an average of 20 incidents per month. The impact of COVID-19 was taking into account when assessing this data. Since 1 January 2018 the Council's Community Protection Unit received 645 reported complaints regarding wheely bins. Of these complaints, which relate to various issues of contamination, abandonment or bins being left on the street, 165 (26%) have been received in the Fitzwilliam Road Area. The street scene in the area, anecdotally from residents, Councillors, partners and officers was suffering as a consequence. The failure to responsibly manage waste and waste receptacles was a known contributor to pests,

alongside contributing to waste accumulation and fly-tipping issues.

The Order was jointly enforced by authorised officers from the Council's Regulation and Enforcement service and South Yorkshire Police staff. Since June 2019, 64 Fixed Penalty Notices (FPNs) had been issued in the locality to individuals breaching the Order. 65% of FPNs have been issued in relation to the consumption of alcohol. In addition, informal enforcement had been applied at officers' discretion on occasion which did not generate a penalty however did resolve the immediate issue or breach. Throughout the three years in which the PSPO had been in place, there had been around 600 reported incidents of anti-social behaviour and just over 60 fixed penalty notices issued, showing a rate of around 10%.

Appendix 2 to the report was the draft new order. Section 6 of the order relating to bins and stated that a bin must not be situated outside the boundary of the property other than between 6pm on the day before collection was due and 9pm on the day of collection unless the bin was in an identifiable bin storage area of yard for the bins on that property.

It was also confirmed that the missing sentence on page 181 of the agenda pack should read: The condition for taking bins off the street is only relevant after the actual collection of waste, where the waste is presented correctly. Enforcement will be planned in such a way as to educate and work with residents prior to formal enforcement action being taken.

**Resolved:-**

1. That Cabinet approve the designation of the new Public Space Protection Order, set out at Appendix 2, in the Fitzwilliam Road area.

## 9. NEW APPLICATIONS FOR BUSINESS RATES DISCRETIONARY RELIEF - ROTHERHAM AND DISTRICT CITIZENS ADVICE BUREAU

The Council had received an application for the award of Discretionary Business Rate Relief for Rotherham and District Citizens Advice Bureau. In line with the Council's Business Rates Discretionary Relief Policy, having regard to the financial cost of the proposed relief, the charitable use of the premises and the contribution that the organisation makes to the local community, it was recommended that an award for discretionary relief be granted to Rotherham and District Citizens Advice Bureau.

Rotherham and District Citizens Advice Bureau was a registered charity which provided free information and advice to the community in Rotherham ensuring that the Borough's citizens do not suffer through lack of knowledge of their rights and responsibilities. The charity actively worked to raise issues of social injustice to enable improvement in social justice for all. The organisation moved premises on 1 December 2021 because of the current town centre renovations and a requirement from

RMBC to temporarily relocate pending the construction of new premises as part of the Town Centre Plan. The organisation benefited from an award of discretionary relief at their former premises which was awarded continuously from 2017 to the date of their relocation. The proposed relief would maintain this position.

**Resolved:-**

1. That Cabinet approve the application for Discretionary Business Rate Relief for Rotherham and District Citizens Advice Bureau in accordance with the details set out in Section 6 to this report for the 2021/22 and 2022/23 financial years.

## 10. HOUSING STRATEGIC ACQUISITIONS

Consideration was given to the report which sought approval for the Council to purchase 66 new homes, of which 48 would be for council rent and 18 for council shared ownership. The acquisitions would be funded by the Housing Revenue Account and had been modelled within the HRA Business Plan to confirm affordability.

As set out in previous annual housing development reports, strategic acquisitions typically offered an expedient and value for money route to adding new homes to the Council's housing stock. They also helped to ensure local affordable housing needs could be met in areas where the Council had limited existing stock, and or limited land opportunities to directly build new homes.

Exempt Appendix 1 provided the details of the proposed acquisitions, including when the homes were expected to be added to the Council's stock. Some acquisitions would be handed over in multiple phases with the final homes from this list due in 2027/28.

The overall housing development programme would be described in the next annual housing development report. The current report was being presented earlier to ensure time-limited acquisition opportunities were not missed. It was not possible to guarantee that all the homes identified would be purchased, but Cabinet approval was sought to allow officers to undertake the necessary work towards achieving this aim.

If all of the identified acquisitions were secured, the Council will obtain the following council homes for rent: 14 houses with 2 bedrooms; 12 houses with 3 bedrooms; 6 houses with 4 bedrooms; 15 bungalows with 2 bedrooms and 1 bungalow with 3 bedrooms, totalling 48 homes. The Council will also obtain 18 homes to offer as council shared ownership: 10 houses with 2 bedrooms and 8 houses with 3 bedrooms totalling 18 homes.

**Resolved:-**

1. That Cabinet agrees to purchase the homes identified in Exempt Appendix 1, subject to the budget parameters as set out in the Council's approved Capital Programme.

2. That authority to negotiate and complete the legal documentation to give effect to the Cabinet's decision be delegated to the Council's Legal Services.

## 11. BT PROPOSAL TO PERMANENTLY REMOVE THE PUBLIC PHONE BOX AT THE JUNCTION OF WENSLEYDALE AND TEESDALE ROAD, ROTHERHAM

Consideration was given to a report submitted for information which detailed the decision taken by officers under delegated powers in respect of the proposal from BT to remove the public phone box at the junction of Wensleydale and Teesdale Road, Rotherham.

It was reported that, following a period of public consultation and in line with Ofcom guidance, a delegated decision was made by the Assistant Director (Planning Regeneration and Transport) on the proposal. Consultations were carried out through the Council's website and press notices published. In the first consultation period, no comments were received regarding the payphone closure. In the second consultation a response was received that the Ward Councillors, Local Policing Team and Housing Officers for the area considered that the phone box could be removed. However, having regard to the consultation comments received and Ofcom's proposal for stronger protection of public phone boxes, it was recommended that the Council object to the removal of the telephony service as it met the criteria for retention. This was due to the amount of usage the phone box received in the past 52 weeks being above the threshold for retention in the Council's local criteria.

The decision of the Assistant Director was to object to BT's proposals and apply the local veto to the phone box, whereby BT were required to keep the pay phone in use. The schedule showing the decision was included at Appendix 1 to the report. BT and the Secretary of State were informed of the Council's decision within the extended deadline of 28 February 2022.

**Resolved:-**

1. That Cabinet notes the decision to retain the BT public phone box at the junction of Wensleydale and Teesdale Road, Rotherham under the local veto.

## 12. CABINET'S RESPONSE TO SCRUTINY REVIEW - EXTERNAL FUNDING

Consideration was given to the report which outlined the response of Cabinet to the outcomes from the Scrutiny Review on External Funding. The findings of the Scrutiny Review had been presented to Cabinet on 28 March 2022 and were as follows:

a) *That the ambition of the service in submitting bids be commended.*

b) *That the feedback from the government regarding the Dinnington and Wath bids for Levelling Up Funds be circulated when available.*

c) *That the Governance Advisor liaise with the Regeneration Strategy team to coordinate upcoming scrutiny work on markets with a view to feeding into future bids involving markets.*

d) *That efforts to ensure Rotherham receives its fair portion of gainshare or "single pot" funds from the Mayoral Combined Authority be noted.*

Cabinet accepted all of the recommendations and Appendix 1 to the report outlined further detail on how the recommendations had been or would be actioned. The Cabinet Member wished to place on record her thank to the Officers who had worked hard to draw down significant investment for the people of Rotherham.

**Resolved:-**

1. That the Cabinet response to the Scrutiny Review Recommendations –External Funding be approved.

## 13. FIRST COUNCIL PLAN 2022-2025 AND YEAR AHEAD DELIVERY PLAN PROGRESS REPORT

Consideration was given to the report which provided an update on the first three months of the Council Plan 2022-2025 and Year Ahead Delivery Plan. The Council Plan had been adopted in January 2022 and had been informed by public consultation. It set out the Council's vision for the borough and priorities for serving residents and communities. The Delivery Plan had been developed to set out the key activities to be delivered over the next year (January 2022 – March 2023.)

As of 31 May 2022, the activities within the Year Ahead Delivery Plan were rated as follows:

- 16% (15) complete
- 67% (62) are on track to be delivered by original target date
- 12% (11) are delayed by less than 3 months
- 1% (1) will not be met within 3 months of original target date

- 3% (3) are not yet due to start.

The Quarterly Progress Report, attached to the report at Appendix 1, included a high-level overview and then presented by Council Plan theme, with each thematic section including achievements and challenges; Year Ahead Delivery Plan trackers and performance scorecards. The report also included wider information, key facts and intelligence, specific case studies and a timeline of key achievements/activities to demonstrate activity during the quarter.

It was proposed in paragraph 2.14 that the second quarterly progress report be presented to Cabinet on 19 September 2022.

During the meeting, Cabinet Members highlighted particular areas from their portfolios that were included in the Council Plan. They also referenced areas that were delayed in relation to the Year Ahead Delivery Plan.

**Resolved:-**

That Cabinet:

1. Note the overall position in relation to the Year Ahead Delivery Plan activities.

2. Discuss the activities which have been delayed and any resulting actions required.

3. Note the year-end data for 2021-22 for the Council Plan performance measures.

4. Note the performance reporting timetable for 2022-2023.

## 14. APPOINTMENT OF COUNCILLORS TO SERVE ON OUTSIDE BODIES

Consideration was given to the report which detailed how outside bodies were external organisations which had a Council appointed representative but had their own governance structures. Appointments to outside bodies were seen as an important mechanism for community leadership, partnership and joint working along with knowledge and information sharing. At the Annual Meeting on 19 May, 2017, the Council approved procedure rules that detailed how Councillors would be appointed to serve on outside bodies.

The report, therefore, presented the nominations received and recommended the appointment of the nominees to the various organisations and partnerships.

Paragraph 2.4 of the report detailed a number of organisations that had either been removed from or added to the outside bodies list. The

appointments to the South Yorkshire Mayoral Combined Authority were now dealt with at the Annual Council meeting and as such had been removed from the outside bodies list.

At the meeting it was reported that the Rotherham Dementia Action Group and Thomas Rotherham College Board would be removed from the outside bodies list. It was also reported that Councillor Atkin would be appointed as the Rotherham representative on the Yorkshire Purchasing Organisation with Councillor Wyatt being the substitute when their new governance arrangements came into effect in July 2022.

**Resolved:-**

1. That Cabinet agrees that Councillors be appointed to serve on outside bodies, as detailed on the schedule in Appendix 1.

2. That the amendments to the outside bodies list for 2022/23 be noted.

3. That the amendments made to the outside bodies list during the meeting, relating to Rotherham Dementia Action Group, Thomas Rotherham College Board and Yorkshire Purchasing Organisation, be agreed and implemented.

## 15. CABINET RESPONSE TO THE OUTCOMES FROM THE REVIEW GROUP OF THE HEALTH SELECT COMMISSION ON THE ROTHERHAM COMMUNITY HUB

Consideration was given to the report which outlined the response of Cabinet to the outcomes from the Health Select Commission Review on the Rotherham Community Hub. The findings of the Review had been presented to Cabinet on 28 March 2022 and were as follows:

a) That the excellent work of Rotherham Community Hub be commended, especially in respect of the befriending service which helped relieve loneliness and isolation throughout the pandemic.

b) That Members be encouraged to add the Community Hub to their Ward priorities and e-bulletins to better support vulnerable residents and families.

c) Whereas the current Community Hub model is due to end in March 2022, should there be a further evolution of the Community Hub model, that an update be brought in 12 months' time.

All the recommendations had been accepted and Appendix 1 set out further detail on how the recommendations have been actioned.

**Resolved:-**

1. That Cabinet approve the response to the recommendations, as detailed in Appendix 1, and note the report.

## 16. 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.

## 17. DATE AND TIME OF NEXT MEETING

**Resolved:-**

That the next meeting of the Cabinet be held on Monday 11 July 2022, commencing at 10.00 a.m. in Rotherham Town Hall.

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Rotherham Metropolitan Borough Council

Public Report
Cabinet

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**Committee Name and Date of Committee Meeting**
Cabinet – 11 July 2022

**Report Title**
Public Health Proposals for Drugs and Alcohol Grant 2022-2025

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

**Strategic Director Approving Submission of the Report**
Ian Spicer, Strategic Director of Adult Care, Housing and Public Health

**Report Author(s)**
Jessica Brooks, Public Health Specialist
jessica.brooks@rotherham.gov.uk

**Ward(s) Affected**
Borough-Wide

**Report Summary**
This report requests that the Drug and Alcohol Grant being made available to Rotherham as one of 50 accelerator areas in England by the Office for Health Improvement and Disparities (OHID) is accepted and allocated against the priorities outlined in Appendix One.

**Recommendations**

1. That Cabinet accept the grant funding and approve the approach to management of the grant.

2. That Cabinet agree the 3-year outlined grant plan, and to receive an annual update.

3. That Cabinet note that at present there is a national expectation that this is the first 3 years of a 10-year national strategy but there is no certainty of funding beyond 2025.

4. That the proposal to continue to be part of the Yorkshire and The Humber regional consortium is agreed as the method of accepting the inpatient detoxification grant from OHID.

**List of Appendices Included**

Appendix 1 D&A Grant Plan 2022-2025 v1.2
Appendix 2 D&A Needs Assessment 2022
Appendix 3 Part A Equality Impact assessment for services
Appendix 4 Part B Equality Analysis Form
Appendix 5 Carbon Impact form

**Background Papers**
Review of drugs: phase two report
From harm to hope: A 10-year drugs plan to cut crime and save lives
Extra funding for drug and alcohol treatment: 2022 to 2023
November Cabinet paper: Public Health Proposals for Recommissioning Rotherham's Alcohol and Drugs Service

**Consideration by any other Council Committee, Scrutiny or Advisory Panel**
None

**Council Approval Required**
No

**Exempt from the Press and Public**
No

**Public Health Proposals for Drugs and Alcohol Grant 2022-2025**

## 1. Background

This report sets out the proposals for the Drug and Alcohol Grant being made available to Rotherham as one of 50 accelerator areas in England by the Office for Health Improvement and Disparities (OHID).

1.1 As part of the implementation of the new national drugs strategy 2022, which was informed by Dame Carol Black's Review of the drug and alcohol services, the Government intends to build on this in a phased way through enhanced funding for up to 50 areas starting in 2022/23, with another 50 areas receiving enhanced funding in 23/24 and the remaining areas of the country starting in 24/25.

1.2 Rotherham has been identified by the Office for Health Improvement and Disparities (OHID), for the first wave of enhanced funding starting in 2022/23. This is due to a combination of qualifying factors including deprivation and performance against the Public Health Outcome Framework (PHOF) indicators on 'exits' – people who leave treatment with a positive outcome and do not return for at least 6 months. This area has been in the Council plan for some time and has struggled to recover to pre-Pandemic levels, which were already lower than national and regional rates.

1.3 The funding being made available is outlined in the table below, which shows both the Supplemental Substance Misuse treatment and Recovery Grant and Inpatient Detoxification Grant. More details on how this was allocated are included in Appendix One.

| | 2022/23 | 2023/24 | 2024/25 |
|---|---|---|---|
| Supplemental Substance Misuse Treatment and Recovery Grant | £688,722 | £1,128,463 | £2,178,186 |
| Inpatient Detoxification Grant | £64,077 | £64,077 | £64,077 |

1.4 This funding was preceded by an allocation during 2021/22 of £411,000 which was originally a one-year allocation.

1.5 All Four South Yorkshire areas are in the first 50 identified which will offer additional opportunities for collaboration and Integrated Care System (ICS) level developments. Receipt of funding is dependent on maintaining existing (2020/21) investment in drug and alcohol treatment from the Public Health Grant which also has to be included in the plan (Appendix One). The current understanding is that OHID anticipate the funding to continue after the initial 3 years in line with the target in the 10-year strategy, but this will be dependent on performance.

1.6 In addition to the Supplemental Substance Misuse Treatment and Recovery Grant an allocation of £64,077 per year is also available for 3 years to fund specialist placements for Rotherham residents who require to be admitted as inpatients to undergo detoxification from alcohol or drugs, as indicated in

the above table. This grant was initially made available as a one-off in 21/22 with Rotherham joining a consortium of Yorkshire and Humber local authorities to commission additional capacity in the system. This was agreed by Officer Decision on the 20th September 2021 with Doncaster agreeing to receive the funding on behalf of the consortium. It is proposed that Rotherham continues to work with the regional consortium to block purchase capacity and work collaboratively on capacity issues with our neighbouring authorities. Further conditions will be set out in a Memorandum of Understanding (MOU) with Doncaster Metropolitan Borough Council (DMBC). Under that MOU, Doncaster will make a sub-grant to Rotherham of some of the funds which Doncaster receives from central government. This MOU covers issues of insurance and liability for all parties and will be reviewed by Legal when received. Rotherham is not expected to enter into any kind of grant agreement with central government.

1.7 Implementation of the programme will involve both spend within RMBC (Public Health and Adults Social Care), with the specialist provider and with other stakeholder agencies. The programme will be led by Public Health. The outline proposal for the allocation in Appendix One was submitted to OHID on 27th May 2022. At the time of writing there is no date confirmed by OHID for feedback or confirmation of the funding.

## 2. Key Issues

2.1 The indicative allocation letter to the Director of Public Health indicates that the areas of spend for the Supplemental Substance Misuse Treatment and Recovery Grant are prescribed to cover the following ten areas and must deliver the Rotherham allocation of the national targets e.g., on increased number of treatment places. These ten areas of development and our proposed plans are detailed in Appendix One, which is a prepopulated OHID form.

2.2 The table below shows the high-level reporting requirement from the grant:

| National Target | Baseline | Local Target |
|---|---|---|
| Increase treatment capacity by 20% | 1957 adults in treatment in 2021/22 | 2415 adults in treatment by 2025 |
| | 34 Young people in treatment in 2021/22 | 59 Young people in treatment by 2025 |
| 2% of treatment population to attend rehabilitation | 9 adults attended rehabilitation between 2018-21 | 76 adults attend rehabilitation over the 3 years 2022- 2025 |
| 75% of adults with substance misuse problems leaving prison are engaged with treatment | 25% of adults with substance misuse problems leaving prison are engaged with treatment in 2021/22 | 75% of adults with substance misuse problems leaving prison are engaged with treatment in 2025 |
| Nationally increase workforce by 1750 | 37.5 FTE working in Rotherham D&A services | Additional 19.5 FTE in first year |

| | |
|---|---|
| Nationally prevent 1,000 deaths in the next 3 years | National target only – reflecting cumulative local contributions to National Drug Strategy. |

2.3 There is an expectation of a local delivery partnership which includes partners from the Criminal Justice sector to ensure continuity of care, which will drive a local strategy/action plan. This has been set up and has now met twice with local delivery partnership members being given the opportunity to contribute to the plan. Membership includes those referenced in 12.1 and 12.2.

2.4 **1 System coordination and commissioning**: Increasing commissioning capacity, via increased workforce, to improve local and regional coordination and planning, supporting a partnership wide and other joint working arrangements, in comprehensive assessment of need, strategic planning and managing the implementation of the grant. Capacity to support drug related death review processes.

2.5 **2 Enhanced harm reduction provision:** Planned activities include a strategic and sub regional approach to tracking and analysing alcohol and drug related deaths, responding to the national and local rise in these numbers, there will also be additional emphasis on effective use of needle exchange and distribution of naloxone to reverse overdose.

2.6 **3 Increased treatment capacity:** Investing in Rotherham's substance misuse services to meet the national target of an additional 20% (Over the three years, 458 new people into treatment in Rotherham) in the number of treatment places available. In addition, the grant will be used to improve quality – including by reducing caseloads and increasing the professional staff mix. Work in year one will be aiming to raise the profile of the service through outreach and engagement, reaching new populations.

2.7 **4 Increased integration and improved care pathways between the criminal justice settings, and drug treatment:** Planned activities will optimise access to treatment for individuals referred from custody suites, courts and prisons ensuring that the national target of 75% (an average of 130 people per year in Rotherham) of adults with substance misuse treatment need are successfully engaged in community treatment after release from prison, ensuring continuity of care.

2.8 **5 Enhancing treatment quality:** Planned activities include investing in the local treatment system to improve case management quality improvement, including reducing caseload sizes, implementing caseload segmentation approaches, increased clinical supervision and training and development, which will have a positive outcome on successful treatment outcomes as treatment capacity increases.

2.9 In year two and three of the grant, consideration has also been given to investing in additional psychological support and trauma informed approaches that were identified in the needs assessment (Appendix Two).

2.10 **6 Residential rehabilitation and inpatient detoxification:** The national target set for residential rehabilitation at 2% over the 3 years equates to 76 Rotherham residents being funded for a placement. This will mean a higher number being assessed for suitability and consideration is being given to a caseload audit for the wider system so that clients may benefit who have struggled to engage in the local offer. It is estimated that a substantial portion of the grant may need to be allocated to deliver this figure should these needs be identified (estimated £678000). The pathway will need to be revised to enable quicker agreement of placements and better commissioning processes with the providers as current national capacity will be unable to keep pace with the expansion.

2.11 A consortium of Local Authorities was created during 2021/22 to receive what was then thought to be a one-off fund to increase the numbers of clients able to access a clinical place for inpatient detoxification. DMBC will hold the funds for the Consortium and if the continuation of the MOU is agreed, Rotherham will be allocated an additional 15 inpatient episodes per year.

2.12 **7 Better and more integrated responses to physical and mental health issues:** Planned activities include enhancing partnership approaches with physical and mental health services, the co-location of services and interventions. Including investing in additional capacity in RMBC Multi-Agency Adult Safeguarding Hub (MASH) team and working with the wider statutory mental health services to expand capacity and capability to deliver comprehensive mental health screening, assessment, to support and manage care packages for the most complex people.

2.13 **8 Enhanced recovery support Development and expansion of a recovery community:** Planned activities will include embedding coproduction in Rotherham to develop a “recovery academy” model that will expand recovery communities and peer support networks, including in treatment, to sustain long-term recovery, increase the visibility of recovery, support social integration and enhancing partnership via collaboration with the voluntary and community sector, employment and housing services; therefore improving life chances.

2.14 **9 Other interventions which meet the aims and targets set in the drug strategy**: Currently all the plans outlined fit with one of the prescribed headings. There are no plans for this area of development in year one.

2.15 **10 Expanding the competency and size of the workforce:** Planned activity will include a development programme to upskill existing employees delivered via RMBC's Learning and Development team, to upskill the wider non-specialist workforce by offering bespoke training (300 places). There is a planned programme of training for the primary care workforce in screening and brief interventions for alcohol use as identified in the needs assessment (Appendix Two).

2.16 Recruitment has been a challenge already in specialist services due to previous national disinvestment in drug and alcohol services, as part of the strategic planning additional funding may be invested in year two and three in further recruitment, retention and training initiatives.

2.17 The additional recruitment outlined in Appendix One includes several internal and external roles. The internal roles include staff to support commissioning and co-ordination, safeguarding practitioners and children and families support staff.

2.18 These outcomes and targets will be delivered by an increase in capacity with in RMBC and commissioned services. RMBC will see increased commissioning and delivery capacity. Additional services will be commissioned from other providers and will include significant coproduction with communities for new services, for example those for families and friends.

2.19 Priorities in year one of the plan will focus on those who will benefit from residential rehabilitation and improvements for those with complex needs such as mental health problems and alcohol or drug dependence through better co-ordination and availability of different types of services. This will include additional services delivered for parents who are experiencing substances misuse. More detail on both year one and the 3-year outline plans can be found in Appendix One.

## 3. Options considered and recommended proposal

3.1 Option one and recommended: That Cabinet approve the outline plans to accept these grant allocations for Rotherham as outlined which are based on the nationally predefined areas of spend and tailored to current local need which will continue to evolve over time.

3.2 Option two: That the funds are not accepted from OHID. Despite the risks of non-continuation of the funding this is not recommended as the current needs of this vulnerable population locally are clearly evidenced in the needs assessment (Appendix Two) and the additional investment is desirable for the Borough.

## 4. Consultation on proposal

4.1 A strategic group has been established with key internal and external stakeholders. These partners include criminal justice and health services as directed by OHID. This has enabled partnership contributions to the draft

plans and has increased understanding of the need for a local strategy and joint planning to achieve these ambitious targets.

4.2 The incumbent service provider and other potential local providers were involved in the above exercise.

4.3 Additional partners have been consulted in order to commence the process of developing plans for additional services in areas that have not been seen previously as core to this provision e.g. The Rotherham NHS Foundation Trust (TRFT).

4.4 Partners were able to contribute ideas for the 10 areas of development outlined in the project plan. The results from this group have and will continue to inform the plan development. The consultation focused on increasing referrals to fulfil existing capacity in year one, including improving pathways between courts and Drugs and Alcohol services, developing the offer for young people and those with dual diagnosis of mental health and substance misuse.

4.5 Coproduction has been built into the plan, for instance in plans to develop recovery provision and extending service hours.

## 5. Timetable and Accountability for Implementing this Decision

5.1 The grant plan was submitted on the 27th of May 2022.

5.2 There is an expectation of receipt of the grant by July 2022 as this is when the 2021/22 allocation has to be fully spent.

## 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 Council currently has a 5-year contract with an external provider to deliver Drug and Alcohol services with a budget in 2022/23 of £3.2m This will expire on 31 March 2023, when a new 5-year contract (with the option to extend annually for up to 5 further years) is due to start.

6.2 The grant funding will run over the final year of the existing contract and the first two years of the new one, bringing an additional £4.0m of resources to Rotherham. The grant funding increases each year allowing spend to increase as the proposed schemes grow (up to £2.2m in the third year).

6.3 No match funding is needed from Rotherham in order to receive the grant. The grant runs for a period of 3 years to March 2025 and will be spent with both internal and external providers. For external providers this will be delivered via the contract (non-core framework) spend and so there is no ongoing commitment, beyond the budgeted element of the contract, with providers if government funding should cease after year 3.

6.4 The Government have not released any details about funding beyond the initial 3-year term, so there is an element of risk and uncertainty to service delivery of newly funded schemes after March 2025, although this should become clearer with further government announcements towards the end of the grant funded period. If staff are employed directly there is a potential risk of exit costs should funding not continue.

6.5 The procurement for the new Alcohol and Drug Treatment and Recovery Service is currently published to market and is comprised of a core contract as defined at 6.1 above and a non-core framework which will allow the Council the ability to purchase any service or provision that meets the needs of or provides outcomes for advice, treatment and recovery services suitable for Rotherham residents of all ages who are experiencing problems with substance misuse.

6.6 All procurement activity associated with the grant will be undertaken in accordance with Public Contract Regulations (as amended) and the Council's 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 The only legal documentation described in this report is the proposed MOU which the Rotherham Council is to be invited to enter into with Doncaster Council. A first draft has not yet been received from Doncaster Council. Officers may wish to consult Legal Services to review the draft when received.

7.2 The Council does not expect to enter into any kind of grant funding agreement with central government.

## 8. Human Resources Advice and Implications

8.1 It is proposed to implement a development programme to upskill existing employees as well as creating a number of additional posts to support service delivery. Details of the roles to be established are outlined within section 2.13 of the report and in Appendix One.

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

9.1 This has been a collaborative exercise with grant spending sought from various stakeholders including children's and young people's services, safeguarding, adult care and housing. The delivery plan specifically requires improvements for young people in line with National Strategy and these are outlined in Appendix One.

9.2 The needs assessment (Appendix Two) had already highlighted some key areas of need relating to vulnerable adults including those with a dual diagnosis and these have been prioritised in the delivery plan.

## 10. Equalities and Human Rights Advice and Implications

10.1 This is a universal grant for anyone who experiences substance misuse problems in Rotherham. It is known that poor physical and mental health is disproportionately experienced by some of the most vulnerable members of our local communities and the grant will aim to address inequality in health as a general principle, and to prioritise certain target groups through enhancement of engagement and outreach.

10.2 It will be key to ensure that any and all areas of development resulting from the additional grant ensure equal access and outcomes across all of Rotherham's communities whilst ensuring that no protected equalities group is being unintentionally disadvantaged or excluded.

10.3 The equalities impact completed for the Drugs and Alcohol recommissioning and included in the November 2021 Cabinet report has been included and will be updated annually.

Updated Equality analysis and Impact assessment can be review in Appendix Three and Four.

## 11. Implications for CO2 Emissions and Climate Change

11.1 The Service is already in place, and no new premises are being sought. There will be no additional implications for CO2 Emissions and Climate Change, and the changes within this proposal do not highlight any further impact on CO2 emissions.

11.2 A Carbon Impact Assessment form has been completed and can be reviewed in Appendix Five.

## 12. Implications for Partners

12.1. Key Internal partners are Housing, CYPS, Regeneration and Environment and Safeguarding. All partners are involved in the development of the grant plan to ensure that it takes account of their requirements

12.2 Key external partners include the current service provider, Criminal Justice Agencies, Police and Crime Commissioner's Office, Probationary Service, Youth Offending Team, Local NHS strategic leads including CCG commissioned Alcohol Care Team at TRFT and RDaSH mental health services. These partners are key in meeting the aims set out in the grant funding.

12.3 Inclusion of wider partners, particularly those involved in the recovery remit, such as those concerning employment or in the voluntary and community sector, will be sought in implementing the programme if the grant acceptance is agreed and OHID approve the delivery plan.

12.4 GPs and pharmacies are key partners to this delivery and are subcontracted by CGL to deliver shared care, needle exchange and supervised consumption.

## 13. Risks and Mitigation

13.1 As outlined in the Cabinet paper of November 2021 the services that relate to this funding are the subject of an open procurement which was published on the 9th May 2022 and will close on the 20th June 2022. As such it has been necessary to restrict publication of the details until the tender closes.

13.2 The impact of the tender will be a new service model as described in the 22nd November 2021 Cabinet paper which will require a mobilisation period in readiness for 1st April 2023. Until the outcome of this tender is published it is not possible to progress some of the key new initiatives that will need to be in place for April 2023. For this reason, some of the key actions during year one of the delivery plan are around building service demand and identification of unmet need. Others also focus on building programmes of activity that can be started independently of the tender.

13.3 This funding is the first 3 years of a planned 10-year national intervention, The risk of non-continuation of the funding after the 3 years would impact on all agencies that might employ staff on a permanent basis and on service users who will be receiving services funded by this grant. This risk is more challenging to mitigate since almost all the planned activity requires staffing and resource. However, significant attention is being paid to training the future workforce and upskilling other frontline professionals in this field.

13.4 The aims around capacity are that over this period although more people will receive care, many more will also recover and leave the system, and recovery communities will be established to promote community based long term options for support reducing reliance on funded services.

13.5 Additionally, there are nationwide challenges with recruitment and retention of sufficiently skilled and experienced drug and alcohol staff required to meet the targets of this grant funding. All 4 South Yorkshire Local Authorities have been identified as being in the 50 areas to received enhanced funding in Year One. In order to mitigate this the Council will be linking in with neighbouring Local Authorities and OHID who are working towards national plans to help resolve this issue. This might include in investing in training schemes.

13.6 Delivery of these targets will also be reliant on capacity in both the inpatient detoxification specialty and the residential rehabilitation sector which are also experiencing rising costs and recruitment difficulties.

13.7 As this grant requires a multi-agency approach it is imperative that all key stakeholders are involved and engaged in the process, including the development of any future strategies, plans or partnership groups. A lack of engagement could result in not being able to deliver what is currently set out in the plan. Developing clear terms of reference to any partnership

groups alongside the added capacity supporting co-ordination of partnership working aims to mitigate this.

13.8 As the allocation is annual and must be spent in the same financial year, there is a risk of underspend which may also impact on any future funding allocations beyond 2025. To mitigate this, we have ensured there is flexibility within the plan such that any areas in which spending does not reach the allocated amount, for instance due to failure to recruit staff, can be reallocated to another area.

**14. Accountable Officers**

Ian Spicer, Strategic Director, ACH&PH
Ben Anderson, Director of Public Health

Approvals obtained on behalf of Statutory Officers: -

| | **Named Officer** | **Date** |
|---|---|---|
| Chief Executive | Sharon Kemp | 27/6/2022 |
| Strategic Director of Finance & Customer Services (S.151 Officer) | Judith Badger | 23/06/22 |
| Assistant Director, Legal Services (Monitoring Officer) | Phillip Horsfield | 21/06/22 |

*Report Author:* *Jessica Brooks, Public Health Specialist*
*jessica.brooks@rotherham.gov.uk*
This report is published on the Council's website.

Office for Health Improvement & Disparities

| | |
|---|---|
| **Grant scheme** | **Supplemental Substance Misuse Treatment and Recovery Grant** |
| **Local council [SELECT]** | **Rotherham** |
| **Year identified as an Enhanced area** | **Year 1** |
| **Name (person completing the plan)** | **Anne Charlesworth & Jessica Brooks** |
| **Contact details - email** | anne.charlesworth@rotherham.gov.uk |
| **Contact details - phone** | **01709 255851** |
| **DPH sign-off on behalf of the local partnership** |  |

All tables should be filled out and returned to DrugTreatmentGrants@dhsc.gov.uk by 11 May. If you have questions about how you should fill out the tables, or concerns about being able to meet this date, in the first instance please raise these with your regional OHID team.

Once we have received your return we may contact you for clarifications, or to discuss your plans. In order to be able to conclude the allocation process as quickly as possible we would ask you to be prepared to respond as quickly as possible.

**Background**

The Supplemental Substance Misuse Treatment and Recovery Grant should be used to address the aims of the treatment and recovery section of the drug strategy.

On a national basis the additional funding should deliver:

- 54,500 new high-quality treatment places, including: 21,000 new places for opiate and crack users; a treatment place for every offender with an addiction; 30,000 new treatment places for non-opiate users and alcohol users; a further 5,000 more young people in treatment
- 24,000 more people in long-term recovery from substance dependence
- 800 more medical, mental health and other professionals
- 950 additional drug and alcohol and criminal justice workers
- sufficient commissioning and co-ordinator capacity in every local council

In developing your plans you should be mindful of the condition of the Public Health Grant that:

[A local council must] have regard to the need to improve the take up of, and outcomes from, its drug and alcohol misuse treatment services, based on an assessment of local need and a plan which has been developed with local health and criminal justice partners.

**Treatment capacity guidance note**

The guide numbers above are based on the national ambition set out in the drug strategy. The equivalent numbers for your area have been modelled based on the size of your drug and alcohol treatment system and the additional funding that has been awarded.

The significant modelled increases occur in financial years 2023-24 and 2024-25, reflecting your indicative funding trajectory and the suggested focus on improving the capacity and competencies of the workforce in 2022-23.

As the guide numbers are based on the levels of national unmet need, it is important that they are considered alongside your own assessment of need for each of the substance cohorts for adults as well as for young people.

1. You should use OHID's Commissioning Support Pack and other sources of local intelligence to understand your levels of unmet need. Local ambition to increase capacity should then be set accordingly.

2. **Complete all tables in the template**. If you have any questions please contact your regional OHID lead.

3. Cells are colour-coded as follows:

| |
|---|
| You need to select from this cell |
| You need to complete these cells |
| OHID will have pre-filled these cells – do not change |
| These are cells calculated in the sheet – do not change |
| These are information/row heading cells |
| These are information/column heading cells |
| Deliberately empty cell |

4. Please ensure the sums are consistent within the spreadsheet (some figures will display red indicating they are not as expected)

5. Interventions outside the menu can be considered only if they:
- can be shown to deliver the outcomes expected of the grant
- are already developed/established interventions that can be delivered within 2022-25
- have evidence of their effectiveness and cost effectiveness

Please email DrugTreatmentGrants@dhsc.gov.uk as soon as possible if you plan to propose interventions not on the menu.

6. Capital

Under this grant, it is permissible for a capital asset to be created by the local council or service provider in the process of delivering the programme, but it is important that capital spending should not be the focus of the programme. Where you expect to spend on capital items this should be reflected in your detailed plans for 2022-23 and you should be clear how capital assets will allow your system to deliver the aims of the

Please note, any capital asset created will have to be sanctioned by OHID and will subsequently be logged via the Statement of Grant Usage (SOGU), and local council should take steps to protect the asset for future use for the taxpayer, for example in the event of any service or contractual change.

**NB There are more detailed guidance notes alongside each table in the rest of this workbook - please read them carefully before completing the table.**

## Indicative 3 year planned investment

Link back to notes and guidance

Please enter your projected expenditure for 2021-22 and the planned expenditure for the following three years against the categories below

| Source | Baseline 2020-21 (actual) | 2021-22 (projected) | Year 1 2022-23 | Year 2 2023-24 | Year 3 2024-25 |
|---|---|---|---|---|---|
| Adult substance misuse spend categories [1] | £ 3,052,000 | 3,016,637 | 3,079,637 | 3,077,000 | 3,077,000 |
| Specialist drug and alcohol misuse services for children and young people [2] | £ 176,000 | 158,431 | 139,804 | 176,000 | 176,000 |
| Additional local investment that contributes substantially to substance misuse treatment and recovery outcomes [3] | | | | | |
| Supplemental substance misuse treatment and recovery grant | | 411,000 | 688,722 | 1,128,463 | 2,178,186 |
| Inpatient detoxification grant | | 53,088 | 64,077 | 64,077 | 64,077 |
| Total | | £ 3,639,156 | £ 3,972,240 | £ 4,445,540 | £ 5,495,263 |

[1] Outturn return to DLUHC. Sum of: treatment for drug misuse in adults, treatment for alcohol misuse in adults,

[2] Outturn return to DLUHC for specialist drug and alcohol misuse services for children and young people
Source: https://www.gov.uk/government/collections/local-authority-revenue-expenditure-and-financing

[3] For example from the police and crime commissioner, CCG, or local council's children's services, National Lottery or other charitable funding

**Please provide any detail you think is helpful about additional local investment:**
Please note RMBC is currently out to tender for an all age drug and alcohol service for 2023-24 onwards.

Please note 2021-22 and 2022-23 **Adults substance misuse spend categories** show a slight decrease in spend due to reduced spend against the rehabilitation budget during the COVID 19 Pandemic due to closure of placements and service operating differently .The overall budget has been projected to return to above baseline (2020-21) from 2023-24 onwards.

Please note 2021-22 and 2022-23 **Specialist drug and alcohol misuse services for children and young people** show a slight decrease in spend due to reduced activity in schools and in person group delivery during COVID, this led to a reducing the value of the contract with the Provider. The overall budget has been projected to return to above baseline (2020-21) from 2023-24 onwards.

The current provider has a 5 year contract and the costs submitted as part of the tender were slightly lower for the later years

**National target to increase the number of treatment places by 54,500 a 20% increase**

Link back to notes and guidance

Please enter the planned numbers in treatment for each of the next three years for adults (by the three substance groups) and for young people

| Capacity | Baseline 2021-22 | Year 1 2022-23 | Year 2 2023-24 | Year 3 2024-25 |
|---|---|---|---|---|
| All adults “in structured treatment” | **1957** | 93 | 221 | 458 |
| Opiates | 1088 | 25 | 85 | 186 |
| Non opiates (combined non-opiate only and non-opiates and alcohol) | 330 | 26 | 52 | 104 |
| Alcohol | 539 | 42 | 84 | 168 |
| Young people "in treatment" | **34** | 5 | 13 | 25 |

There is a national target to increase the number of treatment places by 54,500 by the end of FY 2024-25. Local councils should agree with their provider/s a three-year trajectory that contributes towards the national ambition. In developing your trajectories, you should draw on your most recent Commissioning Support Pack published on ndtms.net to understand the levels of unmet need in your population for drug and alcohol treatment.

When planning it is important to keep in mind that, when the grant rises, as well as expanding treatment capacity, there is an expectation that the grant will be invested in improving quality – including by reducing caseloads and increasing the professional staff mix. This is reflected in the menu of interventions.

**Guide for additional numbers in treatment based on national targets**

**Capacity guidance note**

The guide numbers below are based on the national ambition set out in the drug strategy. The equivalent numbers for your area have been modelled based on the size of your drug and alcohol treatment system and the additional funding that has been awarded.

The significant modelled increases occur in financial years 2023-24 and 2024-25, reflecting your indicative funding trajectory and the suggested focus on improving the capacity and competencies of the workforce in 2022-23.

As the guide numbers are based on the levels of national unmet need, it is important that they are considered alongside your own assessment of need for each of the substance cohorts for adults as well as for young people.  You should use OHID’s Commissioning Support Pack and other sources of local intelligence to understand your levels of unmet need. Local ambition to increase capacity should then be set accordingly.

| Capacity | Baseline 2021-22 | Year 1 2022-23 | Year 2 2023-24 | Year 3 2024-25 |
|---|---|---|---|---|
| All adults “in structured treatment” | 1957 | 62 | 197 | 440 |
| Opiates | 1088 | 25 | 85 | 186 |
| Non opiates | 330 | 11 | 48 | 91 |
| Alcohol | 539 | 26 | 64 | 163 |
| Young people "in treatment" | 34 | 5 | 13 | 25 |

**Partnership plan to reduce drug and alcohol deaths**

Link back to notes and guidance

| National | 2016 | % | 2017 | % | 2018 | % | 2019 | % | 2020 | % |
|---|---|---|---|---|---|---|---|---|---|---|
| Drug related deaths | 2,386 | 100% | 2,310 | 100% | 2,670 | 100% | 2,685 | 100% | 2,830 | 100% |
| Alcohol specific deaths | 1,671 | 100% | 1,758 | 100% | 1,685 | 100% | 1,710 | 100% | 2,074 | 100% |
| *Deaths in treatment* | 2016-17 | % | 2017-18 | % | 2018-19 | % | 2019-20 | % | 2020-21 | % |
| Death in treatment - opiate users | 1,741 | 100% | 1,712 | 100% | 1,897 | 100% | 2,010 | 100% | 2,418 | 100% |
| Death in treatment - non-opiate users | 172 | 100% | 174 | 100% | 193 | 100% | 178 | 100% | 244 | 100% |
| Death in treatment - alcohol only | 767 | 100% | 774 | 100% | 799 | 100% | 741 | 100% | 1064 | 100% |
| **Rotherham number of deaths** | **2016** | **%** | **2017** | **%** | **2018** | **%** | **2019** | **%** | **2020** | **%** |
| Drug specific deaths | 18 | 1% | 15 | 1% | 7 | 0% | 20 | 1% | 19 | 1% |
| Alcohol specific deaths | 14 | 1% | 15 | 1% | 11 | 1% | 14 | 1% | 7 | 0% |
| *Deaths in treatment** | 2016-17 | % | 2017-18 | % | 2018-19 | % | 2019-20 | % | 2020-21 | % |
| Death in treatment - opiate users | 11 | 1% | 14 | 1% | 17 | 1% | 19 | 1% | 18 | 1% |
| Death in treatment - non-opiate users | 0 | 0% | 0 | 0% | 0 | 0% | 0 | 0% | 0 | 0% |
| Death in treatment - alcohol only | 0 | 0% | 0 | 0% | 0 | 0% | 0 | 0% | 10 | 1% |

**if value of 0 returned for death in treatment, this may be due to numbers being suppressed for your area.*

Provide narrative on outline 3-year plans to reduce drug and alcohol related deaths, focusing on:

- system wide approaches to reduce deaths
- in and out of treatment populations
- overdose and drug/alcohol related all-cause mortality
- how risk is identified and reported
- how deaths and non-fatal overdoses are reviewed
- what resources and interventions will be deployed.

There is a national ambition to prevent nearly 1,000 deaths in the next 3 years, reversing the upward trend in drug deaths for the first time in a decade. Local council and their partners should set out how the grant funding they receive will reduce drug deaths locally, both in and out of treatment.

Local councils should also work to reduce alcohol deaths. In 2020-21, there was a 20% increase in alcohol specific deaths in England, and a 44% increase in deaths (all causes) in people in treatment for alcohol-only compared to 2018-19.

This should be set out in a narrative form, describing system wide approaches to reduce deaths (including among those in the treatment and recovery system), how risk is identified and reported, how deaths and non-fatal overdoses are reviewed, and what resources will be deployed.

**Alcohol related deaths:**

In year one, we intend to complete a systematic review of our local alcohol and drug-related deaths, which will include cold case coroner reviews, an audit of Provider deaths in service, and qualitative and quantitative work, to inform our interventions in the following years.

We will also commence a wider partnership review process for drug and alcohol related deaths in Rotherham, and across local LAs, to improve information sharing and learning. This process will utilise a data system (QES) which will also begin in Year 1.

Initially this review process will focus on deaths within the service with a view to extend to those who were not accessing services. Taken together with the drug and alcohol strategy and action plan (also to be developed in year 1), this will then inform a targeted approach across our treatment system and partnership delivery, to support people identified as most vulnerable to alcohol -related harm, e.g. older adults.

This may include a combination of targeted harm reduction initiatives, increased AUDIT-C screening in primary care, fibro scanning, enhanced outreach provision and local public health campaigns.

**Drug related deaths:**

In addition to the interventions mentioned above, we intend to increase naloxone provision and training across partner organisations such as the police and housing.

Following the local drug and alcohol related death needs assessment, interventions may also include  outreach clinics, specialist clinics for people with co-morbidities delivered within the treatment service, and anti-stigma campaigns; but the detail will be planned once the deep dive is complete. We have ensured there is sufficient capacity within our proposal to cover these aspects.

**Treatment workforce expansion planning**

Link back to notes and guidance

| Workforce category | Notes | Baseline 2021-22: Number of full time equivalent posts to nearest 0.25FTE, excluding those funded by 2021-22 universal drug treatment grant | Year 1 2022-23 planned recruitment: Number of full time equivalent posts to nearest 0.25FTE - this should include ongoing posts originally funded by 2021-22 universal drug treatment grant |
|---|---|---|---|
| Social workers | Social workers registered to practice on the Social Work England register https://www.socialworkengland.org.uk/umbraco/surface/searchregister/results | 0 | 5 |
| Pharmacists | Pharmacists registered to practice on the General Pharmaceutical Council (GPC) register https://www.pharmacyregulation.org/registers/pharmacist | 2 | 0.5 |
| Nurses | Nurses registered to practice on the Nursing and Midwifery Council register https://www.nmc.org.uk/registration/search-the- | 4.5 | 2 |
| Addiction psychiatrists | Doctors registered on the General Medical Council (GMC) specialist register to practice 'substance misuse psychiatry' https://www.gmc-uk.org/registration-and-licensing/the-medical-register | 1 | 0 |
| Other doctors | Doctors registered on the GMC register to practice https://www.gmc-uk.org/registration-and-licensing/the-medical-register | 2.5 | 0.5 |
| Consultant psychologists | Consultant psychologists registered on the Health and Care Professions Council (HCPC) register https://www.hcpc-uk.org/check-the-register/ | 0 | 1 |
| Practitioner psychologists | Practitioner psychologists registered on the HCPC register https://www.hcpc-uk.org/check-the-register/ | 0 | 0 |
| Assistant psychologists | Assistant psychologists should only be employed where there is a qualified HCPC-registered psychologist to supervise them. | 0 | 0 |
| Drug and alcohol workers | A paid employee of a local council-commissioned drug and/or alcohol treatment provider who does in-person and digital clinical work, and usually holds a caseload of people in structured treatment including keywork, harm reduction, outreach and psychosocial interventions, with individuals who have, or have had, drug and/or alcohol problems. This includes specialist roles targeting specific need, populations or working in specific settings including: women; the BAME community; LGBT community; mental or physical comorbidities; people involved with the criminal justice system; families; housing and employment support; and GP shared care. Also counted here should be outreach workers who may not carry a caseload or work with people currently in structured treatment but do provide harm reduction and other | 24.5 | 6.5 |
| Criminal justice drug and alcohol workers | A 'drug and alcohol worker' (see previous definition) who works with individuals involved in the criminal justice system in order to facilitate their engagement and retention in treatment, including supporting individuals through a range of criminal justice pathways including out of court disposals, court | 0 | 4.5 |
| Young peoples' drug and alcohol workers | A paid employee of a local council-commissioned young peoples' specialist substance misuse service who does face-to-face and digital clinical work, including keywork, harm reduction, outreach and psychosocial interventions, with young people who have, or have had, drug and/or alcohol problems or | 3.5 | 0 |
| Other drug and alcohol workers | Definition as in drug and alcohol worker row above, but excluding young people's drug and alcohol workers and criminal justice drug and alcohol workers | 21 | 2 |
| Service managers | Drug and alcohol treatment service managers, who do not carry a clinical caseload. Team leaders who do carry a clinical caseload should be included in the row relevant to their training/role, e.g. drug and alcohol | 4 | 1 |
| Local council commissioners/coordinators/ analysts | Local council-employed adult and young peoples' drug and alcohol treatment commissioners, coordinators and analysts, leading on or supporting any of, but not limited to, the following: commissioning; needs assessments; performance management; partnership coordination; drug and alcohol related death investigations; supporting collaboration, information sharing and joint working | 0 | 3.5 |

The drug strategy includes an ambition to increase the capicty and quality of the drug and alchol treatment workforce over the next three years. This includes recruiting:

- 800 more medical, mental health and other professionals
- 950 additional drug and alcohol and criminal justice workers
- adequate commissioning and co-ordinator capacity in every local council

Dame Carol Black's review and clinical guidelines recommend treatment systems have multidisciplinary teams, made up of nurses, doctors, addiction psychiatrists, psychologists, pharmacists, and social workers. Your plans should include proposals to ensure treatment systems have all these professions available to them, or initial steps to work towards that if your local council is in a later tranche of increased funding.

Included below is an outline of the national workforce expansion modelling, which informed the calculations for the additional treatment investment across the next three years. It is included here to aid your planning in relation to the relative numbers staff from different groups. The modelling uses the workforce baseline taken from the results of workforce survey undertaken by Dame Carol Black's independent review of drugs in 2020.

Please only include staff in this return who are commissioned to deliver (or in the case of local council commissioners/coordinators to oversee) drug and alcohol treatment and recovery services by the local council.

Please enter full time equivalent numbers (FTE), to the nearest 0.25, as opposed to the number of people employed.

We are aware that the 'doctor' category in this template does not represent the range of skills and experience of doctors who aren't addiction psychiatrists. For this process, we have not split out GPs, physicians, training grades and others. A workforce benchmarking exercise to follow will capture this level of detail, to inform the workforce strategy and future local planning.

Consideration should also be given to how you will support workforce development in inpatient units and residential detoxification. Ensuring contract prices allow for this and regional collaboration or coordination may be part of the solution. OHID, in partnership with HEE will undertake further work in this area.

Please categorise staff according to the role they are employed to deliver. For example, where someone who is a qualified social worker is currently employed as a drug and alcohol worker, they should be categorised as a drug and alcohol worker.

**Number of adults with substance misuse treatment need who successfully engage in community-based structured treatment following release from prison/secure estate**

Link back to notes and guidance

Please enter as a percentage the planned continuity of care performance for each of the next three years

| | Baseline 2021-22 | Year 1 2022-23 | Year 2 2023-24 | Year 3 2024-25 |
|---|---|---|---|---|
| National | 37% | | 75% | |
| Local planning (%) | 25% | 40% | 60% | 75% |

The drug strategy sets out a national ambition that by the end of 2024-25 there should be 'a treatment place for every offender with an addiction'.

Local councils should engage with their partners, including police, probation and prison health providers, to optimise access to treatment for individuals referred from custody suites, courts and prisons and ensure that there is a shared understanding of how improved health and reoffending outcomes can be delivered for this cohort.

Using data from the Public Health Outcomes Framework C20 indicator, this table shows continuity of care figures for adult offenders who have a continuing treatment need on discharge from prison and who are successfully engaged into local community treatment services. As you are aware, the continuity of care between prison discharge and engagement in treatment is a fundamental part of reducing reoffending and recidivism. Therefore, we have a national ambition to ensure 3 in 4 prison leavers with a substance misuse issue are engaging in treatment 3 weeks after release by the end of 2023. We have worked with the Ministry of Justice to identify this as a stretching goal to reach that will truly shift the dial. To that end, we need all local councils and their partners to set trajectories to make this a reality.

**Proportion of all adults in treatment who start residential rehabilitation (National ambition to achieve 2%, see notes)**

Link back to notes and guidance

Please enter the total number of people planned to attend residential rehab for the next three years

| | Baseline 2018-21 average | Proportion of adults in resi rehab as a proportion of all adults in treatment | Year 1 2022-23 | Year 2 2023-24 | Year 3 2024-25 |
|---|---|---|---|---|---|
| National | 3805 | 1.4% | | | |
| Local planning | 9 | 0.5% | 14 | 26 | 38 |

As set out in the drug strategy we are implementing mechanisms to help ensure that there is adequate provision of residential rehabilitation in all areas of the country.

You should consider local need, and how to use the grant to increase access to residential rehabilitation over the course of the grant period.

This planning table is populated with the proportion of your drug and alcohol treatment population that started a residential rehabilitation placement averaged over the 3 years 2018 to 2021, benchmarked against a national ambition of 2%, and the number of placements needed to achieve 2%.

If you do not already meet or exceed this ambition there is an expectation that you develop plans to do so, and discuss with your regional OHID team if appropriate.

**Outline 3-year plan**

Link back to notes and guidance

| Main area of development | Cohort | Outline plan for 2022-23 | Outline plan for 2023-24 | Outline plan for 2024-25 |
|---|---|---|---|---|
| Increased treatment and harm reduction capacity, including inpatient detoxification and residential rehabilitation | Young people (under 18) | 1) we will be identifying new venues and opportunities to identify young people who require a service offer and using this information to build capacity in the new service offer that commences in April 2023. 2.) the basis of this will be a low threshold offer and one of supporting and training other children's professionals to work with young people where that relationship already exists. | Specialist workers based in family hubs will be leading a new drive on ensuring parental substance misuse and family based interventions to address inter generational patterns of alcohol and drug use. This will include looking at all options for detox and rehab that affect family units. Capacity in the service model will be expanded to reflect an increased caseload but this may also occur elsewhere in the system, resource will be matched with where the system pressures are for YP, e.g. resource on the YOS and on the YP CJ pathway. A coproduction approach will be implemented alongside the prevention and early intervention strategy to inform planning for year 24/25. | Work in the family hubs and across young peoples venues will be generating information about local need to enable the needs assessment to be refreshed to inform the service model. The workforce expansion will need to reflect this identified need, and a review of caseloads, outcomes and throughput will inform resource allocation. |
| | Adults | We will focus on: 1) Outreach and engagement, we aim to better understand client needs to inform the direction of future upscaling of capacity to align with unmet needs identified; 2) Enhancing harm reduction including naloxone and needle and syringe provision;3) Enhancing treatment capacity with more treatment places and considering extending operating hours as well as looking at how the shared care model can improve access by mapping across the PCN footprints, enabling smaller practices to re-join the scheme post pandemic. 4) Increase assessments for residential rehab in order to meet the targets by commissioning a bespoke caseload audit tool to be applied across existing services but also mental health and adult social care caseloads; 5) Work with our consortia to increase access to detox beds, linking to a local co-ordinator in our provider services. 6) commencing the pathway redesign to eliminate any delays in the client journey through financial assessment and placement. | We will focus on: 1) delivering the 20% increase to meet a wider range of local need. This may result in the identification of more under served groups and the needs of women and both adults and yp with LD will be in focus. 2) implementing the revised pathway for access into detox and rehab , using the specialism of the commissioned service to assess clients from elsewhere in the system to improve outcomes for some of the most complex clients which also links to the programme of work to prevent deaths. 3) capacity and harm reduction capacity to further increase as required but with a focus on a no wrong door approach that enables more services to deliver harm reduction and higher quality referrals into the new service model. | The service model will have established an operational delivery model from front door to recovery and exit, which will require ongoing and close monitoring from the commissioning team and additional resource will be allocated to allow this prior to any more grant allocation. This will review the role of shared care and pharmacy to ensure the right clients are in the right service sector. The caseload audit for rehab will be repeated. |
| Enhanced treatment quality | Young people (under 18) | The current service is commissioned until March 2023 and has capacity for treatment and harm reduction but is not accessing a wide enough population with the existing offer. Professionals require systematic training to identify young people at risk of harm due to their own and parental alcohol and drug misuse and this needs to be firmly linked with other children's pathways. The improvements in psychological services needs to also be focussed on the 18-25 population pathway to avert entrenched patterns of behaviour and add resource into the transitions pathway. | We will explore the existing digital offer for young people to enhance access and engagement. The strategy will outline a plan with schools and other education venues to enhance the current prevention and harm reduction offer to ensure access to advice and support is available and information is of high quality as a result of the training of other professionals, and ensuring they have rapid access to local support. | Caseloads and delivery of harm reduction work across the Borough will be reviewed and the work in sexual health services reviewed and evaluated . |
| | Adults | We will focus on:1) Increasing psychological support and trauma informed offer for those already in the system ; 2) Driving improvements arising form the CQC report action plan that focus on service user ownership of their recovery and the plans to achieve this 3) addressing the lack of visible recovery for those in shared care and not part of a recovery community. | 1. The new service model will mobilise and bring new opportunities to refresh pathways across criminal justice, employment and housing. 2. There will be continued monitoring of worker caseload in the service to ensure that care plans can be delivered in full, with additional resource targeted at need and multi agency working. 3. The new commissioning capacity will be utilised in service and caseload monitoring to deliver the quality targets in the new contract. | Alongside increased new service users accessing treatment will be increased successful exits balancing the caseload and allowing focused time on recovery. 1. The adults social worker model will be supporting access into a wider range of mental and physical health services for clients with more complex needs 2. we will review the need for liver scanning learning from models elsewhere and with the clinical network. |

You are expected to complete a brief outline 3-year plan, taking account of the menu of interventions, which will form the basis of your detailed plan for 2022-23 (it may be helpful to complete that first).

Your plans will need to show how drug and alcohol treatment services and other services and interventions are aligned and integrated to respond to multiple and complex needs.

It will be possible to modify this outline plan in the future but it is important that your first-year plans form part of a longer-term vision.

| | | | | |
|---|---|---|---|---|
| Expanding and developing the workforce | Young people (under 18) | At present there is no plan to increase the YP workforce in year one as the current service does have capacity and for a small increase in numbers and the drive is to identify additional venues for deployment of outreach where yp already access. | Increase the workforce to deliver the planned activity and the additional numbers. This can be brought forward depending on the presenting need. | Increase the workforce to deliver the planned activity and the additional numbers. This can be brought forward depending on the presenting need. |
| | Adults | We will focus on: 1) working with our provider to address challenges in recruitment using apprentice level entry schemes; 2) Working with partners to recruit staff in other teams and organisations which may include access to psychological services, ACT, sexual health, family hubs; 3) Continue and expand on bespoke training currently being delivered (to include primary care workforce in screening and alcohol brief interventions) | 1)We will be bringing in a recognised recovery model to support the newly awarded service and offer a choice to service users for ongoing support for those who exit the system. This model will work with local voluntary sector and colleges to embed lived experience into the local choices. see also recovery. 2) the service workforce will be expanded with both clinical and recovery focussed staffing to cover the increased numbers presenting and to deliver assertive outreach for those who DNA or disengage. | 1) continued monitoring of numbers and need will inform additional investment in capacity and workforce. 2) the wider workforce will continue to be upskilled with the continuation of a structured training programme which includes GPs . |
| Reducing drug related deaths and improving access to mental and physical health care | Young people (under 18) | 1) we intend to complete the started systematic review of our local alcohol and drug-related deaths, which will include cold case coroner reviews, an audit of Provider deaths in service; 2) develop and embed a new process structure, including linking into CDOP, for DRD reviews, supported by a South Yorkshire wide reporting system | We will review service offer in the tenders and look to bolster this with access to additional psychological services for young people | Implementation of learning from DRD reviews and additional support for the mental health pathways (for example additional provision or training for children's and young peoples workforce) |
| | Adults | 1) we intend to complete the started systematic review of our local alcohol and drug-related deaths, which will include cold case coroner reviews, an audit of Provider deaths in service; 2) develop and embed a new process structure for DRD reviews, supported by a South Yorkshire wide reporting system; 3) increase naloxone provision and training for its use across partner organisations such as the police and housing; 4) recruit 2 senior practitioner social workers based in the adults safeguarding hub to develop and implement pathways and navigate care packages for those with complex needs including dual diagnosis. | We will focus on: 1) Actions from learning from DRD reviews and audits; 2) Expending the process to deaths beyond those involved with our drugs and alcohol service; 3) increasing the numbers in shared care which we can see locally has good outcomes for longer term physical health management . 4) increase capacity of the ACT to ensure those presenting into the acute sector are rapidly accessed into services that can manage physical health needs | 1) building on the capacity of the social worker posts to include pathways for dual diagnosis with complex physical health needs |
| Recovery orientated system of care, including peer-based recovery support services | Adults | We will focus on: 1) Developing an asset based "Recovery academy" model with key VCS partners; 2) Supporting our provider to implement actions arising from the CQC report pertaining to recovery and their existing plans of enhancing peer-based recovery support through peer mentoring and recovery champions. ; 3) Develop a recovery housing offer; 4) improve pathways to recovery within the shared care scheme | Focus will be: 1) implementation of the "recovery academy" model that builds partnership engagement to improve successful exits from services 2) Mobilisation of the new service model that has a strong recovery focus | It is essential that at this point of the delivery plan those who can leave the system have done so successfully and those who enter are receiving an offer that engages them in a visible recovery community from the outset. The recovery model will need to continue to adapt to the new challenges facing this vulnerable community and harness the experience of those who have left the system to support that where possible. |

**Detailed plan for 2022-23**

| | |
|---|---|
| **Your allocation** | £688,722 |
| **Proposed total 2022-23 SSMTR grant spend** | £688,722 |

Link back to notes and guidance
Link to Menu of interventions

| Area | Intervention | Your proposal | Detail of staff and consumables | Q1 | Q2 | Q3 | Q4 | SSMTR grant spend in 2022-23 | % of additional spend in 2022-23 |
|---|---|---|---|---|---|---|---|---|---|
| **1. System coordination and commissioning** | Increased drug and alcohol treatment commissioning capacity, covering adult and/or young peoples' services. Increased commissioning capacity to support regional or sub-regional commissioning, including for residential rehabilitation and inpatient detoxification. | Operational Commissioner role and Commissioning officer role Support with the commissioning of any additional provision from the grant and enhance management of existing services and tender process for new service in commencing 2023 as well as any future needs arising | 1 FTE Operational Commissioner (@ £51680 pro rata)<br><br>0.5 FTE Commissioning Officer (@ £23088 pro rata) | £- | £ 18,692 | £ 18,692 | £ 18,692 | £ 56,076 | 8% |
| | Local partnership coordination and planning capacity to support partnership wide comprehensive assessment of need, strategic planning, and the implementation of partnership plans.<br>Capacity to support collaboration, information sharing and joint working arrangements between drug and alcohol treatment and other key local agencies, to better understand and meet the needs of vulnerable/priority groups. | A public health specialist to lead on the co-ordination and programme management of work around the drugs and alcohol agenda. Including but not limited to supporting the drug related death, grant, and developing the council strategy of action plan regarding drugs and alcohol. As well as any other work to review data and services as needed e.g. conduct an evidence review to identify effective interventions for children and young people in Rotherham | 1 FTE Public Health Specialist (@ £53924) | £- | £13,481 | £13,481 | £13,481 | £ 40,443 | 6% |
| | Capacity to support enhanced local system-wide drug and alcohol related death and non-fatal overdose investigations. | Conducting a drug related death review, coroners audit and to put in place a system to review drug related deaths. Included within this is the implementation of a South Yorkshire Wide system and Police role to support. | 0.5 FTE Commissioning Officer (@ £23088 pro rata) | £- | £5,772 | £5,772 | £5,772 | £ 17,316 | 3% |
| **2. Enhanced harm reduction provision** | Enhanced naloxone provision, including through peer networks and the police. | Continuing naloxone offer and providing to new groups | 300 Naloxone kits | £- | £1,500 | £2,253 | £1,867 | £ 5,620 | 1% |
| | Enhanced needle and syringe programmes (including more use of low dead space syringes), covering specialist as well as pharmacy-based provision. | Harm reduction role in provider service for on increasing delivery of clean injecting equipment, increase blood borne virus testing and provide outreach. Safe storage boxes for prescribed drugs/injecting equipment will be offered | 0.5 FTE Harm Reduction Worker (@ £17681 pro rata)<br><br>250 Safe storage boxes | £- | £6,643 | £6,643 | £6,643 | £ 19,929 | 3% |
| | Enhanced outreach and engagement, (including outreach for people with disabilities and new parents) including targeted street outreach | Extra capacity to find clients in a number of settings as identified which could include (young people, marginalised communities, homeless, etc). | 0.5 FTE Harm Reduction Worker (@ £17681 pro rata) | £- | £4,420 | £4,420 | £4,420 | £ 13,260 | 2% |
| **3. Increased treatment capacity** | Existing treatment capacity funded via public health grant is meeting sufficient need<br><br>Any additional capacity needs for specific cohorts or priority groups to be reviewed | We will continue with the contract variation and explore the possibility to add additional opening hours (weekends and evening) to align with alcohol and drugs teams within the local hospital and to allow for extra hours to access prescribing services (following consultation).<br><br>We will identify additional beneficiaries and needs arising through targeted screening for identification of harmful and hazardous drinking in primary care as well as more generally raising the profile of the service with increased engagement and outreach as specified above (including additional work around safeguarding, sexual health and family hubs workers) may increase referrals. We aim to better understand client needs to inform the direction of future upscaling of capacity to align with unmet needs identified | 0.5 FTE Team leader (@ £43484 )<br><br>0.5 FTE Non Medical Prescribing (@ £ 53042 pro rata)<br><br>0.2 FTE Data analyst (@ £28657 pro rata)<br><br>0.5 FTE Pharmacy capacity (@ £63102 pro rata)<br><br>NB these costs include increased prescribing requirements | | £35,655 | £35,655 | £35,655 | £ 106,965 | 16% |
| | Targeted treatment for priority or vulnerable groups, including underserved ethnic groups, women/girls, LGBTQ communities, and people engaged in chemsex. | Drug and alcohol workers to run clinics within the sexual health service | 1 FTE Drug and alcohol worker Band 7 (@ £44732) | | | | £11,184 | £ 11,184 | 2% |
| | Targeted services/provision for parents in need of treatment and support for children of drug and alcohol dependent parents and families. | Early help hub workers (linking in with fetal alcohol screening and prenatal drinking). The staff will focus on the needs of whole families where a parent(s) is dependent on substances. The staff will support families in; making better choices, improving access to substance misuse treatment, as well as protect/safeguard children and minimise the number and degree of adverse childhood experiences that children experience as a result of the chaotic lives of their parents. | 3 FTE Early Help Hub workers Band I ( @ £43780 pro rata) n.b hiring in preparation for year 2 only part quarter | | | | £11,183 | £ 11,183 | 2% |
| **4. Increased integration and improved care pathways between the criminal justice settings, and drug treatment** | Enhanced treatment service capacity to undertake police and court custody assessments to improve pathways into treatment. | Courts and custody is current Sheffield based. We will review the current pathway which includes 3.5 criminal justice workers employed from the Universal Drug Treatment Funding | 2 FTE Criminal Justice worker (@ £31512 pro rata) | | £17,696 | £17,696 | £17,695 | £ 53,087 | 8% |
| | Improved collaboration and joint working arrangements with police, Liaison and Diversion schemes, courts, probation, and secure settings to:<br>• increase the number of community service treatment requirements particularly DRRs/ATRs and support improved compliance with court mandated orders<br>• increase the engagement and retention in community treatment of individuals referred from prison. | This work will continue with targets on completions of Court disposals, adding the Alcohol Treatment requirement into the service model and setting clear targets for supporting clients leaving prison to have more support<br><br>We will seek to expand referrals extending beyond DRR and ATRs | 1.5 FTE Criminal justice worker (@ £31512 pro rata) | | £11,209 | £11,209 | £11,209 | £ 33,627 | 5% |
| | | In reach prison worker/dedicated co-located role to build relationships with South Yorkshire Prisons cluster. With which we aim to improve our performance of continuity of care from prison to local service, including any identified targeted work e.g. with the women's estate | 1 FTE criminal justice worker with responsibility for prison liaison (@ £31512 pro rata) | | | | £6,878 | £ 6,878 | 1% |
| **5. Enhancing treatment quality** | Psychosocial intervention quality improvements, including reducing caseload sizes, implementation of evidence-based programmes, increased/enhanced clinical supervision and training and development. | Increase psychological support and trauma informed offer via mental health posts | 1 Consultant Psychologist (@ £ 89987 Pro rata) | | | £ 18,369 | £22,496 | £ 40,865 | 6% |
| | Key working/case management quality improvement, including reducing caseload sizes, implementing caseload segmentation approaches, increased clinical supervision and training and development. | As a result of CQC report there is an additional quality and performance manager for the remaining year of our providers core contract. This role will carry the subsequent action plan improvements | | £ - | £ - | £ - | £ - | £ - | 0% |
| **6. Residential rehabilitation and inpatient detoxification** | Increased residential rehabilitation placements, to ensure the option is available to everyone who would benefit.<br><br>Increased number of inpatient detoxification placements to meet increasing demand following community treatment expansion, and in addition to the provision commissioned through the dedicated in-patient detoxification grant and multi-area commissioning consortia. | A member of staff is appointed to co-ordinate rehab and detox as part of the Public Health Grant. The national target set for residential rehabilitation at 2% over the 3 years equates to 76 Rotherham residents being funded for a placement. This will mean a higher number being assessed for suitability and consideration is being given to a caseload audit tool that can be used in the CGL service as well as other pathways (e.g. through the criminal justice pathway). | 0.5 FTE Harm Reduction Worker (@ £17681 pro rata) | | £4,420 | £4,420 | £4,420 | £ 13,260 | 2% |
| | | Cost of Rehab. Including the design and implementation of a caseload audit tool for other stakeholders to identify clients due to the need for a higher number being assessed for suitability which may also include inpatient detox (DMBC will hold the funds for the Consortium and Rotherham will be allocated at least 15 inpatient episodes per year). | 14 Rehabilitation placements | | £49,191 | £49,192 | £49,192 | £ 147,575 | 21% |
| | Friends and Family Support | Develop a package of support (possibly alongside existing structures) for friends and family | Sessional staffing and room hire | | | | £7,548 | £ 7,548 | 1% |

You should outline your proposals and projected spend against the menu of interventions (MOI). You can select interventions from the MOI according to local need, but it is vital that your proposals help to achieve the drug strategy outcomes outlined above and realise your locally agreed targets.

Your plans do not need to include everything in the menu if you already have adequate local provision, but they do need to support the increased treatment capacity and workforce targets over the three years of the grant.

The three-year funding announced in the drug strategy is to enable all areas to begin implementing the recommendations outlined in Dame Carol Black's review, and these are reflected in the MOI.

We are phasing in the additional funding that will be required for full national implementation of Dame Carol Black's relevant recommendations. The first 50 areas will see their funding grow significantly over the course of the following two years. These areas are asked to commence planning now to deliver against the full menu of interventions and drug strategy ambitions.

Areas that are not in this first 50 can also select from all the interventions on the menu as long as they can meet the aims of the 2021-22 grant to reduce drug-related deaths and improve criminal justice pathways into drug treatment. Interventions which are shaded in the MOI table were also in the menu of interventions for the additional funding in 2021-22. Therefore, areas not seeing significant funding increases in 2022-23 and 2023-24 should ensure these inventions are adequately resourced, either from the grant or other funding sources such as the Public Health Grant, before considering other interventions from the MOI.

Every local council will receive increases in funding in 2023-24 and/or 2024-25 and will be expected to plan to implement the full recommendations from Dame Carol Black's review and from the full menu of interventions at slower rate and with a later commencement. However, it is important that the short-term plans in these areas create a foundation for the longer-term ambitions, and whatever can be done in the short term to achieve the longer-term goal is considered.

Interventions outside the menu can be considered only if they:
- can be shown to deliver the outcomes expected in the drug strategy and target the priority cohorts identified in the treatment section of the drug strategy
- can be mobilised and delivered within 2022-23 to 2024-25
- have evidence of effectiveness and cost effectiveness
- comply with legislation and are in line with clinical guidelines
- are not interventions that are being developed and funded as part of separate pilots and programmes of work
- are only modest pump-priming for costs that could be significant and will need to be met from non-treatment budgets in the future

| | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| **7. Better and more integrated responses to physical and mental health issues** | Enhanced partnership approaches with physical and mental health services, including the co-location of services and interventions. | 2 Senior Practitioners, based in interdisciplinary safeguarding teams to develop and implement pathways and navigate care packages for those with complex needs (dual diagnosis of mental health and substance misuse possibly extending to physical health) | 2 FTE Mental Health Worker Band K ( @ £54259) N.B this is for recruitment for Year 2 | | | | £1,800 | £ | 1,800 | 0% |
| **8. Enhanced recovery support** | Development and expansion of a recovery community and peer support network, including in treatment, to sustain long-term recovery, increase the visibility of recovery and support social integration | The recent CQC report has specific actions outlined for improving this area of delivery which will form the action plan. Thus there is a number of elements to our proposal including; enhancing peer-based recovery support through peer mentoring and recovery champions through the new recovery support worker role from the Public Health Grant. | 0.5 FTE Harm Reduction Worker (@ £17681 pro rata) | | £4,420 | £4,420 | £4,420 | £ | 13,260 | 2% |
| | | Improve the integration of recovery through the shared care scheme | Room hire, travel costs (bus passes) | | £2,982 | £2,982 | £2,983 | £ | 8,947 | 1% |
| | | Co-designing recovery support in the community a various settings as part of a "recovery academy" model with the voluntary and community sector | Procurement of services | | £20,000 | £20,000 | £20,000 | £ | 60,000 | 9% |
| **9. Other interventions which meet the aims and targets set in the drug strategy** | | | | | | | | £ | - | 0% |
| | | | | | | | | £ | - | 0% |
| **10. Expanding the competency and size of the workforce** | Recruitment, retention and training initiatives | Address challenges in recruitment using apprentice level entry schemes | No financial allocation, dependent upon underspend in other areas of recruitment | | | | | £ | - | 0% |
| | Upskilling non-specialist workforce | Continue and expand on bespoke training currently being delivered (to include primary care workforce in screening and alcohol brief interventions) | 250 places on training courses | | £6,630 | £6,630 | £6,639 | £ | 19,899 | 3% |

**Menu of interventions**

Link to Detailed plan 2022-23

| Interventions which are shaded in the table were also in the menu of interventions for the additional funding in 2021-22. | |
|---|---|
| **Area** | **Intervention** |
| **1. System coordination and commissioning** | Increased drug and alcohol treatment commissioning capacity, covering adult and/or young peoples' services. |
| | Local partnership coordination and planning capacity to support partnership wide comprehensive assessment of need, strategic planning, and the implementation of partnership plans. |
| | Capacity to support enhanced local system-wide drug and alcohol related death and non-fatal overdose investigations. |
| | Capacity to support collaboration, information sharing and joint working arrangements between drug and alcohol treatment and other key local agencies, to better understand and meet the needs of vulnerable/priority groups. |
| | Increased commissioning capacity to support regional or sub-regional commissioning, including for residential rehabilitation and inpatient detoxification. |
| **2. Enhanced harm reduction provision** | Enhanced needle and syringe programmes (including more use of low dead space syringes), covering specialist as well as pharmacy-based provision. |
| | Enhanced naloxone provision, including through peer networks and the police. |
| | Enhanced outreach and engagement, (including outreach for people with disabilities and new parents) including targeted street outreach for:<br>• people experiencing rough sleeping and homelessness (aligned with and complementing rough sleeping grant initiatives where relevant)<br>• targeted vulnerable/priority groups including sex workers<br>• crack, heroin users and alcohol users who are not in contact with treatment<br>• young people not accessing services. |
| **3. Increased treatment capacity** | Additional treatment places for opiate and crack users. |
| | Additional treatment places for people dependent on alcohol. |
| | Additional young people's treatment places. |
| | Additional treatment places for non-opiate drug users. |
| | Targeted services/provision for parents in need of treatment and support for children of drug and alcohol dependent parents and families. |
| | Targeted treatment for priority or vulnerable groups, including underserved ethnic groups, women/girls, LGBTQ communities, and people engaged in chemsex. |
| | Treatment capacity to respond to increased diversionary activity, including through out of court disposals, liaison and diversion and drug testing on arrest and workforce capacity for psycho-educational diversionary interventions for low level drug offences for adults and young people. |
| | Increased/piloted provision of novel long-acting opioid substitution treatments. |
| **4. Increased integration and improved care pathways between the criminal justice settings, and drug treatment** | Enhanced treatment service capacity to undertake police and court custody assessments to improve pathways into treatment. |
| | Improved collaboration and joint working arrangements with police, Liaison and Diversion schemes, courts, probation, and secure settings to:<br>• increase the number of community service treatment requirements particularly DRRs/ATRs and support improved compliance with court mandated orders<br>• increase the engagement and retention in community treatment of individuals referred from prison. |
| **5. Enhancing treatment quality** | Key working/case management quality improvement, including reducing caseload sizes, implementing caseload segmentation approaches, increased clinical supervision and training and development. |
| | Psychosocial intervention quality improvements, including reducing caseload sizes, implementation of evidence-based programmes, increased/enhanced clinical supervision and training and development. |
| | Pharmacological intervention quality improvement, including increasing the range of interventions and enhancement of clinical capacity, capability, and expertise. |

| | |
|---|---|
| **6. Residential rehabilitation and inpatient detoxification** | Increased residential rehabilitation placements, to ensure the option is available to everyone who would benefit.<br>(Locally agreed targets should be set against the national benchmark/ambition, as in the planning table)<br>Consideration should be given how to support service expansion and improvement through available capital funds, and through regional or sub-regional commissioning partnerships with other local councils. |
| | Increased number of inpatient detoxification placements to meet increasing demand following community treatment expansion, and in addition to the provision commissioned through the dedicated in-patient detoxification grant and multi-area commissioning consortia. |
| **7. Better and more integrated responses to physical and mental health issues** | Expanded capacity and enhanced capability to deliver comprehensive physical and mental health screening and assessment. |
| | Increased capacity for screening for liver fibrosis and establishing pathways with hepatology. |
| | Pathway development, including outreach/in-reach, to respond to co-morbidities or complex needs, including co-occurring mental ill health, respiratory health conditions, liver diseases. |
| | Introduce or extend the enhancement of hospital Alcohol Care Teams to also cover drug misuse. |
| | Enhanced partnership approaches with physical and mental health services, including the co-location of services and interventions. |
| | Enhanced psychosocial interventions so they effectively assess, manage, and make supported referrals for common mental health problems, including anxiety, depression, and trauma. |
| **8. Enhanced recovery support** | Development and expansion of a recovery community and peer support network, including in treatment, to sustain long-term recovery, increase the visibility of recovery and support social integration. This could include:<br>• peer-based recovery support services<br>• recovery community centres<br>• recovery support services in educational settings<br>• facilitating access to mutual aid<br>• recovery housing<br>• long-term recovery management such as recovery check-ups |
| | Enhanced partnership with collaboration with employment and housing service to improve pathways and integrated system of care. |
| **9. Other interventions which meet the aims and targets set in the drug strategy** | Interventions outside the menu of interventions can be considered if they meet the conditions listed in the notes and guidance page.<br>Please email DrugTreatmentGrants@dhsc.gov.uk as soon as possible if you plan to propose interventions not on the menu. |
| **10. Expanding the competency and size of the workforce** | Recruitment, retention and training initiatives, including:<br><br>• Incentives for staff and employers<br>• Improved recruitment and retention, including international recruitment<br>• Competitive pay and benefits packages<br>• Training, education, and continuous professional development including training and support for line managers<br>• Health and wellbeing support including initiatives to reduce work-related stress. |
| | Capacity in services to support training places for registered professionals, including psychiatrists, psychologists, nurses, and social workers. |
| | Training and development programmes for peer workers and volunteers. |
| | Increased number of drug and alcohol workers. |
| | Increased number of criminal justice drug and alcohol workers. |
| | Increased number of addiction psychiatrists. |
| | Increased number of doctors. |
| | Increased number of:<br>· consultant psychologists<br>· practitioner psychologists<br>· assistant psychologists. |
| | Increased number of nurses. |
| | Increased number of pharmacists. |
| | Increased number of social workers. |
| | Increased number of service managers |
| | Increased number of commissioners, coordinators and analysts |

Rotherham Metropolitan Borough Council

# Needs Assessment

1 Executive summary ....4
1.1 Key recommendations from the HNA ....4
1.2 Introduction to the Health Needs Assessment ....5
1.3 About Rotherham ....6
2 Drugs – Introduction ....6
2.1 Impact of COVID-19 on drug treatment ....6
3 Drug-related deaths ....7
4 Hospital admissions due to drug poisoning ....7
5 OCU prevalence estimates and rates of unmet need ....8
6 Data from Rotherham's treatment system ....10
7 Key factors influencing your treatment outcomes in 2020-21 compared to 2019-20 ....10
8 Overall activity in 2020-21 compared to 2019-20 ....11
9 Client profile ....11
9.1 Adults in drug treatment in 2020-21 ....12
9.2 Most commonly cited substances by adults in drug treatment ....14
9.3 Most commonly cited substance(s) of all adults in treatment for problems with all drugs for Rotherham and England, 2020-21. ....14
9.4 Most commonly cited substances by adults starting drug treatment ....14
9.5 Protected characteristics of adults presenting to treatment in 2020-21 ....15
9.6 Waiting times ....18
9.7 Routes into treatment ....18
9.8 Treatment engagement ....19
9.9 Treatment population with prior convictions ....20
9.10 Criminal justice pathway ....20
9.11 Crimes saved ....21
9.12 Adults leaving prison and engaging in community treatment (PHOF C20) ....21
9.13 Adults who are parents/carers and their children ....22
9.14 Tobacco use ....23
9.15 Interventions ....25
9.16 Residential Rehabilitation ....27
9.17 Blood-borne virus and overdose death prevention ....27
9.18 Co-occurring mental health and substance misuse conditions ....29
9.19 Prescription only medicine/over-the-counter medicine (POM/OTC) ....31
9.20 NPS and club drugs ....31
9.21 Employment ....33
9.22 Housing and Homelessness ....33

9.23 Length of time in treatment ..... 34
9.24 In treatment outcomes ..... 35
9.25 Successful completions ..... 37
9.26 Deaths in treatment ..... 38
10 Additional drugs data ..... 39
11 Wider public health data ..... 40
12 Alcohol - Introduction ..... 41
12.1 Data on alcohol-related harm in Rotherham ..... 41
12.2 The impact of COVID-19 on alcohol-related harm ..... 41
12.3 Impact of COVID-19 on drug and alcohol treatment ..... 42
12.4 Hospital admissions due to alcohol ..... 42
13 Alcohol-related conditions ..... 45
14 Frequent hospital admissions ..... 50
15 Mortality and years of life lost ..... 51
16 Alcohol specific morbidity and mortality in 2020 ..... 54
17 Patterns of alcohol consumption ..... 56
18 Prevalence estimates and rates of unmet need for alcohol treatment ..... 57
19 Data from Rotherham's alcohol treatment system ..... 57
19.1 Client profile ..... 58
19.2 Waiting times ..... 62
19.3 Treatment engagement ..... 62
19.4 Routes into treatment ..... 63
19.5 Treatment population with prior convictions ..... 64
19.6 Crimes saved ..... 65
19.7 Adults leaving prison and engaging in community treatment (PHOF C20) ..... 65
19.8 Adults who are parents/carers and their children ..... 66
19.9 Tobacco use ..... 67
19.10 Drinking levels ..... 68
19.11 Alcohol dependent adults and drug use ..... 70
19.12 Interventions ..... 71
19.13 Residential rehabilitation ..... 73
19.14 Co-occurring mental health and alcohol conditions ..... 73
19.15 Employment ..... 74
19.16 Housing and homelessness ..... 76
19.17 Length of time in treatment ..... 76
19.18 In treatment outcomes ..... 77
19.19 Successful completions ..... 78

19.20 Deaths in treatment....80
19.21 Wider Public Health Data....81
20 Young People substance misuse – Introduction....82
20.1 Value for money....83
20.2 Impact of COVID-19....84
21 Wider data about young people in Rotherham....84
21.1 Hospital admissions....84
21.2 Youth justice....85
21.3 Children looked after....86
21.4 Permanent exclusions and suspensions from school....86
22 Data from Rotherham's treatment system....87
22.1 Young people in treatment in 2020-21....88
22.2 Young people starting treatment in 2020-21....88
22.3 Routes into treatment....89
22.4 Ethnicity of young people in treatment....90
22.5 Substance misuse....91
22.6 Young people who are parents/carers and their children....94
22.7 Tobacco use....96
22.8 Drinking levels....98
22.9 Co-occurring mental health and substance misuse issues....99
22.10 Education and employment....100
22.11 Housing and homelessness....100
22.12 Length of time in treatment....101
22.13 Interventions delivered....102
22.14 Vulnerabilities of young people in specialist substance misuse services....103
22.15 Successful completions....106

# 1 Executive summary

(i) Misuse of drugs and/or alcohol can have significant health implications, impacting on both the individual and the wider community. This health needs assessment covers two key areas: substance misuse and alcohol misuse. For most indicators, Rotherham is currently performing worse than the national average and/or their CIPFA *"nearest neighbours"* model which compares neighbouring local authorities. It should, however, be noted that some data is several years out of date and therefore may not accurately represent a 'true picture' of what is happening in Rotherham at present. The more recent impact of the COVID-19 pandemic is likely to be significant and this has been considered throughout the document.

(ii) Key points:

- 31.1% of adults in Rotherham drink over 14 units of alcohol per week (2015-18 data)
- It is estimated there are 1,946 opiate and/or crack cocaine users in Rotherham (2016/17)
- There is a high unmet need for services, particularly alcohol misuse (estimates for 2018/19 at 82% based on 2014 data)
- Successful completion of non-opiate drug treatment was 22% in 2020/21, compared to a national average of 33%. Successful completion of opiate drug treatment was 2% in 2020/21 compared to a national average of 5%.
- The majority of service users also have a mental health need (76% for drug dependence, and 71% for alcohol in 2020/21)
- 85% of Rotherham drug service users and 42% for alcohol report smoking, but only 1% engage in smoking cessation services for both (2020/21)
- The majority of service users were not in employment at the time of presentation (81% of those with drug dependence and 66% of those for alcohol were not in employment in 2020/21)
- Many children or young people in treatment have experience of one or more adverse childhood experiences

## 1.1 Key recommendations from the HNA

1. Alcohol is an issue in Rotherham both for uptake, treatment and education/prevention. There needs to be a review of the alcohol pathway for all ages and with prevention at the core.

2. Non Opiate drug treatment within Rotherham had less than half the successful completions of treatment in 2019 compared to the England average, ranking the lowest of all CIPFA nearest neighbours. Until 2016, Rotherham was performing better or similar to the England average but since then there has been a consistent decline in successful completions of treatment. This will need to be one of the priorities going forward.

3. Smoking within the current service users is particularly high but smoking cessation is not taken up which may be for valid reasons depending on the priority of the individual in treatment and coping with their care plan. However, this will need to be explored further to understand the cohort needs for smoking cessation.

4. The majority of service users also have mental health needs. This will need to be addressed regarding dual diagnosis and what this pathway looks like now and how it can be improved in the future. Consideration also be given to commissioning substance misuse services to treat some mental health co-morbidities without referring people on to specialist mental health

services. Need to be clear of the pathways into related services (e.g. child and adult mental health services, domestic abuse services).

5. The majority of service users were not in employment so a better relationship with the DWP and Jobcentre Plus would be supported by equipping staff to reach out into the community and work more intensively with those with complex needs, including working in drug and alcohol treatment services with people with addictions.

6. For those young people who experience adverse childhood experiences to look to invest in age-appropriate evidence-based services and support all young people to build resilience and to avoid substance misuse. To identify and provide additional support to, those young people most at risk of being drawn into using illicit substances or involvement in supply.

7. National evidence suggests a need for more harm reduction advice particularly targeting those in the 55-64 year old age group, and those from more affluent backgrounds, who may not identify as having a 'problem' with alcohol, or be aware of the cumulative harm of regular consumption over the recommended limits.

8. Nationally there is a need for further data collection/analysis with regards to alcohol consumption in pregnancy to gain a better understanding of its prevalence and what can be done to reduce risks to the unborn child and for further work to understand the local evidence of alcohol and drug use within this cohort of women and families.

9. Promote the use of AUDIT-C questionnaire across a wider range of primary care/community services locations, including those reaching older adults and to support professionals with education/information and training on brief interventions for alcohol and substance misuse interventions.

10. Continue to address the wider determinants of health and inequalities which contribute to the higher rates of mortality seen in deprived areas, for example, collaborative working with R&E on licensing and alcohol related road traffic accidents within the borough.

11. A co-ordinated borough wide approach to alcohol prevention and intervention is needed for the health and wellbeing of the population.

## 1.2 Introduction to the Health Needs Assessment

(i) A health needs assessment is a systematic method of identifying the unmet health and health care needs of a population and making changes to meet those needs. The purpose of this Health Needs Assessment (HNA) is to outline the current service provision and any gaps within this current provision to inform the upcoming recommissioning of the Drugs and Alcohol services for Rotherham. It will therefore help RMBC with the needs analysis to better provide a service fit for purpose and reflecting the needs of the local population. It will also inform the market with the needs that Rotherham have and therefore the tender application.

### 1.2.1 Methodology

(ii) The HNA uses existing data sources nationally firstly, data on the impact on health of alcohol from PHE Fingertips data on the Local Alcohol Profiles for England (LAPE) and secondly, the Need and Treatment data from the National Drug Treatment Monitoring System (NDTMS).

## 1.3 About Rotherham

(i) Rotherham is located in Yorkshire and Humber in the north of England. The total population of Rotherham is 262,214 (2017) of which 56,593 are under the age of 18 years (22% of the population). The age profile is similar to that of England. Deprivation in Rotherham is amongst the highest 20% in England. Rotherham is a relatively deprived local authority, ranking 44th of 317 local authorities according to the 2019 Index of Multiple Deprivation score (a slight relative increase from 52nd in 2017). Deprivation is linked to a wide variety of poor health outcomes. As such, Rotherham often fares significantly worse than the national average when considering markers of 'good health' throughout this document. Comparisons have also been made with statistical 'nearest neighbours' to compare how well Rotherham is doing relatively to similar local authorities.

(ii) The link below provides information regarding the population age range of Rotherham (Local Authority Health Profiles - Data – PHE)

https://fingertips.phe.org.uk/profile/health-profiles/data#page/12/gid/1938132696/pat/6/par/E12000003/ati/201/are/E08000018/iid/90366/age/1/sex/1/cid/4/tbm/1

# 2 Drugs – Introduction

(i) This section provides key indicators and recovery outcomes information about Rotherham's treatment system with national data for comparison. It presents data from the National Drug Treatment Monitoring System (NDTMS), drug related death data and hospital admission data. Although drug treatment services treat dependence for all drugs, heroin users remain the group with the most complex problems and the majority of those in treatment use heroin, so separate data is provided for them.

(ii) Using NDTMS data for the period **1 April 2020** to **31 March 2021** and latest available data from other data sources

## 2.1 Impact of COVID-19 on drug treatment

(i) Like other services, drug treatment services were affected by the need to protect their staff and service users in the pandemic, especially in the early stages. Most services had to restrict face-to-face contacts which affected the types of interventions that service users received. For example, most patients whose opioid substitution prescriptions prior to the pandemic included a requirement for their consumption of this medication to be supervised were transferred to take home doses from March 2020. Fewer service users were able to access inpatient detoxification for drugs. Beyond drug treatment itself, testing and treatment for blood-borne viruses were also greatly reduced. These and other changes to service provision will have had impacted on many of the indicators included in this report.

(ii) It is likely that changes to drug treatment, reduced access to broader healthcare services, changes to lifestyle and social circumstances during lockdowns, as well as COVID-19 itself, will have contributed to an increase in the number of service users who died while in treatment during 2020/21.

## 3 Drug-related deaths

(i) Understanding and preventing drug-related deaths (DRDs) is an important function of a recovery-orientated drug treatment system. This is even more pressing in the light of continued very high numbers of such deaths. Concern about this led drug misuse deaths to be included in the Public Health Outcomes Framework (PHOF C19d).

| Drug related deaths | Drug misuse deaths 2018-2020 | Local DSR per 100,000* | LCL | UCL |
|---|---|---|---|---|
| Drug misuse deaths 2018-2020 | 46 | 6.4 | 4.7 | 8.6 |

*Note:*
*DSR = Directly age-standardised rate: All persons - DSR per 100,000. Rates are not published for areas experiencing fewer than 10 drug misuse deaths in a three year period.
LCL = 95% Lower confidence limit
UCL = 95% Upper confidence limit

*Figure 1 Drug related deaths for Rotherham in 2018-20.*

## 4 Hospital admissions due to drug poisoning

(i) As well as being a key issue to be addressed in themselves, poisoning admissions can be an indicator of future deaths. People who experience non-fatal overdoses are more likely to suffer a future fatal overdose. Drug treatment services should be assessing and managing overdose (including suicide) risks. Also see naloxone provision in 'Blood-borne virus and overdose death prevention'.

| Hospital admissions* | Number of admissions | Local rate | LCL | UCL | Number of admissions | National rate | LCL | UCL |
|---|---|---|---|---|---|---|---|---|
| Hospital admissions for drug poisoning** | 162 | 61.14 | 52.08 | 71.31 | 28,398 | 50.22 | 49.63 | 50.8 |

*Note:*
*Hospital admissions for drug poisoning(primary or secondary diagnosis): All persons, crude rate per 100,000
**Hospital Episode Statistics data (Source: NHS Digital) and ONS population data, analysed by PHE
LCL = 95% Lower confidence limit
UCL = 95% Upper confidence limit

*Figure 2 Drug specific hospital admissions Rotherham in 2020-21.*

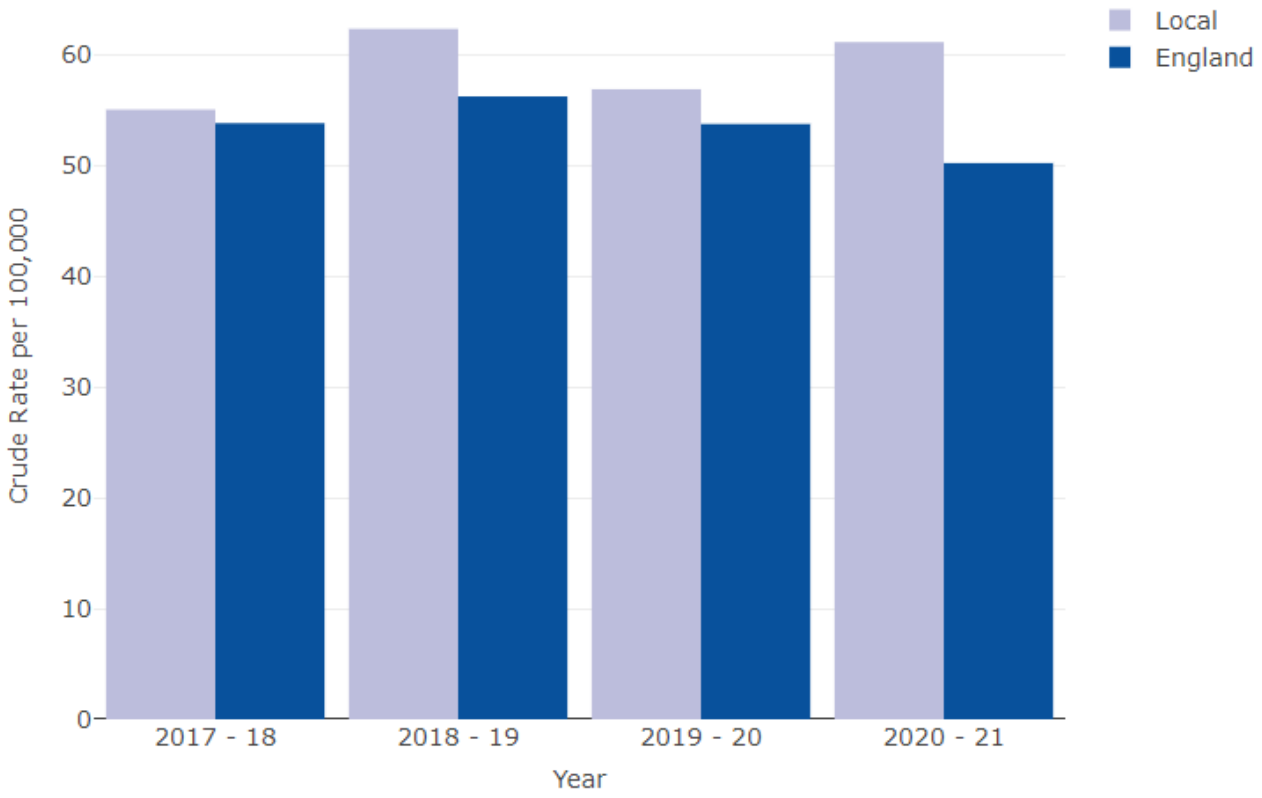



*Figure 3 Hospital admissions due to drug poisoning in Rotherham and England, 2017-18 to 2020-21.*

## 5 OCU prevalence estimates and rates of unmet need

(i) Set out below are the estimated numbers of opiate and / or crack users (OCUs) in your local authority area and rates of unmet need. Collectively, they have a significant impact on crime, unemployment, safeguarding children and long-term benefit reliance.

(ii) These prevalence estimates give an indication of the numbers of OCUs in Rotherham that are in need of specialist treatment and the rates of unmet need gives the proportion of those not currently in treatment. This data can be used to inform any subsequent plans to address unmet treatment need. Specific rates for addressing unmet need will be determined locally.

| Drug groups | Local estimate | LCL | UCL | Rate per 1,000* | LCL | UCL |
|---|---|---|---|---|---|---|
| Crack | 812 | 633 | 1,091 | 4.9 | 3.9 | 6.6 |
| Opiates | 1,656 | 1,332 | 1,942 | 8.1 | 10.1 | 11.8 |
| OCU | 1,946 | 1,734 | 2,266 | 11.8 | 10.6 | 13.8 |

*Note:*
*Prevalence estimates 2016-17, rate per 1,000 of the population aged 15-64.

*Figure 4 Prevalence estimates and rates per 100,000 for Rotherham in 2016-17.*

| Drug groups | England estimate | LCL | UCL | Rate per 1,000* | LCL | UCL |
|---|---|---|---|---|---|---|
| Crack | 180,748 | 176,583 | 188,066 | 5.1 | 5.0 | 5.3 |
| Opiates | 261,294 | 259,018 | 271,403 | 7.3 | 7.4 | 7.7 |
| OCU | 313,971 | 309,242 | 327,196 | 8.9 | 8.7 | 9.2 |

*Note:*
*Prevalence estimates 2016-17, rate per 1,000 of the population aged 15-64.

*Figure 5 Prevalence estimates and rates per 100,000 for England in 2016-17.*

| Drug groups | Rate of unmet need* |
|---|---|
| Crack | 41% |
| OCU | 43% |
| Opiates | 36% |

*Note:*
*Drug treatment numbers for 2020-21 has been used to calculate rate of unmet need.

*Figure 6 Rates of unmet need of drug dependent adults for Rotherham.*

| Drug groups | Rate of unmet need* |
|---|---|
| Crack | 58% |
| OCU | 53% |
| Opiates | 47% |

*Note:*
*Drug treatment numbers for 2020-21 has been used to calculate rate of unmet need.

*Figure 7 Rates of unmet need for drug dependent adults for England.*

# 6 Data from Rotherham's treatment system

(i) The following section provides detailed information on individuals who are receiving structured drug treatment. The National Drug Treatment Monitoring System (NDTMS) data presented in this needs assessment covers the period 2020-21 (1 April 2020 to 31 March 2021) and individuals who cited an illicit substance misuse problem. Percentages are rounded and may not sum to 100%. In addition, proportions based on low numbers may also appear as 0%.

# 7 Key factors influencing your treatment outcomes in 2020-21 compared to 2019-20

(i) Data within this pack presents outcomes for adults during their time in treatment and also longer-term recovery outcomes. The outcomes achieved while in treatment are demonstrated to be very good predictors of successful completion and non re-presentation, especially in housing, employment and abstinence from illicit drug use. In addition, the latest successful completion and non re-presentation rates are a very good indicator of future performance in the Public Health Outcomes Framework (PHOF) indicators C19a and C19b.

| Drug group | Successful completions |
|---|---|
| Alcohol and non-opiates | ↓ -9% |
| Non-opiates | ↓ -7% |
| Opiates | ↓ -2% |
| **Total** | ↓ -3% |

*Figure 8 Successful completions as a proportion of total number in treatment in 2020-21 compared to 2019-20 by drug group, for Rotherham.*

| Drug groups | Non-representations |
|---|---|
| Alcohol and non-opiates | ↑ 11% |
| Non-opiates | ↓ -1% |
| Opiates | ↓ -3% |
| **Total** | ↑ 0% |

*Figure 9 Number of clients who successfully completed treatment and did not re-present within 6 months (PHOF C19a/C19b) in 2020-21 compared to 2019-20, for Rotherham.*

| Waiting time | Waiting times under 3 weeks |
|---|---|
| Under 3 Weeks | ↑ 0% |

*Figure 10 Waiting time for the first intervention in 2020-21 compared to 2019-20, for Rotherham.*

## 8 Overall activity in 2020-21 compared to 2019-20

| Drug group | Percentage difference |
|---|---|
| Alcohol and non-opiate | ↑ 41.2% |
| Non-opiate | ↑ 6.0% |
| Opiate | ↑ 2.7% |
| **Total** | ↑ 6.0% |

*Figure 11 Adults in drug treatment in 2020-21 compared to 2019-20 by drug group, for Rotherham.*

| Drug group | Percentage difference |
|---|---|
| Alcohol and non-opiates | ↑ 49.2% |
| Non-opiates | ↑ 7.8% |
| Opiates | ↑ 2.0% |
| **Total** | ↑ 10.6% |

*Figure 12 Adults new to drug treatment in 2020-21 compared to 2019-20 by drug group, for Rotherham.*

## 9 Client profile

(i) This section describes the characteristics of people who were in treatment in 2020-21. It includes sex and age for all those in treatment and then goes on to describe the characteristics of those who started treatment in the year.

## 9.1 Adults in drug treatment in 2020-21

### 9.1.1 In treatment split by sex

| Area | Total adults | Male (%) | Female (%) | Local trend 2009-10 to 2020-21 |
|---|---|---|---|---|
| Local | 1,367 | 74% | 26% |  |
| England | 199,156 | 71% | 29% |  |

*Figure 13 Numbers and proportion of adults in drug treatment by sex for Rotherham and England, 2020-21.*

### 9.1.2 In treatment split by drug group and sex

| Drug Group | Local (n) | Male (%) | Female (%) | England (n) | Male (%) | Female (%) | Local trend 2009-10 to 2020-21 |
|---|---|---|---|---|---|---|---|
| Alcohol and non-opiate | 137 | 82% | 18% | 30,688 | 70% | 30% |  |
| Non-opiate | 160 | 73% | 27% | 27,605 | 68% | 32% |  |
| Opiate | 1,070 | 73% | 27% | 140,863 | 72% | 28% |  |
| **Total** | **1,367** | **74%** | **26%** | **199,156** | **71%** | **29%** |  |

*Figure 14 Numbers and proportion of adults in drug treatment by drug groups for Rotherham and England, 2020-21.*

### 9.1.3 In treatment split by age and sex

| Age group | Local (n) | Proportion of all in treatment | Male (%) | Female (%) | England (n) | Proportion of all in treatment | Male (%) | Female (%) |
|---|---|---|---|---|---|---|---|---|
| 18-29 | 170 | 12% | 11% | 17% | 31,920 | 16% | 15% | 20% |
| 30-39 | 459 | 34% | 31% | 41% | 64,332 | 32% | 31% | 36% |
| 40-49 | 532 | 39% | 42% | 31% | 66,667 | 33% | 35% | 30% |
| 50-59 | 173 | 13% | 14% | 9% | 30,388 | 15% | 17% | 12% |
| 60-69 | 30 | 2% | 3% | 1% | 5,322 | 3% | 3% | 2% |
| 70-79 | 3 | 0% | 0% | 0% | 500 | 0% | 0% | 0% |
| 80+ | 0 | 0% | 0% | 0% | 27 | 0% | 0% | 0% |

*Figure 15 Age of adults in drug treatment for Rotherham and England, 2020-21.*

## 9.2 Most commonly cited substances by adults in drug treatment

| Substances | Local (n) | Proportion of treatment population | England (n) | Proportion of treatment population |
|---|---|---|---|---|
| Alcohol | 331 | 24% | 54,651 | 27% |
| Amphetamine (other than ecstasy) | 65 | 5% | 7,569 | 4% |
| Benzodiazepines | 72 | 5% | 15,229 | 8% |
| Cannabis | 350 | 26% | 54,009 | 27% |
| Cocaine | 154 | 11% | 32,339 | 16% |
| Crack cocaine | 481 | 35% | 77,041 | 39% |
| Ectasy | 6 | 0% | 1,297 | 1% |
| Hallucinogens | 4 | 0% | 2,382 | 1% |
| New psychoactive substances | 8 | 1% | 2,394 | 1% |

*Figure 16 Most commonly cited substance(s) of all adults in treatment for problems with all drugs for Rotherham and England, 2020-21.*

## 9.3 Most commonly cited substance(s) of all adults in treatment for problems with all drugs for Rotherham and England, 2020-21.

| Area | Total new presentations | Proportion of all in treatment | Male (%) | Female (%) | Local trend 2009-10 to 2020-21 |
|---|---|---|---|---|---|
| Local | 469 | 34% | 35% | 31% |  |
| England | 78,270 | 39% | 39% | 40% |  |

*Figure 17 Most commonly cited substance(s) of all adults in treatment for problems with all drugs for Rotherham and England, 2020-21.*

## 9.4 Most commonly cited substances by adults starting drug treatment

| Substances | Local (n) | Proportion of new presentations | England (n) | Proportion of new presentations |
|---|---|---|---|---|
| Alcohol | 135 | 29% | 26,461 | 34% |
| Amphetamine (other than ecstasy) | 20 | 4% | 2,647 | 3% |
| Benzodiazepines | 18 | 4% | 4,321 | 6% |
| Cannabis | 161 | 34% | 27,304 | 35% |
| Cocaine | 85 | 18% | 19,209 | 25% |
| Crack cocaine | 199 | 42% | 25,853 | 33% |
| Ecstasy | 4 | 1% | 693 | 1% |
| Hallucinogens | 2 | 0% | 1,611 | 2% |
| New psychoactive substances | 5 | 1% | 1,283 | 2% |

*Figure 18 Most commonly cited substance(s) of all adults starting treatment for problems with all drugs for Rotherham and England, 2020-21.*

## 9.5 Protected characteristics of adults presenting to treatment in 2020-21

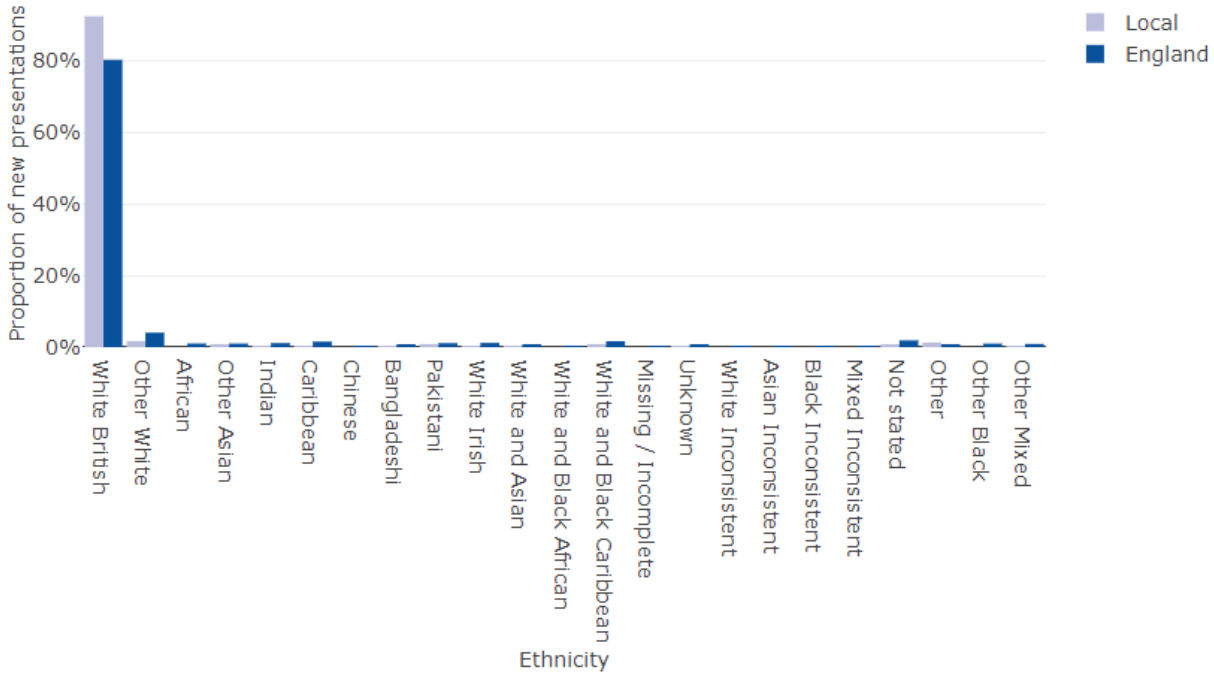



*Figure 19 Proportion of adults presenting to treatment by ethnicity for Rotherham and England, 2020-21.*

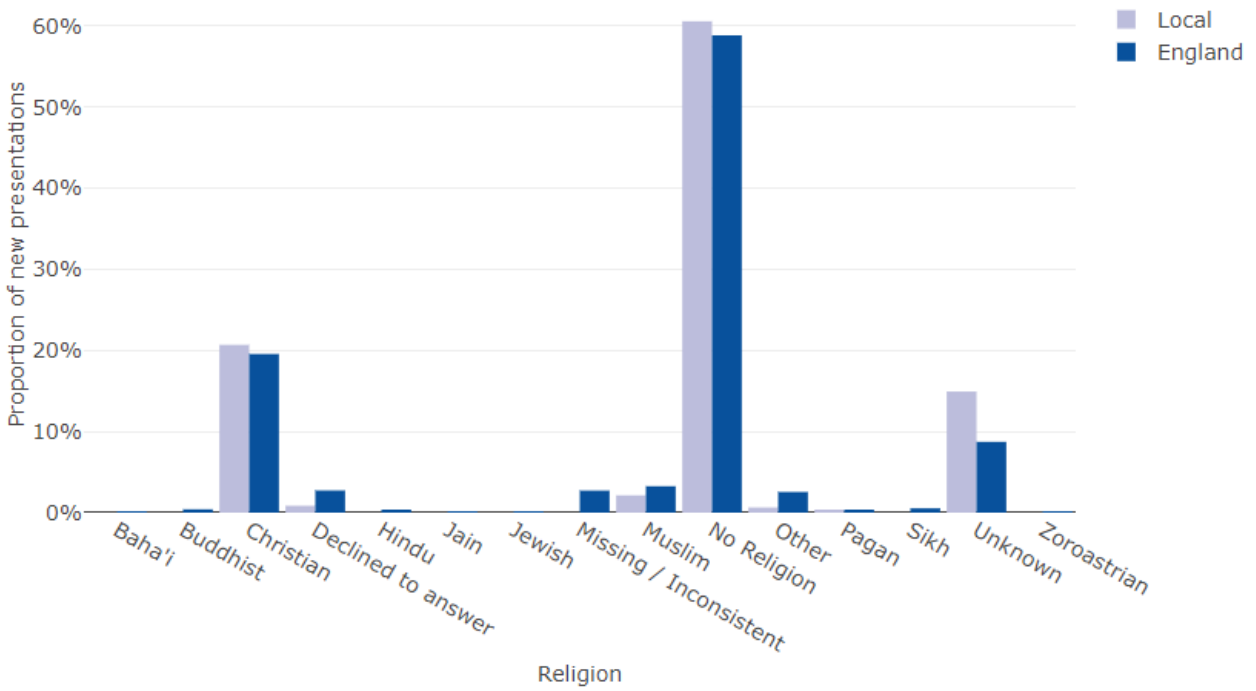



*Figure 20 Proportion of adults presenting to treatment by religion for Rotherham and England, 2020-21.*

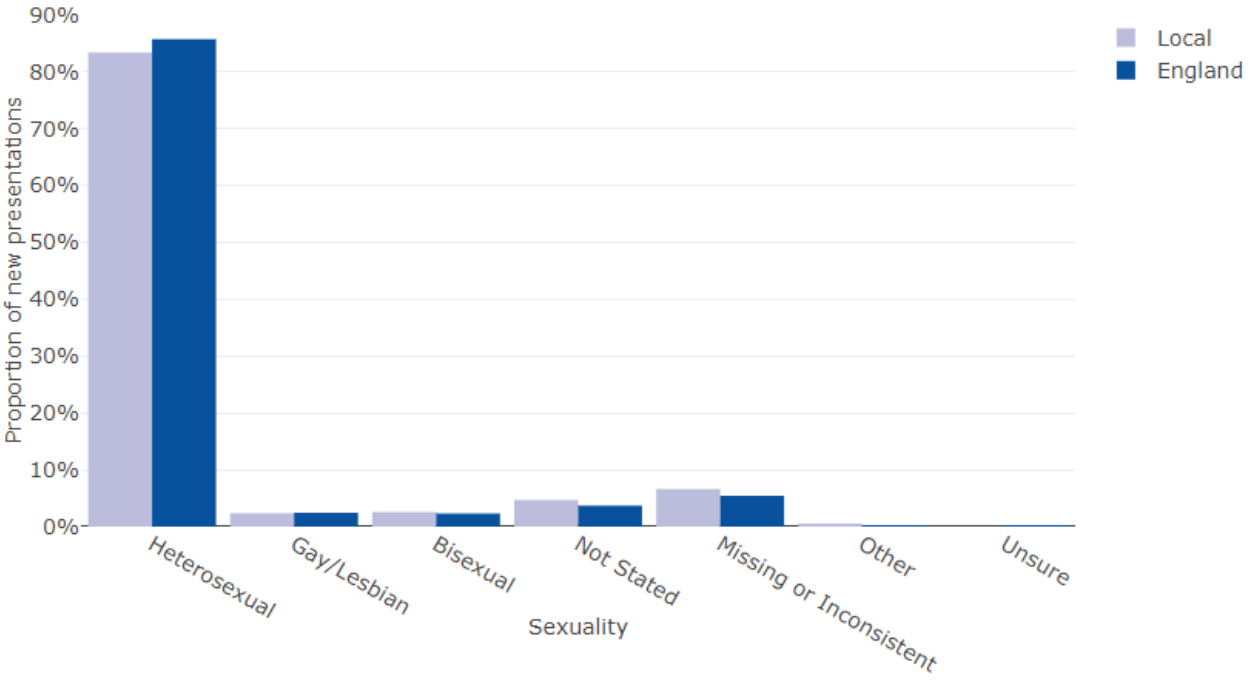



*Figure 21 Proportion of adults presenting to treatment by sexuality for Rotherham and England, 2020-21.*

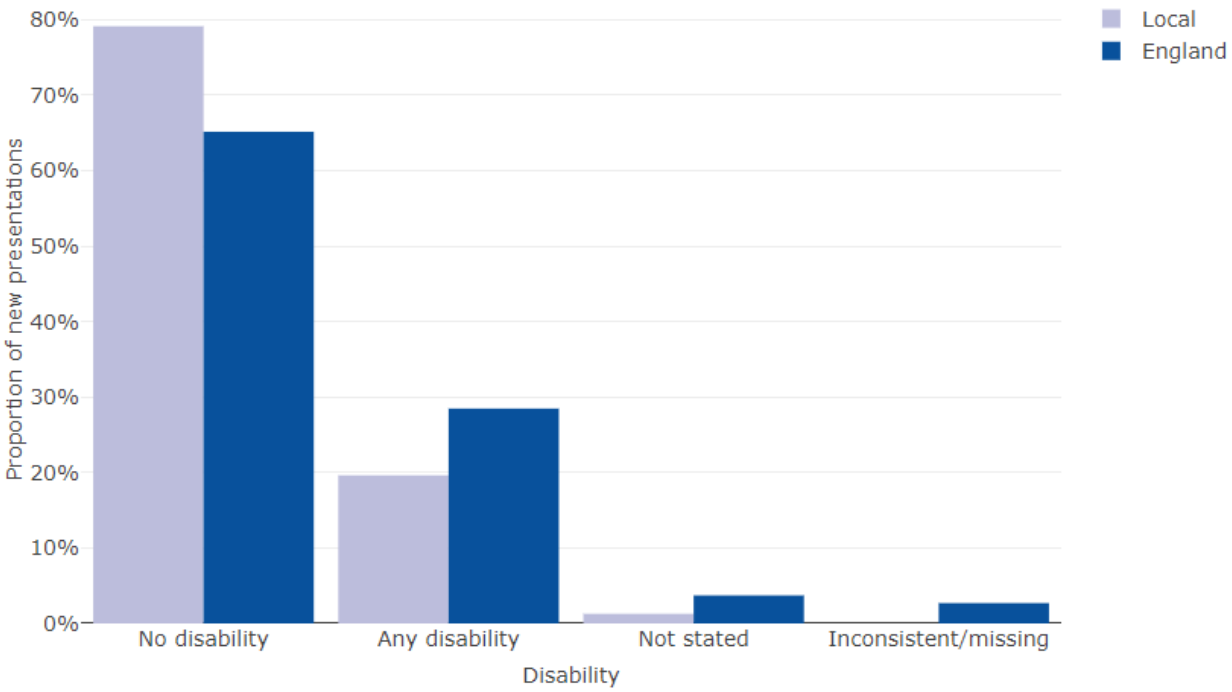



*Figure 22 Proportion of adults presenting to drug treatment by disability for Rotherham and England, 2020-21.*

| Disability type* | Local (n) | Proportion of new presentations | Male (%) | Female (%) | England (n) | Proportion of new presentations | Male (%) | Female (%) |
|---|---|---|---|---|---|---|---|---|
| Behaviour and emotional | 43 | 9% | 9% | 10% | 13,309 | 17% | 16% | 20% |
| Hearing | 2 | 0% | 1% | 0% | 502 | 1% | 1% | 1% |
| Learning | 7 | 1% | 2% | 1% | 2,539 | 3% | 3% | 3% |
| Manual | 0 | 0% | 0% | 0% | 438 | 1% | 1% | 1% |
| Mobility and gross motor | 22 | 5% | 5% | 5% | 4,249 | 5% | 5% | 6% |
| Perception | 0 | 0% | 0% | 0% | 107 | 0% | 0% | 0% |
| Personal | 1 | 0% | 0% | 1% | 283 | 0% | 0% | 1% |
| Progressive | 19 | 4% | 3% | 7% | 3,047 | 4% | 4% | 5% |
| Sight | 3 | 1% | 1% | 0% | 488 | 1% | 1% | 1% |
| Speech | 1 | 0% | 0% | 0% | 121 | 0% | 0% | 0% |
| Other | 12 | 3% | 3% | 2% | 2,464 | 3% | 3% | 3% |

*Note:*

* Please note adults may cite multiple disabilities, numbers may sum to greater than number of adults

*Figure 23 Breakdown of disability in adults presenting to drug treatment for Rotherham and England, 2020-21.*

## 9.6 Waiting times

(i) This data shows intervention waiting times of less than three weeks and more than six weeks to start treatment. Drug users need prompt help if they are to recover from dependence. Local efforts to keep waiting times low mean that the national average waiting time is less than one week. Keeping waiting times low will play a vital role in supporting recovery in local communities.

| | Local | | England | |
|---|---|---|---|---|
| Waiting time to first intervention | Total interventions started | Proportion of all interventions started | Total interventions started | Proportion of all interventions started |
| Under 3 Weeks | 558 | 100% | 98,661 | 99% |
| 3 - 6 Weeks | 0 | 0% | 754 | 1% |
| Over 6 Weeks | 0 | 0% | 470 | 0% |

*Figure 24 Waiting time for the first intervention, for Rotherham and England, 2020-21.*

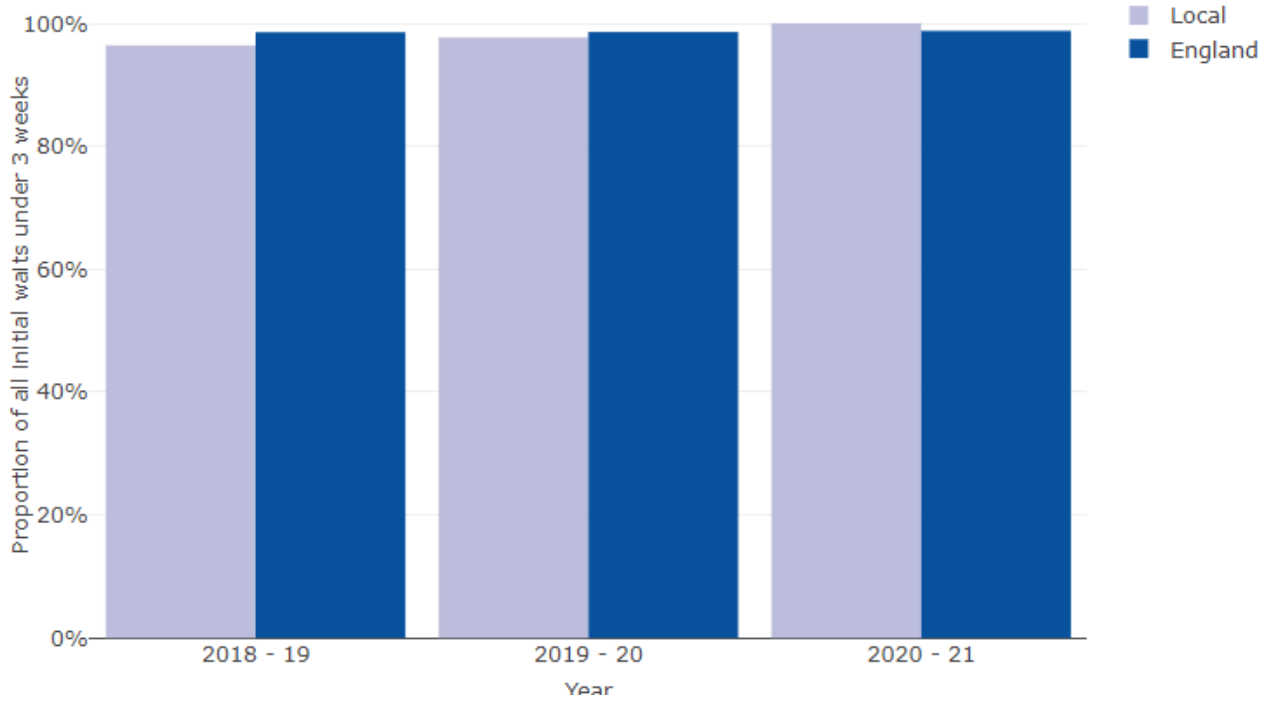



*Figure 25 Proportion of all initial waits (waiting under 3 weeks) for Rotherham and England, 2018-19 to 2020-21.*

## 9.7 Routes into treatment

(i) The table below shows the routes into drug treatment in 2020-21. These give an indication of the levels of referrals from criminal justice and other sources into specialist treatment. 'Referred through CJS' means referred through a police custody or court based referral scheme, prison or the Probation Service.

| Referral | Local (n) | Proportion of new presentations | Male (%) | Female (%) | England (n) | Proportion of new presentations | Male (%) | Female (%) |
|---|---|---|---|---|---|---|---|---|
| Self-referral | 322 | 69% | 69% | 69% | 46,199 | 59% | 59% | 61% |
| Referred through CJS | 70 | 15% | 16% | 11% | 12,247 | 16% | 19% | 8% |
| Referred by GP | 17 | 4% | 4% | 2% | 3,128 | 4% | 4% | 4% |
| Hospital/A&E | 18 | 4% | 3% | 6% | 1,850 | 2% | 2% | 3% |
| Social Services | 6 | 1% | 1% | 4% | 2,395 | 3% | 2% | 6% |
| All other referral sources | 36 | 8% | 8% | 8% | 12,193 | 16% | 15% | 18% |

*Figure 26 Sources of referral for those starting treatment for Rotherham and England, 2020-21.*

| Referral | Local (n) | Proportion of CJS referrals | Male (%) | Female (%) | England (n) | Proportion of CJS referrals | Male (%) | Female (%) |
|---|---|---|---|---|---|---|---|---|
| Arrest referral | 1 | 1% | 2% | 0% | 974 | 8% | 8% | 9% |
| Alcohol treatment requirement (ATR) | 0 | 0% | 0% | 0% | 218 | 2% | 2% | 2% |
| Community Rehabilitation Company (CRC) | 5 | 7% | 3% | 25% | 684 | 6% | 5% | 6% |
| Drug Rehabilitation Requirement (DRR) | 9 | 13% | 16% | 0% | 529 | 4% | 4% | 4% |
| Liaison diversion | 1 | 1% | 0% | 8% | 236 | 2% | 2% | 3% |
| National Probation Service | 5 | 7% | 9% | 0% | 2,254 | 18% | 19% | 14% |
| Other criminal justice | 3 | 4% | 5% | 0% | 443 | 4% | 4% | 4% |
| Prison | 46 | 66% | 66% | 67% | 6,840 | 56% | 56% | 58% |
| Probation | 0 | 0% | 0% | 0% | 66 | 1% | 1% | 0% |

*Figure 27 Breakdown of types of CJS referrals for Rotherham and England, 2020-21.*

## 9.8 Treatment engagement

(i) When engaged in treatment, people use less illegal drugs, commit less crime, improve their health, and manage their lives better - which also benefits the community. Preventing early drop out and keeping people in treatment long enough to benefit contributes to these

improved outcomes. As people progress through treatment, the benefits to them, their families and their community start to accrue. The information below shows the proportion of adults entering treatment in Rotherham in 2020-21 who left treatment in an unplanned way before 12 weeks, commonly referred to as early drop outs.

| | Local | | | | England | | | |
|---|---|---|---|---|---|---|---|---|
| Drug groups | Total adults | Proportion of new presentations | Male (%) | Female (%) | Total adults | Proportion of new presentations | Male (%) | Female (%) |
| Alcohol and non-opiate | 12 | 12% | 13% | 11% | 3,299 | 16% | 17% | 14% |
| Non-opiate | 15 | 14% | 16% | 6% | 3,374 | 17% | 18% | 14% |
| Opiate | 31 | 12% | 11% | 13% | 5,598 | 15% | 16% | 13% |
| **Total** | **58** | **12%** | **13%** | **11%** | **12,271** | **16%** | **17%** | **14%** |

*Figure 28 Early unplanned exits by drug groups for Rotherham and England, 2020-21.*

## 9.9 Treatment population with prior convictions

(i) This section displays the proportion of adults in treatment with a prior conviction, calculated at the latest available date (December 2012). The cohort is comprised of all adults in treatment at that point but also includes all adults who were in treatment at any point within the preceding year.

| Drug group | Proportion of local treatment population | Proportion of national treatment population |
|---|---|---|
| Opiate | 34% | 32% |
| Alcohol and non-opiate | 53% | 36% |
| Non-opiate | 36% | 39% |
| **Total*** | **28%** | **29%** |

*Note:*
*Please note total comprises of all drug groups and alcohol only

*Figure 29 Adults in the treatment population in 2012 with convictions in the two-years preceding treatment for Rotherham and England.*

## 9.10 Criminal justice pathway

(i) Criminal Justice Integrated Teams (CJIT) were established in 2003 as part of the Drug Interventions Programme (DIP) as a dedicated resource refer, assess and case manage substance misusing offenders into treatment. When DIP was discontinued as a centrally funded national programme in 2012, some local authorities continued to maintain dedicated teams while others integrated CJIT posts into mainstream community-based treatment services. However, many areas have continued to report activity in relation to this group and this section shows the number of adults who were in contact with both a CJIT and community-based treatment. Also included are the proportion of these adults against the

total treatment population and a breakdown by the offence which brought them into the criminal justice referral pathway and how they entered the pathway. A mandatory referral pathway implies referral from probation services for an assessment by the CJIT.

| Drug group | Local(n) | Proportion | England (n) | Proportion |
|---|---|---|---|---|
| Alcohol and non-opiates | 2 | 1% | 1,723 | 6% |
| Non-opiates | 1 | 1% | 1,296 | 5% |
| Opiates | 167 | 16% | 19,207 | 14% |
| **Total*** | **170** | **12%** | **22,226** | **11%** |

*Note:*
*Please note the total is comprised of all drug groups: Opiate, Non-opiate only, Non-opiate and alcohol

*Figure 30 CJIT adults in contact with the treatment system for Rotherham and England, 2020-21.*

## 9.11 Crimes saved

(ii) A joint PHE/MoJ (*https://www.gov.uk/government/publications/the-effect-of-drug-and-alcohol-treatment-on-re-offending)* study on the impact of community-based treatment on re-offending found that, overall, there was a reduction of 44% in the number of people who were recorded as re-offending in the two years following the start of treatment and a reduction of 33% in the number of offences. Opiate users showed the smallest decreases in both re-offenders (a reduction of 31%) and re-offending (a reduction of 21%). Alcohol only users showed the largest reductions in both re-offenders and re-offending (59% and 49%, respectively). The data below provides an estimate of the overall number of offences committed by adults before accessing treatment and the benefit in terms of the social and economic costs accrued.

| Offence type | Local (estimated number) |
|---|---|
| Total | 90,000 |

*Figure 31 Estimated crime committed before treatment entry for Rotherham (based on 2016-17 data).*

| Gross benefits | Estimated alcohol adults (£) |
|---|---|
| Social and economic gross | 5,500,000 |

*Figure 32 Gross benefits for Rotherham (based on 2016-17 data).*

## 9.12 Adults leaving prison and engaging in community treatment (PHOF C20)

(i) This table shows the percentage of individuals in 2020-21 who at the point of release from prison were transferred to a community treatment provider for structured treatment interventions and other support and were successfully engaged. This is the same as the Public Health Outcomes Framework (PHOF) indicator C20 (formerly 2.16).

(ii) Further information on this indicator can be found on the Fingertips website: *(https://fingertips.phe.org.uk/profile/public-health-outcomes-framework/data#page/3/gid/1000042/pat/6/par/E12000004/ati/102/are/E06000015/iid/92544/age/168/sex/4).*

| Substance type | Local transfer (n) | Local engaged (n) | Proportion engaged (%) | England transfer (n) | England engaged (n) | Proportion engaged (%) |
|---|---|---|---|---|---|---|
| Alcohol and non-opiate | 11 | 3 | 27% | 1,546 | 211 | 14% |
| Non-opiate only | 13 | 0 | 0% | 1,332 | 248 | 19% |
| Opiate | 91 | 29 | 32% | 13,892 | 6,289 | 45% |
| **Total*** | **115** | **32** | | **16,770** | **6,748** | |

*Note:*
Please note the total is comprised of all drug groups including: Opiate, Non-opiate only and Non-opiate and alcohol

*Figure 33 Released from prison, transferred to a community treatment provider for structured treatment and successfully engaged for Rotherham and England, 2020-21.*

## 9.13 Adults who are parents/carers and their children

(i) The data below shows the number of drug users who entered treatment in 2020-21 who live with children and the stated number of children who live with them. Users who are parents but do not live with children and users for whom there is incomplete data are also included. In addition, the number of pregnant female adults entering treatment in 2020-21 is presented, as is the number of parents or carers engaging with Early Help or children's social care.

| Parental Status | Local (n) | Proportion of new presentations | Male (%) | Female (%) | England (n) | Proportion of new presentations | Male (%) | Female (%) |
|---|---|---|---|---|---|---|---|---|
| Parents living with children | 55 | 12% | 10% | 17% | 10,071 | 13% | 9% | 21% |
| Parents not with children | 133 | 28% | 27% | 34% | 17,016 | 22% | 22% | 22% |
| Other contact, living with children | 7 | 1% | 2% | 1% | 3,434 | 4% | 5% | 4% |
| Not parent - no contact with children | 274 | 58% | 62% | 48% | 46,652 | 60% | 63% | 52% |
| Missing / incomplete | 0 | 0% | 0% | 0% | 1,097 | 1% | 1% | 1% |

*Figure 34 Number and proportion of adults presenting drug treatment by parental status, for Rotherham and England, 2020-21*

| Living with children | Local | Proportion of children by client sex | | England | Proportion of children by client sex | |
|---|---|---|---|---|---|---|
| Type | N | Male (%) | Female (%) | N | Male (%) | Female (%) |
| Number of children living with drug users | 115 | 75% | 25% | 25,007 | 59% | 41% |

*Figure 35 Number of children living with drug users entering treatment, for Rotherham and England, 2020-21.*

| EHCSC Group | Local (n) | Proportion of adults with child contact | Male (%) | Female (%) | England (n) | Proportion of adults with child contact | Male (%) | Female (%) |
|---|---|---|---|---|---|---|---|---|
| Early help | 9 | 5% | 4% | 5% | 1,303 | 4% | 3% | 6% |
| Child in need | 12 | 6% | 4% | 11% | 1,619 | 5% | 4% | 8% |
| Child protection plan in place | 21 | 11% | 9% | 16% | 3,548 | 12% | 8% | 19% |
| Looked after child | 14 | 7% | 4% | 16% | 2,167 | 7% | 4% | 13% |
| No early help | 136 | 70% | 78% | 51% | 19,967 | 65% | 74% | 49% |
| Missing | 3 | 2% | 1% | 2% | 1,917 | 6% | 7% | 5% |

*Figure 36 Client's children receiving early help or in contact with children's social care for Rotherham and England, 2020-21.*

| Pregnancy data | Local (n) | Proportion of new female presentations | England (n) | Proportion of new female presentations |
|---|---|---|---|---|
| Missing/Incomplete | 0 | 0% | 99 | 0% |
| New female presentations who were pregnant | 5 | 5% | 1,125 | 5% |

*Figure 37 Number and proportion of female adults by pregnancy status for Rotherham and England, 2020-21.*

## 9.14 Tobacco use

(i) Smoking rates in the adult general population are now below 14% in England but much higher in people in people who use drugs and alcohol, in whom smoking is a major cause of illness and death. With the support of treatment services, many people successfully recover from drug and alcohol dependence only to later die of their untreated smoking dependence. Services should offer (or be able to refer people into) stop smoking support (access to effective stop smoking products combined with behavioural support), and harm reduction

approaches for people unable or unwilling to stop smoking in one step. Smokers who access this support are three times as likely to quit as those who try to quit unaided.

(ii) Stop smoking support is commissioned by local authorities, in dedicated stop smoking services and, increasingly, in integrated services where people can access support to quit smoking and treatment for other dependencies. Smoking is often seen as the more difficult addiction to break and is not prioritised. However, around 60% of smokers say that they would like to quit, and around 40% try to do so each year. By offering support from trained professionals, combined with access to the latest evidence-based stop smoking products (including electronic cigarettes), we can increase the proportion of smokers successfully quitting.

| | Local | | | | England | | | |
|---|---|---|---|---|---|---|---|---|
| Drug group | Total adults | Proportion of all in treatment | Male (%) | Female (%) | Total adults | Proportion of all in treatment | Male (%) | Female (%) |
| Alcohol and non-opiate | 38/51 | 75% | 74% | 75% | 7,017 | 60% | 59% | 62% |
| Non-opiate | 43/63 | 68% | 64% | 85% | 8,585 | 64% | 64% | 64% |
| Opiate | 196/212 | 92% | 94% | 88% | 19,664 | 69% | 69% | 69% |
| **Total** | **277/326** | **85%** | **85%** | **84%** | **35,266** | **65%** | **65%** | **66%** |

*Figure 38 Number of adults identified as smoking tobacco at the start of treatment for Rotherham and England, 2020-21.*

| | Local | | | | England | | | |
|---|---|---|---|---|---|---|---|---|
| Drug group | Total adults | Proportion of reviewed adults smoking at start of treatment | Male (%) | Female (%) | Total adults | Proportion of reviewed adults smoking at start of treatment | Male (%) | Female (%) |
| Alcohol and non-opiate | 2/38 | 5% | 4% | 7% | 1,862 | 27% | 27% | 26% |
| Non-opiate | 8/43 | 19% | 16% | 27% | 2,380 | 28% | 28% | 28% |
| Opiate | 21/196 | 11% | 12% | 8% | 3,851 | 20% | 20% | 20% |
| **Total** | **31/277** | **11%** | **11%** | **11%** | **8,093** | **23%** | **23%** | **23%** |

*Figure 39 Number and proportion of adults identified as abstinent from tobacco at review for Rotherham and England, 2020-21.*

| | Local | | | | England | | | |
|---|---|---|---|---|---|---|---|---|
| Drug groups | Total adults | Proportion of adults identified | Male (%) | Female (%) | Total adults | Proportion of adults identified | Male (%) | Female (%) |
| Alcohol and non-opiate | 0/51 | 0% | 0% | 0% | 166 | 1% | 1% | 2% |
| Non-opiate | 2/63 | 3% | 4% | 0% | 219 | 2% | 2% | 2% |
| Opiate | 1/212 | 0% | 1% | 0% | 459 | 2% | 2% | 2% |
| **Total** | **3/326** | **1%** | **1%** | **0%** | **844** | **2%** | **1%** | **2%** |

*Figure 40 Number of adults receiving smoking cessation interventions for Rotherham and England, 2020-21.*

## 9.15 Interventions

(i) We know that the types of intervention delivered to service users will have an impact on their achievement of recovery outcomes. The table below shows what interventions are delivered locally and in what setting. The item after the first table focuses on those who receive pharmacological interventions only, something not recommended in guidance.

| Setting | Pharmacological | | Psychosocial | | Recovery Support | | Total Adults** | |
|---|---|---|---|---|---|---|---|---|
| Type | Total adults | Proportion | Total adults | Proportion | Total adults | Proportion | Total adults | Proportion |
| Community | 841 | 81% | 1,061 | 80% | 465 | 78% | 1,172 | 86% |
| Inpatient Unit | 29 | 3% | 30 | 2% | 26 | 4% | 34 | 2% |
| Primary Care | 438 | 42% | 430 | 33% | 135 | 23% | 449 | 33% |
| Residential | 1 | 0% | 5 | 0% | 0 | 0% | 5 | 0% |
| Recovery House | 0 | 0% | 1 | 0% | 0 | 0% | 1 | 0% |
| Young Persons Setting | 0 | 0% | 0 | 0% | 0 | 0% | 0 | 0% |
| Missing / Incomplete | 0 | 0% | 0 | 0% | 0 | 0% | 0 | 0% |
| **Total individuals*** | **1,043** | **100%** | **1,322** | **100%** | **599** | **100%** | **1,363** | **100%** |

*Figure 41 Number and percentage of adults in treatment in high level interventions and settings across the treatment journey for Rotherham, 2020-21.*

(ii) Note
:*This is the total number of adults receiving each intervention type and not a summation of the setting the intervention was delivered in.
**This is the total number of adults receiving any intervention type in each setting and not a summation of the pharmacological, psychosocial and recovery support columns.

| | Local | | England | |
|---|---|---|---|---|
| **OST, intervention and status** | **Total adults** | **Proportion** | **Total adults** | **Proportion** |
| **Opioid substitute therapy (OST) interventions** | | | | |
| **All prescribing interventions** | **999** | | **131796** | |
| Any OST interventions | 941 | 94% | 116360 | 88% |
| Methadone intervention | 794 | 79% | 93803 | 71% |
| Buprenorphine intervention | 212 | 21% | 36130 | 27% |
| Buprenorphine with naloxone intervention | 46 | 5% | 6634 | 5% |
| Diamorphine intervention | 1 | 0% | 403 | 0% |
| **OST supervision status** | | | | |
| **All clients with an OST supervised status** | **928** | | **115504** | |
| Any supervised OST | 527 | 57% | 72838 | 63% |
| Any unsupervised OST | 842 | 91% | 95335 | 83% |
| Supervised methadone | 473 | 51% | 61254 | 53% |
| Unsupervised methadone | 695 | 75% | 75035 | 65% |
| **OST prescribing intention** | | | | |
| **All clients with an OST prescribing intention** | **950** | | **117318** | |
| Maintenance - methadone | 611 | 64% | 67147 | 57% |
| Assessment & stabilisation - methadone | 145 | 15% | 19387 | 17% |
| Withdrawal - methadone | 102 | 11% | 9802 | 8% |
| Maintenance - buprenorphine | 148 | 16% | 22246 | 19% |
| Assessment & stabilisation - buprenorphine | 39 | 4% | 7448 | 6% |
| Withdrawal - buprenorphine | 19 | 2% | 3528 | 3% |
| Maintenance - unspecified OST | 784 | 83% | 81604 | 70% |
| Assessment & stabilisation - unspecified OST | 246 | 26% | 46794 | 40% |
| Withdrawal - unspecified OST | 256 | 27% | 23265 | 20% |

*Figure 42 Number and percentage of adults who were in treatment for opiates in the year and had pharmacological sub-interventions, for Rotherham, 2020-21.*

## 9.16 Residential Rehabilitation

(i) The data below shows the number of adult drug users in your area who have been to residential treatment, including residential rehab or treatment in a recovery house, during their latest period of treatment (as a proportion of your whole treatment population and against the national proportion). Drug treatment mostly takes place in the community, near to users' families and support networks. Residential rehabilitation may be cost effective for someone who is ready for active change and a higher intensity treatment at any stage of their treatment, and local areas are encouraged to provide this option as part of an integrated recovery-orientated system.

| Residential treatment | Local (n) | Proportion of treatment population | Male (n) | Female (n) | England (n) | Proportion of treatment population |
|---|---|---|---|---|---|---|
| Number of adults who attended residential rehabilitation | 10 | 1% | 7 | 3 | 3,278 | 2% |

*Figure 43 Number and proportion of adults in residential rehabilitation, for Rotherham and England, 2020-21.*

| Drug group | Local (n) | Proportion of treatment population | Male (n) | Female (n) | England (n) | Proportion of treatment population |
|---|---|---|---|---|---|---|
| Alcohol and non-opiate | 3 | 2% | 3 | 0 | 1,053 | 3% |
| Non-opiate | 0 | 0% | 0 | 0 | 250 | 1% |
| Opiate | 7 | 1% | 4 | 3 | 1,975 | 1% |
| **Total** | **10** | **1%** | **7** | **3** | **3,278** | **2%** |

*Figure 44 Number and proportion of adults in residential rehabilitation by drug group, for, Rotherham and England, 2020-21.*

## 9.17 Blood-borne virus and overdose death prevention

(i) Sharing injecting equipment can spread blood-borne viruses. Providing opioid substitution treatment (OST), sterile injecting equipment and antiviral treatments protects people who use drugs and communities and provides long-term health savings. Eliminating hepatitis C as a major public health threat requires the identification and treatment of many more infected people who use drugs. Hepatitis C testing and referral data will vary from area to area depending on local systems and pathways, the availability of test results to providers and where/how hepatitis C treatment is provided, so it needs to be assessed and understood locally more than compared to national figures.

### 9.17.1 Hepatitis B

| Hepatitis B | Local (n) | Proportion of eligible adults | Male (%) | Female (%) | England (n) | Proportion of eligible adults | Male (%) | Female (%) |
|---|---|---|---|---|---|---|---|---|
| Adults eligible for a HBV vaccination who accepted one | 42 | 14% | 13% | 15% | 15,264 | 29% | 29% | 30% |

*Figure 45 Latest status of adults in drug treatment in 2020-21 eligible for HBV vaccination who accepted one for Rotherham and England, 2020-21.*

| Hepatitis B | Local (n) | Proportion of eligible adults | Male (%) | Female (%) | England (n) | Proportion of eligible adults | Male (%) | Female (%) |
|---|---|---|---|---|---|---|---|---|
| Adults in treatment who accepted and completed a course of vaccination | 3 | 7% | 7% | 8% | 1,376 | 9% | 9% | 8% |
| Adults in treatment who accepted and started a course of vaccination | 5 | 12% | 10% | 17% | 851 | 6% | 5% | 6% |

*Figure 46 Latest status of adults in drug treatment in 2020-21 eligible for HBV vaccination who accepted one for Rotherham and England, 2020-21.*

### 9.17.2 Hepatitis C

| Hepatitis C | Local (n) | Proportion of eligible adults | Male (%) | Female (%) | England (n) | Proportion of eligible adults | Male (%) | Female (%) |
|---|---|---|---|---|---|---|---|---|
| Adults eligible for a HCV test who accepted one | 211 | 47% | 47% | 47% | 26,399 | 41% | 41% | 39% |

*Figure 47 Latest status of adults in drug treatment in 2020-21 eligible for HCV test who accepted one for Rotherham and England, 2020-21.*

| Hepatitis C Antibody Test | Local (n) | Proportion of eligible adults | Male (%) | Female (%) | England (n) | % of eligible adults | Male (%) | Female (%) |
|---|---|---|---|---|---|---|---|---|
| Adults who have a positive hep C antibody test* | 72 | 38% | 38% | 37% | 4,790 | 21% | 21% | 22% |

*Figure 48 Latest status of adults in drug treatment 2020-21 who have a positive hep C antibody test, for Rotherham and England.*

(i) Note:* The stated proportions are of those tested for whom either a positive or negative result is recorded on NDTMS (i.e. 'unknown' and 'not recorded' have been removed from the denominator).

| Hepatitis PCR Test | Local (n) | Proportion of eligible adults | Male (%) | Female (%) | England (n) | Proportion of eligible adults | Male (%) | Female (%) |
|---|---|---|---|---|---|---|---|---|
| Adults who have a positive hep C PCR (RNA) test* | 32 | 18% | 19% | 15% | 2,187 | 11% | 11% | 12% |

*Figure 49 Adults in drug treatment 2020-21 who have a positive hep C PCR (RNA) test in, for Rotherham and England.*

(ii) Note:*The stated proportions are of those tested for whom either a positive or negative result is recorded on NDTMS (i.e. 'unknown' and 'not recorded' have been removed from the denominator).

| | Local | | | | England | | | |
|---|---|---|---|---|---|---|---|---|
| Hepatitis Treatment | Local (n) | Proportion of eligible adults | Male (%) | Female (%) | England (n) | Proportion of eligible adults | Male (%) | Female (%) |
| Adults referred to Hep C treatment | 3 | 1.42% | 1.86% | 0.00% | 553 | 2.09% | 2.18% | 1.86% |

*Figure 50 Adults in drug treatment in 2020-21 referred to Hepatitis C treatment, for Rotherham and England.*

## 9.18 Co-occurring mental health and substance misuse conditions

(i) This data shows the number of adults who started drug treatment in 2020-21 who were identified as having a mental health treatment need and, of those, the number who were receiving treatment from health services.

| Drug group | Local(n) | Proportion of new presentations | Male (%) | Female (%) | England (n) | Proportion of new presentations | Male (%) | Female (%) |
|---|---|---|---|---|---|---|---|---|
| Alcohol and non-opiates | 80 | 82% | 80% | 94% | 14,836 | 71% | 67% | 81% |
| Non-opiates | 78 | 70% | 62% | 91% | 12,852 | 64% | 59% | 75% |
| Opiates | 176 | 67% | 64% | 80% | 21,307 | 57% | 53% | 67% |
| **Total** | **334** | **71%** | **67%** | **85%** | **48,995** | **63%** | **58%** | **73%** |

*Figure 51 Adults who entered drug treatment in 2020-21 and were identified as having mental health treatment need, for Rotherham and England.*

| | Local (n) | Proportion of adults identified | Male (%) | Female (%) | England (n) | Proportion of adults identified | Male (%) | Female (%) |
|---|---|---|---|---|---|---|---|---|
| Health-based place | 0 | 0% | 0% | 0% | 266 | 1% | 1% | 1% |
| NICE | 0 | 0% | 0% | 0% | 510 | 1% | 1% | 1% |
| Engaged with IAPT | 6 | 2% | 2% | 1% | 583 | 1% | 1% | 1% |
| Already engaged | 23 | 7% | 6% | 10% | 9,320 | 19% | 17% | 22% |
| GP | 218 | 65% | 66% | 64% | 24,360 | 50% | 48% | 52% |
| **Total individuals receiving mental health treatment** | **247** | **74%** | **74%** | **74%** | **34,780** | **71%** | **68%** | **77%** |

*Figure 52 Adults in drug treatment identified as having a mental health treatment need and receiving treatment for their mental health, for Rotherham and England, 2020-21.*

(ii) Note:
Already engaged - Already engaged with the Community Mental Health Team/Other mental health services
Engaged with IAPT (Improving Access to Psychological Therapies)
GP - Receiving mental health treatment from GP
NICE - Receiving any NICE-recommended psychosocial or pharmacological intervention provided for the treatment of a mental health problem
Health-based place - Has an identified space in a health-based place of safety for mental health crises

## 9.19 Prescription only medicine/over-the-counter medicine (POM/OTC)

(i) The data below covers the main new psychoactive substances and 'club' drugs reported by new treatment entrants who are (1) also using opiates (first table) or (2) using NPS/club drugs and perhaps other drugs but not opiates (second table). Opiate users still dominate adult treatment, and generally face a more complex set of challenges and are much harder to treat. Non-opiate-using, adult club drug users typically have better personal resources – jobs, relationships, accommodation – that mean they are more likely to be able to make the most of treatment.

## 9.20 NPS and club drugs

(i) The data below covers the main new psychoactive substances and 'club' drugs reported by new treatment entrants who are (1) also using opiates (first table) or (2) using NPS/club drugs and perhaps other drugs but not opiates (second table). Opiate users still dominate adult treatment, and generally face a more complex set of challenges and are much harder to treat. Non-opiate-using, adult club drug users typically have better personal resources – jobs, relationships, accommodation – that mean they are more likely to be able to make the most of treatment.

| Club drugs | Local (n) | Proportion* | England (n) | Proportion* |
|---|---|---|---|---|
| Any club drug use** | 4 | 2% | 900 | 2% |
| GHB/GBL | 0 | 0% | 13 | 1% |
| Ketamine | 0 | 0% | 80 | 9% |
| Mephedrone | 0 | 0% | 18 | 2% |
| Methamphetamine | 1 | 25% | 37 | 4% |
| Ecstasy | 0 | 0% | 35 | 4% |
| Any NPS | 3 | 75% | 722 | 80% |
| Predominantly cannabinoid | 0 | 0% | 390 | 43% |
| Predominantly dissociative | 2 | 50% | 17 | 2% |
| Predominantly hallucinogenic | 0 | 0% | 30 | 3% |
| Other | 1 | 25% | 232 | 26% |
| Predominantly sedative/opioid | 0 | 0% | 19 | 2% |
| Predominantly stimulant | 0 | 0% | 39 | 4% |

*Figure 53 Adults new to drug treatment citing club drug use and opiate use, for Rotherham and England, 2020-21.*

(ii) *Note:*
*Proportions of ecstasy, ketamine, GHB/GBL, methamphetamine, mephedrone and Any NPS as a percentage of any club drug use. Adults citing the use of multiple club drugs will be counted once under each drug they cite. Therefore figures may exceed the total (labelled

any club drug use) and proportions may sum to more than 100%.
**Any club drug use is a percentage of all new treatment entrants.

| Club drugs | Local (n) | Proportion* | England (n) | Proportion* |
|---|---|---|---|---|
| Any club drug use** | 7 | 3% | 3,130 | 8% |
| GHB/GBL | 0 | 0% | 327 | 10% |
| Ketamine | 1 | 14% | 1,364 | 44% |
| Mephedrone | 0 | 0% | 71 | 2% |
| Methamphetamine | 0 | 0% | 468 | 15% |
| Ecstasy | 4 | 57% | 658 | 21% |
| Any NPS | 2 | 29% | 561 | 18% |
| Predominantly cannabinoid | 1 | 14% | 267 | 9% |
| Predominantly dissociative | 0 | 0% | 24 | 1% |
| Predominantly hallucinogenic | 0 | 0% | 45 | 1% |
| Other | 1 | 14% | 137 | 4% |
| Predominantly sedative/opioid | 0 | 0% | 26 | 1% |
| Predominantly stimulant | 0 | 0% | 66 | 2% |

*Figure 54 Adults new to drug treatment citing club drug use (no additional opiate use), for Rotherham and England, 2020-21.*

(iii) *Note:*
*Proportions of ecstasy, ketamine, GHB/GBL, methamphetamine, mephedrone and Any NPS as a percentage of any club drug use. Adults citing the use of multiple club drugs will be counted once under each drug they cite. Therefore figures may exceed the total (labelled any club drug use) and proportions may sum to more than 100%.
**Any club drug use is a percentage of all new treatment entrants.

## 9.21 Employment

| | Local | | National | |
|---|---|---|---|---|
| Employment Status | Total adults | Proportion of new presentation | Total adults | Proportion of new presentations |
| In education | 1 | 0% | 779 | 1% |
| Long term sick or disabled | 136 | 29% | 16,132 | 21% |
| Not stated/missing | 14 | 3% | 4,324 | 6% |
| Other | 2 | 0% | 990 | 1% |
| Regular employment | 87 | 19% | 16,590 | 21% |
| Unemployed | 229 | 49% | 39,349 | 50% |
| Unpaid voluntary work | 0 | 0% | 106 | 0% |

*Figure 55 Employment status of adults in drug treatment at the start of treatment, for Rotherham and England, 2020-21.*

| Outcome | Planned Start | | Planned Exit | | Unplanned Start | | Unplanned Exit | |
|---|---|---|---|---|---|---|---|---|
| Employment | N | % | N | % | N | % | N | % |
| Irregular (1-7 days) | 0 | 0% | 0 | 0% | 1 | 3% | 1 | 3% |
| Part-time (8-15 days) | 6 | 10% | 1 | 2% | 0 | 0% | 1 | 3% |
| Full time (16+ days) | 13 | 21% | 21 | 34% | 1 | 3% | 0 | 0% |
| Not working | 42 | 69% | 39 | 64% | 33 | 94% | 33 | 94% |

*Figure 56 Employment outcomes in Rotherham, 2020-21.*

| Outcome | Planned Start | | Planned Exit | | Unplanned Start | | Unplanned Exit | |
|---|---|---|---|---|---|---|---|---|
| Employment | N | % | N | % | N | % | N | % |
| Irregular (1-7 days) | 570 | 2% | 437 | 2% | 77 | 2% | 59 | 1% |
| Part-time (8-15 days) | 1,130 | 5% | 1,062 | 5% | 153 | 3% | 149 | 3% |
| Full time (16+ days) | 5,408 | 23% | 5,831 | 25% | 594 | 12% | 521 | 10% |
| Not working | 16,061 | 69% | 15,839 | 68% | 4,253 | 84% | 4,348 | 86% |

*Figure 57 Employment Outcomes in England, 2020-21.*

## 9.22 Housing and Homelessness

(i) The first part of 'Accommodation status' below shows self-reported housing status of adults when they started in your treatment services. The second presents key data from DLUHC on the overall homelessness decisions made and gives a wider sense of housing need in your area. This includes the numbers owed a prevention or relief duty with a support need of drug

dependency. The final section, 'No longer reported a housing need', shows those adults who successfully completed treatment with no housing problem reported. A safe, stable home environment enables people to sustain their recovery. Engaging with local housing and homelessness agencies can help ensure that the full spectrum of homelessness is understood: from homelessness prevention to rough sleeping.

| Housing Status | Local (n) | Proportion of new presentations | Male (%) | Female (%) | England (n) | Proportion of new presentations |
|---|---|---|---|---|---|---|
| Urgent problem (NFA) | 28 | 6% | 82% | 18% | 6308 | 8% |
| Housing Problem | 68 | 14% | 66% | 34% | 11244 | 14% |
| No housing problem | 373 | 80% | 78% | 22% | 60244 | 77% |
| Other | 0 | 0% | 0% | 0% | 31 | 0% |
| Missing / Incomplete | 0 | 0% | 0% | 0% | 443 | 1% |

*Figure 58 Accommodation status of adults in drug treatment at the start of treatment, for Rotherham and England, 2020-21.*

| Local | | | | National | | | |
|---|---|---|---|---|---|---|---|
| Total adults | Proportion | Male (%) | Female (%) | Total adults | Proportion | Male (%) | Female (%) |
| 2 | 50% | 67% | 0% | 2,069 | 83% | 83% | 84% |

*Figure 59 Adults successfully completing treatment but no longer reporting a housing need, for Rotherham and England, 2020-21.*

## 9.23 Length of time in treatment

(i) The data below shows the proportion of drug users, split by adults in treatment with opiate problems under two years and six years or over and adults in treatment with non-opiate problems for over two years. Adults that have been in treatment for long periods of time (six years or over for adults with opiate problems and over two years for adults with non-opiate problems) will usually find it harder to successfully complete treatment. Current data shows that adults with opiate problems who successfully complete within two years of first starting treatment have a higher likelihood of achieving sustained recovery.

| Length of time in treatment | Local (n) | Proportion of all in treatment | Male (%) | Female (%) | England (n) | Proportion of all in treatment |
|---|---|---|---|---|---|---|
| Proportion of adults with opiate problems in treatment for under two years | 431 | 40% | 40% | 40% | 65496 | 46% |
| Proportion of adults with opiate problems in treatment for six years or more | 352 | 33% | 34% | 32% | 37800 | 27% |

*Figure 60 Length of time in treatment for adults with opiate problems (under 2 years and six years or more), for Rotherham and England, 2020-21.*

| Drug group | Local (n) | Proportion of all in treatment | Male (%) | Female (%) | England (n) | Proportion of all in treatment |
|---|---|---|---|---|---|---|
| Alcohol and non-opiates | 6 | 4% | 4% | 4% | 1039 | 3% |
| Non-opiates | 7 | 4% | 0% | 6% | 704 | 3% |

*Figure 61 Length of time in treatment for adults with non-opiate problems for two years or more, for Rotherham and England, 2020-21.*

## 9.24 In treatment outcomes

(i) The data below is drawn from the Treatment Outcomes Profile (TOP), which tracks the progress drug users make in treatment. This includes information on rates of abstinence from drugs and statistically significant reductions in drug use and injecting. Data from NDTMS suggests that adults who stop using illicit opiates in the first six months of treatment are almost five times more likely to complete successfully than those who continue to use.

| | Local | | | | England | | | |
|---|---|---|---|---|---|---|---|---|
| Drug group | Total adults | Proportion | Male (%) | Female (%) | Total adults | Proportion | Male (%) | Female (%) |
| Alcohol use (adjunctive) | 22 | 27% | 28% | 23% | 5,026 | 32% | 31% | 33% |
| Amphetamine use | 4 | 80% | 100% | 50% | 689 | 65% | 64% | 65% |
| Cannabis use | 18 | 26% | 28% | 20% | 5,769 | 42% | 42% | 40% |
| Cocaine use | 15 | 54% | 62% | 29% | 5,931 | 69% | 69% | 70% |
| Crack use | 33 | 34% | 38% | 25% | 6,953 | 48% | 50% | 43% |
| Opiate use | 81 | 46% | 49% | 38% | 11,022 | 51% | 52% | 49% |

*Figure 62 Rates of abstinence from drugs at six months review, for Rotherham and England, 2020-21.*

| | Local | | | | England | | | |
|---|---|---|---|---|---|---|---|---|
| Drug group | Total adults | Proportion | Male (%) | Female (%) | Total adults | Proportion | Male (%) | Female (%) |
| Alcohol use (adjunctive) | 9 | 11% | 8% | 18% | 2,761 | 17% | 18% | 17% |
| Amphetamine use | 0 | 0% | 0% | 0% | 79 | 7% | 7% | 7% |
| Cannabis use | 7 | 10% | 10% | 10% | 1,744 | 13% | 12% | 13% |
| Cocaine use | 1 | 4% | 0% | 14% | 898 | 10% | 11% | 9% |
| Crack use | 18 | 19% | 19% | 18% | 2,509 | 17% | 17% | 18% |
| Opiate use | 33 | 19% | 19% | 18% | 4,428 | 21% | 21% | 20% |

*Figure 63 Rates of abstinence from drugs at six months review, for Rotherham and England, 2020-21.*

| | Local | | | | England | | | |
|---|---|---|---|---|---|---|---|---|
| Injecting use | Total adults | Proportion | Male (%) | Female (%) | Total adults | Proportion | Male (%) | Female (%) |
| Adults no longer injecting at six month review | 32 | 54% | 58% | 44% | 3,599 | 63% | 63% | 61% |

*Figure 64 Rates of abstinence from drugs at six months review, for Rotherham and England, 2020-21.*

## 9.25 Successful completions

(i) The data below shows the proportion of drug users who complete their treatment free of dependence, the progress your area has made on people successfully completing treatment, and those successfully completing who do not relapse and re-enter treatment. Helping people to overcome drug dependence is a core function of any local drug treatment system. Although many individuals will require a number of separate treatment episodes spread over many years, most individuals who complete successfully do so within two years of treatment entry.

| Drug group | Local (n) | Proportion of treatment population | Male (%) | Female (%) | England (n) | Proportion of treatment population | Male (%) | Female (%) |
|---|---|---|---|---|---|---|---|---|
| Non-opiate | 68 | 22% | 20% | 26% | 18,699 | 33% | 33% | 32% |
| Opiate | 25 | 2% | 2% | 3% | 6,701 | 5% | 5% | 5% |

*Figure 65 Proportion of all in opiate treatment, who successfully completed treatment and did not re-present within 6 months (PHOF C19a/C19b), for Rotherham and England, 2017-18 to 2020-21.*

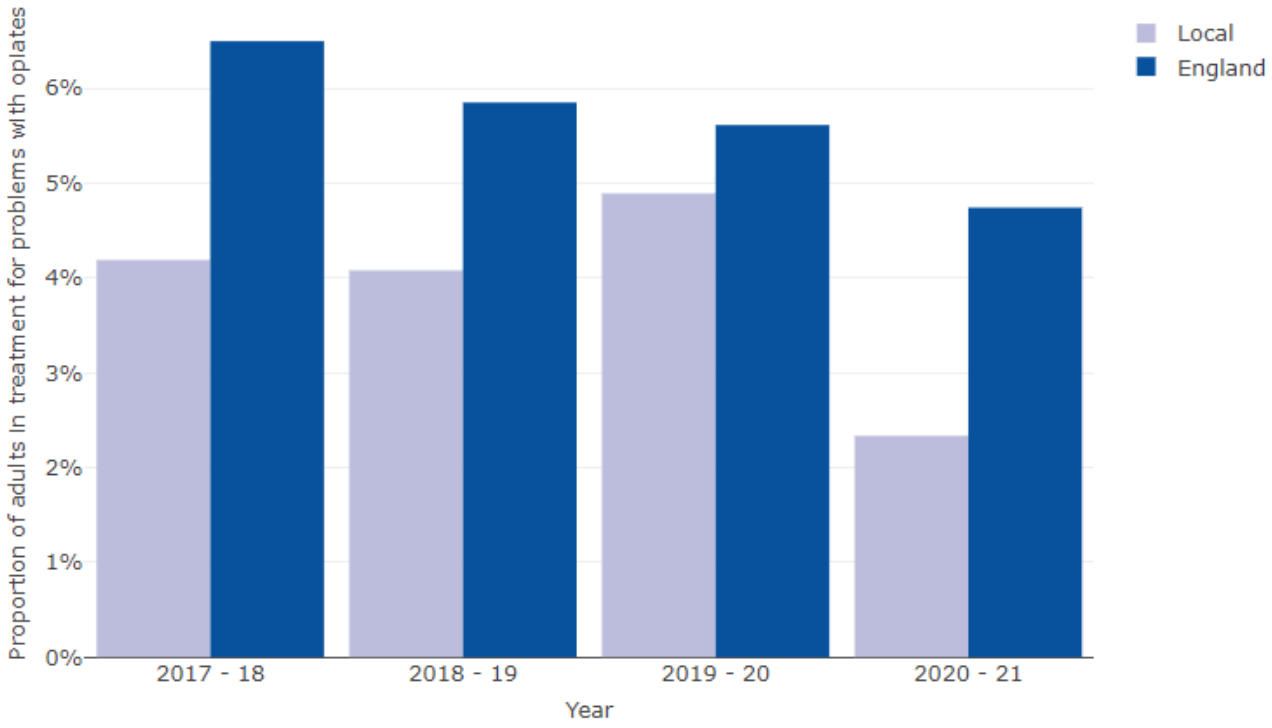



*Figure 66 Proportion of all in opiate treatment, who successfully completed treatment and did not re-present within 6 months (PHOF C19a/C19b), for Rotherham and England, 2017-18 to 2020-21.*

| Drug group | Local (n) | Proportion of treatment population | Male (%) | Female (%) | England (n) | Proportion of treatment population | Male (%) | Female (%) |
|---|---|---|---|---|---|---|---|---|
| Alcohol and non-opiate | 17 | 12% | 11% | 20% | 10,191 | 33% | 34% | 33% |
| Non-opiate | 31 | 19% | 20% | 19% | 9,991 | 36% | 36% | 36% |
| Opiate | 26 | 2% | 2% | 3% | 6,936 | 5% | 5% | 5% |
| **Total** | **74** | **5%** | **5%** | **6%** | **27,118** | **14%** | **13%** | **14%** |

*Figure 67 Successful completions as a proportion of total number in treatment, for Rotherham and England, 2020-21.*

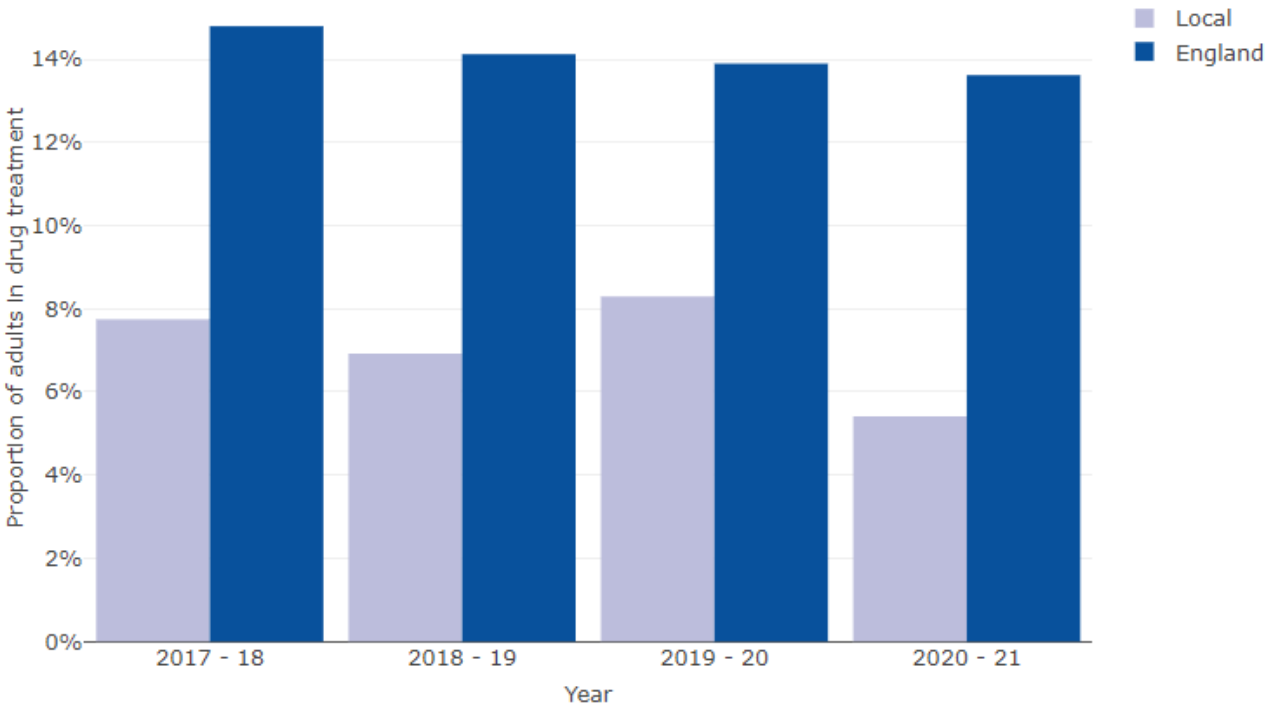



*Figure 68Successful completions as a proportion of total number in treatment (for all drug groups), for Rotherham and England, 2017-18 to 2020-21.*

## 9.26 Deaths in treatment

(i) This data shows the number of people in drug treatment who were recorded as having died while in treatment within the year (based on NDTMS discharge reason field).

(ii) In 2020-21, there was a 18% increase at a national level in the number of people recorded as having died while in treatment for drug misuse, with wide local variation. It is likely that changes to drug treatment, reduced access to broader healthcare services, changes to lifestyle and social circumstances during lockdowns, as well as COVID-19 itself, will have contributed to this increase. Commissioners and providers are encouraged to consider any actions they can take towards reducing deaths in treatment.

| Drug group | Local (n) | Proportion of treatment population | Male (%) | Female (%) | England (n) | Proportion of treatment population | Male (%) | Female (%) |
|---|---|---|---|---|---|---|---|---|
| Alcohol and non-opiate | 1 | 0.7% | 0.9% | 0.0% | 169 | 0.6% | 0.6% | 0.4% |
| Non-opiate | 1 | 0.6% | 0.9% | 0.0% | 75 | 0.3% | 0.3% | 0.2% |
| Opiate | 18 | 1.7% | 1.7% | 1.7% | 2,418 | 1.7% | 1.8% | 1.6% |
| **Total** | **20** | **1.5%** | **1.5%** | **1.4%** | **2,662** | **1.3%** | **1.4%** | **1.2%** |

*Figure 69 Number and proportion of deaths in drug treatment by drug group for Rotherham and England, 2020-21.*

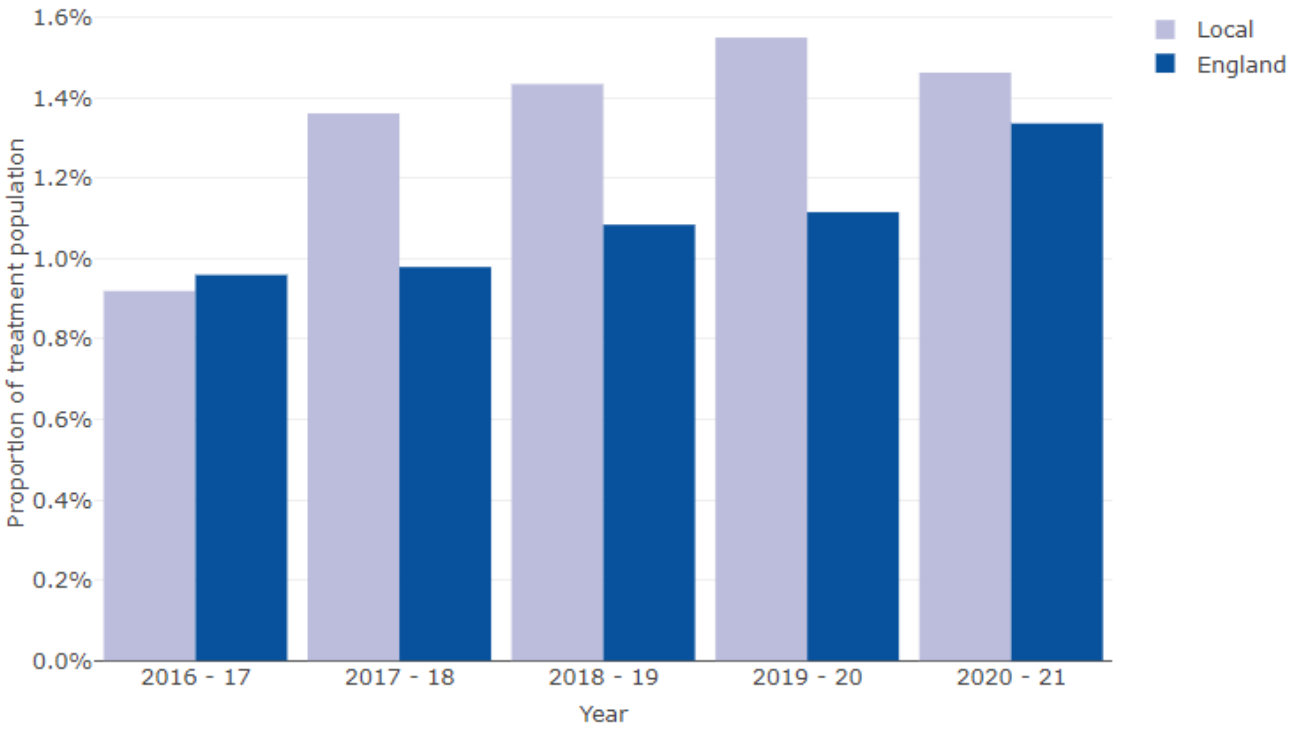



*Figure 70 Number and proportion of deaths in drug treatment by drug group for Rotherham and England, 2020-21.*

## 10 Additional drugs data

The following links provide information regarding additional drug-related data sources which may be available to you either locally or via national surveys or data collection systems.

(iii) Adult Alcohol and Drug Treatment Commissioning Tool *The commissioning tool comprises a cost calculator and cost effectiveness analysis (CEA) to support areas in estimating local spend on treatment interventions and cost-effectiveness.*
https://www.ndtms.net/VFM

(iv) The Social Return on Investment (SROI) of Adult Alcohol and Drug Interventions *The SROI tool estimates the crime, health and social care benefits of investing in drug and alcohol services at a local level.*
https://www.ndtms.net/VFM

(v) Estimates of the prevalence of opiate use and/or crack cocaine use, 2016/17 *Provides estimates of the prevalence of opiate and/or crack cocaine use at the regional and national level in England for 2016/17.*
https://www.gov.uk/government/publications/opiate-and-crack-cocaine-use-prevalence-estimates-for-local-populations

(vi) Crime survey for England and Wales: Drug misuse declared *Contains information about drug use by region, including information about levels of use of particular drugs in different parts of the country.*
https://www.gov.uk/government/statistics/drug-misuse-findings-from-the-2018-to-2019-csew

(vii) Deaths Related to Drug Poisoning in England and Wales: 2020 registrations *National Statistics on deaths related to drug poisoning (both legal and illegal drugs) and drug misuse (involving illegal drugs) in England and Wales.*
https://www.ons.gov.uk/releases/deathsrelatedtodrugpoisoninginenglandandwales2020registrations

(viii) Shooting Up: infections among people who inject drugs in the UK *Describes the extent of infections among people who inject drugs (PWID) in the United Kingdom.*
https://www.gov.uk/government/publications/shooting-up-infections-among-people-who-inject-drugs-in-the-uk

(ix) Local authority revenue expenditure and financing England: 2019 to 2020 individual local authority data - outturn *Contains provisional outturn data of local authority revenue expenditure and financing for the financial year April 2019 to March 2020.*
https://www.gov.uk/government/statistics/local-authority-revenue-expenditure-and-financing-england-2019-to-2020-individual-local-authority-data-outturn

(x) National Drug Treatment Monitoring System performance reports *A collection of reports available on a monthly, quarterly and annual basis, providing detailed information on those in structured drug and alcohol treatment from the NDTMS. Access is partially restricted and granted to PHE staff, commissioners and local authorities.*
https://www.ndtms.net/Monthly

## 11 Wider public health data

(xi) Public Health Outcomes Framework (PHOF) *A collection of outcomes indicators covering the full spectrum of public health. The alcohol and drugs PHOF indicators (C19a, C19b, C19c*

*and C19d) are presented in the 'health improvement' domain. Comparisons with a benchmark and trend data are provided and information is updated on a quarterly basis.*

https://fingertips.phe.org.uk/profile/public-health-outcomes-framework/data#page/4/gid/1000042/pat/6/par/E12000004/ati/302/are/E06000015/iid/90244/age/168/sex/4/cid/4

# 12 Alcohol - Introduction

(i) The health harms associated with alcohol consumption in England are widespread, with around 10.4 million adults *(Health Survey for England 2019, NHS Digital)* drinking at levels that pose some level of risk to their health; of these, around 1.8 million are higher risk drinkers. Due to the breadth of these problems, this Needs Assessment provides a range of alcohol-related data. Firstly, in relation to different levels of alcohol-related harm in the Rotherham local population and secondly data in Rotherham's local alcohol treatment system.

(ii) The data in this section has been taken from the Local Alcohol Profiles for England (LAPE) and comparisons to local and national benchmarks are provided. Further information on alcohol-related harm in your local area can be found on the Public Health Profiles (Health Profiles) tool at:

http://fingertips.phe.org.uk/profile/local-alcohol-profiles

(iii) In the second section of this report there is key information about adult alcohol clients in Rotherham's alcohol treatment system during 2020-21, alongside national data for comparison. The data is taken from the National Drug Treatment Monitoring System (NDTMS) and reflects activity reported for individuals in structured alcohol treatment (this does not include data from hospital-based alcohol care teams).

## 12.1 Data on alcohol-related harm in Rotherham

(i) The following sections that use LAPE data make comparisons against the national average.

(ii) Where cells appear with an asterisk (*), small numbers have been suppressed to prevent disclosure or values cannot be calculated as the number of cases is too small. Please refer to the technical guidance for further information on this.

## 12.2 The impact of COVID-19 on alcohol-related harm

(i) When reviewing this data to gauge the extent to which alcohol is impacting on the health of your local population, commissioners are also encouraged to consider how alcohol consumption and alcohol-related harm may have changed in the local area over the course of the COVID-19 pandemic.

(ii) The population health data set out in this report does not cover the year of the pandemic, except some initial earlier analysis of the latest available data which is set out in section xx. While not currently available at the local level, there is useful data published by OHID (formerly PHE) on the Wider Impacts for COVID-19 on Health (WICH) dashboard which supports exploration of the indirect effects of the pandemic on the population's health.

(iii) Analysis of the WICH data for the PHE report shows a reduction in the rate of unplanned admissions to hospital for alcohol-specific causes in 2020, down by 3.2% compared to 2019. This drop was largely driven by reduced admissions for mental and behavioural disorders due to alcohol use. Unplanned admissions for alcoholic liver disease were the only alcohol-specific unplanned admissions to increase between 2019 and 2020, with significant increases showing from June 2020 onwards. There were rapid decreases in the rate of alcohol-specific admissions that coincided with the start of the pandemic and the first national lockdown. It is important to note that this pattern was not unique to alcohol. All unplanned admissions, irrespective of cause, sharply decreased as the pandemic took hold. This 'lockdown effect' likely relates to psychological factors where people reported avoiding hospitals to ease the pressure on the NHS and because they were perceived as high-risk settings for catching COVID.

(iv) The data reported on WICH also shows an increase in total alcohol-specific disease deaths, driven by an unprecedented annual increase in alcoholic liver disease deaths above levels seen pre-pandemic. Between 2019 and 2020, death from alcoholic liver disease increased by 20.8% compared to an increase of 2.9% between 2018 and 2019. Between 2019 and 2020, deaths from mental and behavioural disorders due to alcohol use and alcohol poisonings increased by 10.8% and 15.4% respectively, compared to a respective 1.1% increase and 4.5% decrease between 2018 and 2019.

(v) A detailed commentary on changes in alcohol-specific hospital admissions and deaths during the pandemic can be found in PHE's report and the WICH dashboard. The data can be broken down further, for example by age, sex, or deprivation.

## 12.3 Impact of COVID-19 on drug and alcohol treatment

(i) Like other services, drug and alcohol treatment services were affected by the need to protect their service users and staff in the pandemic, especially in the early stages. Most services had to restrict face-to-face contacts which affected the types of interventions that service users received. Fewer service users were able to access community and inpatient detoxification for alcohol. Beyond drug and alcohol treatment itself, testing and treatment for blood-borne viruses and liver disease were also greatly reduced. These, and other changes to service provision, will have impacted on many of the indicators included in this report.

(ii) In 2020-21 there was an 44% increase at a national level in the number of people recorded as having died while in treatment for alcohol alone. There is wide local variation in this increase in deaths in treatment. These deaths are not likely to be predominantly attributable to COVID-19 infection and occurred within the context of an increase in alcohol-specific deaths in the wider population.

(iii) It is likely that changes to alcohol and drug treatment, reduced access to broader healthcare services, changes to lifestyle and social circumstances during lockdowns, as well as COVID-19 itself, will have contributed to an increase in the number of service users who died while in treatment during 2020-21. Commissioners and providers are encouraged to consider any actions they can take towards reducing deaths in treatment.

## 12.4 Hospital admissions due to alcohol

(i) The data below reflects the general impact of alcohol on population health. Alcohol-related hospital admissions can be due to regular alcohol use that is above low risk levels and are

most likely to involve increasing risk drinkers, higher risk drinkers, dependent drinkers and binge drinkers. Health conditions in which alcohol plays a causative role can be classified as either ‘alcohol-specific’ or ‘alcohol-related’.

(ii) The first two indicators below refer to ‘alcohol-specific’ conditions, where alcohol is causally implicated in all cases, e.g. alcohol poisoning or alcoholic liver disease. The subsequent two indicators are for ‘alcohol-related conditions’ which include all alcohol-specific conditions, plus those where alcohol is causally implicated in some but not all cases, for example high blood pressure, various cancers and falls.

(iii) **Admissions episodes for alcohol-specific conditions - under 18s / all ages** give an indication of the direct health impact of alcohol on the health of that group (includes both male and female).

(iv) **Admission episodes for alcohol-related conditions** was developed as a measure of pressures from alcohol on health systems. For this indicator the alcohol-attributable fractions* are applied in order to estimate the number of admissions, rather than the number of people. Within this there are two types of measure; broad and narrow. ‘Broad’ is an indication of the totality of alcohol health harm in the local adult population. ‘Narrow’ shows the number of admissions where an alcohol-related illness was the main reason for admission. This definition is more responsive to change resulting from local action on alcohol and is included as an indicator in the *Public Health Outcomes Framework (PHOF).*

(v) The alcohol-attributable fraction estimates have recently been updated to take account of the latest academic evidence and more recent alcohol consumption figures. The result has been that the national hospital admission rates for alcohol-related conditions are lower than previously estimated. This does not mean the risk from alcohol consumption to individuals has decreased. (A fuller explanation is available here: *https://www.rsph.org.uk/about-us/news/guest-blog-alcohol-attributable-deaths-and-hospital-admissions-in-england-when-the-information-changes.html).*

(vi) The data for admission episodes for alcohol-related conditions has been revised back to 2016-17, using the latest alcohol-attributable fractions, so trend data shown in the tables below is comparable.

(vii) To address the harm reflected in this data, successful plans will employ what is known to work in terms of: effective prevention; health improvement interventions for those at risk; treatment and recovery services for dependent drinkers; and action to reduce binge drinking and the harms associated with it.

(viii) **Guidance overview: Alcohol-attributable fractions for England: an update - GOV.UK (www.gov.uk)*
**Proposed changes for calculating alcohol-related mortality - GOV.UK (www.gov.uk)*
*The data displayed below is sourced from LAPE,PHE.*

### 12.4.1 Alcohol-specific conditions

All Ages

| Admission episodes for alcohol-specific conditions by area | DSR per 100,000 | LCL | UCL | Trend 2008-09 to 2019-20 |
|---|---|---|---|---|
| Local | 582 | 552 | 612 | |
| England | 644 | 642 | 646 | |

*Note:*
DSR - Directly Standardised Rates.
LCL - 95% Lower Confidence Limit.
UCL - 95% Upper Confidence Limit.

*Figure 71 All Ages admissions in Rotherham and England, 2019-20*

Under 18s

| Admission episodes for alcohol-specific conditions* by area | Crude rate per 100,000 | LCL | UCL | Trend 2008-09 to 2019-20 |
|---|---|---|---|---|
| Local | 15 | 10 | 22 | |
| England | 31 | 30 | 31 | |

*Note:*
*Crude rate per 100,000

*Figure 72 Under 18s admissions in Rotherham and England, 2017-18 to 2019-20*

### 12.4.2 Alcohol-related conditions

Broad

| Admission episodes for alcohol-related conditions by area | DSR per 100,000 | LCL | UCL | Trend 2016-17 to 2019-20 |
|---|---|---|---|---|
| Local | 1,795 | 1,744 | 1,847 | |
| England | 1,815 | 1,811 | 1,818 | |

*Figure 73 Admission episodes for alcohol-related conditions (Broad) for Rotherham and England, 2019-20*

| Narrow | | | | |
|---|---|---|---|---|
| Admission episodes for alcohol-related conditions by area | DSR per 100,000 | LCL | UCL | Trend 2016-17 to 2019-20 |
| Local | 583 | 554 | 614 |  |
| England | 519 | 517 | 521 |  |

*Figure 74 Admission episodes for alcohol-related conditions (Narrow) (PHOF C21*) for Rotherham and England, 2019-20*

(ix) Note:
There is currently dual reporting of indicator C21 on the Public Health Outcomes Framework – based on both the old and new methodologies. To view the data based on the new methodology select the geography version for the most recent geography (from April 2021). From the end of 2021 all reporting of this indicator will be based on the new methodology.

# 13 Alcohol-related conditions

(i) Alcohol has been identified as a factor in more than 60 medical conditions, many leading to hospital admission. The conditions below have been selected because of their prevalence or because they are of particular concern for some local areas and may be the focus of wider strategic action. The final indicator looks at the incidence rate of cancer by sex. This is based on data from NCRAS (National Cancer Registration and Analysis Service) as this is more indicative of the incidence of alcohol-related cancer in Rotherham.

(ii) Men account for the majority (65%) of alcohol-related admissions. This reflects a higher level of harmful drinking among men compared to women overall *(Statistics on alcohol 2019, NHS Digital).* The indicators here are provided by sex in order to reflect this differential harm.

(iii) *The data displayed below is sourced from LAPE,PHE.*

## 13.1.1 Alcohol-related cardiovascular disease (Broad)

| Local | | | |
|---|---|---|---|
| Admission episodes for alcohol-related cardiovascular disease (Broad) by sex | DSR per 100,000 | LCL | UCL |
| Female | 233 | 208 | 259 |
| Male | 1,440 | 1,373 | 1,510 |

*Figure 75 Admission episodes for alcohol-related cardiovascular disease (Broad) for Rotherham, 2019-20*

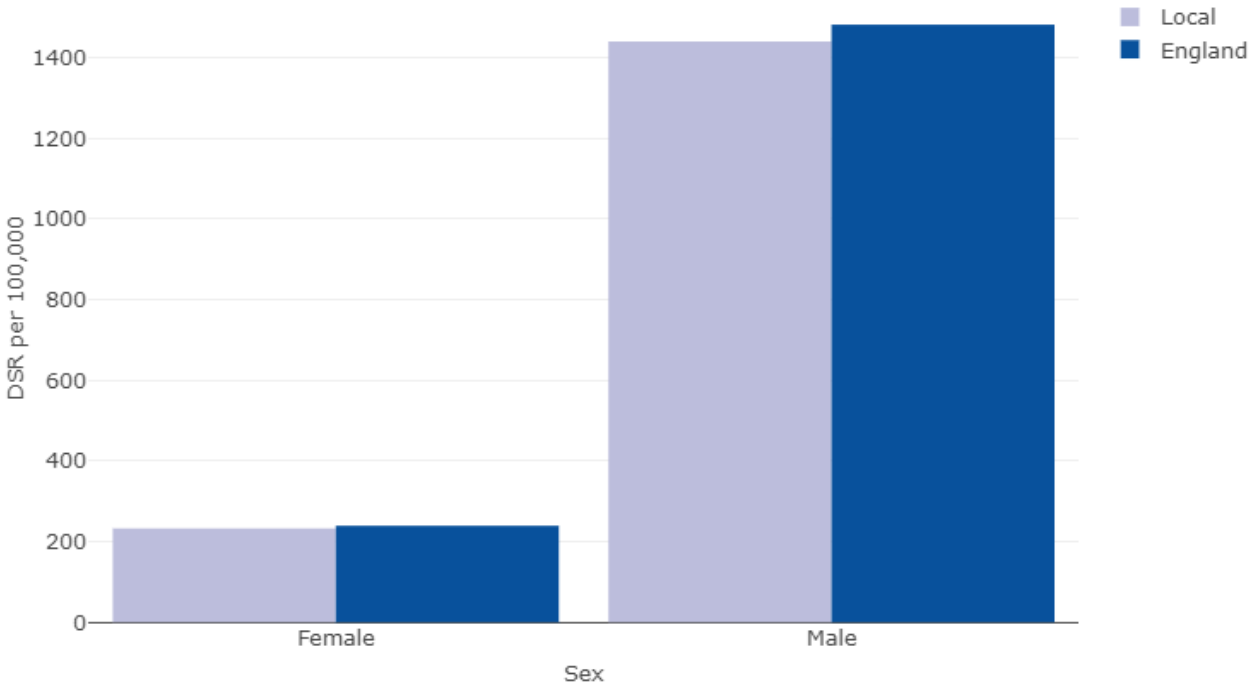



*Figure 76 Admission episodes for alcohol-related cardiovascular disease (Broad) by sex for Rotherham and England, 2019-20*

### 13.1.2 Alcoholic liver disease (Broad)

| | Local | | |
|---|---|---|---|
| Admission episodes for alcoholic liver disease (Broad) by sex | DSR per 100,000 | LCL | UCL |
| Female | 83.0 | 68.1 | 100.3 |
| Male | 176.3 | 153.9 | 201.0 |

*Figure 77 Admission episodes for alcoholic liver disease (Broad) for Rotherham, 2019-20*

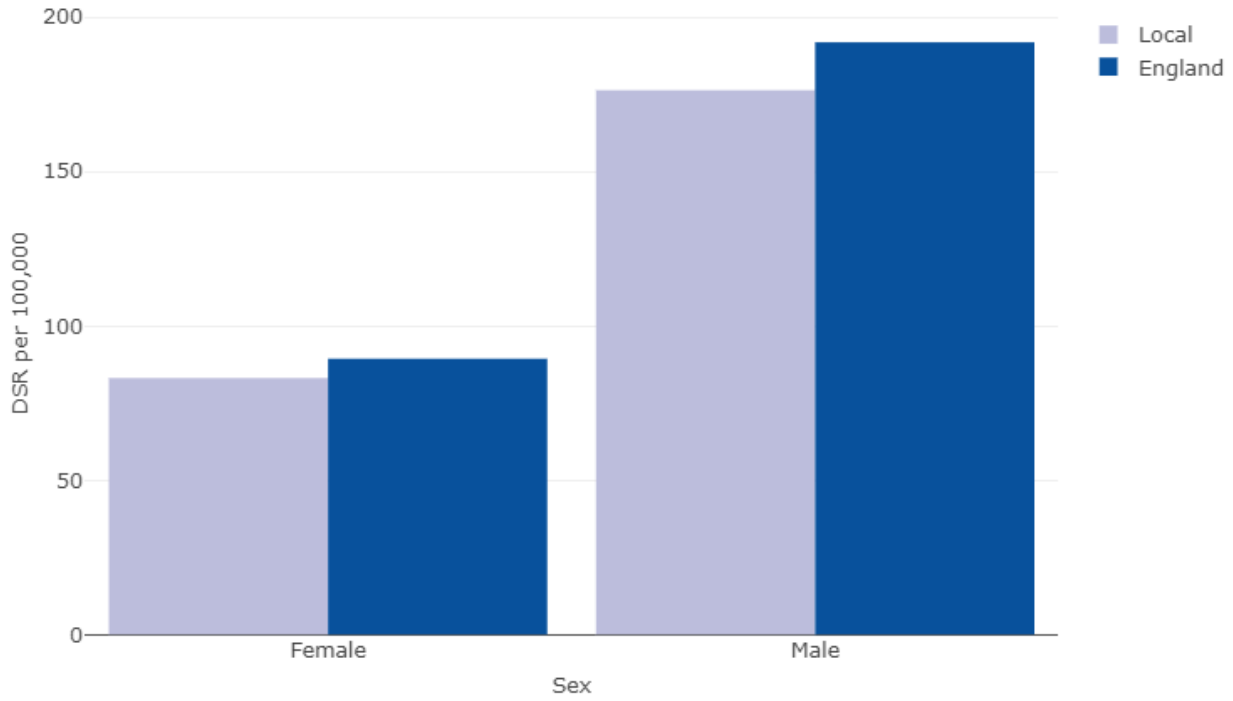



*Figure 78 Admission episodes for alcoholic liver disease (Broad) for Rotherham, 2019-20*

### 13.1.3 Alcohol-related unintentional injuries (Narrow)

| | Local | | |
|---|---|---|---|
| Admission episodes for alcohol-related unintentional injuries (Narrow) by sex | DSR per 100,000 | LCL | UCL |
| Female | 13.8 | 8.2 | 21.8 |
| Male | 96.0 | 79.8 | 114.6 |

*Figure 79 Admission episodes for alcohol-related unintentional injuries (Narrow) for Rotherham, 2019-20*

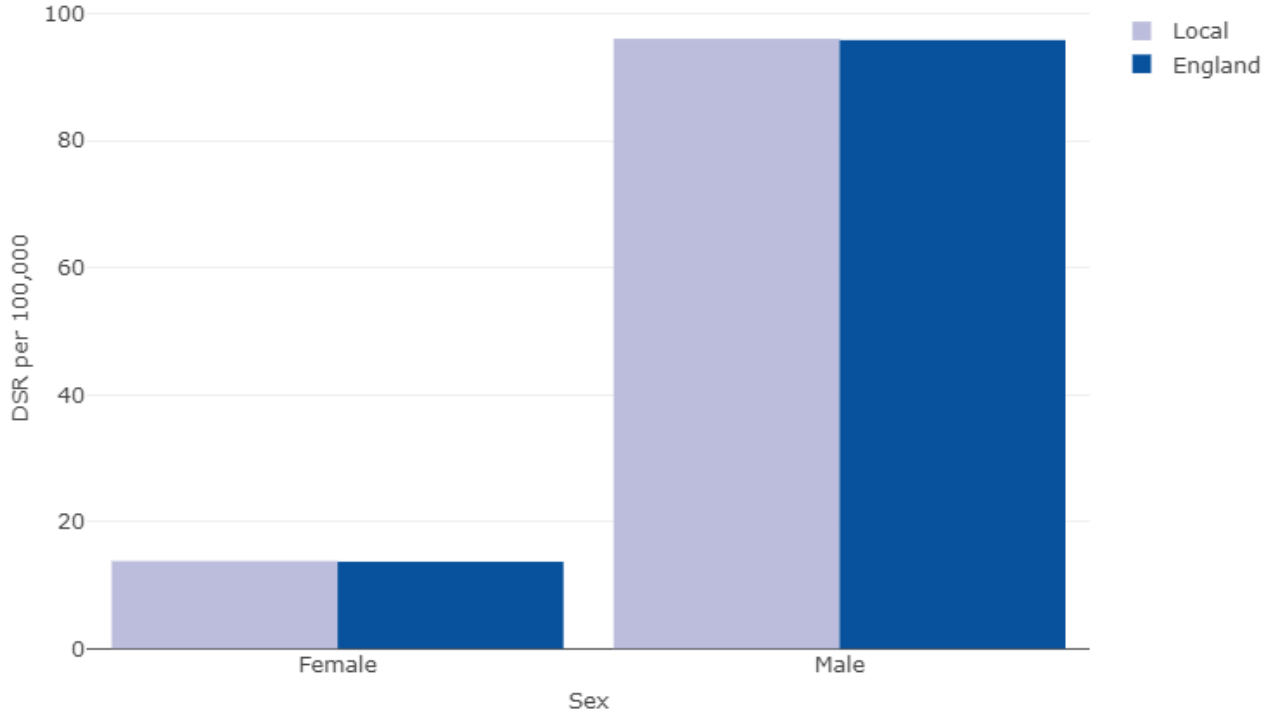



*Figure 80 Admission episodes for alcohol-related unintentional injuries (Narrow) for England, 2019-20*

### 13.1.4 Mental and behavioural disorders due to use of alcohol (Narrow)

| | Local | | |
|---|---|---|---|
| Admission episodes for mental and behavioural disorders due to use of alcohol (Narrow) by sex | DSR per 100,000 | LCL | UCL |
| Female | 51.5 | 39.6 | 65.7 |
| Male | 79.7 | 64.6 | 97.2 |

*Figure 81 Admission episodes for mental and behavioural disorders due to use of alcohol (Narrow) for Rotherham, 2019-20*

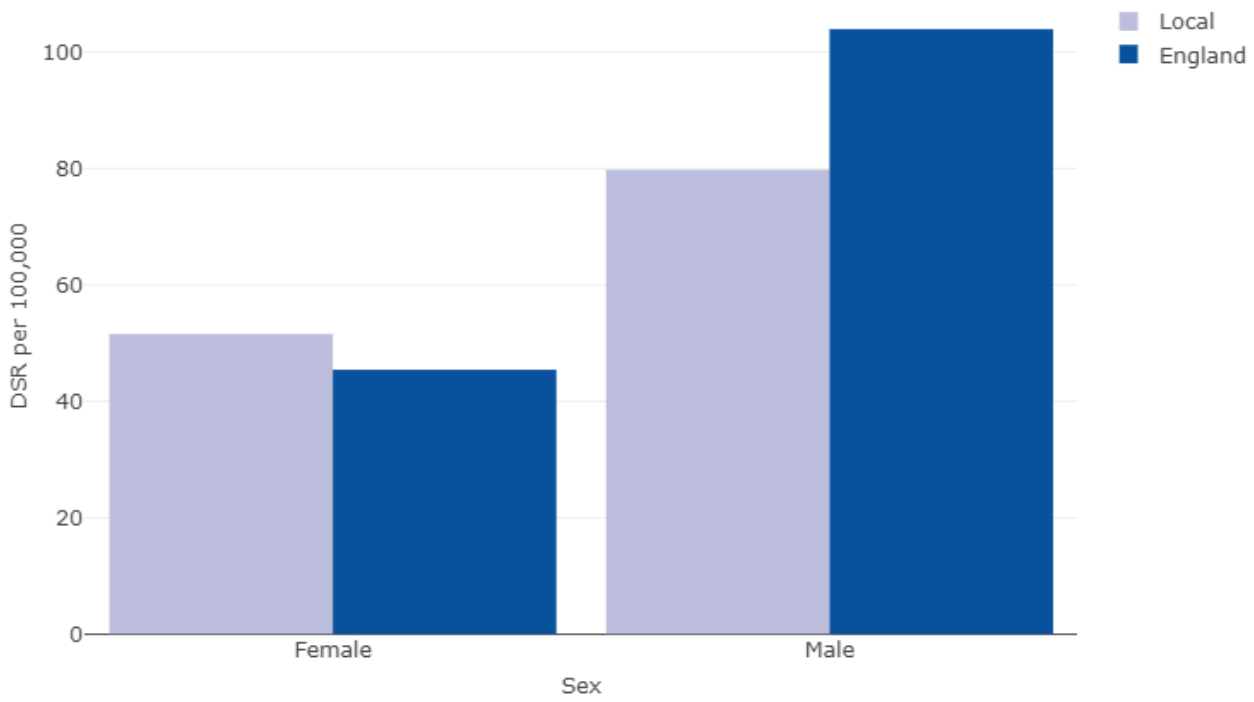



*Figure 82 Admission episodes for mental and behavioural disorders due to use of alcohol (Narrow) by sex for Rotherham and England, 2019-20*

### 13.1.5 Intentional self-poisoning by and exposure to alcohol (Narrow)

| | Local | | |
|---|---|---|---|
| Admission episodes for intentional self-poisoning by and exposure to alcohol (Narrow) by sex | DSR per 100,000 | LCL | UCL |
| Female | 40.4 | 30 | 53.2 |
| Male | 50.8 | 39 | 65.1 |

*Figure 83 Admission episodes for intentional self-poisoning by and exposure to alcohol (Narrow) for Rotherham, 2019-20*

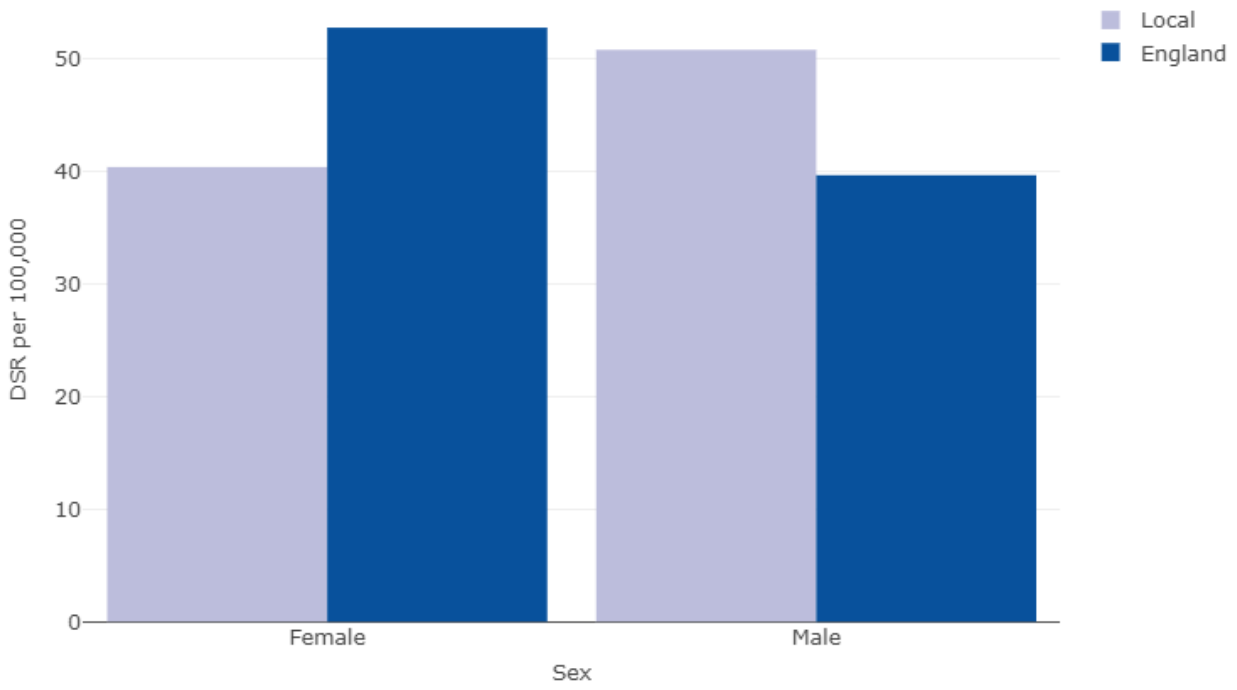



*Figure 84 Admission episodes for intentional self-poisoning by and exposure to alcohol (Narrow) for Rotherham, 2019-20*

## 14 Frequent hospital admissions

(i) Data on individuals who are admitted to hospital frequently for alcohol-specific conditions has been included to give an indication of the number of drinkers who place a heavy burden on health services and, very often, on social, housing and criminal justice services. The fact that these people are suffering ongoing alcohol-specific ill health suggests that they may not have had contact with treatment services, or if they have, it is likely that services have not engaged with them for long enough for them to achieve sustained abstinence. The data below shows, for those individuals who had an alcohol specific hospital admission in 2020-21, the number of previous alcohol-specific admissions they had in the preceding 24 months.

(ii) *The data displayed below has been sourced from* Hospital Episode Statistics data (Source: NHS Digital) *and ONS population data, analysed by PHE.*

| Type | Local (n) | Local rate per 100,000 | LCL | UCL | England (n) | England rate per 100,000 | LCL | UCL |
|---|---|---|---|---|---|---|---|---|
| No prior admission | 875 | 422 | 396 | 451 | 101,440 | 228 | 227 | 230 |
| 1 prior admission | 255 | 123 | 109 | 139 | 30,657 | 69 | 68 | 70 |
| 2 prior admissions | 115 | 55 | 45 | 65 | 16,085 | 36 | 36 | 37 |
| 3+ prior admissions | 175 | 84 | 73 | 98 | 38,200 | 86 | 85 | 87 |

*Figure 85 Adults (18+) with alcohol-specific hospital admissions in 2020-21 and number of admissions in the preceding 24 months for Rotherham and England*

(iii) *Note:* In order to protect patient confidentiality local values between 1-7 have been replaced with '<7' for all local authority breakdowns where it is possible to calculate a value between 1 and 7 from the data presented. Also, all other Local (n) numbers have been rounded to the nearest 5.NA - Data not available

## 15 Mortality and years of life lost

(i) The data here reflects the level of chronic heavy drinking in the population and is most likely to be found in higher risk drinkers and dependent drinkers

(ii) Years of life lost indicate the contribution of alcohol misuse to premature death. Early death from chronic conditions is disproportionately prevalent in lower socio-economic groups and is likely to place demand on health and social care services prior to death. The death of people of working age will additionally impact on productivity.

(iii) High rates of alcohol-specific mortality and mortality from chronic liver disease are likely to indicate a significant population who have been drinking heavily and persistently over the past 10 - 30 years (obesity is also a key factor for liver disease). Although not yet reflected in the data provided in this Needs Assessment, at a national level there has been an unprecedented increase in the rate of alcohol-specific deaths recorded in 2020 during the pandemic compared with 2019. This increase in total alcohol-specific deaths was brought about in the main by increases in deaths from alcoholic liver disease and high mortality rates have been sustained into 2021.

(iv) As previously indicated, the alcohol-attributable fraction estimates have recently been updated to take account of the latest academic evidence and more recent alcohol consumption figures. Because of this, at the population level, the number of deaths attributed to alcohol is lower than it was before. This doesn't mean the risk from alcohol consumption to individuals has decreased.

Guidance overview: Alcohol-attributable fractions for England: an update - GOV.UK (www.gov.uk)

Proposed changes for calculating alcohol-related mortality - GOV.UK (www.gov.uk)

(v) Alcohol-related deaths made up around 4% of all deaths in 2019 (ONS, 2021). Of these, about a quarter are alcohol-specific deaths – e.g. from alcohol poisoning, alcoholic liver disease, alcoholic pancreatitis. The remaining alcohol-related deaths are from conditions partially related to alcohol, roughly two thirds of which are from chronic conditions – e.g. cardiovascular diseases and cancers, with the remainder caused by acute consequences such as road traffic accidents or intentional self-harm. The rate of chronic liver disease mortality in the most deprived quintile (17.6 per 100,000 of the population) is almost double the rate in the least deprived (9.1) (Source: LAPE, PHE).

(vi) *The data displayed below is sourced from* LAPE,PHE.

### 15.1.1 Years of life lost due to alcohol-related conditions

| | Local | | |
|---|---|---|---|
| Years of life lost due to alcohol-related conditions (Old Method) by sex | DSR per 100,000 | LCL | UCL |
| Female | 449 | 255 | 702 |
| Male | 1,046 | 734 | 1,413 |

*Figure 86 Years of life lost due to alcohol-related conditions for Rotherham, 2018*

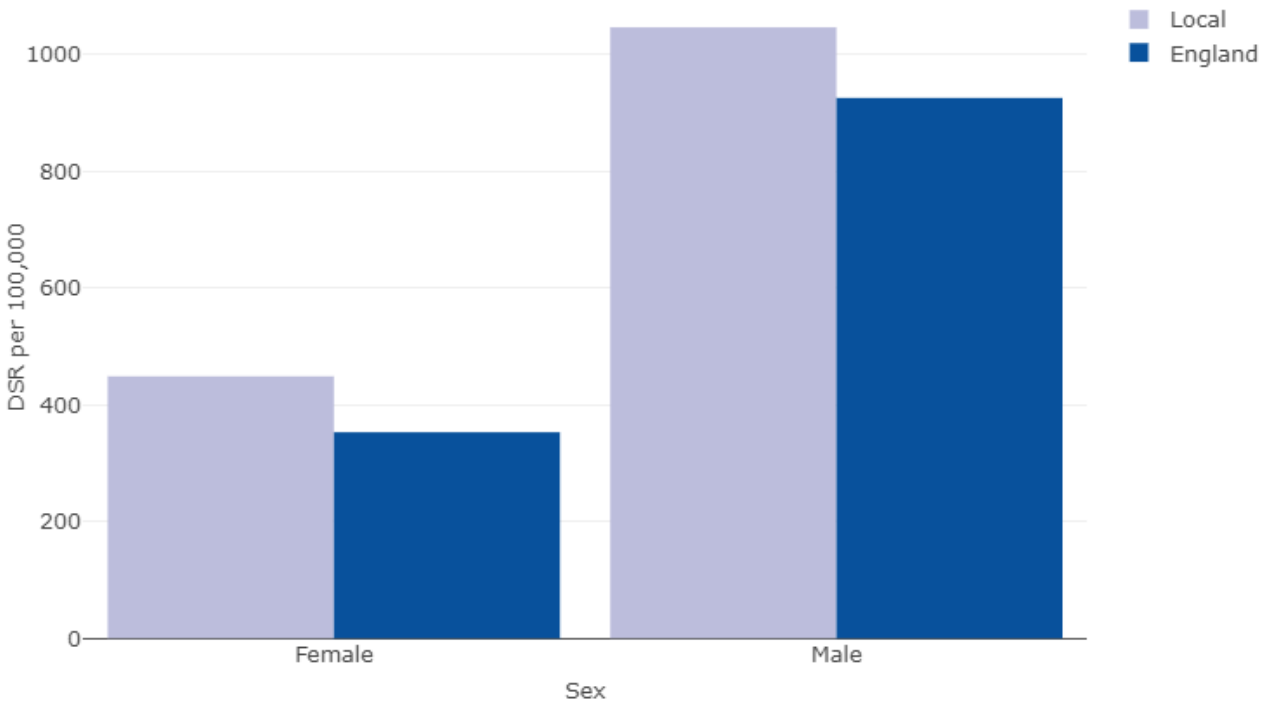



*Figure 87 Years of life lost due to alcohol-related conditions by sex for Rotherham and England, 2018*

### 15.1.2 Alcohol-specific mortality

Alcohol-specific mortality

| Area | DSR per 100,000 | LCL | UCL | Trend 2006-08 to 2017-19 |
|---|---|---|---|---|
| Local | 13.3 | 10.8 | 16.1 | |
| England | 10.9 | 10.7 | 11.1 | |

*Figure 88 Alcohol-specific mortality for Rotherham and England, 2017-19*

Mortality from chronic liver disease

| Area | DSR per 100,000 | LCL | UCL | Trend 2006-08 to 2017-19 |
|---|---|---|---|---|
| Local | 13.5 | 11.1 | 16.4 | |
| England | 12.0 | 11.8 | 12.2 | |

*Figure 89 Mortality from chronic liver disease for Rotherham and England, 2017-19*

Alcohol-related mortality

| Area | DSR per 100,000 | LCL | UCL | Trend 2016 to 2019 |
|---|---|---|---|---|
| Local | 40.5 | 33.2 | 49.0 | |
| England | 35.7 | 35.2 | 36.2 | |

*Figure 90 Alcohol-related mortality for Rotherham and England, 2019*

# 16 Alcohol specific morbidity and mortality in 2020

(i) The graphs below set out monthly trend in the directly standardised rate per 100,000 population of:

- Total alcohol-specific unplanned hospital admissions for England and your region during 2021, 2020 and a baseline made up of weighted data from the years 2018 and 2019.
- Total alcohol-specific deaths for England and your region during 2021, 2020 and a baseline made up of weighted data from the years 2018 and 2019

(ii) *The data displayed below is sourced from the* Wider Impacts for COVID-19 on Health (WICH) dashboard.

## 16.1.1 Alcohol-specific unplanned admissions

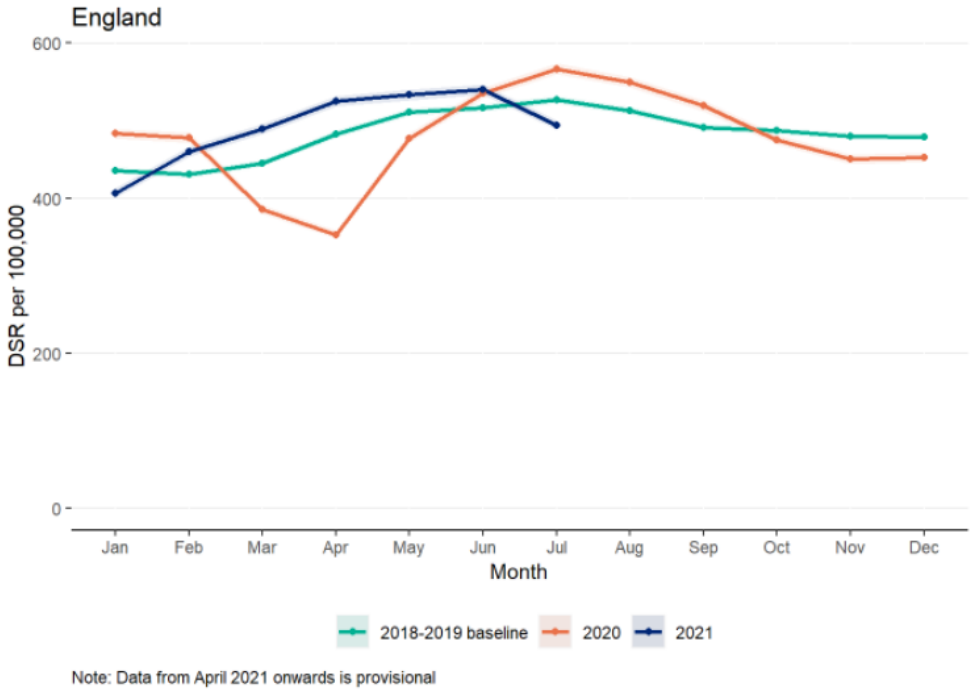



*Figure 91 All ages, all persons, monthly rate of all cause alcohol-specific unplanned admissions and 95% confidence intervals for 2018-19 baseline, 2020 and 2021 for England*

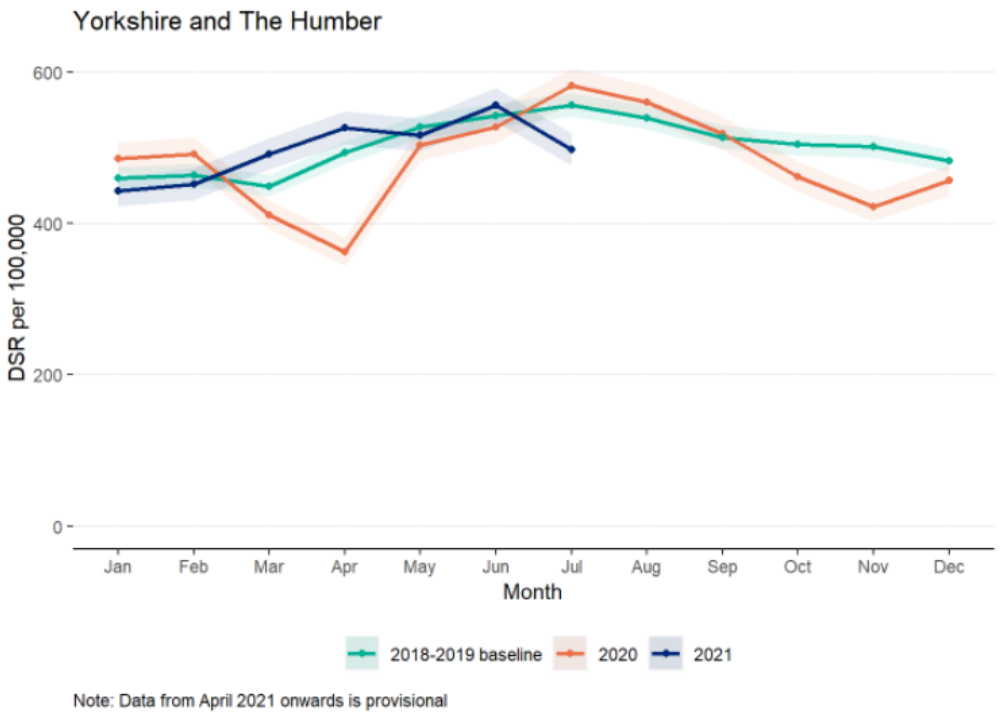



*Figure 92 All ages, all persons, monthly rate of all cause alcohol-specific unplanned admissions and 95% confidence intervals for **2018-19 baseline**, **2020** and **2021** for Yorkshire and Humber region.*

### 16.1.2 alcohol-specific deaths

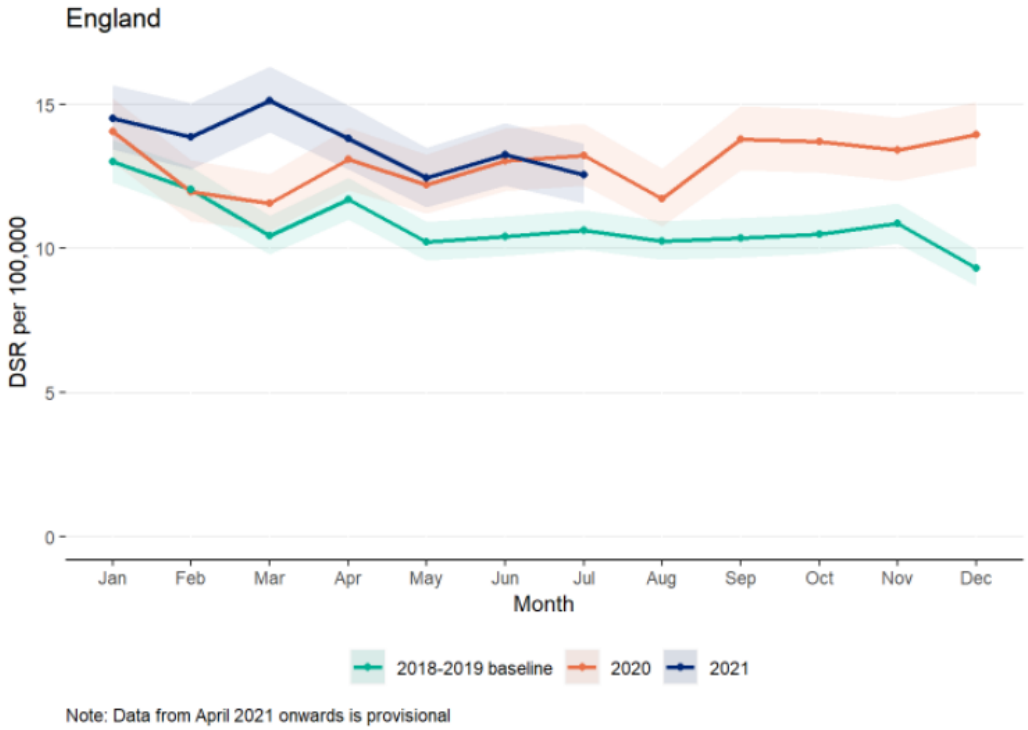



*Figure 93 All ages, all persons, monthly rate of all cause alcohol-specific deaths and 95% confidence intervals for 2018-19 baseline, 2020 and 2021 for England*

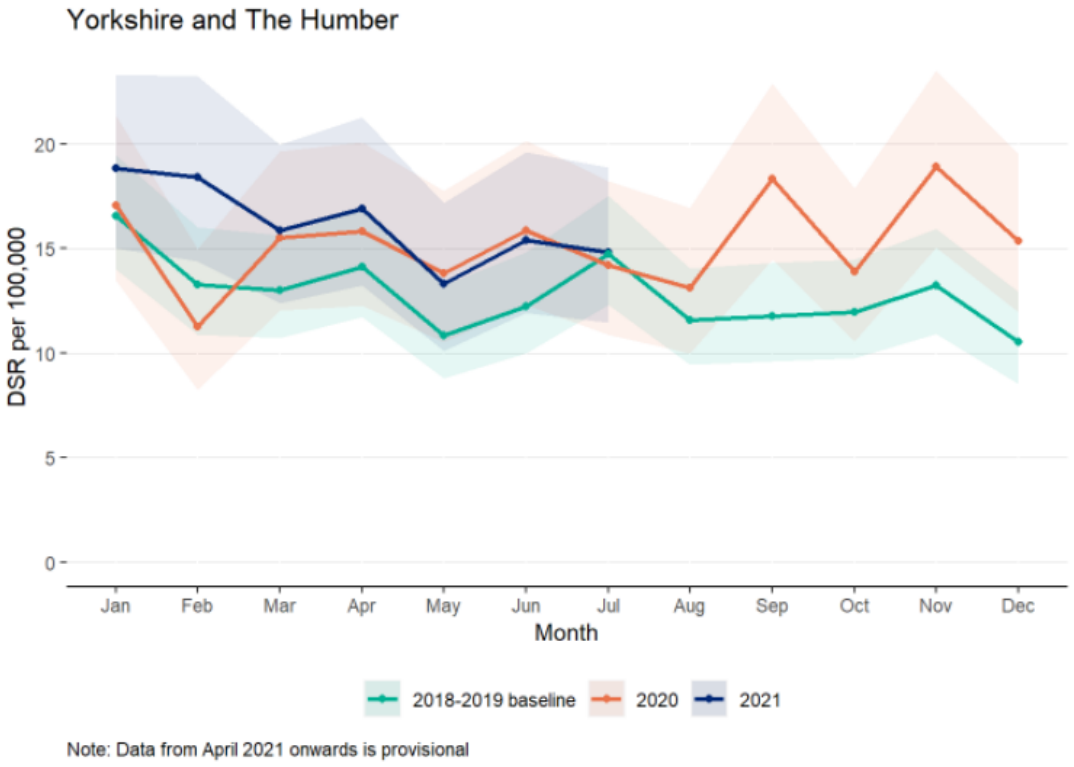



*Figure 94 All ages, all persons, monthly rate of all cause alcohol-specific deaths and 95% confidence intervals for 2018-19 baseline, 2020 and 2021 for Yorkshire and Humber region.*

## 17 Patterns of alcohol consumption

(i) Alcohol-related harm is largely determined by the volume of alcohol consumed and the frequency of drinking occasions. As such, the risk of harm is directly related to levels and patterns of consumption. However, there can be a considerable lag between alcohol consumption and alcohol-related harms, particularly for chronic conditions where it can take many years. In January 2016 the Chief Medical Officer issued revised guidance on alcohol consumption, which advises that in order to keep to a low level of risk of alcohol-related harm, adults should not regularly drink more than 14 units of alcohol a week.

(ii) In England, 22% of the population are drinking at above low risk levels so may benefit from some level of intervention. However, harm can be short-term and instantaneous, due to intoxication or long-term, from continued exposure to the toxic effect of alcohol or from developing dependence. This requires a multi-component response and pathways will differ from area to area. The data presented here gives an indication of potential local need for some form of alcohol intervention and is a weighted estimate from the Health Survey for England (2015-2018 combined).

(iii) *The data displayed below is sourced from* LAPE,PHE.

| Indicator | Local (%) | LCL | UCL | England (%) | LCL | UCL |
|---|---|---|---|---|---|---|
| Proportion of adults who abstain from drinking alcohol | 12.0 | 7.8 | 17.9 | 16.2 | 15.8 | 16.6 |
| Proportion of adults drinking over 14 units of alcohol a week | 31.1 | 23.8 | 39.7 | 22.8 | 22.4 | 23.3 |

*Note:*
NA - data not available

*Figure 95 Patterns of alcohol consumption for Rotherham and England*

## 18 Prevalence estimates and rates of unmet need for alcohol treatment

(i) Set out below are the estimated numbers of people with alcohol dependence in Rotherham and rate of unmet need. The prevalence estimate gives an indication of the number of adults in your local area that are in need of specialist alcohol treatment and the rate of unmet need gives the proportion of those not currently in treatment. This data can be used to inform commissioning and any subsequent plans to address unmet treatment need.

(ii) Specific rates for addressing unmet need will be determined locally. Effective structured treatment for alcohol dependent adults will be an essential element of a local integrated alcohol harm reduction strategy. Ambition for addressing unmet need for treatment will be based on local need in the context of that strategy.

(iii) *The data displayed below on prevalence is sourced from* (PHE, 2021).

| Area | Local estimate | Local rate per 1,000 of population | No. in treatment* | Unmet need (%) | LCL | UCL |
|---|---|---|---|---|---|---|
| Local | 3,627 | 17.5 | 654 | 82% | 77% | 86% |
| England | 602,391 | 13.7 | 107,428 | 82% | 78% | 86% |

*Figure 96 Prevalence estimates and rates of unmet need for alcohol treatment in Rotherham and England*

(iv) *Note:*
Current rates are based on the population of alcohol dependent adults potentially in need of specialist treatment, while previous models used the (much larger) population of harmful drinkers. Prevalence estimates 2018-19, rate per 1,000 of the population. 'Adults' refers to people 18 and over.
*Alcohol only and alcohol/non-opiate treatment numbers for 2020-21 has been used to calculate unmet need. All subsequent treatment data focuses solely on adults in alcohol only treatment, unless otherwise stated

## 19 Data from Rotherham's alcohol treatment system

(i) The following pages provide detailed information on adults who are receiving structured alcohol treatment. The National Drug Treatment Monitoring System (NDTMS) data presented in this pack covers the period 1 April 2020 to 31 March 2021 and adults who cited alcohol as their only substance misuse problem, unless otherwise stated. Percentages are rounded and may not sum to 100%. In addition, proportions based on low numbers may also appear as 0%.

## 19.1 Client profile

(i) This section describes the characteristics of people who were in treatment in 2020-21. It includes sex and age for all those in treatment and then goes on to describe the characteristics of those who started treatment in the year.

### 19.1.1 Adults in treatment in 2020-21

#### *19.1.1.1 In alcohol split by sex*

| Area | Total adults | Male (%) | Female (%) | Trend 2009-10 to 2020-21 |
|---|---|---|---|---|
| Local | 517 | 59% | 41% |  |
| England | 76,740 | 58% | 42% |  |

*Figure 97 Numbers and proportion of adults in alcohol only treatment for Rotherham and England, 2020-21*

#### *19.1.1.2 In treatment split by age and sex*

| Age | Local (n) | Proportion of all in treatment | Male (%) | Female (%) | England (n) | Proportion of all in treatment | Male (%) | Female (%) |
|---|---|---|---|---|---|---|---|---|
| 18-29 | 29 | 6% | 7% | 4% | 6,928 | 9% | 9% | 10% |
| 30-39 | 138 | 27% | 25% | 30% | 17,901 | 23% | 23% | 24% |
| 40-49 | 165 | 32% | 30% | 35% | 22,244 | 29% | 29% | 29% |
| 50-59 | 127 | 25% | 29% | 18% | 20,050 | 26% | 27% | 25% |
| 60-69 | 53 | 10% | 9% | 12% | 7,870 | 10% | 10% | 10% |
| 70-79 | 5 | 1% | 1% | 0% | 1,628 | 2% | 2% | 2% |
| 80+ | 0 | 0% | 0% | 0% | 119 | 0% | 0% | 0% |

*Figure 98 Age of adults in alcohol only treatment for Rotherham and England, 2020-21*

### 19.1.2 Adults starting alcohol only treatment in 2020-21

| Area | Total new presentations | Proportion of all in treatment | Male (%) | Female (%) | Trend 2009-10 to 2020-21 |
|---|---|---|---|---|---|
| Local | 312 | 60% | 60% | 60% | |
| England | 52,220 | 68% | 68% | 68% | |

*Figure 99 Number and proportion of new presentations to alcohol only treatment for Rotherham and England, 2020-21*

### 19.1.3 Protected characteristics of adults starting treatment in 2020-21

This data shows information on demographic groups that presented to treatment in 2020-21. Directly comparable data on the prevalence of each socio-cultural group in Rotherham is not currently available.

#### *19.1.3.1 Ethnicity*

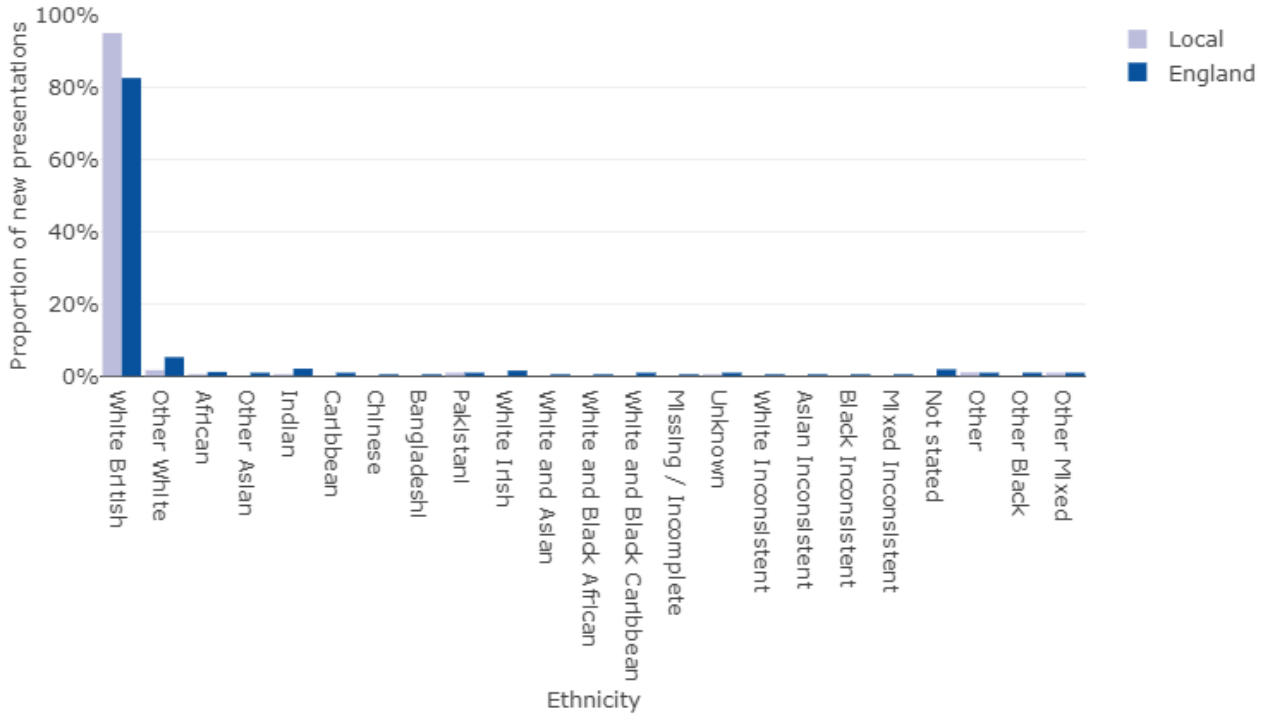



*Figure 100 Proportion of adults presenting to alcohol only treatment by ethnicity for Rotherham and England, 2020-21*

### *19.1.3.2 Religion*

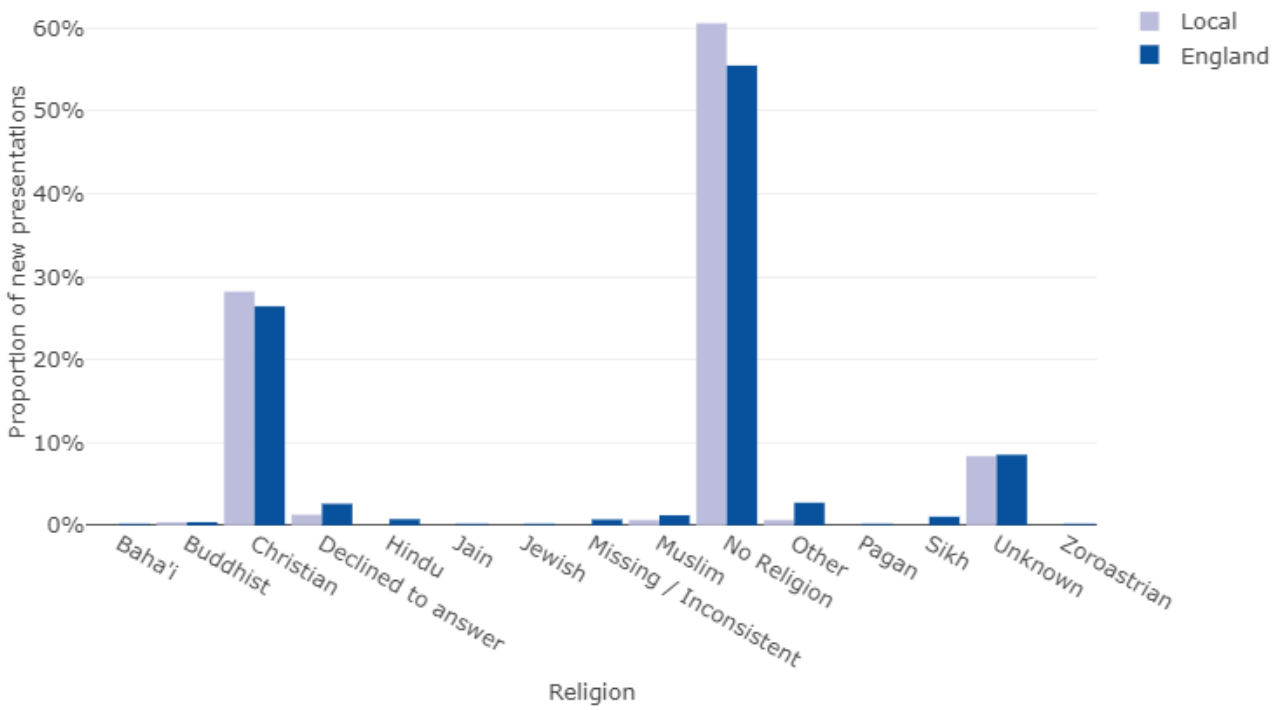



*Figure 101 Proportion of adults presenting to alcohol only treatment by religion for Rotherham and England, 2020-21*

### *19.1.3.3 Sexuality*

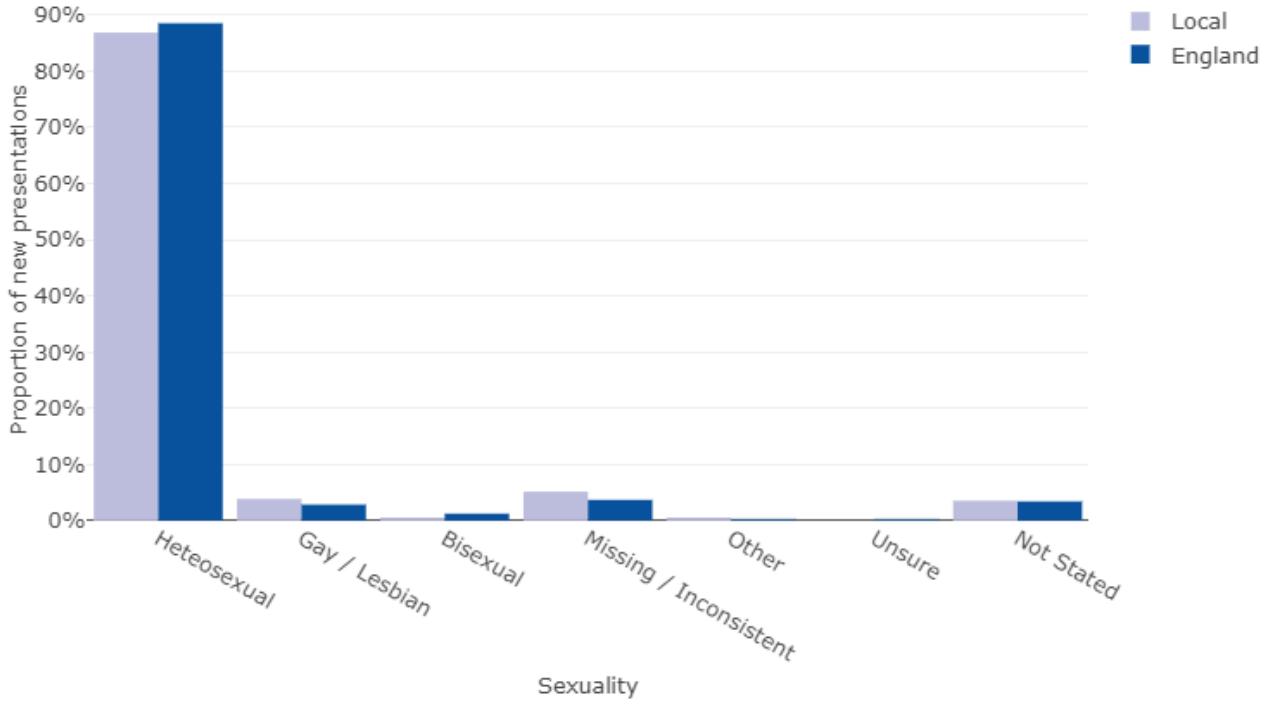



*Figure 102 Proportion of adults presenting to alcohol only treatment by sexuality for Rotherham and England, 2020-21*

### *19.1.3.4 Disability*

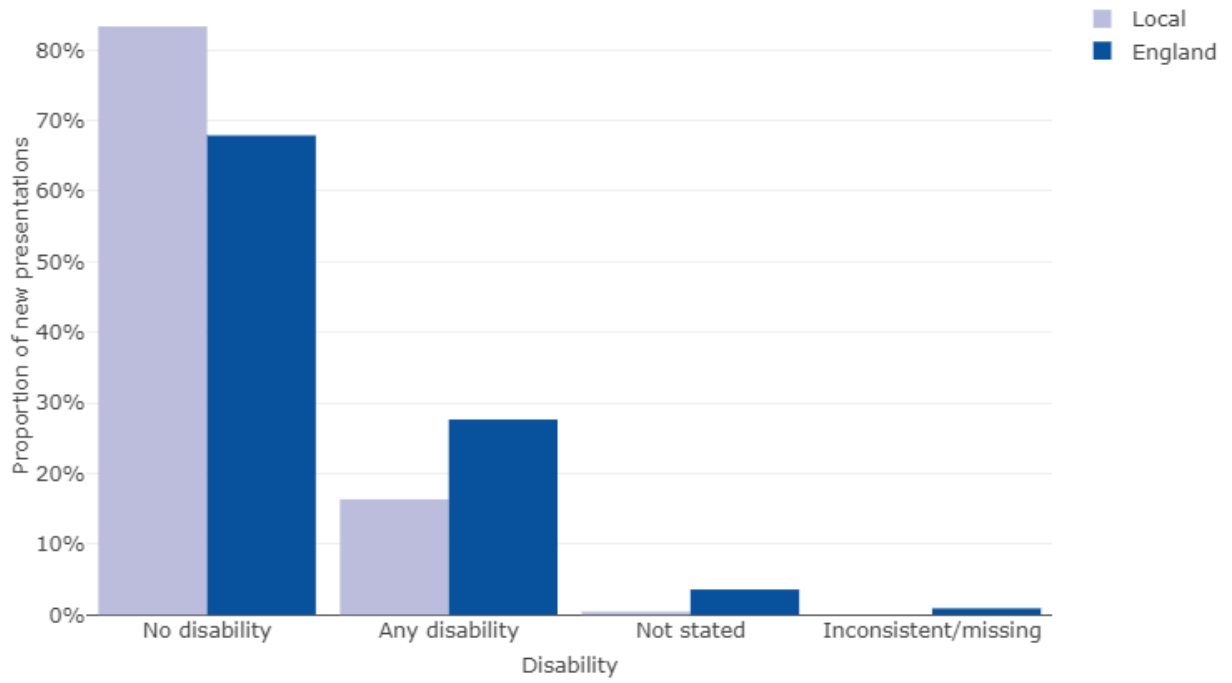



*Figure 103 Proportion of adults presenting to alcohol only treatment by disability for Rotherham and England, 2020-21*

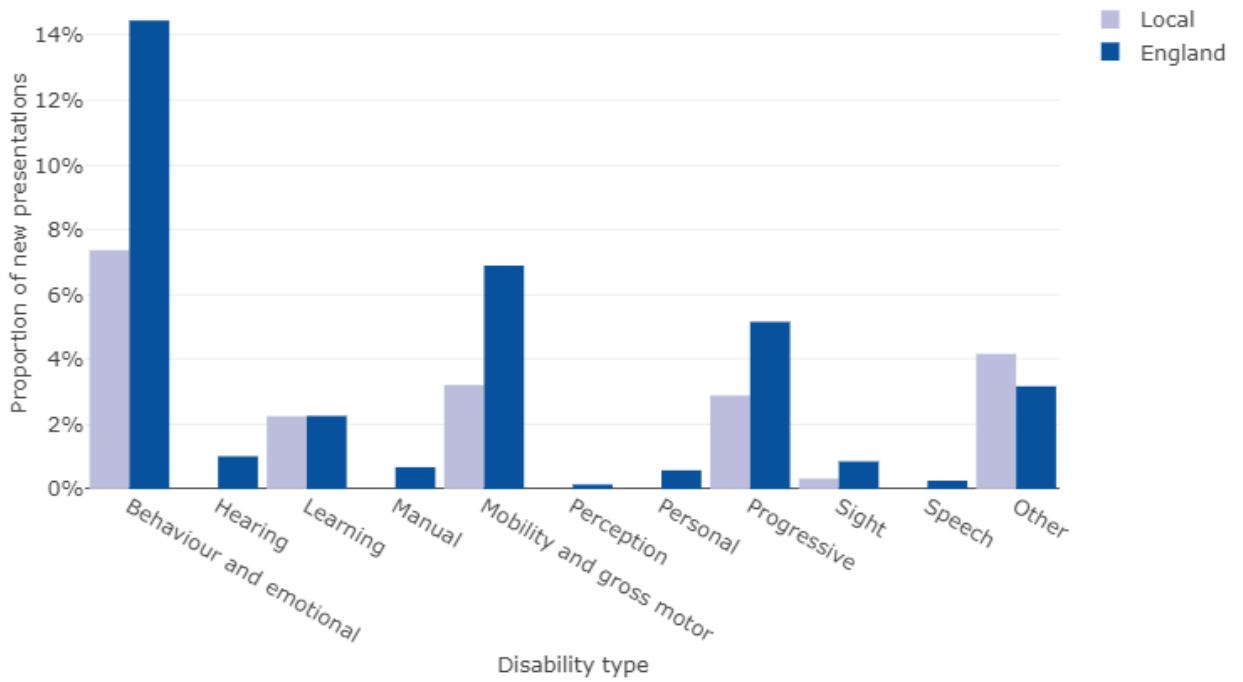



*Figure 104 Proportion of adults presenting to alcohol only treatment by disability type for Rotherham and England, 2020-21*

## 19.2 Waiting times

(i) This section provides information relating to the waiting times for first treatment interventions. People who need alcohol treatment need prompt help if they are to engage in treatment and recover from dependence. Keeping waiting times short will play a vital role in supporting recovery from alcohol dependence.

| | Local | | England | |
|---|---|---|---|---|
| Waiting time to first intervention | Total interventions started | Proportion of all interventions started | Total interventions started | Proportion of all interventions started |
| Under 3 Weeks | 332 | 99% | 53,365 | 98% |
| 3 - 6 Weeks | 2 | 1% | 706 | 1% |
| Over 6 Weeks | 0 | 0% | 404 | 1% |

*Figure 105 Waiting times for first interventions for Rotherham and England, 2020-21*

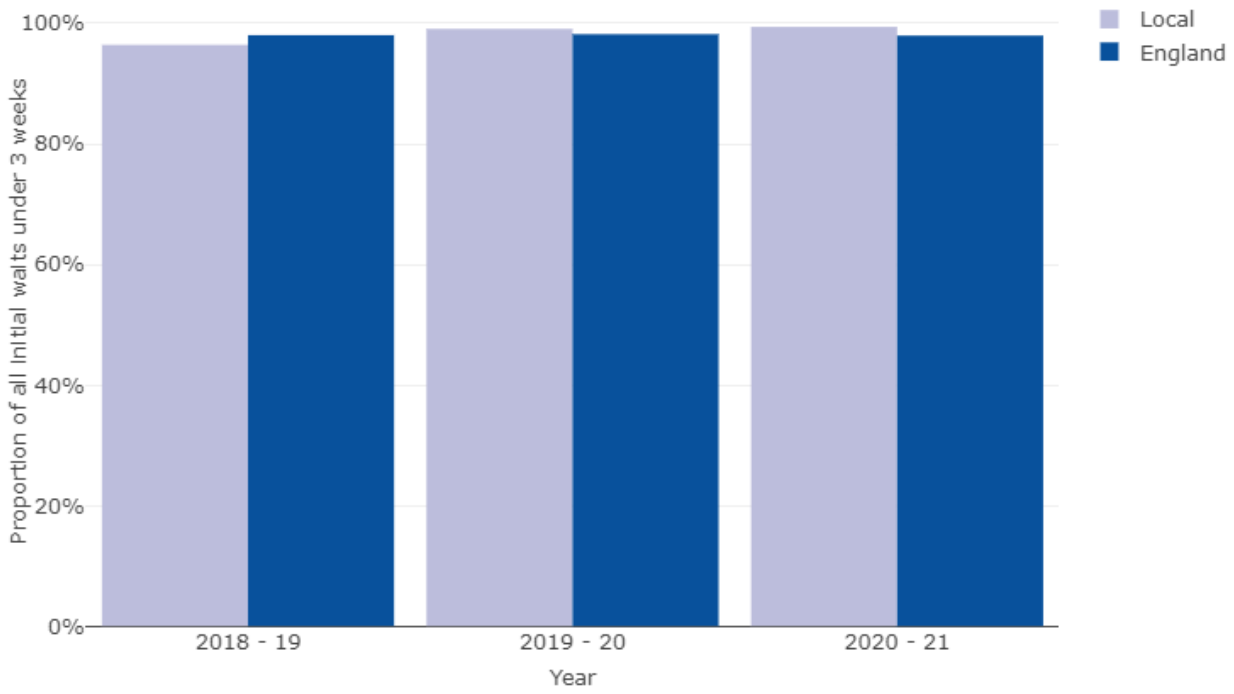



*Figure 106 Waiting times for first interventions for Rotherham and England, 2020-21*

## 19.3 Treatment engagement

(i) When engaged in treatment, people use alcohol and illegal drugs less, commit less crime, improve their health, and manage their lives better – which also benefits the community. Preventing unplanned drop out and keeping people in treatment long enough to benefit contributes to these improved outcomes. As people progress through treatment, the benefits to them, their families and their community start to accrue. The information below shows the proportion of adults entering treatment in Rotherham in 2020-21 who left treatment in an

unplanned way before 12 weeks, but it is important to review any unplanned exits from treatment in order to develop a better understanding of what is happening within the Rotherham system.

| Local | | | | England | | | |
|---|---|---|---|---|---|---|---|
| Total adults | Proportion of new presentations | Male (%) | Female (%) | Total adults | Proportion of new presentations | Male (%) | Female (%) |
| 29 | 9% | 10% | 9% | 6,552 | 13% | 14% | 11% |

*Figure 107 Early unplanned exits for Rotherham and England, 2020-21*

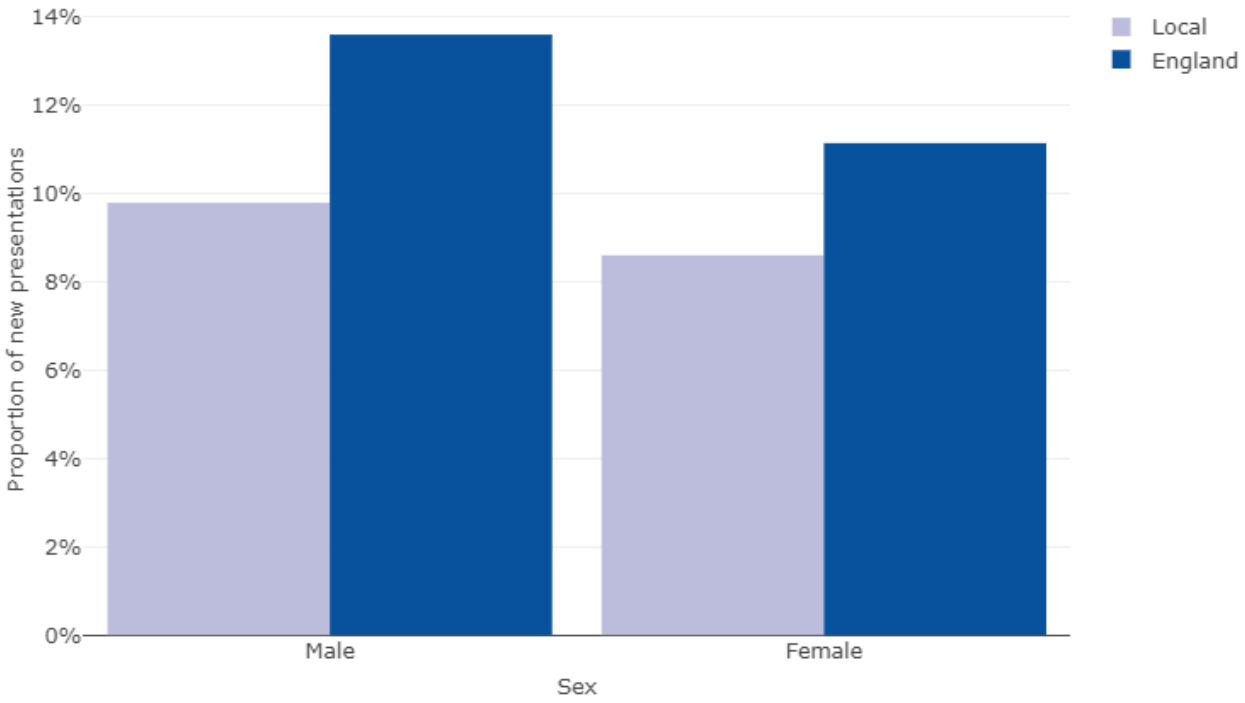



*Figure 108 Early unplanned exits for Rotherham and England, 2020-21*

## 19.4 Routes into treatment

(ii) The table below shows the routes into alcohol treatment in 2020-21. Understanding these, gives an indication of the level of referrals from various settings into specialist treatment. Referrals from hospitals includes referrals from alcohol care teams and other people identified as potentially dependent by clinicians in hospital. Criminal Justice System (CJS) means referred through an arrest referral scheme, via an Alcohol Treatment Requirement (ATR), prison or the probation service

| Referral | Local (n) | Proportion of new presentations | Male (%) | Female (%) | England (n) | Proportion of new presentations | Male (%) | Female (%) |
|---|---|---|---|---|---|---|---|---|
| Self-referral | 237 | 76% | 74% | 79% | 32,574 | 63% | 62% | 64% |
| Referred through criminal justice system (CJS) | 7 | 2% | 3% | 2% | 3,014 | 6% | 8% | 3% |
| Referred by GP | 10 | 3% | 3% | 4% | 4,342 | 8% | 8% | 9% |
| Hospital/A&E | 40 | 13% | 15% | 10% | 3,420 | 7% | 7% | 6% |
| Social Services | 1 | 0% | 1% | 0% | 2,000 | 4% | 3% | 5% |
| All other referral sources | 17 | 5% | 5% | 5% | 6,722 | 13% | 13% | 13% |

*Figure 109 Sources of referral for those starting treatment for Rotherham and England, 2020-21*

| Referral | Local (n) | Proportion of referrals | Male (%) | Female (%) | England (n) | Proportion of referrals | Male (%) | Female (%) |
|---|---|---|---|---|---|---|---|---|
| A&E | 0 | 0% | 0% | 0% | 157 | 5% | 4% | 5% |
| Hospital | 38 | 95% | 96% | 92% | 2,506 | 73% | 72% | 75% |
| Hospital ACT* Liaison | 2 | 5% | 4% | 8% | 757 | 22% | 23% | 20% |
| **Total** | **40** | | | | **3,420** | | | |

*Figure 110 Breakdown of hospital/A&E referrals for Rotherham and England, 2020-21*

## 19.5 Treatment population with prior convictions

(i) This section displays the proportion of adults in treatment with a prior conviction, calculated at the latest available date (December 2012). The cohort is comprised of all adults in treatment at that point but also includes all adults who were in treatment at any point within the preceding year.

| Type | Proportion of local treatment population % | Proportion of national treatment population % |
|---|---|---|
| Alcohol only | 17% | 21% |
| **Total** | **28%** | **29%** |

*Figure 111 Adults in the treatment population in 2012 with convictions in the two-years preceding treatment for Rotherham and England, 2020-21*

(ii) Note:
Please note the total is comprised of all substances including: Opiate, Non-opiate only, Non-opiate and alcohol, Alcohol only

## 19.6 Crimes saved

(i) A joint PHE/MoJ study in 2017 (https://www.gov.uk/government/publications/the-effect-of-drug-and-alcohol-treatment-on-re-offending) on the impact of community-based treatment on re-offending found that, overall, there was a reduction of 44% in the number of people who were recorded as re-offending in the two years following the start of treatment and a reduction of 33% in the number of offences. Opiate users showed the smallest decreases in both re-offenders (a reduction of 31%) and re-offending (a reduction of 21%). Alcohol only users showed the largest reductions in both re-offenders and re-offending (59% and 49%, respectively). The data below provides an estimate of the overall number of offences committed by adults before accessing treatment and the benefit in terms of the social and economic costs accrued.

| Offence type | Local (estimated number) |
|---|---|
| Total | 1,000 |

*Figure 112 Estimates number of crimes committed before treatment entry for Rotherham (based on 2016-17 data)*

| Gross benefits | Estimated alcohol adults (£) |
|---|---|
| Social and economic gross | 360,000 |

*Figure 113 Gross benefits for Rotherham (based on 2016-17 data)*

## 19.7 Adults leaving prison and engaging in community treatment (PHOF C20)

(i) This table shows the proportion of adults in 2020-21 who at the point of release from prison were transferred to a community treatment provider for structured treatment interventions and other support and were successfully engaged. This is the same as the Public Health Outcomes Framework (PHOF) indicator C20 (formerly 2.16).

Further information on this indicator can be found on the Fingertips website here.

| Substance type | Local transfer (n) | Local engaged (n) | Proportion engaged % | England transfer (n) | England engaged (n) | Proportion engaged % |
|---|---|---|---|---|---|---|
| Alcohol only | 11 | 0 | 0% | 1,406 | 181 | 13% |
| **Total** | **126** | **32** | **25%** | **18,176** | **6,929** | **38%** |

*Figure 114 Released from prison, transferred to a community treatment provider for structured treatment and successfully engaged for Rotherham and England, 2020-21*

(ii) *Note*
:Please note the total is compromised of all substances including: Opiate, Non-opiate only, Non-opiate and alcohol, Alcohol only

## 19.8 Adults who are parents/carers and their children

(i) The data below shows the number of alcohol adults who entered treatment in 2020-21 who live with children and the stated number of children who live with them. Alcohol adults who are parents but do not live with children and users for whom there is incomplete data are also included. In addition, the number of pregnant female adults entering treatment in 2020-21 is presented, as is the number of parents/ carers engaging with Early Help or children's social care (EHCSC).

### 19.8.1 Parental status

| Parental Status | Local (n) | Proportion of new presentations | Male (%) | Female (%) | England (n) | Proportion of new presentations | Male (%) | Female (%) |
|---|---|---|---|---|---|---|---|---|
| Parents Living With Children | 63 | 20% | 15% | 27% | 11,626 | 22% | 17% | 29% |
| Parents Not With Children | 67 | 21% | 24% | 18% | 9,389 | 18% | 20% | 15% |
| Other Contact Living With Children | 12 | 4% | 5% | 2% | 1,222 | 2% | 3% | 2% |
| Not Parent No Contact With Children | 168 | 54% | 55% | 52% | 28,974 | 55% | 58% | 51% |
| Missing / Incomplete | 2 | 1% | 1% | 1% | 1,009 | 2% | 2% | 2% |

*Figure 115 Numbers and proportion of new presentations to alcohol treatment by parental status for Rotherham and England, 2020-21*

### 19.8.2 Children living with adults

| Living with children | Local | Proportion of children by adult sex | | England | Proportion of children by adult sex | |
|---|---|---|---|---|---|---|
| Type | Total adults | Male (%) | Female (%) | Total adults | Male (%) | Female (%) |
| Number of children living with alcohol adults | 116 | 50% | 50% | 22,681 | 47% | 53% |

*Figure 116 Children living with adults entering alcohol only treatment for Rotherham and England, 2020-21*

### 19.8.3 Early help and children's social care

| EHCSC Type | Local (n) | Proportion of adults with child contact | Male (%) | Female (%) | England (n) | Proportion of adults with child contact | Male (%) | Female (%) |
|---|---|---|---|---|---|---|---|---|
| Early Help | 9 | 7% | 1% | 14% | 1,238 | 6% | 4% | 8% |
| Child In Need | 6 | 4% | 4% | 5% | 1,243 | 6% | 4% | 8% |
| Child Protection Plan In Place | 12 | 9% | 4% | 15% | 1,843 | 9% | 6% | 12% |
| Looked After Child | 3 | 2% | 0% | 5% | 581 | 3% | 2% | 4% |
| No Early Help | 101 | 75% | 86% | 61% | 14,997 | 70% | 77% | 62% |
| Missing | 4 | 3% | 5% | 0% | 1,459 | 7% | 8% | 6% |

*Figure 117 Adult's children receiving early help or in contact with early help and children's social care for Rotherham and England, 2020-21*

### 19.8.4 Pregnancy status

| Pregnancy data | Local (n) | Proportion | England (n) | Proportion |
|---|---|---|---|---|
| New female presentation who were pregnant | 2 | 2% | 283 | 1% |
| Incomplete data | 0 | 0% | 212 | 1% |

*Figure 118 Number and proportion of female adults by pregnancy status for Rotherham and England, 2020-21*

## 19.9 Tobacco use

(i) There is a high prevalence of smoking in people who use drugs and alcohol and this is a major cause of illness and death. Whilst smoking rates in the adult general population are below 14% in England, we know that smoking rates are typically much higher in people with multiple dependencies. With the support of treatment services, many people successfully recover from drug and alcohol dependence only to later die of their untreated smoking dependence. Services should offer (or be able to refer people into) stop smoking support (access to effective stop smoking products combined with behavioural support), and harm reduction approaches for people unable or unwilling to stop smoking in one step. Smokers who access this support are three times as likely to quit as those who try to quit unaided.

(ii) Stop smoking support is commissioned by local authorities and can be delivered in a variety of settings by trained professionals. In addition to dedicated stop smoking services, many localities now commission integrated services where people can access support to quit smoking as well as treatment for other dependencies, in order to make them more accessible. Often smoking can be seen as the more difficult addiction to break, and so is not always seen as the priority. However, we know that around 60% of smokers say that they would like to quit, and around 40% try to do so each year. By offering support from trained professionals, combined with access to the latest evidence-based stop smoking products

(including electronic cigarettes), we can increase the proportion of smokers making a quality quit attempt and successfully quitting.

### 19.9.1 Tobacco at start of treatment

| Local | | | | England | | | |
|---|---|---|---|---|---|---|---|
| Total adults | Proportion of all in treatment | Male (%) | Female (%) | Total adults | Proportion of all in treatment | Male (%) | Female (%) |
| 98/233 | 42% | 46% | 36% | 15,758 | 43% | 44% | 42% |

*Figure 119 Adults identified as smoking tobacco at start of treatment for Rotherham and England, 2020-21*

### 19.9.2 Abstinent from tobacco at review

| Local | | | | England | | | |
|---|---|---|---|---|---|---|---|
| Total adults | Proportion abstinent at review of those smoking at start of treatment | Male (%) | Female (%) | Total adults | Proportion abstinent at review of those smoking at start of treatment | Male (%) | Female (%) |
| 41/98 | 42% | 38% | 49% | 4,704 | 30% | 29% | 31% |

*Figure 120 Adults identified as abstinent from tobacco at review for Rotherham and England, 2020-21*

### 19.9.3 Smoking cessation interventions

| Local | | | | England | | | |
|---|---|---|---|---|---|---|---|
| Total adults | Proportion of adults | Male (%) | Female (%) | Total adults | Proportion of adults | Male (%) | Female (%) |
| 1/233 | 0.4% | 0.7% | 0.0% | 349 | 1.0% | 1.0% | 0.9% |

*Figure 121 Adults receiving smoking cessation interventions for Rotherham and England, 2020-21*

## 19.10 Drinking levels

(i) This section shows the number of units consumed by people in treatment in the 28 days prior to commencing treatment. Most people who require structured treatment for alcohol dependence will be drinking at higher risk levels. Drinking levels can be used as a rough proxy for level of dependence and levels of alcohol health risk. An indication of drinking levels in treatment may be useful in understanding which groups of adults are receiving treatment and whether those with the highest levels of harm are receiving effective interventions.

(ii) There is a strong association between levels of consumption and severity of dependence but they are not equivalent. For example, women are likely to become dependent at lower levels of consumption than men.

(iii) Consumption is based on drinking levels over the 28 days prior to assessment. There will be some moderately or severely dependent adults who have stopped or reduced consumption prior to treatment (for example in hospital or prison) so will appear in the lowest category even though they are alcohol dependent and will require treatment.

(iv) A number of areas are recording scores taken from the Severity of Alcohol Dependence Questionnaire (SADQ) assessment tool and in those areas local data on levels of dependence within the treatment population will be available.

### 19.10.1 Units consumed in the 28 days prior to entering treatment

| Units | Local (n) | Proportion of adults | Male (%) | Female (%) | England (n) | Proportion of adults | Male (%) | Female (%) |
|---|---|---|---|---|---|---|---|---|
| 0 | 41 | 8% | 8% | 8% | 3,864 | 6% | 5% | 6% |
| 1-199 | 96 | 19% | 17% | 22% | 13,453 | 19% | 16% | 23% |
| 200-399 | 109 | 21% | 17% | 27% | 15,600 | 22% | 20% | 25% |
| 400-599 | 105 | 21% | 21% | 20% | 15,927 | 23% | 22% | 23% |
| 600-799 | 72 | 14% | 17% | 10% | 7,639 | 11% | 12% | 9% |
| 800-999 | 38 | 7% | 9% | 6% | 5,853 | 8% | 10% | 6% |
| 1000+ | 50 | 10% | 12% | 7% | 7,805 | 11% | 14% | 8% |
| Total | 511 | | | | 70,141 | | | |

*Figure 122 Number and proportion of adults in alcohol treatment by drinking level units for Rotherham and England, 2020-21*

### 19.10.2 Severity of alcohol dependence questionnaire (SADQ)

| SADQ | Local (n) | Proportion of new presentations | Male (%) | Female (%) | England (n) | Proportion of new presentations | Male (%) | Female (%) |
|---|---|---|---|---|---|---|---|---|
| 0-15: Mild | 104 | 33% | 32% | 35% | 14,137 | 27% | 26% | 29% |
| 16-30: Moderate | 98 | 31% | 32% | 31% | 10,501 | 20% | 20% | 20% |
| 31+: Severe | 67 | 21% | 24% | 18% | 10,284 | 20% | 22% | 17% |
| Declined to anwser | 0 | 0% | 0% | 0% | 223 | 0% | 0% | 0% |
| Not stated / Not known | 41 | 13% | 12% | 15% | 10,157 | 19% | 19% | 20% |
| Missing / Incomplete | 2 | 1% | 1% | 1% | 6,918 | 13% | 13% | 14% |
| **Total** | **312** | | | | **52,220** | | | |

*Figure 123 Adults presenting to alcohol only treatment by Severity of alcohol dependence questionnaire (SADQ) for Rotherham and England, 2020-21*

## 19.11 Alcohol dependent adults and drug use

(i) Whilst the NDTMS data in this Needs Assessment focuses specifically on those adults who are in treatment for alcohol only, it is important to take into account the wider cohort of alcohol users who also have drug problems. The needs of these adults are particularly complex and extra consideration needs to be given to what additional support they may require.

(ii) Presented first here is the number and proportion of adults in your treatment system who have a problem with alcohol only. This is followed by the number and proportion of adults who have a problem with both alcohol and drugs and then the most commonly cited drugs by these adults; crack, cocaine and cannabis.

| Alcohol and drug users in treatment | Local | | England | |
|---|---|---|---|---|
| | Total adults | Proportion of all adults receiving alcohol treatment | Total adults | Proportion of all adults receiving alcohol treatment |
| **All alcohol adults** | **848** | **100%** | **131,391** | **100%** |
| Alcohol only adults | 517 | 61% | 76,740 | 58% |
| Alcohol and opiate adults | 77 | 9% | 6,590 | 5% |
| Alcohol and non-opiate adults | 137 | 16% | 30,688 | 23% |
| Alcohol, opiates and non-opiate adults | 117 | 14% | 17,373 | 13% |
| Cited crack* | 96 | 11% | 15,565 | 12% |
| Cited cocaine* | 63 | 7% | 17,207 | 13% |
| Cited cannabis* | 114 | 13% | 18,805 | 14% |

*Note:*

*Figure 124 Proportion of alcohol adults in the treatment system for Rotherham and England, 2020-21*

(iii) *Please note adults may cite more than one additional substance and are counted once under each relevant category

## 19.12 Interventions

(i) We know that the types of intervention delivered to service users will have an impact on their achievement of recovery outcomes. The table below shows what interventions are delivered locally and in what setting. The last item focuses on those who received a pharmacological intervention and whether it was for withdrawal or relapse prevention. This has been separated in this way so as to distinguish between prescription for initial medically assisted withdrawal (detox) and that to reduce craving and maintain sustained abstinence.

### 19.12.1 High level interventions

| Setting | Pharmacological | | Psychosocial | | Recovery Support | | Total Adults** | |
|---|---|---|---|---|---|---|---|---|
| Type | Total adults | Proportion | Total adults | Proportion | Total adults | Proportion | Total adults | Proportion |
| Community | 128 | 91% | 504 | 99% | 350 | 98% | 509 | 99% |
| Inpatient Unit | 31 | 22% | 32 | 6% | 31 | 9% | 32 | 6% |
| Primary Care | 7 | 5% | 8 | 2% | 1 | 0% | 10 | 2% |
| Residential | 0 | 0% | 7 | 1% | 1 | 0% | 7 | 1% |
| Recovery House | 0 | 0% | 0 | 0% | 0 | 0% | 0 | 0% |
| Young Persons Setting | 0 | 0% | 0 | 0% | 0 | 0% | 0 | 0% |
| Missing / Incomplete | 0 | 0% | 0 | 0% | 0 | 0% | 0 | 0% |
| **Total*** | **141** | **100%** | **511** | **100%** | **358** | **100%** | **513** | **100%** |

*Figure 125 Number and proportion of adults in treatment in high level interventions and settings across the treatment journey for Rotherham, 2020-21*

| Setting | Pharmacological | | Psychosocial | | Recovery Support | | Total Adults** | |
|---|---|---|---|---|---|---|---|---|
| Type | Total adults | Proportion | Total adults | Proportion | Total adults | Proportion | Total adults | Proportion |
| Community | 9,978 | 80% | 74,231 | 98% | 59,516 | 98% | 74,669 | 99% |
| Inpatient Unit | 2,631 | 21% | 2,607 | 3% | 2,108 | 3% | 2,690 | 4% |
| Primary Care | 221 | 2% | 439 | 1% | 251 | 0% | 660 | 1% |
| Residential | 514 | 4% | 1,107 | 1% | 776 | 1% | 1,311 | 2% |
| Recovery House | 5 | 0% | 22 | 0% | 55 | 0% | 64 | 0% |
| Young Persons Setting | 0 | 0% | 5 | 0% | 0 | 0% | 5 | 0% |
| Missing / Incomplete | 0 | 0% | 0 | 0% | 0 | 0% | 0 | 0% |
| **Total*** | **12,547** | **100%** | **75,458** | **100%** | **60,564** | **100%** | **75,778** | **100%** |

*Figure 126 Number and proportion of alcohol adults in High level interventions and settings for England, 2020-21*

(ii) Note: *This is the total number of individuals receiving each intervention type and not a summation of the setting the intervention was delivered in.
**This is the total number of individuals receiving any intervention type in each setting and not a summation of the pharmacological, psychosocial and recovery support columns

### 19.12.2 Pharmacological intervention

| | Local | | England | |
|---|---|---|---|---|
| Pharmacological intervention type | Total adults | Proportion | Total adults | Proportion |
| Withdrawal | 25 | 18% | 3,156 | 25% |
| Relapse prevention | 102 | 72% | 5,455 | 43% |

*Figure 127 Adults with a pharmacological intervention by intention for Rotherham and England, 2020-21*

## 19.13 Residential rehabilitation

(i) The data below shows the number of adult alcohol users in Rotherham who have been to residential rehabilitation during their latest period of treatment (as a proportion of the local alcohol treatment population and against the national proportion). Structured alcohol treatment mostly takes place in the community, near to users' families and support networks. However, in line with NICE recommendations, a stay in residential rehabilitation is appropriate for those with the most complex needs, and should be an option as part of an integrated recovery-orientated system.

| Local | | England | |
|---|---|---|---|
| Total adults | Proportion of treatment population | Total adults | Proportion of treatment population |
| 7 | 1% | 1,503 | 2% |

*Figure 128 Numbers and proportion of alcohol only adults in residential treatment for Rotherham and England, 2020-21*

## 19.14 Co-occurring mental health and alcohol conditions

(i) This data shows the number of alcohol adults who started treatment in 2020-21 who were identified as having a mental health treatment need and, of these the number who were receiving treatment from health services. Comparing prevalence with treatment received shows whether need is being appropriately met.

| Local | | | | England | | | |
|---|---|---|---|---|---|---|---|
| Total adults | Proportion of new presentations | Male (%) | Female (%) | Total adults | Proportion of new presentations | Male (%) | Female (%) |
| 237 | 76% | 71% | 84% | 33,618 | 64% | 59% | 71% |

*Figure 129 Adults who entered alcohol only treatment in 2020-21 and were identified as having mental health treatment need, for Rotherham and England*

| Treatment type | Local (n) | Proportion of new presentation | Male (%) | Female (%) | England (n) | Proportion of new presentation | Male (%) | Female (%) |
|---|---|---|---|---|---|---|---|---|
| Already engaged* | 13 | 5% | 6% | 5% | 5,516 | 16% | 15% | 18% |
| GP* | 181 | 76% | 74% | 79% | 20,681 | 62% | 59% | 64% |
| Health-based place* | 2 | 1% | 1% | 1% | 142 | 0% | 1% | 0% |
| NICE* | 0 | 0% | 0% | 0% | 338 | 1% | 1% | 1% |
| Engaged with IAPT | 10 | 4% | 3% | 6% | 535 | 2% | 1% | 2% |
| **Total** | **205** | **86%** | **83%** | **91%** | **27,027** | **80%** | **77%** | **84%** |

*Figure 130 Adults in alcohol only treatment identified as having a mental health treatment need and receiving treatment for their mental health, for Rotherham and England, 2020-21*

(ii) Note:
The total number is the number of individuals receiving mental health treatment and not a summation of treatment type.
*Already engaged - Already engaged with the Community Mental Health Team/Other mental health services.
GP - Receiving mental health treatment from GP.
NICE - Receiving any NICE-recommended psychosocial or pharmacological intervention provided for the treatment of a mental health problem.
Health-based place - Has an identified space in a health-based place of safety for mental health crises.

## 19.15 Employment

(i) The data below shows self-reported employment status at the start of treatment in 2020-21 along with exit status from the Treatment Outcomes Profile (TOP). Improving job outcomes is key to sustaining recovery and requires improved multi-agency responses with Jobcentre Plus and the Work and Health Programme providers.

### 19.15.1 Employment status

| | Local | | England | |
|---|---|---|---|---|
| Status | Total adults | Proportion of new presentations | Total adults | Proportion of new presentations |
| Regular employment | 106 | 34% | 18,793 | 36% |
| Unemployed / Economically inactive | 126 | 40% | 21,436 | 41% |
| Unpaid voluntary work | 0 | 0% | 121 | 0% |
| Long term sick or disabled | 71 | 23% | 9,278 | 18% |
| In education | 0 | 0% | 355 | 1% |
| Other | 0 | 0% | 646 | 1% |
| Missing / Incomplete | 9 | 3% | 1,591 | 3% |

*Figure 131 Employment status for alcohol only adults at the start of treatment for Rotherham and England, 2020-21*

### 19.15.2 Employment Outcomes

| Outcome | Start | | Planned exit | | Start | | Unplanned exit | |
|---|---|---|---|---|---|---|---|---|
| Employment | Total | % | Total | % | Total | % | Total | % |
| Irregular (1-7 days) | 5 | 4% | 0 | 0% | 1 | 8% | 1 | 8% |
| Part-time (8-15 days) | 7 | 6% | 6 | 5% | 1 | 8% | 0 | 0% |
| Full time (16+ days) | 32 | 28% | 26 | 22% | 1 | 8% | 1 | 8% |
| Not working | 72 | 62% | 84 | 72% | 10 | 77% | 11 | 85% |

*Figure 132 Employment Outcomes for Rotherham, 2020-21*

| Outcome | Start | | Planned exit | | Start | | Unplanned exit | |
|---|---|---|---|---|---|---|---|---|
| Employment | Total | % | Total | % | Total | % | Total | % |
| Irregular (1-7 days) | 678 | 3% | 509 | 2% | 48 | 2% | 27 | 1% |
| Part-time (8-15 days) | 1,482 | 6% | 1,275 | 5% | 106 | 4% | 79 | 3% |
| Full time (16+ days) | 6,381 | 25% | 6,589 | 26% | 452 | 18% | 380 | 15% |
| Not working | 17,258 | 67% | 17,426 | 68% | 1,936 | 76% | 2,056 | 81% |

*Figure 133 Employment Outcomes for England, 2020-21*

## 19.16 Housing and homelessness

(ii) The first part of 'Accommodation status' below shows self-reported housing status of adults when they started in your treatment services. The final section, 'No longer reporting a housing need at planned exit', shows those adults who successfully completed treatment with no housing problem reported. A safe, stable home environment enables people to sustain their recovery. This shows the importance of engaging with local housing and homelessness agencies to ensure that the full spectrum of homelessness is understood: from homelessness prevention to rough sleeping.

### 19.16.1 Accommodation status at the start of treatment

| Housing Status | Local (n) | Proportion of new presentations | England (n) | Proportion of new presentations |
|---|---|---|---|---|
| Urgent problem (NFA) | 3 | 1% | 1,055 | 2% |
| Housing Problem | 18 | 6% | 3,886 | 7% |
| No housing problem | 291 | 93% | 46,983 | 90% |
| Other | 0 | 0% | 1 | 0% |
| Missing / Incomplete | 0 | 0% | 295 | 1% |

*Figure 134 Accommodation status of adults in alcohol treatment at the start of treatment for Rotherham and England, 2020-21*

### 19.16.2 No longer reporting a housing need at planned exit

| Local | | | | England | | | |
|---|---|---|---|---|---|---|---|
| Total adults | Proportion | Male (%) | Female (%) | Total adults | Proportion | Male (%) | Female (%) |
| 1 | 100% | NA | 100% | 1,178 | 84% | 83% | 85% |

*Figure 135 Adults successfully completing treatment no longer reporting a housing need for Rotherham and England, 2020-21*

## 19.17 Length of time in treatment

(i) NICE Clinical Guideline CG115 recommends that mildly dependent and some higher risk drinkers receive a treatment intervention lasting three months, those with moderate and severe dependence should usually receive treatment for a minimum of six months while those with higher or complex needs may need longer in specialist treatment. The optimum time in treatment will be agreed based on individual assessment of adult need.

(ii)

(iii) The length of a typical treatment period is just over 6 months, although nationally 12% of adults remained in treatment for at least a year. Retaining adults for their full course of treatment is important in order to increase the chances of recovery and reduce rates of early treatment drop out. Conversely, having a high proportion of adults in treatment for more than a year may indicate that they are not moving effectively through and out of the treatment system.

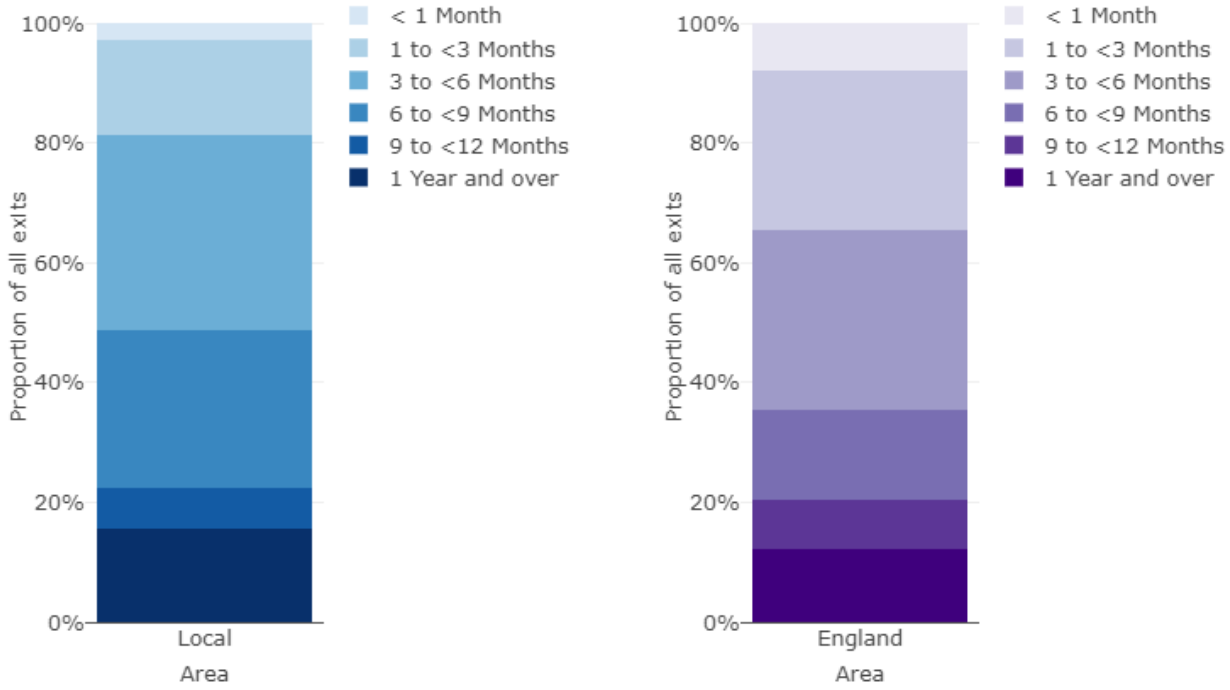



*Figure 136 Proportion of length of time in treatment for Rotherham (left) and Englanf (right), 2020-21*

## 19.18 In treatment outcomes

(i) The data below is drawn from the Treatment Outcomes Profile (TOP) and Alcohol Outcomes Record (AOR), which track the progress alcohol users make in treatment. This includes information on rates of abstinence from alcohol and changes in average days use. This is useful as these recovery assets are predictors of continued recovery.

### 19.18.1 Abstinence rates at planned exit

| Local | | | | England | | | |
|---|---|---|---|---|---|---|---|
| Total adults | Proportion | Male (%) | Female (%) | Total adults | Proportion | Male (%) | Female (%) |
| 64 | 60% | 56% | 69% | 12,965 | 53% | 53% | 54% |

*Figure 137 Adults who became abstinent for Rotherham and England, 2020-21*

### 19.18.2 Days if drinking

| Local | | | England | | |
|---|---|---|---|---|---|
| Total | Average days at start | Average days at exit | Total | Average days at start | Average days at exit |
| 107 | 21.3 | 11.5 | 24,252 | 20.3 | 11.5 |

*Figure 138 Change in drinking days between start and planned exit for Rotherham and England, 2020-21*

## 19.19 Successful completions

(i) The following section relates to adults completing their period of treatment in 2020-21, and shows whether they completed successfully and did not return within 6 months.

(ii) The PHE alcohol evidence review indicates that treatment is effective and cost-effective and is a necessary part of any overall approach to reduce alcohol related harm. Although there is no single measure of effective treatment for alcohol dependence, the following data gives an indication of how well the current system is working in treating those who are receiving structured treatment. A high proportion of successful completions and a low number of re-presentations to treatment indicate that treatment services are responding well to the needs of those in treatment.

### 19.19.1 Leaving alcohol treatment

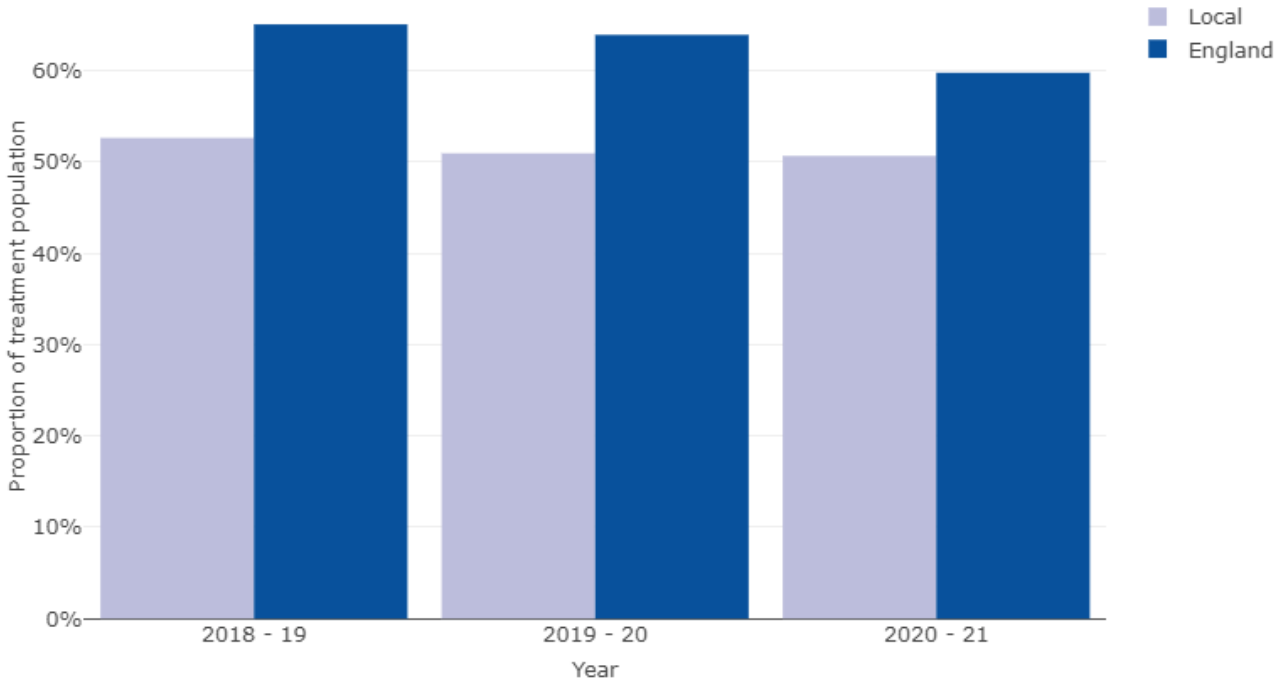



*Figure 139 Proportion of treatment population leaving alcohol treatment for Rotherham and England, 2018-19 to 2020-21*

### 19.19.2 Leaving alcohol treatment successfully

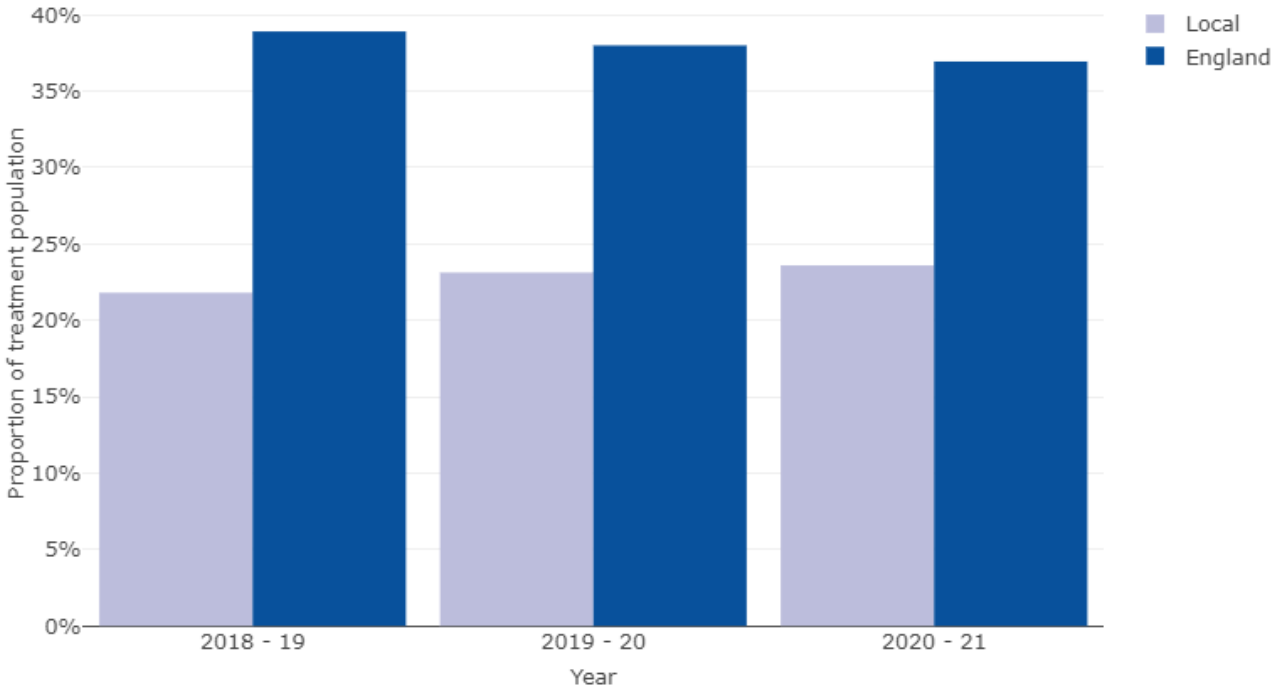



*Figure 140 Proportion of treatment population leaving alcohol treatment successfully for Rotherham and England, 2018-19 to 2020-21*

### 19.19.3 Leaving treatment successfully, as a proportion of all exits

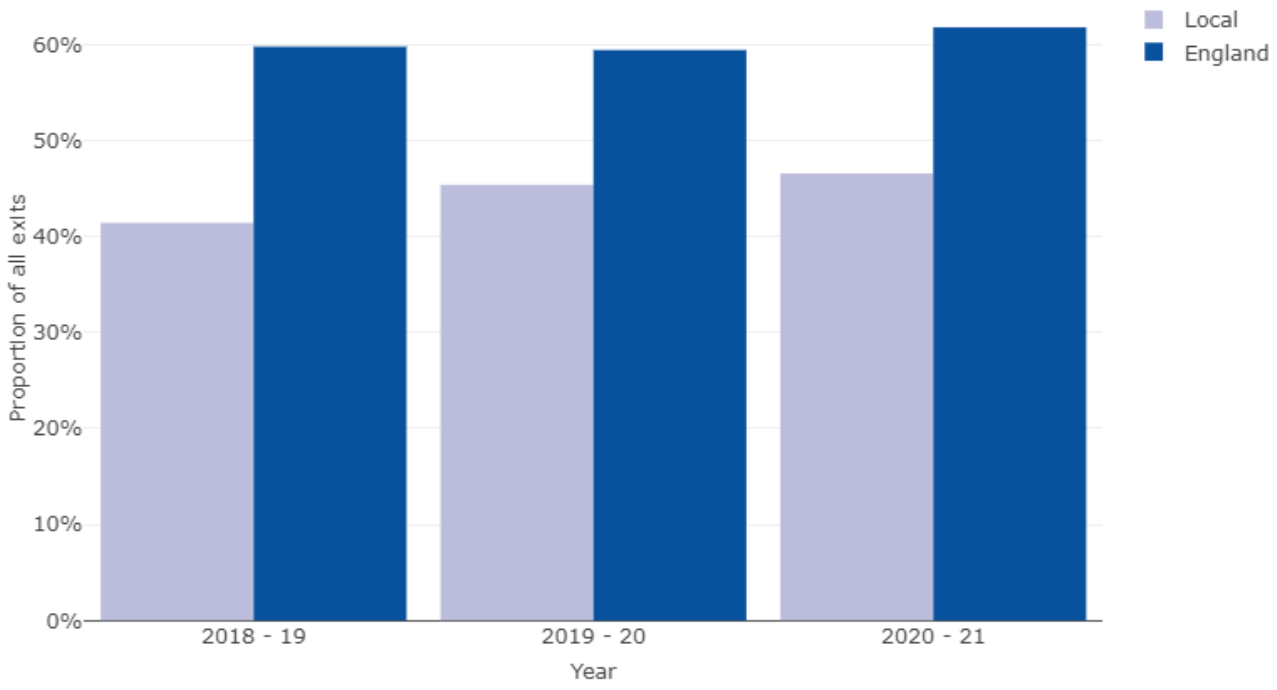



*Figure 141 Proportion of all adults in treatment who completed successfully as a proportion of all exits for Rotherham and England, 2018-19 to 2020-21*

### 19.19.4 Successful completion and non re-presentation

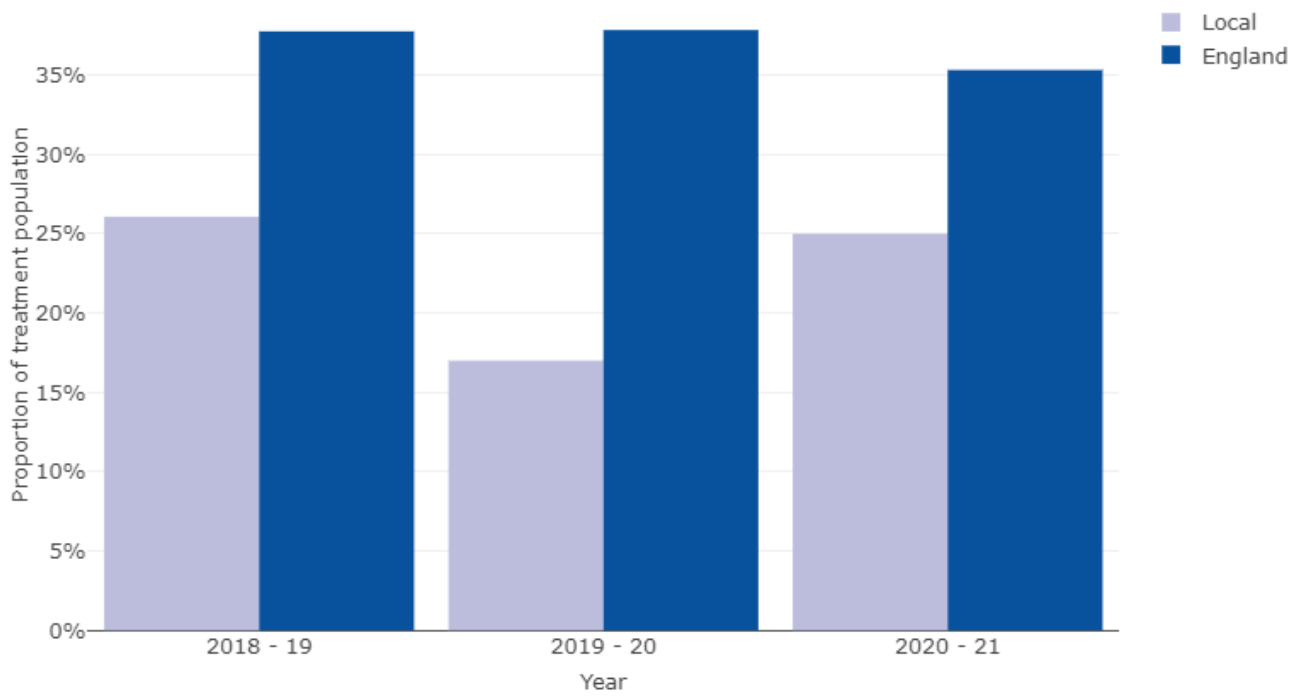



*Figure 142 Proportion of all in treatment who completed successfully and did not return within 6 months for Rotherham and England, 2018-19 to 2020-21*

## 19.20 Deaths in treatment

(i) The following section shows data on deaths in treatment. In 2020-21 there was an 44% increase at a national level in the number of adults recorded as having died while in treatment for alcohol alone, with wide local variation. It is likely that changes to alcohol and drug treatment, reduced access to broader healthcare services, changes to lifestyle and social circumstances during lockdowns, as well as COVID-19 itself, will have contributed to this increase. Commissioners and providers are encouraged to consider any actions they can take towards reducing deaths in treatment.

(ii) This shows the number of adults in treatment for alcohol who were recorded as having died while in treatment within the year (based on NDTMS discharge reason field).

| Area | Total number | Proportion of treatment population | Male (%) | Female (%) |
|---|---|---|---|---|
| Local | 10 | 1.93% | 2.30% | 1.42% |
| England | 1,064 | 1.39% | 1.54% | 1.18% |

*Figure 143 Deaths in alcohol treatment for Rotherham and England, 2020-21*

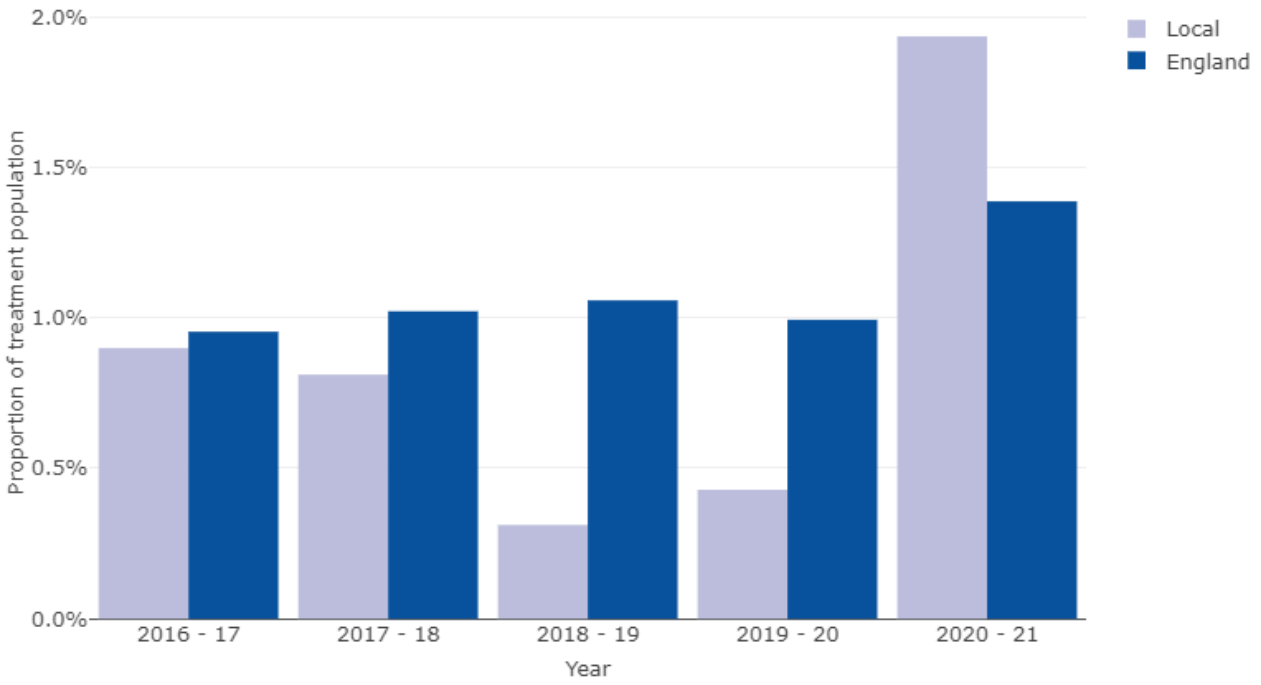



*Figure 144 Proportion of deaths in alcohol treatment for Rotherham and England, 2016-17 to 2020-21*

## 19.21 Wider Public Health Data

(i) Public Health Outcomes Framework A collection of outcomes indicators covering the full spectrum of public health. Data is presented under four domains: 'wider determinants of health', 'health improvement', 'health protection' and 'healthcare and premature mortality'. Comparisons with a benchmark and trend data are provided and information is updated on a quarterly basis.
https://www.gov.uk/government/collections/public-health-outcomes-framework

(ii) Statistics on Alcohol in England 2020 (NHS Digital) An annual report acting as a reference point for health issues relating to alcohol use and misuse. Combines the results from several national surveys including: the Opinions and Lifestyle Survey (OPN) and Smoking drinking and drug use (SDD).
https://digital.nhs.uk/data-and-information/publications/statistical/statistics-on-alcohol/2020

(iii) Health Profiles Contained within the Fingertips data tool. These present summary health information to support local authority members, officers and community partners to improve health and reduce health inequalities. Intended as 'conversation starters' to highlight local issues and priorities for members, and for discussion at Health and Wellbeing Boards. Updated annually and available in a data tool or as a summary PIG document.

http://fingertips.phe.org.uk/profile/health-profiles

(iv) Local Alcohol Profiles for England (LAPE) *Contained within the Fingertips data tool. Profiles containing 31 alcohol-related indicators for every local authority. The majority are also available for all Public Health England (PHE) centres in England and former*

*government office regions.*
http://fingertips.phe.org.uk/profile/local-alcohol-profiles

(v) ONS Alcohol-related deaths in the United Kingdom 2019 Latest figures for alcohol-related deaths in the UK, its four constituent countries and regions of England for 2019.

https://www.ons.gov.uk/peoplepopulationandcommunity/healthandsocialcare/causesofdeath/bulletins/alcoholrelateddeathsintheunitedkingdom/registeredin2019

(vi) Estimates of alcohol dependence in England based on APMS 2014, including estimates of children living in a household with an adult with alcohol dependence, Price et al; University of Sheffield 2017 The full report on prevalence estimates for alcohol dependent adults potentially in need of specialist treatment, including estimates of parental alcohol dependence and numbers of children living with an alcohol dependent adult published by the University of Sheffield at the request of PHE. Characteristics of children in need: 2020-2021, DoE/ONS Oct 2021 Annual data on the numbers of Children in Need including numbers of Children in Need where alcohol or drug use is a factor. Data in this Needs Assessment uses updated estimates that are unpublished.

https://www.gov.uk/government/publications/alcohol-dependence-prevalence-in-england

## 20 Young People substance misuse – Introduction

(i) While the majority of young people do not use drugs, and most of those who do are not dependent, substance misuse can have a major impact on young people's health, their education, their families and their long-term chances in life. It is for these reasons that local authorities are strongly encouraged to continue to invest in substance related service provision across the different levels of need from schools to treating young people's substance misuse.

(ii) This section provides key performance information about young people (under the age of 18 years) accessing specialist substance misuse interventions in your area alongside national data for comparison. Much of the data is taken from the National Drug Treatment Monitoring System (NDTMS) which, for young people, reflects specialist treatment activity reported for those with problems around substance misuse.

(iii) Although most of the data in this section focuses solely on specialist interventions, the emphasis within the Reducing Demand section of the 2021 Drug Strategy* is also on preventing the onset of substance misuse by building resilience in young people and supporting young people and families at risk of substance misuse. The strategy advocates for the provision of good quality education, for targeted support to prevent substance misuse, and for early interventions to avoid any escalation of risk and harm when such problems first arise. The data in this pack should therefore be considered in conjunction with the wider health and wellbeing data that are available nationally and locally to support the substance misuse strategies.

(iv) Evidence suggests that effective specialist substance misuse interventions contribute to improved health and wellbeing, better educational attainment, reductions in the numbers of young people not in education, employment or training (NEET) and reduced risk taking behaviour, such as offending (Department for Education, 2010)**. The data in this section

provides a comprehensive overview of these specialist interventions.

(v) The Office for Health Improvement and Disparities (OHID) provides information and intelligence about the health of children and young people at local authority and Clinical Commissioning Group (CCG) level to help commissioners and other healthcare professionals improve their services. This includes information about alcohol and other substance misuse. More broadly, information is available about young people's mental and physical health and their health behaviours. These can help inform the effective commissioning and delivery of services for young people and their families. For further information on these resources, see:

https://www.gov.uk/guidance/child-and-maternal-health-data-and-intelligence-a-guide-for-health-professionals

(vi) Please note that the percentages given in this section are rounded to the nearest per cent. Totals may not add up to 100 due to rounding. Figures displayed here are based on the methodology used in the national statistics publication and so may differ slightly from previously released figures in periodic reporting. Please be mindful that small numbers in this report may lead to large changes in local proportions over time which do not reflect significant change.

*HM Government (2021) 2021 Drug Strategy. Available at: https://www.gov.uk/government/publications/from-harm-to-hope-a-10-year-drugs-plan-to-cut-crime-and-save-lives

**Department for Education (2010) Specialist drug and alcohol services for young people: a Cost Benefit Analysis. Available at: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/182312/DFE-RR087.pdf

## 20.1 Value for money

(i) Specialist interventions for young people's substance misuse are effective and provide value for money. A Department for Education cost-benefit analysis* found that every £1 invested saved £1.93 within two years and up to £8.38 in the long term. Specialist services engage young people quickly, the majority of whom leave in a planned way and do not return to treatment services.

(ii) This indicates that investing in specialist interventions is a cost-effective way of securing long-term outcomes, reducing future demand on health, social care, youth justice and mental health services.

(iii) The data in this section is based on young people accessing specialist substance misuse services in the community. Local needs assessments can also provide further information about the needs of young people who are not in contact with young people's specialist substance misuse services to help assess if there is unmet need. Information about smoking, drinking and drug use below the threshold for a specialist intervention can be obtained via this link:

National and regional level data on school-aged children in England is available from the

Smoking, Drinking and Drug Use among Young People Survey: https://www.gov.uk/government/statistics/smoking-drinking-and-drug-use-among-young-people-in-england-2018
*Department for Education (2010) Specialist drug and alcohol services for young people: a Cost Benefit Analysis. Available at: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/182312/DFE-RR087.pdf

### 20.2 Impact of COVID-19

(i) The population health and education data set out in this report largely does not cover the period of the pandemic. When reviewing the data in this pack to gauge the extent to which substance misuse is impacting on the health, offending and education of your local population, commissioners are also encouraged to consider how substance misuse and related harm and the provision of services may have changed in the local area over the course of the COVID-19 pandemic.

(ii) A detailed commentary on changes in alcohol-specific hospital admissions and deaths during the pandemic can be found in PHE's report and the WICH dashboard. The data can broken down further, for example by age, sex, or deprivation.

(iii) Like other services, substance misuse treatment services were affected by the need to protect their service users and staff in the pandemic, especially in the early stages. Most services had to restrict face-to-face contacts which affected the types of interventions that service users received. The wider systems that substance misuse treatment providers integrate with, particularly education and youth justice, saw major changes to their service provision that led to reductions in the numbers of young people they referred to treatment. The pandemic will have impacted on many of the indicators included in this report, and the effects of this will undoubtedly be felt into 2022-23.

## 21 Wider data about young people in Rotherham

(iv) The following section provides population data relating to substance misuse about young people in Rotherham. Please note that the period and age group the data applies to depends on the indicator. Detailed methodology is available by following the data source link. Percentages are rounded and may not sum to 100%. In addition, proportions based on low numbers may also appear as 0%. Where data is unavailable or percentages cannot be calculated, tables will show "NA"

### 21.1 Hospital admissions

(i) These indicators show young people's substance misuse causing hospital admissions. The first indicator shows hospital admissions due to substance misuse for 15-24-year-olds; data on under-15s is not available. The second indicator is an 'alcohol-specific' indicator, where alcohol is causally implicated in all cases, this is as opposed to a broad indicator that includes conditions where alcohol causes some but not all cases adjusted by an alcohol-attributable fraction. This means the second indicator shows a direct health impact of alcohol on the health of under-18s (both males and females). Both indicators are given over three-year periods, the current period is 2017-18 to 2019-20. These indicators are sourced from

the Fingertips Public Health Profiles published by OHID, available here: https://fingertips.phe.org.uk/

15-24-year-olds

| Area | Hospital admissions due to substance misuse, DSR per 100,000 | LCL | UCL | Trend 2008-09 to 2010-11 period to 2017-18 to 2019-20 period |
|---|---|---|---|---|
| Local | 56 | 41 | 74 |  |
| England | 85 | 83 | 86 |  |

*Note:*
DSR per 100,000 - Directly Standardised Rate per 100,000 15-24-year-olds.
LCL - 95% Lower Confidence Limit.
UCL - 95% Upper Confidence Limit.

*Figure 145 Hospital admissions due to substance misuse (15-24 years) for Rotherham and England, 2017-18 to 2019-20*

Under 18s

| Area | Admission episodes for alcohol-specific conditions, under 18s, crude rate per 100,000* | LCL | UCL | Trend 2006-07 to 2008-09 period to 2017-18 to 2019-20 period |
|---|---|---|---|---|
| Local | 15 | 10 | 22 |  |
| England | 31 | 30 | 31 |  |

*Note:*
*Crude rate per 100,000 under 18s, in your local area or in England, based on mid-year population estimates for 10-17 age groups supplied by the Office for National Statistics

*Figure 146 Admission episodes for alcohol-specific conditions - under 18s for Rotherham and England, 2017-18 to 2019-20*

## 21.2 Youth justice

(i) First time entrants to the youth justice system are children aged 10-17 who receive their first youth caution or court sentence. 13% of offences committed by these young people were drug offences, and substance misuse may be a factor in other offences. Youth justice, particularly Youth Offending Teams, are a major source of referrals into substance misuse treatment for young people. Detailed statistics on entrants to the youth justice system are available here: https://www.gov.uk/government/collections/youth-justice-statistics

(ii) This indicator is sourced from the Fingertips Public Health Profiles published by OHID, and is available here: https://fingertips.phe.org.uk/profile/public-health-outcomes-framework/data#gid/1000041

## 21.3 Children looked after

(i) Children looked after are a vulnerable group who are at higher risk of substance misuse. Nationally, 44% of children looked after with an identified substance misuse problem received an intervention, this includes non-structured interventions that aren't included in Section 3. Nationally, 8% of young people in community structured substance misuse treatment are children looked after.

(ii) This indicator is sourced from the Children looked after in England including adoptions report published by the Department for Education. This report includes detailed statistics on children looked after and is available here: https://explore-education-statistics.service.gov.uk/find-statistics/children-looked-after-in-england-including-adoptions/2021

(iii) Please note that figures under 6 are suppressed in these indicators and will appear as NA in the tables.

Children looked after for at least 12 months

| Area | Number of children looked after | Number of children looked after identified as having a substance misuse problem | Proportion of children identified as having a substance misuse problem | Trend in number of children identified as having a substance misuse problems 2017-18 to 2020-21 |
|---|---|---|---|---|
| Local | 459 | 24 | 5% | |
| England | 59,050 | 1,760 | 3% | |

*Figure 147 Children looked after for at least 12 months identified as having a substance misuse problem Rotherham and England, 2020-21*

Children looked after for at least 12 months identified as having a substance misuse problem

| Area | Number of children looked after identified as having a substance misuse problem | Number of children who received an intervention for their substance misuse problem | Proportion of children who received an intervention for their substance misuse problem | Trend in number of children receiving an intervention for their substance misuse problem misuse 2017-18 to 2020-21 |
|---|---|---|---|---|
| Local | 24 | 13 | 54% | |
| England | 1,760 | 770 | 44% | |

*Figure 148 Children looked after receiving an intervention for their substance misuse problem Rotherham and England, 2020-21*

## 21.4 Permanent exclusions and suspensions from school

(i) In England, there were 5097 permanent exclusions and 310,733 suspensions from state-funded schools in the 2019-20 academic year, including 513 drug and alcohol related permanent exclusions and 8099 drug and alcohol related suspensions. Schools are an important part of any young people's drug strategy, for building resilience, for early prevention, to identify substance misuse and refer into specialist substance misuse services. Being excluded and or suspended from school can have a negative effect on young people

and increase their vulnerability to problematic substance misuse.

(ii) This indicator is sourced from the Permanent exclusions and suspensions in England data published by the Department for Education. This report includes detailed statistics on exclusions and is available here: https://explore-education-statistics.service.gov.uk/find-statistics/permanent-and-fixed-period-exclusions-in-england/2019-20

State-funded school pupils

| | Total number of suspensions | Number of suspensions related to drugs and alcohol | Proportion of suspensions related to drugs and alcohol | Trend 2014-15 to 2019-20 in proportion of suspensions related to drugs and alcohol |
|---|---|---|---|---|
| Local | 3,144 | 26 | 1% |  |
| England | 310,733 | 8,099 | 3% |  |

*Figure 149 Suspensions from school related to drugs and alcohol for Rotherham and England, 2019-20*

State-funded school pupils

| | Total number of permanent exclusions | Number of permanent exclusions related to drugs and alcohol | Proportion of permanent exclusions related to drugs and alcohol | Trend 2014-15 to 2019-20 in proportion of permanent exclusions related to drugs and alcohol |
|---|---|---|---|---|
| Local | 30 | 1 | 3% |  |
| England | 5,057 | 513 | 10% |  |

*Figure 150 Permanent exclusions from school related to drugs and alcohol for Rotherham and England, 2019-20*

## 22 Data from Rotherham's treatment system

(i) The following section provides detailed information on young people who are receiving structured treatment in 2020-21. It includes demographics like age and sex, numbers starting treatment, and treatment details and outcomes. The National Drug Treatment Monitoring System (NDTMS) data presented in this pack covers the period 1 April 2020 to 31 March 2021 for young people in treatment. The data in this section refers to community structured treatment only, for under 18s and 18-24s in young people's services. Unless otherwise stated other figures in this report are for under-18s. Young people's substance misuse services also deliver unstructured interventions such as brief interventions, these are not included as records are not collected nationally.

(ii) Percentages are rounded and may not sum to 100%, and proportions based on low numbers may also appear as 0%. Where data is unavailable or percentages cannot be calculated,

tables will show “NA”. Unless otherwise stated, male and female columns show the percentage of males and females within the given category.

## 22.1 Young people in treatment in 2020-21

(i) The data in this section shows numbers of young people in community structured treatment, for under 18s and 18-24s in young people’s services. 18-24s in adult substance misuse services are not included. It includes young people in treatment during any part of 2020-21.

### 22.1.1 In treatment split by sex

| Area | Total young people | Male (%) | Female (%) | Trend 2009-10 to 2020-21 |
|---|---|---|---|---|
| Local | 30 | 70% | 30% |  |
| England | 14,340 | 64% | 36% |  |

*Figure 151 Numbers and proportion of young people in treatment, including young adults in young people’s services for Rotherham and England, 2020-21*

### 22.1.2 In treatment split by service type and sex

| Service type | Total in treatment | Male (%) | Female (%) | Trend 2009-10 to 2020-21 |
|---|---|---|---|---|
| Young people (aged under 18) | 29 | 72% | 28% |  |
| Young adults (aged 18-24) | 1 | 0% | 100% |  |
| **Total** | **30** | **70%** | **30%** |  |

*Figure 152 Numbers and proportion of young people and young adults in specialist substance misuse services, for Rotherham,*

### 22.1.3 In treatment split by age and sex

| Service type | Total in treatment | Male (%) | Female (%) | Trend 2009-10 to 2020-21 |
|---|---|---|---|---|
| Young people (aged under 18) | 11,013 | 66% | 34% |  |
| Young adults (aged 18-24) | 3,327 | 59% | 41% |  |
| **Total** | **14,340** | **64%** | **36%** |  |

*Figure 153 Numbers and proportion of young people and young adults in specialist substance misuse services, for England, 2020-21*

## 22.2 Young people starting treatment in 2020-21

(i) The data in this section shows numbers of young people starting community structured treatment in 2020-21, for under 18s and 18-24s in young people’s services. 18-24s in adult substance misuse services are not included.

### 22.2.1 New to treatment split by service type and sex

| Service type | Total new to treatment | Male (%) | Female (%) | Trend 2009-10 to 2020-21 |
|---|---|---|---|---|
| Young people (aged under 18) | 15 | 67% | 33% |  |
| Young adults (aged 18-24) | 0 | NA | NA |  |
| **Total** | **15** | **67%** | **33%** |  |

*Figure 154 Numbers and proportion of young people and young adults newly presenting to specialist substance misuse services, for Rotherham, 2020-21*

(ii) *Note:* Breakdowns by sex for these statistics show the percentage of all clients who are male or female.

### 22.2.2 New to treatment split by age and sex

| Age | Local (n) | Proportion of new presentations | Male (%) | Female (%) | England (n) | Proportion of new presentations | Male (%) | Female (%) |
|---|---|---|---|---|---|---|---|---|
| Under 14 | 0 | 0% | 0% | 0% | 468 | 5% | 5% | 5% |
| 14-15 | 6 | 40% | 50% | 20% | 2,575 | 28% | 27% | 30% |
| 16-17 | 9 | 60% | 50% | 80% | 3,916 | 43% | 46% | 37% |
| 18-24 | 0 | 0% | 0% | 0% | 2,229 | 24% | 22% | 28% |
| **All ages** | **15** | | | | **9,188** | | | |

*Figure 155 Age of young people and young adults newly presenting to treatment for Rotherham and England, 2020-21*

## 22.3 Routes into treatment

(i) Young people come to specialist services from various routes but are typically referred by education, youth justice, children and family services and self, family and friends. If your performance differs significantly from the national figure, The data can be used to identify shifts in the volume and sources of referrals. Changes in universal and targeted young people's services may affect screening, referrals and demand for specialist interventions.

### 22.3.1 All routes into treatment

| Referral type | Local (n) | Proportion of all in treatment | Male (%) | Female (%) | England (n) | Proportion of all in treatment | Male (%) | Female (%) |
|---|---|---|---|---|---|---|---|---|
| Education services | 6 | 21% | 24% | 12% | 2,735 | 25% | 24% | 27% |
| Children and family services | 14 | 48% | 43% | 62% | 2,474 | 22% | 20% | 28% |
| Youth justice (incl. secure estate) | 5 | 17% | 24% | 0% | 2,385 | 22% | 29% | 9% |
| Self, family and friends | 1 | 3% | 5% | 0% | 1,356 | 12% | 12% | 12% |
| Health and mental health services (excl. A&E) | 2 | 7% | 0% | 25% | 1,210 | 11% | 9% | 16% |
| Other substance misuse services | 0 | 0% | 0% | 0% | 528 | 5% | 5% | 5% |
| Other | 1 | 3% | 5% | 0% | 203 | 2% | 2% | 2% |
| A&E | 0 | 0% | 0% | 0% | 95 | 1% | 1% | 1% |
| Missing / inconsistent | 0 | 0% | 0% | 0% | 26 | 0% | 0% | 0% |

*Figure 156 Sources of referral for those young people (under 18) in treatment for Rotherham and England 2020-21*

## 22.4 Ethnicity of young people in treatment

(i) This data shows information on ethnicity split by sex of groups of young people (under 18) in treatment. Directly comparable data on the prevalence of each socio-cultural group in Rotherham is not currently available.

| Ethnicity | Local (n) | Proportion of all in treatment | Male (%) | Female (%) | England (n) | Proportion of all in treatment | Male (%) | Female (%) |
|---|---|---|---|---|---|---|---|---|
| White British | 24 | 83% | 86% | 75% | 8,027 | 73% | 71% | 77% |
| Other White | 1 | 3% | 5% | 0% | 458 | 4% | 4% | 4% |
| Not Stated | 0 | 0% | 0% | 0% | 346 | 3% | 3% | 3% |
| Caribbean | 1 | 3% | 5% | 0% | 322 | 3% | 3% | 2% |
| White and Black Caribbean | 0 | 0% | 0% | 0% | 303 | 3% | 3% | 3% |
| Other Mixed | 0 | 0% | 0% | 0% | 235 | 2% | 2% | 2% |
| African | 1 | 3% | 0% | 12% | 220 | 2% | 2% | 1% |
| Other Asian | 1 | 3% | 5% | 0% | 156 | 1% | 2% | 1% |
| Other Black | 0 | 0% | 0% | 0% | 154 | 1% | 2% | 1% |
| Pakistani | 0 | 0% | 0% | 0% | 152 | 1% | 2% | 1% |
| Missing / Incomplete | 0 | 0% | 0% | 0% | 145 | 1% | 1% | 1% |
| Other | 0 | 0% | 0% | 0% | 136 | 1% | 1% | 1% |
| White and Asian | 1 | 3% | 0% | 12% | 109 | 1% | 1% | 1% |
| Bangladeshi | 0 | 0% | 0% | 0% | 77 | 1% | 1% | 0% |
| White and Black African | 0 | 0% | 0% | 0% | 65 | 1% | 1% | 1% |
| Indian | 0 | 0% | 0% | 0% | 61 | 1% | 1% | 0% |
| White Irish | 0 | 0% | 0% | 0% | 44 | 0% | 0% | 0% |
| Chinese | 0 | 0% | 0% | 0% | 3 | 0% | 0% | 0% |

*Figure 157 Young people (under 18) in treatment by ethnicity for Rotherham and England, 2020-21*

## 22.5 Substance misuse

(i) The data below also includes those aged 18-24 in specialist substance misuse services for young people. Cannabis is typically the most common substance for young people's substance misuse, followed by alcohol. Service planning should take account of other substances, including educating young people about their dangers, and planning for some young people requiring prescribing as part of their substance misuse treatment.

(ii) Specialist services must deliver age-appropriate interventions and promote the safeguarding and welfare of children and young people.* Services should be based on developmental need rather than age. The needs of 18-24s are different to those of under-18s, as is the legislative framework. Every effort should be made to assess the risk of children and young people interacting with older service users. Clear transitional arrangements and joint care plans will ensure continuity of care.**

(iii) The Crime Survey for England and Wales for 2019-20 estimated that around one in five 16-24-year-olds had taken a drug in the last year, data on younger people is not available. The survey found that cannabis was the most common drug, used by 19% of 16-24-year-olds, and nitrous oxide was the second most common, used by 9%. Drug use was more common in low-income households. The survey results are available here: https://www.ons.gov.uk/peoplepopulationandcommunity/crimeandjustice/articles/drugmisuseinenglandandwales/yearendingmarch2020

(iv) *Gilvarry, McArdle, O'Herlihy, Mirza, Bevington & Malcolm (2012) Practice Standards for young people with Substance Misuse Problems. Available at: https://www.rcpsych.ac.uk/docs/default-source/improving-care/ccqi/quality-networks/child-and-adolescent-community-teams-cahms/practice-standards-for-young-people-with-substance-misuse-problems.pdf?sfvrsn=1f333692_0

(v) **National Institute for Health and Care Excellence (2016) Transition from children's to adults' services for young people using health or social care services: https://www.nice.org.uk/guidance/ng43

### 22.5.1 Any citation by age

(i) Proportions are of all young people in specialist substance misuse treatment and may sum to more than 100% as an individual may have cited more than one problematic substance.

| Substance type | Under 14 | 14-15 | 16-17 | 18-24 | Total | Proportion of all in treatment |
|---|---|---|---|---|---|---|
| Cannabis | 2 | 8 | 15 | 1 | 26 | 87% |
| Alcohol | 0 | 2 | 4 | 0 | 6 | 20% |
| Cocaine | 0 | 0 | 1 | 0 | 1 | 3% |
| Nicotine | 0 | 2 | 1 | 0 | 3 | 10% |
| Ecstasy | 0 | 1 | 2 | 0 | 3 | 10% |
| Ketamine | 0 | 0 | 0 | 0 | 0 | 0% |
| Benzodiazepines | 0 | 0 | 0 | 0 | 0 | 0% |
| Other drugs | 0 | 0 | 0 | 0 | 0 | 0% |
| Solvents | 0 | 1 | 0 | 0 | 1 | 3% |
| Other opiates (incl. codeine) | 0 | 0 | 0 | 0 | 0 | 0% |
| Crack | 0 | 0 | 0 | 0 | 0 | 0% |
| Amphetamines | 0 | 0 | 0 | 0 | 0 | 0% |
| Heroin | 0 | 0 | 0 | 0 | 0 | 0% |
| Any new psychoactive substances (NPS) | 0 | 0 | 0 | 0 | 0 | 0% |
| **Total** | **2** | **9** | **18** | **1** | **30** | **100%** |

*Figure 158 Age of young people (including 18-24 in young people's services) in treatment by reported problem substance (any citation) for Rotherham, 2020-21*

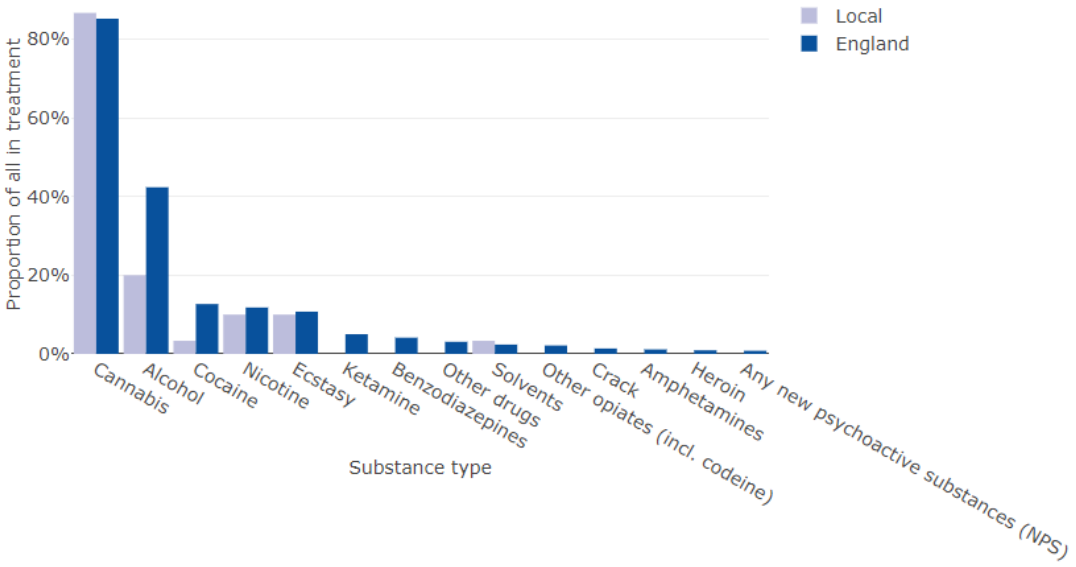



*Figure 159 Proportion of young people (including 18-24 in young people's services) in treatment reporting problem substances for Rotherham and England, 2020-21*

## 22.6 Young people who are parents/carers and their children

(i) The data below shows the number of young people in treatment in 2020-21 who live with children and the stated number of children who live with them, along with the total number of young people in treatment for context. Young people who are parents but do not live with children and young people for whom there is incomplete data are also included. In addition, the number of female young people in treatment in 2020-21 who were pregnant is presented, as is the social care help the client's children and/or children living with the client are receiving.

(ii) Parental status is calculated based on the highest level of parental responsibility throughout the treatment journey, based on assessments and review forms. Number of children living with the young people in treatment, early help and children's social care status of those children, and pregnancy of young people in treatment are the status at treatment start.

### 22.6.1 Parental status

| Parental Status | Local (n) | Proportion of all in treatment | Male (%) | Female (%) | England (n) | Proportion of all in treatment | Male (%) | Female (%) |
|---|---|---|---|---|---|---|---|---|
| Not a parent, not living with children | 27 | 93% | 90% | 100% | 6,443 | 59% | 59% | 58% |
| Not a parent, living with children | 2 | 7% | 10% | 0% | 3,918 | 36% | 35% | 37% |
| Parent, not living with children | 0 | 0% | 0% | 0% | 222 | 2% | 2% | 2% |
| Parent, living with children | 0 | 0% | 0% | 0% | 126 | 1% | 1% | 1% |
| Missing / incomplete | 0 | 0% | 0% | 0% | 304 | 3% | 3% | 2% |

*Figure 160 Numbers and proportion of young people (under 18) in treatment by parental status throughout their treatment journey (showing their highest level of parental responsibility) for Rotherham and England, 2020-21*

### 22.6.2 Living with children

| Living with children | Local | England |
|---|---|---|
| Type | Total number of children | Total number of children |
| Number of children living with young people in treatment | 2 | 6,675 |

*Figure 161 Children living with young people (under 18) in treatment for Rotherham and England, 2020-21*

| | Local | England |
|---|---|---|
| Type | Total young people | Total young people |
| Total young people in treatment | 29 | 11,013 |

*Figure 162 Numbers of young people (under 18) in treatment for Rotherham and England, 2020-21*

### 22.6.3 Early help and children's social care

| Early help and social care type | Local (n) | Proportion of young people with child contact | Male (%) | Female (%) | England (n) | Proportion of young people with child contact | Male (%) | Female (%) |
|---|---|---|---|---|---|---|---|---|
| No early help | 1 | 100% | 100% | NA | 2,554 | 64% | 68% | 58% |
| Early help | 0 | 0% | 0% | NA | 407 | 10% | 10% | 11% |
| Child In Need | 0 | 0% | 0% | NA | 381 | 10% | 9% | 12% |
| Looked After Child | 0 | 0% | 0% | NA | 209 | 5% | 5% | 7% |
| Child protection plan in place | 0 | 0% | 0% | NA | 208 | 5% | 4% | 7% |
| Missing | 0 | 0% | 0% | NA | 205 | 5% | 5% | 5% |

*Figure 163 Young people's (under 18) children receiving early help or children's social care for Rotherham and England, 2020-21*

### 22.6.4 Pregnancy

| Pregnancy data | Local (n) | Proportion of females in treatment | England (n) | Proportion of females in treatment |
|---|---|---|---|---|
| New female presentations who were pregnant | 0 | 0% | 56 | 1% |
| Incomplete data | 0 | 0% | 12 | 0% |

*Figure 164 Number and proportion of young females (under 18) pregnant at the start of treatment for Rotherham and England, 2020-21*

## 22.7 Tobacco use

(i) Services should screen and record the smoking status of all service users, offer advice on effective methods to quit to all smokers (access to effective stop smoking products combined with behavioural support) and act on the individual's decision. To do this effectively recording systems, access to stop smoking aids and treatment pathways should be optimised.

(ii) Smoking rates in the adult general population are now below 14% in England but much higher in adults who misuse substances such as drug and alcohol, in whom smoking is a major cause of illness and death. Surveys of school pupils show rates of smoking that have strongly decreased over the last two decades, with 16% of pupils aged 11-15 having ever smoked (2018 data). However, that survey also showed that pupils who misuse substances are more likely to smoke as well; a quarter of those who recently used alcohol also recently smoked, and a third of those who recently took drugs also recently smoked. For further information, see:

https://digital.nhs.uk/data-and-information/publications/statistical/smoking-drinking-and-drug-use-among-young-people-in-england/2018

### 22.7.1 Smokers at treatment start

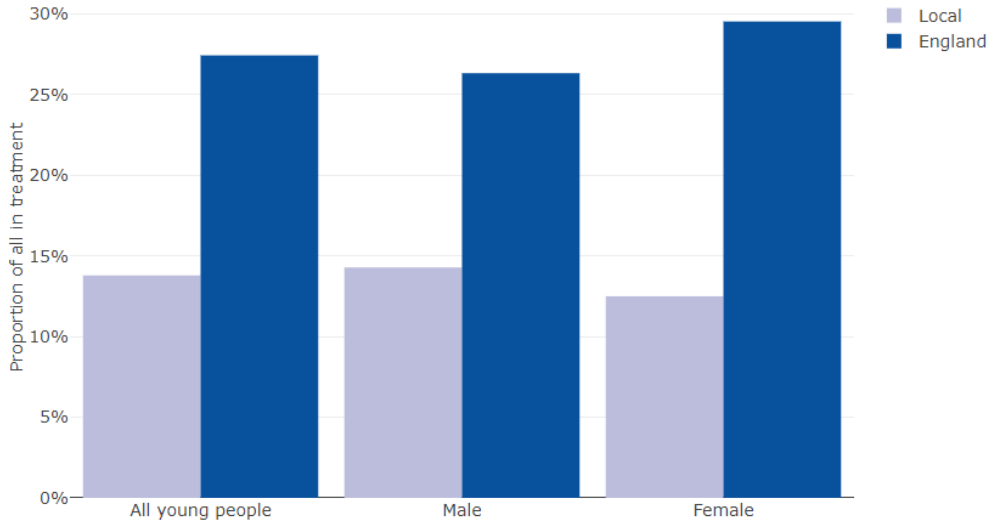



*Figure 165 Proportion of young people (under 18) in treatment identified as smoking tobacco at the start of treatment for Rotherham and England, 2020-21*

### 22.7.2 Smoker at review

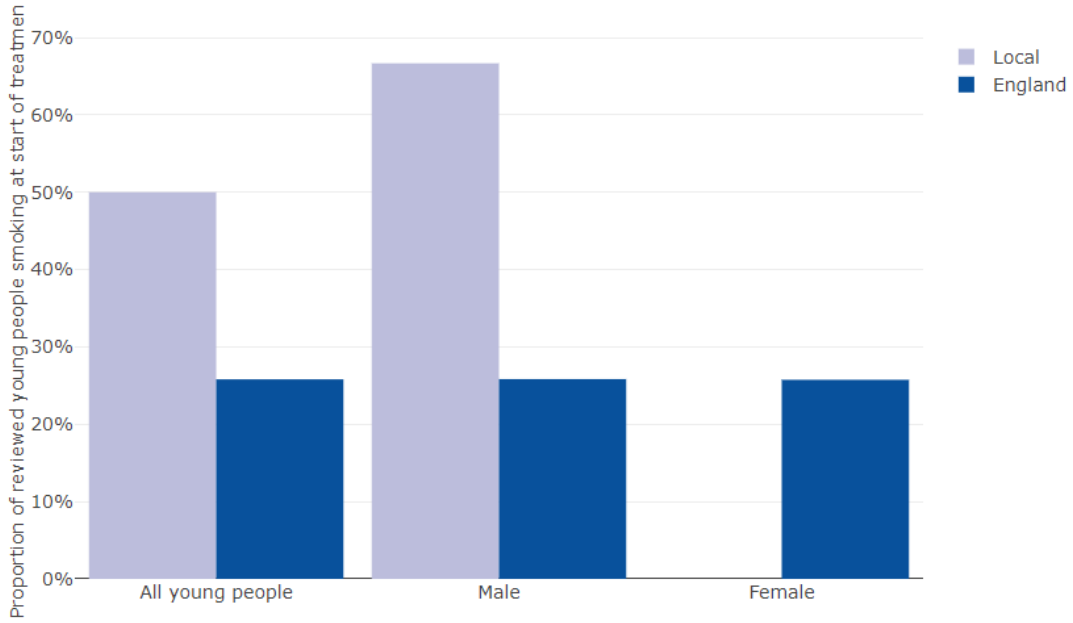



*Figure 166 Proportion of young people (under 18) identified as abstinent from tobacco at review out of those smoking tobacco at the start of treatment by sex for Rotherham and England, 2020-21*

### 22.7.3 Smoking cessation

| Local | | | | England | | | |
|---|---|---|---|---|---|---|---|
| Total young people | Proportion of young people | Male (%) | Female (%) | Total young people | Proportion of young people | Male (%) | Female (%) |
| 0/4 | 0.0% | 0.0% | 0.0% | 118/3,021 | 3.9% | 3.6% | 4.4% |

*Figure 167 Young people (under 18) receiving smoking cessation interventions, out of those smoking tobacco at the start of treatment for Rotherham and England, 2020-21*

## 22.8 Drinking levels

(i) This section shows the number of units of alcohol consumed by young people in the 28 days prior to commencing treatment. Most young people who require structured treatment for alcohol dependence will be drinking at higher risk levels. Drinking levels can be used as a rough proxy for level of dependence and levels of alcohol health risk. An indication of drinking levels in treatment may be useful in understanding which groups of young people are receiving treatment and whether those with the highest levels of harm are receiving effective interventions.

(ii) There is a strong association between levels of consumption and severity of dependence, but they are not equivalent. For example, women are likely to become dependent at lower levels of consumption than men.

(iii) Consumption is based on drinking levels over the 28 days prior to assessment. There may be some moderately or severely dependent young people who have stopped or reduced consumption prior to treatment (for example in hospital or prison) so will appear in the lowest category even though they are alcohol dependent and will require treatment.

(iv) *Please note young people with missing units data are not included in this section.*

| Units | Local (n) | Proportion of young people | Male (%) | Female (%) | England (n) | Proportion of young people | Male (%) | Female (%) |
|---|---|---|---|---|---|---|---|---|
| 0 | 16 | 70% | 80% | 50% | 4,518 | 50% | 57% | 38% |
| 1-199 | 6 | 26% | 20% | 38% | 3,999 | 44% | 40% | 53% |
| 200-399 | 1 | 4% | 0% | 12% | 353 | 4% | 3% | 6% |
| 400-599 | 0 | 0% | 0% | 0% | 91 | 1% | 1% | 2% |
| 600-799 | 0 | 0% | 0% | 0% | 34 | 0% | 0% | 1% |
| 800-999 | 0 | 0% | 0% | 0% | 13 | 0% | 0% | 0% |
| 1000+ | 0 | 0% | 0% | 0% | 24 | 0% | 0% | 0% |
| **Total** | **23** | | | | **9,032** | | | |

*Figure 168 Number and proportion of young people (under 18) in treatment by drinking level units for Rotherham and England, 2020-21*

## 22.9 Co-occurring mental health and substance misuse issues

(i) This data shows the number of young people in treatment in who were identified as having a mental health treatment need at the start of treatment, and, of these the number who were receiving treatment from health services. Comparing prevalence with treatment received can help you assess whether need is being appropriately met.

| Local | | | | England | | | |
|---|---|---|---|---|---|---|---|
| Total young people with mental health need | Proportion of all in treatment | Male (%) | Female (%) | Total young people with mental health need | Proportion of all in treatment | Male (%) | Female (%) |
| 12 | 41% | 38% | 50% | 4,645 | 42% | 35% | 56% |

*Figure 169 Young people (under 18) in treatment in 2020-21 and identified as having a mental health treatment need at the start of treatment, for Rotherham and England*

| Treatment type | Local (n) | Proportion of those with mental health need | Male (%) | Female (%) | England (n) | Proportion of those with mental health need | Male (%) | Female (%) |
|---|---|---|---|---|---|---|---|---|
| Already engaged* | 3 | 25% | 25% | 25% | 2,547 | 55% | 53% | 56% |
| GP* | 1 | 8% | 12% | 0% | 333 | 7% | 7% | 8% |
| NICE* | 2 | 17% | 12% | 25% | 154 | 3% | 4% | 3% |
| Engaged with IAPT* | 0 | 0% | 0% | 0% | 49 | 1% | 1% | 1% |
| Place of safety* | 0 | 0% | 0% | 0% | 48 | 1% | 1% | 1% |
| **Total** | **6** | **50%** | **50%** | **50%** | **3,121** | **67%** | **66%** | **69%** |

*Figure 170 Young people (under 18) in treatment identified as having a mental health treatment need and receiving treatment for their mental health, for Rotherham and England, 2020-21*

(ii) *Note:* The total number is the number of individuals receiving mental health treatment and not a summation of treatment type.
*Already engaged - Already engaged with the Community Mental Health Team/Other mental health services,
GP - Receiving mental health treatment from GP,
NICE - Receiving any NICE-recommended psychosocial or pharmacological intervention provided for the treatment of a mental health problem in drug or alcohol services,
IAPT - Improved Access to Psychological Therapies,
Place of safety - Has an identified space in a health-based place of safety for mental health crises

## 22.10 Education and employment

(i) These data show the education and employment status of young people at the start of treatment. This includes those not in education, employment or training and who are persistent absentees or excluded. Being NEET can have adverse effects on young people's wellbeing and life chances.

| | Local | | England | |
|---|---|---|---|---|
| Status | Total young people | Proportion of all in treatment | Total young people | Proportion of all in treatment |
| Mainstream education | 14 | 48% | 6,184 | 56% |
| Alternative education | 9 | 31% | 1,981 | 18% |
| Not in education, employment or training | 5 | 17% | 1,736 | 16% |
| Apprentice | 1 | 3% | 390 | 4% |
| Employed (inlc. volunteers) | 0 | 0% | 304 | 3% |
| Persistent absentee / excluded | 0 | 0% | 170 | 2% |
| Economically inactive* | 0 | 0% | 16 | 0% |
| Missing / incomplete | 0 | 0% | 232 | 2% |

*Figure 171 Education and employment status for young people (under 18) in treatment at the start of their treatment for Rotherham and England, 2020-21*

## 22.11 Housing and homelessness

(i) The accommodation status section below shows self-reported housing status of young people when they started in your treatment services. A safe, stable home environment enables people to sustain their recovery. Engaging with local housing and homelessness agencies can help ensure that the full spectrum of homelessness is understood, from homelessness prevention to rough sleeping.

| Housing Status | Local (n) | Proportion of all in treatment | England (n) | Proportion of all in treatment |
|---|---|---|---|---|
| Living with parents | 26 | 90% | 9,040 | 82% |
| Living in care | 1 | 3% | 750 | 7% |
| Living in supported housing | 0 | 0% | 480 | 4% |
| Settled accommodation | 0 | 0% | 294 | 3% |
| Unsettled accommodation | 2 | 7% | 82 | 1% |
| Living in secure care | 0 | 0% | 67 | 1% |
| Urgent problem (NFA) | 0 | 0% | 25 | 0% |
| Missing / incomplete | 0 | 0% | 275 | 2% |

*Figure 172 Accommodation status of all young people (under 18) in treatment at the start of their treatment for Rotherham and England, 2020-21*

## 22.12 Length of time in treatment

(i) This shows the time young people in your area spent receiving specialist interventions (latest contact). Young people generally spend less time in specialist interventions than adults because their substance misuse is not as entrenched. However, those with complex care needs often require support for longer.

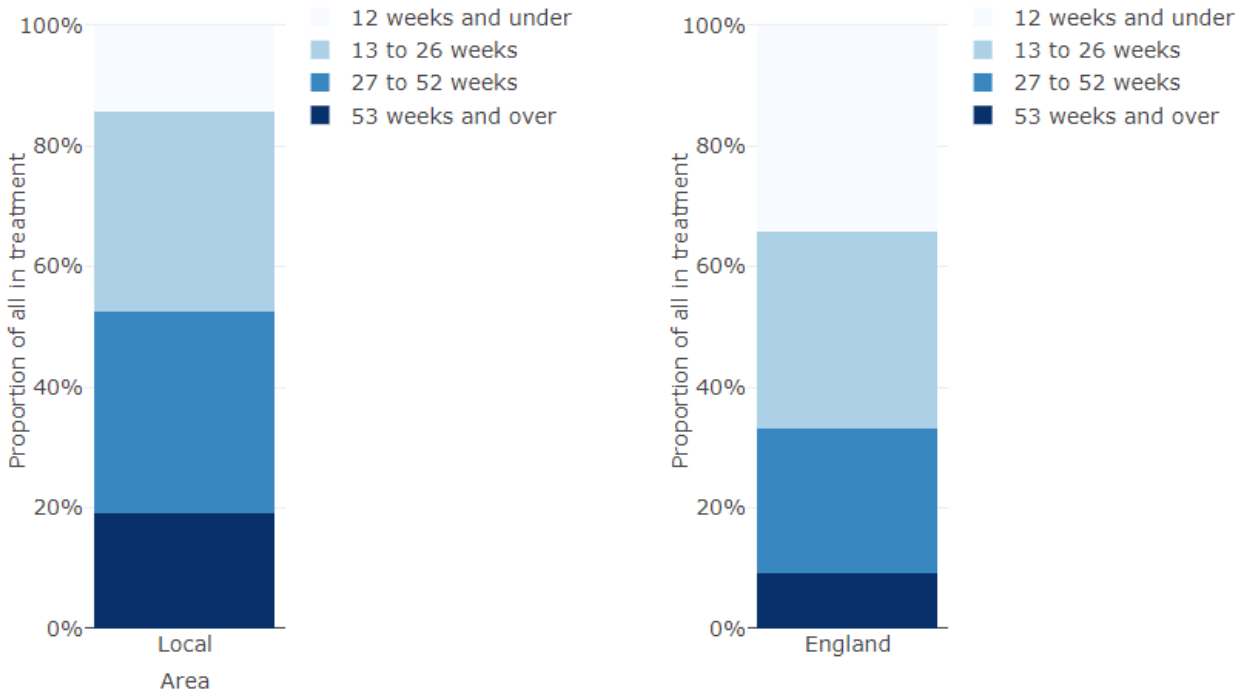



*Figure 173 Proportion of length of time in treatment for young people (under 18) exiting treatment for Rotherham (left) and England (right), 2020-21*

## 22.13 Interventions delivered

(i) Young people have better outcomes when they receive a range of interventions as part of their package of care. If a pharmacological intervention is required, it should always be delivered alongside appropriate psychosocial support.

(ii) Psychosocial interventions are a range of talking therapies designed to encourage behaviour change. In the below table, psychosocial interventions include family interventions and harm reduction as well as other specific psychosocial intervention types. Harm reduction interventions are also shown broken out.

(iii) We know that the types of intervention delivered to service users will have an impact on their achievement of recovery outcomes. The table below shows what interventions are delivered locally and in what setting.

(iv) Drug misuse and dependence: UK guidelines on clinical management: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/628634/clinical_guidelines_2017.pdf

| | Local | | | England | | |
|---|---|---|---|---|---|---|
| | Psychosocial | Harm Reduction | Prescribing | Psychosocial | Harm Reduction | Prescribing |
| Proportion with this intervention* | 100% | 100% | 0% | 100% | 66% | 0% |

*Figure 174 Proportion of young people (under 18) in treatment in high level interventions across the treatment journey for Rotherham and England, 2020-21*

| | Number of young people with this intervention type | | | | |
|---|---|---|---|---|---|
| Setting | Psychosocial | Harm Reduction | Prescribing | Any intervention | Proportion with this setting |
| Community | 29 | 29 | 0 | 29 | 100% |
| Home | 0 | 0 | 0 | 0 | 0% |
| Residential rehab | 0 | 0 | 0 | 0 | 0% |
| Inpatient | 0 | 0 | 0 | 0 | 0% |
| Any setting | 29 | 29 | 0 | 29 | 100% |

*Figure 175 Number and proportion of young people (under 18) in treatment in high level interventions and settings across the treatment journey for Rotherham, 2020-21*

| | Number of young people with this intervention type | | | | |
|---|---|---|---|---|---|
| Setting | Psychosocial | Harm Reduction | Prescribing | Any intervention | Proportion with this setting |
| Community | 10,658 | 6,973 | 27 | 10,658 | 98% |
| Home | 259 | 202 | 1 | 260 | 2% |
| Residential rehab | 8 | 5 | 0 | 8 | 0% |
| Inpatient | 3 | 1 | 0 | 3 | 0% |
| Any setting | 10,881 | 7,174 | 28 | 10,881 | 100% |

*Figure 176 Number and proportion of young people (under 18) in treatment in high level interventions and settings across the treatment journey for England, 2020-21*

## 22.14 Vulnerabilities of young people in specialist substance misuse services

(i) Many young people receiving specialist interventions for substance misuse have a range of vulnerabilities. Examples of the types of vulnerabilities / risks young people report having at the start of treatment include: not in education, employment or training (NEET), in contact with the youth justice system, experience of domestic abuse and sexual exploitation. Substance misuse, for example, is associated with early sexual initiation and other risky sexual behaviours.*

(ii) Universal and targeted services have a role to play in building resilience and providing substance misuse advice and support at the earliest opportunity. Specialist services should be provided to those whose use has escalated and/or is causing them harm. There should be effective pathways between specialist services and children's social care for those young people who are vulnerable and age-appropriate care should be available for all young people in specialist services.

(iii) This section shows some areas where, nationally, the presenting needs of girls seem to differ from boys when entering specialist services.

(iv) Substance misuse services for young people may need to consider sex differences in the treatment population. There are a number of specific issues facing girls, including increased citation of alcohol as a problematic substance, involvement in self-harm, being affected by domestic abuse, and affected by sexual abuse including exploitation.* Boys also experience domestic abuse, sexual exploitation and self-harm, and this should be explored by services.

(v) Services available need to be tailored to the specific needs of girls and boys within these services and ensure that young people with multiple vulnerabilities or a high risk of substance misuse-related harm get extra support with clear referral pathways and joint working protocols.

(vi) *Public Health England (2017) Child Sexual Exploitation: how Public Health can support Prevention and Intervention. Available at: https://www.gov.uk/government/publications/child-sexual-exploitation-prevention-and-intervention

Jackson, C., Sweeting, H., & Haw, S. (2012) Clustering of substance use and sexual risk behaviour in adolescence: analysis of two cohort studies. BMJ Open, 2(1), pp.1-10

(vii) *Proportions are of all young people entering services for specialist substance misuse interventions in the year and may sum to more than 100% as an individual may have more than one recorded vulnerability.*

### 22.14.1 Wider Vulnerabilities

| | Local | | | | |
|---|---|---|---|---|---|
| Wider vulnerabilities | Total young people | Proportion of all in treatment | Male (%) | Female (%) | Trend in proportion 2017-18 to 2020-21 |
| Anti-social behaviour | 4 | 14% | 14% | 12% | |
| Involved in self-harm | 5 | 17% | 10% | 38% | |
| Affect by domestic abuse | 2 | 7% | 10% | 0% | |
| Affected by others' substance misuse | 3 | 10% | 10% | 12% | |
| Child in need | 2 | 7% | 10% | 0% | |
| Looked after child | 0 | 0% | 0% | 0% | |
| Subject to a child protection plan | 1 | 3% | 5% | 0% | |
| Affected by sexual exploitation | 0 | 0% | 0% | 0% | |
| Pregnant and/or parent | 0 | 0% | 0% | 0% | |
| NFA/unsettled housing | 1 | 3% | 5% | 0% | |

*Figure 177 Young people (under 18) in treatment with wider vulnerabilities for Rotherham, 2020-21*

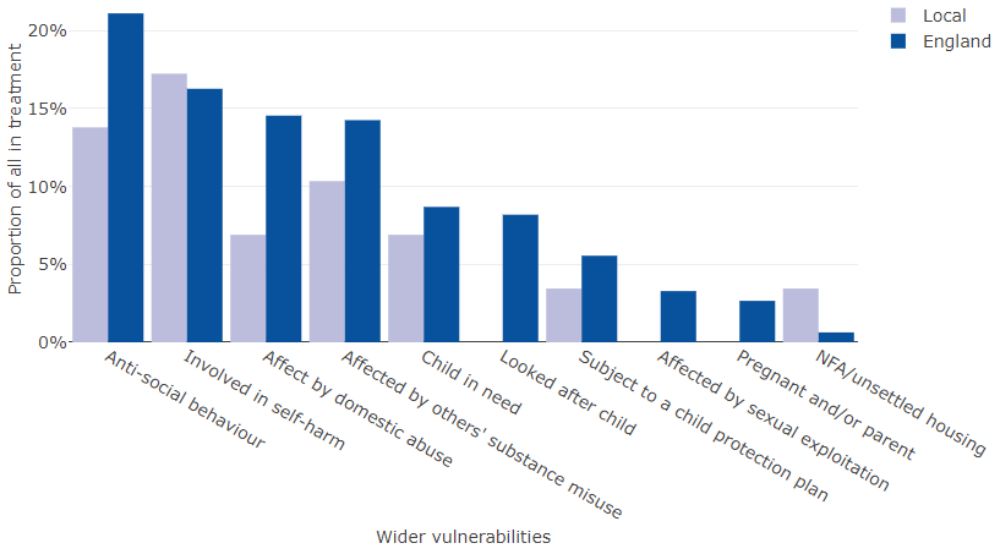



*Figure 178 Proportion of young people (under 18) in treatment with wider vulnerabilities Rotherham and England, 2020-21*

### 22.14.2 Substance specific vulnerabilities

| | Local | | | | |
|---|---|---|---|---|---|
| Substance specific vulnerabilities | Total young people | Proportion of all in treatment | Male (%) | Female (%) | Trend in proportion 2017-18 to 2020-21 |
| Early onset** | 10 | 34% | 33% | 38% | |
| Using two or more substances (incl. alcohol) | 6 | 21% | 19% | 25% | |
| High risk alcohol users* | 1 | 3% | 0% | 12% | |
| Opiate and/or crack | 0 | 0% | 0% | 0% | |
| Injecting | 0 | 0% | 0% | 0% | |

*Figure 179 Young people (under 18) in treatment by substance specific vulnerabilities for Rotherham, 2020-21*

(i) *Note:*
*There are no safe drinking levels for under 15s and young people aged 16-17 should drink infrequently on no more than one day a week (CMO, 2009).
This measure captures young people drinking on an almost daily basis (27+ days out of 28) and those drinking above eight units per day (males) or six units per day (females), on 13 or more days a month.
**Early onset means substance use starting before age 15, either by the age of first use of their reported primary substance, a substance they are currently using (reported on an outcome form), or the young person's age.

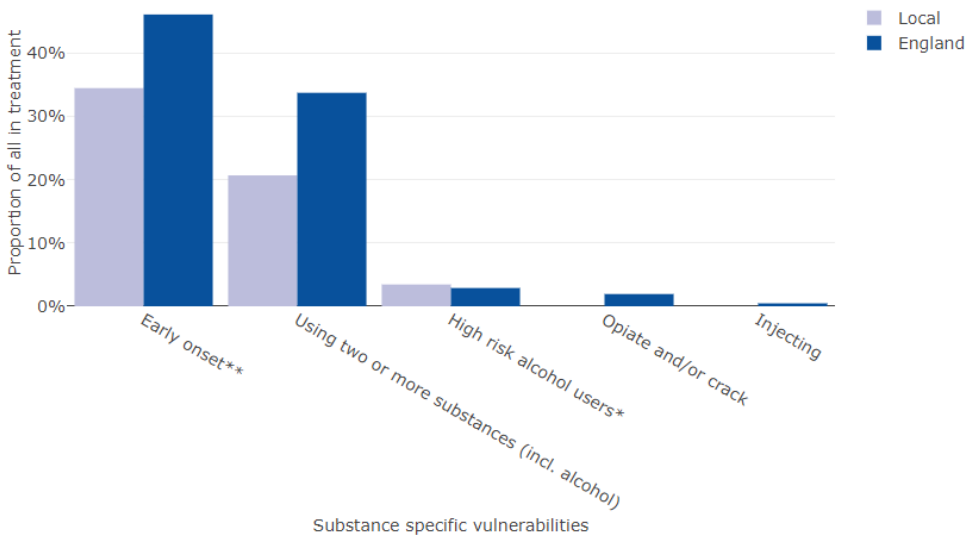



*Figure 180 Proportion of young people (under 18) in treatment by substance specific vulnerabilities for Rotherham and England, 2020-21*

## 22.15 Successful completions

(i) This section shows the number of young people who have left specialist interventions successfully and the proportion that return to treatment, referred to as re-presentations.

(ii) Young people's circumstances can change, as does their ability to cope. If they re-present to treatment, this is not necessarily a failure and they should be rapidly re-assessed to inform a new care plan that addresses all their problems.

(iii) The re-presentation information is based on planned exits between 1 January 2020 and 31 December 2020, with re-presentations up to 6 months after exiting. It is included to help with monitoring the effectiveness of specialist interventions; a high re-presentation rate may suggest a problem with the treatment system, or an outside factor driving young people to need to return to treatment.

### 22.15.1 Leaving treatment

| Area | Total leaving treatment | Proportion of treatment population | Male (%) | Female (%) |
|---|---|---|---|---|
| Local | 21 | 72% | 67% | 88% |
| England | 7,237 | 66% | 67% | 64% |

*Figure 181 Total young people (under 18) leaving treatment for Rotherham and England, 2020-21*

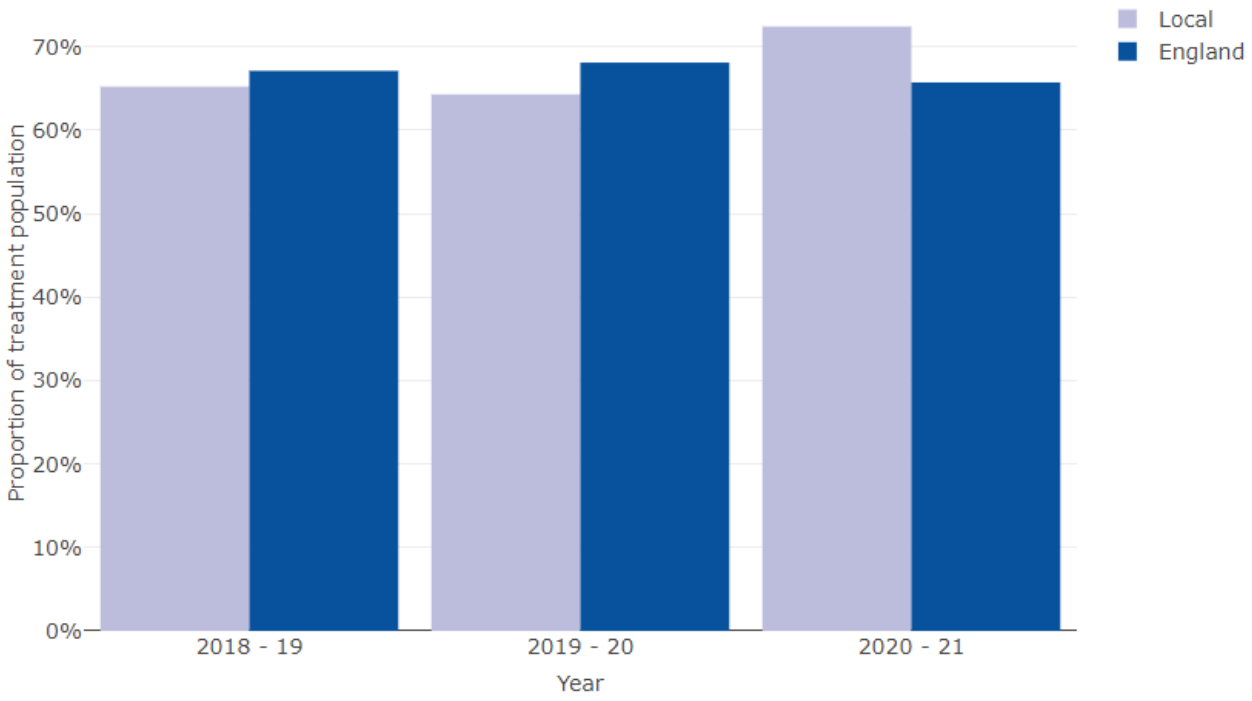



*Figure 182 Proportion of young people (under 18) treatment population leaving treatment for Rotherham and England, 2018-19 to 2020-21*

### 22.15.2 leaving treatment successfully

| Area | Total leaving treatment successfully | Proportion of treatment population | Male (%) | Female (%) |
|---|---|---|---|---|
| Local | 17 | 59% | 48% | 88% |
| England | 5,725 | 52% | 53% | 50% |

*Figure 183 Young people (under 18) leaving treatment successfully for Rotherham and England, 2020-21*

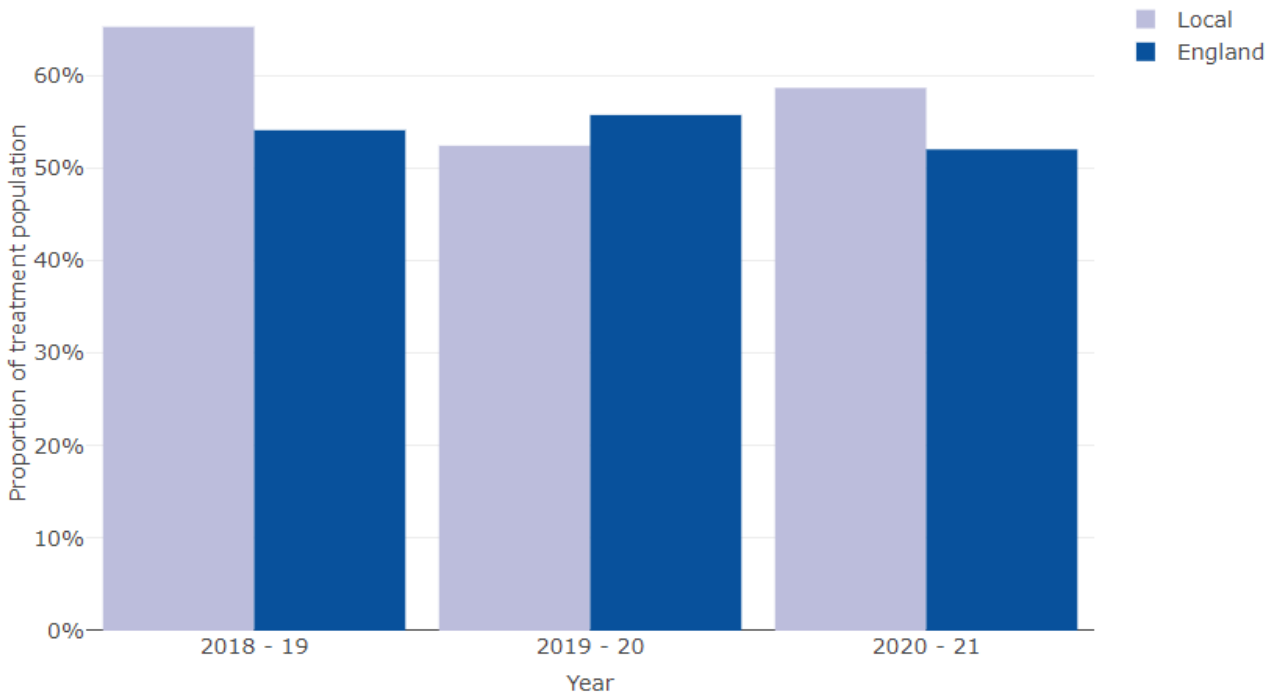



*Figure 184 Proportion of young people (under 18) treatment population leaving treatment successfully for Rotherham and England, 2018-19 to 2020-21*

### 22.15.3 leaving treatment successfully, as a proportion of all exits

| Area | Total leaving treatment successfully | Total exiting treatment | Proportion of all exits | Male (%) | Female (%) |
|---|---|---|---|---|---|
| Local | 17 | 21 | 81% | 71% | 100% |
| England | 5,725 | 7,237 | 79% | 79% | 78% |

*Figure 185 Young people (under 18) leaving treatment successfully, as a proportion of all exits for Rotherham and England, 2020-21*

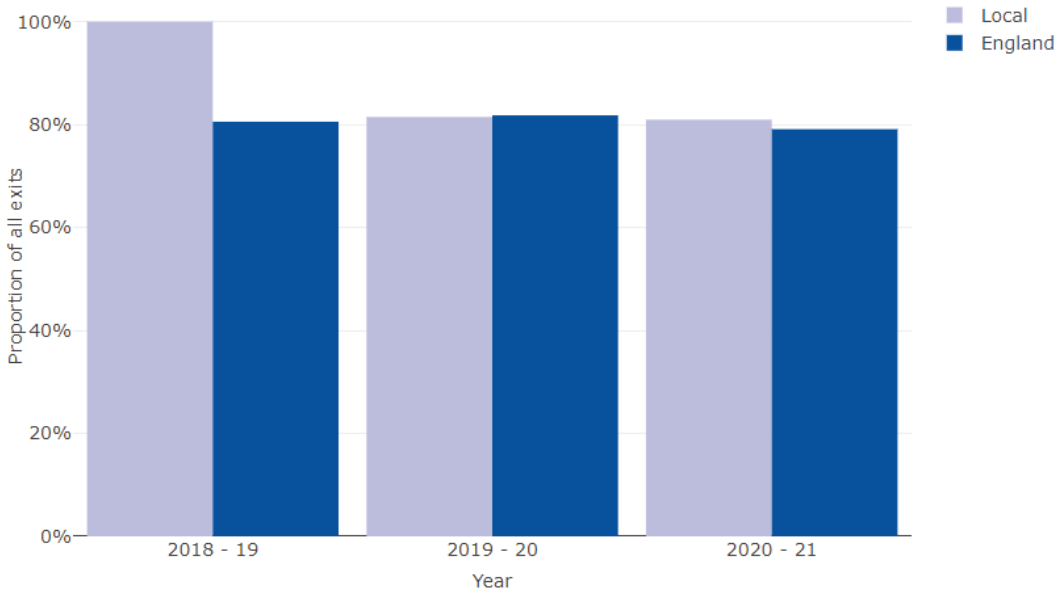



*Figure 186 Proportion of all young people (under 18) in treatment who completed successfully as a proportion of all exits for Rotherham and England, 2018-19 to 2020-21*

### 22.15.4 Successfully completing treatment and not re-presentation

| Area | Total successful completions | Total non-representing | Proportion non-representing | Male (%) | Female (%) |
|---|---|---|---|---|---|
| Local | 16 | 16 | 100% | 100% | 100% |
| England | 5,936 | 5,697 | 96% | 96% | 97% |

*Figure 187 Young people (under 18) successfully completing treatment and not re-presenting to young people's specialist services within six months for Rotherham and England, exits during 2020*

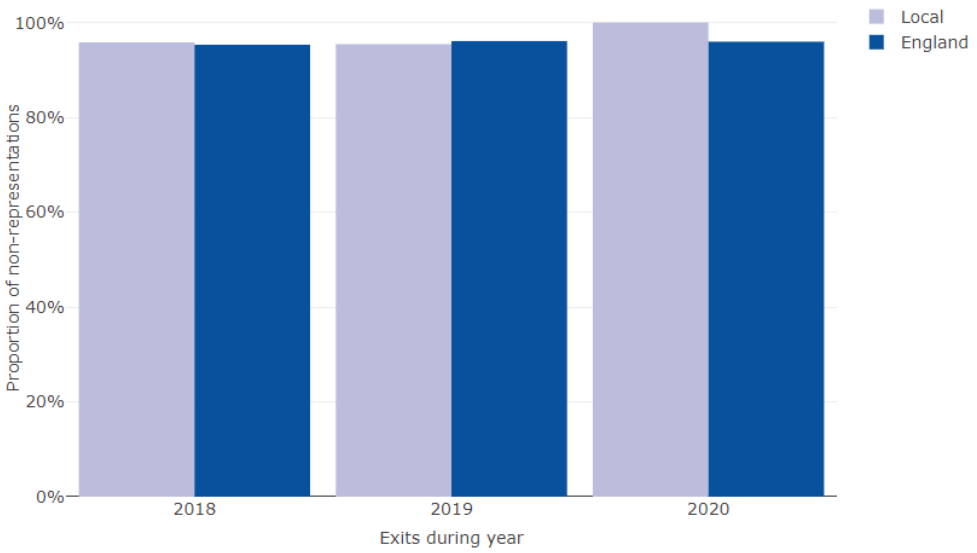



*Figure 188 Proportion of young people (under 18) successfully completing treatment and not re-presenting to young people's specialist services within six months for Rotherham and England, exits during 2018 to 2020*

**END**

## 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: Management of Public Health Drugs and Alcohol Grant 2022-2025** | |
| **Directorate:**<br>**Public Health** | **Service area:**<br>**Commissioning** |
| **Lead person:**<br><br>**Jacqui Wiltschinsky** | **Contact:**<br><br>Jacqueline.Wiltschinsky@rotherham.gov.uk |
| Is this a:<br><br>[ ] **Strategy / Policy** [x] **Service / Function** [ ] **Other**<br><br>**If other, please specify** | |

| **2. Please provide a brief description of what you are screening** |
|---|
| The Public Health team are preparing for the management of an OHID grant to the support the drug and alcohol services.<br><br>To inform the commissioning process, targeted groups are being asked to share their experiences of the current service. This will enable commissioners to identify potential gaps in service as well as areas of excellence. The information will be used to improve the service design prior to retendering for the service. |

This service is funded through an OHID grant and will support the wider Public Health aim with the delivery of the Rotherham Health and Wellbeing Strategy which sets out 4 priorities:

- All children get the best start in life and go on to achieve their potential
- All Rotherham people enjoy the best possible mental health and wellbeing and have a good quality of life
- All Rotherham people live well for longer
- All Rotherham people live in healthy, safe and resilient communities

It is important to ensure that the process listens and learns from people who use the service, professionals, and partners through the use of a thorough consultation and market engagement exercise.

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

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

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

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

## 4. Considering the impact on equality and diversity

If you have not already done so, the impact on equality and diversity should be considered within your proposals before decisions are made**.**

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

Please provide specific details for all three areas below using the prompts for guidance and complete an Equality Analysis (Part B).

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

The Service operates a single point of access (SPA) and referrals are disseminated accordingly. The Service also links with other agencies and partners such as Housing and Early Help to ensure wider accessibility to the service.

It is known that poor physical and mental health is disproportionately experienced by some of the most vulnerable members of our local communities and the recommissioned service will aim to address inequality in health as a general principle, and to prioritise certain target groups.

It will be key to ensure that the specification for the recommissioned service clearly sets out the above requirements to ensure equal access and outcomes across all of Rotherham's communities whilst ensuring that no protected equalities group is being unintentionally disadvantaged or excluded.

To ensure that the recommissioning process identifies any barriers to access, gaps in provision or shortfalls in expected outcomes which may have resulted from either the current service design or delivery, comprehensive consultation will be undertaken.

A Consultation plan has been developed which, through the use of management briefings, team meetings, questionnaires, market engagement, and partnership events will highlight any areas of weakness or strength in the current service design to inform the retender.

There is currently a gap in the information that can be obtained from those that have never accessed support for drug and alcohol misuse. The needs assessment and consultation event are supporting in filling these gaps via other stakeholders including Housing, Probation services, the youth offending team etc. The outcomes will be used to support in shaping a service which will offer equality and diversity for Rotherham residents who require support with substance misuse.

The proposal is for an 'all age' service, within this service the specification will ensure that different age groups have a slightly different service offer in line with consultation outcomes, what has worked well previously and national guidance. Additionally, to this, all people who use the service that require enhanced support will be given a personalised care plan which will be developed with the service user to ensure an individualised

approach.

- **Key findings**

Data from the needs assessment identifies that it will be key to consider access and outcomes for the following groups:

- People with a disability
- People with mental health conditions
- Unemployed people and those with low incomes
- Criminal offenders
- Victims of domestic violence, sexual exploitation and child exploitation
- Homeless people
- Children and Young People
- Dependant adults

The consultation will inform how these groups experience the Service currently.

Intelligence and analysis are required to identify any further groups who should also be subject to consultation to ensure that no protected equalities group is being unintentionally excluded.

Work will be undertaken through partnership meetings to strengthen pathways between agencies and services including voluntary services to support vulnerable groups and to ensure they are supported in a timely manner.

In addition an action plan will be developed ensuring the grant meets the requirements of the newly published drugs strategy (From harm to hope: A 10-year drugs plan to cut crime and save lives).

- **Actions**

The consultation will allow us to gain insight into the outcomes and views of people who currently use the service; the questionnaire will have an Equality and diversity section which will allow us to identify both individual differences and trends across specific groups.

The needs assessment will also feed into the outcomes for specific groups.

The information provided will identify what works well for some and not so well for others within our current service. This information will then be used to inform the new service model and ensure that equality and diversity is considered in every aspect of the specification; allowing an accessible service for all of Rotherham's residents who require support with drug and alcohol misuse.

| | |
|---|---|
| Date to scope and plan your Equality Analysis: | Planning began: July 2021 |
| Date to complete your Equality Analysis: | 01/06/2022 |

| | |
|---|---|
| Lead person for your Equality Analysis (Include name and job title): | Jacqui Wiltchinsky<br>PH Consultant |

| **5. Governance, ownership and approval** | | |
|---|---|---|
| Please state here who has approved the actions and outcomes of the screening: | | |
| **Name** | **Job title** | **Date** |
| Jacqui Wiltchinsky | Public Health consultant | 01/06/2022 |
| Anne Charlesworth | Head of Public Health Commissioning | 01/06/2022 |
| Jessica Brooks | Public Health Specialist | 01/06/2022 |

**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** | 01/06/2022 |
| **Report title and date** | Management of Public Health Drugs and Alcohol Grant 2022-2025 |
| **If relates to a Cabinet, key delegated officer decision, Council, other committee or a significant operational decision – report date and date sent for publication** | Will be submitted to on the xx to go to Cabinet on 11th July 2022 |
| **Date screening sent to Performance, Intelligence and Improvement equality@rotherham.gov.uk** | 07/06/2022 |

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## PART B – Equality Analysis Form

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

This form:

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

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

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

| **1. Title** | |
|---|---|
| **Equality Analysis title: Management of Public Health Drugs and Alcohol Grant 2022-2025** | |
| **Date of Equality Analysis (EA):01/06/2022** | |
| **Directorate:**<br>Adult Care, Housing and Public Health | **Service area:**<br>Public Health Commissioning |
| **Lead Manager:**<br>Anne Charlesworth/Jacqui Wiltschinsky | **Contact number:** |
| **Is this a:**<br>[ ] **Strategy / Policy** [X] **Service / Function** [ ] **Other**<br>**If other, please specify** | |

| 2. Names of those involved in the Equality Analysis (Should include minimum of three people) - see page 7 of Equality Screening and Analysis Guidance | | |
|---|---|---|
| **Name** | **Organisation** | **Role (eg service user, managers, service specialist)** |
| Anne Charlesworth | RMBC | Head of Public Health Commissioning |
| Jacqui Wiltschinsky | RMBC | Consultant in Public Health |
| Jessica Brooks | RMBC | Public Health Specialist |

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

**Aim/Scope (who the Policy/Service affects and intended outcomes if known)**
This may include a group/s identified by a protected characteristic, other groups or stakeholder/s e.g. service users, employees, partners, members, suppliers etc.)

Public Health has the lead responsibility for the Management of Public Health Drugs and Alcohol Grant 2022-2025 and commissioning of the drug and alcohol service. A commissioning exercise is currently being undertaken which will deliver a new all age drug and alcohol advice, treatment and recovery service from April 2023.

The commissioned drug and alcohol service will deliver the majority of the services, covering advice, treatment and recovery. Additional services will be commissioned via a local delivery partnership which includes partners from the Criminal Justice sector to ensure continuity of care, which will drive a local strategy/action plan.

The services will be available to all Rotherham residents who require support with substance misuse.

Services commissioned by RMBC for drug and alcohol users will be responsive to service user needs and delivered in a way which will be recovery orientated with recovery aspirations being built in from first contact. The service will be integral to improving the treatment completions and exit profiles for Rotherham making recovery more visible to the drug and alcohol users in the borough.

The services will be suitable for all age groups ensuring that a separate children's and young person's offer is available. Additionally, separate pathways for adults requiring treatment and those entering recovery will be developed.

The overarching aims of the services are to prevent young people from becoming dependant adults and to reduce the number of substance misuse dependant adults. The service will also:

- Reduce the level of harm caused to individuals, families and the wider community as a result of drug and alcohol misuse.

- Ensure an accessible service including self-referral routes with short wait times.
- Deliver high quality and safe care which is client centred, offering personalised opportunities for those using drugs and/or alcohol to move towards sustained recovery.
- Offer opportunities for individuals to enter and maintain recovery from dependence .
- Provide non-judgmental services that are fair and equitable providing good access to all and delivering a range of interventions which are evidence based, cost - effective and are responsive to client need.

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

The key sources of information used were:

- National Drug and Alcohol Treatment Monitoring Systems, NDTMS, NATMS this is the primary source of data on the drug and alcohol treatment population nationally and locally.
- Public Health England fingertips profiles which provide comparisons with our statistically similar local authorities.
- Information from the Drugs and Alcohol health needs assessment which has recently been undertaken (August 2021) and consultation and engagement.
- Joint Strategic Needs Assessment.

<u>Age</u>

Drug and alcohol misuse is a widespread issue and can affect people of all ages. We know from national guidance, best practice and from national and local consultation that children and younger people require a different approach to dependant adults. The service offer must be tailored to each service user, be age appropriate and in line with evidence based best practice.

There is an aging population of opiate users in treatment coupled with an emerging younger population who are using new psychoactive substances.

The average age group (over an 11-year period) of alcohol misuse treatment service users is 35-54. Alcohol misuse can occur at any age. The physical health problems caused by lifelong alcohol misuse may not be realised until later in life.

Regarding young people, there are certain groups of young people identified as more vulnerable to substance misuse which include: children of substance misusing parents; young offenders; young people in care; homeless young people; excluded pupils or frequent non-attenders; sexually exploited young. The needs of children in care and disadvantaged children need to be carefully considered as evidence shows that childhood trauma has been linked with a wide range of negative outcomes in adulthood including substance misuse and mental health problems.

Rotherham's 2019 Secondary School Lifestyle Survey highlights that the percentage of pupils that have tried alcohol but no longer drink or drink a few times a year has increased since 2018. The number of pupils that have alcohol at home under parental / carer supervision has also increased to 65.5% from 64.1% in 2018. The percentage of pupils

drinking on a regular basis has decreased. This information could suggest that regular drinking is decreasing amongst pupils out of the home environment, however controlled methods are taking place within household settings.

The Data from the drugs section of the survey show that there has been an increase of 0.7% in the number of young people who said they have never tried a drug. 6.9% of pupils that were asked said they have tried some form of drug. The most common substances were Cannabis followed by Cocaine and Ecstasy. Compared to the previous year Solvents have been replaced by Ecstasy in popularity.

Sex

A report from the national office of statistics[1] highlights that the number of males in treatment for all substances throughout 2018-19 was 69% compared to 31% of females. This is no different than the local picture. In Rotherham throughout 2018-19 the number of males in treatment for all substance was 70% compared to 30% of females. In the under 18's service 69% were male and 31% female. Although men are more likely to abuse alcohol this is not in proportion with local service user and it will be important to address both male and females need in view of this imbalance. However, the reasons for this could be that women are less likely to use services due to male dominance within the service. To avoid unintended consequences for women, such as male-dominated environments, providers must be alert to their needs and to raised risks. Women with childcare responsibilities may not seek treatment without the provision of a suitable environment, or easy access to one, for their children, which again needs to be considered.

Disability

People with physical disabilities are more likely to misuse substances at 2 to 4 times the rate of the general population. People with a substance misuse addiction are also more likely to become disabled, either through accidental injury or long-term side effects of substance misuse. People with drug and/or alcohol dependencies often have complex needs and other related or unrelated health problems.

Both nationally and locally, there are a large number of drug and alcohol service users that have a disability. In Rotherham 34% of the over 18-year-olds in treatment consider themselves to have at least 1 disability.

Mental Health conditions: In Rotherham throughout 2019-20, 64% of adults and 26% of under 18's were identified as having a mental health need when entering treatment.

It's important to note that little is known about the health of the 'hidden majority' of adults with learning disabilities who don't use learning disability services. It's this group of people with more mild learning disabilities who are most likely to misuse alcohol or drugs.

Race/ Ethnicity

Language barriers can sometimes be an issue, particularly when confidentiality is important. Cultural differences in understanding what constitutes as problematic alcohol

[1] Adult substance misuse treatment statistics 2018 to 2019: report - GOV.UK (www.gov.uk)

consumption may prevent people from presenting to treatment. Appropriate translation and interpretation services will need to remain a key priority within the future service model.

Families and people on low incomes

Families and those on low incomes may have difficulty accessing services due to transport links and/or affordability. Childcare issues may be a barrier for some people to engage with treatment interventions. It is important to note that economic disadvantage and social exclusion are primary factors influencing risk of development of serious drug and alcohol problems, and treatment and recovery support needs.

Pregnancy and Maternity

Assumptions should not be made about the parenting capacity of those in substance misuse treatment. Safeguarding assessments are essential but should not be a barrier for people to engage with substance misuse services.

Additional support needs to be made available to support mothers who require support from the service. There are health risks for both mother and baby if the mother misuses drugs and/or alcohol. Services must closely monitor the pregnancy and provide post-natal support and monitoring.

Gender reassignment

Staff need to communicate appropriately with people undergoing gender reassignment e.g. sensitive use of titles Mr/Mrs/Miss.

People need to feel safe and not intimidated within waiting areas.

No issues were identified for those with a religion or belief, those who are Married or in a civil partnership or an individual's sexual orientation. However, actions will ensure that all people will be treat appropriately and with respect.

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

There is a wealth of information surrounding those already engaging with a drug and alcohol service. Additionally, national evidence backs up this information. New trends and patterns of substance misuse, the role of internet sales, and new emerging drugs make it almost impossible to keep up with changes. As a result the service that is offered has to be flexible, expert and able to respond quickly to emerging needs.

However, there are some gaps with local information that is collected for some of the protected characteristic groups this will be improved as part of the new service to be tendered.

There is no routinely available data on people accessing alcohol prevention services (in primary care and other settings), according to protected characteristics.

The NTDMS and NTAMS reports do not include statistical information relating to: transgender, religion or sexual orientation.

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

Monthly contract meetings will be in place between Public Health Commissioning and the provider to monitor the service. The successful service provider must ensure that:

- treatment is provided according to individual needs and that all staff are respectful and sensitive to the needs of all regardless of any protected characteristics and in accordance with legislation and local and national good practice.
- all staff are trained in equality and diversity and competent to work with people who have protected characteristics.
- staff have access to and know how to effectively use interpretation and translation services to enable equity of access and understanding.
- all premises used for service delivery are accessible to disabled people and are well signposted.
- when planning locality working a range of community settings and venues are considered to maximise engagement from a range of communities.
- waiting areas are made as client friendly as possible to prevent these being a barrier to access.
- service promotion and information leaflets are available in plain English/ easy read versions.
- All service offers are age appropriate and in line with national guidance and best practice

The provider will collect appropriate data, conducts regular equity audits, and have the provision to monitor their equality performance and agree actions plans to improve this where necessary.

| | |
|---|---|
| **Engagement undertaken with customers. (date and group(s) consulted and key findings)** | Consultation with drug and alcohol service users started on 26/08/2021 in the form of a questionnaire which has an 'About you' section focusing on equality, as well as group discussions. Initial information received indicated that service users did not have any complaints with the current service in terms of equality. Findings indicated a similar picture to our data collection surrounding a high number of service users who have a disability and/ or a mental health condition.<br><br>A full report was produced. Respondents identified the following areas as their most important priorities:<br>• Quick access<br>• Multi-agency working<br>• Outreach and community services<br>• Harm reduction services<br>• Education and training to support prevention and harm reduction<br>• Mental health support<br>• A separate alcohol offer |

| | |
|---|---|
| | The service specification responded to these findings and will be further developed with additional grant funds. |
| **Engagement undertaken with staff (date and group(s)consulted and key findings)** | Consultation with service staff started on the 26/08/2021. Service employees make it clear that equality is a priority for the service and that regular audits are done to ensure that each service users' needs are considered, and that employee equality and diversity training is up to date.<br><br>Employees feel that access options already available meet the needs of service users, particularly as they have community-based options. Key findings of the consultation are included above<br><br>We have established a stakeholder group which includes a range of staff members for the grant and a wider group we be established upon the commencement of the grant. |

| **4. The Analysis - of the actual or likely effect of the Policy or Service (**Identify by protected characteristics) |
|---|
| **How does the Policy/Service meet the needs of different communities and groups? (**Protected characteristics of Age, Disability, Sex, Gender Reassignment, Race, Religion or Belief, Sexual Orientation, Civil Partnerships and Marriage, Pregnancy and Maternity) - see glossary on page 14 of the Equality Screening and Analysis Guidance)<br><br>The services, through regular commissioned services, are available to everyone in Rotherham that has a substance misuse need and additional support and signposting will be available for those that need it. The service will strive to be service user led, meaning that where possible they will adapt to the needs of the service user. The grant will further extend availability and accessibility.<br><br>The services are available at a central location with good disabled access and offers community options across Rotherham, particularly through a GP shared care scheme and community centres. This enhances the accessibility and allows easier access and support for the hard-to-reach cohort.<br><br>Given the high percentage of people that present with a disability and mental health need a particular focus within the service is to support those individuals; ensuring that the service is fully accessible and that joint pathways with other providers are seamless when offering enhanced support.<br><br>A service employee will work with the service user at first contact to establish any specific requirements using a joint treatment and recovery support care plan. The services will work with various stakeholders to deliver joint care to ensure that individuals that require enhanced support (which could be due to a protected characteristic) will get the most |

appropriate level of care. This could include joint care with the mental health service, maternity or sexual health etc.

The services will consider additional communication needs and where there is a need, they will offer a solution. This will include easy to read information and access to interpreters.

All members of staff will be expected to undertake equality and diversity training, and this will be monitored on an annual basis. Members of staff will be sensitive, considerate and treat all service users with respect.

**Does your Policy/Service present any problems or barriers to communities or Groups?**
Presently no, but depending on the new provider and engagement with the system e.g. primary care to continue shared care, but this is unknown at this stage.

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

The service model of the main drug and alcohol service has a focus on community support options which will ensure access to people closer to home if they need it.

An element of the service will be to offer training to stakeholders to ensure that a wide range of professionals can engage and refer/signpost those who may need support across a wider patch, including the harder to reach communities.

The design and re-commissioning of the services will establish a more preventative and recovery-based model, and also secure more effective and efficient use of the resources available. Overall, the redesigned treatment system will ensure that more people are supported in achieving sustained recovery from substance misuse and dependence by improving access, and providing individualised care, treatment and support that take account of diversity of needs.

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

Having services in the community could upset those that don't misuse drugs and alcohol; however, community services have been in place for many years as part of the drug and alcohol service and no such affect has become apparent.

The current base for the services will remain as Carnson House which is accepted within the community and have had no problems in the past.

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

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

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

| |
|---|
| **Title of analysis: Equality Analysis for Management of Public Health Drugs and Alcohol Grant 2022-2025** |
| **Directorate and service area: Adult Care, Housing and Public Health, Public Health Commissioning** |
| **Lead Manager: Anne Charlesworth** |
| **Summary of findings:** |
| As a strong service is already in place in Rotherham and Equality standards have been regularly monitored. The findings from this report are not a surprise and many actions are already in place.<br><br>A key summary of the findings is below:<br><br>• The services needs to cater for all age groups<br>• A high proportion of service users present with a disability<br>• A high proportion of service users present with a mental health need<br>• Language barriers can sometimes be an issue<br>• More men than women enter the service<br>• Community based service options support in accessibility<br>• Additional support needs must be made available either within the service or via joint care/ signposting.<br>• Families or those with low income may need additional support or a different approach (for example: a time and place to suit them due to childcare issues) |

| Action/Target | State Protected Characteristics as listed below | Target date (MM/YY) |
|---|---|---|
| **Deliver a service which is sensitive to the needs of all regardless of any protected characteristics.**<br>Undertake Equity Audits including service user questionnaires/user experience feedback. Monitor and review equality performance of services.<br>Undertake staff training in equality and diversity and working with people with protected characteristics. | **All** | **Service start date: 01/07/2022** |
| **Develop an all-age service model with specialised pathways to suit all age groups.** | **A** | **Service start date: 01/07/2022** |
| **The service will ensure access to appropriate translation and interpretation service when required.** | **D, RE** | **Service start date: 01/07/2022** |
| **The service will ensure that interventions are accessible across a range of community venues in culturally appropriate locations.** | **D, RE, O** | **Service start date: 01/07/2022** |
| **Provide written literature which is accessible to all.** | **D, RE** | **Service start date: 01/07/2022** |
| **Undertake proactive outreach and service promotion amongst traditionally hard to reach groups.** | **All** | **Service start date: 01/07/2022** |
| **Work with stakeholders to ensure the services have joint care pathways in place for additional needs.** | **D,SO,PM,O** | **Service start date: 01/07/2022** |
| **Ensure a service user led approach is developed through a joint care plan as described in the recommissioning of the project is continued throughout the grant work** | **ALL** | **Service start date: 01/07/2022** |

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

| 6. Governance, ownership and approval | | |
|---|---|---|
| Please state those that have approved the Equality Analysis. Approval should be obtained by the Director and approval sought from DLT and the relevant Cabinet Member. | | |
| **Name** | **Job title** | **Date** |
| Ben Anderson | Director of Public Health | 17/06/2022 |

| 7. Publishing | |
|---|---|
| The Equality Analysis will act as evidence that due regard to equality and diversity has been given.<br><br>If this Equality Analysis relates to a **Cabinet, key delegated officer decision, Council, other committee or a significant operational decision** a copy of the completed document should be attached as an appendix and published alongside the relevant report.<br><br>A copy 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 Equality Analysis completed** | 01/06/2022 |
| **Report title and date** | Management of Public Health Drugs and Alcohol Grant 2022-2025 |
| **Date report sent for publication** | |
| **Date Equality Analysis sent to Performance, Intelligence and Improvement equality@rotherham.gov.uk** | 07/06/2022 |

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User guidance:

- The first section of this form guides users through considering major areas where emissions are likely to occur. If emissions are impacted in a way not covered by these categories, please identify this at the bottom of the section
- The first section should be filled as such:
  - ***Impact***: identify, in relation to each area, whether the decision of the proposal does the following: *reduces emissions*, *increases emissions*, or has *no impact on emissions*. If it is uncertain this section can be labelled *impact unknown*
  - If ***no impact on emissions*** is identified: no further detail is needed for this area, but can be added if relevant (e.g. if efforts have been made to mitigate emissions in this area.)
  - ***Describe impacts or potential impacts on emissions***: two sections deal respectively with emissions from the Council (including those of contractors), and emissions across Rotherham as a whole. In both sections please explain any factors that are likely to reduce or increase emissions. If ***impact unknown*** has been selected, then identify the area of uncertainty and outline known variables that may affect impacts.
  - In most cases there is no need to quantify the emission impact of an area after outlining the factors that may reduce or increase emissions. In some cases, however, this may be desirable if factors can be reduced to a small number of known variables (e.g. if an emission impact is attached to a known or estimated quantity of fuel consumed).
  - ***Describe any measures to mitigate emission impact:*** regardless of the emission impact, in many cases steps should be taken in order to reduce mitigate all emissions associated with each area as far as possible; these steps can be outlined here (For example: if a proposal is likely to increase emissions but practices or materials have been adopted in order to reduce this overall impact, this would be described here).
  - ***Outline any monitoring of emission impacts that will be carried out:*** in this section outline any steps taken to monitor emission levels, or steps taken to monitor the factors that are expected to increase or reduce emission levels (for example, if waste or transport levels are being monitored this would be described here)
- A ***summary paragraph*** outlining the likely overall impacts of the proposal/decision on emissions should then be completed - this is not required if the proposal/decision has no impact across all areas.
- The supporting information section should be filled as followed:
  - Author/completing officer
  - ***Research, data, or information*** may refer to datasets, background documents, literature, consultations, or other data-gathering exercise. These should also be added to the ***supporting documents*** section of the cabinet report

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- Carbon Impact Assessments are to be appended to the associated cabinet reports
- Prior to publishing reports, Carbon Impact Assessments should be sent to climate@rotherham.gov.uk for feedback
- Report authors may also use the above email address to direct any further queries or to access further support regarding completing the assessment

| Will the decision/proposal impact… | Impact | If an impact or potential impacts are identified | | | |
|---|---|---|---|---|---|
| | | Describe impacts or potential impacts on emissions from the Council and its contractors. | Describe impact or potential impacts on emissions across Rotherham as a whole. | Describe any measures to mitigate emission impacts | Outline any monitoring of emission impacts that will be carried out |
| Emissions from non-domestic buildings? | No Impact | | | | |
| Emissions from transport? | No Impact | | | | |
| Emissions from waste, or the quantity of waste itself? | No Impact | | | | |
| Emissions from housing and domestic buildings? | No Impact | | | | |
| Emissions from construction and/or development? | No Impact | | | | |
| Carbon capture (e.g. through trees)? | No Impact | | | | |
| Identify any emission impacts associated with this decision that have not been covered by the above fields: | | | | | |

| Please provide a summary of all impacts and mitigation/monitoring measures: |
|---|
| As the service is already in place and no new premises are being sought there will be no additional implications for CO2 Emissions and Climate Change. The changes within this proposal do not highlight any additional impact to CO2 emissions. |

| Supporting information: | |
|---|---|
| Completed by:<br>(Name, title, and service area/directorate). | Michael Ng<br>Public Health Operational Commissioner<br>Adult Care, Housing and Public Health |
| Please outline any research, data, or information used to complete this [form]. | |
| If quantities of emissions are relevant to and have been used in this form please identify which conversion factors have been used to quantify impacts. | |
| Tracking [to be completed by Policy Support / Climate Champions] | Sam Blakeborough, Policy Officer, PPI, ACEX |

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Rotherham Metropolitan Borough Council

Public Report
Cabinet

**Committee Name and Date of Committee Meeting**
Cabinet – 11 July 2022

**Report Title**
Financial Outturn 2021/22

**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, Assistant Director – Financial Services
01709 254518 or rob.mahon@rotherham.gov.uk

**Ward(s) Affected**
Borough-Wide

**Report Summary**
The report outlines the final revenue and capital outturn position for 2021/22.

The Revenue Budget 2021/22 was approved by Council on 3 March 2021. A budget of £235.7m was set for General Fund services; this excludes schools' budgets and Housing Revenue Account (HRA). The 2021/22 Budget was supported by the use of £7.5m from the Budget and Financial Strategy Reserve. However, given the availability of the £14m of Covid Funding covering the majority of the Council's Covid related costs, the use of this reserve has not been required. The Council has also been able to deliver a final outturn position of a £2.4m underspend, not through delivering less services but by being able to apply more Government funding to the outturn position than had originally been planned.

This is a helpful outturn position that includes a positive trend of necessary cost reduction within some of the Council's key services including an increase of £2.4m into the Budget and Financial Strategy Reserve along with some planned savings for 2022/23 already being achieved. It places the Council in a more robust position heading into the financial year 2022/23, more able to mitigate against cost pressures and the financial challenges that were not evident at the time of setting the 2022/23 Budget such as the war in Ukraine, the significant rise in energy prices and inflation and to be more able to manage the impact rather than needing to consider making cuts in services.

These financial challenges are being considered as part of the Council's ongoing Medium Term Financial Planning. The energy price rises and inflation will impact the Council's costs in the provision of services. However, some of this cost impact will be mitigated in future years by increased core funding as business rates income is indexed to the rate of inflation. It is currently expected that the period of high inflation will last for around two years before returning to a more normal level. As such, the Council will face short term financial pressures that will need to be managed and mitigated through the Medium Term Financial Strategy and the Council's reserves.

The Council's General Fund minimum balance has remained at £25m as planned and set out within the Council's Reserves Strategy reported in the Budget and Council Tax Report 2022/23. The reserve is held to protect the Council against unforeseen events and realisation of contingent liabilities.

The Housing Revenue Account had an underspend of £2.1m, along with the revenue contribution to capital outlay remaining at the budgeted level of £6.5m. As a result of this the HRA was able to reduce the budgeted transfer from reserves by £2.1m. This reduction in planned use of reserves will help the HRA to mitigate the financial challenges presented by rising inflation and energy costs over the medium term.

The capital outturn shows slippage and underspend of £39.4m against the estimated spend for 2021/22 included within the Capital Programme. The pandemic has significantly impacted the delivery of a number of schemes, in the main due to Covid restrictions impacting how works are undertaken as well as a knock on effect on the cost of materials and supply and demand in the market. However, capital expenditure (programme delivery) in the years has achieved a higher level than in previous years.

**Recommendations**

That Cabinet:

1. Note the revenue outturn position.

2. Note the budgeted transfer from HRA reserves was reduced by £2.1m following the revenue and capital outturn positions.

3. Note the carry forward of the combined schools balance of £3.794m in accordance with the Department for Education regulations.

4. Note the reduced DSG deficit following receipt of Safety Valve funding, as set out in paragraph 2.13.

5. Note the reserves position set out in paragraphs 2.50 to 2.59.

6. Note the capital outturn and funding position as set out in paragraphs 2.60 to 2.82.

7. Refer the report to Council for information and recommend to Council approval of the updated Capital Programme as set out in paragraphs 2.83 to 2.86 and Appendices 1 to 4 of this report.

**List of Appendices Included**
Appendices 1 to 4 – Capital Programme 2022/23 to 2025/26.
Appendix 5 Equalities Impact Assessment
Appendix 6 Carbon Impact Assessment

**Background Papers**
Budget and Council Tax 2021/22 Report to Council 3 March 2021
Budget and Council Tax 2022/23 Report to Council 2 March 2022
May 2021/22 Financial Monitoring Report to Cabinet on 19th July 2021
July 2021/22 Financial Monitoring Report to Cabinet on 20th September 2021
September 2021/22 Financial Monitoring Report to Cabinet on 22nd November 2021
November 2021/22 Financial Monitoring Report to Cabinet on 24th January 2022
December Financial Monitoring Report to Cabinet 14 February 2022

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

**Council Approval Required**
Yes

**Exempt from the Press and Public**
No

**Financial Outturn 2021/22**

## 1. Background

1.1 This report sets out the Council's revenue, capital, HRA and schools outturn position in 2021/22. It also describes the details of the Council's reserves balances as at the end of the financial year. The Council set a revenue budget for 2021/22 of £235.7m and a Capital Programme that was revised to £144.3m as part of the Budget and Council Tax 2022/23 Report to Council 2 March 2022.

1.2 The report illustrates the Council's financial position on a management accounts basis which is used to monitor performance throughout the financial year. The Audit Committee will consider the Council's draft unaudited Statement of Accounts 2021/22 on 28 July 2022 and will consider the final Statement of Accounts on 27 September 2022, ahead of audit of the accounts by the Council's external auditors Grant Thornton who aim to present their audit opinion to Audit Committee on 29 November 2022. These required timetables for publication of local authority accounts have been pushed back nationally in response to the additional pressures placed on public sector audit firms as detailed within the Redmond Review. The Statement of Accounts are prepared in accordance with the Code of Practice on Local Authority Accounting in the United Kingdom 2021/22 and appropriate accounting standards. As such, the reporting in the Statement of Accounts is different in format to the management reporting presented in this report.

1.3 In understanding the outturn position, it is helpful to set out the financial context of the Council.

1.4 The Budget and Council Tax Report 2021/22 noted that £18.1m of agreed budget savings and cost reductions were required to be delivered across the medium term. A significant volume of savings were predicated on assumptions about social care costs and market conditions. As noted in the Medium Term Financial Strategy (MTFS) update to Cabinet on 20 December 2021, despite changing demand pressures and wider economic factors affecting social care, the Council remains confident that most of the remaining savings will be achieved over time. During 2021/22 £2m savings were delivered with £11.5m planned for delivery over subsequent years. In addition to the savings to come from directorates, significant further savings were being achieved from Treasury Management.

1.5 This means that the Council still has to deliver a total of £11.5m of agreed budget savings over the medium term. The revised timeframe for the delivery of these savings was included within the approved Budget and Council Tax 2022/23 report, recognising the further delay in delivery due to the impact of Covid-19. However, the overall challenge is significant in light of increased demand for services and funding uncertainty for the local government sector. As reported to Cabinet as part of the Finance Update on 20 June 2022, the Council has already secured £3.8m of these savings against the plan of £4.8m to be delivered during 2022/23.

1.6 In common with other local authorities across the country, there continues to be increasing demand pressures on social care services. These increased demands continued to place additional pressures on the Council's financial position, which has been closely monitored and appropriate mitigations have been implemented by management to ensure that total expenditure remained within the overall budget for 2021/22 set by Council in March 2021.

1.7 Throughout the pandemic the Council has incurred significant additional costs in its efforts to manage and mitigate the impact of Covid-19, these financial pressures cut across three main themes - additional costs incurred due to the pandemic; lost sales, fees and charges income as a result of closed services; and delayed delivery of planned savings. The Council has been able to mitigate these pressures through the use of Government's provision of emergency funding to support the COVID-19 response; Sales, Fees and Charges Income Compensation Claims; and use the Control Outbreak Management Fund (COMF). These grants have been used to fund new and additional costs that the Council has incurred in its response to Covid-19. These resources have also been used to fund budgeted costs where teams had been diverted away from their normal role to carry out a Covid specific role. Whilst Government have provided specific targeted funding to support many of these financial pressures, the gross financial impact to the Council of Covid-19, during 2021/22 was in excess of the £14.0m used to support the Council's outturn position.

1.8 The Council's Medium Term Financial Strategy was revised and updated as part of 2022/23 budget setting and supports the Council's ambition of financial sustainability over the medium term. It should be noted that the planned transfers to reserves, as set out within the Council's Budget and Council Tax Report 2022/23 have been made further enhancing the Council's financial stability except for the planned use of £1.7m of the Budget and Financial Strategy Reserve as this was not required to support the outturn position. Detail of these transfers is provided later within this report. However, the current financial climate presents some financial challenges for the Council that will place the Council's Medium Term Financial Strategy and 2022/23 Budget under significant pressure.

1.9 Whilst the recovery from the pandemic still poses a financial risk to the Council, there are new significant financial pressures that have emerged since the Council's Budget and Council Tax Report 2022/23. The war in the Ukraine and the significant rise in energy prices and inflation in particular present significant challenges to the Council's financial position for 2022/23 and over the Medium Term Financial Strategy period to 2025/26. The Council will need to guard against the impact of these on service delivery by maintaining a healthy level of reserves and where possible earmarking reserves to mitigate those financial pressures.

1.10 These financial challenges are being continually considered as part of the Council's ongoing Medium Term Financial Planning but given that inflation is still increasing and pay awards are not yet known, it is impossible to assess the full impact on the Council with certainty at the current time. The energy price rises and inflation will impact the Council's costs in the provision of services and

any cost increases during the current year will have a knock on impact on the cost base in future years. It is currently expected that the period of high inflation will last for two years before returning to a more normal level. As such the Council will face additional short term financial pressures that will need to be managed and mitigated through the Medium Term Financial Strategy and the use of the Council's reserves if cuts to services are to be avoided. It is there estimated that the Council may need to utilise the £4.1m Transformation Reserve to support the Medium Term Financial Strategy and guard against the uncertain but significant pressures that the Council will face over the current and next two financial years. The position will be kept under continuous review and financial monitoring reports to Cabinet during the year will reflect the best estimate of the impact.

## 2. Key Issues

2.1 The Council directorates had an overspend of £4.1m at 2021/22 outturn. Following not drawing down the planned use of £7.5m from the Budget and Financial Strategy Reserve and through use of £14m of Covid emergency support funding the Council's overall outturn was a £2.4m underspend. This has allowed the Council to transfer £2.4m into the Council's Budget and Financial Strategy Reserve, as per the recommendation within the Council's Budget and Council Tax report 2022/23 approved at Council 2 March 2022. This will help the Council to manage some continuing budget pressures in 2022/23 e.g. a further upward trend in the demand for home to school transport, along with the general pressures of the current high level of inflation and the significant increases in energy prices. Taken together, these issues are likely to impact on the 2022/23 budget at a level greater than £2.4m.

The table below provides a summary of the Revenue Outturn for 2021/22. This is followed by a summary of the position by Directorate which includes an explanation of the key variances.

| **Directorate** | **Budget 2021/22**<br><br>**£m** | **Outturn 2021/22**<br><br>**£m** | **Variance over/ under**<br><br>**£m** |
|---|---|---|---|
| Children and Young People's Services | 63.9 | 69.8 | 5.9 |
| Adult Care, Housing & Public Health | 87.6 | 82.8 | -4.8 |
| Regeneration and Environment Services | 45.7 | 48.8 | 3.1 |
| Finance and Customer Services | 19.5 | 19.4 | -0.1 |
| Assistant Chief Executive | 7.2 | 6.6 | -0.6 |
| Central Services | 11.8 | 12.4 | 0.6 |

| | | | |
|---|---|---|---|
| **Directorate Outturn** | **235.7** | **239.8** | **4.1** |
| | | | |
| Remove budgeted use of Budget Strategy Reserve for 2021/22 | | | 7.5 |
| Covid-19 support grant | | | -14.0 |
| Transfer to Budget Strategy & Financial Support Reserve | | | 2.4 |
| **Net balanced Outturn** | | | **0.0** |

2.2 The Council has therefore delivered an overall outturn position within budget as expected, with the main factors contributing to the movement from the previously forecast directorate overspend of £8.2m to the actual directorate outturn of £4.1m being explained below.

2.3 **Children and Young People's Services**

2.4 Children & Young People Services continue to implement the budget recovery plan with budget savings of £10.1m across the 2020/21 to 2024/25 financial years. The outturn position at the end of the March is a £5.9m overspend with a £0.9m favourable movement since December's monitoring report to Cabinet in February 2022. In the main this is due to a reduction in placement costs, staff savings, additional income and maximisation of grant funding.

2.5 As at the financial year end the Looked After Children number of 566 is 2 below the budget target of 568. However, the placement mix is showing higher than projected placements in high cost settings for residential (27), emergency (3), Independent Fostering Agency (38), Leaving Care (6) offset by in-house fostering (50), in house residential (1), parent & baby (1) and no cost placements (24).

2.6 The LAC number of 566 includes 13 Unaccompanied Asylum Seeker Children which has risen from 3 in April 2021 to 13 at March 2022. This is having an impact on the ability to reduce the overall LAC numbers.

2.7 The direct employee budget was £37.6m and is a combination of general fund, traded and grant funded services. The budget underspend at outturn is £255k, of which £288k relates to general fund, with £33k of cost pressures across DSG and other grant / traded services.

2.8 A significant element of the CYPS non-pay budgets relates to placements which has a net budget of £32.7m, the spend in 2021/22 was £38.7m, creating a financial pressure of £6.0m. The £6m overspend relates in the main to £4m on residential placements, £2.1m in emergency, offset by £100k savings on Supported Accommodation. In fostering there were £0.8m pressures on IFA placements due to numbers above the budget profile, offset by £0.8m savings

in-house fostering due to numbers being lower than budget projections as outlined above.

2.9 The other major budget pressures across the service relate to transport £360k, and Section 17 budgets £310k.

2.10 Dedicated School Grant Reserve & High Needs Block

2.11 The High Needs Block (HNB) is £45.2m (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.

2.12 The £731K HNB pressures below reflected demand for special school and Independent Sector placements for the new academic year and demand on Inclusion Services, LSS due to a reduction in traded income.

2.13 The central DSG reserve now stands at £12.8m following receipt of £8.5m Safety Valve funding. This is set out in the table below;

| **DSG Reserve Summary** | |
|---|---|
| Balance @ 31/3/2021 | 21,257,572 |
| In Year Variances | 94,740 |
| Balance @ 31/3/2022 | 21,352,312 |
| Safety Valve Funding | -8,547,154 |
| Revised Balance @ 31/3/22 | 12,805,158 |

2.14 The overall DSG adverse movement of £95k was due to High Needs overspend of £731k offset predominantly by underspend on the Early Years High Needs Block and the Schools Growth and Falling Rolls Fund.

2.15 **Adult Care, Public Health and Housing**

2.16 The overall Directorate forecast is an underspend of £4.8m on general fund services: Adult Care (£4.1m); Housing (£152k) and Public Health (£568k).

2.17 Included within the outturn is the Covid-19 impact for the service. COVID-19 is estimated to have a net cost impact of £1.6m during 2021/22. This includes: £917k due to delays in achieving planned cost reduction and costs of transformation; £697k of placement costs due to the extension of the NHS discharge scheme (additional demand) and £608k of staffing and other costs. Additional NHS income for people discharged from hospital £697k, to support the hospital discharge process during the pandemic, reduces the net Covid-19 cost. The overall reduction relates to an

improvement in savings delivery and reduced cost of PPE (now £78k) following a full stock valuation.

2.18 Excluding the cost of COVID-19, the cost of care packages is a net £5.1m underspent. This is mainly due to savings on transforming care of £324k and reductions in the number of older people placements of £3.8m although Covid related placements are likely to be ongoing once temporary funding ceases. Across Mental Health packages, Physical and Sensory disability services and Learning disability placements there is a net underspend of £392k.

2.19 Care packages have therefore seen a reduction of £1.6m since the last report due to a range of factors. Learning Disability placement costs reduced by £1.1m due to lower demand for day care, reductions in forecast costs for some clients along with additional and backdated income from Health contributions. Due to the higher cost of these packages' changes across a small number of people can have a large financial impact. The remaining movement is largely due to reduced spend on older people's home care and care homes, including additional client income. The overall forecast for Adult Care includes anticipated support from the Better Care Fund.

2.20 Neighbourhood Services' (Housing) has underspent by £152k. Additional income from furnished homes and a number of smaller underspends across the service is offset by £601k of pressures due to the increased cost of temporary accommodation.

2.21 Public Health service is underspent by £568k. The NHS Health Check programme (£250k) has been paused through the pandemic to reduce the risk from face-to-face contact and to support the capacity issues in primary care. The remainder is due to underspends on several demand-led services.

2.22 **Regeneration and Environment**

2.23 Regeneration and Environment Services outturn was an overspend of £3.1m, which represents a reduction of £1.1m from the £4.2m reported to Cabinet in February 2022. The outturn position reflects the impact of ongoing demographic pressures in Home to School transport and the 'tailing' impact of the lockdown restrictions and resulting economic impact arising from them, on many of the Directorate's Services. For example, a continuation of the increases in waste tonnages resulting from greater working from home, and the impact on income generation and cost pressures arising as a result of social distancing requirements and other Covid linked measures that were required to be put in place.

2.24 The £1.1m improvement has resulted from lower than anticipated expenditure in some areas, notably Asset Management. Higher than anticipated income, particularly in Culture, Sport and Tourism as a result of the easing and then ending of lockdown restrictions and favourable weather during the final quarter of the year and some staff savings arising from vacancies across the directorate.

2.25 A summary of the main overall budget variances are identified below:

2.26 Planning Regeneration and Transport

2.27 The Planning, Regeneration and Transport division overspent by £0.7m. The most significant outturn pressure was in Facilities Services of £0.4m, where although cleaning income was higher than forecast, this only partly offset pressures in School Meals as a result of income losses from pupil absences and higher food costs.

2.28 Asset Management recorded an outturn pressure of £0.3m, largely as a result of higher than budgeted repairs and maintenance costs, expenditure on fixtures and fittings and covid related security costs. This did, however, improve by £0.4m from February's Cabinet report as repairs and maintenance costs, although overspent, were lower than anticipated. In addition, there was a higher saving than anticipated on utilities, as a result of reduced building usage.

2.29 Culture, Sport and Tourism

2.30 Culture, Sport and Tourism overspent by £0.3m. This represents a £0.4m improvement to the forecast from February Cabinet, as a result of higher than forecast income from fees and charges across the service during the final part of the year as the covid recovery continued.

2.31 Commercial Development, which includes Waleswood Caravan Park, reported an overspend of £0.3m, an improvement of £0.2m from February. The Green Spaces Service, which includes the Borough's Country Parks and Facilities, ended the year with a £0.1m pressure. These pressures were offset in part by reduced costs in Libraries, an underspend of £0.3m, an improvement of £0.1m from the February Cabinet report, due to a combination of staff vacancies and savings on expenditure on supplies.

2.32 Income improvements in other areas, including Registrars and the School Music Service, contributed to the improvement in the overall position.

2.33 Community Safety and Streetscene

2.34 Community Safety and Streetscene overspent by £2.1m. The most significant pressure in this service is in respect of Corporate Transport, £1.7m overspent, as a result of ongoing demand pressures in Home to School Transport which are affecting all local authorities. These pressures have been recognised by the approval of a £1m revenue investment in this Service, as part of the approved 2022/23 Council budget. The recurring and increasing pressure on Home to School Transport bears comparison with other Council's. The Service is progressing a number of developments that are expected to influence favourably both cost and demand.

2.35 Waste Management recorded an outturn pressure of £0.8m, £0.3m higher than the forecast in the February Cabinet report. This is split between disposal (£0.5m) and collection (£0.3m). The pressure on Waste disposal costs has arisen as a result of extra tonnages being collected from the kerbside, as people spent more time at home. Waste Collection has shown an overspend as a result of additional agency costs, resulting from the impact of Covid on staff absences.

2.36 Savings in Regulation and Enforcement of £0.3m were recorded as a result of staff vacancies. Network Management underspent by £0.1m, an improvement of £0.4m from February's Cabinet report. Increased income in Streetworks and Enforcement, and reduced energy costs in Street Lighting as a result of the LED replacement programme contributed to this improvement.

2.37 **Finance and Customer Services**

2.38 There was an underspend of £105k for the Directorate outturn, details of which are set out below.

Legal Services - £417k underspend – Legal Services faces continued demand for legal support with child protection hearings and court case costs relating to Looked After Children. However, reduced costs of legal disbursements and difficulties in recruiting to key posts, in particular within Adult Social Care legal support, are currently resulting in a forecast £417k underspend. However, the number of cases during the year remains volatile and will continue to be monitored closely.

Customer Information and Digital Services - £549k underspend – Within Customer, Information and Digital Services the service 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. Following the changes to ways of working as a result of the pandemic the service has seen a significant reduction in print costs that is mitigating this income shortfall. Now the budgets have been centralised the service are better placed to control print usage and implement a strategy to minimise print whilst promoting digitalised service provision.

The service holds the Council's ICT Contracts budgets and since their centralisation has been working towards streamlining the volume of ICT system and service contracts the Council holds. This work has generated savings during the course of the year as contracts have not been renewed if not required or at a more beneficial price.

The service has also incurred difficulties with recruitment which has further increased the forecast underspend.

Financial Services - £0.7m overspend - The service has an overspend following a review of provisions across Housing Benefits and Insurance. The Housing Benefit technical adjustments for bad debt provision have been increased in light of the emerging household costs and energy crisis, along with the economic impact of the war in Ukraine and inflation.

2.39 **Assistant Chief Executive**

2.40 The service has a £594k underspend at outturn, in the main due to carrying a number of vacant posts within the HR service, whilst a review of service requirements was finalised as part of delivery the Customer and Digital Savings that were attributed to the Directorate. In addition, there were wider vacancies within the directorate as a result of staff turnover and challenges with recruitment.

2.41 **Central Services**

2.42 The outturn for the Central Services was forecast within December's Financial Monitoring, reported to Cabinet in February 2022, as a £0.8m pressure, relating to the Regeneration & Environment Directorate's customer services saving that had been budgeted for here. However, the final outturn was a £0.6m overspend, an improvement of £0.2m. This is mainly due to general efficiencies on centrally managed budgets that have delivered savings, for example the inflation budget for 2021/22 was based on 2% pay award, however, the final pay award was agreed at 1.75% in March 2022.

2.43 Within Central Services, savings were delivered from a range of activities within the treasury management strategy (£5.6m), including effective cash flow planning and monitoring, along with management of the loans portfolio to take advantage of the low cost of short-term funds, whilst also securing £227m of new PWLB Long Term borrowing at an average rate of 1.5%.

2.44 In addition, the Council's initial outturn position allowed the Council to process several planned transfers to reserves:

- Not draw down any of the £7.5m Budget Strategy Reserve as planned within the 2021/22 Budget allowing it to remain within reserves.
- Draw down £13.6m of Covid Emergency Support grants and £0.4m of Sales, Fees and Charges income to support the 2021/22 outturn position that includes in excess of £14m of Covid related costs across budgeted spend, additionality, income losses and delayed delivery of savings.
- Transfer of Treasury Management savings of £5.6m generated in 2021/22 have been taken to a new Treasury Management Savings Reserve as approved within the Council's Budget and Council Tax Report 2022/23.
- £0.5m transfer to Budget and Financial Strategy Reserve to enable re-provision of 2021/22 revenue investments that have slipped into 2022/23 for delivery.

2.45 **HOUSING REVENUE ACCOUNT (HRA) OUTTURN 2021/22**

2.46 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 £2.1m underspent.

2.47 The underspend relates to:

- £1.2m underspend on Repairs and Maintenance in the main as a result of Covid interventions which restricted activity during lockdown, fewer void works and slippage on some planned works into 2022/23.
- £1.1m underspend on supervision and management in the main due to vacancies, reduced costs running neighbourhood centres along with reduced ICT costs and fees for Right to Buy applications.
- £0.3m reduction to the bad debt provision due to well-maintained rent collection rates.

- £0.4m pressure on Cost of Capital interest rates on debt and underachievement of income across garage rents and District Heating.

2.48 The Housing Revenue Account had an underspend of £2.1m, along with the revenue contribution to capital outlay remaining at the budgeted level of £6.5m. As a result of this the HRA was able to reduce the budgeted transfer from reserves by £2.1m. This reduction in planned use of reserves will help the HRA to mitigate the financial challenges presented by rising inflation and energy costs over the medium term.

2.49 **SCHOOLS OUTTURN 2021/22**

School balances at the end of 2021/22 for the Council's maintained schools was £3.794m. This is a £0.614m increase compared to the previous year and takes account of two schools that have converted to academies (£187k surplus) during 2021/22.

2.50 **RESERVES**

2.51 The Council's budget for 2021/22 included a reserves strategy that made available use of £7.5m Budget Strategy Reserve to support the Council's financial position for 2021/22. However, due to the identification of estimated additional savings during the year from Central Services budgets, primarily within the Treasury Management function (£5.0m) and use of Governments emergency Covid-19 support grants to mitigate in year pressures, the Budget Strategy Reserve was not required.

2.52 Therefore the Budget and Council Tax 2022/23 report approved at Council 2 March 2022 set out that the £7.5m planned use of the Budget Strategy Reserve was to be reduced to £1.7m and the £5.0m Treasury Management savings were to be transferred to a new Treasury Management Savings Reserve. This would provide further support to the Council's 2022/23 budget and provide support to the Medium Term Financial Strategy. It is therefore already earmarked and not a reserve that can be used for any additional investments.

2.53 In addition, the Budget and Council Tax 2022/23 report set out the proposed Reserves Strategy. This included a recommendation to transfer any 2021/22 revenue outturn position underspend into the Council's reserves to be held within the Budget and Financial Strategy Reserve and the transfer of any 2021/22 un-ringfenced Covid funding balances into the Council's reserves to meet Covid related pressures and costs in 2022/23.

2.54 The following transfers to reserves have been carried out as per the recommendations within the Budget and Council Tax 2022/23 report:

- Transfer the Council's remaining £3.7m Budget Contingency reserve to the Budget and Financial Strategy Reserve.
- £2.8m Local Council Tax Support Grant transferred to reserve which has been earmarked to fund the Local Council Tax Support top up scheme for 2022/23 with the balance remaining to be part of considerations for a 2023/24 top-up scheme.
- The Spending Review 2021 confirmed government would compensate local authorities for 75% of irrecoverable losses in Council Tax in respect of 2020/21.

This has enabled £0.7m Collection Fund Income Guarantee Grant to be transferred to reserve.

- £5.6m Treasury Management Savings transferred to reserve to support the budget across the medium term. This is £0.6m more than the £5.0m estimated at time of the Budget and Council Tax 2022/23 report.
- £15.5m net transfer from the Other Grants Reserve, including the use of the Covid Emergency Support funding, COMF grant and S31 Grants provided in relation to Covid 19 that the Council has to account for in 2021/22.
- Transfer the Council's remaining £2.4m underspend position to the Budget and Financial Strategy Reserve.

In addition, the following transfer to reserve is proposed;

- Transfer £0.5m from Central Services into the Budget and Financial Strategy Reserve to fund the completion of 2021/22 revenue investments where commencement in 2021/22 was delayed slightly, in order to ensure the full amount of investment funding is made available. This was intended when the Budget was set with the value to be determined once outturn expenditure was known.

It is currently estimated that the Council will need to use some or all of the Transformation Reserve of £4.1m to guard against the current national and international economic conditions. These pressures will present significant financial challenges for the Council across the Medium Term Financial Strategy period. Some of these challenges are volatile and subject to issues outside of the Council's control and therefore it remains complex to forecast their impact at the current time.

2.55 In summary, this means that the total of Corporate Reserves balances at the Financial Outturn 2021/22 is £65.8m, which is £6.1m more than the £59.7m estimated in the Budget and Council Tax 2022/23 report. The individual reserve balances are shown in the table below. The Budget Report 2022/23 planned for £7.1m use of reserves in 2022/23. Based on the 2021/22 Outturn position, that will leave a total of £58.7m Corporate Reserves at the end of the new financial year.

2.56 In addition, the Council's Corporate Other Grants Reserve has reduced from £27.4m to £11.9m as the Council has delivered a wide variety of grant schemes during 2021/22, predominantly Covid grant support schemes for individuals and businesses. The breakdown of the Covid-19 Grants Reserve balance of £11.9m brought forward into 2022/23 is as follows:

<u>Collection Fund - £5.9m</u>

- £5.9m of S31 Grants to support rate relief provided during 21/22 that will be accounted for in the Collection Fund during 22/23.

<u>General Fund - £6.0m</u>

- £1.2m of COMF grant received and not yet utilised. £2.2m of this is committed in 2021/22.

- £2.3m New burdens funding received across a number of grant, Council Tax and Business Rates related work streams.
- £2.4m RMBC element of Covid Additional Relief Fund, the grant will be applied during 2022/23.
- £0.1m LRSG grants held back in relation to fraudulent and error payments, currently in the recovery process.

2.57 The Corporate Reserve balances are shown in the table below.

2.58 **Table 3 Total Corporate Earmarked Reserves as at 31 March 2022**

| | **Projected Balance at 31 March 2022 (per Budget Report 22/23)** **£m** | **Actual Balance as at 31 March 2022** **£m** | **Transfer to/(from) in the year** **£m** |
|---|---|---|---|
| **General Fund Reserves** | | | |
| Budget and Financial Strategy | 13.3 | 17.8 | 4.5 |
| Transformation | 4.1 | 4.1 | 0.0 |
| Business Rates | 4.0 | 4.0 | 0.0 |
| Corporate Revenue Grants Reserve | 0.8 | 1.8 | 1.0 |
| Children's and Young Peoples Services Social Care Reserve | 2.0 | 2.0 | 0.0 |
| Covid Recovery Fund | 2.0 | 2.0 | 0.0 |
| Local Council Tax Support Grant | 2.8 | 2.8 | 0.0 |
| Collection Fund Income Guarantee Grant | 0.7 | 0.7 | 0.0 |
| Treasury Management Savings | 5.0 | 5.6 | 0.6 |
| **Total** | **34.7** | **40.8** | **6.1** |
| | | | |
| **General Fund Minimum Balance** | **25.0** | **25.0** | **0.0** |
| | | | |
| **Total General Fund** | **59.7** | **65.8** | **6.1** |
| | **Balance B/fwd from 2020/21** | **Balance C/fwd to 2022/23** | |
| Council Tax Rebate Grant | **0** | **17.0** | |
| Other Grants | **27.4** | **11.9** | |

2.59 **Capital Reserves**

The total earmarked and un-earmarked capital reserve balances at the end of 2021/22 are shown in Table 4 below.

**Table 4 Capital Reserves as at 31 March 2022**

| | Balance as at 31 March 2022 £m | Committed Resources £m | Un-earmarked as at 31 March 2022 £m |
|---|---|---|---|
| **Capital Receipts** | | | |
| General Fund | 0.2 | 0.2 | 0.0 |
| Housing | 11.6 | 5.3 | 6.3 |
| HRA | 7.7 | 7.7 | 0.0 |
| **Sub-Total** | **19.6** | **13.2** | **6.3** |
| | | | |
| **Capital Grants – Unapplied** | | | |
| General Fund | 23.8 | 23.8 | 0 |
| HRA | 1.5 | 1.5 | 0 |
| **Sub-Total** | **25.4** | **25.4** | **0.0** |
| | | | |
| **Major Repairs Reserve – HRA** | **24.0** | **24.0** | **0** |
| | | | |
| **Total** | **68.9** | **62.6** | **6.3** |

2.60 **CAPITAL OUTTURN 2021/22**

2.61 The Capital Programme 2021/22 now totals £144.347m split between the General Fund £92.171m and HRA £52.176m. As at the financial year end 31 March 2022, the capital programme had expenditure of £104.9m, with underspend and slippage of (£39.4m). The programme was an ambitious target. However the impact and recovery from the Covid 19 pandemic along with rising inflation have significantly impacted its delivery. This has been seen through restrictions to scheme delivery on contractors and the need to re-think, re-engineer schemes or find new funding solutions when inflationary based cost increases have been seen.

2.62 The level of slippage on the Capital Programme is reflective of the delivery challenges that the Council faces due to built up demand in the supplier market due to Covid, inflation and the Council's Capital Programme is the largest it has ever been. The outturn position shows that 72.6% of the capital programme expenditure has been delivered, against a budget for 2021/22 of £144.3m. Comparatively, in 2020/21 the Council delivered 64% of the capital programme expenditure, against a budget of £125.3m. The Council's position is improving though the Council remains on an improvement journey in terms of Capital delivery and management. The improved

Capital Governance Procedures, approved at Council in September 2021, are now starting to take hold and this will steer the Council towards improved delivery and control.

**Table 4 Capital Outturn 2021/22**

| Directorate | 2021/22 Budget £m | 2021/22 Outturn £m | 2021/22 Variance £m |
|---|---|---|---|
| **General Fund Capital** | | | |
| Children and Young Peoples Services | 10.215 | 7.503 | -2.712 |
| Assistant Chief Executive | 0.373 | 0.099 | -0.274 |
| Adult Care & Housing | 5.297 | 3.616 | -1.680 |
| Finance & Customer Services | 3.349 | 1.777 | -1.573 |
| Regeneration & Environment | 70.937 | 47.837 | -23.100 |
| Capitalisation Direction | 2.000 | 0.000 | -2.000 |
| **Total General Fund Capital** | **92.171** | **60.832** | **-31.339** |
| | | | |
| Total HRA Capital | 52.176 | 44.106 | -8.070 |
| | | | |
| **Total RMBC Capital Programme** | **144.347** | **104.938** | **-39.409** |

2.63 **Children and Young People's Services**

2.64 The CYPS capital programme outturn had £2.712m of slippage against the approved budget of £10.215m. The main variances contributing to this position are:

- Schools PFI Lifecycle, £0.837m slippage. The lifecycle maintenance work carried out in 2021/22 was lower than the budgeted amount. These budgets are very difficult to forecast with information only being provided by the PFI contractor towards the end of each financial year. The budget profile has been updated to reflect the outturn position.
- Children's Residential homes, £1.130m slippage. The acquisition and fitting out of these residential homes' phase III have not proceeded as quickly as had hoped. The Council is exploring several properties and going through a rigorous approval before purchasing the properties to ensure they are fit for purpose. However, the housing market is very buoyant with properties often sold before the Council is able to obtain the necessary approvals.

As part of the outturn position the following key outputs have been delivered:

- Secondary schools: Contributed towards the building of 10 new classrooms at Rawmarsh academy.
- SEND Phase 3: Purchased and fitted out part of the Dinnington college site creating 135 places in Block A, with a further 44 places in Blocks C & D.
- Investment in 17 primary schools utilising the capital enhancement programme.
- Adaptations to foster carers homes: 3 extensions completed as part of this programme.

2.65 **Adult Care & Housing**

2.66 The Adult Care & Housing capital programme outturn had £1.680m of slippage against the approved budget of £5.297m. The main variances contributing to this position are:

- Fair Access to All (Assistive Technology), Private Sector – £0.301m underspend. The scheme is a responsive service, therefore demand driven. A carry forward request has been made to roll this underspend into the new financial year.
- Fair Access to All (Aids and Adaptations Privates – DFG's), underspent by £1.038m. A roll forward request of £0.862m for work that is on back log is proposed. The criteria for allocating these funds is under review with the intention to facilitate increased investment in this area.

As part of the outturn position the following key outputs have been delivered:

- 163 DFG's completed
- A further 51 DFG's started.

2.67 **Assistant Chief Executive**

2.68 The Assistant Chief Executive capital programme outturn had £0.274m of underspend and slippage against the approved budget of £0.373m.

- Badsley Moor Lane Community Hub, £0.181m slippage. The project has slipped whilst a funding solution was found for a budget shortfall. This has now been resolved and the project will be delivered in 2022/23.

As part of the outturn position the following key outputs have been delivered:

- 55 projects supported across the borough through the ward allocations, broken down as follows:-
- North – 22 projects
- South – 20 projects
- Central – 13 projects

2.69 **Finance & Customer Services**

2.70 The Finance & Customer Services capital programme outturn had £1.573m of underspend and slippage against the approved budget of £3.349m.
The main variances contributing to this position are:

- Digital inclusion, £0.200m slippage. The programme is commencing now that a manager has been employed to lead the work and undertaken research baselining.
- Automation, £0.070m slippage. The service have employed 2 staff to deliver the work, however they are facing difficulties recruiting to the 3rd post. The project started 6 months later than anticipated, however a proof of concept process has been delivered and the service are now moving into identifying other services which could benefit from this technology.
- Hybrid Meeting Rooms, £0.090m slippage. The original project estimate was for a full rollout of hybrid technology in 2021/22. However, a phased implementation was subsequently agreed which has so far seen 10 rooms within Riverside House installed, capability at Maltby JSC and Hellaby Depot, as well as the Council Chamber within the Town Hall. Other Joint Service Centres and Rockingham PDC currently being planned.
- Computer Refresh, £0.297m slippage. Only purchases were made to meet the ability to avoid holding expensive stock and unused warranties. In addition, the planned mobile phone refresh has been put on hold, whilst the future requirements are reviewed which has highlighted that Mobile Voice and Data Contract are likely to be significantly less than current numbers of issued devices. There is a plan to reprofile this budget to better reflect the revised plans for a programme of refresh.

As part of the outturn position the following key outputs have been delivered:

- Approx. 1300 devices have been provisioned during 2021/22.
- Deployed new end point security and vulnerability management tools.
- Implemented a Microsoft 365 backup solution.
- Implemented a citizen portal for Adult Social Care.
- Design of the new RMBC networking infrastructure, including WiFi.
- Deployed Hybrid Meeting Rooms.
- PSN accreditation.

2.71 **Regeneration & Environment**

2.72 The Regeneration & Environment capital programme outturn had £23.100m of slippage against the approved budget of £70.937m. The main variances contributing to this position was:

**Planning, Regeneration & Transport**

- Forge Island Flood Defence, (£1.082m) slippage. The overall costs were increased due in the main to inflation on required materials (steel), these increases lead to a requirement for an additional funding package, that has

delayed progress. An increased funding package is now in place and the project has been re-profiled and will be completed by August 2022.

- Riverside Precinct & Chantry Building Demolition, £0.424m slippage. There have been delays securing a contractor to remove the pedestrian bridge with works due to commence in first quarter 2022/23. Preparations for the bridge removal are underway and will complete Q2 2022/23.

- Grimm and Co, £0.773m slippage. There have been delays in finalising the funding agreement which has pushed the works into 2022/23. Funding agreement signed and initial phase of construction works underway.

- Century Phase II - £0.728m slippage. The Council had to revise the scope and nature of the project to bring it more into line with the office space requirement in the borough, larger space workshops, rather than traditional office space for example. The revisions to the scope meant that the scheme could not commence until late in 2021/22. The project is due to complete during 2022.

- 9-13 High Street (Primark), £0.421m slippage. This scheme has been delayed due to cost pressures and the need to finalise designs. Final design amendments are in the process of being concluded ahead of tendering.

- West Bawtry Road Embankment, £0.350m slippage. The scheme commencement has slipped, with the completion date expected by November 2022.

- Parkway Widening, £7.638m slippage. The project in well into the delivery phase, however, some challenges with site access and allowing all partner agencies to develop at the same time generate a delay, the project is now expected completion of October 2022.

- Greasbrough Village Centre Traffic signals, (£0.463m) slippage. The project has slipped due to funding pressures which needed to be resolved. The project now has a forecast completion date of first quarter 2023.

**Culture, Sport & Tourism**

- Leisure PFI, £0.946m slippage. The budgets are very difficult to establish, whilst the Council and the PFI contractor are working to a PFI Lifecycle costs plan, the work that is carried out is based on need and so the Council has to review at the end of each financial year whether the works incurred are capital or revenue. Any variances are reflected in the carried forward position over the life cycle of the assets.

**Community Safety & Streetscene**

- RRFAS 2A Ickles Lock (ERDF), £3.245m slippage. The project costs have increased, which has resulted in a revised funding package being put together, plus ongoing discussions with other stakeholders which has

resulted in a significant re-profile of planned expenditure with the works now expected to be completed by June 2023.

- Pothole Funding, (£2.041m) slippage. The underspend will be carried forward into 2022/23, Government provides the Pothole allocations as an additional funding allocation, significantly after the Council has set its Capital Programme and crucially, after it has designed out it's delivery programme. These grant allocations are announced by Government around October each year making delivery in the same year challenging, in particular alongside the impacts of the pandemic. As such it makes building a delivery programme more challenging, though Government have confirmed the funding can be carried forward to be utilised during 2022/23.

- Street Scene Equipment / Vehicles, £0.306m underspend. The budget was to enable the service to purchase new vehicles to transport the Council's mowers. However, an alternative solution was identified that saw the service overcome this issue by replacing all tyres on the mowers to make them road worthy.

- CCTV Enhancement and Upgrade, £0.361m slippage. The project has been delayed due to a number issues with regard to updating the operating systems. These hardware and software solutions have now been resolved and the contractors are in place with an anticipated completion date of August 2022.

As part of the outturn position the following key outputs have been delivered:

- Progress to either relocate or refurbish/co-locate locality libraries continued throughout the year. The following projects now complete:
    - Upgrade to public I.T. provision is complete which includes new public access PCs across all libraries, digital screens and the upgrade of library self-service units.
    - Introduction of toilet and café facilities where possible, plus a refresh of furniture and décor to eight neighbourhood libraries
    - Improved signage to all neighbourhood libraries (except for Thurcroft due to relocation).
    - The transfer of Thurcroft Library to the Gordon Bennett Memorial Hall site progressed with plans for the project being completed and planning permission and building regulations granted.
- Completed delivery of the second year of the £24m to 2024 Road Programme and the final year of the Highways Capital Maintenance funding through LTP with a total investment of over £11m in the improvement in the condition of the highway network.
- The delivery of the Canal Barrier at Forge Island will be completed in July 2022 and Flood Alleviation project at Ickles lock has started with a planned completion in March 2023.
- The delivery of the feasibility works to take the 6 priority flood alleviation schemes to "shovel ready" by 2024 continues to be on target.

- Service completed the installation of 28 new 'pay and display' parking machines for the town centre. All machines in the town centre now have facilities for cash or card payments.
- Service delivered the planned car park refurbishments at Wellgate, Drummond Street, Clifton Hall and Wellgate North.
- Service have replaced 110 of the 120 obsolete street lighting columns identified and the remainder will be completed in the quarter 1, 2022/23.
- Service have completed the delivery of the replacement of 1.5 Km of non-conforming Vehicle Retention System (Crash barriers).

2.73 **Transformation Programme (Capitalisation Direction)**

2.74 The expenditure that the Council can capitalise under this direction is limited to the level of new-year Capital Receipts. A budget estimate of £2.000m of receipts is included in the Capital Programme to fund revenue expenditure that meets the criteria of being transformational spend. The Council's policy allows the use of new-year capital receipts to fund transformational costs that would otherwise be held within revenue expenditure accounts, releasing pressure on the revenue budget. Although capital receipts were generated in this financial year they were utilised to fund the expenditure on short life asset's in order to reduce borrowing costs which is a more favourable overall outcome for the Council. The cost of transformational spend was minimal and kept within revenue as a result.

2.75 **Housing Revenue Account (HRA)**

2.76 The HRA capital programme outturn was a £8.070m underspend / slippage against the approved budget of £52.176m. The main variance contributing to this position was:

- Refurbishments, £1.371m underspend – External £1.19m + £0.4m on internals. There has been a slow start to the year and with new ways of Covid safe working, it was not possible to complete 5 schemes within the year. As a result a carry forward request has been made for £1.190m on externals and £0.400m on internals to allow the works to be completed in the first quarter 2022/23.

- Replacement boilers, £0.326m overspend - The programme of Replacement Boilers had a budget of £1.3m and an actual out turn position of £1.626m. The project is a programme of replacements for boilers and ad-hoc replacements. Due to high level of ad-hoc (demand driven) boiler replacements, the scheme out turned in an overspend position, however, this was covered off by underspends in the wider HRA programme.

- Major Voids, £0.671m overspend. The programme of Voids had a budget of £2.5m and an actual out turn position of £3.2m, the responsive nature of the service lead to an increase in volume and increase in that works required in properties.

- Strategic Acquisitions, £0.708m slippage. The budgets within this programme line are a mixture or approved schemes and growth budgets where schemes

are in the development stages. A number of the planned acquisitions didn't come forward as early as anticipated.

- The programme for Town Centre Development (Housing) – (£3.041m) slippage This scheme is to deliver 171 housing units over 3 Town Centre sites of which 20 have been completed. The scheme is on site on all three sites and progressing well. The slippage in year budget is largely due to a variety of utility issues across all three sites. The project will be re-profiled to reflect a completion of November 2022.

- The scheme for MMC bungalows, £1.952m underspend. The project did not commence for a variety of reasons, including issues with the site. The scheme is to be incorporated into a wider scheme within the HRA growth programme that is currently in early stages of development. Therefore, a roll forward of the budget into 2022/23 has been actioned.

- SOAHP Bungalows 2 sites, £0.060m slippage. This scheme was substantially complete with some issues with statutory services and highways work, which will be completed in the first quarter in 2022/23.

As part of the outturn position the following key outputs have been delivered:

- The Housing investment delivered £10.417m of investment in the Council's existing housing stock during 2021/22. The programme is split into multiple schemes for example, investing in external elements including roof renewals, fascias and soffits along with internal upgrades to boilers, improving the communal areas within blocks of flats, improving major elements in properties when they become void, increasing the energy efficiency of homes, and upgrading the fire doors to flats.

- 41 units delivered for social housing, compromising of 14 bungalow units, 8 at Treeton and 6 at Ravensfield. A further 18 units at Rothwell Grange (Broom Hayes) and 9 new purchased units under the strategic acquisitions programme, 3 units at Thorpe Hesley,and 6 at West Melton.

- 436 Major Adaptations completed (Fair Access)

| | |
|---|---|
| External Improvements | 648 |
| Upgrading fire doors | 742 |
| Installation of full sprinkler systems | 0 |
| Communal Area improvement works | 0 |
| Renewal of walkways to flats | 42 |
| Structural Works | 38 |
| Upgrade of Neighbourhood Centres | 14 |
| Improve the energy efficiency of | 229 |
| Major works in void properties | 205 |
| Boiler upgrades | 984 |
| Environmental improvements (paths, fencing, parking etc) | 16 Schemes completed |

2.77 **Funding of the Capital Programme 2021/22**

2.78 The £104.938m of capital expenditure was funded as shown in the table below:

**Table 5 Funding of the Capital Programme 2021/22**

| Funding Stream | Outturn £m |
|---|---|
| Grants and Contributions | 43.448 |
| Unsupported Borrowing | 14.623 |
| Capital Receipts | 2.579 |
| Revenue Contributions | 0.183 |
| **Total Funding - General Fund** | **60.832** |
| Grants and Contributions | 4.978 |
| Housing Major Repairs Allowance | 25.264 |
| Useable Capital Receipts | 7.519 |
| Revenue Contributions | 6.346 |
| **Total Funding - HRA** | **44.106** |
| **Total** | **104.938** |

2.79 **Capital Receipts Outturn 2021/22**

2.80 The Council is continuing to undertake a comprehensive review of its assets and buildings portfolio with the aim of rationalising both its operational and non-operational asset holdings. This may contribute future capital receipts which are earmarked to support the revenue budget, using the capital receipts flexibilities in place until 2024/25 to fund expenditure relating to transforming Council services to generate future revenue efficiency savings.

2.81 In 2021/22 General Fund Capital receipts of £0.941m were generated as shown in the table below. Although, £0.050m of this was for loan repayments, these cannot be used to support the revenue budget as only those receipts by the disposal of property, plant and equipment can be used under the new capital receipts flexibilities introduced from the 1st April 2016.

**Table 6 – General Fund Capital Receipts Received in 2021/22**

| Description | Total as at 31st March 2022 £m |
|---|---|
| | |
| 11 Russell House | - 0.077 |
| Copeland Lodge | - 0.401 |
| 58 Quarry Hill Road | - 0.261 |
| Eddisons Lot 30 | - 0.014 |

| | | |
|---|---|---|
| Dunford Depot | - | 0.124 |
| Miscellaneous | - | 0.014 |
| **Total Capital Receipts (Excluding loan repayments)** | **-** | **0.891** |
| Repayment of Loans | - | 0.050 |
| **Total Capital Receipts** | **-** | **0.941** |

2.82 Although capital receipts were generated in this financial year they were utilised to fund the expenditure on short life asset's in order to reduce borrowing costs which is a more favourable overall outcome for the Council. The cost of transformational spend was minimal and kept within revenue as result.

2.83 **Updated Capital Programme 2022/23 to 2025/26**

2.84 The Capital Programme 2022/23 has been reset at £285.283m split between the General Fund £211.221m and HRA £74.062m. These programmes are higher than previous programmes due in the main to the following;

- Significantly increased government and external funding to support Town Centre redevelopment and Infrastructure programmes. Such as the Town Centre Fund, Future High Streets Fund and Transforming Cities Fund. Whilst this is positive, these resources are heavily time restricted and present a significant challenge for the Council to deliver.
- Slippage into the 2022/23 financial year from 2021/22 due to delays caused in part to the pandemic, inflation impacts and challenges from demand on suppliers in the sector, adding greater pressure on delivery to 2022/23.
- The Housing Growth Programme within the HRA programme, presents the ambition of the Council to expand and improve housing supply but also represents a sizeable challenge for delivery.

The 2022/23 programme has increased overall by £40.509m from the position reported to Cabinet in February 2022. The movement is based on the latest profiles of expenditure against schemes, following the 2021/22 outturn position, factoring in slippage from 2021/22 of £36.930m and new grant funding of £3.579m. The total slippage from 2021/22 was £38.983m, £36.930m moving into 2022/23 and a further £2.053m re-profiled across 2023/24 to 2025/26.

2.85 **Table 8: Updated Capital Programme 2022/23 to 2025/26**

| **Directorate** | **2022/23 Budget £m** | **2023/24 Budget £m** | **2024/25 Budget £m** | **2025/26 Budget £m** | **Total Budget £m** |
|---|---|---|---|---|---|
| **General Fund Capital** | | | | | |
| Children and Young People's Services | 15.797 | 6.346 | 4.560 | 6.468 | 33.171 |
| Regeneration and Environment | 172.140 | 34.324 | 9.052 | 7.062 | 222.579 |

| | | | | | |
|---|---|---|---|---|---|
| Adult Care & Housing | 7.659 | 6.385 | 14.117 | 4.273 | 32.435 |
| Assistant Chief Executive | 0.496 | 0.210 | 0.210 | 0.210 | 1.126 |
| Finance and Customer Services | 14.129 | 14.893 | 7.090 | 2.990 | 39.102 |
| Capitalisation Direction | 1.000 | 1.000 | 1.000 | 1.000 | 4.000 |
| **Total General Fund Capital** | **211.221** | **63.159** | **36.030** | **22.004** | **332.413** |
| | | | | | |
| **Total HRA Capital** | 74.062 | 45.834 | 28.575 | 28.575 | **177.046** |
| | | | | | |
| **Total RMBC Capital Programme** | **285.283** | **108.993** | **64.605** | **50.578** | **509.459** |

In light of the challenges that Covid-19, inflation and supplier demand has brought about the Council will need to carry out a detailed review of the current capital programme, to assess the deliverability of projects to planned budgets and timescales. It is too early at this point to accurately carry out this piece of work as such the review will need to take place in the autumn when a greater level of clarity is available about the impact on the capital programme.

2.86 **Forecast funding position of Capital Programme 2022/23**

The £285.283m of capital expenditure is funded as shown in the table below;

**Table 9: Funding of the approved Capital Programme**

| **Funding Stream** | **2022/23 Budget £m** |
|---|---|
| Grants and Contributions | 129.031 |
| Unsupported Borrowing | 79.136 |
| Capital Receipts | 1.878 |
| Capital Receipts - Flexible Use & HRA Contribution | 1.000 |
| HRA Contribution | 0.176 |
| **Total Funding - General Fund** | **211.221** |
| Grants and Contributions | 3.925 |
| Unsupported Borrowing | 15.746 |
| Housing Major Repairs Allowance | 42.867 |
| Capital Receipts | 8.798 |
| Revenue Contribution | 2.726 |
| **Total Funding - HRA** | **74.062** |
| **Total** | **285.283** |

3. **Options considered and recommended proposal**

3.1 This detail is set out in Section 2 above.

4. **Consultation on proposal**

4.1 None identified

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

5.1 The Strategic Director - Finance and Customer Services is responsible for implementing any actions arising from the supported recommendations in this report. These should be actioned at the earliest opportunity to aid the monitoring of the 2021/22 Revenue Budget and Capital Programme.

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

6.1 As set out in the sections above.

6.2 There are no direct procurement implications arising from the report.

7. **Legal Advice and Implications**

7.1 None identified

8. **Human Resources Advice and Implications**

8.1 None identified

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

9.1 None identified

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

10.1 This is a finance update report, providing a review of the Council's outturn position for 2021/22. Any equalities and human rights impacts from service delivery have been or are detailed as service budgets, capital projects are pulled together for inclusion within the Council's revenue budget or capital programme.

11 **Implications for CO2 Emissions and Climate Change**

11.1 No direct implications.

12. **Implications for Partners**

12.1 None identified

13. **Risks and Mitigation**

13.1 There are increasing cost pressures associated with the rising demand for social care services. The Council will continue to closely monitor its financial position throughout the year and if required management will implement appropriate mitigations.

13.2 There is funding uncertainty for the local government sector beyond 2022/23 as the Local Government financial settlement was only a one year allocation. The Council's Medium Term Financial Strategy will be revised and updated later in the year to reflect the estimated outcomes of economic pressures that are impacting the Council's costs such as inflation and energy prices along with revised resources as greater clarity is provided by Government.

**14. Accountable Officers**

Judith Badger, Strategic Director of Finance and Customer Services
Rob Mahon, Assistant Director – Financial Services

Approvals obtained on behalf of Statutory Officers:-

| | **Named Officer** | **Date** |
|---|---|---|
| Chief Executive | Sharon Kemp | 27/06/22 |
| Strategic Director of Finance & Customer Services (S.151 Officer) | Judith Badger | 23/06/22 |
| Assistant Director, Legal Services (Monitoring Officer) | Phil Horsfield | 23/06/22 |

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This report is published on the Council's website.

# Capital Programme General Fund

# 2022/23 to 2025/26

| Directorate | Current Year | 2023/24 | 2024/25 | 2025/26 | Total Project |
|---|---|---|---|---|---|
| | Budget £ £ | Budget £ | Budget £ | Budget £ | Budget £ |
| Adult Care & Housing | 7,659,211 | 6,385,386 | 14,117,386 | 4,273,000 | 32,434,983 |
| Assistant Chief Executive | 495,736 | 210,040 | 210,040 | 210,040 | 1,125,856 |
| Children & Young Peoples Serv | 15,796,781 | 6,346,210 | 4,560,000 | 6,468,169 | 33,171,160 |
| Finance & Customer Services | 15,129,304 | 15,893,000 | 8,090,000 | 3,990,000 | 43,102,304 |
| Regeneration & Environment | 172,140,027 | 34,323,916 | 9,052,498 | 7,062,292 | 222,578,733 |
| **Total** | **211,221,059** | **63,158,552** | **36,029,924** | **22,003,501** | **332,413,036** |

# Funding:

| Funding Stream | Current Year | 2023/24 | 2024/25 | 2025/26 | Total Project |
|---|---|---|---|---|---|
| | Budget £ | Budget £ | Budget £ | Budget £ | Budget £ |
| Earmarked Reserves | 132,130 | 0 | 0 | 0 | 132,130 |
| Grants And Contributions | 128,899,142 | 17,700,135 | 9,452,184 | 6,021,303 | 162,072,764 |
| Prudential Borrowing | 79,135,513 | 43,829,417 | 24,944,740 | 14,346,198 | 162,255,868 |
| Revenue Contribution | 1,176,000 | 1,179,000 | 1,183,000 | 1,186,000 | 4,724,000 |
| Usable Capital Receipts | 1,878,274 | 450,000 | 450,000 | 450,000 | 3,228,274 |
| **Total** | **211,221,059** | **63,158,552** | **36,029,924** | **22,003,501** | **332,413,036** |

**Capital Programme General Fund**

**2022/23 to 2025/26**

| Directorate | Service | | Service Area | | Sub Service | | Project Code | Project | Current Year Budget £ | 2023/24 Budget £ | 2024/25 Budget £ | 2025/26 Budget £ | Total Project Budget £ |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Adult Care & Housing | S35010 | Adult Services | S45010 | Adult Services | S55070 | Adults Grants Unallocated | CUZBUN | Adults Grants Unallocated | 0 | 0 | 1,844,386 | 0 | 1,844,386 |
| | | | | | | | **Sub-Service Total** | | **0** | **0** | **1,844,386** | **0** | **1,844,386** |
| | | | | | S55010 | Assistive Technology | CU0700 | Assistive Technology Equipment | 981,371 | 680,000 | 680,000 | 680,000 | 3,021,371 |
| | | | | | | | **Sub-Service Total** | | **981,371** | **680,000** | **680,000** | **680,000** | **3,021,371** |
| | | | | | S55020 | REWS Equipment | CU0701 | REWS Capital | 190,000 | 190,000 | 190,000 | 190,000 | 760,000 |
| | | | | | | | **Sub-Service Total** | | **190,000** | **190,000** | **190,000** | **190,000** | **760,000** |
| | | | | | S55060 | Specialist Equipment | CU0503 | Webroster & associated equipmt | 33,684 | 0 | 0 | 0 | 33,684 |
| | | | | | | | **Sub-Service Total** | | **33,684** | **0** | **0** | **0** | **33,684** |
| | | | | | **Service AreaTotal** | | | | **1,205,055** | **870,000** | **2,714,386** | **870,000** | **5,659,441** |
| | | | **Service Total** | | | | | | **1,205,055** | **870,000** | **2,714,386** | **870,000** | **5,659,441** |
| | S35020 | Neighbourhood Capital Programm | S45030 | Fair Access to All | S55550 | Aids and Adaptations (Private | CNF103 | Adapts - OTHERS - Private Majr | 630,000 | 0 | 0 | 0 | 630,000 |
| | | | | | | | CNF104 | Adapts - LOT1 - Private Majr | 397,000 | 0 | 0 | 0 | 397,000 |
| | | | | | | | CNF105 | Adapts - LOT2 - Private Majr | 351,500 | 0 | 0 | 0 | 351,500 |
| | | | | | | | CNF106 | Adapts Extensions PRIVATES | 1,260,000 | 0 | 0 | 0 | 1,260,000 |
| | | | | | | | CNF204 | Adapts - LOT1 - Private Minr | 187,500 | 0 | 0 | 0 | 187,500 |
| | | | | | | | CNF205 | Adapts - LOT2 - Private Minr | 233,000 | 0 | 0 | 0 | 233,000 |
| | | | | | | | CNFBUN | Private Adaps Bud Unall | 0 | 2,197,000 | 2,197,000 | 2,197,000 | 6,591,000 |
| | | | | | | | **Sub-Service Total** | | **3,059,000** | **2,197,000** | **2,197,000** | **2,197,000** | **9,650,000** |
| | | | | | **Service AreaTotal** | | | | **3,059,000** | **2,197,000** | **2,197,000** | **2,197,000** | **9,650,000** |
| | | | S45040 | Neighbourood Regeneration & Re | S55770 | Affordable Housing | CPD001 | Housing Delivery GF | 345,812 | 0 | 0 | 0 | 345,812 |
| | | | | | | | **Sub-Service Total** | | **345,812** | **0** | **0** | **0** | **345,812** |
| | | | | | S55780 | Extra Care Housing | CPZBUN | LD accommodation | 0 | 2,000,000 | 8,000,000 | 0 | 10,000,000 |
| | | | | | | | **Sub-Service Total** | | **0** | **2,000,000** | **8,000,000** | **0** | **10,000,000** |
| | | | | | S55750 | Monksbridge Demolition | CP0401 | Monksbridge, Dinnington | 71,800 | 0 | 0 | 0 | 71,800 |
| | | | | | | | **Sub-Service Total** | | **71,800** | **0** | **0** | **0** | **71,800** |
| | | | | | **Service AreaTotal** | | | | **417,612** | **2,000,000** | **8,000,000** | **0** | **10,417,612** |
| | | | **Service Total** | | | | | | **3,476,612** | **4,197,000** | **10,197,000** | **2,197,000** | **20,067,612** |
| | S35050 | Neighbourhood Improvements - N | S45050 | Neighbourhood Improvements Non | S55830 | Furnished Homes CPTL | CPA001 | Furnished Homes New CPTL | 1,134,000 | 1,134,000 | 1,134,000 | 1,134,000 | 4,536,000 |
| | | | | | | | CPA002 | Furnished Homes Replace CPTL | 72,000 | 72,000 | 72,000 | 72,000 | 288,000 |
| | | | | | | | **Sub-Service Total** | | **1,206,000** | **1,206,000** | **1,206,000** | **1,206,000** | **4,824,000** |
| | | | | | S55850 | N'bourhood Grants Unallocated | CPXBUN | N'Hoods Grants Unallocated | 1,771,544 | 112,386 | 0 | 0 | 1,883,930 |
| | | | | | | | **Sub-Service Total** | | **1,771,544** | **112,386** | **0** | **0** | **1,883,930** |
| | | | | | **Service AreaTotal** | | | | **2,977,544** | **1,318,386** | **1,206,000** | **1,206,000** | **6,707,930** |
| | | | **Service Total** | | | | | | **2,977,544** | **1,318,386** | **1,206,000** | **1,206,000** | **6,707,930** |
| | **Directorate Total** | | | | | | | | **7,659,211** | **6,385,386** | **14,117,386** | **4,273,000** | **32,434,983** |
| Assistant Chief Executive | S36030 | Democratic Services | S46030 | Democratic Services | S56030 | Democratic Services | CPC008 | Capt'l Inv't Ward Anst wdsetts | 21,360 | 10,680 | 10,680 | 10,680 | 53,400 |
| | | | | | | | CPC009 | Capt'l Inv't-Ward - Dinnington | 13,753 | 10,680 | 10,680 | 10,680 | 45,793 |
| | | | | | | | CPC010 | Capt'l Inv't-Ward - Wales | 6,681 | 7,120 | 7,120 | 7,120 | 28,041 |
| | | | | | | | CPC013 | Capt'l Inv't-Ward - RotherVale | 7,120 | 7,120 | 7,120 | 7,120 | 28,480 |
| | | | | | | | CPC014 | Capt'l Inv't-Ward - Keppel | 13,004 | 10,680 | 10,680 | 10,680 | 45,044 |
| | | | | | | | CPC015 | Capt'l Inv't-Ward - Roth West | 21,360 | 10,680 | 10,680 | 10,680 | 53,400 |
| | | | | | | | CPC017 | Capt'l Inv't-Ward - Bostn Ctle | 21,360 | 10,680 | 10,680 | 10,680 | 53,400 |
| | | | | | | | CPC018 | Capt'l Inv't-Ward - Roth East | 19,568 | 10,680 | 10,680 | 10,680 | 51,608 |
| | | | | | | | CPC019 | Capt'l Inv't-Ward - Sitwell | 15,355 | 10,680 | 10,680 | 10,680 | 47,395 |
| | | | | | | | CPC020 | Capt'l Inv't-Ward - Hoober | 12,708 | 10,680 | 10,680 | 10,680 | 44,748 |
| | | | | | | | CPC022 | Capt'l Inv't-Ward - Wath | 11,440 | 7,120 | 7,120 | 7,120 | 32,800 |
| | | | | | | | CPC029 | Hellaby & Maltby West | 12,023 | 7,120 | 7,120 | 7,120 | 33,383 |
| | | | | | | | CPC030 | Maltby East | 13,074 | 7,120 | 7,120 | 7,120 | 34,434 |
| | | | | | | | CPC031 | Thurcroft & Wickersley South | 7,120 | 7,120 | 7,120 | 7,120 | 28,480 |
| | | | | | | | CPC032 | Aughton & Swallownest | 9,240 | 7,120 | 7,120 | 7,120 | 30,600 |
| | | | | | | | CPC033 | Aston & Todwick | 14,240 | 7,120 | 7,120 | 7,120 | 35,600 |
| | | | | | | | CPC034 | Brinsworth | 13,740 | 7,120 | 7,120 | 7,120 | 35,100 |
| | | | | | | | CPC035 | Greasborough | 10,240 | 7,120 | 7,120 | 7,120 | 31,600 |
| | | | | | | | CPC036 | Dalton & Thrybergh | 14,240 | 7,120 | 7,120 | 7,120 | 35,600 |
| | | | | | | | CPC037 | Wickersley North | 17,235 | 10,680 | 10,680 | 10,680 | 49,275 |
| | | | | | | | CPC038 | Bramley & Ravenfeild | 10,905 | 7,120 | 7,120 | 7,120 | 32,265 |
| | | | | | | | CPC039 | Swinton Rockingham | 13,690 | 7,120 | 7,120 | 7,120 | 35,050 |
| | | | | | | | CPC040 | Rawmarsh West | 13,607 | 7,120 | 7,120 | 7,120 | 34,967 |
| | | | | | | | CPC041 | Kilnhurst & Swinton East | 11,936 | 7,120 | 7,120 | 7,120 | 33,296 |
| | | | | | | | CPC042 | Rawmarsh East | 13,607 | 7,120 | 7,120 | 7,120 | 34,967 |
| | | | | | | | CXB101 | Badsley More Lane Pr Comm Hub | 157,130 | 0 | 0 | 0 | 157,130 |
| | | | | | | | **Sub-Service Total** | | **495,736** | **210,040** | **210,040** | **210,040** | **1,125,856** |
| | | | | | **Service AreaTotal** | | | | **495,736** | **210,040** | **210,040** | **210,040** | **1,125,856** |
| | | | **Service Total** | | | | | | **495,736** | **210,040** | **210,040** | **210,040** | **1,125,856** |
| | **Directorate Total** | | | | | | | | **495,736** | **210,040** | **210,040** | **210,040** | **1,125,856** |
| Children & Young Peoples Serv | S33000 | CYPS - RMBC | S43600 | Other CYPS | S53600 | Children & Families | CED900 | Adaptations - Foster Care | 640,000 | 640,000 | 640,000 | 2,289,458 | 4,209,458 |
| | | | | | | | CER002 | CYPS RESI PH I Phoenix Place | 40,766 | 0 | 0 | 0 | 40,766 |
| | | | | | | | CER003 | CYPS RESI PH II Middle Lane | 43,369 | 0 | 0 | 0 | 43,369 |
| | | | | | | | CER006 | CYPS RESI PH III - TBC1 | 418,100 | 0 | 0 | 0 | 418,100 |
| | | | | | | | CER007 | CYPS RESI PH III - TBC2 | 418,300 | 0 | 0 | 0 | 418,300 |
| | | | | | | | CER008 | In House Chld's Resi-vehicles | 140,000 | 0 | 0 | 0 | 140,000 |
| | | | | | | | CERBUN | CYPS Resi Home Unallocated | 272,160 | 0 | 0 | 0 | 272,160 |

| Directorate | Service | | Service Area | | Sub Service | | Project Code | Project | Current Year Budget £ | 2023/24 Budget £ | 2024/25 Budget £ | 2025/26 Budget £ | Total Project Budget £ |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | **Sub-Service Total** | | **1,972,695** | **640,000** | **640,000** | **2,289,458** | **5,542,153** |
| | | | | | **Service AreaTotal** | | | | **1,972,695** | **640,000** | **640,000** | **2,289,458** | **5,542,153** |
| | | | S43000 | Schools | S53500 | Schools - Capitalised Enh | C0117N | Minor Works Less than £10,000 | 2,895 | 0 | 0 | 0 | 2,895 |
| | | | | | | | C0137N | Todwick Primary - Ceiling etc | 62,507 | 0 | 0 | 0 | 62,507 |
| | | | | | | | C0152N | Rwawmarsh Rosehill - S Hall ne | 1,998 | 0 | 0 | 0 | 1,998 |
| | | | | | | | C0153N | Rawmarsh Ryecroft - Curtain wa | 26,373 | 0 | 0 | 0 | 26,373 |
| | | | | | | | C0158N | St Mary's PRU - Roof Lights | 27,565 | 0 | 0 | 0 | 27,565 |
| | | | | | | | C0171N | Brinsworth Manor Inf - floors | 7,273 | 0 | 0 | 0 | 7,273 |
| | | | | | | | C0174N | Swallownest Pri-Extdoor&C'ling | 4,837 | 0 | 0 | 0 | 4,837 |
| | | | | | | | C0177N | Newman Sch NAR-Electrical work | 11,092 | 0 | 0 | 0 | 11,092 |
| | | | | | | | C0178N | Newman Sch NAR-C'room Refurb | 24,360 | 0 | 0 | 0 | 24,360 |
| | | | | | | | CENA01 | CEN Asbestos removal works | 31,090 | 0 | 0 | 0 | 31,090 |
| | | | | | | | CENBUN | Capitalised Enhancements Unall | 671,358 | 700,000 | 500,000 | 400,000 | 2,271,358 |
| | | | | | | | CENF02 | CEN FWT Remedials CNTL CPTL | 34,592 | 0 | 0 | 0 | 34,592 |
| | | | | | | | **Sub-Service Total** | | **905,940** | **700,000** | **500,000** | **400,000** | **2,505,940** |
| | | | | | S53000 | Schools - Prims - Major | CE1028 | Waverley New Primary School | 121,639 | 0 | 0 | 0 | 121,639 |
| | | | | | | | **Sub-Service Total** | | **121,639** | **0** | **0** | **0** | **121,639** |
| | | | | | S53200 | Schools - Secs - Major | CE5004 | Aston Acad replace classrooms | 2,278,539 | 0 | 0 | 0 | 2,278,539 |
| | | | | | | | CE5007 | Maltby Academy-Contrib | 194,386 | 0 | 0 | 0 | 194,386 |
| | | | | | | | CE5008 | Brinsworth Acd- add places | 850,000 | 850,000 | 0 | 0 | 1,700,000 |
| | | | | | | | CE5BUN | Secondary BUDGET UNALLOC | 103,491 | 41,737 | 1,000,000 | 1,000,000 | 2,145,228 |
| | | | | | | | **Sub-Service Total** | | **3,426,416** | **891,737** | **1,000,000** | **1,000,000** | **6,318,153** |
| | | | | | S53300 | Schools - Spcls - Major | CE7012 | Brinsworth School SEND | 7,101 | 0 | 0 | 0 | 7,101 |
| | | | | | | | CE7013 | Thomes Rotherham College SEND | 218,173 | 0 | 0 | 0 | 218,173 |
| | | | | | | | CE7014 | Thrybergh SEND | 16,933 | 0 | 0 | 0 | 16,933 |
| | | | | | | | CE7015 | James Montgomery SEND | 7,297 | 0 | 0 | 0 | 7,297 |
| | | | | | | | CE7016 | Kelford SEND | 12,014 | 0 | 0 | 0 | 12,014 |
| | | | | | | | CE7017 | Hilltop SEND | 14,657 | 0 | 0 | 0 | 14,657 |
| | | | | | | | CE7021 | SEND PH III Dinnington Adaptat | 213,690 | 0 | 0 | 0 | 213,690 |
| | | | | | | | CE7022 | SNED Ph III Newman Critical Ma | 12,440 | 0 | 0 | 0 | 12,440 |
| | | | | | | | CE7023 | SNED Ph III Newman Upper Schoo | 2,780,686 | 0 | 0 | 0 | 2,780,686 |
| | | | | | | | CE7024 | SEND Ph III Newman demo works | 114,130 | 0 | 0 | 0 | 114,130 |
| | | | | | | | CE7BUN | Special BUDGET UNALLOC | 3,223,000 | 3,035,077 | 0 | 0 | 6,258,077 |
| | | | | | | | **Sub-Service Total** | | **6,620,121** | **3,035,077** | **0** | **0** | **9,655,198** |
| | | | | | S53550 | Schools PFI Life Cycle Program | CES900 | Schools PFI Life Cycle Program | 2,554,670 | 929,396 | 2,270,000 | 2,270,000 | 8,024,066 |
| | | | | | | | **Sub-Service Total** | | **2,554,670** | **929,396** | **2,270,000** | **2,270,000** | **8,024,066** |
| | | | | | **Service AreaTotal** | | | | **13,628,786** | **5,556,210** | **3,770,000** | **3,670,000** | **26,624,996** |
| | | | **Service Total** | | | | | | **15,601,481** | **6,196,210** | **4,410,000** | **5,959,458** | **32,167,149** |
| | S33800 | DFC | S43800 | DFC - RMBC | S53800 | DFC - RMBC all | CEXBUN | DFCG Unallocated | 195,300 | 150,000 | 150,000 | 508,711 | 1,004,011 |
| | | | | | | | **Sub-Service Total** | | **195,300** | **150,000** | **150,000** | **508,711** | **1,004,011** |
| | | | | | **Service AreaTotal** | | | | **195,300** | **150,000** | **150,000** | **508,711** | **1,004,011** |
| | | | **Service Total** | | | | | | **195,300** | **150,000** | **150,000** | **508,711** | **1,004,011** |
| | **Directorate Total** | | | | | | | | **15,796,781** | **6,346,210** | **4,560,000** | **6,468,169** | **33,171,160** |
| Finance & Customer Services | S32800 | F&CS (DUMMY) | S42800 | F&CS | S52850 | F&CS - REFCUS | CTR805 | Transformation Projects | 1,000,000 | 1,000,000 | 1,000,000 | 1,000,000 | 4,000,000 |
| | | | | | | | CTR806 | Capital Inflation Contingency | 5,000,000 | 5,000,000 | 0 | 0 | 10,000,000 |
| | | | | | | | **Sub-Service Total** | | **6,000,000** | **6,000,000** | **1,000,000** | **1,000,000** | **14,000,000** |
| | | | | | **Service AreaTotal** | | | | **6,000,000** | **6,000,000** | **1,000,000** | **1,000,000** | **14,000,000** |
| | | | **Service Total** | | | | | | **6,000,000** | **6,000,000** | **1,000,000** | **1,000,000** | **14,000,000** |
| | S32000 | ICT | S42100 | ICT 2 | S52100 | ICT 2 | CTT208 | Finl Systms Upgrdes-ICT2 | 43,118 | 0 | 300,000 | 0 | 343,118 |
| | | | | | | | CTT225 | Fee Billing System Upgrade | 40,000 | 0 | 0 | 0 | 40,000 |
| | | | | | | | CTT286 | Iken Upgrade | 1,250 | 0 | 0 | 0 | 1,250 |
| | | | | | | | CTT287 | Planned print leased machines | 2,660 | 0 | 0 | 0 | 2,660 |
| | | | | | | | CTT288 | Fleet of MFD printers | 599,304 | 0 | 0 | 0 | 599,304 |
| | | | | | | | CTT291 | Social Care IT System - CNTL C | 82,744 | 0 | 0 | 0 | 82,744 |
| | | | | | | | CTT300 | Audit Management System | 30,000 | 0 | 0 | 0 | 30,000 |
| | | | | | | | CTT301 | Legal Services - Ebundles | 54,000 | 30,000 | 0 | 0 | 84,000 |
| | | | | | | | CTT302 | Capita Server Upgrade | 15,000 | 0 | 0 | 0 | 15,000 |
| | | | | | | | **Sub-Service Total** | | **868,076** | **30,000** | **300,000** | **0** | **1,198,076** |
| | | | | | **Service AreaTotal** | | | | **868,076** | **30,000** | **300,000** | **0** | **1,198,076** |
| | | | S42200 | ICT Refresh | S52200 | ICT Refresh | CTT109 | EDRMS Roll Out | 85,000 | 0 | 0 | 0 | 85,000 |
| | | | | | | | CTT218 | ICT Digital Strategy | 1,888,609 | 800,000 | 800,000 | 800,000 | 4,288,609 |
| | | | | | | | CTT219 | Computer Refresh | 1,322,312 | 1,278,000 | 910,000 | 910,000 | 4,420,312 |
| | | | | | | | CTT220 | Network Equipment Refresh Proj | 2,903,951 | 0 | 630,000 | 630,000 | 4,163,951 |
| | | | | | | | CTT221 | Replacement of server equip | 432,039 | 0 | 650,000 | 650,000 | 1,732,039 |
| | | | | | | | CTT222 | Telephony System Replacement | 476,839 | 1,900,000 | 3,800,000 | 0 | 6,176,839 |
| | | | | | | | CTT223 | Hybrid Cloud Computing | 58,951 | 1,750,000 | 0 | 0 | 1,808,951 |
| | | | | | | | CTT224 | Microsoft 365 Implementation | 655,828 | 4,000,000 | 0 | 0 | 4,655,828 |
| | | | | | | | CTT296 | SY superfast broadband | 328,189 | 0 | 0 | 0 | 328,189 |
| | | | | | | | CTT297 | Libraries Network | 109,510 | 135,000 | 0 | 0 | 244,510 |
| | | | | | | | **Sub-Service Total** | | **8,261,228** | **9,863,000** | **6,790,000** | **2,990,000** | **27,904,228** |
| | | | | | **Service AreaTotal** | | | | **8,261,228** | **9,863,000** | **6,790,000** | **2,990,000** | **27,904,228** |
| | | | **Service Total** | | | | | | **9,129,304** | **9,893,000** | **7,090,000** | **2,990,000** | **29,102,304** |
| | **Directorate Total** | | | | | | | | **15,129,304** | **15,893,000** | **8,090,000** | **3,990,000** | **43,102,304** |
| Regeneration & Environment | S34020 | Community Safety &Street Scene | S44660 | Comm Safety Resilience & EP | S54620 | Comm Safety Resilience & EP | CLC022 | CCTV Upgrade&EnhanceCapabilty | 610,538 | 0 | 0 | 0 | 610,538 |
| | | | | | | | **Sub-Service Total** | | **610,538** | **0** | **0** | **0** | **610,538** |

| Directorate | Service | | Service Area | | Sub Service | | Project Code | Project | Current Year | 2023/24 | 2024/25 | 2025/26 | Total Project |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | Budget £ | Budget £ | Budget £ | Budget £ | Budget £ |
| | | | | Service AreaTotal | | | | | 610,538 | 0 | 0 | 0 | 610,538 |
| | | S44620 | Network Management | S54470 | Drainage | CGF005 | Wath Flood Alleviation | | 14,874 | 0 | 0 | 0 | 14,874 |
| | | | | | | CGF014 | Eel Mires Dike FAS | | 11,044 | 0 | 0 | 0 | 11,044 |
| | | | | | | CGF015 | RRFAS 2A Ickles Lock (ERDF) | | 3,245,697 | 0 | 0 | 0 | 3,245,697 |
| | | | | | | CGF017 | Eel Mires Dike FAS | | 241,350 | 200,000 | 0 | 0 | 441,350 |
| | | | | | | CGF018 | Roth Ren. and Kilnhurst FAS | | 1,217,284 | 700,000 | 0 | 0 | 1,917,284 |
| | | | | | | CGF019 | Whiston FAS | | 325,903 | 150,000 | 0 | 0 | 475,903 |
| | | | | | | CGF020 | Catcliffe Pumping Station | | 402,754 | 180,000 | 0 | 0 | 582,754 |
| | | | | | | CGF021 | Parkgate & Rawmarsh FAS | | 1,339,829 | 600,000 | 0 | 0 | 1,939,829 |
| | | | | | | CGF022 | Culverts Renewal Programme | | 79,485 | 20,000 | 0 | 0 | 99,485 |
| | | | | | | CGFBUN | Unallocated Flood Alleviation | | 642,630 | 0 | 0 | 0 | 642,630 |
| | | | | | | Sub-Service Total | | | 7,520,850 | 1,850,000 | 0 | 0 | 9,370,850 |
| | | | | | S54480 Highways Delivery | CGR001 | DfT LTP CarriagewayResurfacing | | 1,726,628 | 1,726,034 | 1,726,034 | 0 | 5,178,696 |
| | | | | | | CGR008 | 2020-2024 RoadsProgramme £24m | | 6,486,310 | 6,000,000 | 0 | 0 | 12,486,310 |
| | | | | | | CGR010 | Capitalisation Carriageways | | 548,324 | 500,000 | 500,000 | 500,000 | 2,048,324 |
| | | | | | | CGR011 | Multi Hog Works | | 303,056 | 300,000 | 300,000 | 300,000 | 1,203,056 |
| | | | | | | CGR013 | Cap Rights of way | | 46,090 | 34,000 | 34,000 | 34,000 | 148,090 |
| | | | | | | CGR018 | Additional Pothole Funding | | 785,598 | 0 | 0 | 0 | 785,598 |
| | | | | | | CGR019 | Pothole Funding 21/22 | | 1,255,835 | 0 | 0 | 0 | 1,255,835 |
| | | | | | | Sub-Service Total | | | 11,151,841 | 8,560,034 | 2,560,034 | 834,000 | 23,105,909 |
| | | | | | S54580 Parking Services | CGP002 | TownCentreCarParks-Pay&DisMach | | 29,245 | 0 | 0 | 0 | 29,245 |
| | | | | | | CGY016 | Wellgate Cpark Ret. Wall | | 34,261 | 0 | 0 | 0 | 34,261 |
| | | | | | | Sub-Service Total | | | 63,506 | 0 | 0 | 0 | 63,506 |
| | | | | | S54460 Street Lighting | CGL005 | St Lighting LTP 15/16 - 19/20 | | 132,815 | 119,172 | 119,172 | 0 | 371,159 |
| | | | | | | CGL007 | Capitalisation Lighting | | 165,030 | 150,000 | 150,000 | 150,000 | 615,030 |
| | | | | | | CGL008 | Cap benches signs bollards | | 80,763 | 75,000 | 75,000 | 75,000 | 305,763 |
| | | | | | | CGL009 | Replace Obsolete Strt Lighting | | 39,314 | 40,000 | 40,000 | 40,000 | 159,314 |
| | | | | | | CGL010 | St Ligh Concrete col replace | | 76,333 | 0 | 0 | 0 | 76,333 |
| | | | | | | CGY018 | Safety Barriers Replacement | | 48,761 | 0 | 0 | 0 | 48,761 |
| | | | | | | Sub-Service Total | | | 543,016 | 384,172 | 384,172 | 265,000 | 1,576,360 |
| | | | | Service AreaTotal | | | | | 19,279,213 | 10,794,206 | 2,944,206 | 1,099,000 | 34,116,625 |
| | | S44650 | Regulation & Enforcement | S54590 | Regulation & Enforcement | CN0100 | Carhill Landfill Site | | 45,000 | 0 | 0 | 0 | 45,000 |
| | | | | | | Sub-Service Total | | | 45,000 | 0 | 0 | 0 | 45,000 |
| | | | | Service AreaTotal | | | | | 45,000 | 0 | 0 | 0 | 45,000 |
| | | S44640 | Street Scene Services | S54610 | Community Delivery | CLC011 | Cap damaged litter bins | | 16,000 | 8,000 | 8,000 | 8,000 | 40,000 |
| | | | | | | CLC012 | Equipment & Bins | | 20,752 | 0 | 0 | 0 | 20,752 |
| | | | | | | CLC017 | Litter Bin Strategic Review | | 494,094 | 42,000 | 0 | 0 | 536,094 |
| | | | | | | CLC018 | Street Scene Equip / Vehicles | | 305,990 | 0 | 0 | 0 | 305,990 |
| | | | | | | CLC019 | Street Scene - Zonal Working | | 118,000 | 0 | 0 | 0 | 118,000 |
| | | | | | | CLC024 | Handheld Equip Grounds M'ten | | 6,892 | 0 | 0 | 0 | 6,892 |
| | | | | | | CLC027 | Addit'nal ZonalCleansingVehs | | 210,000 | 0 | 0 | 0 | 210,000 |
| | | | | | | Sub-Service Total | | | 1,171,728 | 50,000 | 8,000 | 8,000 | 1,237,728 |
| | | | | | S54600 Corporate Transport | CGY014 | Fleet Mgt Vehicle Purchase | | 8,699,678 | 100,000 | 0 | 0 | 8,799,678 |
| | | | | | | Sub-Service Total | | | 8,699,678 | 100,000 | 0 | 0 | 8,799,678 |
| | | | | | S54560 Waste Management | CGY004 | Bins | | 255,417 | 150,775 | 0 | 0 | 406,192 |
| | | | | | | CGY017 | Route Optimisation - ITS | | 54,900 | 11,700 | 11,700 | 11,700 | 90,000 |
| | | | | | | CN0106 | H'hold Waste Rec Cents-Valves | | 13,686 | 0 | 0 | 0 | 13,686 |
| | | | | | | Sub-Service Total | | | 324,003 | 162,475 | 11,700 | 11,700 | 509,878 |
| | | | | Service AreaTotal | | | | | 10,195,409 | 312,475 | 19,700 | 19,700 | 10,547,284 |
| | | Service Total | | | | | | | 30,130,160 | 11,106,681 | 2,963,906 | 1,118,700 | 45,319,447 |
| | S34010 | Culture, Sport & Tourism | S44610 | Creative Prog and Engagement | S54180 CST Events | CLE001 | Events Equipment - ITS | | 280 | 0 | 0 | 0 | 280 |
| | | | | | | Sub-Service Total | | | 280 | 0 | 0 | 0 | 280 |
| | | | | | S54440 Green Spaces | CLA001 | Allotments | | 34,405 | 0 | 0 | 0 | 34,405 |
| | | | | | | CLC014 | Clifton Park Dalben Tower | | 1,610 | 0 | 0 | 0 | 1,610 |
| | | | | | | CLC015 | RVCP Automated Parking | | 2,922 | 0 | 0 | 0 | 2,922 |
| | | | | | | CLC016 | RVCP Safety Boats | | 40,198 | 0 | 0 | 0 | 40,198 |
| | | | | | | CLC020 | GreenSpaces CarParks/Signs | | 648 | 0 | 0 | 0 | 648 |
| | | | | | | CLC021 | GreenSpaces CarPark Surfaces | | 157,819 | 0 | 0 | 0 | 157,819 |
| | | | | | | CLC023 | Ulley CP - Club House | | 350,000 | 0 | 0 | 0 | 350,000 |
| | | | | | | CLC026 | UlleyCP - ParaWalls?Anticlimb | | 95,000 | 0 | 0 | 0 | 95,000 |
| | | | | | | CLD001 | Treeton St Helen Church Yard | | 424,463 | 0 | 0 | 0 | 424,463 |
| | | | | | | CLD002 | Closed Church Yards | | 25,848 | 0 | 0 | 0 | 25,848 |
| | | | | | | CLT001 | BoroughWide Tree Planting Prog | | 292,508 | 0 | 0 | 0 | 292,508 |
| | | | | | | CLU018 | Barkers Park Changing Rooms Re | | 10,062 | 0 | 0 | 0 | 10,062 |
| | | | | | | CLU021 | CliftonPark GardenBldg Bar-ITS | | 25,000 | 0 | 0 | 0 | 25,000 |
| | | | | | | CLU024 | Manor Farm Rawsh Play Sec106 | | 19,351 | 0 | 0 | 0 | 19,351 |
| | | | | | | CLU026 | Greasborough Rec MUGA | | 1,587 | 0 | 0 | 0 | 1,587 |
| | | | | | | CLU027 | Play Equip Replacement Prog | | 100,000 | 0 | 0 | 0 | 100,000 |
| | | | | | | CLU028 | RM&Casework-Parks & Green Sp | | 137,796 | 0 | 0 | 0 | 137,796 |
| | | | | | | Sub-Service Total | | | 1,719,217 | 0 | 0 | 0 | 1,719,217 |
| | | | | | S54130 Heritage Services | CLH004 | Keppel's Column Preservation | | 225,944 | 0 | 0 | 0 | 225,944 |
| | | | | | | CLH005 | Waterloo Kiln Preservation | | 32,770 | 0 | 0 | 0 | 32,770 |
| | | | | | | Sub-Service Total | | | 258,714 | 0 | 0 | 0 | 258,714 |
| | | | | | S54140 Theatre | CLK004 | CivicTheatre- AnnexStudioSpace | | 262,000 | 0 | 0 | 0 | 262,000 |
| | | | | | | Sub-Service Total | | | 262,000 | 0 | 0 | 0 | 262,000 |

| Directorate | Service | | Service Area | | Sub Service | | Project Code | Project | Current Year | 2023/24 | 2024/25 | 2025/26 | Total Project |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | Budget £ | Budget £ | Budget £ | Budget £ | Budget £ |
| | | | | | Service AreaTotal | | | | **2,240,211** | **0** | **0** | **0** | **2,240,211** |
| | | | S44300 | Ops and Business Transformatio | S54110 | Libraries | CLL001 | Brinsworth Library | 3,772 | 0 | 0 | 0 | 3,772 |
| | | | | | | | CLL002 | Strat Review of Libraries | 2,980,000 | 0 | 0 | 0 | 2,980,000 |
| | | | | | | | CLL009 | Lib&NeighHub-Greasbrough Lib | 5,506 | 0 | 0 | 0 | 5,506 |
| | | | | | | | CLL010 | Lib&NeighHub-Dinnington Lib | 3,856 | 0 | 0 | 0 | 3,856 |
| | | | | | | | CLL011 | Lib&NeighHub-Kimberworth Lib | 3,202 | 0 | 0 | 0 | 3,202 |
| | | | | | | | CLL012 | Lib&NeighHub-Wikersley Lib | 2,541 | 0 | 0 | 0 | 2,541 |
| | | | | | | | CLL013 | Lib&NeighHub-Mowbray Lib | 429 | 0 | 0 | 0 | 429 |
| | | | | | | | CLL014 | Lib&NeighHub-Wath Lib&NeighHub | 62,576 | 0 | 0 | 0 | 62,576 |
| | | | | | | | CLL015 | Lib&NeighHub-Kiveton Park Lib | 16,774 | 0 | 0 | 0 | 16,774 |
| | | | | | | | CLL016 | Lib&NeighHub-Swinton Lib | 29,000 | 0 | 0 | 0 | 29,000 |
| | | | | | | | CLL017 | Lib&NeighHub-Thurcroft Lib | 226,821 | 0 | 0 | 0 | 226,821 |
| | | | | | | | CLL018 | Lib&NeighHub-ThorpeHesley Lib | 105,334 | 0 | 0 | 0 | 105,334 |
| | | | | | | | CLL020 | Lib&NeighHub-Brinsworth Open | 17,460 | 0 | 0 | 0 | 17,460 |
| | | | | | | | CLL021 | Lib&NeighHub- Signage | 15,015 | 0 | 0 | 0 | 15,015 |
| | | | | | | | **Sub-Service Total** | | **3,472,286** | **0** | **0** | **0** | **3,472,286** |
| | | | | | Service AreaTotal | | | | **3,472,286** | **0** | **0** | **0** | **3,472,286** |
| | | | S44320 | Projects and Partnerships | S54210 | Leisure and Sport | CLS004 | Leisure PFI lifecycle | 559,621 | 500,000 | 500,000 | 500,000 | 2,059,621 |
| | | | | | | | CLS005 | Herringthorpe AthleticsStadium | 216,132 | 0 | 0 | 0 | 216,132 |
| | | | | | | | CLS006 | MiddlewoodRoversFC Section 106 | 16,000 | 0 | 0 | 0 | 16,000 |
| | | | | | | | **Sub-Service Total** | | **791,753** | **500,000** | **500,000** | **500,000** | **2,291,753** |
| | | | | | Service AreaTotal | | | | **791,753** | **500,000** | **500,000** | **500,000** | **2,291,753** |
| | | | **Service Total** | | | | | | **6,504,250** | **500,000** | **500,000** | **500,000** | **8,004,250** |
| | S34000 | Planning, Regen & Transport | S44010 | Corp Property Unit | S54000 | Corporate Property Cap Proj | CGF007 | Holmes Tail Goit Pumping Stn | 920,071 | 0 | 0 | 0 | 920,071 |
| | | | | | | | CSB001 | LA Energy Saving Measures-(A) | 82,044 | 0 | 0 | 0 | 82,044 |
| | | | | | | | CSB002 | Customer Digitalisation - AM | 98,605 | 0 | 0 | 0 | 98,605 |
| | | | | | | | CSB003 | PittHouseWest RothVal-Drainage | 34,760 | 0 | 0 | 0 | 34,760 |
| | | | | | | | CSB004 | REACH Relocation | 2,100,000 | 0 | 0 | 0 | 2,100,000 |
| | | | | | | | CSB005 | Renewable Energy Proof of Conc | 1,000,000 | 0 | 0 | 0 | 1,000,000 |
| | | | | | | | CSB006 | Energy Saving Measure (B) | 201,941 | 0 | 0 | 0 | 201,941 |
| | | | | | | | CSB007 | PSDS BEMS Grant Phase 1 | 16,741 | 0 | 0 | 0 | 16,741 |
| | | | | | | | CSB008 | Building Decarbonisation | 1,500,000 | 1,600,000 | 1,600,000 | 1,700,000 | 6,400,000 |
| | | | | | | | CSB009 | ElecVeh ChargingInfraExpansion | 173,000 | 154,000 | 158,000 | 163,000 | 648,000 |
| | | | | | | | CSR003 | Bailey House Condition+ | 59,028 | 0 | 0 | 0 | 59,028 |
| | | | | | | | CSR041 | Vic Park-Drainage | 50,000 | 0 | 0 | 0 | 50,000 |
| | | | | | | | CSR059 | Bailey Hse Extnl Works &Lights | 119,619 | 0 | 0 | 0 | 119,619 |
| | | | | | | | CSR061 | Miscellaneous Minor Works | 70,199 | 0 | 0 | 0 | 70,199 |
| | | | | | | | CSR064 | Grafton/Cranworth Contact Cent | 1,864 | 0 | 0 | 0 | 1,864 |
| | | | | | | | CSR066 | Oaks Lane Depot Refurb | 2,650 | 0 | 0 | 0 | 2,650 |
| | | | | | | | CSR069 | Cranworth Hse Structural Works | 49,311 | 0 | 0 | 0 | 49,311 |
| | | | | | | | CSR072 | Liberty House Refurb | 10,519 | 0 | 0 | 0 | 10,519 |
| | | | | | | | CSR074 | Dinnington Youth Club | 26,518 | 0 | 0 | 0 | 26,518 |
| | | | | | | | CSR077 | CivicTheatre Emerg Lighting | 6,263 | 0 | 0 | 0 | 6,263 |
| | | | | | | | CSR081 | Civic Theatre - Fire Stopping | 11,674 | 0 | 0 | 0 | 11,674 |
| | | | | | | | CSR082 | Civic Theatre - Fire Alarm | 1,765 | 0 | 0 | 0 | 1,765 |
| | | | | | | | CSR087 | Rawmarsh JSC - Re-roof Section | 4,338 | 0 | 0 | 0 | 4,338 |
| | | | | | | | CSR088 | Waleswood - path to RVCP | 86,436 | 0 | 0 | 0 | 86,436 |
| | | | | | | | CSR089 | CliffParkMus-RecepDesk&CaféFurn | 3,385 | 0 | 0 | 0 | 3,385 |
| | | | | | | | CSR090 | Addison Day Centre - Fire Alar | 22,300 | 0 | 0 | 0 | 22,300 |
| | | | | | | | CSR091 | Signage | 29,488 | 0 | 0 | 0 | 29,488 |
| | | | | | | | CSR092 | Hope Fields at TCP | 10,119 | 0 | 0 | 0 | 10,119 |
| | | | | | | | CSR093 | Kim The Place - Windows | 33,219 | 0 | 0 | 0 | 33,219 |
| | | | | | | | CSR094 | StHelensTreetonChurchyard-Path | 34,000 | 0 | 0 | 0 | 34,000 |
| | | | | | | | CSR095 | StHelensChurchWath - Pavements | 28,000 | 0 | 0 | 0 | 28,000 |
| | | | | | | | CSR096 | Swinton Comm Centre - Roofing | 25,000 | 0 | 0 | 0 | 25,000 |
| | | | | | | | CSR098 | RVCP - CCTV Cameras | 24,428 | 0 | 0 | 0 | 24,428 |
| | | | | | | | CSR100 | StLeonardChurch Din-Bound Wall | 24,373 | 0 | 0 | 0 | 24,373 |
| | | | | | | | CSR101 | CliftonParkMuseum-FireAlarm | 80,000 | 0 | 0 | 0 | 80,000 |
| | | | | | | | CSR102 | CliftonParkMuseum-BuildWork | 30,000 | 0 | 0 | 0 | 30,000 |
| | | | | | | | CSR103 | ChathamVillas1,2,3-W'dows/Roof | 60,000 | 0 | 0 | 0 | 60,000 |
| | | | | | | | CSR105 | DaltonYC - CarParkExtension | 30,000 | 0 | 0 | 0 | 30,000 |
| | | | | | | | CSR106 | H'thorpePRU-CurtainWall/Roof | 86,350 | 0 | 0 | 0 | 86,350 |
| | | | | | | | CSR107 | RsideHouse Furniture Replacemt | 19,318 | 0 | 0 | 0 | 19,318 |
| | | | | | | | CSR108 | IT Infrastructure RVC | 35,000 | 0 | 0 | 0 | 35,000 |
| | | | | | | | CSR109 | BarbotHallIndEst-Cliff face | 99,550 | 0 | 0 | 0 | 99,550 |
| | | | | | | | CSR110 | R'sideHouse-Fire Stopping | 34,575 | 0 | 0 | 0 | 34,575 |
| | | | | | | | CSR111 | R'sideHouse- FireExtinguishers | 1,173 | 0 | 0 | 0 | 1,173 |
| | | | | | | | CSR114 | Liberty House-Boilers | 983 | 0 | 0 | 0 | 983 |
| | | | | | | | CSR115 | FurnitureR'ment Prog Var Sites | 20,142 | 0 | 0 | 0 | 20,142 |
| | | | | | | | CSR116 | Conway Crescent (Canopy) | 31,701 | 0 | 0 | 0 | 31,701 |
| | | | | | | | CSR117 | Riverside Replacement of UPS | 22,760 | 0 | 0 | 0 | 22,760 |
| | | | | | | | CSR118 | LibertyHouse(StBedes)Bathrooms | 13,662 | 0 | 0 | 0 | 13,662 |
| | | | | | | | CSR119 | Lord Hardy - Kitchenettes | 28,564 | 0 | 0 | 0 | 28,564 |
| | | | | | | | CSR120 | Davies Court - Kitchenettes | 39,084 | 0 | 0 | 0 | 39,084 |
| | | | | | | | CSR121 | Munsbro DO - Fire Alarm/Roof | 18,027 | 0 | 0 | 0 | 18,027 |

| Directorate | Service | Service Area | Sub Service | Project Code | Project | Current Year Budget £ | 2023/24 Budget £ | 2024/25 Budget £ | 2025/26 Budget £ | Total Project Budget £ |
|---|---|---|---|---|---|---|---|---|---|---|
| | | | | CSR122 | SpringwellGdns CommCent-Refurb | 89,905 | 0 | 0 | 0 | 89,905 |
| | | | | CSR124 | VictoriaPark - New DigitalCCTV | 4,710 | 0 | 0 | 0 | 4,710 |
| | | | | CSRBUN | Ops Buildings Cap Inv | 3,069,032 | 2,010,000 | 2,010,000 | 2,010,000 | 9,099,032 |
| | | | | CSY001 | Commercial Property Cap | 335,637 | 75,000 | 75,000 | 75,000 | 560,637 |
| | | | | CSY002 | RiversideHseRefurbishmentWorks | 400,000 | 0 | 0 | 0 | 400,000 |
| | | | | CSY003 | Demo of units 86-102 Wellgate | 400,000 | 0 | 0 | 0 | 400,000 |
| | | | | CSY004 | Strategic Acquisitions Fund | 1,000,000 | 0 | 0 | 0 | 1,000,000 |
| | | | | **Sub-Service Total** | | **12,811,831** | **3,839,000** | **3,843,000** | **3,948,000** | **24,441,831** |
| | | | **Service AreaTotal** | | | **12,811,831** | **3,839,000** | **3,843,000** | **3,948,000** | **24,441,831** |
| | | S44310 RIDO | S54160 Business Growth | CSE001 | M'gateBusCent - BMS Renewal | 884 | 0 | 0 | 0 | 884 |
| | | | | CSE002 | M'gateBusCent-Heat/CoolRenewal | 50,396 | 0 | 0 | 0 | 50,396 |
| | | | | CSE004 | Bus Cents-Telephy/BbandRenewal | 115,000 | 0 | 0 | 0 | 115,000 |
| | | | | CSS002 | RMBC-Town Ctr Business Vit | 8,541 | 0 | 0 | 0 | 8,541 |
| | | | | **Sub-Service Total** | | **174,821** | **0** | **0** | **0** | **174,821** |
| | | | S54150 Inv & Economic Initiatives | CSA012 | Town Centre Masterplan Imp | 12,408 | 0 | 0 | 0 | 12,408 |
| | | | | CSA013 | Forge Island Flood Defence | 1,140,654 | 0 | 0 | 0 | 1,140,654 |
| | | | | CSA016 | HEHub&Rain - Aqu and Demo | 231,657 | 0 | 0 | 0 | 231,657 |
| | | | | CSA017 | R'sidePrec't&Chantry Bldg Demo | 424,053 | 0 | 0 | 0 | 424,053 |
| | | | | CSA018 | RhamMarkets Redev (incCommHub) | 9,453,856 | 12,641,905 | 0 | 0 | 22,095,761 |
| | | | | CSA020 | Grimm and Co | 772,500 | 0 | 0 | 0 | 772,500 |
| | | | | CSABUN | Town Centre Investment | 4,279,220 | 0 | 0 | 0 | 4,279,220 |
| | | | | CSC006 | Bassingthorpe Farm | 336,493 | 0 | 0 | 0 | 336,493 |
| | | | | CSC007 | Pithouse West Investigations | 11,117 | 0 | 0 | 0 | 11,117 |
| | | | | CSC008 | Beighton Link Proj Growth Fund | 277,958 | 0 | 0 | 0 | 277,958 |
| | | | | CSC009 | Century Phase II | 2,340,335 | 0 | 0 | 0 | 2,340,335 |
| | | | | CSC010 | Bassingthorpe Farm Land Acq | 906,868 | 0 | 0 | 0 | 906,868 |
| | | | | CSP005 | Public Realm College Street | 4,696 | 0 | 0 | 0 | 4,696 |
| | | | | CSP006 | Public Realm Frederick Street | 659,197 | 0 | 0 | 0 | 659,197 |
| | | | | CSP009 | Public Realm Howard Street | 474,577 | 0 | 0 | 0 | 474,577 |
| | | | | CSP010 | Public Realm Effingham Street | 466,849 | 1,000,000 | 0 | 0 | 1,466,849 |
| | | | | CSP011 | Riverside Gardens | 1,332,355 | 596,232 | 0 | 0 | 1,928,587 |
| | | | | CSP012 | Public Realm UpperMillgate Ph3 | 0 | 547,506 | 0 | 0 | 547,506 |
| | | | | CSTBUN | Town Deal | 31,557,085 | 0 | 0 | 0 | 31,557,085 |
| | | | | CSUBUN | Unallocated Levelling Up | 37,019,691 | 0 | 0 | 0 | 37,019,691 |
| | | | | **Sub-Service Total** | | **91,701,569** | **14,785,643** | **0** | **0** | **106,487,212** |
| | | | **Service AreaTotal** | | | **91,876,390** | **14,785,643** | **0** | **0** | **106,662,033** |
| | | S44330 Towns & Villages Fund | S54220 Towns & Villages Fund | CSP100 | Towns & Villages Fund Unall | 1,631,812 | 2,347,000 | 0 | 0 | 3,978,812 |
| | | | | **Sub-Service Total** | | **1,631,812** | **2,347,000** | **0** | **0** | **3,978,812** |
| | | | **Service AreaTotal** | | | **1,631,812** | **2,347,000** | **0** | **0** | **3,978,812** |
| | | S44630 Transportation & Highways | S54490 Bridges | CGB024 | Manvers Way Footbridge | 300,000 | 0 | 0 | 0 | 300,000 |
| | | | | CGBBUN | Bridges unallocated | 542,249 | 275,253 | 275,253 | 275,253 | 1,368,008 |
| | | | | **Sub-Service Total** | | **842,249** | **275,253** | **275,253** | **275,253** | **1,668,008** |
| | | | S54500 Connectivity | CGCBUN | Unallocated Connectivity | 0 | 172,670 | 172,670 | 172,670 | 518,010 |
| | | | | **Sub-Service Total** | | **0** | **172,670** | **172,670** | **172,670** | **518,010** |
| | | | S54520 Local Safety Schemes | CGLBUN | Unallocated Local Safety S | 836,303 | 850,000 | 850,000 | 850,000 | 3,386,303 |
| | | | | CGW062 | Cont pedxings job3 A633 High S | 18,862 | 0 | 0 | 0 | 18,862 |
| | | | | CGY015 | Comm Aspects of Rd Sfty | 62,254 | 0 | 0 | 0 | 62,254 |
| | | | | CGY021 | Neighbourhoods Road Safety Mea | 250,000 | 250,000 | 250,000 | 0 | 750,000 |
| | | | | CGY026 | P'trian Crossing Cont Funding | 120,000 | 0 | 0 | 0 | 120,000 |
| | | | | **Sub-Service Total** | | **1,287,419** | **1,100,000** | **1,100,000** | **850,000** | **4,337,419** |
| | | | S54540 LSTF & Smarter Choices | CGSBUN | Unallocated Smarter Choices | 32,936 | 25,000 | 25,000 | 25,000 | 107,936 |
| | | | | **Sub-Service Total** | | **32,936** | **25,000** | **25,000** | **25,000** | **107,936** |
| | | | S54550 Major Schemes | CGA013 | Parkway Widening ph2 | 22,916,770 | 0 | 0 | 0 | 22,916,770 |
| | | | | CGA015 | College Road NPIF | 171,710 | 0 | 0 | 0 | 171,710 |
| | | | | CGC047 | A630 Pool Green Roundabout | 45,795 | 0 | 0 | 0 | 45,795 |
| | | | | CGG001 | GreasVilliageCentreTrafficSigs | 463,567 | 0 | 0 | 0 | 463,567 |
| | | | | CGQBUN | CAZ BUN | 424,723 | 0 | 0 | 0 | 424,723 |
| | | | | CGS006 | Traff Signal renewal Prog | 488,622 | 0 | 0 | 0 | 488,622 |
| | | | | CGY012 | Clean Air Zones Elec Chrg Pts | 17,156 | 0 | 0 | 0 | 17,156 |
| | | | | CGY023 | CAZ - Bellows Road | 2,229,554 | 0 | 0 | 0 | 2,229,554 |
| | | | | **Sub-Service Total** | | **26,757,897** | **0** | **0** | **0** | **26,757,897** |
| | | | S54510 Network Management | CGNBUN | Unallocated Network Man | 265,083 | 172,669 | 172,669 | 172,669 | 783,090 |
| | | | | **Sub-Service Total** | | **265,083** | **172,669** | **172,669** | **172,669** | **783,090** |
| | | | **Service AreaTotal** | | | **29,185,584** | **1,745,592** | **1,745,592** | **1,495,592** | **34,172,360** |
| | | **Service Total** | | | | **135,505,617** | **22,717,235** | **5,588,592** | **5,443,592** | **169,255,036** |
| | **Directorate Total** | | | | | **172,140,027** | **34,323,916** | **9,052,498** | **7,062,292** | **222,578,733** |
| **General Fund Total** | | | | | | **211,221,059** | **63,158,552** | **36,029,924** | **22,003,501** | **332,413,036** |

# Capital Programme HRA

# 2022/23 to 2025/26

| Directorate | Current Year | 2023/24 | 2024/25 | 2025/26 | Total Project |
|---|---|---|---|---|---|
| | Budget £ | Budget £ | Budget £ | Budget £ | Budget £ |
| HRA | 74,062,124 | 45,834,081 | 28,574,708 | 28,574,708 | 177,045,621 |
| **Total** | **74,062,124** | **45,834,081** | **28,574,708** | **28,574,708** | **177,045,621** |

## Funding:

| Funding Stream | Current Year | 2023/24 | 2024/25 | 2025/26 | Total Project |
|---|---|---|---|---|---|
| | Budget £ | Budget £ | Budget £ | Budget £ | Budget £ |
| Grants And Contributions | 3,925,067 | 52,000 | 0 | 0 | 3,977,067 |
| Usable Capital Receipts | 8,797,878 | 1,633,838 | 0 | 0 | 10,431,716 |
| Revenue Contribution | 2,725,975 | 9,977,660 | 4,714,440 | 4,714,440 | 22,132,515 |
| Major Repairs Allowance | 42,866,946 | 21,420,933 | 23,860,268 | 23,860,268 | 112,008,415 |
| Unsupported Borrowing | 15,746,258 | 12,749,650 | 0 | 0 | 28,495,908 |
| **Total** | **74,062,124** | **45,834,081** | **28,574,708** | **28,574,708** | **177,045,621** |

**Capital Programme HRA**

**2022/23 to 2025/26**

| Directorate | | Service | | Service Area | | Sub Service | Project Code | Project | Current Year Budget £ | 2023/24 Budget £ | 2024/25 Budget £ | 2025/26 Budget £ | Total Project Budget £ |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| HRA | S35020 | Neighbourhood Capital Programm | S45030 | Fair Access to All | S55560 | Aids and Adaptations (Public S | CJF303 | Adapts - OTHERS - Public Major | 360,000 | 0 | 0 | 0 | 360,000 |
| | | | | | | | CJF304 | Adapts - LOT1 - Public Major | 791,000 | 0 | 0 | 0 | 791,000 |
| | | | | | | | CJF305 | Adapts - LOT2 - Public Major | 773,000 | 0 | 0 | 0 | 773,000 |
| | | | | | | | CJF306 | Adapts Extensions PUBLICS | 319,110 | 0 | 0 | 0 | 319,110 |
| | | | | | | | CJF404 | Adapts - LOT1 - Public Minor | 125,000 | 0 | 0 | 0 | 125,000 |
| | | | | | | | CJF405 | Adapts - LOT2 - Public Minor | 143,000 | 0 | 0 | 0 | 143,000 |
| | | | | | | | CJFBUN | Public Adaps Bud Unall | 0 | 2,382,000 | 2,274,750 | 2,274,750 | 6,931,500 |
| | | | | | | | **Sub-Service Total** | | **2,511,110** | **2,382,000** | **2,274,750** | **2,274,750** | **9,442,610** |
| | | | | | **Service Area Total** | | | | **2,511,110.00** | **2,382,000.00** | **2,274,750.00** | **2,274,750.00** | **9,442,610.00** |
| | | | S45020 | Improving Council Housing & Ho | S55200 | Asbestos | CJQ101 | Asbestos-Testing & Removal | 340,000 | 0 | 0 | 0 | 340,000 |
| | | | | | | | **Sub-Service Total** | | **340,000** | **0** | **0** | **0** | **340,000** |
| | | | | | S55150 | District Heating | CJ0602 | District Heating Conversions | 950,000 | 0 | 0 | 0 | 950,000 |
| | | | | | | | **Sub-Service Total** | | **950,000** | **0** | **0** | **0** | **950,000** |
| | | | | | S55140 | Electricals | CJJ301 | Electricals | 250,000 | 0 | 0 | 0 | 250,000 |
| | | | | | | | **Sub-Service Total** | | **250,000** | **0** | **0** | **0** | **250,000** |
| | | | | | S55190 | Environmental Programme | CJEBUN | Environmental Bud Unall | 700,000 | 0 | 0 | 0 | 700,000 |
| | | | | | | | **Sub-Service Total** | | **700,000** | **0** | **0** | **0** | **700,000** |
| | | | | | S55220 | General Structures | CJM301 | Capital Structural Work | 750,000 | 0 | 0 | 0 | 750,000 |
| | | | | | | | **Sub-Service Total** | | **750,000** | **0** | **0** | **0** | **750,000** |
| | | | | | S55280 | IHMS (IT System) | CJ1003 | ICT Hardware & Software | 603,869 | 0 | 0 | 0 | 603,869 |
| | | | | | | | **Sub-Service Total** | | **603,869** | **0** | **0** | **0** | **603,869** |
| | | | | | S55490 | Improving Council Housing | CJZBUN | Improving Council Housing | 0 | 21,566,848 | 26,299,958 | 26,299,958 | 74,166,764 |
| | | | | | | | **Sub-Service Total** | | **0** | **21,566,848** | **26,299,958** | **26,299,958** | **74,166,764** |
| | | | | | S55120 | Major Voids Capital Prog | CJC101 | Lot 2 - Major Voids | 1,250,000 | 0 | 0 | 0 | 1,250,000 |
| | | | | | | | CJC102 | Mears - Major Voids | 1,750,000 | 0 | 0 | 0 | 1,750,000 |
| | | | | | | | **Sub-Service Total** | | **3,000,000** | **0** | **0** | **0** | **3,000,000** |
| | | | | | S55100 | Refurbishments | CJA102 | Site Prelims | 450,000 | 0 | 0 | 0 | 450,000 |
| | | | | | | | CJA128 | Wickersley Externals | 625,000 | 0 | 0 | 0 | 625,000 |
| | | | | | | | CJA132 | Flanderwell Externals | 431,000 | 0 | 0 | 0 | 431,000 |
| | | | | | | | CJA134 | Ravenfield Externals | 1,487,000 | 0 | 0 | 0 | 1,487,000 |
| | | | | | | | CJA135 | Sunnyside Externals | 685,000 | 0 | 0 | 0 | 685,000 |
| | | | | | | | CJA136 | SwinFitzw Concrete Structworks | 1,500,000 | 0 | 0 | 0 | 1,500,000 |
| | | | | | | | CJA137 | Maltby ph 1 externals and EWI | 4,974,000 | 0 | 0 | 0 | 4,974,000 |
| | | | | | | | CJA138 | Thurcroft&Laughton Phse1 | 390,000 | 0 | 0 | 0 | 390,000 |
| | | | | | | | CJA140 | Brinsworth Externals | 2,520,000 | 0 | 0 | 0 | 2,520,000 |
| | | | | | | | CJA141 | Masbrough Walkways | 600,000 | 0 | 0 | 0 | 600,000 |
| | | | | | | | CJA401 | Mears - Internals | 800,000 | 0 | 0 | 0 | 800,000 |
| | | | | | | | CJA726 | Communals | 1,200,000 | 0 | 0 | 0 | 1,200,000 |
| | | | | | | | CJA801 | Design & Appraisal | 75,000 | 0 | 0 | 0 | 75,000 |
| | | | | | | | CJABUN | Refurb Bud Unall | 430,366 | 0 | 0 | 0 | 430,366 |
| | | | | | | | CJB101 | Windows/Doors & Fire Doors | 250,000 | 0 | 0 | 0 | 250,000 |
| | | | | | | | CJB102 | Fire Doors Replacement | 829,247 | 1,100,000 | 0 | 0 | 1,929,247 |
| | | | | | | | CJR101 | Community Centre Improvements | 50,000 | 0 | 0 | 0 | 50,000 |
| | | | | | | | **Sub-Service Total** | | **17,296,613** | **1,100,000** | **0** | **0** | **18,396,613** |
| | | | | | S55130 | Replacement of Central Heating | CJJ101 | Lot 2 - Ad Hoc Boiler Repl'ts | 1,300,000 | 0 | 0 | 0 | 1,300,000 |
| | | | | | | | CJJ105 | Lot 2 -Boilers Scheme 1 | 2,700,000 | 0 | 0 | 0 | 2,700,000 |
| | | | | | | | **Sub-Service Total** | | **4,000,000** | **0** | **0** | **0** | **4,000,000** |
| | | | | | **Service Area Total** | | | | **27,890,482.00** | **22,666,848.00** | **26,299,958.00** | **26,299,958.00** | **103,157,246.00** |
| | | | S45060 | New Housing Provision | S55360 | MMC | CJP200 | MMC Bungalows | 1,952,014 | 0 | 0 | 0 | 1,952,014 |
| | | | | | | | **Sub-Service Total** | | **1,952,014** | **0** | **0** | **0** | **1,952,014** |
| | | | | | S55380 | New Growth New Build | CJP013 | Thrybergh Small Sites | 587,215 | 183,000 | 0 | 0 | 770,215 |
| | | | | | | | CJT003 | Peagasus House Extention | 93,975 | 0 | 0 | 0 | 93,975 |
| | | | | | | | **Sub-Service Total** | | **681,190** | **183,000** | **0** | **0** | **864,190** |
| | | | | | S55250 | Site Clusters | CJP002 | Site Cluster Rotherview Road 1 | 13,500 | 0 | 0 | 0 | 13,500 |
| | | | | | | | **Sub-Service Total** | | **13,500** | **0** | **0** | **0** | **13,500** |
| | | | | | S55340 | SOAHP delivery | CJP010 | Braithwell Rd SOAHP Bungalows | 40,000 | 0 | 0 | 0 | 40,000 |
| | | | | | | | CJP011 | Arundel Ave Bungws SOAHP | 20,000 | 0 | 0 | 0 | 20,000 |
| | | | | | | | **Sub-Service Total** | | **60,000** | **0** | **0** | **0** | **60,000** |
| | | | | | S55260 | Strategic Acquisitions | CJ0126 | Wentworth View Strategic Acq | 599,433 | 1,589,260 | 0 | 0 | 2,188,693 |
| | | | | | | | CJ0127 | Beaumont Grange SA | 1,561,085 | 0 | 0 | 0 | 1,561,085 |
| | | | | | | | CJ0128 | Fairfield Aston SA | 1,166,000 | 0 | 0 | 0 | 1,166,000 |
| | | | | | | | CJG001 | Phase 2 HRA Growth Programme | 69,000 | 0 | 0 | 0 | 69,000 |
| | | | | | | | CJG002 | Phase 2 Eastwood | 5,088,000 | 0 | 0 | 0 | 5,088,000 |
| | | | | | | | CJG003 | Phase 3 Housing Growth 22.23 | 2,537,879 | 0 | 0 | 0 | 2,537,879 |
| | | | | | | | CJG004 | Phase 3 Housing Growth 23.24 | 9,667,000 | 8,989,000 | 0 | 0 | 18,656,000 |
| | | | | | | | CJH001 | Phase 2 Acquisitions | 190,102 | 0 | 0 | 0 | 190,102 |
| | | | | | | | CJH002 | Phase 3 Acquisitions | 14,398,000 | 10,010,000 | 0 | 0 | 24,408,000 |
| | | | | | | | CJHBUN | Development budgets unallocate | 536,700 | 0 | 0 | 0 | 536,700 |
| | | | | | | | **Sub-Service Total** | | **35,813,199** | **20,588,260** | **0** | **0** | **56,401,459** |
| | | | | | S55350 | Town Centre Development | CJP100 | Millfold Site | 2,351,094 | 3,515 | 0 | 0 | 2,354,609 |
| | | | | | | | CJP101 | Sheffield Road Site | 2,384,646 | 6,097 | 0 | 0 | 2,390,743 |
| | | | | | | | CJP102 | Henleys Site | 404,889 | 4,361 | 0 | 0 | 409,250 |
| | | | | | | | **Sub-Service Total** | | **5,140,629** | **13,973** | **0** | **0** | **5,154,602** |
| | | | | | **Service Area Total** | | | | **43,660,532.00** | **20,785,233.00** | **0.00** | **0.00** | **64,445,765.00** |
| | | | **Service Total** | | | | | | **74,062,124.00** | **45,834,081.00** | **28,574,708.00** | **28,574,708.00** | **177,045,621.00** |
| | **Directorate Total** | | | | | | | | **74,062,124.00** | **45,834,081.00** | **28,574,708.00** | **28,574,708.00** | **177,045,621.00** |
| **HRA Total** | | | | | | | | | **74,062,124.00** | **45,834,081.00** | **28,574,708.00** | **28,574,708.00** | **177,045,621.00** |

**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** | X | **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 the Councils 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.

This report is the final financial report in the financial year, it sets out the Councils full revenue outturn position. The report also covers off any other key items to be noted at the time.

Given that the revenue and capital budgets have been approved by Council in March each year, 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.**

## 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: | 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 |
|---|---|---|
| Judith Badger | Strategic Director – Finance and Customer Services | 21/6/22 |

## 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** | 21/6/22 |
| **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** | |

User guidance:

- The first section of this form guides users through considering major areas where emissions are likely to occur. If emissions are impacted in a way not covered by these categories, please identify this at the bottom of the section
- The first section should be filled as such:
  - ***Impact***: identify, in relation to each area, whether the decision of the proposal does the following: *reduces emissions*, *increases emissions*, or has *no impact on emissions*. If it is uncertain this section can be labelled *impact unknown*
  - If ***no impact on emissions*** is identified: no further detail is needed for this area, but can be added if relevant (e.g. if efforts have been made to mitigate emissions in this area.)
  - ***Describe impacts or potential impacts on emissions***: two sections deal respectively with emissions from the Council (including those of contractors), and emissions across Rotherham as a whole. In both sections please explain any factors that are likely to reduce or increase emissions. If ***impact unknown*** has been selected, then identify the area of uncertainty and outline known variables that may affect impacts.
  - In most cases there is no need to quantify the emission impact of an area after outlining the factors that may reduce or increase emissions. In some cases, however, this may be desirable if factors can be reduced to a small number of known variables (e.g. if an emission impact is attached to a known or estimated quantity of fuel consumed).
  - ***Describe any measures to mitigate emission impact:*** regardless of the emission impact, in many cases steps should be taken in order to reduce mitigate all emissions associated with each area as far as possible; these steps can be outlined here (For example: if a proposal is likely to increase emissions but practices or materials have been adopted in order to reduce this overall impact, this would be described here).
  - ***Outline any monitoring of emission impacts that will be carried out:*** in this section outline any steps taken to monitor emission levels, or steps taken to monitor the factors that are expected to increase or reduce emission levels (for example, if waste or transport levels are being monitored this would be described here)
- A ***summary paragraph*** outlining the likely overall impacts of the proposal/decision on emissions should then be completed - this is not required if the proposal/decision has no impact across all areas.
- The supporting information section should be filled as followed:
  - Author/completing officer
  - ***Research, data, or information*** may refer to datasets, background documents, literature, consultations, or other data-gathering exercise. These should also be added to the ***supporting documents*** section of the cabinet report

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- Carbon Impact Assessments are to be appended to the associated cabinet reports
- Prior to publishing reports, Carbon Impact Assessments should be sent to climate@rotherham.gov.uk for feedback
- Report authors may also use the above email address to direct any further queries or to access further support regarding completing the assessment

| Will the decision/proposal impact… | Impact | If an impact or potential impacts are identified | | | |
|---|---|---|---|---|---|
| | | Describe impacts or potential impacts on emissions from the Council and its contractors. | Describe impact or potential impacts on emissions across Rotherham as a whole. | Describe any measures to mitigate emission impacts | Outline any monitoring of emission impacts that will be carried out |
| Emissions from non-domestic buildings? | *no impact on emissions* | | | | |
| Emissions from transport? | *no impact on emissions* | | | | |
| Emissions from waste, or the quantity of waste itself? | *no impact on emissions* | | | | |
| Emissions from housing and domestic buildings? | *no impact on emissions* | | | | |
| Emissions from construction and/or development? | *no impact on emissions* | | | | |
| Carbon capture (e.g. through trees)? | *no impact* | | | | |

| Identify any emission impacts associated with this decision that have not been covered by the above fields: |
|---|
| |

| Please provide a summary of all impacts and mitigation/monitoring measures:<br><br>As this report is a financial update on previous events, updates on levels of funding moving forwards and doesn't approve anything directly to happen, it does not have any carbon implications. |
|---|
| |

| Supporting information: | |
|---|---|
| Completed by:<br>(Name, title, and service area/directorate). | Rob Mahon, Head of Corporate Finance, Finance and Customer Services. |
| Please outline any research, data, or information used to complete this [form]. | |
| If quantities of emissions are relevant to and have been used in this form please identify which conversion factors have been used to quantify impacts. | |
| Tracking [to be completed by Policy Support / Climate Champions] | |

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Rotherham Metropolitan Borough Council

Public Report
Cabinet

**Committee Name and Date of Committee Meeting**
Cabinet – 11 July 2022

**Report Title**
Annual Treasury Management Report and Actual Prudential Indicators 2021/22

**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, Assistant Director Financial Services
01709 254518 or rob.mahon@rotherham.gov.uk

**Ward(s) Affected**
Borough-Wide

**Report Summary**
The Council received an annual treasury strategy report in advance of the 2021/22 financial year at its meeting on 3rd March 2021 and Audit Committee received a mid-year report at its meeting on 30th November 2021, representing a mid-year review of treasury activity during 2021/22.

The annual treasury management report is the final treasury report for 2021/22. It's purpose is to review the treasury activity for 2021/22 against the strategy agreed at the start of the year. The report also covers the actual Prudential Indicators for 2021/22 in accordance with the requirements of the Prudential Code.

The report meets the requirements of both the CIPFA Code of Practice on Treasury Management and the CIPFA Prudential Code for Capital Finance in Local Authorities.

The Council is required to comply with both Codes through Regulations issued under the Local Government Act 2003.

**Recommendations**

1. To note the Treasury Management Prudential Indicators outturn position as set out in section 3 and Appendix 1.

2. To agree that the report is forwarded to Audit Committee for information.

**List of Appendices Included**
Appendix 1 (included with the report) – Summary Prudential Indicators for Rotherham MBC
Appendix 2 – Initial Equality Screening Assessment
Appendix 3 – Carbon Impact Assessment

**Background Papers**
Treasury Management Strategy and Prudential Indicators report to Council on 3rd March 2021
Mid-Year Treasury Management and Prudential Indicators Monitoring report to Audit Committee on 30th November 2021
CIPFA – Code of Practice for Treasury Management in the Public Services Local Government Act 2003 (as updated)
CIPFA – Prudential Code (as updated)

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

**Council Approval Required**
No

**Exempt from the Press and Public**
No.

## 1. Background

1.1 The Council's treasury management activities are regulated by a variety of professional codes and statutes and guidance:

- The Local Government Act 2003 (the Act) provides the powers to borrow and invest as well as providing controls and limits on this activity;
- The Act permits the Secretary of State to set limits either on the Council or nationally on all local authorities restricting the amount of borrowing which may be undertaken (although no restrictions were made in 2021/22);
- Statutory Instrument (SI) 3146 2003, as amended, defines the controls and powers within the Act;
- The SI requires the Council to undertake any borrowing activity with regard to the CIPFA Prudential Code for Capital Finance in Local Authorities;
- The SI also requires the Council to operate the overall treasury function with regard to the CIPFA Code of Practice for Treasury Management in the Public Services;
- Under the Act the DLUHC has issued Investment Guidance to structure and regulate councils' investment activities; and
- Under section 238(2) of the Local Government and Public Involvement in Health Act 2007 (revised), the Secretary of State has taken powers to issue guidance on accounting practices. Guidance on Minimum Revenue Provision was issued under this section on 8th November 2007.

1.2 The Council complied with all of the above relevant statutory and regulatory requirements which limit the levels of risk associated with its treasury management activities. In particular, the adoption and implementation of the Prudential Code and the Code of Practice for Treasury Management means that its capital expenditure is prudent, affordable and sustainable. Treasury investment practices are governed by the primary objectives of security ahead of liquidity and then yield.

1.3 The Council's treasury management functions have been operating within unprecedented times of uncertainty. This uncertainty impacts forecasts on borrowing and lending rates, availability of borrowing and investment options and capital programme projections. The uncertainty was brought about initially from the outcome of EU exit but has been further compounded by the financial pressures and overall effect of the Covid-19 outbreak. The effects of which are expected to last for several years. More recently the impact of the conflict in Ukraine has been an additional driver of uncertainty in the financial markets, along with rising inflation and energy prices.

1.4 On a daily basis money flows into and out of the Council's bank accounts and this has to be managed carefully. The Council manages it's cashflow on a daily basis to take account of income received from grants, fees and charges, local taxation and borrowing alongside it's outgoings due to the expenditure the Council incurs, such as salaries and supplier payments. The cashflow process is about ensuring the Council has sufficient funds available in it's bank accounts to meet the payments that it plans to make each day. This process is separate from the Council's financial monitoring that tracks planned and actual expenditure

against planned budgets. The Council has been able to manage cashflow levels for the majority of the financial year without significant difficulty. The greater pressure from a cashflow perspective has been how to invest additional cash balances for a reasonable investment return when interest rates have been low. The Council has held additional cash, as a result of taking out £227m of PWLB borrowing over a 48-50 year period in 2021/22 to take advantage of low interest rates to replace short term borrowing and reduce the Council's interest rate risk. In addition, Government has also provided significant grants for the management of Covid-19 and support to businesses which has also resulted in temporary additional cash balances.

1.5 The Bank Of England Base Rate remained at 0.1% for most of 2021/22 which has had a beneficial outcome to the Council's treasury strategy as the cost of short term borrowing has remained low, thus enabling interest savings to be generated against plan. The Council's strategy with the use of short term borrowing has again generated significant short term savings for the Council's budget allowing the Council to transfer £5.6m of treasury savings into the Treasury Management reserve, as set out and approved within the Council's Budget and Council Tax Report 2022/23, to be used to support the Council's Medium Term Financial Strategy to 2025/26.

## 2. Key Issues

2.1 Indicators are set prior to the start of the financial year and reflect the known position at that time. Approved changes to the capital programme and it's funding throughout the financial year, together with variations in treasury management activity, mean that actual indicators for the year may vary from the projections made prior to the start of the financial year. However, through regular monitoring and reporting revised estimates of these indicators, the Council is able to ensure the impact is known and managed through the Medium Term Financial Strategy.

The actual prudential indicators for 2021/22 for Rotherham MBC, with comparators, are shown in the attached Appendix 1. Background to these is provided in the following paragraphs.

2.2 **Impact of the Council's Capital Expenditure and Financing 2021/22** - the Council expends capital expenditure on long term assets. This may either be:

- Financed immediately through capital receipts, capital grants etc.; or
- Financed over the life of the asset by use of Prudential Borrowing

Part of the Council's Treasury activities is to address this borrowing need, either through borrowing from external bodies, or utilising temporary cash resources within the Council. The wider treasury activities also include managing the Council's cash flows, it's previous borrowing activities and the investment of surplus funds. These activities are structured to manage risk foremost, and then optimise performance. The primary objective is security ahead of liquidity and then yield or return.

2.3 The Council's underlying need to borrow is called the Capital Financing Requirement (CFR). This figure is a gauge for the Council's debt position. It represents 2021/22 and prior years' net capital expenditure which has not yet been paid for by revenue or other resources. In accordance with current accounting regulations, the CFR also includes other long term liabilities which have been brought on balance sheet, for example, PFI schemes and finance lease assets.

The Non-HRA element of the CFR (excluding PFI schemes and finance lease assets) is reduced each year by a statutory revenue charge (the Minimum Revenue Provision - MRP). The CFR can also be reduced by:

- the application of additional capital resources (such as unapplied capital receipts); or
- charging more than the statutory revenue charge (MRP) each year through a Voluntary Revenue Provision (VRP).

At the end of the financial year 2021/22 the closing CFR is £52.336m less than that approved in the revised indicator, via the Mid-Year report. The reduction is due to slippage on a number of capital schemes and additional grant funding gained, that in turn reduces the Council's need to borrow at this point in time and has the knock on effect of generating savings against the treasury budget for 2022/23 as planned interest payments and minimum revenue provision payments are reduced.

2.4 Treasury Position at 31 March 2022 - whilst the Council's gauge of it's underlying need to borrow is the CFR, the Treasury Management function as authorised by the Strategic Director of Finance and Customer Services can manage the Council's actual borrowing position by either:

- borrowing to the CFR (excluding the impact of PFI and similar contracts); or
- choosing to utilise some temporary internal cash flow funds instead of borrowing (under-borrowing); or
- borrowing for future increases in the CFR (borrowing in advance of need).

During 2021/22 a decision was made to borrow long term funds from the PWLB to take advantage of the cheap interest rates available. This has reduced the Council's 31 March 2022 under-borrowed position. The PWLB borrowing will replace short term loans so as these short term loans mature the level of under borrowing will increase.

The borrowing of long term funds has provided certainty of interest payments over a long period of time (48-50 years) and has removed some of the risk of rising interest rates. Since these loans were taken out both short and long term borrowing rates have risen significantly and are forecast to rise further. The Council will continue to monitor the interest position with a view to take out further long term borrowing if there are dips in the long term borrowing rates although the general movement of interest rates is forecast to be upwards over the short to medium term.

Thus at 31 March 2022, the Council's borrowing (excluding PFI and similar schemes) and investments were as follows:

2.5 **Table 1 Council's Treasury Position 2021/2022**

| **Net Borrowing** | **As At 31 March 2021 £m** | **As At 31 March 2022 £m** |
|---|---|---|
| **External Borrowing** | | |
| Public Works Loans Board (PWLB) | 172.069 | 388.741 |
| Market (e.g. Banks, Other Local Authorities) | 213.000 | 198.000 |
| Temporary Borrowing | 302.500 | 180.500 |
| | **687.569** | **767.241** |
| **External Investments** | | |
| Debt Management Office | 0.000 | 48.500 |
| Other Local Authorities | 0.000 | 137.000 |
| Money Market Funds | 47.830 | 39.350 |
| | **47.830** | **224.850** |
| | | |
| **Net Borrowing** | **639.739** | **542.391** |
| | | |
| **Net Borrowing - Excluding Temporary Borrowing** | **337.239** | **361.891** |
| **Capital Financing Requirement (exc Other Long Term Liabilities)** | **726.178** | **736.433** |
| **Net Under-Borrowed** | **388.939** | **374.542** |

2.6 Against the Council's Capital Financing Requirement of £736.433m (excluding PFI and similar arrangements totalling £120.503m), the Council's outstanding net borrowing of £361.891m (excluding temporary loans) is lower than this requirement by £374.542m. Long term borrowing has been taken out in 2021/22 which has mostly been invested resulting in a fall in the net under-borrowed position. As the Council has taken the opportunity to access long term PWLB borrowing ahead of need to secure the advantageous rates and security, there has been additional cash in year that in turn have been invested into the Local Authority lending market or through banks and MMF's.

2.7 Total savings in the Treasury Management budget for 2021/22, arising from all treasury activity including cash-flow management, were over £5.6m, as per the Council's Budget and Council Tax report 2022/23 these have been transferred to reserves. In addition, treasury management and capital financing decisions taken at the year end will also enable a re-profiling of MRP and interest forecasts to allow for a further savings in excess of £1m to be contributed towards the 2022/23 treasury management budget, although it should be noted that some of this saving is as a result of slippage in the capital programme.

2.8 **PRUDENTIAL INDICATORS AND COMPLIANCE ISSUES**

Some of the prudential indicators provide either an overview or specific limits on Treasury activity:

**Net Borrowing and the CFR** - in order to ensure that borrowing levels are prudent over the medium term the Council's external borrowing net of investments must only be used for a capital purpose. Net borrowing should not therefore, except in the short term, have exceeded the CFR for 2021/22 plus the expected changes to the CFR for 2022/23 and 2023/24. The Council complied with this prudential indicator throughout 2021/22.

2.9 **The Authorised Limit** – the Authorised Limit is the "Affordable Borrowing Limit" required by S3 of the Local Government Act 2003. The Council does not have the power to borrow above this level. The Council maintained gross borrowing within it's Authorised Limit, both excluding and including the impact of bringing PFI and similar arrangements on to the Council's Balance Sheet.

2.10 **The Operational Boundary** – The Operational Boundary is the expected borrowing position of the Council during the year. Periods where the actual position is either below or over the Boundary is acceptable subject to the Authorised Limit not being breached. The Council maintained it's borrowing position around it's Operational Boundary.

2.11 **Actual financing costs as a proportion of net revenue stream** – This indicator identifies the trend in the cost of capital (borrowing and the cost of other long term obligations but net of investment income) against the Council's Budget Requirement (net revenue stream) for the General Fund and budgeted income for the HRA.

The General Fund shows a reduction in the actual financing costs as a proportion of net revenue stream. The General Fund ratio decreased from 5.31% (original budget) to 5.03% (actual out-turn). This was mainly as a result of reduced borrowing costs for the year due to use of short term loans and long term borrowing only being taken later in the year. The HRA ratio increased from 16.8% (original budget) to 17.50% (actual out-turn). This increase is due to the HRA picking up a greater proportion of the borrowing cost than in the original budget.

2.12 **TREASURY MANAGEMENT INDICATORS**

2.13 **Limits on Activity**

Upper limits on fixed and variable interest rates as at 31 March 2022 – these indicators identify the maximum limits for fixed interest rate gross debt and for variable interest rates based upon the debt position, net of investments. The Council remained within the limits set throughout 2021/22.

Maturity structure of fixed rate borrowing during 2021/22 – These gross limits are set to reduce the Council's exposure to large fixed rate sums falling due for refinancing and are required for upper and lower limits. During 2021/22 long term

borrowing has been taken to replace short term borrowing. This has reduced the level of funds maturing in the short term and the short term borrowing falls comfortably within the limits set. Short term borrowing will continue to mature and repayments funded by the Council's investment balance. Therefore the Council will remain comfortably within the limits but still have the option to borrow short term if this is required.

Maximum funds invested for more than 364 days – This limit is set to reduce the need for early sale of an investment and is based on the availability of funds after each year end.

2.14 **Borrowing**

New and Replacement Borrowing, long term PWLB loans totalling £227m were taken during 2021/22 in order to take advantage of low long term interest rates and provide long term certainty of interest payments. These loans have replaced short term borrowing with the excess balance invested in the short term. This investment balance will cover the repayment of remaining short term loans as they mature.

2.15 **Table 2 PWLB Borrowing taken out in 2021/22**

| Lender | Start Date | Principal | Type | Term | Interest Rate % |
|---|---|---|---|---|---|
| PWLB | 09/07/2021 | £10,000,000 | Long Term | 50 years | 1.81 |
| PWLB | 23/07/2021 | £10,000,000 | Long Term | 50 Years | 1.66 |
| PWLB | 13/08/2021 | £100,000,000 | Long Term | 50 Years | 1.54 |
| PWLB | 29/11/2021 | £57,000,000 | Long Term | 50 Years | 1.57 |
| PWLB | 08/12/2021 | £50,000,000 | Long Term | 48.5 Years | 1.36 |

During the year, temporary borrowing was taken up on 14 occasions with a mix of terms (ranging from 9 months to 36 months) to manage the Council's cash flow position. Of these short-term loans none have been fully repaid in the year so all 14 remain outstanding at the year end.

2.16 **Table 3 Short Term Borrowing as at 31st March 2022**

| Lender | Start Date | Principal | Type | Term | Interest Rate % |
|---|---|---|---|---|---|
| PCC of Nottinghamshire | 06/07/2021 | £8,000,000 | Temp | 12 Months | 0.25 |
| West Midlands CA | 16/07/2021 | £10,000,000 | Temp | 12 Months | 0.25 |
| West of England CA | 30/07/2021 | £10,000,000 | Temp | 12 Months | 0.25 |

| | | | | | |
|---|---|---|---|---|---|
| West Yorkshire Fire & Rescue | 30/07/2021 | £5,000,000 | Temp | 12 Months | 0.20 |
| North of Tyne CA | 18/08/2021 | £10,000,000 | Temp | 9 Months | 0.10 |
| Oxfordshire County Council | 26/04/2021 | £5,000,000 | Temp | 36 Months | 0.48 |
| East Sussex County Council | 09/04/2021 | £5,000,000 | Temp | 24 Months | 0.40 |
| East Sussex County Council | 17/05/2021 | £5,000,000 | Temp | 24 Months | 0.45 |
| Crawley Borough Council | 18/06/2021 | £5,000,000 | Temp | 24 Months | 0.45 |
| Gloucestershire County Council | 18/05/2021 | £5,000,000 | Temp | 12 Months | 0.30 |
| Vale of White Horse District Council | 25/06/2021 | £5,000,000 | Temp | 12 Months | 0.30 |
| Oxfordshire County Council | 26/04/2021 | £5,000,000 | Temp | 36 Months | 0.55 |
| West Yorkshire CA | 30/04/2021 | £15,000,000 | Temp | 23 Months | 0.45 |
| Oxfordshire County Council | 30/09/2021 | £5,000,000 | Temp | 36 Months | 0.48 |

2.17 Debt Repayment – long term loans totalling £25m matured during the year as shown in the table below. Part repayments of principal (£0.328m) continued on the Annuity and Equal Instalment of Principal (EIP) loans taken up in prior years.

2.18 **Table 3 Debt Repayments 2021/22**

| Lender | Principal £m | Type | Interest Rate | Weighted Average rate of interest |
|---|---|---|---|---|
| Sheffield City Region | 15.000 | Fixed rate | 2.20% | |
| PWLB | 10.000 | Fixed rate | 1.05% | |
| PWLB EIP | 0.130 | Fixed rate | 1.89% | |
| PWLB Annuity | 0.198 | Annual repayments | Various | |
| **Total:** | **£25.328** | | | **1.74%** |

2.19 **Investments**

The Council's investment policy is governed by DHULC Guidance, which was implemented in the annual investment strategy approved by Council on 15th

February 2021. The investment activity during the year conformed to the approved strategy.

The Council maintained an average balance of £166.6m and received an average return of 0.06%. Although this seems low the Bank of England rate has been 0.1% throughout most of the year and the Government's Debt Management Office offered very low rates throughout the year and at some points during the year the rate was negative. The Council continued to use Money Market Funds for short-term deposits, which are AAA rated securities and offer a slightly better rate of interest. The Bank of England rate had risen to 0.5% by the end of the financial year so those deposits placed towards the end of the year attracted a higher interest rate.

## 3. Options considered and recommended proposal

No options considered as the report outlines actual Treasury Management activity during 2021/22.

## 4. Consultation on proposal

4.1 None required

## 5. Timetable and Accountability for Implementing this Decision

5.1 None required

## 6. Financial and Procurement Advice and Implications

6.1 Treasury Management forms an integral part of the Council's overall financial arrangements. This report provides an update on the performance of the treasury management functions for 2021/22 against the prudential indicators as outline in the Treasury Management Strategy for 2021/22. There were no breaches of prudential indicators to report and savings were generated from the treasury management strategy adopted that played vital role in enabling the Council to operate a balanced budget.

6.2 There are no direct procurement implications arising from the report.

## 7. Legal Advice and Implications

7.1 The relevant legislation and guidance is set out in the body of the report. This report described how the Council complies with the legislation and guidance, in particular the Code of Practice for Treasury Management in the Public Services Local Government Act 2003 (as updated) and the Prudential Code (as updated).

## 8. Human Resources Advice and Implications

8.1 No direct implications.

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

9.1 No direct implications

## 10. Equalities and Human Rights Advice and Implications

10.1 This is a finance update report, providing a review of the Council's Treasury Management outturn position for 2021/22. Any equalities and human rights impacts from service delivery have been or are detailed as capital projects are pulled together for inclusion within the Council's capital programme.

## 11. Implications for CO2 Emissions and Climate Change

11.1 No direct implications.

## 12. Implications for Partners

12.1 None identified.

## 13. Risks and Mitigation

13.1 Regular monitoring of treasury management activity throughout the financial year ensures that risks and uncertainties are addressed at an early stage and hence kept to a minimum.

## 14. Accountable Officers

Rob Mahon, Head of Corporate Finance

Approvals obtained on behalf of Statutory Officers:-

| | **Named Officer** | **Date** |
|---|---|---|
| Chief Executive | Sharon Kemp | 27/06/22 |
| Strategic Director of Finance & Customer Services (S.151 Officer) | Judith Badger | 23/06/22 |
| Assistant Director, Legal Services (Monitoring Officer) | Phil Horsfield | 23/06/22 |

*Report Author:* *Rob Mahon, Assistant Director Financial Services*

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**APPENDIX 1**

**Summary Prudential Indicators: Rotherham MBC**

| | | Actual<br>£m | Revised Estimate<br>£m | Original Estimate<br>£m |
|---|---|---|---|---|
| **1** | **Capital Expenditure (excluding PFI & Finance lease liabilities)** | **104.938** | **193.558** | **162.705** |
| **2** | **Capital Financing Requirement (CFR) including PFI & similar liabilities:** | | | |
| | General Fund | 550.931 | 603.403 | 603.206 |
| | HRA | 306.005 | 305.870 | 310.604 |
| | **Total** | **856.936** | **909.273** | **913.810** |
| **3** | **Net Borrowing compared to CFR excluding PFI & similar liabilities:** | | | |
| | Total Borrowing | 767.241 | 759.889 | 765.881 |
| | Total Investments | 224.850 | 50.000 | 50.000 |
| | Net Borrowing | 542.391 | 709.889 | 715.881 |
| | CFR (excluding PFI & Similar liabilities) | 736.433 | 788.770 | 793.307 |
| | **Under-borrowing** | **194.042** | **78.881** | **77.426** |
| **4** | **Net Borrowing compared to CFR including PFI & similar liabilities:** | | | |
| | Borrowing (from above) | 767.241 | 759.889 | 765.881 |
| | Borrowing (PFI etc.) | 120.503 | 120.503 | 120.503 |
| | Total Borrowing | 887.744 | 880.392 | 886.384 |
| | Total Investments | 224.850 | 50.000 | 50.000 |
| | Net Borrowing | 662.894 | 830.392 | 836.384 |
| | CFR | 856.936 | 909.273 | 913.810 |
| | **Under-borrowing** | **194.042** | **78.881** | **77.426** |
| **5** | **Authorised Limit for external debt** | | | |
| | Assumed Borrowing | 808.770 | 808.770 | 813.307 |
| | PFI & similar liabilities | 120.503 | 122.913 | 122.913 |
| | Authorised Limit | 929.273 | 931.683 | 936.220 |
| | Total Borrowing | 887.744 | 880.392 | 886.384 |
| | **Borrowing Below Limit** | **41.529** | **51.291** | **49.836** |
| **6** | **Operational boundary for external debt** | | | |
| | Assumed Borrowing | 789.889 | 789.889 | 795.881 |
| | PFI & similar liabilities | 120.503 | 120.503 | 120.503 |
| | Operational Boundary | 910.392 | 910.392 | 916.384 |
| | Total Borrowing | 887.744 | 880.392 | 886.384 |
| | **Borrowing Below/(Above) Boundary** | **22.648** | **30.000** | **30.000** |
| **7** | **Maximum Funds invested > 364 days** | **0.000** | **20.000** | **20.000** |

| | | Actual | Revised Estimate | Original Estimate |
|---|---|---|---|---|
| | | % | % | % |
| **8** | **Ratio of financing costs to net revenue stream – Non HRA** | 5.03 | 6.20 | 5.31 |
| **9** | **Ratio of financing costs to net revenue stream – HRA** | 17.50 | 16.78 | 16.80 |

| **10** | **Maturity Structure of Fixed Rate Borrowing** | **Actual** **%** | **Revised Upper Limit** **%** | **Original Upper Limit** **%** |
|---|---|---|---|---|
| | Under 12 months | 35.68 | 50 | 50 |
| | 12 months to 2 years | 10.99 | 35 | 35 |
| | 2 years to 5 years | 6.06 | 45 | 45 |
| | 5 years to 10 years | 0.92 | 45 | 45 |
| | 10 years to 20 years | 5.14 | 45 | 45 |
| | 20 years to 30 years | 0.73 | 50 | 50 |
| | 30 years to 40 years | 15.47 | 50 | 50 |
| | 40 years to 50 years | 10.47 | 55 | 55 |
| | 50 years and above | 14.54 | 60 | 60 |

| **11** | **Upper Limit on fixed interest rates based on fixed net debt** | **Actual** **%** | **Revised Upper Limit** **%** | **Original Upper Limit** **%** |
|---|---|---|---|---|
| | | 88 | 100 | 100 |

| **12** | **Upper Limit on variable rates based on fixed net debt** | **Actual** **%** | **Revised Upper Limit** **%** | **Original Upper Limit** **%** |
|---|---|---|---|---|
| | | 12 | 50 | 50 |

**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** | X | **Service / Function** | ☐ | **Other** |

**If other, please specify**

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

The Council has a framework of Treasury Management reporting. There are three key reports a year that set out:

The TM Strategy
The TM Mid year performance
The TM outturn and performance against prudential indicators

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 position reports summarise the key variances for the TM function and considers the key financial pressures and risks.

DRAFT

## 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.**

## 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**<br>***n/a*** |

| | |
|---|---|
| Date to scope and plan your Equality Analysis: | n/a |
| Date to complete your Equality Analysis: | n/a |
| Lead person for your Equality Analysis<br>(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 |
|---|---|---|
| Judith Badger | Strategic Director – Finance and Customer Services | 21/6/22 |

## 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** | 21/6/22 |
| **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** | |

DRAFT

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User guidance:

- The first section of this form guides users through considering major areas where emissions are likely to occur. If emissions are impacted in a way not covered by these categories, please identify this at the bottom of the section
- The first section should be filled as such:
  - ***Impact***: identify, in relation to each area, whether the decision of the proposal does the following: *reduces emissions*, *increases emissions*, or has *no impact on emissions*. If it is uncertain this section can be labelled *impact unknown*
  - If ***no impact on emissions*** is identified: no further detail is needed for this area, but can be added if relevant (e.g. if efforts have been made to mitigate emissions in this area.)
  - ***Describe impacts or potential impacts on emissions***: two sections deal respectively with emissions from the Council (including those of contractors), and emissions across Rotherham as a whole. In both sections please explain any factors that are likely to reduce or increase emissions. If ***impact unknown*** has been selected, then identify the area of uncertainty and outline known variables that may affect impacts.
  - In most cases there is no need to quantify the emission impact of an area after outlining the factors that may reduce or increase emissions. In some cases, however, this may be desirable if factors can be reduced to a small number of known variables (e.g. if an emission impact is attached to a known or estimated quantity of fuel consumed).
  - ***Describe any measures to mitigate emission impact:*** regardless of the emission impact, in many cases steps should be taken in order to reduce mitigate all emissions associated with each area as far as possible; these steps can be outlined here (For example: if a proposal is likely to increase emissions but practices or materials have been adopted in order to reduce this overall impact, this would be described here).
  - ***Outline any monitoring of emission impacts that will be carried out:*** in this section outline any steps taken to monitor emission levels, or steps taken to monitor the factors that are expected to increase or reduce emission levels (for example, if waste or transport levels are being monitored this would be described here)
- A ***summary paragraph*** outlining the likely overall impacts of the proposal/decision on emissions should then be completed - this is not required if the proposal/decision has no impact across all areas.
- The supporting information section should be filled as followed:
  - Author/completing officer
  - ***Research, data, or information*** may refer to datasets, background documents, literature, consultations, or other data-gathering exercise. These should also be added to the ***supporting documents*** section of the cabinet report

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- Carbon Impact Assessments are to be appended to the associated cabinet reports
- Prior to publishing reports, Carbon Impact Assessments should be sent to climate@rotherham.gov.uk for feedback
- Report authors may also use the above email address to direct any further queries or to access further support regarding completing the assessment

| Will the decision/proposal impact… | Impact | If an impact or potential impacts are identified | | | |
|---|---|---|---|---|---|
| | | Describe impacts or potential impacts on emissions from the Council and its contractors. | Describe impact or potential impacts on emissions across Rotherham as a whole. | Describe any measures to mitigate emission impacts | Outline any monitoring of emission impacts that will be carried out |
| Emissions from non-domestic buildings? | *no impact on emissions* | | | | |
| Emissions from transport? | *no impact on emissions* | | | | |
| Emissions from waste, or the quantity of waste itself? | *no impact on emissions* | | | | |
| Emissions from housing and domestic buildings? | *no impact on emissions* | | | | |
| Emissions from construction and/or development? | *no impact on emissions* | | | | |
| Carbon capture (e.g. through trees)? | *no impact* | | | | |

| Identify any emission impacts associated with this decision that have not been covered by the above fields: |
|---|
| |

| Please provide a summary of all impacts and mitigation/monitoring measures:<br><br>As this report is a financial update on previous events related to the Councils Treasury Management Function, it doesn't approve anything directly to happen, it does not have any carbon implications. |
|---|
| |

| Supporting information: | |
|---|---|
| Completed by:<br>(Name, title, and service area/directorate). | Rob Mahon, Head of Corporate Finance, Finance and Customer Services. |
| Please outline any research, data, or information used to complete this [form]. | |
| If quantities of emissions are relevant to and have been used in this form please identify which conversion factors have been used to quantify impacts. | |
| Tracking [to be completed by Policy Support / Climate Champions] | |

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Rotherham Metropolitan Borough Council

Public Report
Cabinet

**Committee Name and Date of Committee Meeting**
Cabinet – 11 July 2022

**Report Title**
May Financial Monitoring 2022/23

**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, Assistant Director – Financial Services
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 May 2022 and forecast for the remainder of the financial year, based on actual costs and income for the first two months of 2022/23. 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 first 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 May 2022, the Council currently estimates a directorate overspend of £7.7m for the financial year 2022/23. Whilst the core directorates services have a forecast year-end overspend of £6.7m on the General Fund, there is also £1m of estimated unbudgeted cost resulting from the wider financial impact of the war in Ukraine, inflation and energy price increases. This additional financial challenge is being considered as part of the Council's ongoing Medium Term Financial Planning as the impact will reach beyond the current year.

Whilst the energy price rises and inflation will impact the Council's costs in the provision of services there will be some mitigation in future years by increased core funding as business rates income is indexed to the rate of inflation. It is currently expected that the period of high inflation will last for around two years before returning

to a more normal level but the cost increase being experienced will raise the base cost of services on which future inflation is applied meaning a compounding impact. As such the Council will face short term financial pressures that will need to be managed and mitigated through the Medium Term Financial Strategy and the Council's reserves.

Given the current uncertainty in terms of the level that inflation may reach and precisely when and also the inevitable pressure on pay levels, it is not possible to be precise about the full financial impact at the present time. The next report to Cabinet in September will present a much clearer picture of the likely impact.

**Recommendations**

That Cabinet

1. Note the current General Fund Revenue Budget forecast overspend of £7.7m.

2. Note that actions will continue to be taken to reduce the overspend position but that it is likely that the Council will need to draw on its reserves to balance the 2022/23 financial position.

3. Note the Capital Programme update.

**List of Appendices Included**
Appendix 1 Equalities Impact Assessment
Appendix 2 Carbon Impact Assessment

**Background Papers**
Budget and Council Tax 2022/23 Report to Council on 2nd March 2022

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

**Council Approval Required**
No

**Exempt from the Press and Public**
No

**May Financial Monitoring 2022/23**

## 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 first in a series of financial monitoring reports to Cabinet for 2022/23, setting out the projected year end revenue budget financial position in light of actual costs and income for the first two months of the financial year.

## 2. Key Issues

2.1 Table 1 below shows, by directorate, the summary forecast revenue outturn position.

**Table 1: Forecast Revenue Outturn 2022/23 as at May 2022**

| **Directorate** | **Budget 2022/23**<br><br>**£m** | **Forecast Outturn 2022/23**<br><br>**£m** | **Forecast Variance over/under (-)**<br><br>**£m** |
|---|---|---|---|
| Children and Young People's Services | 65.9 | 69.5 | 3.6 |
| Adult Care, Housing & Public Health | 88.9 | 89.0 | 0.1 |
| Regeneration and Environment Services | 47.2 | 50.2 | 3.0 |
| Finance and Customer Services | 19.7 | 19.7 | 0.0 |
| Assistant Chief Executive | 7.5 | 7.5 | 0.0 |
| Central Services | 30.5 | 31.5 | 1.0 |
| **Directorate Forecast Outturn** | **259.7** | **267.4** | **7.7** |
| | | | |
| Dedicated Schools Grant | | | -0.2 |
| Housing Revenue Account (HRA) | | | -1.4 |

The Council's overspend position at this point is largely due to the following overall issues:

- Financial implications of the war in Ukraine, inflation and energy price increases.
- Placement pressures within Children and Young People's Services.
- Home to School Transport pressures within Regeneration and Environment.
- Pressures relating to the longer term recovery from Covid-19, on income generation within Regeneration and Environment.

As at May 2022, the Council currently estimates a directorate overspend of £7.7m for the financial year 2022/23. Whilst the core directorates services have a forecast year end overspend of £6.7m on the General Fund, there is a £1m estimated overspend in relation to the wider financial impact of the war in Ukraine, inflation and energy price increases. These financial challenges are being considered as part of the Council's ongoing Medium Term Financial Planning. The £1m pressure currently estimated reflects that the Council's Medium Term Financial Strategy did have reasonable cover for inflationary impacts but that the current rises are far above what the Council could have anticipated. Crucially, the Council's current forecast does not assume an increase in pay award above the position built into the Council's Budget for 2022/23. The Council's Medium Term Financial Strategy does have an assumed budget for pay award, however, this is perhaps the most unpredictable area of increased costs for 2022/23, with the Council unable to predict with accuracy what any national public sector pay award may look like. As such, pay award assumptions are left at budgeted position. The estimated cost to the Council per 1% pay award is £1.25m.

2.2 The energy price rises and inflation will impact the Council's costs in the provision of services. However, some of this cost impact will be mitigated in future years by increased core funding as business rates income is indexed to the rate of inflation. It is currently expected that the period of high inflation will last for around two years before returning to a more normal level but the cost increase being experienced will raise the base cost of services on which future inflation is applied meaning a compounding impact. As such, the Council will face short term financial pressures that will need to be managed and mitigated through the Medium Term Financial Strategy and the Council's reserves.

2.3 The forecast position will continue to be monitored closely and mitigations identified to enable a balanced outturn position can be delivered, though it is estimated that the Council will need to call on reserves to achieve a balanced outturn position. There is significant volatility at present in the economy that makes projecting forwards the impact of inflation and energy prices challenging, as such the Council will need to keep focus on assumptions based on these pressures. In addition, the Council will need to ensure that mitigating actions are taken to reduce the current directorate forecast outturns along with ensuring that savings plans are delivered on time to mitigate any knock on impact on future years Medium Term Financial Planning.

2.4 The following sections provide further information regarding the Council's forecast outturn of £7.7m, the key reasons for forecast under or overspends within directorates and the progress of savings delivery.

2.5 The Council is able to report secured delivery of planned savings for 2022/23. The table below provides an update on the £11.5m of planned savings to be delivered over the medium term. £3.9m of planned savings have been delivered already for 2022/23, this includes £971k for Early Help & Social Care Pathway (reductions in social care teams linked to reducing caseloads) and £2.4m savings from reablement services. The R&E savings to be delivered during 2022/23 are in respect of planned cost reductions on operational buildings and increased income from Waleswood.

Table 2: Planned delivery of £11.5m savings

| **Saving** | **2022/23** **£000** | **2023/24** **£000** | **2024/25 & Total FYE** **£000** | **Secured as at 31st March 2022** **£000** |
|---|---|---|---|---|
| ACHPH | 2,800 | 2,800 | 2,800 | 2,400 |
| ACHPH – One off saving | 500 | 0 | 0 | 500 |
| CYPS | 971 | 4,739 | 7,411 | 971 |
| R&E | 374 | 762 | 784 | 0 |
| R&E Customer & Digital | 200 | 500 | 500 | 45 |
| **Total Savings** | **4,845** | **8,801** | **11,495** | **3,916** |

**Children and Young People Services Directorate (£3.6m) forecast overspend)**

2.6 Children & Young People Services continue to implement the budget recovery plan with budget savings of £971k already delivered for 2022/23.

2.7 The budget pressure at the end of May is £3.6m. The main pressures relate to placements (£3.3m), Transport (£370k) and Section 17 monies (£180k), offset by staff savings (£270k) due to the level of vacancies across the directorate.

2.8 The Looked After Children numbers have decreased from April 2022 by 4 from 550 to 546. This is below the original budget profile (560) for this period. However, the placement mix is showing higher than projected placements in emergency (1), Independent Fostering Agency (19), Leaving Care (8) offset by in-house fostering (23), parent & baby (3) and no cost placements (16).

2.9 The LAC number of 546 includes 15 Unaccompanied Asylum Seeker Children which has risen from 14 in March 2022. This is having an impact on the ability to reduce the overall LAC numbers.

2.10 The direct employee budget is £37.4m and is a combination of general fund, traded and grant funded services. The projected underspend at the end of May is £364k, which includes a general fund projected underspend of £270k and underspend of £96k against DSG and traded services.

2.11 The staffing general fund projected underspend of £270k relates to staffing savings in Early Help & Education offset by pressures in Children's Social Care (due to agency workers), District Wide (mainly Safeguarding) and Commissioning & Performance. At the end of May there were 25.7 agency workers in CYPS, 19.2 across children's social care and 6.5 in Education Services.

2.12 A significant element of the CYPS non-pay budget relates to placements which has a net budget of £34.9m with a current projected spend of £38.2m, a projected overspend of £3.3m.

2.13 The £3.3m adverse projection relates in the main to £2.6m on residential placements, £0.7m on IFA placements and £0.2m in emergency offset by savings on allowances £0.2m.

2.14 The £2.6m residential pressures is due to a combination of the increase in placement costs (£0.74m), a reduction in the estimated residential step downs (£1.26m) as well as a reduction in the contribution of DSG due to a reduction in education placements (£0.6m).

**Dedicated Schools Grant**

2.15 The High Needs Block (HNB) is £51.6m (including the £3.3m 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. The High Needs Budget is based on the DSG recovery plan and includes anticipated growth of EHCs numbers and the implementation of new developments linked to the SEND Sufficiency Strategy.

2.16 The Council has entered into a Safety Valve agreement with Government to enable the Council to reduce the DSG deficit reserve. The central DSG reserve now stands at £12.8m following receipt of £8.5m safety valve funding during

2021/22. The Council will receive to further payments to fully remove the DSG reserve along with additional capital funding to ensure the Council is placed in a more sustainable position moving forwards.

The High Needs Block outturn for the year is a forecast underspend of £160k. The underspend reflects savings in Top Up Funding, External Residentials and
2.17 Health & Social Care offset by demands for special school places.

2.18 The key areas of focus to reduce High Needs Block spend are:

- 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 by the end of 2021/22.
- 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 (£103k forecast overspend)**

2.19 The overall directorate forecast is an overspend of £103k. This relates to Housing GF: Adult Care and Public Health are currently forecast to break even.

2.20 The cost of care packages is forecast to be £1.5m overspent. This is due to increased numbers of people in older people's residential and nursing care. The forecast assumes all current placements remain for the rest of the year although they may reduce. Overall movements in numbers will be closely monitored as the year progresses.

2.21 Staffing budgets are forecast to be £313k underspent due to vacancies. The overall forecast for Adult Care includes anticipated support from the Better Care Fund which brings to position back to a balanced budget.

2.22 Neighbourhood Services (Housing) is forecast to overspend by £103k. Homelessness is expected to overspend by £242k after accounting for grant income, though this is mitigated in part by savings due to staff vacancies that reduce the overall pressure.

2.23 Public Health is forecast to budget at this stage.

**Regeneration and Environment Directorate (£3.0m forecast overspend)**

2.24 The first outturn projection for the directorate indicates a forecast pressure of £3.0m for this financial year. This represents a small improvement from the 2021/22 outturn position of £3.2m. The forecast reflects the impact of ongoing demographic pressures in Home to School Transport and the remaining economic impact of the recovery from the lockdown restrictions on some of the directorate's services. For example, a continuation of the increases in waste tonnages believed to be resulting from changes in patterns of work life balance,

and the impact on income generation, in particular in Parking Services. The forecast outturn projection includes the following specific budget issues.

2.25 Community Safety and Street Scene (CSS) is forecasting an overall pressure of £2.2m. The most significant pressure continues to be in respect of Home to School Transport of £1.6m, due to ongoing demographic pressures leading to an increase in the number of new eligible passengers and fewer contractors in the market leading to increased prices. Addressing the challenge of the increased costs and demand a range of solutions are being explored to influence demand and maximise savings opportunities, using improved cost data analysis to support plans to implement lower cost routes.

2.26 Parking Services is forecasting a pressure of £0.4m. The longer term recovery post pandemic, the ongoing economic impact on town centre footfall and the closure of the Forge Island car park for the cinema development, has led to a reduction in income from parking charges.

2.27 Waste Management is forecasting an overspend of £0.2m. Household waste tonnages continue to be above trend, also disposal charges have risen and commercial waste income has dipped, however, the Service is continuing to see an improvement in recycling income, as the market stabilises. The forecast assumes best case assumptions for outturn tonnages and income.

2.28 Culture Sport and Tourism (CST) is forecasting an overall pressure of £0.1m. Whilst the levels of income generation across the service continue to improve, the service is still in recovery from the impacts of the pandemic. These impacts limit the projected income forecasts for 2021/22 at Rother Valley Country Park, Green Spaces, Theatre and the Music Service.

2.29 Planning, Regeneration and Transport (PRT) is forecasting an overall pressure of £0.7m. The major pressure is in Asset Management, with a forecast overspend of £0.5m. The forecast assumes income under recovery in Estates and Building Consultancy. Pressures in Facilities Management include rising property costs, including repairs and maintenance and fixtures and fittings.

2.30 A pressure of £0.1m is being reported in respect of Facilities Services, due to inflationary pressures on food prices in School Meals (basic food, consumables and materials costs could be expected to rise further) and the closure of Riverside House Cafe. A pressure of £0.1m is being reported in the RIDO service, largely due to a forecast shortfall on Markets income arising from the number of void stalls and the ongoing difficult trading conditions. However, grant income offsetting direct costs in other services in RIDO has helped partially mitigate the Markets service pressure.

**Finance and Customer Services (balanced outturn position)**

2.31 The overall directorate is reporting a balanced outturn position. Whilst there are some financial pressures within the directorate, as detailed below, the service will make savings on ICT Contracts and Legal disbursements to mitigate these financial pressures and deliver a balanced budget. The current service forecast

suggests potentially an underspend outturn could be generated. However, there are risks within that forecast position hence a balanced outturn currently being reported. These risks relate in the main to technical adjustments for bad debt provision on Housing Benefits, an area that can fluctuate significantly.

2.32 Within Customer, Information and Digital Services, the service continues to generate cost reductions on the renewal or removal of ICT contracts. The removal of the kiosks across the borough and the promotion of online and over the phone payment routes has seen further savings for the service as the cost of cash transportation has reduced (as less cash is needed) and transaction costs reduce as residents move to more efficient payment methods. The service has also incurred difficulties with recruitment, creating further temporary cost reduction.

2.33 Legal Services faces continued demand for legal support with child protection hearings and court case costs relating to Looked After Children. However, reduced costs of legal disbursements and difficulties in recruiting to key posts, in particular within Adult Social Care legal support, are currently resulting in a forecast underspend. However, the number of cases during the year remains volatile and will continue to be monitored closely.

**Assistant Chief Executive (balanced outturn position)**

2.34 The service is currently able to forecast a balanced outturn position. The service had experienced difficulties in recruitment during 2021/22, however most of the vacancies are either filled or to be filled during 2022/21. The HR service is projecting increased income generation from salary sacrifice schemes and external business from Schools, Academies and through partnership arrangements.

**Central Services (£1m forecast overspend)**

2.35 There are some significant financial challenges that were not evident at the time of setting the 2022/23 Budget, such as the war in Ukraine and the significant rise in energy prices and inflation. Whilst the Council's outturn position for 2021/22 places the Council in a stronger position and more able to manage the impact rather than needing to consider making cuts in services, it is anticipated that the Council will need to utilise reserves to manage these impacts.

2.36 These financial challenges are being regularly reviewed as part of the Council's ongoing Medium Term Financial Planning. The energy price rises and inflation will impact the Council's costs in the provision of services. However, some of this cost impact will be mitigated in future years by increased core funding as business rates income is indexed to the rate of inflation. It is currently expected that the period of high inflation will last for around two years before returning to a more normal level. As such, the Council will face short term financial pressures that will need to be managed and mitigated through the Medium Term Financial Strategy and the Council's reserves. As such the Council's ability to build further capacity into those reserves as part of the 2021/22 outturn position is a significant benefit.

2.37 The Council currently anticipates that the financial impact of these pressures on the Council's 2022/23 budget will be £1m, excluding the impact of pay award, with a significant pressure over the period of 2023/24 to 2024/25 though the economic position is very volatile at present requiring this position to be under regular review. The forecast impact is based on assumptions around the potential impact of inflation and energy prices. The Council's Medium Term Financial Strategy does have an assumed budget for pay award, however, this is perhaps the most unpredictable area of increased costs for 2022/23 with the Council unable to predict with accuracy what any national public sector pay award may look like, as such pay award assumptions are left at budget. These are areas where there is a significant level of uncertainty at present.

2.38 The Central Services budgets are made up of a number of corporate budgets for levies and charges such as the Integrated Transport Levy (ITA), PFI Financing, and Treasury Management. A list of the main budget areas within Central Services was provided as part of the Council's Budget and Council Tax Report 2022/23, approved at Council 2nd March 2022. The costs within this area are largely fixed costs, set out prior to the start of a financial year, not specific to a particular Directorate and are therefore not controllable by the directorates and thus held centrally. For example, the cost of levies for 2022/23 was set at £11.8m at the outset of 2022/23.

**Housing Revenue Account (HRA)**

2.39 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 currently forecast to overspend by £561k.

2.40 The overspend largely relates to increases in energy costs which has an impact on building running costs as well as the District Heating scheme. The unit cost charged to DH tenants is fixed whilst wholesale gas and electricity prices are higher than anticipated.

2.41 The HRA budget includes a contribution to HRA reserve of £2.037m. The transfer to reserve is forecast at £1.476m to reflect the forecast overspend which will bring the HRA back to a balanced position.

**Capital Programme Update**

2.42 The Capital Programme 2022/23 has been reset following the 2021/22 outturn position, accounting for programme underspends and slippage into 2022/23 the revised capital programme is £285.283m split between the General Fund £211.221m and HRA £74.062m. This is an increase of £40.509m to the position as at the end of December reported to Cabinet on 14th February 2022, the majority of which relates to the reprofiling of schemes due to delays caused mainly from COVID-19 and the high volume of capital activity taking place nationally that is straining resources from an internal and external delivery point. The movement is based on the latest profiles of expenditure against schemes,

including slippage and re-profiles of £36.930m and new grant funding added to the programme of £3.579m.

**Table 2: Variations to the Capital Programme 2022/22 to 2025/26.**

2.43

| | Total Impact £m | 2022/23 Impact £m | Post 2022/23 Impact £m |
|---|---|---|---|
| Revised Grant and Funding Estimates | 3.579 | -1.602 | 1.977 |
| Slippage / reprofiling | 36.930 | 2.053 | 38.983 |
| **Total** | 40.509 | 0.451 | 40.960 |

2.44 The main re-profiles are:

- **Children's Residential homes,** £1.130m slippage. The acquisition and fitting out of these residential homes' phase III have not proceeded as quickly as had hoped. The Council is exploring several properties and going through a rigorous approval before purchasing the properties to ensure they are fit for purpose. However, the housing market is very buoyant with properties often sold before the council is able to obtain the necessary approvals.

- **Parkway Widening,** £7.638m slippage. The project in well into the delivery phase, however, some challenges with site access and allowing all partner agencies to develop at the same time generate a delay, the project is now expected completion of October 2022.

- **Greasbrough Village Centre Traffic signals**, (£0.463m) slippage. The project has slipped due to funding pressures which needed to be resolved. The project now has a forecast completion date of first quarter 2023.

- **Century Phase II -** £0.728m slippage. The Council had to revise the scope and nature of the project to bring it more into line with the office space requirement in the borough, larger space workshops, rather than traditional office space for example. The revisions to the scope meant that the scheme could not commence until late in 2021/22. The project is due to complete during 2022.

- **Forge Island Flood Defence,** (£1.082m) slippage **RRFAS 2A Ickles Lock (ERDF)** – (£3.245m) slippage. The overall costs were increased due in the main to inflation on required materials (steel), these increases lead to a requirement for an additional funding package, that has delayed

progress. An increased funding package is now in place and the project has been re-profiled and will be completed by August 2022.

- **Pothole Funding,** (£2.041m) slippage. The underspend will be carried forward into 2022/23. Government provides the pothole allocations as an additional funding allocation significantly after the Council has set its Capital Programme and crucially, after it has designed out its delivery programme. These grant allocations are announced by Government around October each year making delivery in the same year challenging, in particular alongside the impacts of the pandemic. As such, it makes building a delivery programme more challenging though Government have confirmed the funding can be carried forward to be utilised during 2022/23.

- **Town Centre Development (Housing) –** (£3.041m) slippage This scheme is to deliver 171 housing units over 3 Town Centre sites of which 20 have been completed. The scheme is on site on all three sites and progressing well. However, the slippage in year budget is largely due to a variety of utility issues across all three sites. The project has been re-profiled to reflect a completion of November 2022.

- **Refurbishments,** (£1.371m) underspend. There was a slow start to the year with new ways of Covid safe working, it was therefore not possible to complete the planned 5 schemes within the year. As a result a carry forward request has been made for work on externals internals to allow the works to be completed in the first quarter 2022/23.

2.45 New 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 February Cabinet report are listed below:

**Table 3: New Grant/HRA Funded Schemes added to the programme**

| Directorate/Scheme | 2022/23 £M | Post 2022/23 £m |
|---|---|---|
| | | |
| Confirmation of the actual allocation of New High Needs Grant for 2022/23 to 2025/26. | 3.157 | 0.000 |
| Confirmation of the actual allocations of Basic Need and Capitalised Enhancements grant for 2022/23 to 2025/26. The reduced allocations restrict the Council's ability to carry out essential maintenance works at Schools. | -1.190 | -1.602 |
| Green Homes Grant £1.541m and a leaseholder contribution £71k towards the Maltby phase 1 Externals programme. A project to improve the exterior of a number of Council owned housing properties within Maltby. | 1.612 | 0.000 |
| **Total** | **3.579** | **-1.602** |

2.46 **MCA Approvals**

The South Yorkshire Mayoral Combined Authority (SYMCA) acts as accountable body for a number of different Government funding streams and as the control mechanism for Gainshare. There are no new approvals that need to be captured from the SYMCA within this report.

2.47 **The proposed updated Capital Programme to 2025/26 is shown by directorate in Table 3 below.**

**Table 4: Proposed Updated Capital Programme 2022/23 to 2025/26**

| Directorate | 2022/23 Budget £m | 2023/24 Budget £m | 2024/25 Budget £m | 2025/26 Budget £m | Total Budget £m |
|---|---|---|---|---|---|
| **General Fund Capital** | | | | | |
| Children and Young People's Services | 15.797 | 6.346 | 4.560 | 6.468 | 33.171 |
| Regeneration and Environment | 172.140 | 34.324 | 9.052 | 7.062 | 222.579 |
| Adult Care & Housing | 7.659 | 6.385 | 14.117 | 4.273 | 32.435 |
| Assistant Chief Executive | 0.496 | 0.210 | 0.210 | 0.210 | 1.126 |
| Finance and Customer Services | 14.129 | 14.893 | 7.090 | 2.990 | 39.102 |

| | | | | | |
|---|---|---|---|---|---|
| Capitalisation Direction | 1.000 | 1.000 | 1.000 | 1.000 | 4.000 |
| **Total General Fund Capital** | **211.221** | **63.159** | **36.030** | **22.004** | **332.413** |
| | | | | | |
| **Total HRA Capital** | 74.062 | 45.834 | 28.575 | 28.575 | **177.046** |
| | | | | | |
| **Total RMBC Capital Programme** | **285.283** | **108.993** | **64.605** | **50.578** | **509.459** |

The capital programme for 2022/23 remains ambitious with a significant level of re-profiling of schemes into 2022/23. The Council will therefore need to keep close control of project spend profiles and delivery milestones to keep these projects on track. The Council will also need to review the deliverability of this significantly increased capital programme and potentially, re-profile some schemes into future financial years.

**Funding Position of Capital Programme 2022/23**

2.48 The £285.283m of capital expenditure is funded as shown in the Table 4 below.

2.49 **Table 4: Funding of the Approved Capital Programme**

| **Funding Stream** | **2022/23 Budget £m** |
|---|---|
| Grants and Contributions | 129.031 |
| Unsupported Borrowing | 79.136 |
| Capital Receipts | 1.878 |
| Capital Receipts - Flexible Use & HRA Contribution | 1.000 |
| HRA Contribution | 0.176 |
| **Total Funding - General Fund** | **211.221** |
| Grants and Contributions | 3.925 |
| Unsupported Borrowing | 15.746 |
| Housing Major Repairs Allowance | 42.867 |
| Capital Receipts | 8.798 |
| Revenue Contribution | 2.726 |
| **Total Funding - HRA** | **74.062** |
| **Total** | **285.283** |

**Capital Receipts**

2.50 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.

2.51 To date General Fund useable capital receipts of £0.012m have been generated. 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.

| **Description** | **Total as at 30th June 2022 £m** |
|---|---|
| | |
| **Total Capital Receipts (Excluding loan repayments)** | **- 0.000** |
| Repayment of Loans | - 0.012 |
| **Total Capital Receipts** | **- 0.012** |

2.52 The detailed disposal programme is currently being updated and it is very difficult to forecast. Therefore, at this stage the forecast for useable capital receipts is between £0.6m and £1m. These receipts are made up of a small number of disposals and therefore any changes to these could impact on these forecasts significantly. It should be noted that there is no corporate requirement to disposal of General Fund assets.

## 3. Options considered and recommended proposal

3.1 With regard to the current forecast net revenue budget the directorates are forecasting an overspend of £7.7m, further management actions continue to be identified with the clear aim of ensuring a balanced budget position can be achieved. It is currently assumed that to achieve a balanced outturn position there will be a need to utilise an element of the Council's reserves given the significant pressures that have come to light since the Council set it's 2022/23 budget. This is in recognition that there are still financial implications that need to be fully understood and that may not be fully known until later in the financial year. It is nationally recognised best practice to monitor the performance against the agreed revenue budgets and the Capital Programme throughout the year.

## 4. Consultation on proposal

4.1 The Council consulted on the proposed budget for 20222/23, as part of producing the Budget and Council Tax Report 2022/23. Details of the consultation are set out in the Budget and Council Tax 2022/2 report approved by Council on 2nd March 2022.

## 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 2022/23 will be taken to Cabinet in July 2023.

## 6. Financial and Procurement Advice and Implications

6.1 The Council's overspend position is detailed within the report along with the estimated impact of current financial pressures from the war in Ukraine, inflation and energy price rises. This position continues to be monitored closely. Control over spending remains critical to both maintaining the robust Reserves Strategy and Medium Term Financial Strategy.

6.2 An update on the Council's Medium Term Financial Strategy will be provided to Cabinet later in 2022. This will provide a more detailed update on the Council's Medium Term Financial Planning factoring in the impact of the current year financial pressures and the longer term impacts on the MTFS and reserves strategy.

6.3 There are no direct procurement implications arising from the recommendations detailed in this report. Project specific implications have been addressed in the Key Issues section.

## 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 This is a finance update report, providing a review of current progress to date on the Council's revenue and capital budgets, any equalities and human rights impacts from service delivery have been or will be detailed as service budgets, capital projects are pulled together for inclusion within the Council's revenue budget or capital programme.

11 **Implications for CO2 Emissions and Climate Change**

11.1 No direct implications.

12. **Implications for Partners**

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**
Rob Mahon, Assistant Director – Financial Services

Approvals obtained on behalf of Statutory Officers:-

| | **Named Officer** | **Date** |
|---|---|---|
| Chief Executive | Sharon Kemp | 27/06/22 |
| Strategic Director of Finance & Customer Services (S.151 Officer) | Judith Badger | 23/06/22 |
| Assistant Director, Legal Services (Monitoring Officer) | Phillip Horsfield | 23/06/22 |

*Report Author:* *Rob Mahon, Assistant Director – Financial Services*
This report is published on the Council's website.

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**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** | X | **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 the Councils 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.

This report is the final financial report in the financial year, it sets out the Councils full revenue outturn position. The report also covers off any other key items to be noted at the time.

Given that the revenue and capital budgets have been approved by Council in February each year, 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.**

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## 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: | 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** |
|---|---|---|
| Judith Badger | Strategic Director – Finance and Customer Services | 21/6/22 |

## 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** | 21/6/22 |

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| | |
|---|---|
| **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** | |

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User guidance:

- The first section of this form guides users through considering major areas where emissions are likely to occur. If emissions are impacted in a way not covered by these categories, please identify this at the bottom of the section
- The first section should be filled as such:
  - ***Impact***: identify, in relation to each area, whether the decision of the proposal does the following: *reduces emissions*, *increases emissions*, or has *no impact on emissions*. If it is uncertain this section can be labelled *impact unknown*
  - If ***no impact on emissions*** is identified: no further detail is needed for this area, but can be added if relevant (e.g. if efforts have been made to mitigate emissions in this area.)
  - ***Describe impacts or potential impacts on emissions***: two sections deal respectively with emissions from the Council (including those of contractors), and emissions across Rotherham as a whole. In both sections please explain any factors that are likely to reduce or increase emissions. If ***impact unknown*** has been selected, then identify the area of uncertainty and outline known variables that may affect impacts.
  - In most cases there is no need to quantify the emission impact of an area after outlining the factors that may reduce or increase emissions. In some cases, however, this may be desirable if factors can be reduced to a small number of known variables (e.g. if an emission impact is attached to a known or estimated quantity of fuel consumed).
  - ***Describe any measures to mitigate emission impact:*** regardless of the emission impact, in many cases steps should be taken in order to reduce mitigate all emissions associated with each area as far as possible; these steps can be outlined here (For example: if a proposal is likely to increase emissions but practices or materials have been adopted in order to reduce this overall impact, this would be described here).
  - ***Outline any monitoring of emission impacts that will be carried out:*** in this section outline any steps taken to monitor emission levels, or steps taken to monitor the factors that are expected to increase or reduce emission levels (for example, if waste or transport levels are being monitored this would be described here)
- A ***summary paragraph*** outlining the likely overall impacts of the proposal/decision on emissions should then be completed - this is not required if the proposal/decision has no impact across all areas.
- The supporting information section should be filled as followed:
  - Author/completing officer
  - ***Research, data, or information*** may refer to datasets, background documents, literature, consultations, or other data-gathering exercise. These should also be added to the ***supporting documents*** section of the cabinet report

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- Carbon Impact Assessments are to be appended to the associated cabinet reports
- Prior to publishing reports, Carbon Impact Assessments should be sent to climate@rotherham.gov.uk for feedback
- Report authors may also use the above email address to direct any further queries or to access further support regarding completing the assessment

| Will the decision/proposal impact… | Impact | If an impact or potential impacts are identified | | | |
|---|---|---|---|---|---|
| | | Describe impacts or potential impacts on emissions from the Council and its contractors. | Describe impact or potential impacts on emissions across Rotherham as a whole. | Describe any measures to mitigate emission impacts | Outline any monitoring of emission impacts that will be carried out |
| Emissions from non-domestic buildings? | *no impact on emissions* | | | | |
| Emissions from transport? | *no impact on emissions* | | | | |
| Emissions from waste, or the quantity of waste itself? | *no impact on emissions* | | | | |
| Emissions from housing and domestic buildings? | *no impact on emissions* | | | | |
| Emissions from construction and/or development? | *no impact on emissions* | | | | |
| Carbon capture (e.g. through trees)? | *no impact* | | | | |

| Identify any emission impacts associated with this decision that have not been covered by the above fields: |
|---|
| |

| Please provide a summary of all impacts and mitigation/monitoring measures:<br><br>As this report is a financial update on previous events, updates on levels of funding moving forwards and doesn't approve anything directly to happen, it does not have any carbon implications. |
|---|
| |

| Supporting information: | |
|---|---|
| Completed by:<br>(Name, title, and service area/directorate). | Rob Mahon, Head of Corporate Finance, Finance and Customer Services. |
| Please outline any research, data, or information used to complete this [form]. | |
| If quantities of emissions are relevant to and have been used in this form please identify which conversion factors have been used to quantify impacts. | |
| Tracking [to be completed by Policy Support / Climate Champions] | |

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Rotherham Metropolitan Borough Council

Public Report
Cabinet

**Committee Name and Date of Committee Meeting**
Cabinet – 11 July 2022

**Report Title**
Rotherham's Housing Strategy 2022-25

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

**Strategic Director Approving Submission of the Report**
Ian Spicer, Strategic Director of Adult Care, Housing and Public Health

**Report Author(s)**
Jane Davies, Head of Strategic Housing and Development
07500 102498 or jane.davies@rotherham.gov.uk

**Ward(s) Affected**
Boroughwide

**Report Summary**
This report presents the new Housing Strategy for 2022-25. The Strategy has been developed in consultation with tenants and residents, officers and key stakeholders. Its purpose is to set out the Council's strategic priorities for housing over the next three years.

The Strategy recognises the key issues affecting housing in Rotherham and the impact these have on local residents, sets out how the Council will work in partnership to address the issues identified, and demonstrates alignment with other key strategies and plans.

**Recommendations**

1. That Cabinet approves the Housing Strategy 2022-25

**List of Appendices Included**

Appendix 1 Rotherham's Housing Strategy 2022-25
Appendix 2 Initial Equality Screening (Part A)
Appendix 3 Equality Analysis Form (Part B)
Appendix 4 Carbon Impact Assessment

**Background Papers**
Rotherham's previous Housing Strategy for 2019-22: rotherham-housing-strategy

**Consideration by any other Council Committee, Scrutiny or Advisory Panel**
Members consultation session 28th February 2022

**Council Approval Required**
No

**Exempt from the Press and Public**
No

**Rotherham's Housing Strategy 2022-25**

## 1. Background

1.1 Rotherham's 30 year Housing Strategy was published in December 2012 and set out the Council's long term vision for housing in the borough until 2043:

- People living in high quality homes
- Rotherham Council being the best housing provider in the country
- Reducing the gap between the most and least deprived neighbourhoods, so that everyone can live in safe, healthy and vibrant communities
- Households living in energy efficient homes
- A revitalised town centre with a new urban community

1.2 The Housing Strategy is refreshed every three years to ensure it remains up to date and addresses the current challenges and opportunities and references the most recent statistical evidence.

1.3 Excellent progress has been made with delivering the commitments set out in the previous Housing Strategy which covered the period between April 2019 and March 2022. A summary of key achievements follows:

- 646 new homes were delivered either by the Council or with support from the Council between April 2018 and March 2022.
- These included the following large council-led housing developments: The Site Clusters programme (217 homes), The Bellows (58 homes) and Broom Hayes (44 homes).
- The Council has commenced a major housing development programme in Rotherham Town Centre, which will deliver 171 homes across three sites and the first homes have already been completed.
- The Council has also worked with housing association partners to bring forward affordable housing on council land, for example in August 2021, Arches Housing completed ten bungalows on various small Council sites in Wickersley and Bramley, and Great Places and Sanctuary housing associations are providing 157 affordable homes at Chesterhill Avenue in Dalton and Whinney Hill in Thrybergh. The Council receives nomination rights for the majority of housing association homes which means people on the Council's Housing Register can access them.
- The Council has entered into a partnership with Equans and Mears to provide high quality repairs and maintenance services, and delivered a major investment programme including energy efficiency improvements.
- The Council has published an Empty Homes Plan and recruited an Empty Homes Officer, to help bring long-term empty homes back into use.
- The Council has built and purchased homes suitable for a range of needs including older people, young people and people with support needs.
- Through the Council's Social Value Policy, housing development schemes have generated significant benefits for communities including training and employment opportunities, upgrades to community facilities and a community led housing initiative.

1.4 The next three year 'instalment' has now been developed, please see Appendix 1 – Housing Strategy, and this reflects the views of people living and working in Rotherham.

## 2. Key Issues

2.1 The Housing Strategy reflects the following key challenges that have arisen since the Strategy was last refreshed:

- The response to the pandemic led to changes in government policy, including an increase in funding to support those in financial difficulty and an initial drive to house everyone sleeping rough. However, as these temporary measures are withdrawn, alongside the rising cost of living, increasing house prices and private rent levels and the ongoing impact of changes to the welfare benefits system, it is likely that the number of people facing fuel poverty, eviction and homelessness will increase. It is therefore important that the Council provides excellent financial advice and support to its residents, as well as keeping up with an increasing demand for affordable housing.

- The Strategy also reflects the importance of investing in Rotherham's existing homes, in order to work towards delivering the Council's target for Rotherham's carbon emissions to be 'net zero' by 2040. The Housing Strategy includes key over-arching priorities to ensure new homes are built to high quality standards (safe, comfortable, affordable and energy efficient), and that the Council also invest in Rotherham's existing homes.

- The charter for social housing residents: Social Housing White Paper 2020 focuses on the strengthening of regulation and compliance to create safer homes in the wake of the Grenfell tragedy, and this is reflected in the Strategy's focus on investing in existing homes. It also aims to ensure that tenants' voices are heard, and landlords are held accountable. So, the Council must continue to embed resident engagement in everything that it does. This is set out in detail in the Council's Tenant Engagement Framework and Thriving Neighbourhoods Strategy, but the Housing Strategy also reflects this through the priority of *Strengthening Communities*.

2.2 The six priorities of the new Housing Strategy are:

- High quality new homes
- Affordable homes to meet local need
- Investment in existing homes
- Bringing empty homes back into use
- Supporting people to live independently
- Strengthening communities

2.3 The Housing Strategy reflects the Council's priority to significantly increase the number of homes for council rent, to provide affordable homes for people on the Housing Register.

2.4 The Housing Strategy recognises the links with other key strategic plans, in particular the Health and Wellbeing Strategy and Thriving Neighbourhoods Strategy. Each key priority directly links to the five themes in the Council Plan 2022-25 and will contribute to delivering its vision of: Every neighbourhood thriving, People are safe, healthy and live well, Every child able to fulfil their potential, Expanding economic opportunity, A cleaner, greener local government.

## 3. Options considered and recommended proposal

3.1 Option 1: That Cabinet approve the new Housing Strategy for 2022-25 to address the current key issues affecting housing in Rotherham. This is the recommended option.

3.2 Option 2: That Cabinet do not approve the Housing Strategy prepared for 2022-25. This option is not recommended because it will not adequately address the issues highlighted in section 2.1 of this report.

## 4. Consultation on proposal

4.1 Between November 2021 and February 2022, consultation was carried out with Rotherham residents, Council staff and a wide range of partners and stakeholders on the Housing Strategy. Evidence from the following was used to develop the Strategy:

- An online survey and postal survey
- Staff sessions
- Rotherham Strategic Housing Forum
- Housing Involvement Panel
- Health and Wellbeing Board
- Cascading information / survey info to key groups and forums
- Social media coverage / press release
- Review of recent consultation feedback including the new Council Plan
- Existing evidence and intelligence
- Consultation session with Elected Members

4.2 The feedback from this consultation exercise was used to develop the six themes of the Housing Strategy.

## 5. Timetable and Accountability for Implementing this Decision

5.1 The Assistant Director of Housing has overall accountability for delivering the Housing Strategy's commitments.

5.2 Progress will be discussed regularly at Rotherham Strategic Housing Forum meetings and an annual report will be prepared for the Improving Places Select Commission.

5.3 The next Housing Strategy refresh will commence during autumn / winter 2024 and be reported to Cabinet in spring 2025.

## 6. Financial and Procurement Advice and Implications

6.1 There are no direct financial implications due to the recommendations detailed in the report. The HRA Business Plan provides a financial assessment over 30 years, taking into account planned actions as part of the Housing Strategy, and its impact on the management and financing of the Council's housing stock.

6.2 There are no direct procurement implications arising from the recommendations detailed in the report. However, any identified need to procure goods, services of works in relation to delivering against the strategy must be procured in line with the Council's own Financial and Procurement Procedure Rules and the Public Contracts Regulations 215 (as amended) as well as ensuring social value commitments are secured.

## 7. Legal Advice and Implications

7.1 There are no substantive legal issues arising from the content of this report other than as may be dealt with in the body of the report.

7.2 As implemented by the Deregulation Act 2015, there is no longer a legal requirement to have a Housing Strategy; however such a strategy is deemed as good practice to set out the Council's approach to housing and allows Members to scrutinise delivery.

## 8. Human Resources Advice and Implications

8.1 There are no human resource implications specific to this report.

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

9.1 The Children and Young Peoples Service, and Adult Care and Public Health have been consulted and have had an input into the Housing Strategy. By ensuring a range of affordable homes are delivered to meet a wide range of different needs, the Housing Strategy will help to provide safe, high quality homes for children and young people, and vulnerable adults, allowing them to live safely and independently.

## 10. Equalities and Human Rights Advice and Implications

10.1 Having access to good quality and affordable homes is important for all of the borough's diverse communities, and the Housing Strategy seeks to remove barriers people can face in accessing a home to meet their needs. Data and consultation are used to understand Rotherham's communities, and through all the priorities within the Housing Strategy will deliver homes that meet the needs of older people, people with disabilities, larger families, single people and couples. The Council will continue to engage with communities and make sure the homes provided and enabled, meet their changing needs.

## 11. Implications for CO2 Emissions and Climate Change

11.1 Climate change poses a significant threat to environments, individuals, communities, and economies on local, national, and international scales. In recognition of this the Council has aimed to be net carbon neutral as an organisation by 2030, and for Rotherham as a whole to achieve the same position by 2040.

11.2 Through its own delivery programme, the Council has the ability to ensure that the new homes are high quality and energy efficient, which will contribute to reducing domestic carbon emissions.

## 12. Implications for Partners

12.1 The aims set out in this Strategy will only be achieved by working in partnership with a range of local and regional stakeholders. The Council works strategically with partners through the Rotherham Strategic Housing Forum and with preferred Housing Association partners to help meet the wide range of housing need across the borough. Working with Homes England and the South Yorkshire Mayoral Combined Authority to access funding opportunities is vital to make housing delivery schemes viable.

12.2 The Housing Strategy has been developed in collaboration with, and will be monitored by, Rotherham's Strategic Housing Forum, which includes representation at a senior level from Adult Care, Children and Young Peoples Services, Planning, Public Health and Policy. Other partner and voluntary sector organisations, social housing providers, landlords and developers are also represented on the Forum.

## 13. Risks and Mitigation

13.1 The risk of failing to deliver the commitments set out in the Housing Strategy and action plan will be mitigated by ensuring the correct staff resources and processes are in place, and through regular and robust progress monitoring including an annual report to the Improving Places Select Commission.

13.2 The risk of the Housing Strategy becoming out of date due to policy and context changes at the national and local level, is mitigated by refreshing the Housing Strategy every three years.

## 14. Accountable Officers

Paul Walsh, Acting Assisting Director of Housing
Jane Davies, Head of Strategic Housing and Development
Sarah Watts, Strategic Housing Manager

Approvals obtained on behalf of Statutory Officers: -

| | **Named Officer** | **Date** |
|---|---|---|
| Chief Executive | Sharon Kemp | 27/06/22 |
| Strategic Director of Finance & Customer Services (S.151 Officer) | Judith Badger | 27/06/22 |
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This report is published on the Council's website.

# ROTHERHAM'S HOUSING STRATEGY 2022-2025






















www.rotherham.gov.uk/housing

Rotherham Metropolitan Borough Council

# ROTHERHAM'S HOUSING STRATEGY 2022-2025

## TABLE OF CONTENTS


| | |
|---|---|
| FOREWORD | 3 |
| INTRODUCTION | 4 |
| CONTEXT | 5 |
| EVIDENCE USED TO INFORM THE HOUSING STRATEGY | 8 |
| PRIORITY 1 – HIGH QUALITY NEW HOMES | 9 |
| PRIORITY 2 - AFFORDABLE HOUSING TO MEET LOCAL NEED | 11 |
| PRIORITY 3 - INVESTING IN EXISTING HOMES | 14 |
| PRIORITY 4 - BRINGING EMPTY HOMES BACK INTO USE | 16 |
| PRIORITY 5 - SUPPORTING PEOPLE TO LIVE INDEPENDENTLY | 18 |
| PRIORITY 6 - STRENGTHENING COMMUNITIES | 20 |
| KEY DOCUMENTS AND DATA SOURCES | 22 |

# FOREWORD

## By Councillor Amy Brookes, Cabinet Member for Housing



**I am glad to introduce Rotherham Council's Housing strategy for 2022 – 2025. Having a long-term vision that is refreshed every three years shows how seriously we take the commitment of providing good housing policy across the Rotherham borough.**

Our strategy is not just about building more homes at any cost. Our priorities are focused on the right homes to meet the needs of Rotherham's people. The right homes are safe, comfortable, affordable and energy efficient. Sustainability and design interventions are just as important as how many new homes are built.

We have started and will continue to deliver this purpose through a range of themes as outlined in this document, and across a range of scales. From larger urban regeneration projects to individual initiatives at street and neighbourhood level, the strategy aims to address a wide spectrum of housing needs and aspirations.

Within this, we face both challenges and opportunities. Drawing partners and stakeholders together to share resources collectively is essential. We must reach across the public, private and third sectors to develop innovative ways of working to help guide the action across Rotherham and deliver solutions.

An important part of shaping the strategy was involving and consulting as many people as possible; people who live or work in Rotherham, including residents and tenants, key organisations, professionals, and stakeholders. We look forwards to working with all to turn the words into action.



Westgate Riverside – One of three Rotherham Town Centre sites providing new homes for council rent and home ownership

# INTRODUCTION

## THE VISION FOR HOUSING

Rotherham's 30 year Housing Strategy was published in December 2012 and sets out our long term vision for housing in the borough until 2043:

**The vision;**

- People living in high quality homes
- Rotherham Council being the best housing provider in the country
- Reducing the gap between the most and least deprived neighbourhoods, so that everyone can live in safe, healthy and vibrant communities
- Households living in energy efficient homes
- A revitalised town centre with a new urban community.

The overall aims of the 30-year plan remain the same but the Housing Strategy is refreshed every three years, to ensure it remains up to date and addresses the most recent challenges and opportunities and references the latest statistical evidence.



Westgate Riverside

**The six key priorities for the 2022-25 period are:**

HIGH QUALITY NEW HOMES

AFFORDABLE HOMES TO MEET LOCAL NEED

INVESTMENT IN EXISTING HOMES

BRINGING EMPTY HOMES BACK INTO USE

SUPPORTING PEOPLE TO LIVE INDEPENDENTLY

STRENGTHENING COMMUNITIES

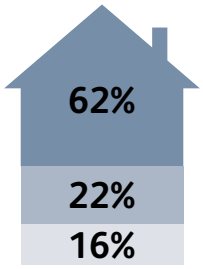
Each key priority directly links to the five themes in the Council Plan 2022-25 and will contribute to delivering its vision of:

Every neighbourhood thriving, People are safe, healthy and live well, Every child able to fulfil their potential, Expanding economic opportunity, A cleaner, greener local government.

# CONTEXT

Much has changed in Rotherham since the previous update of the Housing Strategy in 2019, largely resulting from the Covid-19 pandemic. The response to the pandemic led to changes in government policy, including an increase in funding to support those in financial difficulty and an initial drive to house everyone sleeping rough. However, as these temporary measures are withdrawn, alongside the rising cost of living, increasing house prices and private rent levels and the ongoing impact of changes to the welfare benefits system, it is likely that the number of people facing fuel poverty, eviction and homelessness will increase. It is therefore important that the Council provides advice and support to its residents, as well as keeping up with an increasing demand for affordable housing.

The Council owns 20,127 homes which puts it in the top 20 local authority stock owners in England. In addition to this, 28 housing associations provide 5,085 affordable homes across the borough. However, despite the Council's ambitious housing delivery programme, and the ongoing support and investment from our housing association partners, the supply of affordable housing has not kept up with overall demand. The Housing Strategy therefore focuses on increasing the supply of affordable housing, both through new build and from bringing empty homes back into use.




## % tenure split

62 % owner occupied

22 % social housing

16 % privately rented

In June 2018, the Council's Local Plan was formally adopted, replacing the Unitary Development Plan. The Rotherham Sites and Policies Local Plan sets out policies and identifies specific uses for potential development sites across the borough.

Over the next three years, it is forecasted that sites currently under construction will deliver 1,474 homes, sites with either full or outline planning permission granted will deliver 881 homes and allocated sites will deliver 593 homes. This relates to overall housing delivery in the Borough and has been included at the request of Planning colleagues. It does not relate to the Council homes target, although some of the homes delivered may well contribute to that target.



Our contract partners Equans (formerly Engie), retrofitting 217 homes in East Dene to make them more energy efficient

# CONTEXT

The Strategy also reflects the need to invest in our existing homes and work towards the Council's target for Rotherham's carbon emissions to be 'net zero' by 2040. 'Net zero' means not adding to the amount of greenhouse gases in the atmosphere, and reducing emissions as much as possible, as well as balancing out any that remain by removing an equivalent amount. The Housing Strategy includes key over-arching priorities to ensure new homes are built to high quality standards (safe, comfortable, affordable and energy efficient), and that we also invest in Rotherham's existing homes.

The charter for social housing residents: **Social Housing White Paper 2020** focuses on the strengthening of regulation and compliance to create safer homes in the wake of the Grenfell tragedy, and this is reflected in the Strategy's focus on investing in existing homes. It also aims to ensure that tenants' voices are heard, and landlords are held accountable. So, we must continue to embed resident engagement in everything we do. This is set out in detail in the Council's **Tenant Engagement Framework** and **Thriving Neighbourhoods Strategy**, but the Housing Strategy also reflects this through the priority of *Strengthening Communities.*



Wellgate Place show home

### Equality and Diversity

Rotherham Council is committed to ensuring all parts of the community can access, engage with and benefit from services, and its Equalities Strategy sets out the three key priorities of:

- Understanding, listening, and engaging across all communities
- Delivering fair, inclusive, and accessible services
- Empowering people to engage and challenge discrimination and to promote good community relations

Having access to good quality and affordable homes is important for all of our diverse communities, and the Housing Strategy seeks to remove barriers people can face in accessing a home to meet their needs. We use data and consultation to understand Rotherham's communities, and through all the priorities within the Housing Strategy will deliver homes that meet the needs of older people, people with disabilities, larger families, single people and couples. We will continue to engage with our communities and make sure the homes we provide and enable, meet their changing needs.

## GOVERNANCE

The Housing Strategy is approved by Cabinet, and the Improving Places Select Commission will receive annual reports and provide scrutiny and challenge, to ensure we are focusing on and monitoring the right outcomes. The Rotherham Strategic Housing Forum meets bi-monthly and members include representatives from housing associations, developers, health services, voluntary and community organisations, and this group will also play an important role in overseeing progress against the Housing Strategy.



Rotherham's Housing Involvement Panel at Springwell Gardens Community Centre

# EVIDENCE USED TO INFORM THE HOUSING STRATEGY

**Strategic Housing Market Assessment –** a research study (carried out in 2018) that helps us understand the nature and level of housing demand in Rotherham. It tells us that between 500 and 650 new homes are needed each year, but that we also have a significant overall shortfall of affordable homes.

**Council housing demand data –** the number of bids we receive on Council homes demonstrates the demand for different sizes, types and locations of our current Council housing and how this changes over time. It also informs us of the demographics of those on the Housing Register and their needs.

**Rotherham Data Hub –** this is part of the Joint Strategic Needs Assessment (JSNA) which is a Council-wide collaboration bringing together data to assess the health needs of the local population. Housing is a wider determinant of health and has a significant impact on the wellbeing of our residents.

**Private Sector Stock Condition Survey –** this was conducted by the Building Research Establishment on behalf of the Council in 2018, to provide data on the condition and energy cost and efficiency of owner-occupied and privately rented housing, to complement what we know about our Council stock.

**The Census –** we are currently awaiting publication of the data from the 2021 Census, and in the meantime continue to use demographic data from the previous Census, the Office for National Statistics, and data captured from previous resident surveys.

**Evidence from surveys –** the Council commissioned the 'Where do you want to live?' survey in 2012 to capture the current and future housing needs and aspirations of our residents. The exercise will be repeated in 2022 to update this intelligence and analyse any changes over the past ten years. We also conduct surveys of people who have moved into new Council-built homes and use this feedback to inform the development of future schemes.

## CONSULTATION

We engaged with residents to develop the six priorities for the Housing Strategy 2022-25. This involved an online survey, a postal survey and discussions at resident meetings. We also reviewed the outcomes from consultation carried out during 2021 on Rotherham's overall Council Plan. We have worked with colleagues across the Council to ensure a One Council approach and consulted with partners and stakeholders, for example through Rotherham's Health and Wellbeing Board and the Rotherham Strategic Housing Forum, and held a dedicated consultation session with Elected Members.

### Partnership working

The aims set out in this Strategy will only be achieved by working in partnership with a range of local and regional stakeholders. The Council works strategically with partners through the Rotherham Strategic Housing Forum and with preferred Housing Association partners to help meet the wide range of housing need across the borough. Working with Homes England and the South Yorkshire Mayoral Combined Authority to access funding opportunities is vital to make housing delivery schemes viable.

# PRIORITY 1 – HIGH QUALITY NEW HOMES

## WHY IS THIS IMPORTANT?

Given the significant contribution made by housing to overall carbon emissions it is essential that future developments are designed and built to be energy efficient, low carbon and sustainable, which also supports the Council's commitment to becoming carbon net zero.

A new Future Homes Standard will be introduced in 2025 which will require all new homes to meet these design goals, including the installation of energy efficiency measures and low carbon heating.

By providing and enabling new, safe, comfortable, affordable, and energy efficient homes we will be able to help improve the quality of life for Rotherham's residents.

**1,544** homes in Rotherham built over past three years



## WHAT HAVE WE DONE SO FAR?

- We have built high quality, energy efficient Council homes on a range of sites across Rotherham – including Wellgate Place in Rotherham Town Centre (pictured above) and The Bellows in Rawmarsh (pictured on page 10).
- We have introduced a new build survey to capture customers' feedback on the quality, space and functionality of their new home and use this to plan new developments.
- We have commissioned consultants to provide different designs with financial assessments, to help us understand how we can achieve the quality and environmental standards we aspire to in the future for Council homes.

# PRIORITY 1 – HIGH QUALITY NEW HOMES

## OVER THE NEXT THREE YEARS

- We will deliver our current Housing Development Programme ensuring quality and sustainability.
- We will listen to what residents tell us and continue to engage with local communities and stakeholders on all Council-led developments.
- We will promote the benefits of high quality homes through our annual Developer Summit, and the Council's website.



The Bellows, Rawmarsh: 58 brand new homes for council rent and council shared ownership



New homes for council rent in Thorpe Hesley



Return to contents

# PRIORITY 2 – AFFORDABLE HOUSING TO MEET LOCAL NEED

## WHY IS THIS IMPORTANT?

Due to the rising costs of living, including rent and purchase costs, there is a pressing need for more affordable housing in Rotherham.

'Affordable housing' essentially means homes for people who cannot afford to rent or buy on the open market. It includes Council rented homes, housing association rented homes, and affordable home ownership products such as shared ownership (where people can buy a percentage share of the home they can afford and pay rent on the rest) and First Homes (where people can buy a new home with a 30 per cent discount off the full value).

The Council is playing a major role in building and enabling more affordable homes alongside housing associations, and has committed to delivering hundreds of additional homes for council rent by March 2026. However more homes are needed, as demonstrated by the fact that there are more than 6,000 people on the Council's Housing Register.

## WHAT HAVE WE DONE SO FAR?

- Since 2018, the Council has completed 356 new council homes, with a further 127 under development or negotiation, and opportunities have been identified to deliver several hundred more council homes over the next three years.
- We have worked with housing association partners to bring forward affordable housing on council land, for example in August 2021, Arches Housing completed ten bungalows on various small Council sites in Wickersley and Bramley, and Great Places and Sanctuary housing associations are providing 157 affordable homes at Chesterhill Avenue in Dalton and Whinney Hill in Thrybergh.
- The Council has received nomination rights to the majority of these housing association homes meaning people from the Council's Housing Register can access them.
- We have worked with private developers to purchase the affordable homes provided as part of Section 106 Planning policy requirements, to bring into the Council's housing stock.
- The Council has adopted an Affordable Housing Supplementary Planning Document, which clearly sets out affordable housing needs and requirements to potential developers and we continue to work with developers to unlock sites and deliver more homes in the borough.

# PRIORITY 2 – AFFORDABLE HOUSING TO MEET LOCAL NEED

All data relates specifically to Rotherham unless stated.

**1,347**
Council homes let in 2020-21



**£ 5.8:1**
House price to earnings ratio



Average private rent per week:

| £/week | Jan 19 | Jan 22 |
|---|---|---|
| 1 bed | £87 | £101 |
| 2 bed | £106 | £122 |
| 3 bed | £126 | £150 |

**57**
Average bids per Council home advertised in 2021.
**35** in **2019**



**£27,903**
Median gross annual workplace-based earnings
Lower quartile: **£20,899**



**392**
Right to Buy sales over past three years



**716** shortfall of affordable homes







**6,606**
on housing register*
*1st April 2022



**17%** increase in average house price.

**£139,502** → **£163,716**
December 2018 December 2021



**356**
new council homes completed since 2018



Return to contents

# PRIORITY 2 – AFFORDABLE HOUSING TO MEET LOCAL NEED

## OVER THE NEXT THREE YEARS:

- We will continue to deliver our ambitious, Housing Revenue Account funded new build programme, to add hundreds of additional affordable homes to the 356 already completed by the Council since 2018.
- **171** Council built homes are in progress in Rotherham town centre, and we will go over and above Planning requirements to ensure that 75% of these are affordable tenures.
- We will continue to support other organisations to deliver affordable homes.
- We will continue to promote Shared Ownership homes and provide general advice and information to residents about other affordable home ownership opportunities.
- We will work with developers, landowners and funders to accelerate the delivery of key housing sites, which will lead to the creation of affordable homes through planning policy requirements.



New affordable homes on the Chesterhill Avenue and Whinney Hill sites in Thrybergh and Dalton, delivered by Great Places, Sanctuary Housing and Wise Living

# PRIORITY 3 – INVESTING IN EXISTING HOMES

## WHY IS THIS IMPORTANT?

We recognise that poor quality homes have a negative impact on health, disproportionately on older and younger people, and people who have additional care and support needs.

We are committed to invest in existing homes where we can help our most vulnerable residents, helping to reduce energy bills (through improved energy efficiency), and improve overall health and wellbeing.

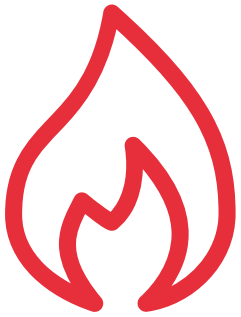
And whilst the Council has high level of decency, we are committed to further investment in our stock.

Currently 17 per cent of Rotherham households live in Fuel Poverty when measured by the government's Low Income Low Energy Efficiency (LILEE) definition, where households are considered fuel poor if they are living in a property with an energy efficiency rating of band D or below AND when they spend the required amount to heat their home, they are left with a residual income below the official poverty line. With rising energy costs, an increasing number of residents are likely to struggle to heat their homes.



**5.7%**

of all private homes are in a state of disrepair



**17%**

Population in fuel poverty



**1.6%**

of all private homes have excess cold



**11%**

of all private homes have a category 1 hazard

# PRIORITY 3 – INVESTING IN EXISTING HOMES

## WHAT HAVE WE DONE SO FAR?

- Measures such as Selective Licensing have been introduced to improve the standards of privately rented housing in specific areas across the Borough.
- **7,215** energy efficiency measures have been installed in private sector houses under the Energy Company Obligation (ECO3).
- We have invested millions of pounds into existing Council homes, working with our contract partners Equans and Mears.
- **217** homes at The Lanes neighbourhood in East Dene have been brought up to EPC rating band C through a widescale retrofit programme.

## OVER THE NEXT THREE YEARS:

- We will deliver energy efficiency improvements to more than 140 council homes in Maltby, with support from the government's Social Housing Decarbonisation Fund.
- We will maintain decency standards in Council stock and implement the findings of the ongoing Decency Review resulting from the Social Housing White Paper.
- We will provide information to homeowners about the support available to help them improve their homes.
- We will make use of Banning Orders to tackle poor housing conditions and protect vulnerable people in privately rented homes.



The Lanes, East Dene: 217 homes brought up to EPC rating band C

# PRIORITY 4 – BRINGING EMPTY HOMES BACK INTO USE

## WHY IS THIS IMPORTANT?

We recognise that meeting the housing need and aspirations of Rotherham's residents relies on both building new homes and maximising the use of as many existing homes as possible.

On average, around 2.7 per cent of Rotherham's private housing stock is empty at any given time and while some of these properties can be considered part of a well-functioning housing market, some properties can be problematic, especially when left empty for long periods or if they fall into disrepair. We also recognise the wider social, economic and environmental benefits of bringing these empty properties back in to use.

**2.7%** of all houses are empty

On average over 1,000 are classed as long term empty properties

## WHAT HAVE WE DONE SO FAR?

- We have published the Empty Homes Plan.
- We have put a new process in place to monitor empty properties.
- We have increased Council Tax charges for long term empty homes.



Empty property brought back onto the housing market with help from the Empty Homes Officer

# PRIORITY 4 – BRINGING EMPTY HOMES BACK INTO USE

## OVER THE NEXT THREE YEARS:

- We will continue to deliver against the Empty Homes Plan.
- We will help owners understand how they can help meet local housing need, for example by promoting success stories.
- We will explore options to transform empty homes into new affordable homes.
- We will make use of the enforcement tools available.
- We will consider how other empty spaces (such as derelict buildings and spaces above shops) could be repurposed to provide new homes.



Block of empty homes in East Herringthorpe

# PRIORITY 5 – SUPPORTING PEOPLE TO LIVE INDEPENDENTLY

## WHY IS THIS IMPORTANT?

Care and support needs change over a person's lifetime. So, it is important that a range of homes and support options are available to help people make planned and informed choices about where they live. Choices which encourage good health and independence.

Demand for accessible homes and supported housing is increasing and this is not just driven by an ageing population. Increasing and more complex needs relating to homelessness, mental health, learning disabilities and autism are more prevalent than ever before.

By increasing the supply of accessible homes, we can offer a personalised approach, ensuring people have their own space to call home, where the support is tailored to meet their own needs and can adapt as their needs change, so they are able to live as independently as possible for much longer.

Promoting self-management and increasing independence of care for all people is one of the strategic priorities of Rotherham's Health and Wellbeing Strategy.

## WHAT HAVE WE DONE SO FAR?

- We have delivered brand new purpose-built, accessible respite care facilities at Conway Crescent in East Herringthorpe, with capacity to support eight adults with support needs.
- We have built homes which provide an alternative to residential and out of area care for young people to meet the priorities agreed in the Looked After Children Sufficiency Strategy.
- We have delivered Council Shared Ownership apartments for older people in Maltby.
- We have purchased bungalows from private developers that allow people to downsize to homes that better meet their needs.
- We have worked with Children and Young People Services to extend the House Project, where council homes are used to support care leavers into independent accommodation.
- We have provided funding of £9.4m (between April 2019 and February 2022) for aids and adaptations into Council and private homes.
- We have secured funding to increase activity provision within neighbourhood centres making the best use of these valuable community spaces to help reduce loneliness and isolation.

# PRIORITY 5 – SUPPORTING PEOPLE TO LIVE INDEPENDENTLY

## OVER THE NEXT THREE YEARS:

- We will build more bungalows on small Council-owned sites, and purchase more bungalows from private developers, in order to increase housing that is suitable for people with accessibility needs.
- We will develop apartments for older people in Rotherham Town Centre.
- We will maximise the use of aids, adaptations, and assistive technology to support independence in the home.
- Accessibility and adaptability will be designed into the fabric of new Council housing developments to ensure we can meet the needs of a range of people and support the creation of mixed communities.



Conway Crescent, East Herringthorpe – state of the art respite home for adults with learning disabilities and autism



Conway Crescent, East Herringthorpe



**19.8%**

Population over 65 years old

Nationally: 18.6 %

**20,127**

Council homes of which 4,787 are bungalows



# PRIORITY 6 – STRENGTHENING COMMUNITIES

## WHY IS THIS IMPORTANT?

Our vision for Rotherham is for every neighbourhood to thrive, where people are able to work together to achieve a good quality of life. The right type of housing development can help achieve this. Strong and resilient communities depend on safe and accessible housing. By involving communities at an early stage in the development process, we can help create a sense of ownership, pride and inclusion. Placing communities at the heart of the process when planning large housing developments is essential to understanding and building on the existing strengths within a neighbourhood as well as identifying need.

The Council is investing substantial amounts of money in housing, and it is essential that in return for this, communities receive more than just homes. 'Social value' means looking beyond the financial cost of a Council contract, and considering how housing development can improve the economic, social and environmental wellbeing of an area.

With help and advice from the Council, projects such as Community Led Housing are an opportunity for local community groups to address housing needs in their locality as well as an income route that can be reinvested into the community and assist in their future sustainability.



Our contract partner Willmott Dixon donated materials, offered careers advice and led fun learning activities at Abbey SEND school's 'construction zone'

# PRIORITY 6 – STRENGTHENING COMMUNITIES

## WHAT HAVE WE DONE SO FAR?

- We have supported the creation of mixed, sustainable communities by delivering a range of different tenures on Council-developed sites.
- We have committed to procuring local services and organisations through the Social Value Policy.
- We have worked with our partner Wilmot Dixon to generate over £200,000 of added social value whilst working in partnership with the Council on the three Town Centre housing sites. This includes work with local schools and colleges and support to local charities.
- We have achieved additional benefits from our repairs and maintenance contracts by investing shared savings into the development of new Council bungalows.
- We have supported a local organisation to develop a community-led housing scheme in Eastwood.

## OVER THE NEXT THREE YEARS:

- We will continue to ensure social value is embedded in all housing development contracts – all projects will be challenged to ensure they positively contribute to the local economy, provide jobs and training opportunities and maximise the use of local supply chains.
- We will review the current community-led housing scheme and explore opportunities for further community-led housing development in Rotherham.
- We will produce surveys to measure the impact and outcomes of our housing developments on local communities.



Women in construction event: our Town Centre contractors, Wilmott Dixon, partnered with The Skills Academy to offer the opportunity to 'have a go'

# KEY DOCUMENTS AND DATA SOURCES

Other key Rotherham strategies, plans and reports:

Community Infrastructure Levy spending protocol cabinet report Sept 2021

Council Plan 2022-25 and Year Ahead Plan

Health and Wellbeing Strategy

Homelessness Strategy and Action Plan

Joint Strategic Needs Assessment – Rotherham Data Hub

Local Plan (including Sites and Policies Document and Core Strategy)

Thriving Neighbourhoods Strategy

Rotherham Town Centre Masterplan

Strategic Housing Market Assessment (SHMA)

Tenant Engagement Framework

Ward Plans

## Data sources used within the Housing Strategy:

Estimates of the population for the UK, England and Wales, Scotland and Northern Ireland – Office for National Statistics (ons.gov.uk)

Fuel poverty statistics – GOV.UK (www.gov.uk)

Hometrack

House price to residence-based earnings ratio – Office for National Statistics (ons.gov.uk)

Local authority housing data – GOV.UK (www.gov.uk)

Private registered provider social housing stock in England – GOV.UK (www.gov.uk)

The charter for social housing residents: social housing white paper – GOV.UK (www.gov.uk)

UK House Price Index (data.gov.uk)

UK Housing Review 2021

All data reflects current data at time of reporting.

Return to contents

Ref: 86599/JUNE 2022

## PART A - Initial Equality Screening Assessment

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

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

Completed at the earliest opportunity it will help to determine:

- the relevance of proposals and decisions to equality and diversity
- whether or not equality and diversity is being/has already been considered, and
- whether or not it is necessary to carry out an Equality Analysis (Part B).

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

| **1. Title** | |
|---|---|
| **Title: Housing Strategy refresh 2022-2025** | |
| **Directorate:**<br>**Adult Care, Housing & Public Health** | **Service area:**<br>**Housing Services** |
| **Lead person:**<br>**Sarah Watts** | **Contact number:**<br>**01709 336476** |
| Is this a:<br>[x] **Strategy / Policy** [ ] **Service / Function** [ ] **Other**<br>**If other, please specify** | |

| **2. Please provide a brief description of what you are screening** |
|---|
| Rotherham's Housing Strategy is refreshed every three years and the next version is due to be published in May 2022.<br><br>The Strategy will set out the Council's priorities for housing across the borough and by doing so it will aim to reduce barriers that some residents face in accessing safe and secure housing that is suitable for their needs. |

| 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.<br><br>The following questions will help you to identify how relevant your proposals are.<br><br>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?<br>*(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)* | **X** | |
| Could the proposal affect service users?<br>*(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)* | **X** | |
| Has there been or is there likely to be an impact on an individual or group with protected characteristics?<br>*(Consider potential discrimination, harassment or victimisation of individuals with protected characteristics)* | **X** | |
| Have there been or likely to be any public concerns regarding the proposal?<br>*(It is important that the Council is transparent and consultation is carried out with members of the public to help mitigate future challenge)* | | **X** |
| Could the proposal affect how the Council's services, commissioning or procurement activities are organised, provided, located and by whom?<br>*(If the answer is yes you may wish to seek advice from commissioning or procurement)* | | **X** |
| Could the proposal affect the Council's workforce or employment practices?<br>*(If the answer is yes you may wish to seek advice from your HR business partner)* | | **X** |
| If you have answered no to all the questions above, please explain the reason | | |
| | | |

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

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

## 4. Considering the impact on equality and diversity

If you have not already done so, the impact on equality and diversity should be considered within your proposals before decisions are made**.**

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

Please provide specific details for all three areas below using the prompts for guidance and complete an Equality Analysis (Part B).

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

*(**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)*

The primary aim of the Housing Strategy is to increase housing supply which in turn should have a positive impact on and reduce any barriers that residents face in accessing safe and secure housing that is suitable for their needs.

The development of the Strategy is data and evidence based; and includes using data collected to assess local demographics and demand.

Sources of data include;

- RMBC Housing Register
- Children and Adult Social Care customer records
- Area Housing profiles
- Strategic Housing Market Assessment
- Joint Strategic Needs Assessment

Consultation will be carried out with residents via an online survey (anonymous) and other stakeholders will be consulted on the draft strategy priorities and will be invited to comment during a meeting or via email. A sample of 500 postal surveys will be sent out to random addresses to capture feedback from people who may be unable to access the survey online.

The survey responses will be checked to ensure they are representative of the borough in terms of protected characteristics. And where a cross section of the community is underrepresented then additional surveys or a focus group will be carried out.

A similar exercise of consultation has been carried out recently for the Council Plan, and any housing specific feedback will be considered as part of the Housing Strategy.

- **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)*

The Housing Strategy's purpose is to address key housing issues, in particular the supply of housing to meet residents' needs. Many people struggle with accessing the type of housing that they need, however access to the right home disproportionately impacts on older people, young people, carers, care leavers, and a wide spectrum of people who have a disability or health condition.

The Strategy and associated housing policies (such as the Allocations Policy) will have a positive impact by breaking down some of the barriers that people face in accessing housing specific to their needs. The analysis of housing need by different need groups will help ensure that the Strategy has a positive impact across all protected characteristics.

The Strategy will align with other key strategies and frameworks across the Council as part of the "One Council" approach. Links to other key documents;

- Council Plan and Year Ahead Plan
- Housing Service Plan
- Thriving Neighbourhoods Strategy
- Health and Wellbeing Strategy
- Homelessness Prevention and Rough Sleeper Strategy
- Financial Inclusion Strategy
- Tenant Engagement Framework

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

- Complete a full Equality Analysis
- Ensure evidence used to shape the Strategy is reflective of local demographics
- Monitor equality analysis over the life span of the Strategy to ensure actions are completed
- Consult residents on the proposed content and feedback on progress during the life span of the strategy

| | |
|---|---|
| Date to scope and plan your Equality Analysis: | November 2021 |
| Date to complete your Equality Analysis: | March 2022 |
| Lead person for your Equality Analysis (Include name and job title): | Sarah Watts<br>Strategic Housing Manager |

## 5. Governance, ownership and approval

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

| Name | Job title | Date |
|---|---|---|
| Jane Davies | Head of Strategic Housing and Development | 21st March 2022 |

| 6. Publishing | |
|---|---|
| This screening document will act as evidence that due regard to equality and diversity has been given.<br><br>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.<br><br>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** | 21st March 2022 |
| **Report title and date** | Housing Strategy 2022-25 |
| **If relates to a Cabinet, key delegated officer decision, Council, other committee or a significant operational decision – report date and date sent for publication** | Cabinet – July 2022 |
| **Date screening sent to Performance, Intelligence and Improvement equality@rotherham.gov.uk** | 21st March 2022 |

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## PART B – Equality Analysis Form

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

This form:

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

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

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

| **1. Title** | |
|---|---|
| **Equality Analysis title: Rotherham's Housing Strategy 2022-2025** | |
| **Date of Equality Analysis (EA): 17/02/22** | |
| **Directorate:**<br>**Adult Care, Housing & Public Health** | **Service area:**<br>**Strategic Housing & Development Service, Housing Services** |
| **Lead Manager:**<br>**Sarah Watts** | **Contact number:**<br>**01709 336476** |
| **Is this a:**<br>[X] **Strategy / Policy** [ ] **Service / Function** [ ] **Other**<br>**If other, please specify** | |

| 2. Names of those involved in the Equality Analysis (Should include minimum of three people) - see page 7 of Equality Screening and Analysis Guidance | | |
|---|---|---|
| **Name** | **Organisation** | **Role (eg service user, managers, service specialist)** |
| Sarah Watts | RMBC | Strategic Housing Manager |
| Hannah Upstone | RMBC | Housing Development Outcomes Officer |
| Jane Davies | RMBC | Head of Strategic Housing & Development Services |
| Garry Newton | RMBC | Housing Intelligence Coordinator |

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

**Aim/Scope (who the Policy/Service affects and intended outcomes if known)**
This may include a group/s identified by a protected characteristic, others groups or stakeholder/s e.g. service users, employees, partners, members, suppliers etc.)

Rotherham's 30 year Housing Strategy was published in December 2012 and set out our long term vision for housing in the borough until 2043:

- People living in high quality homes
- Rotherham Council being the best housing provider in the country
- Reducing the gap between the most and least deprived neighbourhoods, so that everyone can live in safe, healthy and vibrant communities
- Households living in energy efficient homes
- A revitalised town centre with a new urban community

The Housing Strategy is refreshed every three years, to ensure it remains up to date and addresses the most recent challenges and opportunities and references the latest statistical evidence.

The Strategy sets out the Council's priorities and ambitions for housing across the borough with the primary aim to increase housing supply and reduce any barriers residents face in accessing safe and secure housing that is suitable for their needs.

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

- Strategic Housing Needs Assessment
- Area Housing Profiles
- Joint Strategic Needs Assessment
- Indices of Multiple Deprivation
- Ward Profiles
- Local population demographic data
- RMBC Housing Register
- Intelligence from partners e.g. registered providers

- Profile of existing council tenants
- Census 2011
- Information received directly from other Council services identifying demand e.g. Adult Social Care, Children's Services.
- The Strategic Housing and Development Service works closely with partners via the Strategic Housing Forum who represent different groups e.g. homelessness, young people etc

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

None identified

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

An action plan will be created to accompany the Strategy and annual updates will be provided to the Strategic Housing Forum. Partnership working is key to the delivery of the Strategy so a joint monitoring approach will keep the Council and agencies accountable.

Surveys will be carried out with the occupants of new homes and equality and diversity data analysed. This will allow the Council to understand whether any protected characteristic groups are over or under-represented in new build homes, and take appropriate action if required.

| | |
|---|---|
| **Engagement undertaken with customers. (date and group(s) consulted and key findings)** | A full consultation summary has been produced to include both resident, stakeholder and staff feedback.<br><br>• Online survey via RMBC website – 500 postal surveys were sent out to capture the views of people who may not be able to complete the survey online.<br>• The survey was promoted via social media, council and stakeholder bulletins and a press release issued.<br>• The survey was also promoted in resident newsletters, all 25 wards in December 2021, 18,650 subscribers in total.<br>• Attendance at the Strategic Housing Forum: December 2021 and February 2022 (key housing stakeholders)<br>• Gov delivery email subscribers<br>• Rotherfed network; link on website, and shared via all resident and tenant newsletters and groups<br>• Rotherham Partnership Boards and members including; |

| | |
|---|---|
| | ○ over 100 employment and skills partners providing front line support to Rotherham residents<br>○ the Rotherham Families information Service Facebook page (1,842 followers)<br>○ REMA, Healthwatch, Rainbow Project (LGBTQ), Clifton Learning Partnership, Rotherfed, VAR, Childrens/YPS/families consortium, Unpaid Carers group, Disabilities network, Parent Carers Forum, Carers Forum, Interfaith group, Faith Leaders Group, key leaders for faith groups (Anglican, Methodist, Catholic, Mosques), Age Uk, Older people's Forum, Adult Neurodiversity support service; Speak Up<br>○ Business growth board members and town deal and ambitions board<br>• VAR weekly e-bulletin over December 2021 and January 2022<br>• Press release (subsequent article in the Advertiser)<br>• Attendance at the Health and Wellbeing Board January 2022<br>• Attendance at the Housing Involvement Panel January 2022<br><br>Key findings;<br>• Feedback was supportive of the Council improving the quality of new homes, supporting, and encouraging investment in existing homes and making use of empty homes to help address local housing need.<br>• High quality housing - 84% ranked in the top 3 most important issue for the borough for residents who responded.<br>• Empty homes and investment into existing homes featured in the top 3 of half of all respondents<br>• Affordable housing was the highest ranked priority overall<br>• Green housing and the use of green technology to improve overall efficiency was supported as a |

| | |
|---|---|
| | priority. Interest in new technologies and many respondents agreed that the Council should be leading by example.<br>• 10% of respondents ranked the town centre in their top 3 priorities. The priority for more homes in the town centre was supported by many respondents to the survey, but it was acknowledged that town centre is also a cross cutting issue which would be better presented and embedded into the other six themes rather than as a standalone priority.<br>• Many respondents also talked about empty homes in relation to addressing homelessness and bringing homes back into use as affordable housing to meet local needs.<br>• Affordability is a major concern, not just in terms of housing costs (mortgage, rent) but also in terms of fuel poverty and overall cost of living.<br>• The final priority, *making sure Rotherham's communities' benefit from housing development*, has been redefined and is now referred to as *strengthening communities*. And further clarification and examples will be provided in the Strategy to ensure residents understand what it means. |
| **Engagement undertaken with staff (date and group(s)consulted and key findings)** | • CEX briefings<br>• Promotion of online survey<br>• Staff consultation sessions February 2022<br>• Members seminar February 2022<br><br>Staff sessions were well attended and the key priorities were supported. |

| **4. The Analysis - of the actual or likely effect of the Policy or Service (**Identify by protected characteristics) |
|---|
| **How does the Policy/Service meet the needs of different communities and groups? (**Protected characteristics of Age, Disability, Sex, Gender Reassignment, Race, Religion or Belief, Sexual Orientation, Civil Partnerships and Marriage, Pregnancy and Maternity) - see glossary on page 14 of the Equality Screening and Analysis Guidance)<br><br><u>Age</u><br>Young people at risk of homelessness – this will be addressed through the Homelessness and Rough Sleeper Strategy but by increasing the supply of homes and investment in |

existing homes, there should be increased opportunities for young people to access the homes that they need.

Care leavers – there are already projects which support care leavers into the right homes, and these are regularly monitored through housing service plans. Also by increasing supply and investing in existing homes, there should be increased opportunities for young people to access to homes that they need.

Older people - by increasing the supply of homes and investment in existing homes, there should be increased opportunities for older people to access the homes that they need. There is also a dedicated section in the Strategy which considers how housing can support people to live independently with the right support.

Disability
People with a disability or health condition – health can determine the type of home an individual needs. By increasing the supply of homes and adapting existing homes, there should be increased opportunities for people who have health conditions to access the homes that they need. The Strategy recognises the increasing need for the right types of homes to help people to live well.

Race
Housing need data is monitored to ensure barriers to accessing housing are reduced. It is recognised that some minority ethnic communities may have an increased need for larger family accommodation, and this is being addressed through the Strategy as we seek to increase the number of larger homes available across the borough.

Gypsy and traveller accommodation – this is not covered in the strategy. Allocation is made based on the Local Plan (planning process) as and when a proposal for accommodation is submitted.

There are no known specific property requirements for the below protected characteristics;

- sex
- pregnancy and maternity
- gender reassignment
- sexual orientation
- civil partnerships and marriage

There is evidence to suggest that a higher proportion of people within protected characteristic groups will be reliant on welfare benefits and therefore more likely to require access to affordable housing and support. The Strategy's aim is to increase overall housing supply and in turn bring forward more affordable housing to assist such groups in reducing their overall housing costs. Fuel poverty is also a rising concern and will be specifically addressed through the development of the Green Housing Plan this year.

Recognition has also been given to other groups of people who may have specific housing needs or who have difficulty accessing the right accommodation, including;

- families where a member gives or needs full time care, foster care
- armed forces and veterans.

- a person/family fleeing domestic abuse

The Strategic Housing Team will develop a better understanding of such groups and plan how best to assist in terms of policy and procedure review.

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

The Strategy aims to remove barriers and have a positive impact on communities and those with protected characteristics.

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

The Housing Strategy makes a commitment to providing housing that is accessible to people with a specific housing need – this includes people with a disability, people who are vulnerable because of health issues and those who are disadvantaged because of current housing market conditions such as first time buyers, young people, older people and people in receipt of benefits and affected by welfare reform.

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

The introduction of new housing and additional support services will provide a level of regeneration in communities. The Strategy is closely aligned with various other strategies including;

- Thriving Neighbourhoods Strategy
- Health and Wellbeing Strategy
- Homelessness and Rough Sleeper Prevention Strategy
- The Housing Allocations Policy

Each of these strategies and policies will be subject to an individual Equality Analyses.

One of the priorities of the refreshed Strategy is “Strengthening Communities” which considers housing contracts beyond the cost, to ensure that we maximise the economic, social, and environmental benefits. Each new development has the potential to bring community benefits such as employment and training opportunities, and local projects. Some of the benefits are agreed during the planning process. Then ward plans are used to influence where the social currency of contracts is spent at a more local level.

No negative impacts have been identified.

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

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

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

| |
|---|
| **Title of analysis: Housing Strategy Refresh 2022-2025** |
| **Directorate and service area: Adult Care, Housing & Public Health** |
| **Lead Manager: Sarah Watts** |
| **Summary of findings:** |
| No negative impacts have been identified/are anticipated. |

| Action/Target | State Protected Characteristics as listed below | Target date (MM/YY) |
|---|---|---|
| Analysis of all new developments, to understand the impact of development of those with protected characteristics:<br>- Carry out completion reports at the end of each project<br>- Satisfaction survey to all new residents (incl. equality monitoring form) | **ALL** | **From May 2022** |
| Continue to understand the housing needs of different groups, including those with protected characteristics:<br>- update of housing profiles<br>- update housing need tracker<br>- carry out the where do you want to live survey (Dec 2022) | **ALL** | **Dec 2022** |

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

| **6. Governance, ownership and approval** | | |
|---|---|---|
| Please state those that have approved the Equality Analysis. Approval should be obtained by the Director and approval sought from DLT and the relevant Cabinet Member. | | |
| **Name** | **Job title** | **Date** |
| Sarah Watts | Strategic Housing Manager | 21st March 2022 |
| Jane Davies | Head of Strategic Housing and Development | 21st March 2022 |

| **7. Publishing** | |
|---|---|
| The Equality Analysis will act as evidence that due regard to equality and diversity has been given.<br><br>If this Equality Analysis relates to a **Cabinet, key delegated officer decision, Council, other committee or a significant operational decision** a copy of the completed document should be attached as an appendix and published alongside the relevant report.<br><br>A copy 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 Equality Analysis completed** | 21st March 2022 |
| **Report title and date** | Housing Strategy 2022-25 |
| **Date report sent for publication** | June 2022 |
| **Date Equality Analysis sent to Performance, Intelligence and Improvement equality@rotherham.gov.uk** | 21st March 2022 |

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User guidance:

- The first section of this form guides users through considering major areas where emissions are likely to occur. If emissions are impacted in a way not covered by these categories, please identify this at the bottom of the section
- The first section should be filled as such:
  - ***Impact***: identify, in relation to each area, whether the decision of the proposal does the following: *reduces emissions*, *increases emissions*, or has *no impact on emissions*. If it is uncertain this section can be labelled *impact unknown*
  - If ***no impact on emissions*** is identified: no further detail is needed for this area, but can be added if relevant (e.g. if efforts have been made to mitigate emissions in this area.)
  - ***Describe impacts or potential impacts on emissions***: two sections deal respectively with emissions from the Council (including those of contractors), and emissions across Rotherham as a whole. In both sections please explain any factors that are likely to reduce or increase emissions. If ***impact unknown*** has been selected, then identify the area of uncertainty and outline known variables that may affect impacts.
  - In most cases there is no need to quantify the emission impact of an area after outlining the factors that may reduce or increase emissions. In some cases, however, this may be desirable if factors can be reduced to a small number of known variables (e.g. if an emission impact is attached to a known or estimated quantity of fuel consumed).
  - ***Describe any measures to mitigate emission impact:*** regardless of the emission impact, in many cases steps should be taken in order to reduce mitigate all emissions associated with each area as far as possible; these steps can be outlined here (For example: if a proposal is likely to increase emissions but practices or materials have been adopted in order to reduce this overall impact, this would be described here).
  - ***Outline any monitoring of emission impacts that will be carried out:*** in this section outline any steps taken to monitor emission levels, or steps taken to monitor the factors that are expected to increase or reduce emission levels (for example, if waste or transport levels are being monitored this would be described here)
- A ***summary paragraph*** outlining the likely overall impacts of the proposal/decision on emissions should then be completed - this is not required if the proposal/decision has no impact across all areas.
- The supporting information section should be filled as followed:
  - Author/completing officer
  - ***Research, data, or information*** may refer to datasets, background documents, literature, consultations, or other data-gathering exercise. These should also be added to the ***supporting documents*** section of the cabinet report

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- Carbon Impact Assessments are to be appended to the associated cabinet reports
- Prior to publishing reports, Carbon Impact Assessments should be sent to climate@rotherham.gov.uk for feedback
- Report authors may also use the above email address to direct any further queries or to access further support regarding completing the assessment

| Will the decision/proposal impact… | Impact | If an impact or potential impacts are identified | | | |
|---|---|---|---|---|---|
| | | Describe impacts or potential impacts on emissions from the Council and its contractors. | Describe impact or potential impacts on emissions across Rotherham as a whole. | Describe any measures to mitigate emission impacts | Outline any monitoring of emission impacts that will be carried out |
| Emissions from non-domestic buildings? | No impact on emissions | Schemes to upgrade District Heating Boiler houses will be funded through the HRA Business Plan and will look to alternate fuels such as biomass. | The introduction of biomass boilers or other net zero carbon district heating schemes will result in a reduction of net zero carbon emissions for the heating of the buildings heated by the scheme and a reduction in emissions across the Borough. | N / A | This will be monitored through the procurement process for the replacement boilers and the supply of biomass fuel. |
| Emissions from transport? | Increased emissions / impact unknown | Vehicle movements to and from sites will be generated during demolition and construction will create emissions, through the movement of building and waste materials and personnel. | While it is possible that new households will increase vehicle movements, they may also reduce them, depending on where new residents work and access services. We do not know before a development is built where new residents will move from and whether this move will increase or decrease vehicle movements. Some new properties included in the programme, i.e. the homes the Council purchases as strategic acquisitions will be built regardless of whether the Council purchases them or not. | Where appropriate, prospective contractors will be required to demonstrate how they will minimise and mitigate emissions from vehicle movements as part of the construction, during the tendering process. All new housing developments are subject to planning controls and the planning process at the plan and policy development and planning application stages takes into account vehicle movements. | Assessment of whether the new households increase or decrease carbon emissions through vehicle movements is not monitored at this time. |

| | | | | | |
|---|---|---|---|---|---|
| Emissions from waste, or the quantity of waste itself? | Increased emissions | Construction will generate waste materials through demolition, exporting of materials from groundworks and waste construction materials. | Although new households may not necessarily mean more people living in the Borough, they are likely to create a small increase in the overall volume of waste created and in the distance travelled by waste collection vehicles. | Where appropriate, prospective contractors will be required to demonstrate how they will minimise and mitigate vehicle emissions from the movement of waste, during the tendering process. This will include the recycling / re use of materials on site where possible. | Unknown. |
| Emissions from housing and domestic buildings? | Impact unknown | No direct emissions increase for the council. | The new properties built as part of the programme will increase emissions from the heating and lighting of the new properties.<br><br>Retrofitting schemes and refurbishments which include measures to improve energy efficiency will reduce carbon emissions | In designing refurbishment schemes the Housing Service will use technologies that have lower carbon emissions, where cost effective and practicable.<br><br>Refurbishment which focusses on retrofitting for carbon emissions reduction will generally aim to achieve at least EPC level “C”<br><br>The Council will ensure that the new homes are high quality, energy efficient and able to meet the challenge of climate change.<br><br>The use of modern methods of construction will be considered for all | Construction will be monitored to ensure that specifications are met and, where appropriate, the energy performance of new buildings will be monitored once occupied to ensure that the stated performance standards are met. |

| | | | | | |
|---|---|---|---|---|---|
| | | | | new schemes, where value for money can be demonstrated as well as carbon reduction. | |
| Emissions from construction and/or development? | Increased emissions | Emissions will be increased from on site vehicles and equipment and the lighting of the sites. Also, from the heating lighting and powering of site offices and cabins. The manufacture of construction materials will increase emissions.<br><br>It is possible that some mature trees will be removed as part of the development of new sites | Some of the building materials will be manufactured within the Borough.<br><br>Removal of trees without replacement could, depending how they are disposed of, increase carbon emissions. | The use of modern methods of construction will be considered for all new schemes, where value for money can be demonstrated as well as carbon reduction.<br><br>For refurbishment / retrofit schemes, emissions from the construction and refurbishment of properties could be offset by the reduction in carbon emissions from newly installed components having lower or zero carbon emissions.<br><br>Where trees are present on a development site they will be retained where possible. The planning process deals with protection of trees on development sites and where it allows their removal usually requires equivalent or better replacement. | This will be monitored through the procurement process. |

| | | | | | |
|---|---|---|---|---|---|
| Carbon capture (e.g. through trees)? | Unknown | Some of the Council's own construction projects will include the planting of trees as part of any landscaping schemes | Unknown | N/A | Unknown |
| Identify any emission impacts associated with this decision that have not been covered by the above fields: N /A | | | | | |

| |
|---|
| Please provide a summary of all impacts and mitigation/monitoring measures: Emissions will be generated from energy use associated with construction sites, the vehicle movements associated with construction personnel, materials and waste. The manufacture of construction materials will also generate emissions. New homes will generate new emissions mainly through lighting and heating and the powering of domestic appliances. These increases will be mitigated through the requirement for prospective contractors to demonstrate how they will reduce emissions from the above and monitored through the construction period. The Council will continue to ensure that new homes are as energy efficient as possible and employ the use of modern methods of construction where value for money can be demonstrated as well as carbon reduction. The actual energy performance of new homes will be monitored to ensure that they meet expected standards. |

| Supporting information: | |
|---|---|
| Completed by:<br>(Name, title, and service area/directorate). | Nick Ward,<br>Place and Quality Manager,<br>Strategic Housing and Development Service,<br>Adult Care, Housing and Public Health |
| Please outline any research, data, or information used to complete this [form]. | No relevant data or research used. |
| If quantities of emissions are relevant to and have been used in this form please identify which conversion factors have been used to quantify impacts. | No relevant data or research used. |
| Tracking [to be completed by Policy Support / Climate Champions] | |

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Rotherham Metropolitan Borough Council

Public Report with Exempt Appendices
Cabinet

**Committee Name and Date of Committee Meeting**
Cabinet – 11 July 2022

**Report Title**
Annual Housing Development Report – 2022/23

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

**Strategic Director Approving Submission of the Report**
Ian Spicer, Strategic Director of Adult Care, Housing and Public Health

**Report Author(s)**
Jane Davies, Head of Strategic Housing Development
David Bagnall, Housing Development Manager

**Ward(s) Affected**
Various, please see Appendices 2 and 3

**Report Summary**
This report sets out progress made against the Council's Housing Development Programme, and proposes new projects for 2022/23. Appendix 2 provides a list of sites proposed for development, and Exempt Appendix 3 provides a list of potential strategic acquisition opportunities.

Work is underway to develop a full programme through to 2025/26 to increase the number of new council homes, and this will be presented to Cabinet in December 2022 alongside the latest Housing Revenue Account Business Plan. Six monthly progress reports will be presented to Cabinet thereafter.

**Recommendations**

1. That Cabinet approve the Council-owned sites listed in Appendix 2 being brought forward to deliver new homes, with developments which will deliver more than ten homes being subject to further Cabinet approvals.

2. That Cabinet approve the purchase of homes from any of the schemes identified in Exempt Appendix 3.

**List of Appendices Included**

Appendix 1 Photographic summary
Appendix 2 Council-owned sites proposed for residential development
Appendix 3 (Exempt) Potential strategic acquisitions
Appendix 4 Summary of progress against previous recommendations
Appendix 5 Initial Equality Screening (Part A)
Appendix 6 Equality Analysis (Part B)
Appendix 7 Carbon Impact Assessment

**Background Papers**

Cabinet report: Annual Housing Development Report - 2021/22

**Consideration by any other Council Committee, Scrutiny or Advisory Panel**
None

**Council Approval Required**
No

**Exempt from the Press and Public**
Yes – Appendix 3

An exemption is sought for Appendix 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, on the basis that releasing the information could put the Council at a competitive disadvantage.

**Annual Housing Development Report – 2022/23**

## 1. Background

1.1 The Council has committed to a significant programme of housing development in order to:

- Increase the number of new council homes by March 2026
- Replace council homes lost through the Right to Buy
- Deliver homes that meet the needs of Rotherham's people
- Contribute to improved health and wellbeing
- Generate income to the Council through rent and council tax
- Help to regenerate deprived areas
- Create training and employment opportunities
- Contribute to Rotherham's overall housing delivery figures

1.2 Overall summary of housing growth progress over the past 12 months:

- Broom Hayes scheme completed (44 homes)
- Town Centre housing schemes well progressed and show homes now open (171 homes)
- 14 bungalows on sites in Ravenfield and Treeton completed
- Master-planning exercise concluded for planned Eastwood housing development (36 new homes)
- Contracts exchanged or due to exchange imminently for strategic acquisitions in Thorpe Hesley (22 homes), Aston (11 homes) and Treeton (14 homes)
- Negotiations well advanced for a further 66 new homes through strategic acquisitions.
- Garage site at Eldertree Road sold to enable the delivery of 24 new homes in Thorpe Hesley by a private developer

The photographic summary included as Appendix 1 shows some of these schemes.

1.3 **Homes delivered by the Council**

From January 2018 to the end of March 2022, the Council has completed the following schemes (both through council build and acquisitions):

| Scheme | Area | Type | Council Rent | Council shared ownership | Council homes for sale | Total |
|---|---|---|---|---|---|---|
| Mitchell Way | Waverley | Acquisition | 4 | 0 | 0 | 4 |
| Fox House Lane | Waverley | Acquisition | 1 | 0 | 0 | 1 |
| Sorby Row | Waverley | Acquisition | 6 | 0 | 0 | 6 |
| Queen's Avenue | Kiveton Park | Acquisition | 12 | 0 | 0 | 12 |
| Penny Piece Lane/Ryton Fold | North Anston | Acquisition | 6 | 0 | 0 | 6 |

| | | | | | | |
|---|---|---|---|---|---|---|
| Highfield Farm | West Melton | Acquisition | 6 | 0 | 0 | 6 |
| Stock Conversions | Various | Council build | 16 | 0 | 0 | 16 |
| Clusters | Various | Council build | 98 | 36 | 83 | 217 |
| St Mary's Drive | Catcliffe | Council build | 2 | 0 | 0 | 2 |
| Catherine Avenue | Swallownest | Council build | 4 | 0 | 0 | 4 |
| The Bellows | Rawmarsh | Council build | 28 | 30 | 0 | 58 |
| Broom Hayes | Broom Valley | Council build | 24 | 20 | 0 | 44 |
| SOAHP Bungalows | Ravenfield, Treeton | Council build | 14 | 0 | 0 | 14 |
| | | **Totals** | **221** | **86** | **83** | **390** |

1.4 **Delivery in progress**

The following schemes are currently in progress:

| Scheme | Area | Type | Council Rent | Council shared ownership | Council homes for sale | Total |
|---|---|---|---|---|---|---|
| Town Centre sites | Town Centre | Council build | 98 | 31 | 42 | 117 |
| Wentworth View | Thorpe Hesley | Acquisition | 12 | 10 | 0 | 22 |
| | | **Totals** | **110** | **41** | **42** | **193** |

As at June 2022:

- 23 council rent homes, 23 shared ownership homes and eight homes for sale have achieved completion on the Town Centre scheme.
- 3 of the council rent homes have been handed over to the Council from the Wentworth View acquisitions.

1.5 **Pending strategic acquisitions**

As at June 2022, contract exchange is imminent on the following acquisitions.

| Scheme | Area | Type | Council Rent | Council shared ownership | Council homes for sale | Total |
|---|---|---|---|---|---|---|
| Fairfields | Aston | Acquisition | 11 | 0 | 0 | 11 |
| Beaumont Grange | Treeton | Acquisition | 11 | 3 | 0 | 14 |
| | | **Totals** | **22** | **3** | **0** | **25** |

1.6 In summary, since January 2018 (up to the end of June 2022) the Council has either built or committed to:

- 353 homes for council rent
- 130 homes for council shared ownership
- 125 homes for sale
- 608 in total

1.7 **Council-enabled Delivery**

The Council has also directly enabled the delivery of new homes on the following schemes through sale of Council-owned land (up to the end of May 22):

| Scheme | Status | Total |
|---|---|---|
| Arches Bungalows, Wickersley | Complete | 10 |
| Chesterhill Ave & Whinney Hill, Dalton/Thrybergh | In progress | 237 |
| Dalton Lane, Dalton (General Fund) | In progress | 145 |
| Westgate Chambers (General Fund) | In progress | 61 |
| Laudsdale House, East Herringthorpe | Complete | 28 |
| Eldertree Lodge, Thorpe Hesley | In progress | 24 |
| | **Total** | **505** |

1.8 **Progress against projects included in March 2021 Cabinet report**

1.8.1 Eastwood Housing Development

The Netherfield Court site in Eastwood was initially identified for potential housing as part of the 2021/22 Annual Housing Development report; strategic pipeline of Council-owned sites, considered by Cabinet in September 2020.

The January 2021 update report to Cabinet subsequently gained approval to appropriate Netherfield Court, along with the nearby York Road car park site, to the Housing Revenue Account in preparation for a more comprehensive housing intervention within the Eastwood area, in support of the Town Investment Plan (Eastwood Investment Projects).

Following the commissioning of a mini master-planning exercise, undertaken by consultants Local Partnerships on behalf of the Council, the Strategic Housing and Development service now has planning compliant, outline scheme designs to deliver 36 new council homes for rent across both sites, with the Netherfield Court site focusing on generally larger family accommodation, and the York Road site providing a mix of single-person and smaller family accommodation in view of its town centre gateway positioning.

The service will now be commencing procurement activity to determine a delivery route and refine the designs in conjunction with a construction partner, in readiness for submission of a planning application.

In line with the principle established within the Annual Housing Development Report 2020/21, a separate Cabinet report will be required prior to entering into contract as both sites within the proposal have capacity for more than ten new homes. The Annual Housing Development Report – 2021/22, approved by Cabinet March 2021, reconfirmed this commitment, specifying that a Cabinet report would be brought forward once procurement has taken place. This will seek Cabinet approval to implement the scheme.

It is therefore proposed that a further report will be brought to Cabinet once a planning application has been submitted. This will ensure that the report can set out the near final scheme designs and cost estimates (subject to any

adjustments which may result from the planning process). This is anticipated in autumn 2022.

1.8.2 Kiveton Park, Thurcroft and West Melton Small Site Assemblies

Site reviews are in progress for each of these schemes. Pre-procurement activity is anticipated to start on all of these schemes in summer 2022.

1.8.3 Miscellaneous Sites

There has been limited progress with the three ad-hoc sites identified, due to prioritisation of Council build activities and acquisitions, however these sites remain under consideration.

1.8.4 Appendix 4 tracks progress against all previous recommendations / Cabinet approvals obtained as part of the Housing Development Programme.

1.9 **New proposals for the 2022/23 development programme**

1.9.1 Carver Close

Carver Close is a site within the Wales ward which is in relatively close proximity to the Kiveton Park small site cluster which was approved for delivery as part of the 2021/22 Housing Development Programme report. The site has potential to either be added to the Kiveton Park site assembly, or brought forward as a stand-alone site, and given its location is likely to present an opportunity to bring forward more bungalows for Council rent.

1.9.2 Canklow

Warden Street is a long-standing vacant site which was previously cleared under Housing Market Renewal. Although the site is held within the General Fund, it is situated within a large HRA managed housing estate and development of the site needs to take account of local strategic requirements which may not be achieved through an unrestricted sale.

The Strategic Housing and Development Service has been exploring options to bring the site forward and has engaged with external consultants, Local Partnerships, to develop a marketing strategy for the site, and approval is now sought from Cabinet to release the site for development.

The Council has recently built 80 new council houses for rent in Canklow and overall, 54% of homes in Canklow are social housing (compared to 21% boroughwide average). The preferred option for this site, rather than 100% council homes, would be a mixed scheme including some council homes suitable for older people, which is the most pressing local housing need.

Local ward members and the Asset Management Board will be consulted and a further Cabinet report will be presented with detailed proposals.

Potential Strategic Acquisitions

1.9.3 Exempt Appendix 3 sets out planned and potential strategic acquisitions which may be pursued as part of the ongoing Housing Development Programme. These can be in the form of Section 106 affordable homes acquisitions, 'affordable plus' acquisitions (meaning homes purchased from developers outside Section 106 provision), and the acquisition of existing homes. Acquisition opportunities which maximise delivery of new homes by 2026 will be prioritised wherever possible.

## 2. Key Issues

2.1 There is a pressing need for more affordable housing across the borough and as the cost of living continues to rise, more people than ever will turn to the Council for financial support, advice and housing. The Council is committed to enabling and delivering more affordable housing to support local people through delivery of the Housing Strategy. Without creating more affordable housing options, people's finances will continue to be squeezed and more people will fall into poverty, creating much wider implications for the health and wellbeing of local people and communities.

2.2 Delivery of new council homes is challenging for a range of reasons including significantly increased costs and delays resulting from the EU Exit, the Covid-19 pandemic and more recently the invasion in Ukraine which, combined, are serving to severely constrain the supply chain; this being the availability and increasing cost of materials and labour, resulting in an industry-wide slowdown in the rate of new housing delivery. Despite these challenges every effort will continue to be made to increase the delivery of new council homes.

## 3. Options considered and recommended proposal

3.1 Option 1 – Adding new sites and acquisition opportunities to the Council's housing development programme. This approach is recommended in order to ensure the Council can continue to deliver new council homes to meet residents' needs.

3.2 Option 2 – Not adding new sites and acquisition opportunities to the Council's housing development programme. This approach is not recommended as the Council needs to ensure a continuous pipeline to deliver the council homes needed.

## 4. Consultation on proposal

4.1 Residents will be consulted via the Planning process along with all statutory consultees, but the Strategic Housing and Development Service has also worked with the Neighbourhood Service to assist with disseminating information about development in localities, identifying alignment with ward priorities. Regular articles about housing development are also included in the tenants' newsletter, Home Matters.

4.2 Ward Members have received specific briefings on potential sites in their wards and their feedback has been taken into account.

4.3 Regular engagement is undertaken with developers, housing associations, and external funders.

4.4 A new build satisfaction survey has recently been introduced, and a selection of customer quotes about how they have benefited from moving into new council homes delivered through the Site Clusters Programme and The Bellows, follows:

- *"I am happier because the house is bigger and more suitable for me".*
- *"Me and my son are happier here, it's a nicer area and we love the new school".*
- *"My children are a lot safer. My partner's mental health is better".*
- *"I am really happy with the home which is suited to me well, with my mobility problems".*
- *"We required more bedrooms after having a baby, so our new home has drastically improved our lives and our ability to raise a family".*
- *"Having our own private garden with two small children is good".*

The Strategic Housing and Development Service will use all customer feedback to learn lessons and help ensure continuous improvement in the development of new council homes.

## 5. Timetable and Accountability for Implementing this Decision

5.1 The Assistant Director of Housing will have responsibility for implementing the programme.

5.2 The housing development activity proposed in this report will commence during 2022/23 and a further report will be presented to Cabinet in December 2022, to update on progress and set out the programme through to March 2026.

## 6. Financial and Procurement Advice and Implications

6.1 The release of sites identified in Appendix 2 and the programme of strategic acquisition opportunities listed in Exempt Appendix 3 will be subject to business cases and assessed for affordability within the context of the assumptions in the HRA Business Plan and the resources approved as part of the Council's Capital Programme.

6.2 The financial implications for individual schemes will be addressed in line with Capital Governance Principles. Issues highlighted such as supply chain pressures on materials and labour costs could affect the overall outcomes of the Housing Growth Programme.

6.3 Procurement activity is detailed within the main body of this report. Housing Services are engaging with the Procurement Team to ensure procurement activity is being undertaken in compliance with the Public Contracts

Regulations 2015 (as amended) and the Council's own Financial and Procurement Procedure Rules.

## 7. Legal Advice and Implications

7.1 The delegations sought under this report are consistent with the Council's Constitution and allow for quicker and more flexible decisions to be made in respect of potential housing developments.

7.2 There are no direct legal implications arising from this report. The relevant implications for each site will be considered as each is brought forward for development. Legal Services recommends early engagement with them where any legal work is required, for example entering into and completing any external grant funding agreements, purchasing any properties or entering into any legal contracts, which will be executed in accordance with the Council's Scheme of Delegation.

## 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 The development programme includes two, three and four bedroom homes which will allow families with children to access high quality, affordable homes, thus contributing to improving children's health, wellbeing and opportunity.

9.2 The programme includes bungalows which will allow older and disabled people to live in safe, suitable accommodation that meets their needs and allows them to live independently for longer.

## 10. Equalities and Human Rights Advice and Implications

10.1 Through its wider development programme, the Council will increase the local supply of high quality, affordable homes to meet a range of needs. The Council holds a wide range of data which is used to determine the different needs and influence the types of homes being acquired. For example, of Rotherham's 263,400 residents, 26% are aged 60 years or over and 9% are aged 75 years or over and the proposed acquisitions include bungalows that are suitable for older people, as well as people with disabilities.

10.2 The Council's development programme is critical to supporting families who are on the Housing Register, into high quality and affordable accommodation. Any new homes offered for rent by the Council are managed through the Council's Allocations Policy to ensure a fair and transparent approach to helping people in the greatest housing need to gain access to suitable and appropriate accommodation.

10.3 Surveys will be carried out with the occupants of new homes, and equality and diversity results analysed and compared with other relevant data sets

such as the Housing Register. This will allow the Council to understand whether any protected characteristic groups are over or under-represented in new build homes and take appropriate action if required.

## 11. Implications for CO2 Emissions and Climate Change

11.1 Climate change poses a significant threat to environments, individuals, communities, and economies on local, national, and international scales. In recognition of this the Council has aimed to be net carbon neutral as an organisation by 2030, and for Rotherham as a whole to achieve the same position by 2040.

11.2 Through its own delivery programme, the Council has the ability to ensure that the new homes are high quality and energy efficient, which will contribute to reducing domestic carbon emissions.

11.3 Acquisitions: The level of carbon emissions allowed for all new homes is subject to increasing controls. Changes to Part L of the building regulations coming into force in June 2022 will require a 31% reduction in CO2 emissions compared to 2013 standards. All new homes that submit plans after June 2022 or have not begun construction before June 2023 must comply. New homes acquired by the Council from private builders are specified and built to the housebuilder's usual specification with some changes paid for by the Council to ensure the Council's requirements are met. Further to this the Council will examine whether further changes can be agreed, on a case-by-case basis, to reduce carbon emissions beyond the requirements of building regulations

## 12. Implications for Partners

12.1 The Council has an existing partnership with Equans and Mears through the housing repairs and maintenance contracts and the existing contract terms allow for some housing development. As such, the development programme may also provide an opportunity for the partners to work with the Council on housing development schemes where this would not be at a detriment to the core repair and maintenance functions.

12.2 Housing associations continue to play an important role in delivering affordable housing in Rotherham. The Council has a successful track record of working with housing associations to bring land forward for development and maintains strong relationships with many of the largest and most reputable organisations through the Rotherham Strategic Housing Forum.

## 13. Risks and Mitigation

13.1 The key risks are summarised in the table below. A detailed risk assessment will be provided alongside the business case for individual schemes as they are brought forward.

| Risk | Mitigation |
|---|---|

| | |
|---|---|
| Pressure on construction labour and materials (both in terms of supply and costs) resulting from the Covid pandemic, EU Exit and invasion of Ukraine. | Regular risk workshops, advance ordering and storage of materials where appropriate / possible, ongoing monitoring of impacts. |
| Site suitability - even at a late stage in the process, sites can be found to be unsuitable (for example due to severe contamination or high flood risk) or need to be restricted in terms of the type and numbers of new housing which can ultimately be achieved. | All sites proposed for delivery in 2022/23 have been subject to initial appraisals to give confidence as to their suitability for housing development including consultation with Planning. Grant funding will also help the Council to mitigate against the cost of ground remediation works but where a site is ultimately unsuitable for development it will not be brought forward. |
| Delays to housing development schemes resulting from utilities connections and other statutory undertakings | Early engagement with relevant organisations and internal services, and robust project management processes in place with realistic contingencies for costs and delays |
| Internal staff capacity – Housing, Legal, Procurement, Asset Management etc | Explore different partnering arrangements to reduce client-side resource pressures, including pre-contract service agreements whereby the contractor carries out early feasibility work at risk. Ongoing dialogue between services regarding forward planning and resource requirements, and HRA contributions to staffing costs in key supporting services. |
| Community opposition | Early and regular consultation with Ward Members, communication strategy to provide information on the schemes and explain the rationale. Formal consultation also takes place as part of the Planning process. |
| Funding availability / eligibility | Continual dialogue with external funding bodies. Investment of time in robust business case preparation to ensure overall costs remain within approved HRA Business Plan affordability modelling and Capital Programme approvals. Regular meetings with Finance colleagues to monitor programme. |

**14. Accountable Officers**

Paul Walsh, Acting Assistant Director of Housing
Jane Davies, Head of Strategic Housing and Development
David Bagnall, Housing Development Manager

Approvals obtained on behalf of Statutory Officers: -

| | Named Officer | Date |
|---|---|---|
| Chief Executive | Sharon Kemp | 27/06/22 |
| Strategic Director of Finance & Customer Services (S.151 Officer) | Judith Badger | 26/06/22 |
| Assistant Director, Legal Services (Monitoring Officer) | Phil Horsfield | 23/06/22 |

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**Appendix 1 – Photographic summary**

**Braithwell Road, Ravenfield - six new bungalows for council rent:**



**Arundel Avenue, Treeton - eight new bungalows for council rent:**



**Appendix 1 – Photographic summary**

**Wellgate Place, Town Centre - 54 new mixed tenure homes:**







**Appendix 1 – Photographic summary**

**Westgate Riverside, Town Centre - 72 new mixed tenure homes:**



**Millfold Rise, Town Centre - 45 new mixed tenure homes:**



**Appendix 1 – Photographic summary**

## Broom Hayes, Broom - 44 new mixed tenure homes:





**Appendix 1 – Photographic summary**

**Northgate, Maltby – 15 apartments for over 55's council shared ownership:**





**Appendix 1 – Photographic summary**

## Strategic acquisitions

### Highfield Farm, West Melton – 6 bungalows for council rent:



### Ryton Fold, Anston – 6 bungalows for council rent:



**Appendix 1 – Photographic summary**

**Wentworth View Phase 1, Thorpe Hesley – 3 houses for council rent:**



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## Appendix 2: Council-owned sites for residential development

Development of individual schemes is subject to appropriate consultation involving local ward members and sign-off of a completed business case under the delegated-decision making powers sought within this report. This content will be regularly refreshed to ensure that the latest position is presented to Cabinet in subsequent reports.

**Completed schemes**
The following schemes have completed since January 2018.

| Scheme | Area | Cabinet Approval | Start on Site | Completion | Council Rent | Council S/O | Other | Total |
|---|---|---|---|---|---|---|---|---|
| Stock Conversions | Various | Feb 2015 | Various | Mar 2020 | 16 | 0 | 0 | 16 |
| Clusters | Various | Sep 2016 | Nov 2017 | Aug 2020 | 98 | 36 | 83 | 217 |
| St Mary's Drive | Catcliffe | July 2017 | Aug 2017 | May 2018 | 2 | 0 | 0 | 2 |
| Catherine Avenue | Swallownest | July 2017 | Aug 2017 | May 2018 | 4 | 0 | 0 | 4 |
| The Bellows | Rawmarsh | Dec 2017 | Mar 2018 | Sep 2020 | 28 | 30 | 0 | 58 |
| Broom Hayes | Broom Valley | Dec 2017 | Mar 2019 | June 2021 | 24 | 20 | 0 | 44 |
| SOAHP Small Sites (Bungalows) | Ravenfield, Treeton | Dec 2017 | Mar 2021 | Mar 2022 | 14 | 0 | 0 | 14 |
| | | | | **Totals** | **186** | **86** | **83** | **355** |

**Schemes in progress**
The following schemes are in contract and activity has started on site. 23 of the rented homes and 23 of the shared ownership homes have completed so far.

| Scheme | Area | Cabinet Approval | Start on Site | Est. Completion | Council Rent | Council S/O | Other | Total |
|---|---|---|---|---|---|---|---|---|
| Town Centre Sites | Town Centre | Oct 2017 | Feb 2020 | Nov 2022 | 98 | 31 | 42 | 171 |
| | | | | **Totals** | **98** | **31** | **42** | **171** |

**Schemes in development**

The following schemes have previously been presented to Cabinet and renewed approvals are sought as part of this report. Sites and schemes are subject to confirmation of delivery feasibility and some sites may not ultimately come forward.

| Scheme | Area | Cabinet Approval | Status | Est. Start | Est. Completion | Council Rent | Council S/O | Other | Total |
|---|---|---|---|---|---|---|---|---|---|
| East Herringthorpe Small Sites | East Herringthorpe | Sep 2020 | Contractor engaged | Sep 2022 | Oct 2023 | 10 | 0 | 0 | 10 |
| Thrybergh Small Sites | Thrybergh | Sep 2020 | Contractor engaged | Nov 2022 | Oct 2023 | 4 | 0 | 0 | 4 |
| Wingfield Small Sites | Wingfield | Sep 2020 | Sites under review | 2023/24 | 2024/25 | 0 | 0 | 14 | 14 |
| Eastwood Development | Eastwood | Mar 2021 | Procurement pending | 2022/23 | 2024/25 | 36 | 0 | 0 | 36 |
| Kiveton Park Small Sites | Kiveton Park | Mar 2021 | Sites under review | 2022/23 | 2023/24 | 8 | 0 | 0 | 8 |
| Thurcroft Small Sites | Thurcroft | Mar 2021 | Sites under review | 2022/23 | 2023/24 | 9 | 0 | 0 | 9 |
| West Melton Small Sites | West Melton | Mar 2021 | Sites under review | 2022/23 | 2023/24 | 12 | 0 | 0 | 12 |
| Miscellaneous Sites | Various | Mar 2021 | Sites under review | 2023/24 | 2024/25 | 8 | 0 | 0 | 8 |
| | | | | | **Totals** | **87** | **0** | **14** | **101** |

**Newly proposed sites for development**

Approval is sought from Cabinet to release the following sites for housing development.

| Scheme | Area | Proposal Type | Est. Start | Est. Completion | Council Rent | Council S/O | Other | Total |
|---|---|---|---|---|---|---|---|---|
| Carver Close | Harthill | Council Build | 2022/23 | 2023/24 | 8 | 0 | 0 | 8 |
| Warden Street | Canklow | Council Build | 2022/23 | 2024/25 | 25 | 0 | 0 | 25 |
| | | | | **Totals** | **33** | **0** | **0** | **33** |

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

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## Appendix 4 – Schedule of previous Cabinet recommendations and progress updates

The tables below set out progress against previous Housing Development Programme recommendations presented to Cabinet.

| **Report** | **Mid-year Housing Development Update Report – 2021/22 (November 2021)** |
|---|---|
| **Recommendation 1** | That progress made with the 2021/22 housing development programme be noted. |
| **Latest position** | No update required. |
| **Status** | Concluded. |

| **Report** | **Annual Housing Development Programme – 2021/22 (March 2021)** |
|---|---|
| **Recommendation 1** | That Cabinet approves the release of the Council owned sites listed in Appendix 3 for residential development, subject to written confirmation of agreement by the relevant Ward Members. |
| **Latest position** | Project development activity has focused on the Eastwood sites, with procurement now underway. Site reviews are actively in progress for the three further small site assemblies and the Strategic Housing and Development service will be recommending that each of these three schemes are delivered by the Council in-line with the flexibilities offered by the Cabinet recommendation, with procurement anticipated to start in summer 2022. There has been limited progress on the proposed land sale/transfers of three ad-hoc sites due to prioritisation of Council build activities and acquisitions. See appendix 2 for further details. |
| **Status** | In progress. |
| **Recommendation 2** | That Cabinet approves the programme of strategic acquisition opportunities listed in Exempt Appendix 4, and that authority is delegated to the Assistant Director of Planning, Regeneration and Transport to purchase homes from private developers or the open market to add to the Council's stock with the agreement of the Assistant Director of Housing, Section 151 Officer and Cabinet Member for Housing. This is subject to the budget parameters as set out in the Council's approved Capital Programme. This delegation is proposed to apply until April 2022 when the next annual programme will be reported to Cabinet. |
| **Latest position** | Three of the four potential acquisition opportunities have been progressed with "Beaumont Grange" now in contract, and two other opportunities being expected to enter into contract between spring and summer. The fourth acquisition, a single open market purchase, did not progress as the vendor chose to sell the property on the open market. Two "opportunity acquisitions" have also been recently identified and these are being progressed. See appendix 3 for further details. |
| **Status** | In progress. |

| Report | Quarterly Housing Development Update Report – January 2021 |
|---|---|
| **Recommendation 1** | That progress made with the 2020/21 housing development programme be noted. |
| **Latest position** | No update required. |
| **Status** | Concluded. |
| **Recommendation 2** | That authority be delegated to the Assistant Director of Housing, in consultation with the Cabinet Member for Housing and the Section 151 Officer, to enter into a Brownfield Housing Fund agreement with the Sheffield City Region where this will serve to increase the number of new homes delivered in Rotherham. |
| **Latest position** | The Council has entered into a Brownfield Housing Fund (BHF) agreement with the South Yorkshire Mayoral Combined Authority (previously Sheffield City Region) to draw down £207k of revenue funding and £434k of capital funding in support of planned and active schemes. This recommendation has since been superseded by the implementation of the corporate 'Process for Grant Bids and Approvals' and further bids to BHF will be progressed as other projects are developed to an appropriate stage. |
| **Status** | Concluded. |
| **Recommendation 3** | That the appropriation of Netherfield Court and York Road car park (both in Eastwood) from the General Fund to the HRA, be approved. |
| **Latest position** | Both sites were appropriated to the HRA as of March 2021 in preparation for Council-led housing development. York Road is currently in temporary use as a site compound to support markets regeneration works. |
| | Concluded. |
| **Recommendation 4** | That a change to six monthly rather than quarterly update reports, be approved. |
| **Latest position** | Change implemented. |
| **Status** | Concluded. |

| Report | Annual Housing Development Programme – 2020/21 (September 2020) |
|---|---|
| **Recommendation 1** | That Cabinet approves the release of the Council owned sites listed in Appendix 3a for early residential development, subject to development being undertaken directly for council stock with the Council retaining ownership of the land and homes, or by a registered social landlord with the Council retaining tenancy nomination rights where this is deemed to offer better value, and subject to written confirmation of agreement by the relevant Ward Members. |
| **Latest position** | Three of the four schemes identified are actively in development, with one scheme, "SOAHP Bungalows", due to complete imminently. The Strategic Housing and Development service has recommended that each of these three schemes are delivered by the Council in-line with the flexibilities offered by the Cabinet recommendation. The fourth scheme, a proposed land sale/transfer in Wingfield, has not progressed due to a range of site related issues and prioritisation of Council build activities and acquisitions. See appendix 2 for further details. |
| **Status** | In progress. |

| | |
|---|---|
| **Recommendation 2** | That Cabinet approve the programme of strategic acquisition opportunities listed in exempt Appendix 4, and that authority is delegated up to a maximum value of £1.118m, to the Assistant Director for Planning, Regeneration and Transport to purchase homes from private developers or the open market to add to the Council's stock, upon confirmation of support by the Assistant Director for Housing with agreement from the Section 151 Officer and Cabinet Member for Housing, and subject to the governance processes set out in section 5. This delegation is sought for a period of 12 months and subject to an annual review. |
| **Latest position** | Three of the four potential acquisition opportunities have been progressed with "Wentworth View" now in contract, and two other opportunities being expected to enter into contract imminently. The fourth scheme did not progress therefore the acquisition opportunities did not materialise. See appendix 3 for further details. |
| **Status** | Concluded. |

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## 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:** Annual Housing Development Report – 2022/23 | |
| **Directorate:** Adult Care, Housing and Public Health | **Service area:** Strategic Housing and Development |
| **Lead person:** Jane Davies | **Contact number:** 07500102498 |
| Is this a:<br>☐ **Strategy / Policy** ☒ **Service / Function** ☐ **Other**<br>**If other, please specify** | |

| **2. Please provide a brief description of what you are screening** |
|---|
| The annual programme of housing development. |

| **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.<br><br>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? *(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)* | ✓ | |
| Could the proposal affect service users? *(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)* | ✓ | |
| Has there been or is there likely to be an impact on an individual or group with protected characteristics? *(Consider potential discrimination, harassment or victimisation of individuals with protected characteristics)* | ✓ | |
| Have there been or likely to be any public concerns regarding the proposal? *(It is important that the Council is transparent and consultation is carried out with members of the public to help mitigate future challenge)* | ✓ | |
| Could the proposal affect how the Council's services, commissioning or procurement activities are organised, provided, located and by whom? *(If the answer is yes you may wish to seek advice from commissioning or procurement)* | ✓ | |
| Could the proposal affect the Council's workforce or employment practices? *(If the answer is yes you may wish to seek advice from your HR 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?**

*(**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)*

Through the housing development programme we aim to meet a range of housing needs based on data and evidence held about local demographics and trends. The housing we will build / enable to be built will help to ensure the following groups can access good quality, affordable and well managed homes: Families, older people, people with disabilities, single person households. The programme has also been designed to ensure homes are built in a range of areas across the borough including deprived areas where the private sector is unlikely to deliver the homes needed, without public sector intervention. Improving deprived areas through housing and regeneration helps to tackle inequalities.

Council homes are let via the Allocations Policy, for which a full equalities assessment has been carried out. This will ensure homes are allocated fairly and that no groups with protected characteristics are disadvantaged.

The Strategic Housing and Development Service has commissioned a 'new build survey' to find out more about the people who have moved into recently built council homes. The equalities and diversity information will be analysed and compared against the profile of people on the Council's Housing Register, so we can identify any potential issues i.e. certain protected characteristic groups being under or over-represented in new build properties.

- **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)*

An assessment of the programme has found that it will enable delivery of homes to meet a range of needs including people with disabilities, older people, families with children and single people.

The delegated powers being sought as part of the report will allow individual schemes to be shaped in consideration of the different housing needs for each area.

- **Actions**

- Conduct new build survey and analyse equalities and diversity data (ongoing)
- For each scheme, consult with colleagues in AC and CYPS to identify any particular needs that can be met through the scheme - ongoing
- Review this equalities analysis annually, alongside future annual housing development Cabinet reports - annual

| | |
|---|---|
| Date to scope and plan your Equality Analysis: | 02/03/22 |
| Date to complete your Equality Analysis: | 02/03/22 |

| | |
|---|---|
| Lead person for your Equality Analysis (Include name and job title): | Jane Davies<br>Head of Strategic Housing and Development |

| **5. Governance, ownership and approval** | | |
|---|---|---|
| Please state here who has approved the actions and outcomes of the screening: | | |
| **Name** | **Job title** | **Date** |
| Jane Davies | Head of Strategic Housing and Development | 02/03/22 |
| David Bagnall | Development Manager | 02/03/22 |
| Sarah Watts | Strategic Housing Manager | 02/03/22 |

**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** | 02/03/22 |
| **Report title and date** | Annual Housing Development Report 2022/23 |
| **If relates to a Cabinet, key delegated officer decision, Council, other committee or a significant operational decision – report date and date sent for publication** | June 2022 |
| **Date screening sent to Performance, Intelligence and Improvement equality@rotherham.gov.uk** | 15/03/22 |

## PART B – Equality Analysis Form

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

This form:

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

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

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

| **1. Title** | |
|---|---|
| **Equality Analysis title:** Annual Housing Development Report – 2022/23 | |
| **Date of Equality Analysis (EA):** 02/03/22 | |
| **Directorate:** Adult Care, Housing and Public Health | **Service area:** Strategic Housing and Development |
| **Lead person:** Jane Davies | **Contact number:** 07500102498 |
| **Is this a:** | |
| ☐ **Strategy / Policy** ☒ **Service / Function** ☐ **Other** | |
| **If other, please specify** | |

| 2. Names of those involved in the Equality Analysis (Should include minimum of three people) - see page 7 of Equality Screening and Analysis Guidance | | |
|---|---|---|
| **Name** | **Organisation** | **Role (eg service user, managers, service specialist)** |
| Jane Davies | Rotherham Council | Head of Strategic Housing and Development |
| David Bagnall | Rotherham Council | Development Manager |
| Sarah Watts | Rotherham Council | Strategic Housing Manager |

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

**Aim/Scope (who the Policy/Service affects and intended outcomes if known)**
This may include a group/s identified by a protected characteristic, others groups or stakeholder/s e.g. service users, employees, partners, members, suppliers etc.)

This EA has been produced in support of an upcoming Cabinet report proposing the 2022/23 housing development programme. Cabinet reports will be produced annually and each report will identify the Council-owned sites proposed for inclusion in the annual programme. The report also requests the ability to acquire properties on the open market to meet local need if required.

The programme has been designed to ensure homes are built in a range of areas across the borough including deprived areas where the private sector is unlikely to deliver the homes needed, without public sector intervention. Improving deprived areas through housing and regeneration helps to tackle inequalities. The Strategic Housing and Development Service has already delivered specialist homes on former garage and brownfield sites which support the diverse housing needs across the borough.

Council homes are let via the Allocations Policy, which is reviewed regularly and is subject to a full equalities assessment. This document ensures new homes are allocated fairly and that no groups with protected characteristics are disadvantaged.

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

The housing development programme is underpinned by analysis of housing need and demographic data which has been gained from a variety of sources including:

- Profile of applicants on Council's Housing Register (numbers of households eligible for age restricted accommodation etc). The Housing Occupational Health Team assess households to determine their need which leads to a priority of allocation under the Housing Allocations Policy. A regular review of the profile of people on the housing register takes place to help plan for the types of new homes needed.
- Local population demographic data (Census 2021 emerging)
- Indices of Multiple Deprivation
- Profile of existing Council tenants (including protected characteristics)
- Strategic Housing Market Assessment

- Intelligence from Strategic Housing Forum which is attended by partners that represent different interests and groups e.g. homelessness and young people etc
- Ward members will receive specific briefings on potential sites in their wards and their feedback will be considered and including in individual scheme EAs
- The Strategic Housing and Development service has worked with the Neighbourhood Service to assist with consultation and dissemination information about development in localities, identifying alignment with ward priorities. Again, any feedback will be included in individual scheme EAs.
- Housing Involvement Panel which includes Council tenant volunteers.
- Data from new rented, shared ownership and open market sales is analysed to understand the equality impact of each development. The profiling of tenants / owners is also reflected in completions report and any lessons learnt are applied when developing new projects.

Where possible the development programme will focus on increasing a specific housing type so homes can meet identified local housing needs. This is often where a particular group of people have been disadvantaged by the local housing market i.e. they cannot afford, or do not have choice in where/how they live. The programme aims to make housing accessible to all regardless of their income and need. This includes taking a role in increasing the supply to meet local need, as well as enabling and encouraging other stakeholders to increase supply across the private market.

**Demographic information**

- 264,984 people live in Rotherham Borough, about half living in and around the main urban area of Rotherham. The remainder live in smaller towns such as Wath, Dinnington and Maltby, and in numerous large villages and rural communities, all of which have their own distinct identities
- Rotherham has a similar age profile to the national average and in common with the national trends, the population is ageing. Central Rotherham has a younger population than average whilst the more suburban and rural areas, mainly in the south of the borough, have older age profiles
- One in four residents (25.9) are aged 60 years or over and 24,233 people (9.1) are aged 75 years or over. Rotherham has 57,453 children aged 0-17 (21.7 of the population).

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

None identified following wider discussion with colleagues, and we are seeking to ensure that future housing developments are meeting the protected characteristics identified.

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

The overall progress of the 2022/23 housing development programme will be reported to Cabinet as part of the request to proceed with the subsequent year's programme.

For individual schemes, all proposals requiring a decision under delegated powers will be subject to the following at an early stage:

- Briefing to Assistant Director for Housing and Cabinet Member for Housing
- Consultation with applicable ward members

The strategic basis and financial appraisal of an individual proposal will then be subject to the development and sign-off of an appropriate business case, consisting of, as a minimum:

- Strategic Outline Case (SOC)
- Equalities Assessment (Parts A and B as applicable)
- Procurement Business Case (where procurement is required)
- Embed social value commitment through housing development contracts

Progress with individual schemes will be reported to Housing Senior Management Team and other meetings / forums as appropriate.

Officer decisions will be formally recorded and published.

Surveys will be carried out with the occupants of new homes, and equality and diversity results analysed and compared with other relevant data sets such as the Housing Register. This will allow the Council to understand whether any protected characteristic groups are over or under-represented in new build homes and take action if required.

The Strategic Housing and Development Service has also commissioned a 'new build survey' to find out more about the people who have moved into recently built council homes. The equalities and diversity information will be analysed and compared against the profile of people on the Council's Housing Register, so we can identify any potential issues i.e. certain protected characteristics.

| | |
|---|---|
| **Engagement undertaken with customers. (date and group(s) consulted and key findings)** | The Council holds a wealth of housing intelligence data which will be used to determine local housing need and prioritise areas for investment.<br><br>The Housing Strategy is now being refreshed and is due to be approved by Cabinet in May 2022. It sets the direction for housing priorities for the next three years.<br><br>Consultation has included residents and tenants, officers, key partners and stakeholders. A whole borough resident survey took place between November 2021 and January 2022. The consultation responses reflect consideration of the needs of different communities such as older people and people with disabilities, and this has been used to shape the Housing Strategy.<br><br>The local community will be consulted on individual schemes as part of the planning process. |

| | |
|---|---|
| **Engagement undertaken with staff (date and group(s)consulted and key findings)** | The Cabinet Member for Housing has been engaged in the development of the programme from the outset and has been involved in shaping the overall strategic priorities for housing, through the Housing Strategy consultation.<br><br>Ward Members will receive specific briefings on potential sites in their wards. |

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

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

Through the housing development programme, we aim to increased choice and access to more new homes, particularly affordable homes. Allocation to housing is dealt with via the Council's Allocations Policy. The Policy sets out how priority is allocated to people who have specific needs including people with protected characteristics.

The programme will meet a range of housing needs based on data and evidence held about local demographics and trends. By understanding more about local need and by enabling and delivering a wider range of house types, the programme should support and help remove the barriers that exist for specific groups of people. Particularly young and older people who are reliant on welfare support, and those who are physically disabled or have a family member who is disabled, requiring ground floor, accessible accommodation.

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

No.

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

The new homes delivered through the housing development programme will help to improve quality of life for households who are currently living in unsuitable accommodation.

Individual schemes will be shaped in consideration of the different housing needs for each area, and the overall programme will include homes that meet the following needs:

- Larger family homes
- Homes for single people
- Homes for older people and people with disabilities and / or support needs

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

No negative impacts have been identified/are anticipated.

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

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

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

| |
|---|
| **Title of analysis:** Annual Housing Development Report – 2022/23 |
| **Directorate and service area:** Adult Care, Housing & Public Health. Strategic Housing & Development Service |
| **Lead Manager:** Jane Davies |
| **Summary of findings:** |
| No negative impacts have been identified/are anticipated. |

| Action/Target | State Protected Characteristics as listed below | Target date (MM/YY) |
|---|---|---|
| Monitor the impact of the housing development programme on communities or groups according to their protected characteristic | All | Annually |

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

| 6. Governance, ownership and approval | | |
|---|---|---|
| Please state those that have approved the Equality Analysis. Approval should be obtained by the Director and approval sought from DLT and the relevant Cabinet Member. | | |
| **Name** | **Job title** | **Date** |
| Paul Walsh | Assistant Director of Housing | |
| Ian Spicer | Strategic Director of Adult Care, Housing & Public Health | |
| Councillor Amy Brookes | Cabinet Member for Housing | |

| 7. Publishing | |
|---|---|
| The Equality Analysis will act as evidence that due regard to equality and diversity has been given.<br><br>If this Equality Analysis relates to a **Cabinet, key delegated officer decision, Council, other committee or a significant operational decision** a copy of the completed document should be attached as an appendix and published alongside the relevant report.<br><br>A copy 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 Equality Analysis completed** | 15/03/22 |
| **Report title and date** | Annual Housing Development Report 2022/23 |
| **Date report sent for publication** | (June 2022) |
| **Date Equality Analysis sent to Performance, Intelligence and Improvement equality@rotherham.gov.uk** | 15/03/22 |

User guidance:

- The first section of this form guides users through considering major areas where emissions are likely to occur. If emissions are impacted in a way not covered by these categories, please identify this at the bottom of the section
- The first section should be filled as such:
  - ***Impact***: identify, in relation to each area, whether the decision of the proposal does the following: *reduces emissions*, *increases emissions*, or has *no impact on emissions*. If it is uncertain this section can be labelled *impact unknown*
  - If ***no impact on emissions*** is identified: no further detail is needed for this area, but can be added if relevant (e.g. if efforts have been made to mitigate emissions in this area.)
  - ***Describe impacts or potential impacts on emissions***: two sections deal respectively with emissions from the Council (including those of contractors), and emissions across Rotherham as a whole. In both sections please explain any factors that are likely to reduce or increase emissions. If ***impact unknown*** has been selected, then identify the area of uncertainty and outline known variables that may affect impacts.
  - In most cases there is no need to quantify the emission impact of an area after outlining the factors that may reduce or increase emissions. In some cases, however, this may be desirable if factors can be reduced to a small number of known variables (e.g. if an emission impact is attached to a known or estimated quantity of fuel consumed).
  - ***Describe any measures to mitigate emission impact:*** regardless of the emission impact, in many cases steps should be taken in order to reduce mitigate all emissions associated with each area as far as possible; these steps can be outlined here (For example: if a proposal is likely to increase emissions but practices or materials have been adopted in order to reduce this overall impact, this would be described here).
  - ***Outline any monitoring of emission impacts that will be carried out:*** in this section outline any steps taken to monitor emission levels, or steps taken to monitor the factors that are expected to increase or reduce emission levels (for example, if waste or transport levels are being monitored this would be described here)
- A ***summary paragraph*** outlining the likely overall impacts of the proposal/decision on emissions should then be completed - this is not required if the proposal/decision has no impact across all areas.
- The supporting information section should be filled as followed:
  - Author/completing officer
  - ***Research, data, or information*** may refer to datasets, background documents, literature, consultations, or other data-gathering exercise. These should also be added to the ***supporting documents*** section of the cabinet report

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- Carbon Impact Assessments are to be appended to the associated cabinet reports
- Prior to publishing reports, Carbon Impact Assessments should be sent to climate@rotherham.gov.uk for feedback
- Report authors may also use the above email address to direct any further queries or to access further support regarding completing the assessment

| Will the decision/proposal impact… | Impact | If an impact or potential impacts are identified | | | |
|---|---|---|---|---|---|
| | | Describe impacts or potential impacts on emissions from the Council and its contractors. | Describe impact or potential impacts on emissions across Rotherham as a whole. | Describe any measures to mitigate emission impacts | Outline any monitoring of emission impacts that will be carried out |
| Emissions from non-domestic buildings? | No impact on emissions | | | | |
| Emissions from transport? | Increased emissions / impact unknown | Vehicle movements to and from sites will be generated during demolition and construction will create emissions, through the movement of building and waste materials and personnel. | While it is possible that new households will increase vehicle movements, they may also reduce them, depending on where new residents work and access services. We do not know before a development is built where new residents will move from and whether this move will increase or decrease vehicle movements. Some new properties included in the programme, i.e. the homes the Council purchases as strategic acquisitions will be built regardless of whether the Council purchases them or not. | Where appropriate, prospective contractors will be required to demonstrate how they will minimise and mitigate emissions from vehicle movements as part of the construction, during the tendering process. All new housing developments are subject to planning controls and the planning process at the plan and policy development and planning application stages takes into account vehicle movements. | Assessment of whether the new households increase or decrease carbon emissions through vehicle movements is not monitored at this time. |
| Emissions from waste, or the quantity of waste itself? | Increased emissions | Construction will generate waste materials through demolition, exporting of materials from groundworks and waste construction materials. | Although new households may not necessarily mean more people living in the Borough, they are likely to create a small increase in the overall volume of waste | Where appropriate, prospective contractors will be required to demonstrate how they will minimise and mitigate vehicle emissions from the | Unknown. |

| | | | | | |
|---|---|---|---|---|---|
| | | | created and in the distance travelled by waste collection vehicles. | movement of waste, during the tendering process. This will include the recycling / re use of materials on site where possible. | |
| Emissions from housing and domestic buildings? | Increased emissions | No direct emissions increase for the council. | The new properties built as part of the programme will increase emissions from the heating and lighting of the new properties. | The Council will ensure that the new homes are high quality, energy efficient and able to meet the challenge of climate change.<br><br>The use of modern methods of construction will be considered for all new schemes, where value for money can be demonstrated as well as carbon reduction. | Construction will be monitored to ensure that specifications are met and, where appropriate, the energy performance of new buildings will be monitored once occupied to ensure that the stated performance standards are met. |
| Emissions from construction and/or development? | Increased emissions | Emissions will be increased from on site vehicles and equipment and the lighting of the sites. Also, from the heating lighting and powering of site offices and cabins. The manufacture of construction materials will increase emissions.<br><br>It is possible that some mature trees will be removed as part of the development of new sites | Some of the building materials will be manufactured within the Borough.<br><br>Removal of trees without replacement could, depending how they are disposed of, increase carbon emissions. | The use of modern methods of construction will be considered for all new schemes, where value for money can be demonstrated as well as carbon reduction.<br><br>Where trees are present on a development site they will be retained where possible. The planning process deals with protection of trees on development sites and where it allows their removal usually requires | This will be monitored through the procurement process. |

| | | | | | |
|---|---|---|---|---|---|
| | | | | equivalent or better replacement. | |
| Carbon capture (e.g. through trees)? | Unknown | Some of the Council's own construction projects will include the planting of trees as part of any landscaping schemes | Unknown | N/A | Unknown |
| Identify any emission impacts associated with this decision that have not been covered by the above fields: N /A | | | | | |

| |
|---|
| Please provide a summary of all impacts and mitigation/monitoring measures: Emissions will be generated from energy use associated with construction sites, the vehicle movements associated with construction personnel, materials and waste. The manufacture of construction materials will also generate emissions. New homes will generate new emissions mainly through lighting and heating and the powering of domestic appliances. These increases will be mitigated through the requirement for prospective contractors to demonstrate how they will reduce emissions from the above and monitored through the construction period. The Council will continue to ensure that new homes are as energy efficient as possible and employ the use of modern methods of construction where value for money can be demonstrated as well as carbon reduction. The actual energy performance of new homes will be monitored to ensure that they meet expected standards. |

| Supporting information: | |
|---|---|
| Completed by:<br>(Name, title, and service area/directorate). | Nick Ward,<br>Place and Quality Manager,<br>Strategic Housing and Development Service,<br>Adult Care, Housing and Public Health |
| Please outline any research, data, or information used to complete this [form]. | No relevant data or research used. |
| If quantities of emissions are relevant to and have been used in this form please identify which conversion factors have been used to quantify impacts. | No relevant data or research used. |
| Tracking [to be completed by Policy Support / Climate Champions] | Sam Blakeborough, Policy Officer, PPI, ACEX |

Rotherham Metropolitan Borough Council

Public Report
Cabinet

**Committee Name and Date of Committee Meeting**
Cabinet – 11 July 2022

**Report Title**
Household Support Fund

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

**Strategic Director Approving Submission of the Report**
Jo Brown, Assistant Chief Executive

**Report Author(s)**
Steve Eling
Policy and Equalities Manager
Assistant Chief Executive's Directorate

Steve.eling@rotherham.gov.uk

**Ward(s) Affected**
Borough-Wide

**Report Summary**

Cabinet received a report in May 2022 covering the extension of the Household Support Fund (HSF) for the period March to September 2022. The report provided for provisional allocation with some of the grant to be held in reserve for a further decision.

This report makes recommendations for use of the current reserved fund along with some allocations and direction for the second half of the year.

The Government has now announced a further extension of HSF covering October 2022 to March 2023. Final allocations and grant conditions have not yet been received. A further report will be presented when these provisions are known.

**Recommendations**

1. That the allocation of Household Support Fund grant of £2,489,030 for the first half of 2022/2023 be updated as follows:

    a) Food vouchers for children eligible for free school meals be increased to £1,433,775.

b) £45,000 allocation to support care leavers, being young people leaving foster or local authority care and living independently in their own accommodation who are responsible for paying their own utility bills, providing additional financial support through the cost of living increases.

c) That the £250,000 for pensioner households to apply for support with rising household living costs be maintained at the level set in May Cabinet report.

d) That the remaining funding is distributed equally across pensioners in receipt of Council Tax Support as at 31st August 2022.

2. Subject to further announcement and receipt of allocations and grant conditions for HSF covering the period October 2022 to March 2023, a further report be presented to Cabinet in the Autumn to assess progress made and make allocations.

**List of Appendices Included**

Appendix 1 Equalities screening (Form A)
Appendix 2 Carbon Impact Assessment

**Background Papers**
Department for Work and Pensions, Household Support Fund Grant Determination 2022 No 31
Cabinet - 16 May - Household Support Fund

**Consideration by any other Council Committee, Scrutiny or Advisory Panel**
None

**Council Approval Required**
No

**Exempt from the Press and Public**
No

**Household Support FundHousehold** Support Fund

## 1. Background

1.1 Cabinet received a report in May 2022 covering the extension of the Household Support Fund (HSF) for the period March to September 2022. The report provided for provisional allocations with some of the grant to be held in reserve for a further decision.

1.2 The Government has now announced a further extension of HSF covering October 2022 to March 2023. Allocations and grant conditions have not yet been received. A further report will be presented to make allocations of the fund in the autumn.

## 2. Key Issues

2.1 The Government announced in the Spring Statement 2020 an allocation of £500 million additional funding for the Household Support Fund for the period April to September 2022. This resulted in an allocation for Rotherham of £2,489,030 for that period. All funding must be spent or committed by the end of September. This includes provision to fund food vouchers for the October half term school holidays.

2.2 The purpose of the grant is to provide support to households, particularly those including children and pensioners, who would otherwise struggle to buy food or pay essential utility bills or meet other essential living costs or housing costs (in exceptional cases of genuine emergency) to help them with significantly rising living costs.

2.3 The grant conditions for the period March to September 2022 set out that:

- At least 33.33% of the grant is allocated to support households that include:
  - a person who will be under the age of 19 as at 30th September 2022, or
  - a person aged 19 or over in respect of whom a child-related benefit is paid or free school meals are provided during the Grant Period.

- At least 33.33% of the grant is allocated to support households that include a person who has reached state pension age by 30th September 2022.

- Up to 33.33% of the grant is used to assist other households.

- Authorities are to ensure that the grant is primarily allocated to support with the costs of food, energy (for heating, lighting and cooking), water (for household purposes, including sewerage) and other essential living needs in accordance with the Scheme guidance.

- In exceptional circumstances of genuine emergency, the Authority may allocate grant funds to support with housing costs as set out in the Scheme guidance.

- Eligible spend does not include:
  - Advice services including debt advice.
  - Mortgage costs.

2.4 At its meeting in May, Cabinet resolved to allocate funding of £1,421,400 for food vouchers to children eligible for free school meals for school holidays through to October half term 2022 and £250,000 to enable applications from pensioner households for assistance with cost-of-living increase hardship, to be provided alongside the Council's Covid Recovery Fund supporting households with increasing energy costs.

2.5 £817,630 has been held in reserve, to allow the Council to assess progress with the above schemes and make further allocations in accordance with the grant conditions.

2.6 As part of addressing the cost of living crisis, the government has announced a further £500 million allocation of HSF to provide for the period October 2022 to March 2023. The allocations and grant conditions have not yet been received but it is expected that current use of HSF in Rotherham will continue to be supported going forward. The grant allocation is expected to be the same at £2,489,030.

2.7 <u>Progress to date</u>

2.7.1 The Council's energy support and HSF hardship application process is now open to applications. Detailed figures on applications received and grants awarded will be available at the Cabinet meeting. Work to ensure that pensioner households are aware of the support available is being taken forward through advice agencies and organisations providing services to older people. Information has also been provided to the media and being promoted through the Council's website to give maximum coverage.

2.7.2 Food vouchers to children eligible for free school meals for school holidays have been provided for the Spring half term. 11,912 children were supported. This is a slight increase on the 11,845 children identified in April as eligible. Assuming the same eligible numbers through to October half term, this would increase the allocation required to £1,433,775.

## 3. Options considered and recommended proposal

3.1 The options to be considered include both the use of the reserve fund following the decision of Cabinet in May, and the additional allocation of HSF, subject to final allocation and grant conditions, covering the period from October 2022 to March 2023. Options have been considered with engagement with service providers and partners. The options have been assessed to meet the criteria of the grant funding streams aligned with the other actions being taken by the Council to support people in need.

3.2 The options are based on a remaining fund of £805,305, taking account of increased numbers of children eligible for free school meals.

3.3 Support for care leavers

3.3.1 A £45,000 fund allocation is requested to support care leavers. This would be utilised to provide additional financial support through the cost of living increases. Care Leavers are defined as young people living independently in their own accommodation within the borough who are responsible for paying their own utility bills. The Council has a responsibility to provide support for those leaving foster or local authority care up to the age of 21 or 25 if required.

3.3.2 The aim of this additional support is to relieve pressure on young people who are facing the financial challenge of rising cost of living. It can be used to make payments towards utility costs, food and other household items.

3.3.3 Funding would be made available covering eligible costs for the period April to September 2022 to comply with the requirements of the Household Grant. It is expected that circa 120 young people will be targeted with this support, however this could rise to 150.

3.3.4 The support would be provided as financial assistance in the form of vouchers or purchase card payment, or in some circumstances payments by BACS to be utilised in making payments towards utility and other costs.

3.3.5 Payments would be made in 2 phases to reduce administration and support costs. The first payment to be made by the end of June (assessing need in the period April to June), with the 2nd payment in early September (covering need July to September). Payments would be dependent on individual need, but typically averaging £10 to £15 per week. Total support provided would be in the region of £250 to £300 per care leaver supported.

3.3.6 Wherever possible, vouchers or purchase card would be used to facilitate payments from this fund. The potential to make direct payments to utility suppliers is also being explored and in addition wherever possible food vouchers would be utilised to ensure targeting of support.

3.3.7 September payments would only be made once June payment usage has been monitored and the support team satisfied that further payment is required and appropriate. Any risks identified with any BACS payments in the first phase will prevent further BACS payment method and if further assistance is required subsequent payments will be made by alternative method.

3.4 Provision of additional support to pensioner households in receipt of Council Tax Support

3.4.1 Additional support to people in receipt of Council Tax Support has previously been provided using hardship funding streams to working age households. In 2022/2023, the Council is providing additional support to working age

households through general fund budget provisions, reducing Council Tax payments for many to nil.

3.4.2 The remaining balance of Household Support Fund is estimated to be £750,255, following the free school meals vouchers, support for care leavers and estimated support for household living costs. This report proposes to use the remaining balance to provide additional help to pensioner households in receipt of Council Tax Support. The equal distribution of the remaining balance would benefit around 8,765 households, based on current numbers and provide a payment expected to be around £85. The actual figure and payments will be determined in September when spend under the other Household Support Fund funding streams is known. The pensioner households will receive this payment without the need to make any application.

3.4.3 That in implementing the proposed additional support, qualifying pensioner households will be those in receipt of Council Tax Support on 31st August 2022 with payments to be made in September 2022.

3.5 Overall use of grant

3.5.1 A report on use of the remaining fund once confirmation is received will be presented in the Autumn when further information is available on take up of hardship grants to pensioners, along with impacts of the cost of living crisis and final government grant conditions.

## 4. Consultation on proposal

4.1 Officers in relevant Council services along with VCS partners have been engaged in producing the recommended options.

## 5. Timetable and Accountability for Implementing this Decision

5.1 Arrangements are in place to commence the range of support measure as soon as approval is in place.

## 6. Financial and Procurement Advice and Implications

6.1 A grant of £2,489,029.87 has been provided by the Department for Work and Pensions (DWP) covering the period March to September 2022. The proposed spend is in accordance with the grant conditions, though progress on spend will need to be tightly monitored to ensure that the ratios of grant spend to households with children and pensioners are adhered to.

6.2 A further grant, expected to be £2,489,029.87 has been announced by the government. Whilst final grant conditions have not yet been provided, the proposed spend is in accordance with the existing grant conditions.

6.3 There are no direct procurement implications arising from the recommendations detailed in the report. If there is a need to procure goods and services in the delivery of this support, this must be undertaken in line with

both the Council's own Financial and Procurement Procedure Rules (FPPR's) and the Public Contracts Regulations 2015 (as amended).

## 7. Legal Advice and Implications

7.1 The recommended proposals are in accordance with the conditions of use of the grant. Further, the scheme is consistent with relevant public law principles, in particular it is lawful, fair and rational.

7.2 The Council can support this type of local welfare provision under the "Local authority's general power of competence", as set out in S.1 of the Localism Act 2011 (c. 20). Further Local authorities' have the ability to act in this area under powers contained in other legislation, for example, section 2 of the Local Government Act 2000 enables local authorities to provide financial assistance to any individual.

## 8. Human Resources Advice and Implications

8.1 There are no Human Resources implications associated with this report.

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

9.1 At least 33.3% of households supported through the Household Support Fund will be families with children.

9.2 The allocation of funding to support living costs of care leavers at a time of cost of living increases will provide protection for vulnerable young people.

## 10. Equalities and Human Rights Advice and Implications

10.1 The objectives of the use of the grants and targeting towards vulnerable households including families with children will contribute to addressing economic and social inequalities. It will have a positive equalities impact.

10.2 Equalities data will be collected as part of administering the programme of support.

## 11. Implications for CO2 Emissions and Climate Change

11.1 There are no implications for CO2 emissions of climate change.

## 12. Implications for Partners

12.1. Partner organisation will be engaged in making referrals to support provided under the grant.

## 13. Risks and Mitigation

13.1 Risk is primarily centred around achieving, whilst not exceeding spend of the grant.

**14. Accountable Officers**

Steve Eling
Policy and Equalities Manager
Assistant Chief Executive's Directorate

Steve.eling@rotherham.gov.uk

Approvals obtained on behalf of Statutory Officers: -

| | **Named Officer** | **Date** |
|---|---|---|
| Chief Executive | Sharon Kemp | 27/06/22 |
| Strategic Director of Finance & Customer Services (S.151 Officer) | Judith Badger | 23/06/22 |
| Assistant Director, Legal Services (Monitoring Officer) | Phillip Horsfield | 23/06/22 |

*Report Author:* *Steve Eling*
*Policy and Equalities Manager*
*Assistant Chief Executive's Directorate*

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

Steve.eling@rotherham.gov.uk
This report is published on the Council's website.

## PART A - Initial Equality Screening Assessment

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

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

Completed at the earliest opportunity it will help to determine:

- the relevance of proposals and decisions to equality and diversity
- whether or not equality and diversity is being/has already been considered, and
- whether or not it is necessary to carry out an Equality Analysis (Part B).

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

| **1. Title** | |
|---|---|
| **Title: Household Support Fund** | |
| **Directorate:**<br>**ACX** | **Service area:**<br>**PPI** |
| **Lead person:**<br>**Steve Eling** | **Contact number:**<br>**01709 254419** |
| Is this a:<br>☐ **Strategy / Policy** ☒ **Service / Function** ☐ **Other**<br>**If other, please specify** | |

| **2. Please provide a brief description of what you are screening** |
|---|
| The Government provided a second allocation of Household Support Fund (HSF) grant together with conditions and guidance on 1st April 2022. The funding covers the period 1st April to 30th September 2022. The funding must be used or allocated during that time.<br><br>A report making allocations of the fund was presented to Cabinet on 16th May 2022. Cabinet agreed provisional allocations and held a reserve to be considered in a further report. This report provides for the reserve fund to be allocated. |

| 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.<br><br>The following questions will help you to identify how relevant your proposals are.<br><br>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?<br>*(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)* | x | |
| Could the proposal affect service users?<br>*(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)* | x | |
| Has there been or is there likely to be an impact on an individual or group with protected characteristics?<br>*(Consider potential discrimination, harassment or victimisation of individuals with protected characteristics)* | x | |
| Have there been or likely to be any public concerns regarding the proposal?<br>*(It is important that the Council is transparent and consultation is carried out with members of the public to help mitigate future challenge)* | | x |
| Could the proposal affect how the Council's services, commissioning or procurement activities are organised, provided, located and by whom?<br>*(If the answer is yes you may wish to seek advice from commissioning or procurement)* | | x |
| Could the proposal affect the Council's workforce or employment practices?<br>*(If the answer is yes you may wish to seek advice from your HR business partner)* | | x |
| If you have answered no to all the questions above, please explain the reason | | |
| The objectives of the use of the grants and targeting towards vulnerable households including families with children will contribute to addressing economic and social inequalities. It will have a positive equalities impact. | | |

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**.**<br><br>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.<br><br>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?**<br>Owing to the limited timescale between Government announcement of the of the funding streams, knowledge of tackling the COVID pandemic to date including support to low-income households from earlier grants streams has been used to inform the proposed uses of the grant funding now available. |
| • **Key findings**<br>There are specific impacts for low income households with children, from BAME communities and low income pensioners. The current increase in energy prices as part of cost of living increases are likely to have greatest impact on the lowest income and most vulnerable households. |
| • **Actions**<br>Equalities data will be collected as part of delivering the proposed support packages. An equality analysis will be completed on the basis of the data collected to inform delivery of the funding streams and at the end of the funding period. It is not possible to complete a full EA ahead of delivering the grant funded support |

| | |
|---|---|
| Date to scope and plan your Equality Analysis: | 30th April 2023 |
| Date to complete your Equality Analysis: | 30th April 2023 |
| Lead person for your Equality Analysis<br>(Include name and job title): | Steve Eling<br>Policy and Equalities Manager |

| 5. Governance, ownership and approval | | |
|---|---|---|
| Please state here who has approved the actions and outcomes of the screening: | | |
| **Name** | **Job title** | **Date** |
| Jo Brown | Assistant Chief Executive | 22nd June 2022 |

## 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** | 22nd June 2022 |
| **Report title and date** | Household Support Fund<br><br>11th July 2022 |
| **If relates to a Cabinet, key delegated officer decision, Council, other committee or a significant operational decision – report date and date sent for publication** | Cabinet<br><br>Household Support Fund<br><br>11th July 2022 |
| **Date screening sent to Performance, Intelligence and Improvement equality@rotherham.gov.uk** | 22nd June 2022 |

User guidance:

- The first section of this form guides users through considering major areas where emissions are likely to occur. If emissions are impacted in a way not covered by these categories, please identify this at the bottom of the section
- The first section should be filled as such:
  - ***Impact***: identify, in relation to each area, whether the decision of the proposal does the following: *reduces emissions*, *increases emissions*, or has *no impact on emissions*. If it is uncertain this section can be labelled *impact unknown*
  - If ***no impact on emissions*** is identified: no further detail is needed for this area, but can be added if relevant (e.g. if efforts have been made to mitigate emissions in this area.)
  - ***Describe impacts or potential impacts on emissions***: two sections deal respectively with emissions from the Council (including those of contractors), and emissions across Rotherham as a whole. In both sections please explain any factors that are likely to reduce or increase emissions. If ***impact unknown*** has been selected, then identify the area of uncertainty and outline known variables that may affect impacts.
  - In most cases there is no need to quantify the emission impact of an area after outlining the factors that may reduce or increase emissions. In some cases, however, this may be desirable if factors can be reduced to a small number of known variables (e.g. if an emission impact is attached to a known or estimated quantity of fuel consumed).
  - ***Describe any measures to mitigate emission impact:*** regardless of the emission impact, in many cases steps should be taken in order to reduce mitigate all emissions associated with each area as far as possible; these steps can be outlined here (For example: if a proposal is likely to increase emissions but practices or materials have been adopted in order to reduce this overall impact, this would be described here).
  - ***Outline any monitoring of emission impacts that will be carried out:*** in this section outline any steps taken to monitor emission levels, or steps taken to monitor the factors that are expected to increase or reduce emission levels (for example, if waste or transport levels are being monitored this would be described here)
- A ***summary paragraph*** outlining the likely overall impacts of the proposal/decision on emissions should then be completed - this is not required if the proposal/decision has no impact across all areas.
- The supporting information section should be filled as followed:
  - Author/completing officer
  - ***Research, data, or information*** may refer to datasets, background documents, literature, consultations, or other data-gathering exercise. These should also be added to the ***supporting documents*** section of the cabinet report

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- Carbon Impact Assessments are to be appended to the associated cabinet reports
- Prior to publishing reports, Carbon Impact Assessments should be sent to climate@rotherham.gov.uk for feedback
- Report authors may also use the above email address to direct any further queries or to access further support regarding completing the assessment

| Will the decision/proposal impact… | Impact | If an impact or potential impacts are identified | | | |
|---|---|---|---|---|---|
| | | Describe impacts or potential impacts on emissions from the Council and its contractors. | Describe impact or potential impacts on emissions across Rotherham as a whole. | Describe any measures to mitigate emission impacts | Outline any monitoring of emission impacts that will be carried out |
| Emissions from non-domestic buildings? | N/A | | | | |
| Emissions from transport? | N/A | | | | |
| Emissions from waste, or the quantity of waste itself? | N/A | | | | |
| Emissions from housing and domestic buildings? | N/A | | | | |
| Emissions from construction and/or development? | N/A | | | | |
| Carbon capture (e.g. through trees)? | N/A | | | | |
| Identify any emission impacts associated with this decision that have not been covered by the above fields:<br>N/A | | | | | |

| Please provide a summary of all impacts and mitigation/monitoring measures:<br>N/A |
|---|

| Supporting information: | |
|---|---|
| Completed by:<br>(Name, title, and service area/directorate). | Steve Eling, Policy & Equalities Manager, Assistant Chief Executives Directorate |
| Please outline any research, data, or information used to complete this [form]. | N/A |
| If quantities of emissions are relevant to and have been used in this form please identify which conversion factors have been used to quantify impacts. | N/A |
| Tracking [to be completed by Policy Support / Climate Champions] | N/A |

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Rotherham Metropolitan Borough Council

Public Report
Cabinet

**Committee Name and Date of Committee Meeting**
Cabinet – 11 July 2022

**Report Title**
Transport Capital Programme 2022-23

**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)**
Andrew Moss, Interim Head of Transport Infrastructure
andrew.moss@rotherham.gov.uk

**Ward(s) Affected**
Borough-Wide

**Report Summary**
This report outlines the Transport Capital Programme for 2022-23 and sets out the sources of funding. It provides an overview of the aims of the various project themes that this funding will be used for and describes how projects will subsequently be managed within those themes. The report recommends the 2022-23 programme be noted and approved.

**Recommendations**

1. That Cabinet note the funding, as stated in the report, and that it will be used to support delivery of the Council's programme of transport projects.

2. That Cabinet approve receipt of £1.2 million City Region Sustainable Transport Settlement (CRSTS) – Local & Neighbourhood Improvement block funding, and £181,000 South Yorkshire Mayoral Combined Authority capital for pedestrian crossings, as set out in paragraph 2.1.

3. That Cabinet approve the allocations for use of this funding, and previously approved RMBC capital funding, as set out in paragraph 2.1.

4. That Cabinet approve the schemes set out in paragraphs 2.8 and 2.10 for delivery under the 2022-23 Transport Capital Programme. Further schemes for development and delivery will be presented in a future Cabinet for approval once they have been identified.

**List of Appendices Included**

Appendix 1 Ongoing wider RMBC Transport Capital Programme
Appendix 2 Part A Initial Equality Screening Assessment
Appendix 3 Carbon Impact Assessment

**Background Papers**
City Regions Sustainable Transport Settlement: guidance for mayoral combined authorities

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

**Council Approval Required**
No

**Exempt from the Press and Public**
No

## 1. Background

1.1 ***Funding arrangements prior to 2022-23***
Transport Capital funding has historically been provided to the Council via the South Yorkshire Mayoral Combined Authority's (SYMCA) Integrated Transport Block (ITB) allocation which is awarded to Local Transport Authorities (LTA) each year from the Department for Transport (DfT) specifically for transportation improvement works. The last financial year, 2021-22, was the final year of that round of funding.

1.2 The following table outlines the transportation themes and amounts of funding for RMBC within each theme for the year just ended, 2021-22. These figures reflect a similar approach in years immediately preceding that year.

*Table 1 - ITB funding in 2021-22*

| | |
|---|---|
| Local safety schemes (LSS) | £ 678,000 |
| Connectivity | £ 150,000 |
| Traffic management | £ 150,000 |
| Smarter travel | £ 25,000 |
| Scheme development | £ 151,211 |
| ***Total*** | ***£ 1,154,211*** |

1.3 ***New funding arrangements from 2022-23***
For the period from 2022-23 to 2026-27, a new round of funding, called City Regions Sustainable Transport Settlement (CRSTS), has been confirmed. This funding is awarded to LTAs who, in Combined Authority areas, distribute funding to Local Authorities.

1.4 An allocation of £570 million has been confirmed by DfT for the South Yorkshire region, of which a total of £72.4 million is confirmed for schemes in Rotherham.

1.5 Within RMBC's part of the CRSTS programme, included in the SYMCA Programme Business Case, there is an allocation of £1.2 million per annum for a new Local and Neighbourhood Transport Programme (LNTP), over the five years to 2026-27. In broad terms, this is intended as successor funding for the Integrated Transport Block.

1.6 There is an expectation from DfT that all CRSTS funding, including LNTP, will contribute to the overarching objectives of –

- driving growth and productivity through infrastructure investment;
- levelling up services towards the standards of the best; and,
- decarbonising transport, especially promoting modal shift from cars to public transport, walking and cycling.

1.7 Additionally, SYMCA propose to allocate an additional £181,000 of Gainshare for the delivery of pedestrian crossings. This may be subject to a business case process within SYMCA, further detail of which is not available at the time of writing.

## 2.0 Key Issues

2.1 For the 2022-23 Transport Capital Programme, it is proposed to revise the funding profile across the themes set out in the table below. This provides a larger fund for Local Neighbourhood and Road Safety Schemes – enabling local concerns to be addressed across a wider range of concerns relating to local road safety and traffic management matters.

*Table 2 - Proposed Local Neighbourhood Transport Programme (LNTP)*

| | £ thousands | | | | |
|---|---|---|---|---|---|
| | Carry forward | CRSTS (LNTP) | RMBC capital | SYMCA capital | **Total** |
| LTP committed projects | 371 | 571 | | | **942** |
| Operational activity | | 20 | | | **20** |
| Pedestrian crossings | 110 | 129 | 100 | 181 | **520** |
| Collision Investigation & Prevention (CIP) | | 25 | | | **25** |
| Local Neighbourhood and Road Safety Schemes (LN RSS) | | 295 | 150 | | **445** |
| Scheme Development | | 100 | | | **100** |
| Minor Works | | 60 | | | **60** |
| Total | 481 | 1,200 | 250 | 181 | **2,112** |

2.2 **Introduction of the Local Neighbourhood and Road Safety Schemes theme**

Building on lessons learned from the existing Neighbourhood Road Safety Programme engagement process, the opportunity is being taken to change the focus of funding from specialised transport topics and place more emphasis on local community road network needs. The bulk of funding in the proposed programme is placed on improvement projects which will provide real local benefit on the Council's roads. The change in name is proposed to emphasise this fund is about addressing concerns within the community, and to avoid confusion with measures to directly reduce the incidence of injury on the road network - i.e. the statutory studies referred to in this report under Collision Investigation and Prevention.

2.3 This is an enhancement which builds on the Neighbourhood Road Safety Fund of £150,000, approved by Council in March 2022. An additional £295,000 of CRSTS funding is to be allocated to this programme in 22/23, contributing to a programme total of £3 million over 36 months (spread over four financial years) as set out in paragraph 2.4 below. Typical measures may include traffic & parking restrictions, new or improved crossings, speed control measures, or small-scale highway improvements.

2.4 Using an engagement process based primarily on consultation with Ward Members, Officers will identify areas for investigation based on a number of factors, including –

- Volume of correspondence received from the community, including ward members
- Indices of multiple deprivation
- Potential carbon savings from active travel
- Road traffic collision data.

2.5 Following the prioritisation of areas for investigation, a number of areas will be taken forward to study. Each study will include a community engagement exercise to gain a more detailed understanding of local needs and concerns regarding transport in their area. This study will also consider road traffic collisions, and the performance of the existing situations in respect of conditions for walking and for cycling.

2.6 The output of this study will be the identification of options for intervention that can address concerns within communities, considered in consultation with Ward Members, in a manner that supports Council and funders' objectives. It is proposed that these interventions will be agreed by the Strategic Director Regeneration and Environment in consultation with the Cabinet Member for Transport and the Environment, prior to being added to the programme. Some larger projects identified may be beyond the means of scope of Local Neighbourhood and Road Safety Schemes – these will be considered for future years of Scheme Development funding.

2.7 The programme set out in Table 2, above (section 2.1) is the first year of a five-year programme of funding. Whilst this report does not seek approval for future years, a forward programme has been developed for information. The RMBC capital contribution was approved for the years and values indicated in the March budget as "Neighbourhoods Road Safety Measures".

*Table 3 – Forecast programme to 26-27*

| | 22/23 | 23/24 | 24/25 | 25/26 | 26/27 | **Total** |
|---|---|---|---|---|---|---|
| LTP committed Projects | 942 | | | | | **942** |
| Operational activity | 20 | 20 | 20 | 20 | 20 | **100** |
| Pedestrian crossings | 520 | 180 | 20 | 160 | | **880** |
| Collision Investigation & Prevention | 25 | 100 | 100 | 100 | 100 | **425** |
| Local Neighbourhood and Road Safety Schemes | 445 | 990 | 1150 | 415 | | **3,000** |
| Scheme development | 100 | 100 | 100 | 250 | 250 | **755** |
| Minor works | 60 | 60 | 60 | 60 | 60 | **300** |
| Unallocated | 0 | 0 | 0 | 195 | 770 | **935** |
| **Total** | **2,112** | **1,450** | **1,450** | **1,200** | **1,200** | **7,412** |
| *of which from…* | | | | | | |
| *… carry forward* | *481* | | | | | ***481*** |
| *… CRSTS* | *1,200* | *1,200* | *1,200* | *1,200* | *1,200* | ***6,000*** |
| *… SYMCA capital* | *181* | | | | | ***181*** |
| *… RMBC capital* | *250* | *250* | *250* | | | ***750*** |

2.8 The above transport themes will deliver projects in the following areas: -

***Committed projects £942,000***
These consist of works to which the Council is committed to deliver from previous programmes. A full list of projects under this theme is included in Table 4 below. No further schemes will enter this theme, and this theme will be wound up after 22-23 financial year.

*Table 4 – Commitments slipped into 22-23*

| *Project* | *Value (£ thousands)* |
|---|---|
| Coach Road, Greasbrough | 540 |
| Rotherway Roundabout indirect signal control | 55 |
| A.57 Todwick Roundabout monitoring and evaluation | 10 |
| Great Eastern Way pedestrian crossing | 60 |
| Roughwood Road refuges | 58 |
| Safety schemes markings (Cumwell Ln/Psalter Ln) | 95 |
| Colliery Road traffic calming | 29 |
| Fenton Road cycleway monitoring | 40 |
| Haugh Road LSS | 25 |
| Laughton Common LSS | 20 |
| College Road Roundabout outstanding works | 10 |
| Total | 942 |

2.9 ***Operational activity £20,000***
These cover operational matters for which no alternative funding is available. In 2022-23, this consists of, for example, costs relating to the operation of the Council's stock of Automatic Traffic Counters which is used to gather data in support of capital scheme development and monitoring.

2.10 ***Pedestrian crossings £520,000***
Introduction and/or improvement of pedestrian crossing facilities.

These crossings, listed below, will take first call for funding through the pedestrian crossings theme. The forward programme to 25/26 is also shown, to illustrate delivery programme for the remaining legacy crossings.

*Table 5 – Pedestrian crossings programme*

| *Crossing* | *22/23* | *23/24* | *24/25* | *25/26* | ***Total*** |
|---|---|---|---|---|---|
| Upper Wortley Road | 200 | | | | **200** |
| Morthen Road | 160 | | | | **160** |
| Meadowbank Road | 160 | | | | **160** |
| Corton Wood | | 180 | | | **180** |
| Broad Street | | | 20 | 160 | **180** |
| **Total** | **520** | **180** | **20** | **160** | **880** |
| *of which…* | | | | | |
| *… carried forward* | *50* | | | | ***50*** |
| *… CRSTS* | *129* | | | | ***129*** |
| *… SYMCA capital* | *181* | | | | ***181*** |
| *… RMBC capital* | *160* | *180* | *20* | *160* | ***520*** |

2.11 ***Collision Investigation & Prevention £25,000***
This part of the programme (formerly known as Local Safety Schemes) is for reactive, evidence-led collision reduction schemes, focused on sites with an accident history. The sole focus of this theme is discharge of the Council's statutory duty under s.39, Road Traffic Act 1988 to undertake studies into road traffic collisions, and to take steps to reduce and prevent future recurrence. Where possible, these measures will be aligned to, or incorporated within, the wider approach to addressing local transport and road safety improvements at Ward level, set out under Local Neighbourhood and Road Safety Schemes section below.

2.12 For 2022-23 it is proposed that studies are undertaken, with schemes to be implemented the following financial year. As it is the first year of funding in this format this will allow adequate time for delivery based on up-to-date collision data available in later in the year. With the exception of Cumwell Lane (referred to in Table 4 above) no Collision Prevention schemes are proposed to be delivered in 22-23 as a result.

2.13 ***Local Neighbourhood and Road Safety Schemes £445,000***
As detailed in section 2.2 above, this part of the programme will deliver measures to improve connectivity, accessibility, safety and perceptions of safety in local communities. Typical measures may include traffic & parking restrictions, new or improved crossings, speed control measures, or small-scale highway improvements.

2.14 ***Scheme development £100,000***
This theme is for work to understand pressures and issues relating to the transport system in Rotherham, and to prepare feasibility studies prior to projects beginning. This in turns enables potential schemes to be developed to a point so they can be submitted to external funding opportunities as they arise. They also inform the development of Council strategy and policy in respect of Transport and on cross- cutting issues where there is a relationship to transport.

2.15 ***Minor works £60,000***
A theme is identified for small scale works to address minor requests in the highway – for example for new dropped kerbs, or for bollards and/or minor Traffic Regulation Orders to address inconsiderate parking. Officers will present a regular briefing to the Cabinet Member.

2.16 ***Proposed programme of future schemes***
At this time, schemes have not been identified within every theme, because this is subject to assessment and prioritisation that has not yet been undertaken. This report seeks delegated authority to admit schemes into the programme following that prioritisation, to be granted to the Strategic Director for Regeneration and Environment in consultation with the Cabinet Member for Transport and Environment.

2.17 In addition to the above programmes, and included for information and reference only, all current local transport schemes included in the Transport Capital Programme and their funding sources are set out in Appendix 1.

## 3. Options considered and recommended proposal

3.1 Option 1 – utilise CRSTS element of 2022-23 approved funding as set out in paragraph 2.1, to reflect updated policy and funding environment. Note the approval relates to the CRSTS funding only; the local contributions having been approved previously. This is the recommended option.

3.2 Option 2 – Maintaining funding levels for transport in line with previous years' funding themes, updating to reflect an increased total sum granted from SYMCA. This option is not recommended, in part because it is not considered to demonstrably meet the objectives of the new CRSTS funding stream.

3.3 Option 3 – Allocating the total fund as a single theme and assigning funds on a case-by-case basis when project proposals are approved for programme entry. This is considered to present too much uncertainty as to how much funding is available at any one time and risks causing distraction within the project delivery process. It may also open the Council up to challenge if this leaves RMBC unable to demonstrate contribution to funders' objectives. It is not recommended.

## 4. Consultation on proposal

4.1 No community consultation has yet taken place. This is considered to be undertaken at a point once further detail on projects within each programme are identified and sufficiently developed to enable meaningful consultation.

4.2 Consultation on individual projects takes place at levels consistent with the scale of each project. For example, small schemes often engage with Ward Councillors and local community interests whereas larger schemes require wider community and public engagement.

4.3 For Local Neighbourhood and Road Safety Schemes, consultation will form a fundamental part of the approach for developing proposals, as outlined in section 2.2.

## 5. Timetable and Accountability for Implementing this Decision

5.1 Following approval of the Council's capital budget, the programme will be delivered as part of the 2022-23 capital programme of the Council.

## 6. Financial and Procurement Advice and Implications

6.1 The report covers proposals for local Transport schemes based on current, new and expected funding from Government. In some cases, the total future funding is not yet fully confirmed. The new funding, known as the City

Regions Sustainable Transport Settlement (CRSTS) is however confirmed and is available to be utilised to supplement local Transport schemes.

6.2 It is expected that project delivery will be through the Council's Highways Delivery Team where possible. If external consultancy or contractor engagement is required to support delivery of the schemes the appropriate procurement strategy will be developed in compliance with the Council's own Financial and Procurement Procedure Rules; business cases will be documented where necessary and routes to markets identified which comply with the Public Contract Regulations 2015 (as amended).

## 7. Legal Advice and Implications

7.1 There are no specific legal implications associated with the programme but some projects within the programme will have legal implications and require legal assistance. For example, this may include the acquisition of land in third party ownership and development of Traffic Regulation Orders (TROs).

## 8. Human Resources Advice and Implications

8.1 There are no Human Resources implications arising from this report. The programme will be delivered through existing staff resources within the Transportation and Highways Design Service within Planning, Regeneration and Transportation. Specialist consultants, the internal highways service provider (Highways Delivery Team) and external works providers will be used as required and in accordance with Council procurement procedures.

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

9.1 The implications of the programme will depend on the schemes that will be delivered, which are unknown at this point. Typically, measures such as improved crossings, reduce road traffic collisions and local transport improvements can be expected to improve conditions for children, young people and vulnerable adults – this will need to be confirmed by Equalities Impact Assessment (EqIA) (where proportionate to intervention) once schemes are identified.

9.2 The pooling of resourcing to enable a larger spend under the Local Neighbourhood and Road Safety Schemes, and the greater emphasis on neighbourhood engagement, will improve the Council's understanding of equalities issues and should facilitate the development of schemes which support the interests of children, young people and vulnerable adults.

## 10. Equalities and Human Rights Advice and Implications

10.1 An Equalities Screening Assessment is attached at Appendix 2 of this report. The implications of the programme will depend on the schemes that will be delivered, which are unknown at this point. Typically, measures such as improved crossings, reduce road traffic collisions and local transport improvements can be expected to improve equalities – this will need to be

confirmed by Equalities Impact Assessment where proportionate and once schemes are identified.

10.2 The proposed revision of process to assess pedestrian crossings so as to be more user-focused should in and of itself improve equalities and will allow for specific tests to be undertaken to consider impacts on people with protected characteristics.

10.3 The pooling of resourcing to enable a larger spend under the Local Neighbourhood and Road Safety Schemes, and the greater emphasis on neighbourhood engagement, will improve the Council's understanding of equalities issues and should facilitate the development of schemes which support greater equality.

## 11. Implications for $CO_2$ Emissions and Climate Change

11.1 $CO_2$ emissions impacts have not been quantified, as it is not possible to do this at this stage of programme development. However, at high level it is anticipated these will fall into three categories –

- Emissions from transport (impact unknown)
- Emissions from construction (forecast increase emissions)
- Operational emissions (forecast increase emissions)

Further detail can be found in the Carbon Impact Assessment at Appendix 3.

## 12. Implications for Partners

12.1 Transport infrastructure schemes carry implications for all road users – which in practice is everyone. In terms of partner agencies and organisations, key stakeholders are the emergency services, utility provider companies, transport operators (road & rail), road haulage associations and companies, key highway user groups such as motoring, cycling, walking and disability representation bodies. The exact nature of these implications will vary considerably between individual schemes.

12.2 Where required engagement takes place with interested parties during scheme development and at construction. Any implications that may arise through specific measures would be addressed as part the scheme design and / or Traffic Regulation Order process that governs the operation and use of the road network.

## 13. Risks and Mitigation

13.1 Project risks are identified within scheme design, business case preparation and then at operational level during the construction process. These are managed using recognised risk register approaches and in accordance with the Council's contract procedure rules for the approval of any project or programme changes.

**14. Accountable Officers**

Andrew Moss
Interim Head of Transport Infrastructure
Email: andrew.moss@rotherham.gov.uk
Nat Porter
Senior Transport Planner
Email: nat.porter@rotherham.gov.uk

Approvals obtained on behalf of Statutory Officers: -

| | **Named Officer** | **Date** |
|---|---|---|
| Chief Executive | Sharon Kemp | 27/06/22 |
| Strategic Director of Finance & Customer Services (S.151 Officer) | Judith Badger | 23/06/22 |
| Assistant Director, Legal Services (Monitoring Officer) | Phil Horsfield | 23/06/22 |

*Report Author:* Andrew Moss, Interim Head of Transport Infrastructure

This report is published on the Council's website.

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**Appendix 1 – Wider existing RMBC Transport Capital Programme**

| **Transport Capital Programme 22-23 onwards** | £ million |
|---|---|
| *Monies carried forward* | 0.5 |
| *DLUHC Local Growth Fund (to 22-23)* | |
| A.630 Sheffield Parkway Widening | 46.0 |
| Coach Road junction improvement, Greasbrough | 2.4 |
| *Fund subtotal* | *48.4* |
| *DLUHC Get Britain Building Fund (to 22-23)* | |
| The Whins junction improvement, Greasbrough | 0.8 |
| *DfT Transforming Cities Fund* (to 22-23)* | |
| Sheffield Road cycleways | 6.8 |
| Frederick St public realm & cycleway (contribution) | 0.5 |
| Moor Road cycleway, Manvers | 0.4 |
| A.631 Rotherham to Maltby bus corridor | 2.3 |
| A.630 Doncaster Road improvement, Dalton | 1.9 |
| Forge Island Footbridge | 1.0 |
| *Fund subtotal* | *12.9* |
| *DfT Active Travel Fund & SYMCA Gainshare (to 22-23)* | |
| Broom Road & Wellgate cycleways | 1.5 |
| *JAQU Clean Air Implementation Fund (to 22-23)* | |
| Bellows Road junction improvement, Rawmarsh | 2.4 |
| Wortley Road HGV prohibition | 0.1 |
| A.630 Sheffield Parkway 50 mph speed limit | 0.2 |
| Fitzwilliam Road signals operation improvement | < 0.1 |
| *Fund subtotal* | *2.7* |
| *RMBC Capital Budget* | |
| Neighbourhood Road Safety Fund | 0.2 |
| Additional pedestrian crossing funding | 0.1 |
| *Fund subtotal* | 0.3 |
| DfT City Region Sustainable Transport Settlement | 72.4 |
| *…of which* | |
| ***…22/23 Local & Neighbourhood Improvements*** | ***1.0*** |
| *…Future years' Local & Neighbourhood Improvements* | *5.0* |
| *… Transport Network Asset Maintenance* | *20.0* |
| **SYMCA gainshare for pedestrian crossings (22-23)** | **0.2** |
| *Total work in progress 2022-23* | 139.7 |

*Notes:*

- *Values refer to total value of projects in progress, rather than value of remaining works.*
- *Only values in bold are subject to the report and associated recommendations.*

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## 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:** Transport Capital Programme 22-23 | |
| **Directorate:**<br>Regeneration and Environment | **Service area:**<br>Transportation Infrastructure |
| **Lead person:**<br>Nat Porter | **Contact:**<br>nat.porter@rotherham.gov.uk |

Is this a:

| | | | | | |
|---|---|---|---|---|---|
| ☐ | **Strategy / Policy** | ✓ | **Service / Function** | ☐ | **Other** |

**If other, please specify**

| **2. Please provide a brief description of what you are screening** |
|---|
| Approval of Transport Capital Programme, to be funded from City Region Sustainable Transport Settlement from government to deliver on four theme –<br>• Pedestrian crossings;<br>• Local safety schemes;<br>• Local Neighbourhood Transport Improvements; and,<br>• Scheme development. |

## 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? *(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)* | ✓ | |
| Could the proposal affect service users? *(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)* | ✓ | |
| Has there been or is there likely to be an impact on an individual or group with protected characteristics? *(Consider potential discrimination, harassment or victimisation of individuals with protected characteristics)* | ✓ | |
| Have there been or likely to be any public concerns regarding the proposal? *(It is important that the Council is transparent and consultation is carried out with members of the public to help mitigate future challenge)* | ✓ | |
| Could the proposal affect how the Council's services, commissioning or procurement activities are organised, provided, located and by whom? *(If the answer is yes you may wish to seek advice from commissioning or procurement)* | | ✓ |
| Could the proposal affect the Council's workforce or employment practices? *(If the answer is yes you may wish to seek advice from your HR 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?**

The report details a programme of work, and its division of themes. General consideration has been given to equalities implications of work in these themes; however specific impacts will not be identifiable until individual schemes are identified. It is proposed as schemes are identified under each theme, the programme and schemes within them will be subject to an update of this Initial Screening Assessment, with individual schemes subjected to Equality Analysis as required by RMBC Policy.

- **Key findings**

Local and national data identify a number of inequalities in respect of transport which will need to be considered in the development of the programme, some of which may be cause of or an effect of existing traffic and transport conditions. Headline inequalities identified are –

- Children, young people and the elderly are overrepresented amongst road traffic casualties relative to their population size;
- Wheelchair and mobility scoot users express notably worse satisfaction with provision of safe and level crossing points, and obstruction of footways, than others;
- Men are overrepresented amongst road traffic casualties relative to the average;
- Access to cars is lower amongst people of non-White ethnicity, and amongst lower income households;
- People without access to cars travel significantly less far despite spending similar (but slightly lesser) amounts of time travelling compared to the average. They are also more dependent on non-motorised travel, and especially buses, for their mobility.

**Age**

In Rotherham, amongst all road traffic casualties, adults (and in particular young adults) are overrepresented relative to their populations. However, amongst non-motorised users a different picture emerges - with children, young adults and the elderly all overrepresented in road traffic casualties, relative to their population.

The National Highways & Transport (NHT) Network survey indicates middle aged people are less satisfied with cycle routes and traffic congestion than the population generally, with the elderly being more satisfied with road safety than other age groups. Young adults and the elderly report lesser ease of access to facilities compared to other groups. Unfortunately, this survey gives no data on satisfaction amongst those younger than 16 years.

In 2019, nationally children and young adults travelled less distance than the average. Young people are also more dependent on walking, and along with the elderly, on using buses than people on average, when expressed as a proportion of their total mobility.

Noting this measures much broader activity than walking or cycling (whether for transport or otherwise), but also that walking is the most common broad activity recorded, the Active Lives survey indicates similar levels of activity nationally amongst most age groups, except this declines amongst elderly people of 75 years or older. Unfortunately this data set did not include for children.

**Disability**
The NHT surveys indicates wheelchair and mobility scooter users are considerably less satisfied with pavement condition compared to others, but indicated similar levels of satisfaction in respect of other aspects. However, the reported significantly worse ease of access scores compared against respondents generally. Of note to this programme, levels of satisfaction were notably poor relative to people generally in respect of provision of safe crossing points, provision of dropped kerbs and keeping pavements clear of obstruction.

Noting this measures much broader activity than walking or cycling (whether for transport or otherwise), but also that walking is the most common broad activity recorded, the Active Lives survey indicates notably lower levels of activity nationally amongst people with disabilities.

**Race**
Based on national data for England for 2019, there are notable racial inequalities in transport. For example, people of Asian ethnicity are 17% more likely to be in an household without access to a car compared to average; people of Black, African and/or Caribbean ethnicity are more than twice as likely not to have access to a car.

Noting this measures much broader activity than walking or cycling (whether for transport or otherwise), but also that walking is the most common broad activity recorded, the Active Lives survey indicates notably lower levels of activity nationally amongst Black and non-Chinese Asian people relative to the average.

**Sex**
In Rotherham, men are overrepresented amongst all road casualties, relative to size of population. This is particularly significant for those killed or seriously injured, and also for non-motorised users.

In England before COVID-19, men are more than twice as likely to report cycling for travel at least twice in the previous 28 days as women. For walking, rates are similar between men and women.

The NHT survey did not find significant differences in satisfaction in transport services between men and women. Women responded indicating they found it slightly easier to access services than others. By both measures, those responding with gender other than male or female gave generally poorer scores.

On average, women travel around 14% less than men in total, with greater reliance on buses and less use of cars and bicycles than for men.

**Sexual orientation**
Noting this measures much broader activity than walking or cycling (whether for transport or otherwise), but also that walking is the most common broad activity recorded, the Active Lives survey indicates similar levels of activity amongst people identifying as heterosexual, homosexual or bisexual, but with a lower level of activity observed amongst those with other sexual orientations.

**Religion & belief**
Noting this measures much broader activity than walking or cycling (whether for transport or otherwise), but also that walking is the most common broad activity recorded, the Active Lives survey indicates lower levels of activity amongst people identifying as being of the Buddhist, Hindu, Muslim or Sikh faiths relative to the average.

**Income**
Access to cars correlates with increasing income levels, with nearly twice as many households in the poorest income quintile having no access to a car compared to the average. Annual mobility shows a similar pattern, with people in the local income quintile travelling 36% less than people on average, and 55% less than those in the highest income quintile.

People in the lowest income brackets travel more by bus than people in higher brackets, and less by trains and bicycles. As a proportion of total mobility, people on lower incomes are 60% more dependent on walking, and more than twice as dependent on buses, relative to the average.

Despite this, the Active Lives survey indicates lower levels of activity amongst lower social groups relative to higher ones.

**Access to cars**
Access to a car is observed to have a considerable impact on travel behaviour. Nationally in 2019, people in households travel only around half the milage of people in households with one car, and only a third of the milage of people in households with multiple cars – yet still spend 87% and 77% of the time travelled by those groups.

Nationally, people without access to cars are also more dependent on other modes of transport, as illustrated in the table below. This is especially significant in respect of bus usage.

*Variance between people in households without access to cars compared to general population (NTS, 2019)*

| | *Absolute mileage* | *Proportion of total mileage* |
|---|---|---|
| Car (including as passenger) | -85% | -67% |
| Walk | +39% | +293% |
| Cycle | +32% | +267% |
| Bus | +149% | +853% |
| Rail | -13% | +119% |

Unfortunately, no data or evidence is available in respect of transport inequalities relating to **gender re-assignment, marriage & civil partnership** or **pregnancy & maternity.**

- **Actions**

- Ensuring prioritisation mechanisms for each theme respond to the equalities data highlighted above, and programmes consider existing transport inequalities and are prioritised in a manner that helps address these;

- This includes ensuring consultation and engagement activity, and especially that for the Local Neighbourhood Transport Improvements theme, seeks the view of groups with protected or other characteristics where there may be inequalities of which we are unaware and/or lack information;

- Conduct an Initial Equality Screening Assessment on projects within each theme as these are developed;

- Progress schemes to Equality Analysis where screening assessment indicates this is required.

| | |
|---|---|
| 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 |
|---|---|---|
| Andrew Moss | Interim Head, Transport Infrastructure | 26th May '22 |

## 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** | 26th May '22 |
| **Report title and date** | Transport Capital Programme 22-23<br>11 July 2022 |
| **If relates to a Cabinet, key delegated officer decision, Council, other committee or a significant operational decision – report date and date sent for publication** | 20th June, '22 |
| **Date screening sent to Performance, Intelligence and Improvement equality@rotherham.gov.uk** | 20th May '22 |

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User guidance:

- The first section of this form guides users through considering major areas where emissions are likely to occur. If emissions are impacted in a way not covered by these categories, please identify this at the bottom of the section
- The first section should be filled as such:
  - ***Impact***: identify, in relation to each area, whether the decision of the proposal does the following: *reduces emissions*, *increases emissions*, or has *no impact on emissions*. If it is uncertain this section can be labelled *impact unknown*
  - If ***no impact on emissions*** is identified: no further detail is needed for this area, but can be added if relevant (e.g. if efforts have been made to mitigate emissions in this area.)
  - ***Describe impacts or potential impacts on emissions***: two sections deal respectively with emissions from the Council (including those of contractors), and emissions across Rotherham as a whole. In both sections please explain any factors that are likely to reduce or increase emissions. If ***impact unknown*** has been selected, then identify the area of uncertainty and outline known variables that may affect impacts.
  - In most cases there is no need to quantify the emission impact of an area after outlining the factors that may reduce or increase emissions. In some cases, however, this may be desirable if factors can be reduced to a small number of known variables (e.g. if an emission impact is attached to a known or estimated quantity of fuel consumed).
  - ***Describe any measures to mitigate emission impact:*** regardless of the emission impact, in many cases steps should be taken in order to reduce mitigate all emissions associated with each area as far as possible; these steps can be outlined here (For example: if a proposal is likely to increase emissions but practices or materials have been adopted in order to reduce this overall impact, this would be described here).
  - ***Outline any monitoring of emission impacts that will be carried out:*** in this section outline any steps taken to monitor emission levels, or steps taken to monitor the factors that are expected to increase or reduce emission levels (for example, if waste or transport levels are being monitored this would be described here)
- A ***summary paragraph*** outlining the likely overall impacts of the proposal/decision on emissions should then be completed - this is not required if the proposal/decision has no impact across all areas.
- The supporting information section should be filled as followed:
  - Author/completing officer
  - ***Research, data, or information*** may refer to datasets, background documents, literature, consultations, or other data-gathering exercise. These should also be added to the ***supporting documents*** section of the cabinet report

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- Carbon Impact Assessments are to be appended to the associated cabinet reports
- Prior to publishing reports, Carbon Impact Assessments should be sent to climate@rotherham.gov.uk for feedback
- Report authors may also use the above email address to direct any further queries or to access further support regarding completing the assessment

| Will the decision/proposal impact… | Impact | If an impact or potential impacts are identified | | | |
|---|---|---|---|---|---|
| | | Describe impacts or potential impacts on emissions from the Council and its contractors. | Describe impact or potential impacts on emissions across Rotherham as a whole. | Describe any measures to mitigate emission impacts | Outline any monitoring of emission impacts that will be carried out |
| Emissions from non-domestic buildings? | No impact | | | | |
| Emissions from transport? | Impact unknown | There can be expected to be additional emissions associated with travel related to the development and construction of the projects. | This will ultimately depend on projects taken forward. Generally speaking, schemes which facilitate travel by non-motorised modes and/or public transport may be expected to reduce emissions. Measures which facilitate car ownership or use, or additional travel more generally, may be expected to increase emissions. | Scheme PMs will be expected to provide estimates of changes in carbon emissions consequential to the schemes.<br><br>Emissions will be a factor in the prioritisation of schemes. | To be determined once projects and their impacts are understood in more detail. |
| Emissions from waste, or the quantity of waste itself? | Increase emissions | Most schemes will result in excavations and/or disposal of materials as part of construction, with consequential one-off increase in waste and associated emissions. | No impact expected. | Scheme PMs will be expected to provide estimates of carbon emissions associated with construction of schemes.<br><br>Scheme PMs will be expected to work with designers and contractors to ensure carbon emissions minimised as far as practicable, including actively seeking | |

| | | | | | |
|---|---|---|---|---|---|
| | | | | opportunities to cut emissions from existing operation. | |
| Emissions from housing and domestic buildings? | No impact | | | | |
| Emissions from construction and/or development? | Increase emissions | All highway schemes have construction emissions arising from the supply, installation, maintenance and operation of the schemes. The scale and nature of these cannot be confirmed until schemes are identified and more developed. | No impact expected beyond the contribution from RMBC and its contractors. | Scheme PMs will be expected to provide estimates of carbon emissions associated with construction and operation of schemes.<br><br>Scheme PMs will be expected to work with designers and contractors to ensure carbon emissions minimised as far as practicable, including actively seeking opportunities to cut emissions from existing operation. | |
| Carbon capture (e.g. through trees)? | Impact unknown | It is possible schemes will be identified involving removal of small numbers of trees. | No impact expected. | Impacts on trees will be avoided in the first instance. The advice of arboriculturists will be sought in respect of replacement planting in the event of tree impacts being identified. | To be determined once projects and their impacts are understood in more detail. |

| Identify any emission impacts associated with this decision that have not been covered by the above fields: |
|---|
| |

| Please provide a summary of all impacts and mitigation/monitoring measures: |
|---|
| In summary, the following impacts are expected, with the scale and balance of emissions unknown until projects are further developed -<br>• A one-off increase in emissions associated with development and construction of the projects;<br>• An ongoing increase in emissions associated with the maintenance and operation of the projects; and,<br>• Potential but as yet unknown change in emissions from transport resulting from the schemes.<br><br>The increases associated development, construction, maintenance and operation reflect the systemic nature of the carbon emissions problem; whilst the energy and construction systems are emitters of carbon, any additional activity utilising these systems can be expected to result in increases in emissions.<br><br>The changes are thought likely to be very small in the context of overall transport emissions in Rotherham, and very small in the context of the NZ2030 and NZ2040 targets, and also remaining carbon budgets.<br><br>Mitigation will principally consist of estimate of carbon emissions being prepared as schemes are developed, PMs being required to ensure emissions are reduced as far as practicable in the design and construction of the projects, and this feeding into scheme prioritisation. |

| Supporting information: | |
|---|---|
| Completed by:<br>(Name, title, and service area/directorate). | Nat Porter<br>Senior Transport Planner<br>Transportation Infrastructure Service<br>Regeneration & Environment |
| Please outline any research, data, or information used to complete this [form]. | |
| If quantities of emissions are relevant to and have been used in this form please identify which conversion factors have been used to quantify impacts. | Not applicable |
| Tracking [to be completed by Policy Support / Climate Champions] | |

Rotherham Metropolitan Borough Council

Public Report
Cabinet

**Committee Name and Date of Committee Meeting**
Cabinet – 11 July 2022

**Report Title**
Household Waste Recycling Centre (HWRC) Options Paper

**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)**
Sam Barstow, Acting Assistant Director for Community Safety and Street Scene
Sam.barstow@rotherham.gov.uk

Barry Connolly, Head of Environmental Services
Barry.connolly@rotherham.gov.uk

Andrew Horner, Waste Officer
Andrew.horner@rotherham.gov.uk

**Ward(s) Affected**
Borough-Wide

**Report Summary**

The current Household Waste Recycling Centre (HWRC) contract has been in place since October 2018 and is delivered in partnership with Barnsley and Doncaster Councils. In October 2023 the current contract expires. Waste officers from Rotherham have been exploring the options available for future service delivery.

Barnsley, Doncaster, and Rotherham (BDR) Council officers have worked on improving the current provision through a potential new contract, should that option be selected, by aligning operational policies where possible. These could be opening times, vehicles access, material acceptance or permitting conditions. This report seeks approval of changes to the operational practices within the service.

This report seeks approval to enter a joint procurement with Barnsley and Doncaster Councils for HWRCs.

**Recommendations**

That Cabinet:

1. Approve the option of undertaking a collaborative procurement and award a contract for the provision of Household Waste Recycling Centres in the borough using the Contract Procedure Rules of Doncaster Metropolitan Borough Council and approve the leasing of the 4 HWRCs to the successful provider.

2. Receive a further update on the Household Waste Recycling service offer before the new contract commences.

3. Approve the changes to the practice at the HWRCs to align with DEFRA's final national proposals, following its consultation on household DIY waste.

**List of Appendices Included**

Appendix 1 Equality Screening Assessment
Appendix 2 Carbon Impact Assessment

**Background Papers**
None.

**Consideration by any other Council Committee, Scrutiny or Advisory Panel**
None

**Council Approval Required**
No

**Exempt from the Press and Public**
No

**Household Waste Recycling Centre (HWRC) Options Paper**

## 1. Background

1.1 The Current Household Waste Recycling Centre (HWRC) Contract is due to terminate on 28 October 2023. The Council has a statutory obligation to provide HWRC's to residents within the borough. Rotherham has 4 sites:

- Greasbrough - Car Hill, S61 4QL
- Bramley - Lidget Lane, S65 4LY
- Rawmarsh - Warren Vale, S62 7SS
- North Anston - Magilla, Common Road, S25 4AH

1.2 The current contract is delivered in partnership with Barnsley Council and Doncaster Council. However, consideration has been given to the options available to the Council in delivering this service, which are as follows:

- **Option 1** - Collaborative procurement of the Household Waste Recycling Centre Management Contract, working with Barnsley and Doncaster Councils
- **Option 1a** - Seek to tender for a contract for Rotherham Council alone
- **Option 1b** - Bring the services in-house

1.3 A borough wide consultation across Barnsley, Doncaster and Rotherham commenced in June 2022 and will run for eight weeks. Two online consultations are currently live:

- one aimed at residents to ascertain improvements that can be made to the service; and
- the other aimed at businesses to scope commercial waste demand and acceptance.

1.4 A robust soft market testing document has also been prepared to send to potential service providers. This will be complimented by the option of a site visit to one of their contracted areas. Both the market testing and consultation will help to inform the Council's future service under any of the options presented in this report.

1.5 The soft market testing document includes options on the implementation and delivery of the services, such as:

- Automatic Number Plate Recognition (ANPR)
- Hosting and managing a permit system(s) including a residents permit scheme to enable cross border use of HWRCs within the areas of the three Councils involved
- Implementation of acceptance of commercial waste
- Increased re-use
- Hard to recycle materials
- Contractual changes such as inflation indexation, Key Performance Indicators (KPIs), performance standards and changes as a result of the national Environment Act 2021.

1.6 In preparation for the potential of a new partnership contract to deliver the service, officers are exploring opportunities to harmonise the operational policies across Barnsley, Doncaster and Rotherham whilst also maintaining the ability to offer different elements of service as required locally. The current operational policies in Rotherham are as follows:

1.7 **Construction Type Waste** – Accepted at all sites. Residents can dispose of up to 5 items of DIY waste OR 5 sacks (80ltr/25kg) of DIY waste OR a mixture of both to a total of 5 items from small internal DIY projects which have carried out themselves. Residents are permitted one DIY visit every 6 months. The Department for Environment, Food and Rural Affairs (DEFRA) are currently consulting on a legal change to require local authorities to accept certain types of construction material as DIY waste. The change is being suggested in order to reduce the potential risk of fly tipping, littering and backyard burning, which create additional costs and environmental impacts. There will be a national criterion which any local policy change would be based upon.

1.8 **Asbestos** – Accepted at Car Hill only. Asbestos is accepted from residents who have undertaken DIY work at their own home. A maximum of two sheets or bags are accepted, each visit must be pre-booked and an appointment made at prescribed times. This material must also be prepared correctly prior to acceptance at site. Residents are restricted to one asbestos visit every 6 months.

1.9 **Van Permits** – Permitted at all sites, with the exception of vehicles e.g. over 6ft/1.83m high which can only access Car Hill and North Anston. The permits allow 6 visits to the HWRC's in a 12-month period, but with no expiry date.

1.10 **Trailer Permits** – Permitted at all sites. The permits allow 6 visits to the HWRC's in a 12-month period, but with no expiry date.

1.11 **One-Off Tips** – Permitted at all sites. One-off tips are designed for residents who need to hire a vehicle, or who own a vehicle which cannot be granted a permit, to dispose of their household waste. Each visit must be pre-booked. All one-off tips are at the discretion of the council and only one visit per year, will be allowed from any domestic property within the borough.

1.12 **Pedestrian Permits** – Not permitted at any site due to health and safety risks.

1.13 **Sign Written Vans** – Not permitted at any site to protect the sites from commercial waste abuse.

1.14 **Opening Hours**

- All sites are open 7 days a week
- 1 April to 30 September (summer hours) – 10:00 to 18:30
- 1 October to 31 March (winter hours) – 10:00 to 16:00
- All sites are closed on 25, 26 December and 1 January

## 2. Key Issues

2.1 The four Household Waste Recycling Centres are available for residents to dispose of their household waste and recycling. In considering options for future delivery of the services, officers have examined the relevant costs and benefits of in-house delivery versus delivery through joint procurement, in partnership with Barnsley and Doncaster Councils.

2.2 From a cost perspective, modelling shows that developing an in-house service would likely increase costs significantly. The modelling compares current costs within the partnership arrangement compared to the likely best- and worst-case scenarios of bringing the service in-house. Due to the decreased general efficiencies of operating alone alongside a reduction in the tonnages of waste and recyclables, there would be a significant increase in annual costs of between 34 and 47%.

2.3 In any event, the Council would need to procure some services as a minimum in terms of collection, haulage and disposal of waste and recyclables. There would likely be more interest in a larger contract, as a result of working in partnership, from potential suppliers which increases competition and may also provide a network of national contacts to call upon when required and the ability to be flexible in their disposal outlets.

2.4 HWRCs require specific site permitting, health and safety, and legal compliance, which in the event of a contracted service, would be with the contractor, removing an element of risk from the Council. Under the joint procurement option, a single procurement exercise would take place, with Doncaster Council acting as the lead Contracting Authority.

2.5 The Council is seeking to embrace new technology to improve the service experience for residents, with an improved offer including:

- Enhanced use of modern technology allowing a more streamline user friendly permit system, real time information and monitoring
- Commercial waste offering at some sites, potentially including:
    - Inert/Rubble
    - Asbestos
    - Plasterboard
    - Wood
    - Green Waste
    - Cardboard
    - WEEE
    - Mixed Waste (Residual waste)
    - Community Skips

2.6 Officers anticipate a new joint contract would provide a modern and efficient service whilst also ensuring that social value requirements are delivered, for example appropriate weighting of the contract evaluation and ensuring the living wage is paid to employees. The contractual term is yet to be determined and will be subject to further negotiations within the partnership structures and informed by market sounding. The duration of the contract must be reasonable, fair, and proportionate, delivering value for money whilst

also providing sufficient scope for the Council to adjust or reshape service delivery as per local needs or in response to national change, such as the Waste and Resources Strategy. Any contract period will ensure appropriate break clauses alongside ensuring strong terms and conditions which will allow poor performance to be appropriately managed, including termination where necessary.

2.7 In considering the potential for a renewed partnership provision for HWRCs, officers have considered areas for further development within the new service, such as:

2.8

| | |
|---|---|
| Increased Recycling | Current measures are in place at site to assist residents with waste and increase recycling rates. The new contract will look to further increase recycling within the BDR authorities. This will be achieved by inserting new recycling targets into the contract, to further encourage operatives to maximise recycling at sites. These target requirements will be determined from the outcome of the soft market testing. New procedures can be added to the new contract specification such as bag splitting, a question that is being asked in the public consultation. This process is now common practice at many HWRC's nationwide and helps drive up recycling rates. |
| Innovate Re-use | Currently Re-use items are collected at sites and sold at the FCC Reuse shop in Conisbrough. The new contract would seek to improve this service either by offering a Reuse shop in each borough or working more closely with local charities in each authority. |
| New Equipment | Installation of new skips, ramps, signage, haulage vehicles and plant over the term of the contract. The contractor providing new vehicles and plant for the contract would reduce carbon emissions as the latest and most efficient technologies could be used. BDR officers have been made aware of increased lead times in steel, vehicle, and plant manufacturing and as such the contractor would be expected to introduce these up to six months after the contract starts. |
| Potential Commercial waste disposal offering | BDR officers could ask contractors to provide options for introducing a commercial waste offering at one or more site in each borough. This offering would be for small and medium businesses and could generate an income to the councils, or at least offset any additional costs for offering the service. Offering commercial waste could also reduce fly-tipping, although there is no evidence nationally of this being guaranteed. |
| Resident Permit/ ANPR | Introduction of a resident's permit using Automatic Number Plate Recognition (ANPR)<br>This option is not yet fully understood both in terms of access to data and how that data would or could be used. If this |

| | |
|---|---|
| | could be effectively implemented then it would allow site staff to instantly determine that the vehicle is from Barnsley, Doncaster or Rotherham and allowed to use the sites. This could also highlight residents who are abusing the service by visiting multiple sites to dispose of their commercial waste for free. It would also allow site staff to prevent residents of other areas abusing BDR sites. This option would likely have cost implications for installation and management of information. |
| Allowing cross border site use between BDR residents | If ANPR is introduced, BDR could allow residents to use any site within the three boroughs, with a recharge system in place so each authority pays for their resident's disposal. Allowing this cross-border travel could help reduce carbon emissions as residents could use their closest site, particularly beneficial to Rotherham residents in the northwest of the borough who may find themselves closer to Barnsley's Goldthorpe or Worsbrough sites. |
| Aligning opening hours | Aligning opening hours would create an easier to understand service for all residents, especially if ANPR allowed cross border disposal. Even if hours cannot be aligned, there is the opportunity for RMBC to makes changes to opening hours. Winter hours could be extended to help residents dispose of their waste through the working week, rather than crowding sites at the weekends. This would also help with staff retention issues in Rotherham. Barnsley and Doncaster both have one site with longer opening hours, which demonstrates the ability to be flexible within the contract to meet local needs. |
| Social Value | The Council will work within the BDR partnership to ensure that social value is achieved through the contract award. Accepting there may be differing Policy positions across the Local Authorities, for example in Rotherham 20% of the overall score for tender bids is based on Social Value whereas this figure is 10% in Doncaster, Officers will advocate for maximum social value impact through assessment criteria. In all Councils the Living Wage is an expectation of contractors. |

## 3. Options considered and recommended proposal

3.1 **Option 1 – Recommended Option** – Approve the collaborative procurement of the Household Waste Recycling Centre Management Contract

3.1.1 The procurement of a HWRC contract would come under the Public Contracts Regulations 2015 (as amended) and the Council's own Financial and Procurement Procedure Rules (FPPRs).

3.1.2 The Authority will lease the 4 HWRC's (or other number of sites if this is to change) to the successful provider, the terms on which the provider is allowed to occupy the sites, including the provider's obligation as to use of the site, will be clearly documented. The leases should therefore help to clarify when the Authority can seek to terminate the lease for breach of the provider's obligations under the lease or the HWRC Contract (subject to the contractor's right to apply to court for relief from forfeiture of the lease).

3.2 **Option 1a** – Seek to tender for a contract for Rotherham Council alone.

Withdrawing from the partnership to procure a contract for Rotherham alone would likely significantly increase contractual costs and the resources required for delivery as the same level of procurement activity and officer time would be required from one Council alone. In addition to the procedural costs, it is highly likely that the delivery of the contract would also be significantly more expensive as the contractor would be dealing with reduced levels of waste creating inefficiencies in collection and disposal costs. A single procurement would likely lead to delays and as there is no further extension available with the current service provider, any delay would result in a breach of procurement regulations.

3.3 **Option 1b** – Bring the services in-house.

Significant work has been undertaken to examine the cost and benefits of bringing the services in-house. In terms of costs, many of the issues referenced above would be replicated in terms of impacts on costs. Estimates suggest in-house delivery would increase costs by between £304k and £423k. Alongside cost increases, the anticipated benefits would be minimal as the contract delivered through the partnership would be built in such a way as to allow for local variations in areas such as opening hours.

3.4 **Option 2 – Recommended Option** – Approve the changes to the operational procedures

The proposed changes are as follows:

**Construction Type Waste** – it is proposed to align with DEFRA's recent consultation proposals which is to permit this type of waste resulting from householder DIY home projects. The consultation refers to 300 litres (average car boot size) no more than once per week however any changes to local policy will mirror the final changes to be made nationally both in terms of specification and timing of any change.

3.5 **Option 2a** – Do not approve the changes to the operational procedures

If these operational changes are not approved, this may result in difficulties in implementing an effective and efficient service within BDR and would likely be implemented nationally in due course.

## 4. Consultation on proposal

4.1 As referred to within the body of this report, the proposals in relation to service delivery will be widely consulted upon and in addition, the provider market will be consulted through soft market testing.

## 5. Timetable and Accountability for Implementing this Decision

5.1 As noted within the body of the report the contract will end in October 2023 by which point a new provider must be in place. It is anticipated that the procurement will be formally launched in the autumn of 2022 with the contract award expected in the spring of 2023.

5.2 The Strategic Director for Regeneration and Environment will be accountable for the awarding of the contract. The Assistant Director for Community Safety and Street Scene will be accountable for engagement with the BDR partnership and implementation of procurement and delivery. Accountable officers will work closely with the Cabinet Member for Transport and Environment.

## 6. Financial and Procurement Advice and Implications

6.1 The Council's net budget 2022-23 for the HWRC Service is £1.023m. The budget covers the payment to maintain the joint service with Barnsley and Doncaster. The selection of the preferred option is expected to be the lowest cost option, even with service changes being proposed. Appraisal of the option of bringing the service in house found the cost if brought in house would increase by £0.4m or more.

6.2 The specification will be revised and updated. Under best value the revised cost of the new contract will require appraisal for comparison with the budget. Options for funding any gap, if there is one, will be considered in line with the expected timescale for re-letting by October 2023.

6.3 As included in the main body of the report, the procurement of the Household Waste Recycling Centres (HWRC) must be undertaken in compliance with the Public Contracts Regulations 2015 (as amended). As Doncaster will be acting as the lead Contracting Authority for this procurement, on behalf of the partnership, the procurement will be the subject of Doncaster Council's procurement governance arrangements.

## 7. Legal Advice and Implications

7.1 The Council has the power to undertake the procurement exercise proposed in this Report. If the Council is to be a party to any contract for services, the Council must conduct a relevant procurement procedure to comply with the Council's Contract Procedure Rules and the Public Contracts Regulations 2015.

7.2 Officers may wish to consult with Legal Services to review (and if necessary, prepare) relevant legal documentation, in particular the partnership

agreement with Doncaster and Barnsley, the relevant services contract, and relevant leases.

## 8. Human Resources Advice and Implications

8.1 There are no direct human resource implications in relation to the recommended options.

8.2 Option 1b (which is not recommended) would be subject to the Transfer of Undertakings (Protection of Employment) Regulations (TUPE).

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

9.1 There are no specific implications arising from this report.

## 10. Equalities and Human Rights Advice and Implications

10.1 The Equality Impact Screening is attached as appendix one. There are no additional implications identified in relation to equality and diversity.

## 11. Implications for CO2 Emissions and Climate Change

11.1 The Carbon Impact Assessment is attached as Appendix 2. As this is a procurement of an existing service there are no increases in terms of carbon emissions however, the contract and procurement will seek to reduce emissions by the service provider over the lifetime of the contract. Until further market testing is complete the exact implications of this are unknown.

## 12. Implications for Partners

12.1 As noted within the body of the report, officers are recommending a joint procurement with Barnsley and Doncaster Councils. This has a positive impact on all three Councils by working collaboratively to reduce costs. Any decision to procure alone or bring the service in house would not only have financial implications for Rotherham Council but also for both Barnsley and Doncaster Councils.

## 13. Risks and Mitigation

13.1 There is the possible risk that no contractors bid for the joint HWRC contract due to an uncertain market and impending changes within the waste industry. This would leave the Council no option but to run the services themselves due to the statutory obligation to provide HWRC’s to residents within the borough.

13.2 To mitigate this, BDR officers will undertake soft market testing to engage with the market to ensure an attractive tender is put out.

**14. Accountable Officers**

Sam Barstow, Acting Assistant Director for Community Safety and Street Scene

Barry Connolly, Head of Environmental Services

Andrew Horner, Waste Officer

Approvals obtained on behalf of Statutory Officers: -

| | **Named Officer** | **Date** |
|---|---|---|
| Chief Executive | Sharon Kemp | 27/06/22 |
| Strategic Director of Finance & Customer Services (S.151 Officer) | Judith Badger | 23/06/22 |
| Assistant Director, Legal Services (Monitoring Officer) | Phil Horsfield | 23/06/22 |

*Report Authors:*

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Barry.connolly@rotherham.gov.uk

Andrew Horner, Waste Officer
Andrew.horner@rotherham.gov.uk

This report is published on the Council's website.

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## 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: Household Waste Recycling Centre contract procurement** | |
| **Directorate:**<br>Regeneration and Environment | **Service area:**<br>Community Safety and Street Scene |
| **Lead person:**<br>Sam Barstow | **Contact:**<br>sam.barstow@rotherham.gov.uk |
| Is this a:<br>☐ **Strategy / Policy** ☒ **Service / Function** ☐ **Other**<br>**If other, please specify** | |

| 2. Please provide a brief description of what you are screening |
|---|
| Rotherham Metropolitan Borough Council to procure a new long term contract for the Household Waste Recycling Centre (HWRC) service provision. |

| 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.<br><br>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? *(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)* | | No |
| Could the proposal affect service users? *(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)* | | No |
| Has there been or is there likely to be an impact on an individual or group with protected characteristics? *(Consider potential discrimination, harassment or victimisation of individuals with protected characteristics)* | | No |
| Have there been or likely to be any public concerns regarding the proposal? *(It is important that the Council is transparent and consultation is carried out with members of the public to help mitigate future challenge)* | | No |
| Could the proposal affect how the Council's services, commissioning or procurement activities are organised, provided, located and by whom? *(If the answer is yes you may wish to seek advice from commissioning or procurement)* | | No |
| Could the proposal affect the Council's workforce or employment practices? *(If the answer is yes you may wish to seek advice from your HR business partner)* | | No |
| If you have answered no to all the questions above, please explain the reason | | |
| The service is already contracted out at present and procuring a new contract would be a continuation of the current provision. Rotherham Metropolitan Borough Council are legally obligated to provide the service and residents would only be affected if the service was not provided. | | |

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**.**<br><br>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.<br><br>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?** |
| • **Key findings** |
| • **Actions** |

| | |
|---|---|
| Date to scope and plan your Equality Analysis: | |
| Date to complete your Equality Analysis: | |
| Lead person for your Equality Analysis<br>(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** |
| Andrew Horner | Waste Officer | 06/06/2002 |

| **6. Publishing** |
|---|
| This screening document will act as evidence that due regard to equality and diversity has been given.<br><br>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.<br><br>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** | 06.06.22 |
| **Report title and date** | Household Waste Recycling Centre (HWRC) Options Paper |
| **If relates to a Cabinet, key delegated officer decision, Council, other committee or a significant operational decision – report date and date sent for publication** | 11 July 2022 |
| **Date screening sent to Performance, Intelligence and Improvement equality@rotherham.gov.uk** | 10.06.22 |

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User guidance:

- The first section of this form guides users through considering major areas where emissions are likely to occur. If emissions are impacted in a way not covered by these categories, please identify this at the bottom of the section
- The first section should be filled as such:
  - ***Impact***: identify, in relation to each area, whether the decision of the proposal does the following: *reduces emissions*, *increases emissions*, or has *no impact on emissions*. If it is uncertain this section can be labelled *impact unknown*
  - If ***no impact on emissions*** is identified: no further detail is needed for this area, but can be added if relevant (e.g. if efforts have been made to mitigate emissions in this area.)
  - ***Describe impacts or potential impacts on emissions***: two sections deal respectively with emissions from the Council (including those of contractors), and emissions across Rotherham as a whole. In both sections please explain any factors that are likely to reduce or increase emissions. If ***impact unknown*** has been selected, then identify the area of uncertainty and outline known variables that may affect impacts.
  - In most cases there is no need to quantify the emission impact of an area after outlining the factors that may reduce or increase emissions. In some cases, however, this may be desirable if factors can be reduced to a small number of known variables (e.g. if an emission impact is attached to a known or estimated quantity of fuel consumed).
  - ***Describe any measures to mitigate emission impact:*** regardless of the emission impact, in many cases steps should be taken in order to reduce mitigate all emissions associated with each area as far as possible; these steps can be outlined here (For example: if a proposal is likely to increase emissions but practices or materials have been adopted in order to reduce this overall impact, this would be described here).
  - ***Outline any monitoring of emission impacts that will be carried out:*** in this section outline any steps taken to monitor emission levels, or steps taken to monitor the factors that are expected to increase or reduce emission levels (for example, if waste or transport levels are being monitored this would be described here)
- A ***summary paragraph*** outlining the likely overall impacts of the proposal/decision on emissions should then be completed - this is not required if the proposal/decision has no impact across all areas.
- The supporting information section should be filled as followed:
  - Author/completing officer
  - ***Research, data, or information*** may refer to datasets, background documents, literature, consultations, or other data-gathering exercise. These should also be added to the ***supporting documents*** section of the cabinet report

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- Carbon Impact Assessments are to be appended to the associated cabinet reports
- Prior to publishing reports, Carbon Impact Assessments should be sent to climate@rotherham.gov.uk for feedback
- Report authors may also use the above email address to direct any further queries or to access further support regarding completing the assessment

| Will the decision/proposal impact… | Impact | If an impact or potential impacts are identified | | | |
|---|---|---|---|---|---|
| | | Describe impacts or potential impacts on emissions from the Council and its contractors. | Describe impact or potential impacts on emissions across Rotherham as a whole. | Describe any measures to mitigate emission impacts | Outline any monitoring of emission impacts that will be carried out |
| Emissions from non-domestic buildings? | no impact on emissions | | | | |
| Emissions from transport? | reduces emissions | Reduction on contractors' emissions with new vehicles to transport waste | Reduction on contractors' emissions with new vehicles to transport waste when moving around Rotherham | New contract insists on brand new vehicles over the contract term that will be more carbon efficient | RMBC to monitor number of movements made each month |
| Emissions from waste, or the quantity of waste itself? | reduces emissions | Reduction on contractors' emissions with new plant machinery at each site | None | New contract insists on new plant machinery to be used at sites that are more efficient than current plant hire | RMBC to monitor tonnage of waste collected and moved each month |
| Emissions from housing and domestic buildings? | no impact on emissions | | | | |
| Emissions from construction and/or development? | no impact on emissions | | | | |
| Carbon capture (e.g. through trees)? | no impact on emissions | | | | |

| Identify any emission impacts associated with this decision that have not been covered by the above fields: |
|---|
| |

| Please provide a summary of all impacts and mitigation/monitoring measures:<br>RMBC officers will monitor tonnages and vehicle movements each month as part of the billing process. Officers will also request regular carbon assessments from the new contractor |
|---|
| |

| Supporting information: | |
|---|---|
| Completed by:<br>(Name, title, and service area/directorate). | Andrew Horner, Waste Manager, Waste Management, Regeneration and Environment |
| Please outline any research, data, or information used to complete this [form]. | |
| If quantities of emissions are relevant to and have been used in this form please identify which conversion factors have been used to quantify impacts. | |
| Tracking [to be completed by Policy Support / Climate Champions] | |

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Rotherham Metropolitan Borough Council

Public Report
Cabinet

**Committee Name and Date of Committee Meeting**
Cabinet – 11 July 2022

**Report Title**
Outcomes from the Overview and Scrutiny Management Board relating to Road Safety concerns Cumwell Lane / Kingsforth Lane Petition

**Is this a Key Decision and has it been included on the Forward Plan?**
No, but it has been included on the Forward Plan

**Strategic Director Approving Submission of the Report**
Jo Brown, Assistant Chief Executive

**Report Author(s)**
Emma Hill, Head of Democratic Services
emma.hill@rotherham.gov.uk

**Ward(s) Affected**
Hellaby and Maltby West
Bramley and Ravenfield
Dinnington
Thurcroft and Wickersley South

**Report Summary**

At the Council meeting on 13 April 2022, it was noted that a petition had been received in respect of a request to the Council to improve road safety on Cumwell Lane/Kingsforth Lane. As the petition met the threshold for consideration by the Overview and Scrutiny Management Board, a meeting was held on 11 May 2022 to receive representations from the lead petitioners and also hear from the Cabinet Member for Transport and Environment and officers.

The Overview and Scrutiny Management Board made 7 recommendations which are presented at Section 3.1 of this report for consideration by Cabinet. The Constitution requires the Cabinet to respond to recommendations from Scrutiny within two months. This report is requesting Cabinet to consider the recommendations from the Overview and Scrutiny Management Board in respect of the petition along with the proposed measures identified by Council Officers and highlighted during the meeting by the Cabinet Member, Transport and Environment outlined at Overview and Scrutiny Management Board recommendation 2.

**Recommendations**

1. That Cabinet receive the recommendations and Council Officer proposed measures as detailed in Section 3 of this report.

**List of Appendices Included**

None

**Background Papers**
Petition - ePetition - Improve Road Safety On Cumwell Lane/Kingsforth Lane - Rotherham Council
Council – 13 April 2022
Overview and Scrutiny Management Board –
https://moderngov.rotherham.gov.uk/documents/g15293/Public%20reports%20pack%20Wednesday%2011-May-2022%2011.00%20Overview%20and%20Scrutiny%20Management%20Board.pdf?T=10
11 May 2022

**Consideration by any other Council Committee, Scrutiny or Advisory Panel**
Council – 13 April 2022
Overview and Scrutiny Management Board – 11 May 2022

**Council Approval Required**
No

**Exempt from the Press and Public**
No

**Outcomes from the Overview and Management Board relating to Road Safety concerns Cumwell Lane / Kingsforth Lane Petition**

## 1. Background

1.1 At the Council meeting held on 13 April 2022, a petition to request the Council to improve road safety on Cumwell Lane/Kingsforth Lane was formally received. The petition contained 622 valid signatures (revised) under the Council's Petition Scheme and was accordingly referred to the Overview and Scrutiny Management Board for review.

1.2 The Overview and Scrutiny Management Board meeting was held on 11 May 2022 to receive representations from the lead petitioners and also hear from the Cabinet Member for Transport and Environment and officers.

## 2. Key Issues

2.1 The petition requests the Council to improve road safety on Cumwell Lane/Kingsforth Lane.

2.2 The text of the petition is as follows:

*"We the undersigned ask RMBC Highways to take significant action such as making the road much slower, installation of barriers and resurfacing the road to ensure the potential for further loss of life is minimised. For a long time individuals have been complaining regarding the state of the road conditions on Kingsforth Lane/Cumwell Lane Thurcroft at the exit to the landfill site. Lorries exit the site on a daily basis and deposit sludge and muck over the road leaving a sludgy coating on the asphalt. With many twists turns and dips this contributes to the hazard of driving the road. Yes some will say drive within your limits but the surface represents black ice and can catch out the most experienced driver. Unfortunately lives have been lost and irrespective of individual complaints being made very little sustainable action seems to have been taken. A road sweeper constantly going up and down the road only seems to spread the problem.*

*We understand that drivers not driving to the conditions of the road cannot be catered for but 99% of people using the road are experiencing hazardous driving conditions when driving within their limits for the road.*

*ACTION needs taking now by RMBC Highways to address the root cause and to ensure the chance of further accidents and lives lost is reduced.*

*Increased signage, substantial cleaning on site before lorries exit, street lighting, speed bumps or dare I say reduced speed limit and cameras. All relatively cheap measures compared to the loss of human life."*

3. **Overview and Scrutiny Management Board Recommendations and Proposed Measures to Improve Road Safety on Kingsforth Lane/Cumwell Lane**

3.1 Detailed below are the recommendations from Overview and Scrutiny Management Board along with the proposed measures identified by Council Officers and highlighted during the meeting by the Cabinet Member, Transport and Environment which were also supported by the Overview and Scrutiny Management Board.

1. That the call for action as outlined in the petition be supported.
2. That the following proposed actions outlined by the Cabinet Member for Transport and Environment be supported:

| Proposed measure | Programming information | Anticipated implementation date |
|---|---|---|
| Reduce the existing speed limit along Kingsforth Lane, and Cumwell Lane (including sections of Sandy Lane and Newhall Lane to 50mph | Subject to Traffic Regulation Order (TRO) process. This is now on the Officer Decision Forward Plan. Consultation to start in May 2022 | August 2022 |
| Reduce existing speed limit through Newhall to either 20mph or 30mph (subject to consultation and legal advice) | Subject to TRO process This is now on the Officer Decision Forward Plan. Consultation to start in May 2022 | August 2022 |
| Resurface Kingsforth Lane (Thurcroft side) | To be programmed and implemented by RMBC, managed by Network Management | Start of June 2022 |
| Remove existing central road studs and replace with bi-directional solar powered intelligent white units throughout | To form part of the Local Safety Scheme intervention measures | June 2022 |
| Replace damaged, or missing highway signage | To form part of the Local Safety Scheme intervention measures | June 2022 |
| Cut back vegetation to maintain forward visibility of the signs | To form part of the Local Safety Scheme intervention measures | June 2022 |

| | | |
|---|---|---|
| Provide edge of carriageway road markings and refresh existing | To form part of the Local Safety Scheme intervention measures | June 2022 |
| Refresh existing centre line markings including Sandy Lane and Newhall Lane give way junctions. | To form part of the Local Safety Scheme intervention measures | June 2022 |
| Provide red surfaced hatched markings at the dedicated right turn lane to the Landfill site entrance. | To form part of the Local Safety Scheme intervention measures | June 2022 |
| Replace any missing verge marker posts | To form part of the Local Safety Scheme intervention measures | June 2022 |
| Provide new verge markers (approx. 30 No.) at 5m centres opposite the fishing pond. | To form part of the Local Safety Scheme intervention measures | June 2022 |
| Provide 10m red surfaced patches at each existing SLOW marking and any additional specified SLOW markings | To form part of the Local Safety Scheme intervention measures | June 2022 |
| Arrange for the cut back and/ or removal of any self-seeded vegetation/ shrubs/ trees from the verges that may interfere with visibility | To form part of the Local Safety Scheme intervention measures | June 2022 |
| Installation of two Solar Powered Vehicle Activated Signs either side of the Fishing Ponds bend to alert drivers travelling over a pre-set speed limit to slow down | To form part of the Local Safety Scheme intervention measures | July 2022 |
| Assess the route for appropriateness of a Vehicle Restraint System using current standards | Route assessment to take place during road closure | July 2022 |
| Install Vehicle Restraint System | Subject to outcome of assessment | Late 2022 |

3. That an evaluation is undertaken by the Strategic Director for Regeneration and Environment and the Speed Camera Partnership to assess the feasibility of installing average speed cameras on Cumwell Lane/Kingsforth Lane.

4. That this evaluation includes benchmarking of comparable local authorities with average speed cameras in their areas, any learning from the installation and their impact on road safety.

5. That Cabinet and the Speed Camera Partnership be asked to support the resourcing of the infrastructure required for the installation and maintenance of average speed cameras on Cumwell Lane/Kingsforth Lane, should their feasibility be established.

6. That the Council's response to and lessons learnt from the fatal traffic incidents in 2018 and 2019 on Cumwell Lane/Kingsforth Lane be circulated to Board Members and the Lead Petitioner by the Strategic Director for Regeneration and Environment.

7. That an update on progress in respect of the recommendations outlined, is provided to this Board in 6 months with a further report to be provided to Improving Places Select Commission in 12 months.

## 4. Options considered and recommended proposal

4.1 The Overview and Scrutiny Management Board recommend that the call for action as outlined in the petition be supported.

4.2 Recommendation 1 is that Cabinet approve the response to the recommendations and anticipated implementation date set out in Section 3.

## 5. Consultation on proposal

5.1 The Strategic Director - Regeneration and Environment has been consulted with regards to the report and recommendations.

## 6. Timetable and Accountability for Implementing this Decision

6.1 The report will go to Cabinet for a formal response on the recommendations.

## 7. Financial and Procurement Advice and Implications

7.1 Consideration should be given to the procurement and financial implications arising from the report's recommendations as part of the Executive's response.

## 8. Legal Advice and Implications

8.1 Consideration should be given to the legal implications arising from the report's recommendations as part of the Executive's response.

## 9. Human Resources Advice and Implications

9.1 Consideration should be given to the Human Resources advice and implications arising from the report's recommendations as part of the Executive's response.

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

10.1 In considering the petition Overview and Scrutiny Management Board sought assurances that the implications for children and young people and vulnerable adults have been addressed.

## 11. Equalities and Human Rights Advice and Implications

11.1 Members have had regard to equalities and human rights implications when developing recommendations.

## 12. Implications for CO2 Emissions and Climate Change

12.1 Consideration should be given to the implications for CO2 Emissions and Climate change arising from the report's recommendations as part of the Executive's response.

## 13. Implications for Partners

13.1 . Consideration should be given to the implications for CO2 Emissions and Climate change arising from the report's recommendations as part of the Executive's response.

## 14. Risks and Mitigation

14.1 Members have regard to the risks and mitigation factors associated with the petition and have made recommendations accordingly.

## 15. Accountable Officers

Emma Hill, Head of Democratic Services

Approvals obtained on behalf of Statutory Officers: -

| | **Named Officer** | **Date** |
|---|---|---|
| Chief Executive | Sharon Kemp | 27/06/22 |
| Strategic Director of Finance & Customer Services (S.151 Officer) | Judith Badger | 23/06/22 |
| Assistant Director, Legal Services (Monitoring Officer) | Phil Horsfield | 21/06/22 |

*Report Author:* *Emma Hill, Head of Democratic Services*
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Rotherham Metropolitan Borough Council

Public Report
Cabinet

**Committee Name and Date of Committee Meeting**
Cabinet – 11 July 2022

**Report Title**
Local Plan: Consultation on draft Supplementary Planning Documents

**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)**
Helen Sleigh, Senior Planning Officer
01709 823831 or helen.sleigh@rotherham.gov.uk

**Ward(s) Affected**
Borough-Wide

**Report Summary**
Approval is sought to undertake public consultation on the following draft Supplementary Planning Documents (SPDs):

- Developer Contributions SPD
- Biodiversity Net Gain SPD
- Trees SPD
- Preparing a Soils Strategy SPD
- Development in the Green Belt SPD

Rotherham's Local Plan provides the framework for determining planning applications. Supplementary Planning Documents provide additional detail and guidance to support policies of the Local Plan. Once adopted, they are a material consideration which can be taken into account when determining planning applications. Supplementary Planning Documents help improve planning applications, which in turn can speed up the planning process and produce better outcomes for the community.

**Recommendations**

1. That approval be given to public consultation on the draft Supplementary Planning Documents at Appendices 1 to 5.

2. That, following consultation, a further report be submitted to Cabinet in early 2023 regarding adoption of the Supplementary Planning Documents.

**List of Appendices Included**

Appendix 1 Developer Contributions SPD
Appendix 2 Biodiversity Net Gain SPD
Appendix 3 Trees SPD
Appendix 4 Preparing a Soils Strategy SPD
Appendix 5 Development in the Green Belt SPD
Appendix 6 Equality Part A – Screening
Appendix 7 Carbon Impact Assessment

**Background Papers**

National Planning Policy Framework
https://www.gov.uk/guidance/national-planning-policy-framework

The Town and Country Planning (Local Planning) (England) Regulations 2012
https://www.legislation.gov.uk/uksi/2012/767/contents/made

Rotherham Local Plan 2013 – 2028
https://www.rotherham.gov.uk/planning-development/guide-local-plan/1

Adopted Statement of Community Involvement
https://www.rotherham.gov.uk/downloads/download/80/statement-of-community-involvement

PAS Biodiversity Net Gain guidance
https://www.local.gov.uk/pas/topics/environment/biodiversity-net-gain

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

**Council Approval Required**
No

**Exempt from the Press and Public**
No

**Local Plan: Consultation on draft Supplementary Planning Documents**

## 1. Background

1.1 Rotherham's Local Plan provides the framework for determining planning applications. Supplementary Planning Documents (SPDs) provide additional detail and guidance to support Local Plan policies. Once adopted they are a material consideration which can be taken into account when determining planning applications. SPDs provide detailed guidance to householders, planning agents and developers to help improve the quality of submitted planning applications, which in turn can speed up the planning process and produce better outcomes for the community.

1.2 Following adoption of the Local Plan Core Strategy (2014) and Sites and Policies documents (2018), the Council is preparing new guidance to assist applicants in the preparation of planning applications.

1.3 Priority was initially given to preparing guidance which supports the delivery of new homes and other development, and to updating existing guidance regularly used in the consideration and determination of planning applications. This led to a first suite of SPDs that were approved for adoption by Cabinet on 15 June 2020. The second suite of SPDs, including affordable housing and development viability, were adopted on 21 June 2021 following public consultation.

1.4 Approval is now sought for consultation on a third suite of SPDs, which address how developers will make financial contributions and contribute to the protection and enhancement of the natural environment and the creation of sustainable communities.

1.5 This report seeks approval to consult on the following draft Supplementary Planning Documents (SPDs):

- Developer Contributions SPD
- Biodiversity Net Gain SPD
- Trees SPD
- Preparing a Soils Strategy SPD
- Development in the Green Belt SPD (2022 amendment)

1.6 The anticipated adoption of these draft SPDs, following public consultation and subsequent Cabinet approval, will assist in mitigating the negative impacts set out in the Nature Crisis motion approved by Council on 25 May 2022. The SPDs will assist by presenting key actions that this Council can take to support a more natural environment, promote biodiversity and assist in nature recovery, and tackle climate change.

## 2. Key Issues

2.1 The draft SPDs proposed for consultation cover a range of issues. A summary of the key elements of each document is provided below:

**Developer Contributions**

Sets out the process through which the Council will seek contributions from developers towards mitigating the impacts of development. Specifically:

- Education provision (eg school places).
- Library provision and library space.
- Biodiversity Net Gain plus 10%.
- The value of amenity trees.
- Green Infrastructure, green spaces, outdoor sport and recreational provision.
- Transport and related infrastructure.
- Community Access Plans and other management or operational plans.
- Local primary health care provision (eg medical centres).

Provides clear guidance to mitigate the impacts of future development proposals and to ensure that any gaps in provision of social and community facilities arising from new housing (for instance) are provided for by the developer; unless there are clearly substantiated and justified reasons as to why a developer could not viably fund such planning contributions.

Establishes the requirements for on-site or off-site contributions, or financial contributions in lieu, provided via S106 planning obligations to mitigate impacts arising from the development.

Seeks to ensure that new development accords with adopted planning policies and is socially, economically and environmentally sustainable.

S106 planning contributions are in addition to the payment of the Community Infrastructure Levy (CIL). They can be sought alongside CIL for the same development but must meet the tests set out in legislation.

**Biodiversity Net Gain**

Sets out the Council's approach to seeking Biodiversity Net Gain (BNG) in line with the requirements introduced by the Environment Act (2021). This reflects Objective 10 of the Core Strategy which aims to manage the Borough's biodiversity through planning policies and supports the Council's Climate Change Action Plan.

- Introduces the BNG Metric 3.1 and the Metric 3.1 for small sites. (The Biodiversity

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| | Metric is a habitat-based approach designed to provide ecologists, developers, planners and other interested parties with a means of assessing changes in biodiversity value (losses or gains) brought about by development or changes in land management. Version 3.1 is the latest published.)<br>• Sets out how to assess the biodiversity value of a site and the potential impacts arising from new development on the natural environment.<br>• Sets out how to apply the mitigation hierarchy and clarifies that where irreplaceable habitats cannot be offset, then planning permission should be refused, in accordance with national and local planning policy.<br>• Sets out how to calculate Biodiversity Net Gain.<br>• Provides a biodiversity checklist for applicants. |
| **Trees** | Sets out guidance on the protection of existing trees on-site, and provision of replacement and new trees, with a view to protecting, enhancing and increasing tree cover within Rotherham. This reflects Objective 13 of the Core Strategy which aims to reduce the Borough's carbon emissions over the plan period and supports the Council's Climate Change Action Plan.<br><br>• Summarises the issues that can arise on development sites with existing trees, and what needs to be considered when planting replacement trees.<br>• Introduces the methodology to formalise current practice in negotiating replacement trees with developers -.<br>• Addresses the approach to be taken to trees: from the initial design stage, through to their consideration in the planning application and future development on-site, and subsequently ongoing management and maintenance of trees.<br>• Briefly reviews the legislation supporting tree protection. |
| **Preparing a Soils Strategy** | Sets out detailed guidance on the required assessments of soils to be undertaken on-site, |

| | |
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| | when these are required, and how to undertake them. It also summarises best practice in dealing with soils on development sites and supports the Council's Climate Change Action Plan through the protection of biodiversity of soils.<br><br>• Sets out the importance of soils within the Borough and the ecosystem services they provide, including providing support for plants and animals. Also stresses the fragility of soils.<br>• Provides a summary of the issues that may arise when dealing with soils on a development site.<br>• Provides a summary of DEFRA and British Standards in dealing with soils.<br>• Sets out the requirements before and during development occurring on-site, and the replacement of soils where needed. |
| **Development in the Green Belt** | Sets out amendments to adopted SPD No. 3 Development in the Green Belt.<br><br>Following the adoption of the SPD in June 2020, and its implementation, several amendments were identified that will clarify application of the SPD to buildings and previously developed land within the Green Belt:<br><br>• Extensions to existing buildings (para 18).<br>• Replacement buildings (para 31).<br>• Change of use of land (Green Belt guidance 6 second para).<br>• Appendix 1 of the SPD (paras 91, 92, 97, 98 & 100).<br><br>These changes have been highlighted within the consultation draft of the amended SPD included at Appendix 5 of this report. |

2.2 In line with The Town and Country Planning (Local Planning) (England) Regulations 2012 the Council is required to undertake public consultation on draft SPDs for a minimum of four weeks, and to take account of any comments received in preparing final documents. Once adopted by the Council these documents can then be considered when determining planning applications.

## 3. Options considered and recommended proposal

3.1 **Option 1: carry out public consultation on the draft SPDs**
Taking forward the documents will provide guidance to applicants, helping speed up the planning process by minimising amendments or negotiations, often necessary following submission of planning applications. Subsequent adoption of the documents as Supplementary Planning Documents will ensure that they have more weight in planning decision-making and enable the Council to refuse non-compliant planning applications. This will give more certainty for the community and prospective developers on the Council's preferred approach to the subjects covered by the SPDs.

3.2 **Option 2: do not carry out public consultation**
If no public consultation is undertaken, then the final documents could still be used by the Council as informal guidance but cannot be adopted as SPD. The documents would have limited weight when determining planning applications, which would be much less than if they were adopted as SPD.

3.3 **Option 3: decline to take forward the SPDs**
Whilst the SPDs provide further guidance to assist those preparing and determining planning applications, there is no requirement that the Council must produce them. However, they provide valuable additional guidance to applicants by providing clarity on Local Plan policy requirements and enable the Council to refuse non-compliant planning applications.

3.4 Option 1 is the recommended option.

## 4. Consultation on the proposal

4.1 Preparation of the draft SPDs has been undertaken by, or in conjunction and consultation with other relevant services. The Council's Development Management Service within the Planning Service have reviewed all the draft SPDs. It is anticipated that further member engagement will be arranged during the consultation period to allow members to raise any specific questions and provide feedback on the detail of the draft SPDs.

4.2 Consultation will be undertaken in line with the Council's adopted Statement of Community Involvement. This Statement sets out how the Council involves the public and stakeholders in producing planning policy documents and consulting on planning applications.

4.3 Consultation will be undertaken via the Council's planning consultation website. This notifies interested parties (including statutory consultees, members of the public and other stakeholders) on the Local Plan consultation database and allows and encourages comments to be submitted online. A summary of the consultation plan is set out below.

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| **Where will the draft SPDs be available to view?** | The draft SPDs will be available to view on the Council's planning consultation website, with links from the Planning Policy webpage and from the corporate consultations webpage. |

| | |
|---|---|
| | Printed copies of the draft SPDs will be available to view at the Main Library in Riverside House during normal office hours. |
| **How will people know about the draft SPDs?** | The Council's Planning Service maintains a database of those interested in preparation of the Local Plan and other planning documents. They will be notified by email of the consultation.<br><br>Notification will also be sent to any relevant stakeholders identified whose details are not currently held on the consultation database.<br><br>The Council's Planning webpages will be updated to provide details of the consultation and how to provide comments.<br><br>A notice publicising the consultation will be placed in the local press and a press statement will be issued. |

## 5. Timetable and Accountability for Implementing this Decision

5.1 Subject to approval by Cabinet, it is proposed to undertake public consultation over a four-week period in September 2022. The exact dates will be confirmed nearer the time.

5.2 Following consultation, any comments received will be considered in producing final versions of the SPDs and a consultation feedback report prepared detailing the main issues raised and how these have been addressed.

5.3 A further report will be brought to Cabinet in early 2023 seeking adoption of these SPDs. The timing of this further report will be dependent on the timing of the consultation and the volume and nature of the consultation responses to the draft SPDs.

## 6. Financial and Procurement Advice and Implications

6.1 Consultation in respect of these draft SPDs will be undertaken via the Planning consultation website, the costs of which will be contained within the approved revenue budget for the Service.

6.2 Developer Contributions are used to fund specific capital projects and revenue services in areas affected by developments. This includes, for example, but not exclusively, the provision of school places, sustainable travel measures, contributions to library and health services and facilities, play areas, green spaces and amenity/recreational water bodies. In addition, the Council has received funding of £12,559 from DEFRA in respect of work required to develop the Council's response to Biodiversity Net Gain.

6.3 Procurement is satisfied with the approach set out. Any chargeable goods or services required by the Council should be sought in accordance with Section 58 – Normal Procedure of the Financial and Procurement Procedure Rules.

## 7. Legal Advice and Implications

7.1 The recommendations and options set out in this report are reasonable and in compliance with the requirements of the Town and Country Planning Act 1990 as amended and the Town and Country Planning (Local Planning) (England) regulations 2012 (the Regulations). The Report specifically seeks authority from Cabinet to allow for a period of public consultation for the SPDs referred to in the report; this requirement is in accordance with the requirements of the Regulations which sets out that consultation is a specific requirement to allow for the validation of an SPD.

## 8. Human Resources Advice and Implications

8.1 There are no direct human resources implications arising from this report.

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

9.1 The SPDs are intended to assist in delivering the Council's strategy and policies set out in the Local Plan. These include promoting and delivering sustainable patterns of development and sustainable communities, reducing pollution, and conserving and enhancing the quality of the built and natural environment.

## 10. Equalities and Human Rights Advice and Implications

10.1 The SPDs are intended to assist in delivering the Council's strategy and policies set out in the Local Plan. SPDs provide guidance on the strategic policies of the Local Plan.

10.2 The published Integrated Impact Assessments (IIA) that supported the preparation, examination and adoption of the Rotherham Local Plan provide a comprehensive Equalities Assessment of all the strategic policies of the Local Plan.

10.3 Community and stakeholder consultations were undertaken at various stages of Local Plan preparation, and this resulted in further refinements to policy wording. At each stage of Local Plan preparation an IIA, including an Equalities Assessment, was prepared and refined to reflect the most up to date policies that emerged following consultation.

10.4 The Supplementary Planning Documents promote the delivery of sustainable patterns of development and the creation of sustainable communities for all residents, businesses and visitors, and conserve and enhance the quality of the built and natural environment for the benefit of everyone.

## 11. Implications for CO2 Emissions and Climate Change

11.1 Climate change poses a significant threat to environments, individuals, communities, and economies on local, national, and international scales. In recognition of this the Council has aimed to be net carbon neutral as an organisation by 2030, and for Rotherham as a whole to achieve the same position by 2040.

11.2 The draft Supplementary Planning Documents proposed for consultation promote best practice. The Developer Contributions SPD will secure developer contributions through S106 Planning Obligations that have the potential to:

- Reduce the carbon footprint of development.
- Promote higher standards of building.
- Promote the construction of climate resilient dwellings.
- Promote the protection and enhancement of the natural environment; and minimise the impacts of carbon emissions harmful to local air quality, the natural environment and health.

11.3 The Biodiversity Net Gain SPD will set out the requirement for developers to meet the Biodiversity Net Gain plus 10% requirement introduced by the Environment Act 2021. This includes:

- The protection of, and improvements to, the natural environment.
- Increased participation in active travel through increasing access to Green Infrastructure corridors.
- Ensuring improvements and enhancements to the natural environment that will lead to improved health of local communities.

11.4 The Trees SPD will set out the requirements for retention and replacement of trees on development sites, which has been shown to encourage active travel through an enhanced natural environment and will:

- Assist in the mitigation of $CO_2$ emissions, through active travel.
- Seek compensation off-site for new development proposals where on-site mitigation and enhancement is not possible.
- Provide carbon capture and ‘clean’ the air of emissions and reduce the carbon footprint of the development, through increased tree cover.

11.5 The Preparing a Soils Strategy SPD will set out requirements for the management of soils on-site and will:

- Ensure the efficient management and re-use of soils and reduce waste produced by incorrect disposal of soils.
- Encourage and protect biodiversity within soils thus supporting all levels of life within the carbon food chain.
- Maintain the health of the Borough’s vegetation, providing enhanced Green Infrastructure to improve carbon capture in the Borough.
- Help to secure the food supply in the Borough, which is under threat due to climate change, through promoting good soil conditions.

11.6 The Development in the Green Belt SPD amendments are clarifications to the existing document and will not directly affect emissions and climate change.

## 12. Implications for Partners

12.1 The implications for partners or other directorates are mainly associated with consultation on the draft SPDs and to ensure partners and directorates are fully engaged in the process.

## 13. Risks and Mitigation

13.1 The Council may be open to legal challenge should Supplementary Planning Documents not be prepared and adopted in accordance with The Town and Country Planning (Local Planning) (England) Regulations 2012. Legal advice will be sought as necessary.

## 14. Accountable Officers

Simon Moss, Assistant Director of Planning, Regeneration & Transport

Approvals obtained on behalf of Statutory Officers: -

| | **Named Officer** | **Date** |
|---|---|---|
| Chief Executive | Sharon Kemp | 27/06/22 |
| Strategic Director of Finance & Customer Services (S.151 Officer) | Judith Badger | 21/06/22 |
| Assistant Director, Legal Services (Monitoring Officer) | Phil Horsfield | 01/06/22 |

*Report Author:* *Helen Sleigh, Senior Planning Officer*
*01709 823831 or helen.sleigh@rotherham.gov.uk*

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# Supplementary Planning Document on Developer Contributions

May 1

2022

This Supplementary Planning Document sets out the over-arching principles for securing developer contributions through planning obligations to mitigate impacts arising from new development in Rotherham Metropolitan Borough Council.

Prepared by Professor Stephen Walker in liaison with RMBC planning officers

# Contents

**Foreword** 3

**Principles of Seeking and Securing Developer Contributions** 8

Preamble 8

Developer Contributions and Viability 13

Underlying Principles for Securing Developer Contributions 20

Mechanisms for seeking and securing Developer Contribution using Planning Obligations 23

**Specific Policy Areas**

Educational Provision [School Places] 25

Library Provision and Library Space 32

Biodiversity Net Gain plus 10% 37

The Value of Amenity Trees 44

Outdoor Sport and Recreational Provision, Green Space & Green Infrastructure 49

Transport and related infrastructure 59

Community Access Plans and Other Management or Operational Plans 66

Local Primary Health Care Provision 69

**References** 80-81

Annex 1 Rotherham Metropolitan Borough Council: List of Planning Guidance prepared and adopted

## FOREWORD

The Council is keen to ensure the delivery of new development as set out in its spatial plan for the borough, as set out in its Core Strategy [2014] and Sites and Policies Local Plan Document [2018]. However, this objective must be supported by measures to ensure that development is sustainable.

This Supplementary Planning Document [SPD] specifically covers the following policy and service areas:

- Education Provision [i.e., School Places];
- Library Provision and Library Space;
- Biodiversity Net Gain plus 10%;
- The Value of Amenity Trees;
- Green Infrastructure, Green Spaces, Outdoor Sport and Recreational Provision;
- Transport and Related Infrastructure;
- Community Access Plans and other Management or Operational Plans; and
- Local Primary Health Care Provision [e.g., medical centres].

Planning obligations are used as part of the planning application process to address specific planning issues and impacts arising from a development proposal. They are normally agreed between the Council, landowners and developers in a legal agreement called a Section 106 [S106] agreement and are intended to make acceptable a development that would otherwise be unacceptable in planning terms.

Planning obligations can be used to regulate the nature of development, to address the impacts of development, and to contribute towards needs associated with a proposal. They help to ensure that new development is sustainable and assists in meeting the objectives of the Council's policies and strategies, including Rotherham's Core Strategy [2014] and its Sites and Policies Local Plan Document [2018].

This Supplementary Planning Document [SPD] provides further detail and explanation of the Council's policies on planning obligations and of the procedure for agreeing planning obligations following the adoption of Rotherham's Community Infrastructure Levy [CIL]. Please note that this document does not establish new policy but provides guidance relating to policies in Rotherham's statutory Local Plan [Rotherham's Core Strategy and its Sites & Policies Document]. This SPD does not form part of Rotherham's Local Plan rather it is a material consideration dependent on the circumstances of individual applications.

The Hearing for the Rotherham's Community Infrastructure Levy [CIL] Charging Schedule Examination in Public took place in early 2016 and was effective 3rd July 2017. CIL is a non-negotiable charge for funding local infrastructure to support the development of an area through a tariff system applied to new developments, based on infrastructure needs and development viability. In line with policy changes announced by central Government in September 2019, the Council's CIL123 List of targeted infrastructure or types of projects intended to be funded by CIL was rescinded.

Since its adoption, Rotherham's CIL has been applied in tandem with the Borough's planning obligations' requirements which had been scaled back in accordance with relevant legislation and national guidance.

As such, the Council's S106 policy requirements have been focused on dealing with matters[1] that are both directly related to the specific sites, and that are not addressed by CIL. In the future, with greater discretion there may be situations where the pooling of resources is needed with developer contributions being made from both S106 and CIL receipts, as well as other funding sources if and when these become available.

**Planning Law and National Guidance**

Changes in national guidance and its incorporation into planning law[2] means that securing developer contributions using S106 obligations demands three specific tests **must be met** in the decision to grant planning permission. Such obligations must be:

a. Necessary to make the development acceptable in planning terms;
b. Directly related to the development; and
c. Fairly and reasonably related in scale and kind to the development.

In this regard, the purpose of this SPD is to set out the methodology and the evidence base supporting the Council's approach in seeking and securing developer contributions, whether for sport and recreation or the other policy areas that are included in this SPD.

**Tailored to Local Circumstances**

The planning obligations necessary for each development will vary depending on the specific requirements arising from the individual scheme. A set of "standard" S106 planning obligations are generally used as a starting point, to provide certainty and to speed-up the planning and decision-making process. Different obligations are "standard" for different sizes and types of development, with obligations added to or taken away from the list, as necessitated by the nature or location of the development.

Most obligations described as "standard" apply to the majority of major developments [1,000 sq. m of commercial or mixed-use space or a residential-led development for which the site is capable of delivering an uplift of 10 residential units or more, or sites no smaller than 0.5 hectares]. The contribution amount or in-kind provision required for each obligation is calculated using the methodologies shown in this SPD. These methodologies/ formulas are applied to proposed residential unit or employee uplift. If the uplift in employees is not known, the proposed floor-space for each use class shall be applied in combination with average employment densities. Standard Heads of Terms document is presently being prepared; applicants shall need to contact the Planning Poolicy Team, who will provide a file or a relevant internet link.

Members of the public and interested parties have the opportunity to make comments on any particular planning proposal during the consultation period of an application. Comments may relate to particular impacts or other issues arising from a development that could be addressed through planning obligations. Specific planning applications may be searched and commented on through the Council's website: http//Rotherham.gov.uk/planning/

The Council also undertakes consultations on documents which help to inform the use of planning obligations as well as on specific projects funded through S106 voluntary legal agreements. In this regard, the Council is aware of recently published guidance from The Planning Inspectorate.[3]

[1] The provision of affordable housing is not based on mitigating development impacts but is sought on the basis that it is a positive planning goal as set out in National guidance and the Council's statutory Local Plan.
[2] See CIL Regulation 122, MHCLG, 2018
[3] See Planning Inspectorate's newly release guidance: Planning Obligations: New Practice Guidance, 21st April 2022

The SPD is available in PDF and RTF on the Council's website. Should you wish to receive a copy in a different format such as large print, or in another language, please contact RMBC [Telephone: **01709 823869;** Email**: planning.policy@rotherham.gov.uk**] and where possible we will meet requests.

**Developer Contributions and Viability**

The planning and housing policies in a Council's adopted local plans must not render new development unviable; such a position is in accordance with national guidance. The evidence recently presented as part of the Council's evidence base serves to refresh and satisfy this principle that the policies in its Adopted local plans do not render new development unviable.

A key element in carrying out the Refresh Appraisal study was to anticipate the likely costs arising from developer contributions comprising:

- **Community Infrastructure Levy** [CIL] – which was effective from 3 July 2017, and whose rates are annually updated in accordance with national guidance; and

- **Planning Obligations** [S106 legal agreements] – which can only be sought and secured from new development growth if it can be shown to be necessary to "*make an otherwise unacceptable planning application acceptable in planning terms*" [NPPF, 2021].

Of course, it is also important to stress that the provision and delivery of affordable housing is typically sought and secured using a planning obligation. But this is done on the principle that it is a positive planning objective as set out in NPPF and can only be sought and secured in accordance with the Council's statutory local plan Core Strategy CS7 Housing Mix and Affordability[4].

The initial sum allotted for these two policy costs was set at £8,890/dwelling unit. This was based on a previous sum of £7,000/dwelling unit [which had been applied in an earlier study in 2012] but rebased to take account of the rise in all-tender price index published by the Building Cost Information Service [BCIS, RICS, 2018] over the intervening period. Of the above sum of £8,890/dwelling unit[5], a sum of £3,000/dwelling unit was specifically reserved for the CIL by PBA consultants in their whole plan viability assessment that underpinned the formally adopted CIL rates in July 2017.

Such an approach was justified on the basis that it was prudent to allow for mitigation, even though in practice such requirements shall only be sought based on site-specific conditions and that these must be tailored to local circumstances, in accordance with the nexus policy tests expressed in national guidance and secured through policies in the Council's statutory local plan.

It is important to stress, that by allowing for the above costs, these do not "crowd-out" the developer's profit in a development appraisal, since a developer's profit is a key input in carrying out a residual land value, which is the appropriate appraisal methodology in judging if a site is viable against the site's benchmark land value.

[4] See Rotherham local plan, Core Strategy 2013-2028, Adopted September 2014, pp. 76-79,

[5] Please be aware that this sum shall be uprated to current prices [i.e., 2022] in the forthcoming Refresh Viability Study.

To stress the importance of the last paragraph, applicants need to be aware that other programmed, systemic changes shall need to be explicitly taken to account in their development appraisals. For example, well-publicised changes being made to Building Regulations[6], which are planned to be introduced in June 2022, shall need to be explicitly recognised in development appraisals, so that such costs are amortised in a site's land value, and, thus do not crowd-out a developer's assumed level of profit. Paying a too higher a price for a site is not a tenable and acceptable defence in a claim that a site's development is unviable.

The costs allotted to S106 and CIL were judged to be reasonable and not excessive relative to the overall outturn value [i.e., gross development value] and other costs arising from building out the sites as appraised and published in the Refresh Appraisal study report by the Council in 2019.

Since that date, national guidance has changed, particularly affecting the appraisal methodology regarding the setting of the benchmark land value. In addition, since that date the base sales' prices for residential development has outpaced their underlying build costs. Overall, this has improved viability as well as coinciding with housebuilders booking growing levels of profits which have, in many cases, exceeded the input rates of profits used in carrying out viability appraisals. Further evidence on this key matter is located on pages 16-20 of this SPD.

**Planning obligations, S106 agreements and unilateral undertakings**

Planning obligations are specific requirements to be fulfilled by developers to ensure that impacts arising from a new development are addressed. For example, where a road is damaged in the process of development or a community facility is lost as a result of a new development, S106 planning obligations can be used to offset these negative effects through requiring provision of or funds towards repairs or re-provision of facilities. Planning obligations are also used to ensure that a development accords with adopted planning policies and is socially, economically and environmentally sustainable, for example by ensuring that local residents have appropriate provision of school places or at local doctors' surgeries.

Planning obligations may be contained in a S106 agreement [where the Council is a principal party to the deed document] or in a unilateral undertaking [where the Council is not]. Planning obligations of either type are individual, scheme-specific, legal documents used to address issues directly arising from development proposals to ensure that an otherwise unacceptable planning proposal is acceptable in planning terms. An agreement or a unilateral undertaking can contain a number of planning covenants or obligations.

**Obligations required in Rotherham**

Planning obligations are always drawn up and negotiated based on the attributes of the individual site and development proposed. Obligations can include either direct provision of a service or facility, contributions towards a provision made by the Council, or both. Obligations reflect the priorities and objectives set out in Rotherham's Core Strategy, Sites & Policies Document Local Plan

[6] The Department for Levelling Up, Housing and Communities (DLUHC) has announced some significant changes to the Building Regulations in England. Such changes relate to Part L – Conservation of Fuel and Power and Part F - Ventilation of the Building Regulations, along with the introduction of the new Part O – Overheating and Part S – Infrastructure for charging electric vehicles.

and its Supplementary Planning Documents, although other matters may be considered if they are directly relevant to the proposal.

Applicants for development proposals will usually be expected to enter into a S106 agreement with the Council on all schemes including one or more of the following:

- Residential schemes comprising ten or more dwellings and/or where the site is larger than 0.5 hectares;
- Hotels, hostels & student housing of 1,000m$^2$ gross external floor-space or more;
- Commercial/employment developments [defined by the Sites & Policy Document Local Plan as any activities or uses that generate employment] of 1,000m$^2$ gross external floor-space or more;
- Mixed use developments of 1,000m$^2$ gross external floor-space or more [this can include residential developments of less than 10 units, combined with an office, retail or other mixed-use element]; and
- Other developments where necessary to ensure they are acceptable in planning terms.

This comprises all types of development meeting these thresholds[7], so long as it requires planning permission, including:

- New development (on vacant land or involving demolition);
- Increases in usable floor-space on an existing permitted development (as part of refurbishment, demolition and rebuild or extension);
- Intensification of use;
- Bringing back into use of a long term vacant or significantly underused building; and
- Changes of use with and without a change in floor-space.

Contributions charged will be calculated based on proposed uplifts in residential units, their gross floor areas [m$^2$] and/or employees[8].

Applicants are encouraged to contact the following Officer regarding this Supplementary Planning Document.

**Contact**

Planning Policy Team

Telephone: 01709 823869

Email: planning.policy@rotherham.gov.uk

**END**

[7] The Council is aware that Vacant Building Credit as well as permitted development rights can change how S106 policy requirements are assessed.

[8] Applicants shall need to refer to HCA [known as Homes England] *Employment Density Guide*, 3rd Edition, November 2015 [and subsequent updated editions]; especially see Chapter 4 which displays employment density metrics for different Use Classes [p.29].

## Principles in Seeking and Securing Developer Contributions

### Preamble

The **aims** of this Supplementary Planning Document [SPD] on Developer Contributions are to:

- Provide a clear framework which clarifies the Council's strategic approach to negotiations and mitigating development impacts arising from new development;
- Provide a systematic basis for officers negotiating Section 106 Planning obligations.
- Give specific advice to developers when contributions shall be required and how they shall be calculated.
- Ensure that the true and full costs of development are internalised so that spill-over costs are not imposed on others that are not party to the decisions regarding new development.

The **objectives** of this SPD are to provide:

- Transparency: By setting out the circumstances where the Council may impose planning obligations and, where possible, how it should calculate its requests.
- Consistency**:** By ensuring that negative effects of development are mitigated or minimised in a way that is fair and reasonable.
- Speed**:** By the SPD -
    1. Providing a high level of clarity for everyone involved;
    2. Reducing unnecessary negotiation; and
    3. Increasing the speed of planning decisions.
- Certainty: The SPD shall make clear what is expected of all applicants [e.g., developers and landowners], the Council and third parties.

A good starting point for applicants, officers and others is to consult relevant national guidance[9] especially:

- *National Planning Policy Framework* [NPPF, MHCLG, 20121];
- *National Planning Practice Guidance for Viability* [NPPGV, MHCLG, 2019];
- *Planning Obligations: New Practice Guidance*, [The Planning Inspectorate, 2022];
- *Department for Education guidance securing developer contributions for education* [DfE, April 2019];
- Two excellent and recent publications from *The Planning Advisory Service* setting out best practice guidance on developer contributions [PAS, February 2020]; and *Sport England's Advice Note* on CIL and Planning Obligations [Sport England, November 2018 version]; and
- With respect to *Biodiversity Net Gain,* it is recommended that applicants directly consult *Biodiversity Net Gain*, *Good Practice Principles for Development: A practical guide* [2019] prepared by members and a consortium of ecological experts of CIEEM, IEMA, and CIRIA.

[9] These are regularly updated by central government; so, there is a need to regularly consult the relevant government department for such announcements.

**Legal Basis**

The legal basis for concluding planning obligations is contained in Section 106 of the Town and Country Planning Act, 1990 [and subsequent amendments]. This permits a planning obligation to restrict the development or use of land; requires specified operations or activities to be carried out on land; and requires specified sums to be paid to the local planning authority. Planning obligations "run with the land" and are enforceable against the original covenantor and successors in title. Obligations can be positive, asking the developer to provide a benefit, or can prevent the developer harming or removing a valued asset. Additionally, Section 106 [2] allows *inter alia* for payments of money to be made, either of a specific amount or by reference to a formula, and for periodic payments to be made indefinitely or for a specified period, unlike planning conditions.

**Current Local Policy Context**

Rotherham's Core Strategy policy CS32: Infrastructure Delivery and Developer Contributions provides the overarching infrastructure delivery policy. It states *inter alia*:

*"...Development will be required to contribute to funding all or part of the items of infrastructure listed in the Infrastructure Delivery Schedule, through a combination of mechanisms such as a Community Infrastructure Levy (CIL) and **S106 Planning obligations**. The Infrastructure Delivery Schedule is indicative and final requirements will be assessed based on the specific requirements stemming from each development, taking account of capacity and legislation concerning developer contributions*.

*It is acknowledged that in some instances there may be a need for negotiation and prioritisation of the overall **developer contribution requirements** (based on what is needed to **make the development acceptable** and what the development can afford to contribute). Any negotiation will need to take account of all policy requirements stemming from this plan, including requirements such as affordable housing and renewable energy generation."* [My emphasis]

Importantly, there are an array of other important policies in the Core Strategy that specifically cite the need for developers to mitigate for site-specific enabling infrastructure [and for other site-specific impacts stemming from development]. The policy areas that this over-arching SPD on Developer Contributions covers are as follows:

- Educational provision [school places];
- Green Infrastructure, Green Spaces, Outdoor Sport and Recreational Provision
- Transport and related infrastructure
- Biodiversity Net Gain
- The Value of Amenity Trees
- Libraries' Provision and Library Space
- Community Access Plans and Other Management or Operational Plans
- Local Primary Health Care Facilities.

**Objectives**

Over the years, national guidance has made the use of Section 106 legal agreements more permissive[10] embracing a wider range of policy areas. This more supportive policy environment has enabled more planning authorities to use planning obligations in a broader array of policy areas,

[10] This is demonstrated by making a simple comparison of the changes in the "tone in policy" as exemplified in Circular 1/1997, Circular 05/2005 and NPPF 2021 and NPPG on Planning Obligations [2020].

which not only covers physical infrastructure, but to provide compensation for the loss of, or impact on, any amenity or resource present on a site prior to development, which can embrace such things as the provision of open space, woodlands, structural landscaping, on-site and off-site nearby.

At the heart of the planning obligation system is the notion of reasonableness and that developer contributions can only be sought to deal with planning matters that must be in scale and in kind. In this respect, current guidance embraces the principle of a nexus between the needs arising from development and what is sought by the planning authority. Specifically, the terms of a planning obligation must pass all these five policy tests such that planning obligations should be:

1. Necessary to make the development acceptable in planning terms;
2. Directly related to the development;
3. Fairly and reasonably related in scale and kind to the development;
4. Reasonable in all other respects; and
5. Relevant to planning.

Since the planning authority has adopted a Community Infrastructure Levy, then the **last two policy tests [i.e., 4 and 5] do not apply** in respect of judging the appropriateness of seeking and securing mitigation measures arising from new [housing] growth using planning obligations in Rotherham.

**Seeking Reasonable Benefits**

National guidance stresses that obligations have a positive role in the planning system, remedying genuine planning problems and enhancing the quality of development. Where new development shall generate a need for measures to safeguard the environment, it may be reasonable for developers to meet or contribute towards the cost of providing such measures. The planning authority recognises that establishing the relationship between a particular planning benefit and an individual development is a matter of planning judgement, always exercised in the light of local circumstances. In this regard, the planning authority has an adopted Local Plan containing a raft of policies with the objective of achieving such outcomes in all development situations.

The planning authority recognises that it shall always seek to use planning conditions wherever possible, but there are circumstances where planning obligations can and shall be used. Thus, where a development, if implemented:

- Generates a need for particular facilities;
- Have a damaging or deleterious impact on the environment or local amenity; or
- Would adversely affect the delivery of national and local policies,

and these matters cannot be resolved through planning conditions, it is reasonable for planning obligations to be sought.

Importantly, though a planning authority can only seek requirements if it has appropriate policies in its adopted Local Plan, this limitation is not applicable to developers. As developers are not constrained in this manner, the key test involves assessing the extent to which what they might be offering is material to the planning situation. Issues of validity and materiality have been tested in

the courts, and judgements reveal that the connectivity between what is being offered in mitigating impacts is low. Thus, the planning authority is keenly aware that a measured assessment must be conducted to ensure that such a nexus or connection exists to ensure fairness and reasonableness in the making of planning decisions for all applicants.

**The relationship between Community Infrastructure Levy [CIL] and Planning Obligations**

The planning authority is also aware that the relationship between the way it seeks and administers the use of planning obligations in the presence of the council's Community Infrastructure Levy has recently changed as a result of changes in national guidance regarding both fiscal instruments. Specifically, for CIL, the CIL 123 Regulation has been abolished; while for S106 agreements, the restriction on the pooling of up to 5 agreements relating to the provision of off-site requirements was also rescinded in September 2019 [NPPF, MHCLG, September 2019].

In respect of both instruments, permitted development rights and vacant building credit may reduce the requirements to pay CIL and seek contributions in the form of affordable housing provision secured through planning obligations. The Council shall require that applicants provide fully referenced evidence in respect of any claims for such relief whether in respect of permitted development rights, vacant building credit or both.

These changes to the operation of CIL and planning obligations have potentially generated a degree of overlap, which previously had been largely avoided or at least minimised. The Council is therefore aware that it needs to clarify the role to be played by both of these fiscal instruments. For CIL the Council, along with its Infrastructure Delivery Plan [June 2021] and Infrastructure Funding Statement [January 2022][11], intends to identify and prioritise those projects that are to be funded in whole or in part by CIL. The Council intends to identify a hierarchy where projects are listed in priority and once delivered be replaced by the next in the priority list. The policy areas to be identified will embrace largely, but not exclusively:

- Transport/active travel/ highway improvements;
- Blue infrastructure projects;
- Green infrastructure projects;
- Educational provision;
- Health and other community facilities contributions.

The Council has generated a spending protocol regarding the income received from its Community Infrastructure Levy fee rates. This is located at:
https://moderngov.rotherham.gov.uk/ieListDocuments.aspx?CId=1103&MId=15358&Ver=4

As expected, **CIL** shall be **primarily used** on projects to **unlock existing deficiencies**. Whereas, S106 contributions shall be targeted to meet the needs arising from new demands stemming from new residential and/or commercial development. It is permissible for a number of developers to contribute jointly to a new or improved facility, which will be of benefit for the local community at

[11] See also Community Infrastructure Levy - GOV.UK (www.gov.uk): www.gov.uk/guidance/community-infrastructure-levy#monitoring-and-reporting-on-cil-and-planning-obligations

large. Necessarily, there are more restrictions on how S106 contributions are typically used based on the nexus principle which ties the developers' contributions either directly physically, but increasingly in terms of functionality. The latter could involve the provision of park and ride schemes that are at a distance from the sites that have contributed to its provision. Equally, this same principle can justify, for example, greenways, access to cycle and pedestrian tracks linking a new development to the immediate as well as wider surroundings and countryside.

The Council is conscious of the fact that CIL receipts can be spent with greater discretion and freedom than S106 contributions. However, there will be situations where it is logical to collaborate and pool such receipts to ensure full and early provision. These occasions will be discussed at an early stage in the application decision-making process so that all opportunities can be explored in an open dialogue with all interested parties, which could also include organisations with special focus or expertise [e.g., Rotherham Commissioning Clinical Group; The Woodland Trust; The Community Forest; Rotherham Library Services; Canal and Waterways Trust].

**Table 1: Policy Areas and Developer Contributions**

| Rotherham Metropolitan Borough Council | | Potential Funding Sources | | | | | |
|---|---|---|---|---|---|---|---|
| Core Strategy & Sites & Policies Local Plan References | Policy areas | CIL [CS32] | | S106 [CS32] | | Other Sources [e.g., S278; grants; bids; loans; private finance] | |
| | | Scale of Development[12] | | | | | |
| | | Major | Minor | Major | Minor | Major | Minor |
| CS7 & CS2 | Affordable Housing[1] | No | No | Yes | Yes | Yes | Yes |
| CS29 | Education[2] | Yes | No | Yes | No | Yes | Yes |
| CS15 & CS16 | Highways[3] | Yes | No | Yes | Yes | Yes | Yes |
| CS19 | Green Infrastructure[4] | No | No | Yes | No | Yes | No |
| CS22 | Green Open Space[5] | No | No | Yes | No | Yes | No |
| CS14 | Accessible Places & Managing Travel Demand[6] | No | No | Yes | Yes | No | No |
| CS29 | Community and Social Facilities[7] | No | No | Yes | No | Yes | No |
| CS25 | Inland Waterways & Flood Risk[8] | Yes | Yes | Yes | Yes | Yes | No |
| CS20 | Biodiversity & Geodiversity[9] | No | No | Yes | Yes | Yes | Yes |
| CS10 | Improving Skills & Employment Opportunities[10] | No | No | Yes | No | Yes | No |

**Notes**

| | |
|---|---|
| 1 | **Affordable Housing** is typically delivered on site for developments of **10 or more dwellings and/or where the site is larger than 0.5 hectares**. In some circumstances a commuted sum is agreed to provide AH units off-site within the borough with the agreement of both parties. |
| 2 | **School places** are sought from developments with 1 **or more units.** Large, strategic allocations are likely to require a new school to be provided, including land, construction, and equipment to specified standards prescribed by Department for Education. |
| 3 | **Highways** cover a range of requirements. Offsite requirements triggered by new development will be provided via S106 contributions, S278 or S38 agreements. More strategic highway projects will be funded from CIL contributions and other funding sources. These latter projects shall be identified in the Council's Infrastructure Delivery Plan. |
| 4 | This shall significantly alter the status quo regarding provision, enhancement and maintenance of both **green infrastructure and green spaces** [see note 5]. |

[12] For a definition of Major/Minor Development: access https://www.legislation.gov.uk/uksi/2015/595/pdfs/uksi_20150595_en.pdf

| | |
|---|---|
| **5** | On-site **open space** is prescribed for sites with 36 or more dwellings as specified by SP37 |
| **6** | **Sustainable travel and improvement measures and contributions** in association with South Yorkshire Mayoral Combined Authority. Historically this had been set at a discounted price of £500/dwelling; presently it is £1,200.. Currently, the planning authority seeks to support an array of **active and sustainable travel** opportunities within the borough and links to access amenities in the wider locale. |
| **7** | These largely related to the provision of space and resources required in **libraries, community or parish/town council halls.** |
| **8** | This relates to improvement and management of key **inland waterways and canals**, as well as measures to reduce **strategic flood risk** in association with the relevant water and other utility companies. |
| **9** | All new development shall be required to deliver **BNG plus 10%** in accordance with the Environment Act. 2021. |
| **10** | Major and/strategic new development can contribute to **local training and employment initiatives** in association with Council and other trade and education providers. |

### Developer Contributions and Viability

It is prescient to stress that the Planning Authority's position on seeking and securing developer contributions is in accordance with current national guidance which, amongst other things, states:

> "*Where up-to-date policies have set out the contributions expected from development, planning applications that comply with them should be assumed to be viable. It is up to the applicant to demonstrate whether particular circumstances justify the need for a viability assessment at the application stage. The weight to be given to a viability assessment is a matter for the decision maker, having regard to all the circumstances in the case, including whether the plan and the viability evidence underpinning it is up to date, and any change in site circumstances since the plan was brought into force. All viability assessments, including any undertaken at the plan-making stage, should reflect the recommended approach in national planning guidance, including standardised inputs, and should be made publicly available.*"
>
> [Paragraph 57, p.16, NPPF, MHCLG, February, 2019]

A key focus for the Planning Authority is to ensure that viability is being maintained over the property cycle and with respect to changes in local market conditions [i.e., local house prices and build costs] and critical changes in any of the relevant national guidance.

To this end, Rotherham commissioned and published a Refresh Appraisal Study in 2019 to support the Planning Authority's extant planning and housing policies in its adopted Local Plans.

A key element in carrying out the Refresh Appraisal Study was to anticipate the likely costs arising from developer contributions comprising:

- **Community Infrastructure Levy** [CIL] – which was originally effective from July 2017, and whose rates are annually updated in accordance with national guidance; and

- **Planning Obligations** [S106 legal agreements] – which can only be sought and secured from new housing growth if it can be shown to be necessary to "*make an otherwise unacceptable planning application acceptable in planning terms*" [NPPF, 2021].

Of course, it is also important to stress that the provision and delivery of affordable housing is typically sought and secured using a planning obligation. But this is done on the principle that it is a

positive planning objective as set out in NPPF and can only be sought and secured in accordance with the Council's statutory local plan Core Strategy CS7 Housing Mix and Affordability[13].

The initial sum allotted for these two policy costs was set at £8,890/dwelling unit. This was based on a previous sum of £7,000/dwelling unit [which had been applied in an earlier study in 2012] but rebased to take account of the rise in all-tender price index published by the Building Cost Information Service [BCIS, RICS, 2018] over the intervening period. Of the above sum of £8,890/dwelling unit, a sum of £3,000/dwelling unit was reserved for the Community Infrastructure Levy [CIL] by PBA consultants in their whole plan viability assessment that informed the setting of CIL rates in July 2017.

Such an approach was justified on the basis that it was **prudent to allow for mitigation**, even though in practice such requirements can only be sought based on site-specific conditions and that these must be tailored to local circumstances, in accordance with the nexus policy test expressed in national guidance and reinforced by policies in the Council's statutory local plan.

It is important to stress, that by allowing for the above **developer contribution costs**, these **do not "crowd-out" the developer's profit** in a development appraisal, since a developer's profit is a key input in carrying out a residual land value, which is the appropriate appraisal methodology in judging if a site is viable against the site's benchmark land value.

In assessing if sites in the Council's adopted local plan continue to be viable, the Refresh Appraisal Study, comprising 27 sites that were a representative cross section of allocated housing sites in the local plan, tested **full policy compliant schemes** that included the equivalent of **£8,890/dwelling unit for developer contributions** as well as the **full provision and delivery of affordable housing** in accordance with the Council's policy of 25% of a site's total capacity [in both numbers and gross floorspace ($m^2$) terms].

Tables 2a and 2b, below, present a summary of the amounts allotted for both CIL and S106 across the 27 Refresh study sites.

**Table 2a: Refresh Study – Number of sites and the capacity of the 27 sites, including developer contributions] £/unit]**

| Number of Sites | Total Site Area [hectares] | Total Site Capacity [number of dwellings] | Total Floorspace [m2] | Developer Contributions [S106 + CIL] £/unit] |
|---|---|---|---|---|
| 27 | 115 | 3,294 | 313,196 | £8,890 |

**Table 2b: Refresh Study – Costs allotted to S106 and CIL across the 27 study sites**

| Average CIL rate [£/m2] | Average S106 [£/m2] | Average S106 costs [£/hectare] | Average CIL costs [£/hectare] | Total CIL [£] | Total S106 [£] | Total CIL+S106 |
|---|---|---|---|---|---|---|
| £28.33 | £75.84 | £216,995.49 | £60,793.4 | £7,720,976 | £21,562,684 | £29,283,660 |
| **Nb.** The above relates to full policy compliant schemes where the AH dwellings are exempt from CIL. | | | | | | |

[13] See Rotherham local plan, Core Strategy 2013-2028, Adopted September 2014, pp. 76-79,

The figures in Tables 2a and 2b reveal that around £0.278m per hectare had been included in the appraisals to cover CIL fees and mitigation measures secured using planning obligations [S106]. If the latter are not required, then in accordance with the appraisal methodology the residual land value estimates shall be higher [and vice versa].

Tables 3a and 3b, below, present the same information for a sample of the sites in the Refresh Appraisal Study [RMBC, 2019].

**Table 3a: Refresh Study – Sample of Sites: site capacity metrics & S106 and CIL rates [£/m$^2$]**

| Local Plan Site Label | Site Typology | Total Site Area [hectares] | Site Capacity [number of dwellings] | Total Floorspace [m2] | CIL Rate [£/m$^2$] | S106 [£/m$^2$] |
|---|---|---|---|---|---|---|
| H34 | Greenfield [GF] | 20.02 | 450 | 45,450 | 55 | £46.8 |
| H16 | GF | 10.494 | 291 | 28,227 | 30 | £69.1 |
| H88 | GF | 6.44 | 175 | 16,975 | 15 | £80.4 |
| H04 | GF | 2.96 | 90 | 8,370 | 15 | £84.3 |
| H64 | GF | 0.91 | 22 | 2,398 | 55 | £40.3 |
| H87 | GF | 0.59 | 19 | 1,843 | 15 | £80.4 |
| H75 | Brownfield [BF] | 7.96 | 271 | 26,287 | 30 | £69.1 |
| H30 | BF | 3.04 | 97 | 9,409 | 30 | £69.1 |
| H83 | BF | 1.04 | 30 | 2,910 | 30 | £69.1 |
| H25 | BF | 0.63 | 38 | 2,660 | 30 | £104.5 |

The figures in Tables 3a and 3b provide site-specific metrics and sums allotted to CIL and S106 costs that had been included in separate site-based viability appraisals. In respect of CIL fee rates, zonal rates are shown dependent on the sites' location varying from £15/m$^2$ to £55/m$^2$; the higher CIL rates reduce the amounts available for mitigation measures through S106, holding the unit costs constant at £8.890/dwelling unit.

**Table 3b: Refresh Study - Sample of Sites: Overall Costs allotted to S106 and CIL, & % of GDV**

| Local Plan Site Label | Total CIL [£] | Total S106 [£] | Total CIL & S106 [£] | Total CIL & S106 [£/unit] | Gross Development Value [GDV] of the Scheme | CIL + S106 as a % of GDV of Scheme |
|---|---|---|---|---|---|---|
| H34 | £1,874,812.5 | £2,125,687.5 | £4,000,500 | £8,890 | £119,710,887 | 3.34% |
| H16 | £635,107.5 | £1,951,882.5 | £2,586,990 | £8,890 | £58,644,923 | 4.41% |
| H88 | £190,968.8 | £1,364,781.3 | £1,555,750 | £8,890 | £41,114,037 | 3.78% |
| H04 | £94,162.5 | £705,937.5 | £800,100 | £8,890 | £20,463,463 | 3.91% |
| H64 | £98,917.5 | £96,662.5 | £195,580 | £8,890 | £6,281,138 | 3.11% |
| H87 | £20,733.8 | £148,176.3 | £168,910 | £8,890 | £4,463,810 | 3.78% |

| | | | | | | |
|---|---|---|---|---|---|---|
| H75 | £591,457.5 | £1,817,732.5 | £2,409,190 | £8,890 | £58,054,516 | 4.15% |
| H30 | £211,702.5 | £650,627.5 | £862,330 | £8,890 | £24,015,283 | 3.59% |
| H83 | £65,475 | £201,225 | £266,700 | £8,890 | £6,460,040 | 4.13% |
| H25 | £59,850 | £277,970 | £337,820 | £8,890 | £4,840,906 | 6.98% |

The last two columns in Table 3b reveal the overall gross development value of the schemes, which is inclusive of providing 25% affordable housing. Crucially the final column displays the proportion of the GDV being allotted to developer contributions [S106 and CIL], for which, apart from one site [H25], the proportion varies between 3.34% and 4.41% of GDV.

The costs allotted to S106 and CIL are clearly reasonable and not viewed as being excessive relative to the GDV and other costs arising from building out the sites as appraised and published in the Refresh Appraisal Study report by RMBC in 2019.

### What is the position of Viability in 2022?

Since the publication of Rotherham's Refresh Appraisal Study [in 2019], national guidance has changed, particularly affecting the appraisal methodology regarding the setting of the benchmark land value. In addition, since that date changes in new build house prices have outpaced build costs. Overall, this has improved viability as well as coinciding with housebuilders booking growing levels of profits which have, in many cases, exceeded the input rates of capital profits assumed in carrying out development viability appraisals.

**Updating the Viability Appraisal Inputs to current prices [i.e., 2nd Quarter 2022 prices]**

The methodology for rebasing the original viability appraisals shall involve updating the following variable inputs:

- New Build House Prices;
- Build Prices [i.e., Costs];
- Developer Contributions' Allowance; and
- Benchmark Land Value.

*A priori*, **New House Prices** and **Build Prices**[14] are the two most powerful variables in affecting the residual land value estimate, for which the latter is used in assessing whether a site's development is viable by comparing that sum against the site's benchmark land value.

Preliminary research shows the following pattern of changes affecting viability in Rotherham as of January 2022. Such changes embrace the following:

- **Rotherham: New Build House Prices**: The key variable in the viability appraisal has risen substantially since the Refresh Appraisal study, which drew on data for December 2018. Office for National Statistics [ONS] reveals that **average new build prices** in Rotherham have risen by **over 32%** to close to £264,000 from just over £199,000 [see Table 4a].

[14] See Ratcliffe et al [2009], p.422.

| Table 4a: Rotherham – Average New Build House Prices | | |
|---|---|---|
| **Updated - Datum Point** | **Average New Build Prices** | **£** |
| 1st December 2018 | Accessed 11th December 2018 | £199,0752.51 |
| 1st September 2021 | Accessed 28th January 2022 | £263,817.80 |
| | **% Growth in Average New Build House Prices** | **32.52%** |
| **Source**: ONS, New House Price Index, January 2022. | | |

- **Rotherham: Build Prices [Costs][15]**: The original inputs for build prices were drawn from BCIS covering the datum point December 2018. These shall be adjusted upwards to reflect the current build prices sourced from BCIS for 1st or 2nd Quarter 2022. The growth in build prices for Rotherham is set out in Table 4b, which show that **median prices** have **grown** by nearly **12% points,** while the **lower quartile prices** have **grown** by over **13% points** over a 40month period to mid-January 2022.

| Table 4b: Rotherham - BCIS Average Build Prices | | | | |
|---|---|---|---|---|
| **Updated - Datum Point** | **Mixed Housing** | **Median [£/m²]** | **Lower Quartile [LQ] [£/m²]** | **% Difference between LQ and Median Prices** |
| 1st September 2018 | Accessed 11th December 2018 | £1,059.00 | £942.00 | 12.42% |
| 15th January 2022 | Accessed 28th January 2022 | £1,182.00 | £1,066.00 | 10.88% |
| | **% Growth in Average Build Prices** | **11.61%** | **13.16%** | |
| **Source**: Building Cost Information Service, RICS, accessed 28th January 2022 | | | | |
| **Notes: Median New Build Prices** are applied to sites with a capacity of **up to** 50 dwelling units; while **Lower Quartile New Build Prices** are applied to sites with a capacity of **more than** 50 dwelling units. This is based on the understanding that the larger housebuilders can achieve significant economies of scale over small and medium-sized housebuilders. | | | | |

- **Developer Contributions' Allowance:** To maintain consistency with earlier Viability Appraisal studies, specific provision was made for developer contributions [i.e., CIL and S106 agreements]. This was felt to be prudent and fair in that new housing growth often triggers the need to mitigate impacts directly arising on-site and off-site with regard to the proper functioning of local neighbourhoods, particularly in terms of school places, local library provision, capacity of local health surgeries, provision of green open spaces, sporting and recreational facilities, and active transport support, and commuted sums necessary to cover ongoing management and maintenance of the infrastructure to be provided, including the need to consider a dowry to fund initial establishment associated management and maintenance in the early stage of delivery.

  In the 2012 study, £7,000 per unit was allotted to support and deliver such requirements that arise and that which can be sought and secured in accordance with the Council's local plan

[15] Though described as Build Costs, the data is in fact Build Prices. The latter represents the price tendered by the contractor to their client. The build price includes preliminaries and the contractor's rate of profit. Once these two elements are extracted from the build price, the resultant sum is the base build cost!

policies. As this is an explicit cost to be borne along with other legitimate "costs", **these do not crowd-out the developer's profit**, but are amortised in the site's land valuation estimate [i.e., it lowers a site's worth].

In July 2017, the Council introduced its CIL fee rates. As a result, in the 2019 Refresh Appraisal Study, a slice of the developer contributions was explicitly reserved for CIL with the residual sum being made exclusively available to support planning obligations [S106 agreements]. The Refresh Appraisal Study rebased the **£7,000 unit** to reflect underlying changes in build costs, resulting in it being raised in real terms to **£8,890/unit** [December 2018].

Over the last 4 financial years, the CIL fee rates have been uprated by the Council in accordance with the BCIS CIL Indexation. The initial rates were set at an index of 283. This was uprated in July 2018 by applying the index of 320. The most recent uprating took place in January 2022 when the index applied was 332. The **overall rise** in the CIL fee rates across the Borough's residential zones and applicable use classes is **17.3%points**. Accordingly, as of January 2022, the amount **allotted to developer contributions** as a whole is now equivalent to **£10,429.26 per dwelling unit** [up from £8,890/unit back in 2018].

**Table 5: Rotherham MBC CIL Base Charge Rates and Indexation**

| Rotherham MBC | BCIS Index | 283 | 332 | % Change from Base Year to 2022 |
|---|---|---|---|---|
| **CIL Rate [£/m²]** | **Charge Area** | **CIL Base Charge [April 2017]** | **CIL Rates for 2022** | |
| **Residential Zone 1 [High]** | Broom, Moorgate, Whiston, Wickersley, Bramley & Ravenfield | £55.00 | £64.52 | 17.3% |
| **Residential Zone 2 [Medium]** | Rural North West, the Dearne and South Rotherham | £30.00 | £35.19 | 17.3% |
| **Residential Zone 3 [Low]** | Rest of Rotherham Urban Area [part] | £15.00 | £17.60 | 17.3% |
| **Residential Zone 4** | Bassingthorpe Farm Strategic Allocation | £15.00 | £17.60 | 17.3% |
| **Retirement Living[1]** | Borough-wide | £20.00 | £23.46 | 17.3% |
| **Supermarkets[2]** | Borough-wide | £60.00 | £70.39 | 17.3% |
| **Retail Warehouses/ Retail Parks[3]** | Borough-wide | £30.00 | £35.19 | 17.3% |
| **All Other Uses** | Borough-wide | £0.00 | £0.00 | 0.0% |

**Footnotes:** (1) **Retirement Living** are residential units which are sold with an age restriction typically over 50s/55s with design features and support services available to enable self-care and independent living. For the purposes of the CIL charge, this type of development has been excluded from the residential use category. (2) **Supermarkets** are shops above 370 square metres gross internal floorspace where weekly and daily food shopping needs are met and which can also include non-food floorspace as part of the overall mix of the unit. (3) **Retail Warehouses/Retail Parks** are stores above 1,100 square metres gross internal floorspace (this includes any mezzanine floorspace) selling comparison goods such as bulky goods, furniture, other household and gardening products, clothing, footwear, and recreational goods.

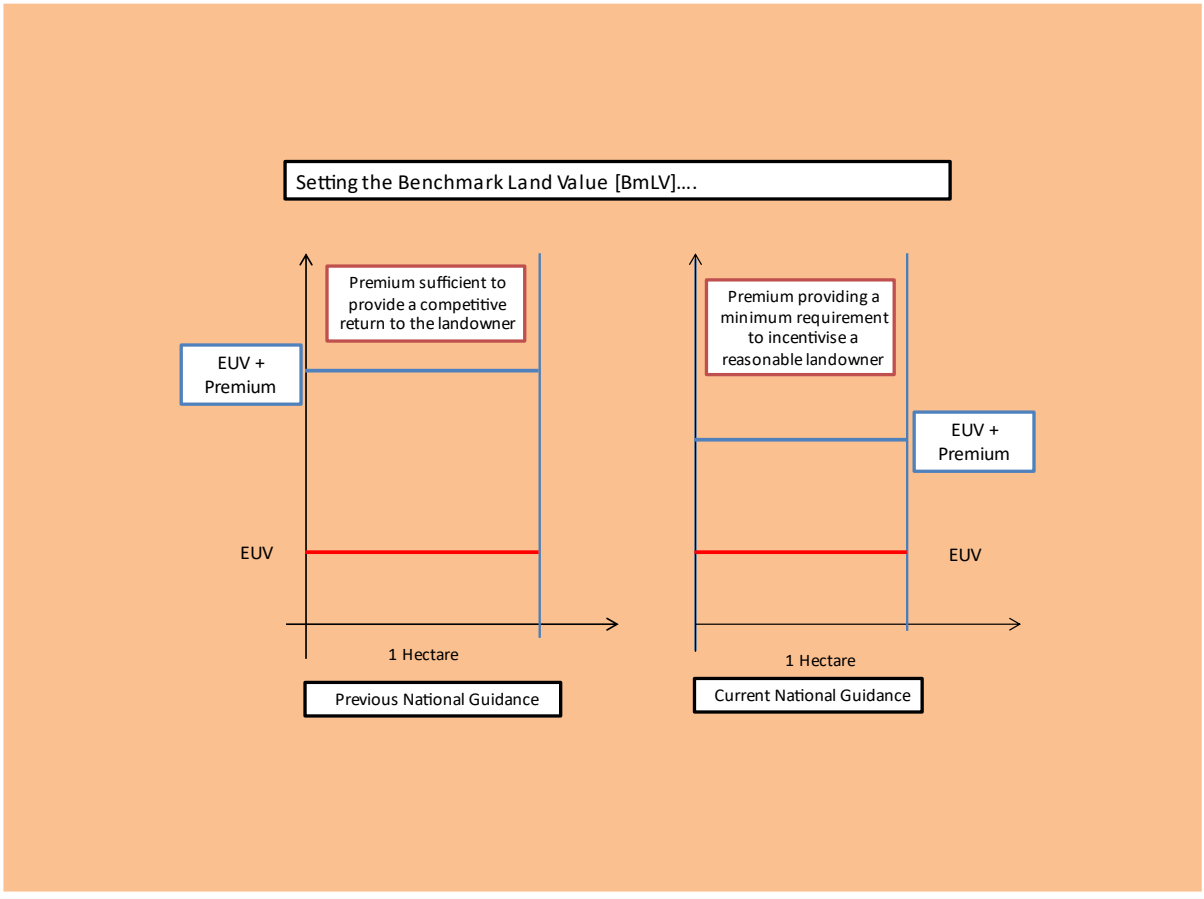
It must be stressed that the CIL fees, as non-negotiable charges, shall be paid against the relevant content and mix of housing types. However, in respect of the sums for the S106 costs, these shall only be triggered if these are found to be necessary to make an otherwise unacceptable application acceptable in planning terms; additionally, such requirements shall

always be tailored to local circumstances in respect of the site and the planning policies in the Council's adopted local plans[16].

Of course, there could be situations where the policy requirements are found to be higher than allowed in the appraisals. In this situation, such extra costs shall be amortised on a lower residual land value and in some circumstances, this can prejudice a site's viability.

- **Changes in National Guidance: Benchmark Land Value [BmLV]**
  A site's BmLV is based on its Existing Use Value plus a premium as prescribed in national guidance. In September 2019 [some months after the start, completion, and publication of the Refresh Appraisal Study], national guidance changed the basis of determining a site's BmLV from a competitive return to a minimum requirement [MHCLG, 2019].

**Chart 1: Benchmark Land Value [BmLV] Determination**




This change has a material impact on the assessment of a site's viability position particularly as it lowers the premium and hence the BmLV. In our view, the premium on the EUV is likely to be significantly lower relative to those allowed in the 2019 Refresh Appraisal Study.

Existing Use Value plus a premium approach to determining a site's BmLV reflects the need to ensure that development is sustainable by taking into account site-specific circumstances and

[16] If the land has not been purchased, then the residual land value shall be higher; if the land has been bought, then such savings will be recorded in a higher level of capital profit for the developer.

complying with policy requirement, and should reflect the value of the landowners' existing interest [**excluding any "hope value" arising from a grant of consent**] and the need to provide a relevant incentive for the landowner to forgo future benefits and release the land for alternative development.

In all cases, land or site value should reflect a site's characteristics, conditions, and planning status designation. A site's future use [as determined by a calculation of its residual land value] should embrace relevant planning policy requirements, including affordable housing, planning obligations and the appropriate Community Infrastructure Levy [CIL] rates. Such an approach significantly reduces inflated land values arising from the granting of planning permission, based on assumptions which do not adequately reflect planning policy and would likely make these unviable. This approach is in accordance with the internal logic of the appraisal methodology used in conducting development viability as well as current national guidance.

**Summary**

The balance of changes in the above variable inputs used in calculating a site's worth and judging whether it is viable can only be confirmed by re-running all twenty-seven development appraisals for the sites included in the Refresh Appraisal Study where these sites do not have any grant of planning permission.

This research shall be conducted over the summer of 2022.

Based upon our understanding of the internal logic of the appraisal methodology**, the results are expected to demonstrate an improvement in the position of viability in Rotherham**. If this is found to be the case, then the resultant [emerging] evidence shall serve and provide a strong base for the Council's adopted Local Plans and its array of planning and housing policies.

Further, it is expected to provide further confidence to planning officers in their dealings with prospective applicants, especially if or when viability concerns are raised.[17]

## Underlying Principles for Securing Developer Contributions

National guidance provides definitive confirmation of the legitimacy of using planning obligations to help deliver sustainable, resilient, and high-quality development. In this respect individual local planning authorities are at the forefront of attempts to secure a range of benefits [e.g., affordable housing; countryside benefits; open space; play spaces and equipment; up-cycling and biodiversity; energy efficiency; woodlands; cycling and pedestrian paths; highways and sustainable transport mechanisms; etc.] linked to the development of new residential and mixed-use developments in their localities.

The crucial ingredients in a successful pursuit of these policy initiatives are as follows:

- **Approved policies in the Local Plan** which set out the basic objectives and principles for negotiation for different land uses covering the provision/delivery, management, maintenance and protection of facilities, amenities and assets secured by planning obligations [and other mechanisms];

[17] Indeed, Rotherham has recently adopted Supplementary Planning Document 9 covering Development Viability in July 2021. Applicants need to be aware of the viability review mechanisms that are triggered in contesting a scheme's viability.

- **The presence of materially relevant policy framework**, such as a Supplementary Planning Document[18], which is a document that simply seeks to amplify and clarify a planning authority's approaches in particular policy areas such as affordable housing, or greenway strategies or broader nature conservation strategies;
- **The ability to secure and manage the benefits** arising from developer contributions, especially over the long term, and where appropriate involving other responsible third parties [e.g., parish and town councils; charitable bodies]; and
- **A clear structure for the negotiation process**, which also brings together a range of relevant skills and other professionals [other than planning officers], for example affordable housing, design, ecology, transport, conservation expertise] at an early stage in the planning process.

**Table 6: Recent Examples of Infrastructure Types secured through Developer Contributions [i.e. S106] in Rotherham Metropolitan Borough Council in the last 10 Years**

| Specific Types of Infrastructure | Strategic [Off-site] | Local [On-site & Off-site] | Examples |
|---|---|---|---|
| **Highways** | Link road | Off-site Improvements | Junctions and roundabouts |
| | | Off-site traffic management measures | Safety signage measures<br>Provision of new bus stops.<br>Provision and financing of new bus services for a specified period of time. |
| **Transport/Travel** | | Sustainable Travel and Transport Contributions | Travel card at £500 per household in association with SYPTE |
| **Air Quality Corridors & other measures** | | Off-site financial contributions | Financial contribution of £2k/pa for 20 years [equivalent to £40k] |
| **Education** | New schools [e.g., at Waverley new community] | Off-site financial contributions for additional school places/classrooms | Development and site-specific |
| **Libraries** | New library [e.g., at Waverley new community] | Off-site contributions to existing provision | Development and site-specific |
| **Social and Community** | New community hall [e.g., at Waverley new community] | Off-site contributions to existing provision | Development and site-specific |
| **Public Art** | | On-site and Off-site contributions | Development and site-specific |
| **Health** | New health care centre [e.g., at Waverley new community] | Off-site contributions to existing facilities | Development and site-specific |
| **Flood risk and defences** | | On-site flood defence measures;<br>Off-site contributions | Provision of flood detention basin and maintenance bond [with a specified financial sum]. |
| **Public Open & Green Space** | | On-site provision;<br>Off-site financial contributiions | On-site provision in accordance with planning policy [SP37] unless there are sound planning reasons for off-site provision to be provided. Off-site provisions based on specified cost formula. |

[18] It is important that these have the status of being of a material consideration in the decision-making process of granting planning permission [i.e., that it has undergone public scrutiny and been adopted by the planning authority].

| | | | |
|---|---|---|---|
| | | Management & maintenance mechanisms | Financial contributions: in the form of a commuted sum |
| **Sport and Recreation** | | On-site provision; Off-site provision | Contributions for provision of land and facilities |
| **Green Infrastructure** | Trans-Pennine Trail | | Financial contributions or on-site provision as appropriate |
| | | Habitat Management | Financial contributions or on-site provision as appropriate |
| | | Habitat Survey | Financial contributions |
| | | Tree Planting | Financial contributions or on-site provision as appropriate |
| **Affordable Housing** | | On-site direct provision; Off-site provision | Largely on-site direct provision; otherwise In-lieu financial commuted sums for off-site provision. |

In all of the above, Rotherham Metropolitan Borough Council is very well placed to seek developer contributions across a wide area of policies that are expressly covered in its adopted Core Strategy Local Plan [June 2014] and its Sites and Policies Local Plan [June 2018]. As an illustration, the information displayed in Table 6, above, shows the kinds of benefits that have been sought and secured through planning obligations voluntarily entered into with developers in Rotherham over the last decade.

The production of an over-arching SPD on Developer Contributions shall augment and complement other SPDs[19], in particular *SPD 8 Affordable Housing* [RMBC, 2021a] and *SPD 9 Development Viability* [RMBC, 2021b].

It is important that applicants understand that the Council shall normally adopt a strategic or integrated approach, proposing planning obligations for types of development or sites in the Local Plan area. As such, the presence of an approved policy in the Local plan is an important pre-requisite for successful delivery of its objectives. Securing developer contributions, apart from affordable housing, are sought to mitigate impacts arising from new development based on objective triggers or thresholds, such as site capacity, capacity levels in service areas such as education, doctors' surgeries, and library provision; play and open spaces; highways and traffic movements or measures to protect and maintain existing facilities.

Finally, having a clear and up-to-date policy framework is essential and allows developers to ascertain the relevant priorities and specific requirements for a particular site or area prior to submitting a planning application.

**Benefits of Master Planning and Master Plans**

On some occasions, the use of site level development briefs or "master plans", strengthens the hand of a planning authority in negotiations. These can be prepared by planning authorities or jointly with developers and may also usefully involve third parties such as the Wildlife and Woodland Trusts, other responsible bodies and local groups. Such "master plans/development briefs" can usefully

[19] See Annex 1 for a list of these documents

identify the existing assets of value/ importance/status and can be incorporated in schemes to enhance the final scheme to the satisfaction of all participating parties. In its *Sites and Policies Local Plan* Rotherham has prescribed a clear approach framework in the use and requirements for master planning for many of its major allocated housing sites [see for example Appendix 2 of the *Sites and Policies Local Plan*, June 2018].

**Mechanisms for seeking and securing Developer Contribution using Planning Obligations**

Securing benefits involve not only their initial provision, but for many policy areas there is a need to secure longer-term management too. Indeed, there is little value in securing the provision of benefits [e.g., woodlands; greenways] if, through the lack of resources for future management, the benefit is reduced. Continuing constraints on local authority finance make it difficult, indeed impossible, for local authorities to take on extra long-term management costs. As a result, planning authorities are legitimately seeking financial contributions from developers to cover a range of management costs [over and above the costs of establishing the benefit], which can take a number of forms, for example:

- **To establish the benefit**, such as planting trees, providing play equipment, early management works for a nature reserve, or travel passes; in such circumstances the commuted payment might provide for up to **five years** of management or support.
- **Short to medium-term management** on a similar basis to that established for open spaces in housing developments in urban areas; this may commonly be for **10 to 15 years**.
- **Longer -term management,** where a commuted sum is contributed which is capable of yielding sufficient annual interest to pay management costs in perpetuity, but which may last between 20- to 40 years[20].
- **For management in perpetuity**, the contribution of a sum which, when invested, yields sufficient interest to pay for managements costs; this is equivalent to a **full endowment**, however, this option is an exception rather than typical.

It is important for planning authorities to understand how **third-party partners** such as a trust, a community interest company or a local organisation have specific priorities and have set ways and terms in which they operate. For example, the **Woodland Trust's** approach is that projects and acquisitions should be of national or of local significance, under threat of damage or degradation, and be able to demonstrate clear public benefit by allowing open access. For the Woodland Trust to be involved in potential schemes arising from new development, involving them at the design stage, in conjunction with developers and the planning authority, leads to providing optimum results, for example from planting schemes. In some cases, it prefers land to be given as a gift in perpetuity, or at least a long-term lease of 199 years or more. To support and deliver long-term management, a commuted sum is normally sought and secured.

This new SPD shall provide clarity in respect of the policies set out in the Local Plan and to ensure that the site development guidelines are met with regard to the specific on-site and off-site planning and housing policy requirements by securing the means through legal agreements [e.g., S106; S278; S38]. These will complement the Council's CIL payments' regime operating across the planning

[20] The Woodland Trust typically requires this kind of mechanism if they are to become party to a planning obligation.

authority in Rotherham to ensure that the cumulative impacts arising from development are satisfactorily delivered while ensuring that these requirements do not render development unviable.

The next sections set out the specific approaches for individual policy areas.

## Educational Provision [School Places]

| Policy Signpost | NPPF/National Guidance | RMBC Core Strategy, 2014 | RMBC Sites & Policies Document, 2018 |
|---|---|---|---|
| **Educational Provision** | **NPPG Developer Contributions required to support School Provision[21]** | **CS29** | **SP11<br>SP64** |

**Preamble**

It is important that the impacts of new development on the provision of school education in Rotherham are adequately mitigated. The Council believes there is great value in explaining its methodology to all stakeholders particularly focusing on the process and reasons for the collection of developer contributions for educational provision in Rotherham. In this regard the Council has a good appreciation for and understanding of:

1. The education needs arising from new development, based on an **up-to-date pupil product yield factor**;
2. The **capacity of existing schools** that will serve new developments, taking account of pupil migration across planning areas and local authority boundaries; and
3. The **extent to which developer contributions are required** and the degree of certainty that these shall be secured at the appropriate time.

**Current Provision of Educational Provision[22]**

Rotherham is served by a mix of types of school, including Local Authority Maintained, Academies and Free Schools, and RMBC retains the statutory responsibility for ensuring sufficiency of places at any of these. There are currently 95 primary schools, 15 secondary schools, 1 through school [primary to secondary], 6 special schools and 2 pupil referral units [supporting pupils with social, emotional and mental health needs] in the Borough.

Since 2012, to meet growth, Rotherham has provided 2,633 additional school places in its infants, junior, primary and secondary schools, as well as rebuilding two schools [i.e., at Oakwood High School and Wath Victoria Primary School].

The *2020 Infrastructure Delivery Study* [RMBC, 2021d] has recently identified capacity issues across Rotherham schools' estate in the following catchment areas and schools:

> "*additional **primary school places** are likely to be required through extensions to the following schools: Greasbrough Academy/Thornhill Primary; Listerdale Junior Academy; Treeton Primary; Wales Primary; Wath Victoria; Whiston Worrygoose Infant & Junior/Whiston Infant & Junior or neighbouring primary school; Whiston Infant & Junior / Sitwell Infant & Junior; Thorpe Hesley Primary; and Ravenfield Primary; as well as a need for additional places in the broad areas of Dinnington, Anston and Laughton Common, Aston, Aughton and Swallownest, and Maltby*"
> [ibid, pp.31-32, RMBC, 2021d]

[21] See also Department for Education, *Securing Developer Contributions for Education*, April 2019.

[22] See in particular paragraph 3.4, pp.30-35 in Rotherham's *Infrastructure Delivery Study Update 2020*, a report Prepared by HYAS, Rochard Wood Associates & FORE, published March 2021.

*"There are some highly popular **secondary schools** that are stretched at present and any future requirement will need to be carefully planned in advance of the requirement, these include locations around Bramley/Wickersley, Wales and Brampton. It is clear to see that the majority of locations move into a deficit position once the growth envisaged within the current Local Plan are factored in, with specific future needs identified as extensions to: Wingfield; Wickersley Academy; Maltby Academy; Aston Academy; Wales High School; Brinsworth Academy; Rawmarsh Community; Oakwood High; Thrybergh Academy; and St Pius X".*
[ibid, pp.34-35, RMBC, 2021d]

It is evidently clear that future new housing growth shall trigger the need for such new housing schemes to mitigate the needs arising in respect of additional school places in the locations cited above.

**The Council has ongoing procedures that monitor the schools' capacities and where existing deficiencies are identified shall seek funding[23] to increase capacity, including drawing on income from the Community Infrastructure Levy if available.**

**Current Approach to Seeking and Securing Developer Contributions: Principles**

In seeking developer contributions towards educational provision, the Council's approach is transparent in setting out the principles it applies in assessing the needs arising from new development. These include the following:

- Developer contributions are **sought on all new** housing developments.
- **Dwellings with 3 bedrooms** are assessed on a **standard baseline cost per pupil** provided by Department for Education [DfE] assessment of costs sourced through the Building Cost Information Service [BCIS]. Developer contributions shall be based on current costs at the time of the application.
- **Dwellings with 2 bedrooms** qualify for a **25% discount** from the standard baseline cost per pupil.
- **Flats, Apartments, Bungalows** qualify for a **50% discount** from the standard baseline cost per pupil
- **Dwellings with 4 or more bedrooms** attract a **25% uplift** on the standard baseline cost per pupil.
- The **pupil product yield [PPY]** is **updated** on a **regular basis**, drawing evidence from local surveys of new local housing developments. Currently the Council applies a **PPY of 0.03** for **both primary and secondary school**s in Rotherham. The planning authority shall be guided by **DfE pupil yield guidance[24]**.
- Educational developer contributions from new developments will be **allotted to the nearest schools** within local catchment areas established by the Council.[25] Such catchment areas are used by DfE for School Capacity Annual Returns that are prepared by RMBC [Children & Young People's Services].
- Developer Contributions shall be allotted to the **nearest schools** with the proviso that preference shall be given **to expand only good and outstanding schools** wherever possible. This is in line with DfE requirements to add capacity to successful and popular schools. However, **flexibility** may be required if **Heads/Governing Bodies decline to expand** or that the **DfE instruct RMBC** to look at alternative options that might lead to directing the S106 contributions to the next nearest qualifying school[s].

[23] Funding from the Department for Education as well as the Council's own mainstream funding
[24] The authority is aware that new guidance is currently being prepared by DfE [January 2022].
[25] See the catchment area map located in the Appendices to this SPD.

- The Council utilises it School Organisation Plan to assess the **minimum surplus capacity** of schools. Currently, the **capacity threshold is set at 95%,** which **allows for fluctuations in local demand and parental choice**. As such, applicants will be informed by the Council if developer contributions for educational provision will be required.
- The **Council draws on DfE benchmarking costs** for the provision of primary and secondary schools, including places for pupils with Education Health and Care Plans[26], as the cost base input for the provision of school places, locally adjusted[27].
- The Council annually assesses the **minimum surplus capacity** of schools. Currently, the **capacity threshold is set at 95%,** which **allows for fluctuations in local demand and parental choice**. As such, applicants will be informed by the Council if developer contributions for educational provision will be required.
- Since the national change from Statements of Education Need to Education Health and Care Plans [EHCP] there has been a considerable rise in the number of pupils who are now the subject of an EHCP. Rotherham has projected this profile to continue to increase in future years, again in line with the national trend. Rotherham's SEN strategy is based on a model of providing SEN places within mainstream education. There is, however, direct SEN provision provided in this Borough by the Council and other private educational institutions seek to also provide places for particular groups of people.
- In situations where **additional school places arise**, developers shall be required to **make a financial contribution**. Such payments **may be paid in tranches** dependent on the scale of the development and the rate of delivery of new homes.
- In situations where an **entirely new school** is required, developer contributions "**in kind**" are typical, which includes **land and/or constructing the school**, including **appropriate equipment to meet standard provision as specified by DfE**.
- The Council shall provide **advice and guidance**, including drawing on **national guidance** with regard to the size and suitability of school sites, including checklists, exemplar layouts and facility specifications.
- The Council shall require that such developer contributions are secured through a **planning obligation**, which not only includes the required contributions, but a **number of standard clauses** covering such matters as design, issues regarding the suitability of land to support the development and long-stop clause in the event on non-delivery. [Please see additional commentary in the section below.]

As a matter of good practice, the Council's guidance, and approaches towards securing developer contributions for education are regularly reviewed, taking into account updates to National Planning Policy Framework and National Planning Practice Guidance, specific guidance provided by the Department for Education, and the DfE's emerging national methodology for the calculation of pupil yields from new housing development.

**Additional requisite clauses in planning obligations**

In the delivery of new schools, the Council shall require developers to commit to a high-quality design and performance which will be achieved through the Council's planning and building control procedures, ensuring compliance with national standards which includes the Department for Education's building bulletins, output specification and other relevant national design standards and local guidance.[28]

[26] Rotherham's strategy is based on a model of provision involving both mainstream schools and where appropriate separate special schools [SEN] [e.g., at SEN schools at Newman School the former Rother Valley College in Dinnington and at Hellaby Industrial Estate.

[27] The source for the base build costs per pupil is from National School Delivery Cost Benchmarking, Primary, Secondary & SEN Schools, **Infrastructure & Projects Authority**, June 2019. These shall be subject to review on a regular basis.

[28] See Department for Education's latest *School Design and Construction Guidance*

As an integral part of the delivery process of new schools, the Council shall include a clause in any planning obligation with developers that requires all design disputes to be referred to an independent expert or design panel, or appraised by the Council in accordance with national planning policy and accepted Good Practice. The Council shall always attempt to embrace a collaborative approach with respective parties to the obligation that embraces good practice and demonstrates transparency in its approach.

Additionally, the Council shall include a mechanism to intervene in situations where delivery of new schools falls through by including longstop clauses to ensure that the land for schools is transferred early enough for it to intervene and provide the school at the right time. In these situations, the planning obligation shall require financial contributions to be made in lieu of the "in kind" provision of the school by the developer, making use of review mechanisms[29] where necessary to respond to changing circumstances.

### An illustration of Educational Developer Contributions

This section provides an illustration of developer contributions where there is a need to provide:

a. Additional school places in the local Primary and Secondary schools; and
b. A new Primary school.

#### a. Additional school places

The following information [see Tables 7 & 8 overleaf] is presented to illustrate the Council's methodology in specifying the developer's educational contributions arising. Importantly, all the key variables and their inputs are revealed so as to understand the costs of providing individual school places in Primary and Secondary Schools in Rotherham. Applicants are advised to contact planning officers at the earliest opportunity.

The cost per pupil for each category of dwelling is a product of:

**Cost per Pupil** = **Base Costs x RMBC LCA Factor x PPY x No of Year Groups**.

- Cost per Pupil = The cost [£/pupil] of the area of space prescribed by Department for Education
- Base Costs = sourced from Department for Education provided by Build Cost Information Service [BCIS]
- RMBC LCA Factor = this is the local cost adjustment factor for Rotherham applied by BCIS data sets
- PPY = Pupil Product Yield
- Number of Year Groups = typically 7 in Primary Schools and 5 in Secondary Schools.

Importantly, the Cost per Pupil is adjusted by applying a discount, an uprate, or an exemption according to dwelling size. Overleaf, there are examples of the requisite developer contributions for three quite differently sized schemes based on standard baseline costs for 2019. These shall be adjusted by applying changes reported in the BCIS Tender Price Index.

[29] These shall be explicitly set out as an obligation in the legal agreement

| Table 7: RMBC Educational Contributions Arising from New Development -Primary School | | |
|---|---|---|
| | Cost per pupil [£] | |
| **Primary School** | **New School** | **Re-build & Extension** |
| Department for Education Base Costs[30] per Pupil [2019] [£] | £16,874 | £11,855 |
| Rotherham Local Cost Adjustment Factor | 0.91 | 0.91 |
| Pupil Product Yield | 0.03 | 0.03 |
| Number of Year Groups | 7 | 7 |
| 3-bedroom Houses [£/unit] | **£3,224.62** | **£2,265.49** |
| 2-bedroom Houses [£/unit]: discounted by 25% | **£2,418.47** | **£1,699.12** |
| Flats, Apartments and Bungalows [£/unit]: discounted by 50% | **£1,612.31** | **£1,132.75** |
| Homes with 4 or more bedrooms [£/unit]: up-rated by 25% | **£4,030.78** | **£2,831.86** |
| Exempted Dwellings: 1-bedroom units and specialist homes for older people or the disabled [£/unit]: discounted by 100% | **£0.00** | **£0.00** |

| Table 8: RMBC Educational Contributions Arising from New Development- Secondary School | | |
|---|---|---|
| | Cost per pupil [£] | |
| **Secondary School** | **New School** | **Re-build & Extension** |
| Department for Education Base Costs per Pupil [2019] [£] | £17,818 | £15,239 |
| Rotherham Local Cost Adjustment Factor | 0.91 | 0.91 |
| Pupil Product Yield | 0.03 | 0.03 |
| Number of Year Groups | 5 | 5 |
| 3-bedroom Houses [£/unit] | **£2,432.16** | **£2,080.12** |
| 2-bedroom Houses [£/unit]: discounted by 25% | **£1,824.12** | **£1,560.09** |
| Flats, Apartments and Bungalows [£/unit]: discounted by 50% | **£1,216.08** | **£1,040.06** |
| Homes with 4 or more bedrooms [£/unit]: up-rated by 25% | **£3,040.20** | **£2,600.15** |
| Exempt Dwellings: 1-bedroom units and specialist homes for older people or the disabled [£/unit]: discounted by 100% | **£0.00** | **£0.00** |

i. **For a scheme comprising 9 dwellings**, and a housing mix of 2, 2-bedroom houses, 4, 3-bedroom houses, 1, 4-bedroom house and 2 flats, but this scheme is exempt from providing any affordable housing, the developer contributions are set out in Table 9 below.

| Table 9: Developer Contributions arising from a 9 dwellings' scheme [illustrative only] | | | |
|---|---|---|---|
| **Developer Contributions** | **Re-build & Extension** | | |
| | **Number of Dwellings** | **Secondary** | **Primary** |
| **Whole Scheme** | **9** | **£16,352.67** | **£17,372.18** |
| 2-bedroom houses | 2 | £3,120.19 | £3,398.24 |
| 3-bedroom houses | 4 | £8,320.49 | £9,061.96 |
| 4-bedroom houses | 1 | £2,831.86 | £2,831.86 |

[30] The base costs per pupil represent the cost of providing an area per place, which includes allowances for external works, furniture and equipment and professional fees. These, however, exclude ICT equipment, site abnormal costs, site acquisition costs, VAT, and the effect of regional variation in build prices. A local cost adjustment factor is applied for Rotherham.

| | | | |
|---|---|---|---|
| Flats | 2 | £2,080.12 | £2,080.12 |

The figures in Table B reveals that for a 9 dwellings' scheme additional places in a local Secondary school triggers a contribution of just under £16,500 is required; the equivalent sum for the additional places in a Local Primary school is just under £17,500.

ii. **For a scheme comprising 16 dwellings** [with 25% of these being affordable housing], with a housing mix of 4, 2-bedroom houses, 4, 3-bedroom houses, 4, 4-bedroom house and 4 flats, the developer contributions are set out in Table 10 below.

| **Table 10: Developer Contributions arising from a 16 dwellings' scheme [illustrative only]** | | | |
|---|---|---|---|
| **Developer Contributions** | **Re-build & Extension** | | |
| | **Number of Dwellings** | **Secondary** | **Primary** |
| **Whole Scheme** | **16** | **£30,881.90** | **£31,716.87** |
| 2-bedroom houses | 4 | £6,240.37 | £6,796.47 |
| 3-bedroom houses | 4 | £8,320.49 | £9,061.96 |
| 4-bedroom houses | 4 | £12,160.79 | £11,327.45 |
| Flats | 4 | £4,160.25 | £4,530.98 |

The figures in Table 10 reveals that for a 16 dwellings' scheme additional places in a local Secondary school triggers a contribution of just under £31,000; the equivalent sum for the additional places in a Local Primary school is just under £32,000.

iii. **For a scheme comprising 100 dwellings** [with 25% of these being affordable housing], the housing mix of the whole scheme comprising 35, 3-bedroom houses; 20, 2-bedroom houses; 25, 4-bedroom houses, and 20 flats, the developer contributions are set out in Table 11 below.

| **Table 11: Developer Contributions arising from a 100 dwellings' scheme [illustrative only]** | | | |
|---|---|---|---|
| **Developer Contributions** | **Re-build & Extension** | | |
| | **Number of Dwellings** | **Secondary** | **Primary** |
| **Whole Scheme** | **100** | **£189,811.27** | **£206,726.01** |
| 2-bedroom houses | 20 | £31,201.85 | £33,982.36 |
| 3-bedroom houses | 35 | £72,804.32 | £79,292.17 |
| 4-bedroom houses | 25 | £65,003.86 | £70,796.58 |
| Flats | 20 | £20,801.24 | £22,654.91 |

The figures in Table 11 reveals that for a 100 dwellings' scheme additional places in a local Secondary school triggers a contribution of just under £190,000; the equivalent sum for the additional places in a Local Primary school is just under £207,000.

In specific circumstances the planning authority, with the agreement of the applicants, shall pool developer contributions from a number of developments, in order that additional school places can be delivered in local schools in accordance with the standard size of new classrooms[31].

**b. A New Primary School**

In situations where the scale of new housing development triggers the need for an entirely new school, the size and scale of it must deliver a viable facility that is in accordance with both local and national guidance. As an illustration a new Primary School with a capacity of seven-year groups with two forms per year group, and each form comprising 30 pupils the developer contribution is the product of the baseline costs per pupil [DfE] £16,874 x 7 x 2 x 30 = **£7,087,080.**

Crucially, the base cost per pupil simply represents the cost of providing an area per place, which **includes** allowances for external works, furniture and equipment and professional fees. These, however, **exclude** ICT equipment, site abnormal costs, site acquisition costs, VAT. At the time of release of funding the baseline cost will increase/decrease by the BCIS [inflation factor]. The calculation is also adjusted for regional variations in build prices; for Rotherham this adjustment factor is currently equivalent to 0.91 [2022].[32]

In these situations, it is expected that the land required for the new school is gifted by the developer, and that other requisite costs are scrutinised by the Council's advisers in order that the school delivered provides a viable and important facility that fully meets the needs arising from the new development.

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**END**

[31] DfE [2019] *Securing Developer Contributions for Education*, Department for Education, November. DfE [2015] *Advice on standards for school premises for local authorities, proprietors, school leaders, school staff and governing bodies*, Department for Education, March. DfE [2014] *Area guidelines for mainstream schools* Building Bulletin 103, Department for Education, June.

[32] The local cost adjustment factor shall be annually adjusted in accordance with guidance.

**Library Provision and Library Space**

| Policy Signpost | NPPF/National Guidance | RMBC Core Strategy, 2014 | RMBC Sites & Policies Document, 2018 |
|---|---|---|---|
| **Sustainable Development & Community Facilities** | **See Paragraph 8a, p.5. 2021** | **See CS29 & CS32** | **See SP62 & SP64** |

**Preamble**

As recommended by the *International Federation of Library Associations and Institutions*, the Council has adopted standards that relate library service provision to population numbers. This approach emulates other planning policy areas, especially in the provision of new school places or additional capacity to accommodate new housing growth in local primary health centres and doctors' surgeries.

**Current Library Service Provision[33]**

The Library Service in Rotherham is delivered through its existing library buildings in fifteen locations across the borough [see the list below]. The scope of this provision means that around 98% of the borough's population has access to a library within a perimeter of 3.2 kilometres [or 2 miles] of their home.

1. Riverside Library and Neighbourhood Hub
2. Rawmarsh Library and Neighbourhood Hub
3. Mowbray Gardens Library and Neighbourhood Hub
4. Maltby Library and Neighbourhood Hub
5. Kiveton Park Library and Neighbourhood Hub
6. Kimberworth Library and Neighbourhood Hub
7. Greasbrough Library and Neighbourhood Hub
8. Dinnington Library and Neighbourhood Hub
9. Brinsworth Community Library[34] and Neighbourhood Hub
10. Aston Library and Neighbourhood Hub
11. Swinton Library and Neighbourhood Hub
12. Thorpe Hesley Library and Neighbourhood Hub
13. Thurcroft Library and Neighbourhood Hub
14. Wath Library and Neighbourhood Hub
15. Wickersley Library and Neighbourhood Hub

In addition to the above provision, the Council has a mobile library service involving:

- **Book Link** which is a small mobile library which makes regular visits to sheltered accommodation units, residential and nursing homes, across the Borough of Rotherham; and

[33] See especially RMBC {2021d] *Infrastructure Delivery Study Update 2020*, a report Prepared by HYAS, Rochard Wood Associates & FORE, Published March 2021. https://www.rotherham.gov.uk/downloads/file/2396/rotherham-2020-infrastructuredelivery-study-march-2021

[34] The library at Brinsworth is community managed through Brinsworth Parish Council with support from Rotherham Metropolitan Borough Council

- **Home Library Service** which is a free service catering for those residents who cannot get to a local branch library due to ill health or disability.

In **November 2020**, the Council adopted a **new Library Strategy** covering the period 2021-2026. This newly adopted strategy is focused on delivering improvements to public IT and self-service facilities, café and toilet facilities, and improved décor, furniture and signage. Other planned improvements include:

- Co-location of Kiveton Park Library with Children and Young People's Services;
- Relocation of Thurcroft Library to Gordon Bennett Memorial Hall; and
- Relocation of Swinton Library to the former customer service centre as part of the wider redevelopment of Swinton centre.

Crucially, and to support the growth envisaged by the Local Plan, the following projects and interventions have been identified:

- Relocation of the Central Library from Riverside House to within Rotherham Town Centre as part of the Market's redevelopment.
- Redevelopment of Greasbrough Library;
- Extension/Improvements to Dinnington Library;
- Redevelopment of Wath Library;
- Relocation of Thorpe Hesley to a larger more central site; and
- New library provision to serve Waverley New Community.

To deliver the above, the Library Service in Rotherham currently has an active capital programme amounting to £1.8million budget [2021-2022] which is supporting refurbishment and upgrading of a number of its local libraries. The following **six projects [as of March 2022]** have been recently delivered:

- **Wath Library** has undergone extensive refurbishment, including upgraded IT facilities;
- **Kimberworth** and **Mowbray Garden Libraries** are being decorated, updated shelving and furniture, including improved welcoming outside space;
- **Dinnington, Greasbrough** and **Wickersley Libraries** have undergone internal redecoration, with all three libraries receiving upgraded IT facilities.

**Need Arising from New Housing Growth: Principles**

Where appropriate the delivery of additional library services' capacity arising from new housing growth, residential developers shall be required to make fair and proportionate contributions towards the costs of providing and stocking a new or improved permanent building, including any necessary land acquisition.

Where the best means for the delivery of library services to a new development is a **mobile library**, residential developers shall be required to provide a suitable parking area with good links to the local transportation network and access to a power supply. Consideration will also need to be given to proximity of appropriate rest facilities] and/or a proportionate financial contribution towards the costs of providing and stocking an extra vehicle and existing services.

**Standard Provision**

The applied average standard is 32m$^2$ per 1,000 population, varying from 30m2 to 35m$^2$. Where a library is unable to meet these standards due to new residential development, a reasonable contribution will be requested towards the service based on the adopted floorspace standards, the library building cost per square metre [£/m$^2$] and the additional population arising from the proposed residential development.

Where the existing capacity of a library is unable to serve new development, the contribution shall be calculated as follows:

- **Additional Population x Cost per Head of Improvements to Library Services**

The needs of the library service shall have to be assessed individually and in context. Occasionally, more than one feasible way of meeting those needs within our standards will be identified. For example, improvement of the mobile library service in combination with an enhancement of facilities at the major library in the nearest settlement [which is based on the Council's settlement hierarchy, (see Core Strategy CS1: *Delivering Rotherham's Spatial Strategy*, RMBC, September 2014, especially Table 3 and Map 2] could be an acceptable alternative to development of a neighbourhood library, on-site or nearby, for about the same overall cost. Therefore, where the library needs of a particular development proposal may be satisfied equally well by one or more alternatives, residential developers shall be required to contribute towards the most appropriate solution identified by the Council's Library Services in the Department of Culture and Leisure.

**Calculating Developer Contributions**

Two methodologies are used for calculating library infrastructure contributions. These have been locally tailored on the basis of required contributions and the nature of the library in the locality.

Library infrastructure contributions are determined by the population adjustment resulting in a square-metre demand for library services. The square-metre (SQM) demand is multiplied by a cost multiplier which determines the total contributions:

- **Developer Contributions = extra library space required x Cost Multiplier**.

The **extra library space** is the space in square metres per 1,000 population.

The square-metre demand for library floorspace varies across the Borough and parishes based on available library infrastructure and the settlement population in each particular locality.

The **local floorspace demand [LFD]** figure varies between 30 and 35 square metres per 1,000 people and is generated with each individual calculation relating to a proposed residential development:

- **Square Metre Demand = [Adjusted Population x LFD] / 1,000**

The **adjusted population** is the sum of the occupancy for the net dwelling increase for all dwellings **irrespective of tenure** or **mix**.

The basis of the **cost multiplier** shall comprise **four separate elements** as displayed in Table 12 below:

| **Table 12: Explanation of the components comprising the Standard Charge Figures for Public Libraries** | | | | |
|---|---|---|---|---|
| A | B | C | D | SUM |
| Median cost of building public libraries as of March 2022 with local cost adjustment factor, inclusive of preliminaries and contractor's overheads and profit | 15% added for external works, including car and cycle parking, hardstanding, landscaping, security, and signage. | 15% of A and B added for design costs | 88% of A +B for fitting-out costs, including initial book stock etc and IT | Total Sum [£/m$^2$] |
| **Exclusions**: Any land costs or exceptional site-factors are additional to this calculation of £/m$^2$. | | | | |

The figures in Table 13 reveal the basis of the costs of delivering additional Library space triggered by new residential development in Rotherham; the figures for its neighbouring Councils, the region and nationally are supplied for comparative and illustrative purposes only.

| **Table 13: Regionally Adjusted Standard Charge Figures for New Build Public Libraries: Cost Multipliers per Person** | | | | | | | |
|---|---|---|---|---|---|---|---|
| | **BCIS, 2nd Quarter 2022** | **A** | **B** | **C** | **D** | **TOTAL SUM** | |
| **Area/ Region/ Authority** | **Cost Adjustment Factor** | **Base Line Building Prices [Median] [£/m$^2$]** | **Plus 15% of A for External Works [£/m$^2$]** | **Design Costs at 15% of A+B [£/m$^2$]** | **Fit-out Costs at 88% of A+B [£/m$^2$]** | **Total Building Costs and Fit-out Costs [£/m$^2$]** | **Costs /Person [£] in New Housing assuming 30m$^2$/per 1000 persons** |
| National | 1.00 | £2,756 | £413.40 | £475.41 | £2,789.07 | £6,433.88 | £193.02 |
| Yorkshire & Humber | 0.93 | £2,563 | £384.45 | £442.12 | £2,593.76 | £5,983.32 | £179.50 |
| South Yorkshire | 0.93 | £2,563 | £384.45 | £442.12 | £2,593.76 | £5,983.32 | £179.50 |
| Barnsley | 0.89 | £2,453 | £367.95 | £423.14 | £2,482.44 | £5,726.53 | £171.80 |
| Doncaster | 1.00 | £2,756 | £413.40 | £475.41 | £2,789.07 | £6,433.88 | £193.02 |
| Sheffield | 0.97 | £2,673 | £400.95 | £461.09 | £2,705.08 | £6,240.12 | £187.20 |
| ***Rotherham*** | ***0.89*** | ***£2,453*** | ***£367.95*** | ***£423.14*** | ***£2,482.44*** | ***£5,726.53*** | ***£171.80*** |
| **Exclusions**: Any land costs or exceptional site-factors are additional to this calculation of £/m$^2$. | | | | | | | |
| Source: Adapted and updated to 2022 figures from *Public Libraries, Archives and New Development: A Standard Charge Approach* [published May 2010]. | | | | | | | |

For **Rotherham**, the **Cost Multiplier** for providing additional floorspace in **new build public libraries** is currently **£5,726.53/m$^2$ or £171.80 per additional person** living in new housing.

Of course, most new housing growth is accommodated carrying out modifications and upgrading of existing public libraries, in this respect the figures in Table 14 displays the Cost Multipliers to be applied for a variety of project types covering horizontal and vertical extensions as well as rehabilitation/conversion schemes.

| Table 14: Public Library Cost Multipliers per Person: All types of schemes in Rotherham | | | | | | |
|---|---|---|---|---|---|---|
| **BCIS Cost Adjustment Factor [Rotherham = 0.89]** | **A** | **B** | **C** | **D** | **TOTAL SUM** | **BCIS, 2nd Quarter 2022** |
| **Public Libraries** | **Build Prices [£/m2]** | **Plus 15% of A for External Works [£/m²]** | **Design Costs at 15% of A+B [£/m²]** | **Fit-out Costs* at 88% of A+B [£/m²]** | **Total BC and Fit-out Costs [£/m²]** | **Costs /Person [£] in New Housing assuming 30m²/per 1000 persons** |
| New Build | £2,452.84 | £367.93 | £423.11 | £2,482.27 | £5,726.15 | ***£171.78*** |
| Horizontal Extension | £2,999.30 | £449.90 | £517.38 | £3,035.29 | £7,001.87 | ***£210.06*** |
| Vertical Extension | £719.12 | £107.87 | £124.05 | £727.75 | £1,678.79 | ***£50.36*** |
| Rehabilitation/Conversion | £1,243.33 | £186.50 | £214.47 | £1,258.25 | £2,902.55 | ***£87.08*** |
| **Exclusions**: Any land costs or exceptional site-factors are additional to this calculation of £/m². | | | | | | |
| * This includes IT facilities and additional Book Stocks | | | | | | |

The above figures shall be **annually updated** by reference to **median average building prices** sourced from Royal Institute of Chartered Surveyors' Building Cost Information Service having applied the local cost adjustment factor for Rotherham.

In all of the above circumstances, all financial contributions shall be paid to the local planning authority who shall arrange to release such funds in liaison with the Council's Library Service, in order that the financial contributions can be co-ordinated, and in some cases pooled with other developers' financial contributions, so that the needs arising from new housing growth locally can be delivered at the appropriate scale and with maximum effect.

Such developer contributions shall contribute towards expansion, increased opening hours, stock acquisition and improved facilities to mitigate the impacts of increasing numbers of users of the library services and facilities directly arising from new development in Rotherham.

The **Local Planning Authority** shall **require** the **Library Service** to **provide an audit trail** and **written reports of the funds received from developer contributions** as part of the Council's regular [i.e., annually] monitoring and review procedures covering developer contributions.

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**END**

**Biodiversity Net Gain [BNG] plus 10% [Interim Guidance[35]]**

| Policy Signpost | NPPF/National Guidance | RMBC Core Strategy, 2014 | RMBC Sites & Policies Document, 2018 |
|---|---|---|---|
| **Biodiversity Net Gain** | **Paragraphs 137; 174-175; & 179-180.** | **CS20: Biodiversity & Geodiversity** | **See SP: 31-46.** |

## Preamble

This interim guidance should be followed by planning applicants and their ecological consultants who are working on new development projects within Rotherham in order to ensure that biodiversity net gain (BNG) is delivered. This guidance has been prepared to ensure that evidence submitted to support planning applications is consistent.

This interim guidance emulates similar documents prepared by Wakefield Metropolitan Borough and Leeds City Councils. This guidance does not provide guidance on how to use the biodiversity metric. The metric calculations and associated evidence must be prepared by a professional or suitably qualified/experienced ecologist. Basic guidance on how to use the Defra biodiversity metric 3.0 is available at the Natural England publications website. Further advice and support are also available by accessing *Biodiversity Net Gain, Good Practice Principles for Development – A practical* guide [2019]) published by CIEEM, IEMA, and CIRIA.

The use of the metric and the provision of BNG are additional to the legal obligations and planning policies to properly assess and mitigate/compensate impacts on protected/priority species as part of development management. It is also separate from other considerations such as open space standards and green infrastructure, although it may be inherently linked.

## Local Context

In Rotherham, Core Strategy CS20 [*Biodiversity and Geodiversity*] of the Local Plan requires all major and minor development to demonstrate BNG where possible. Once all the Regulations and a national prescribed framework are in place, policy will require all [major and minor new development] applications to demonstrate BNG in a quantifiable way through the use of a bio-diversity impact assessment calculator [i.e., Metric 3.0].

The Council's approach to securing Biodiversity Net Gain is based on existing planning policy set out in the National Planning Policy Framework [NPPF, July 2021] and policies held in the adopted Local Plan. The guidance in this interim guidance note sets out how applicants can demonstrate compliance with existing policy requirements.

The key sections of the NPPF that are relevant to biodiversity are:

[35] The Council is presently preparing a separate SPD on BNG plus 10% which shall coincide and mirror the transitional period for the formal introduction of national guidance undergoing testing and consultation April 2022]

a) **Section 8**: Promoting Healthy and Safe Communities;
b) **Section 15**: Conserving and Enhancing the Natural Environment.

These sections contain important policy requirements; the following paragraphs are notable:

a) **Paragraph 8c** sets out that sustainable development has an environmental objective – to contribute to protecting and enhancing our natural, built, and historic environment; including making effective use of land, helping to improve biodiversity, using natural resources prudently, minimising waste and pollution, and mitigating and adapting to climate change, including moving to a low carbon economy.
b) **Paragraph 137** provides advice on how Green Belts may be used to enhance landscapes, visual amenity, and biodiversity; or to improve damaged and derelict land.
c) **Paragraph 174** states that through planning policy and planning decisions, the natural environment should be enhanced by 'minimising impacts on and providing net gains for biodiversity' (criterion d).
d) **Paragraph 175** advises that development plans should 'plan for the enhancement of natural capital'.
e) **Paragraph 179** provides specific advice on habitats and biodiversity. In particular criterion b states that development plans should 'identify and pursue opportunities for securing measurable net gains for biodiversity'.
f) **Paragraph 180** establishes the principles that Local Authorities should use to determine planning applications where biodiversity and geodiversity are material considerations. This policy establishes the mitigation hierarchy and, at criterion d, encourages securing measurable net gains for biodiversity in development proposals.

Defra consulted on BNG in December 2018 and released a beta version of their Biodiversity Metric 2.0 at the end of July 2019. On the basis of these consultations a revised version has been released in the form of bio-diversity Metric 3.0 [including a separate, truncated version for small-scale developments]. All planning applications should therefore use the Defra Biodiversity Metric 3.0 [or subsequent revisions] to measure their level of BNG to ensure a consistent approach and all applicants are treated transparently and fairly.

The BNG process embeds the mitigation hierarchy. All methods of avoidance and on-site mitigation must be fully explored and proven to the Council that they cannot be satisfactorily achieved on-site before any off-site compensation will be considered. It must also be recognised that not all habitats can be re-created, such as ancient woodland, which are considered to be irreplaceable. Development proposals must clearly demonstrate that an overall BNG will be achieved. The level of net gain should be at least 10% in line with the requirements set out in the Environment Act [November 2021] and any forthcoming Regulations to implement the requirements of the Act. During the first months of 2022, consultation on the wording and format of the Regulations was consulted on.

**Evidence Requirements**

For all major and minor scale planning applications, a BNG Strategy [e.g., as part of a submitted Preliminary Ecological Appraisal Report [PEAR]] must be submitted to provide full details of the assessment process, the assumptions and professional judgements made and the following specific evidence:

- Habitat Baseline Plan;
- Proposed Habitats Plan;
- Bio-diversity Metric [3.0];
- Project Implementation and Construction; and
- Management and Monitoring.

**Habitat Baseline Plan**

Produced using the information from the Preliminary Ecological Appraisal Report [PEAR]; clearly showing the areas covered by each of the existing habitat types and the area in hectares of each habitat type (or for each habitat parcel, as some habitats may be scattered throughout the site). A label for each habitat parcel shall be needed for more complex sites. A separate plan for linear habitats may also need to be provided.

**Proposed Habitats Plan**

Taken from the site layout plan, illustrative masterplan, green infrastructure plan or landscape plans [if they are available]; clearly showing habitat types being retained, enhanced, and created, and the area of each habitat type [in hectares]; it must be colour-coded so that each habitat type is easily identifiable. Other proposed biodiversity enhancements [including for priority species] and protected species mitigation areas should also be shown on this plan.

**Bio-diversity Metric 3.0**

The information in the metric should be directly related to the Habitat Baseline Plan and the Proposed Habitats Plan. A completed and accessible Excel spreadsheet must be submitted [i.e., not a reproduced copy]. Detailed justifications for the choice of habitat types, distinctiveness and condition should be added to the comments column or provided separately in the report. All assumptions made in the calculations should be clearly identifiable. Different habitat parcels should be individually referenced and identifiable on the relevant drawing so that these can be cross-referenced with the metric. A minimum level of 10% BNG overall shall be expected.

A detailed justification of how the *Biodiversity Net Gain, Good Practice Principles for Development – A practical* guide, prepared by CIEEM, CIRIA, IEMA, 2019 has been embraced and applied in preparing this interim guidance.

**Project Implementation and Construction**

Information about how the design concept will be delivered on the ground, including drawings, for example detailed landscape planting schedules, management proposals and/or a construction handover checklist or timetable. This is particularly relevant where the developer is implementing BNG delivery on-site and/or off-site by themselves [e.g., on their own land].

**Management and Monitoring**

Information about the required aftercare maintenance and long-term habitat management of created and enhanced features, how management will be implemented for a minimum period of 30 years and what monitoring will be implemented during and after construction to ensure that all on and/or off-site BNG is delivered to the required condition.

**Outline applications**

Outline applications often do not have a fixed layout, but usually include some form of parameters plan or illustrative masterplan, which can be used as a basis for the proposed habitats plan. At the outline stage we are trying to determine if, in principle, the application has the capacity to comply with the Local Plan CS20 [*Biodiversity and Geo-diversity*] or if there are issues that need to be addressed. Landscape plans for outline applications are often not developed in any detail until the reserved matters stage however, the project team [e.g., applicant, agent, ecological consultant, and landscape architect] will need to work together to determine what areas may be available for bio-diversity enhancements and agree a basic package of enhancements, which could realistically be delivered within the site framework. It is also important that other land uses within the development are considered at this stage [e.g., the requirement for allotments, pitches, play areas etc.], which will have implications for land use budgets. The provision of bio-diversity features within the built environment [e.g., green roofs, living walls] should also be fully considered.

At outline stage, it may be necessary to make some assumptions in order to fulfil the requirements of the metric. For example, the metric could be based on a worst-case scenario [e.g., assume all on-site habitats are in good condition or the built development areas could be categorised as "Urban – Suburban/ mosaic of developed/ natural surfaces"] in order to ensure that subsequent reserved matters applications can also apply the metric, once the details of the scheme are available. Where a development is taking place over a series of phases, it may be possible for later phases to set the baseline at a higher level of habitat condition to discount the need for the multipliers if the habitat has already been created and has met the target condition.

**Biodiversity metric information**

All data submitted with major and minor planning applications shall be in accordance with Rotherham's data standards [i.e., appropriate standards to be shared with the applicant at pre-application stage]. This shall include the submission of GIS vector data [e.g., Tab files] and specific information regarding habitat condition data to ensure that the metric calculations can be reproduced and independently assessed by the local planning authority. The Biological Records Centre shall be contacted for all appropriate locality data.
https://www.rotherham.gov.uk/environment-waste/rotherham-biological-records-centre/1

The Rotherham Biodiversity Action Plan is available from Evidence Base downloads pages in support of the Rotherham Local Plan: https://www.rotherham.gov.uk/downloads/download/79/evidence-base-downloads

**Existing Habitats**

The metric should relate directly to the information presented in the Preliminary Ecological Appraisal Report and on the Biodiversity Impact Plan. The same habitat descriptions and areas must be used. The Defra **Biodiversity Metric 3.0** uses the UK Habitats Classification System and therefore habitat data must be classified according to this system. Phase 1 habitats can be translated into the new system using online resources. Notes should be added to the comments' column of the metric for each entry to explain the choice of habitat where necessary. If the quality or status of the habitat is

in anyway unclear [e.g., due to time of year of surveys or the need for further phase 2 surveys] then the precautionary principle should be applied, and notes added to the relevant entry.

**Proposed Habitats**

The key issue here is to be realistic about what habitats it might be possible to create and maintain on the site once the development is complete. It is vital that decisions about habitat creation within a development site are based on the following issues:

- Former land use – i.e., arable land is likely to be high in Nitrogen, Phosphorus and Potassium [with consequent high levels of soil fertility] and it will take a longer time to create a habitat and for it to reach its target condition;
- Long-term maintenance – it may be difficult and/or expensive to maintain certain types of habitats and this often leads to the failure of landscaping schemes in the longer term;
- Viability – for example, the cost and operational logistics of maintaining small areas of complicated habitats may be higher/more difficult; and
- Location - for example, it may be unrealistic to include small areas of isolated wildflower grassland within an urban or sub-urban environment when they are subject to significant levels of disturbance and nutrient enrichment from dog fouling.

**Recommendations for Habitat Creation**

On-site in most situations only relatively simple low-maintenance habitats should be targeted within the development site in order to ensure that the proposed habitats are delivered and managed properly to achieve the intended biodiversity value in the long-term. There are several simple and robust habitat types that are relatively easy to create and maintain in the longer term, which will deliver good bio-diversity value with relatively low maintenance requirements. The choice of habitat types will depend on the soils, drainage, and aspect of the site, and will need to be informed by professional judgement [i.e., a qualified ecologist].

**Types of Habitats**

Examples of habitat types likely to be deliverable on most development sites include:

- Deciduous plantation woodland;
- Ponds [but these shall depend on geology and drainage];
- Scrub;
- Hedgerows;
- Medium distinctiveness grasslands can be established and managed on some sites, but this is very dependent on the availability of appropriate management skills, the size of the area [and degree of isolation] and the likely levels of disturbance. Using a simple species mix, including robust species such as oxeye daisy, back knapweed, sorrel, and yarrow is most likely to result in success [e.g., tussocky grassland with low-maintenance requirements and flowering lawns containing plants that respond well to regular cutting];
- Scattered native trees; and
- Orchards.

### Target Condition

The target condition for the habitats to be created or restored should in most cases be moderate. It is very unlikely that grassland habitats, in particular in suburban environments, would reach anything more than moderate condition. We will not accept schemes that target high distinctiveness habitats such as lowland meadows and limestone grasslands unless there is a very sound justification and a strong chance of success in the long-term. This is only likely to be possible where there are existing good quality habitats that can be improved through sympathetic management or where soil conditions are appropriate. Even if the conditions are suitable, these habitats would only be acceptable where appropriate management expertise is demonstrably available to the developers and can be secured in the long-term.

### Other Biodiversity Enhancements

Other biodiversity enhancements, particularly those for priority or locally important species, which are not taken into account as part of the metric, must also be incorporated into development proposals in order to comply with CS20, including wildlife boxes [e.g., bird, bat, insect], hedgehog highways [i.e., gaps under fences and holes through walls], habitat piles and sensitive lighting strategies.

### When the Calculations Show a BNG Net Loss or that BNG cannot be achieved on-site

If this is the case, then the following options **must** be considered:

a. **Re-design the proposed scheme to avoid a net loss of biodiversity**: The mitigation hierarchy must be adequately demonstrated within the Preliminary Ecological Appraisal Report. It may be possible to re-design a proposed development to avoid a net loss of biodiversity. Any re-design would need to take account of the guidance provided above.

b. **Provision of compensation on land owned or controlled by the applicant**: If the applicant owns or controls land that could be used to provide off-site measures, then this might be sufficient to compensate the losses caused by a development [with a full justification of the mitigation hierarchy and as long as this approach accords with planning policies in the NPPF and Local Plan] and to provide BNG. In this case the receptor site would also need to be subject to ecological surveys and an assessment using the metric to prove that the land can deliver the required number of bio-diversity units to achieve a net gain overall. The receptor site would then be legally linked to the application through a planning obligation in a Section 106 [S106] agreement.

c. **Off-site BNG is secured by planning condition:** A planning condition can be used to ensure that the developer enters into an agreement with a delivery provider [a third-party organisation who will create and manage habitats] for off-site BNG [e.g., to achieve the expected target of 10%]. To discharge this condition the developer would need to provide evidence in the form of a certificate from a BNG delivery provider to demonstrate that they have secured the required level of bio-diversity units. This is often the simplest and most effective way of securing the necessary BNG and the preferred method of the Council.

d. **Off-site net gain secured through a S106 agreement**: In some circumstances developers prefer to enter into Section 106 agreements to secure the delivery of off-site BNG. This is sometimes used on larger schemes where there are more significant off-site requirements that would need

to be delivered in phases over a number of years. In this way the delivery of off-site BNG can be timed to coincide with the impacts on multi-phase schemes. A delivery provider would still need to be confirmed.

### Purpose and Location of Off-site BNG

The main priority for any off-site BNG must be the conservation, restoration and re-creation of priority habitats and ecological networks, particularly as part of the emerging Nature Recovery Network and forthcoming Local Nature Recovery Strategies, and/or in order to meet the aims and objectives of Conservation Target Areas [CTA] and Nature Improvement Areas [NIA]. All off-site BNG projects must be delivered as close to the development site as possible or at least within the Borough.

### Off-site BNG delivery providers

There are currently 2 organisations that can deliver off-site BNG in Rotherham/South Yorkshire; the identification of further appropriate and suitable bodies shall be confirmed at a future date:

a. **The Council**, as major landowner of natural areas and more formal parks within the Borough can perform this role.
b. **A Local Environment Trust** [LET]: a registered charity who can administer funds on behalf of developers required to invest in biodiversity offsets to achieve net gain in Rotherham/South Yorkshire, usually to discharge planning conditions or obligations. When a developer deposits offsetting funds with a LET, they confer responsibility to them, and the planning condition can be considered as discharged. A local environment trust has the local knowledge and connections necessary to find suitable receptor sites and projects capable of generating the bio-diversity units required by offsetting funds. They also work with local planning authorities to ensure they meet their requirements and the discharge of planning conditions relating to biodiversity net gain. The, Woodland Trust, Canal and Rivers Trust, RSPB, all active within Rotherham Borough, along with the Sheffield & Rotherham Wildlife Trust and the Yorkshire Wildlife Trust are potentially suitable bodies that may, in the future, be able to carry out this role.
c. **The Environment Bank**: a private company set up specifically to deliver biodiversity offsetting throughout the UK. Its **Habitat Bank** has a good network of contacts but is not specific to Rotherham Borough.

### Who else can help?

Our Officers responsible for biodiversity can offer further advice at pre-application stage to ensure that developments comply with the relevant bio-diversity policies and minimise delays during the application process. Approved independent Ecologists and Members of the Chartered Institute of Ecology and Environmental Management [CIEEM] can undertake metric calculations and provide other data services for development projects at a cost and an enquiry should be made to them direct by the applicant.

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**END**

## The Value of Amenity Trees

| Policy Signpost | NPPF | RMBC Core Strategy 2014 | RMBC Sites & Policies Local Plan 2018 |
|---|---|---|---|
| **Green Infrastructure** | **Habitat & Biodiversity [Paragraphs 179-182, pp. 51-52]** | **CS2; CS19; CS20; CS21; CS22; CS23; & CS32** | **SP1; SP32; SP33; SP34; SP35; SP37; SP38; SP39; & SP44.** |

**Preamble**

Rotherham's Local Plan specifies site development guidelines for those sites allocated for new residential and commercial development. An integral aspect of these is to recognise the innate value and benefit arising from existing tree cover and other green infrastructure assets on sites[36]. New development should not only maintain a site's biodiversity attributes, but there is also a desire to improve it in terms of seeking and securing what are now termed biodiversity net gains [BNG] [see NPPF, 2021]. In this regard, a key focus are amenity trees[37].

Amenity trees are defined as any that are not grown for their value as a timber or other crop and that provide other benefits or values [Cullen, 2007]. Examples of what constitutes amenity trees include:

- Trees found in parks and other open spaces; and
- Trees lining the sides of streets, railways, rivers, and canals and in gardens.

There are many reasons for wanting and needing to value amenity trees. The focus of this brief section is to consider how to carry out an assessment of valuation of amenity trees triggered by planning and decision-making with regard to permitting new development and the need to calculate any loss of amenity and replacement value arising directly from allowing new development to occur.

One of the accepted methods of calculating the value and benefits of amenity trees[38] is to utilise the Capital Asset Valuation for Amenity Trees [CAVAT].

**Capital Asset Valuation of Amenity Trees [CAVAT]**

Section 198 of The Town and Country Planning Act (TCPA) (1990) establishes trees as an amenity[39]. As such it is accepted that amenity trees provide a wide range of **tangible and intangible benefits** to society: these include the "regulating ecosystem services" of cooling local air temperatures, intercepting rainfall and reducing air and water pollution and the socio-cultural ecosystem benefits

[36] To this end Rotherham Planning Authority is in the process of preparing a separate Supplementary Planning Document on Trees and Woodlands.
[37] See the forthcoming Supplementary Planning Documents on Trees, in preparation, 2022
[38] Other methods include: The Helliwell System; The Tree suite of tools; The Council of Tree and Landscape Appraisers' Methods.
[39] S198 of TCPA 1990 creates the power for local planning authorities to protect trees by legal order; subsequent sections create a legal framework for enforcement at Crown Court, including a potentially unlimited fine for serious offences. Local planning authorities are under no obligation to show that trees are an amenity or that the monetary value of that amenity is potentially substantial, but they are obliged to consider how relevant aspects of the location and characteristics of particular trees influence the level of that potential value. Neither does TCPA reference a methodology for such considerations.

of helping to make cities safer, more diverse and attractive, and wealthier to its citizens and visitors [see for example FAO, 2016; Rogers et al., 2015].

The ownership of our natural resources such as trees are either being in public ownership [e.g., a local authority tree] or are regulated by various means [e.g., privately owned trees under a Tree Preservation Order]. The inference that can be drawn is that single or multiple beneficiaries can be distinguished in that such benefits accrue to both individuals and society more broadly.

The challenge for amenity tree valuation is that neither the intangible amenity of trees, nor the tangible benefits or services they provide, are market goods; that is, they are not exchanged or traded and there are no market prices that would allow the application of an income or sales-based approach to valuation.

Cullen [2007] argues that each benefit has value. In this regard value can be understood as:

a. the monetary relationship between different properties that can be derived from trees [i.e., interests, benefits, and rights] and those that buy, sell, or use them; or
b. the present worth of future benefits.

It is the latter of these two definitions that is usually referred to when considering the benefits and services provided by amenity trees. Thus, value can be ascribed to amenity trees because "someone" anticipates or expects them to provide current and future benefits, to have utility [satisfy desires, needs, wants], or to make a beneficial difference.

At the base of this concept lies utility which can be considered to either generate:

- a sum of money [£] to compensate for amenity tree loss [i.e., the willingness to accept principle]; or
- a sum of money [£] to be paid to prevent a loss of amenity trees [i.e., the willingness to pay principle].

In this respect, the CAVAT methodology explicitly reveals those factors that are taken into account in arriving at an appropriate sum, which both parties [i.e., an applicant and the planning authority] shall accept to be paid/ received as part of informing the decision-making process and the granting of planning permission.

The anticipated cost arising from a calculation of the monetary value of amenity trees which would be secured using a planning obligation [as it involves a financial payment] shall also inform the promoters of new development as to whether these sums should be paid or that these could be avoided if the current proposal is changed to ensure that such mitigation measures are unnecessary.

Any accepted costs derived from the CAVAT methodology will affect the development site's true worth [i.e., it will lower it] and thus it is essential that applicants engage suitable and qualified consultants [e.g., arboriculturists] in advance of purchasing the development site, to ensure that they do not overpay for the site or that viability is not compromised.

CAVAT has been successfully used[40] to defend trees from loss due to development as well as secure adequate and appropriate compensation for their removal through private development by application of the CAVAT methodology [either the Full or the Quick Methods]. CAVAT has also been used to trigger alterations to infrastructure development plans allowing for the conservation of mature street trees. As such, CAVAT has been used on a consistent basis by a large number of UK local authorities for urban amenity tree valuation and this methodology provides a satisfactory indication of a "market" price.

A summary of the methodology underpinning CAVAT is set out below. Applicants shall be required to embrace the appropriate CAVAT method tailored to the specific details of the proposed new development.

The **Full CAVAT Method** has seven steps: the first establishes a base value, whilst the further six steps modify this base value to achieve a final valuation.

The steps of the **Full CAVAT Method** are:

- Step 1: Determining the "base" value (size multiplied by a unit value factor [UVF]).
- Step 2: Adjustment to determine the "community tree index (CTI)" value (a value adjustment based on location, in terms of population density).
- Step 3: Adjustment to determine the "location factor (LF)" value (a value adjustment made for the relative accessibility of the tree to the general public).
- Step 4: Adjustment to determine the "functional crown value [part 1]: structural framework" (an adjustment of the value according to crown size).
- Step 5: Adjustment to determine the "functional crown value [part 2]: Leaf cover completeness and condition" (an adjustment of the value according to the functional status (condition) of the present canopy).
- Step 6: Adjustment to determine the "amenity and appropriateness" value (a value adjustment for how well the particular tree species characteristics is suited to its location).
- Step 7: Adjustment to determine the "Full" value (a value adjustment for life expectancy (LE) and leading to the final value for the tree).

The **Quick CAVAT Method** comprises **four steps** as follows:

- Step 1: Determining the "Base" value (size multiplied by the UVF)
- Step 2: Adjustment to determine the "CTI" value (adjustment based on location, in terms of population)
- Step 3: Adjustment to determine the "functional crown" value: a step with two considerations leading to a single adjustment of the value according to crown size and crown condition.
- Step 4: Life Expectancy adjustment to determine the final Quick Method value for the stock as a whole.

The **main differences** in the Quick Method compared to the Full Method are that:

- in Step 1, size is required as in the Full Method, but this is then converted into one of 16 size-bands;

[40] In the London Boroughs [Barnet and Ealing], The Midlands and in Bristol by the planning authorities.

- Community accessibility (the LF value adjustment carried out in the Full Method's Step 3) is not considered, as this detail is not collected during routine health and safety inspections of trees.
- in Step 3 (equivalent to the Full Method's Steps 4 and 5), functional crown value is considered in 25% gradations, rather than 10%, to aid the speed of assessment; and to ensure that Step 6 of the Full Method: amenity value adjustment, is not excluded.

The CAVAT method will be used to assess trees protected by a TPO, or those within Council ownership. Other trees will be assessed using the Rotherham Tree Replacement Standard as set out In the Council's Trees SPD. A table demonstrating how trees will be valued under the Rotherham Tree Replacement Standard can be found below:

| Removed Tree DBH [Diameter at Breast Height] [cm@1.5m] | Replacement Trees Number | Notes |
|---|---|---|
| 0 - 7 | 0 | As per Conservation Area legislation, no replacement trees are required for 7DBH and below |
| 8 - 14.9 | 1 | |
| 15 - 19.9 | 2 | |
| 20 - 29.9 | 4 | |
| 30 - 39.9 | 5 | |
| 40 - 49.9 | 6 | |
| 50 - 59.9 | 8 | |
| 60 - 69.9 | 10 | |
| 70 - 79.9 | 12 | |
| 80 - 99.9 | 15 | |
| 100+ | 20 | |

Additionally, the following table provides an example of landscaping costs [see overleaf]:

| Section | Trees to be Removed | Value | Replacement Trees as required by sections 1 & 2 | Total Number of Trees Required |
|---|---|---|---|---|
| Section 1 [CAVAT valued] | 1 x TPO tree | £10,000 | 10000/396 = 25 trees | 25 |
| Section 2 [RTRS] | 4 Other Trees | 18 Diameter at Breast Height (DBH) | 2 | 2 |
| | | 24 DBH | 4 | 4 |
| | | 25 DBH | 4 | 4 |
| | | 41 DBH | 6 | 6 |
| **Total** | | | | **41** |

| Replacement Trees as Required by Section 1 & 2 [RTRS] | Trees to be Removed | Value | Replacement Trees as required by sections 1 & 2 | Total Number of Trees Required |
|---|---|---|---|---|
| Trees that can be planted on site | | | | 10 |
| Developer Contribution for Off-Site Tree Planting | | | 31 x £396 | £12,276 |

Applicants shall be required to liaise and agree with the planning authority the most appropriate method to be employed in carrying out the amenity valuation exercise. For more information on the role of trees in development, please see the Council's Trees SPD which has been produced concurrently with this SPD.

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**END**

## Outdoor Sport and Recreational Provision, Green Space and Green Infrastructure

| Policy Signpost | NPPF | RMBC Core Strategy, 2014 | RMBC Sites & Policies Document, 2018 |
|---|---|---|---|
| Outdoor Sport & Recreation | Paragraphs 98-103; pp.28-29 | CS1; CS2; CS22 | SP10; SP37; SP38; SP39 |
| Green Infrastructure | | CS1; CS2, CS19 | SP32; SP33 |
| Green Spaces | | CS1; CS2; CS22 | SP37; SP38; SP39 |

**The Local Plan Context**

The Council is aware that future growth stemming from the sites allocated in its adopted Local Plan documents [RMBC, 2014; and RMBC, 2018]; and any subsequent windfall development proposals, will trigger the need for additional provision in an array of infrastructure including green spaces, infrastructure and outdoor sport and recreational provision. With respect to outdoor sport and recreational provision these have been based on the generation of sports facility strategies, incorporating for example the creation of playing pitch strategies, estimates for the need for Multi-Use Games Areas [MUGA] and need for new or improvements to Local Areas for Play [LAP] located in Rotherham.

The Council also recognises the importance that any obligations sought must be based on a tailored approach to each proposed new development, underpinned by a robust evidence base that justifies the requirement to mitigate the needs arising and how to determine how these are to be met through developer contributions.

**Methodology to seek and secure developer contributions**

To secure developer contributions the Council shall base its assessment of the needs arising from new development on the following methodology, which incorporates:

- A robust evidence base/audit for sporting and recreation and recreation provision, in the planning authority's area which is utilised to:
    - Estimate the nature and level of needs for sporting and recreational provision arising from proposed new developments;
    - Establish a plan of action and delivery that incorporates a variety of financing options for sporting and recreational provision, including developer contributions secured through the following mechanisms:
        - S106 planning obligations; and
        - Community Infrastructure Levy receipts.

In certain circumstances, the Council may draw on its own revenue budgets as well as exploring and securing funding from external sources, including from central government, regional bodies, Sport England. Applicants need to be aware that their proposals will be assessed objectively; a transparent approach is required to aid in determining the scale of contributions arising from specific development schemes[41].

Maintaining an up-to-date evidence base requires significant resources, therefore in these circumstances the Council will rely on its own local knowledge supplemented by developer studies, prepared in accordance with national and local planning policy guidance and best practice. Prior to preparing a robust evidence base, the developer will scope out the work required to be undertaken with appropriate officers of the Council through its pre-application process.

The Council's contention is that additional sporting and recreational provision shall be primarily secured through negotiated planning obligations. The Council holds the view that future CIL receipts will be prioritised to contribute to the funding of providing additional capacity in service areas where there are extant deficiencies [e.g., in doctors' surgeries; highways; library or school places, and appropriate green space infrastructure to meet identified requirements].

**Tailored to local circumstance and needs arising**

The scale of new development will dictate how and where additional green spaces, outdoor sporting and recreational provision are to be located. The Council is clearly aware that deliverability of additional sporting and recreational provision shall be tailored to the needs arising from a proposed development. These typically relate to Local Areas for Play that can embrace Neighbourhood Equipped Area for Play [NEAP] and Local Equipped Area for Play [LEAP]. Equally, this may embrace the provision of new or improved sports pitches which shall be informed by the Council's audit of playing provision for outdoor sports, and any further up to date information provided in support of planning applications.

The Council have been able to invest heavily in these kinds of facilities [especially Local Areas for Play] in the last number years [especially helped by The Big Lottery funding and other national initiatives]. Despite new provision and improvements to existing facilities, there are many local facilities and play areas requiring additional maintenance and further improvements to modernise them and in order for them to be literally "fit-for-purpose". The Council shall assess how such facilities and provision in the vicinity of the new residential developments can be supported by developer contributions, particularly if these offer a better opportunity than on-site provision normally provided directly and integral to new development.

The Council's Playing Pitch Strategy, and any further audits undertaken in support of planning applications, underpinned by evidence assessing quality and use, shall be used by the Council to determine the appropriateness of new developments making a contribution to the provision of either new pitches and facilities or improvements to existing assets. The Council shall seek developer

[41] That is: these are tailored to the merits of each particular application.

contributions that also include provision for ongoing maintenance, management and life-cycle costing based on standard guidance and advice[42].

Planning obligations shall also be included and sought to specify the arrangements for public access, opening hours and pricing policies, if these are applicable. [See the section on planning obligations sought to secure *Community Access, Management and Operation Plans* for further details, which is located in a separate section of this SPD on pp.64-66].

The Council's Playing Pitch Strategy has identified where **demand exceeds available provision** or where there is potential to expand provision to meet growing demand from participants [e.g., from young boys' and girls' football and young boys' rugby]. Whilst in preparing future planning applications, the applicants will need to verify this information and incorporate this in the guiding principles of all proposals.

In considering the need to secure off-site developer contributions arising from new development, the following factors shall be taken into account:

- Accessibility e.g., public and private transport, walking distance, car parking;
- Size i.e., focus on sites capable of accommodating a number of pitches, changing facilities;
- Quality of the pitches measured against national standard for provision; and
- Availability of other pitches locally.

Where there is existing provision in the vicinity of proposed scheme, the Council shall seek off-site developer contributions to improve provision, however if the scale of development is such that entirely new provision is required this is normally sought to be delivered on-site, otherwise an equivalent in-lieu financial contribution shall be agreed with the developer for off-site provision.

In some circumstances, it may be necessary to pool contributions from different schemes in order to finance the scale of facilities, especially relating to provision of or improvements to, built facilities such as swimming pools, multi-use games' areas, pavilions, changing rooms and public toilets. In these circumstances, it may also be appropriate for some CIL receipts to contribute to the overall funding requirement.

**Green Space & Outdoor Sport & Recreation**

As part of preparing its Local Plan, Rotherham has drawn on surveys and studies that carefully assessed the current provision and quality of green space and how new development shall be required to mitigate any needs arising either by providing on-site capacity or at off-site locations that have been prioritised by the council in its adopted Local Plans. Such evidence base, *inter alia,* includes:

- Green Space Audit [2005];
- Playing Pitch Strategy [2009];
- Green Space Strategy [2010];
- Yorkshire & Humber Green Infrastructure Mapping Project [2010].
- South Yorkshire Green Infrastructure Strategy [2011];

[42] Especially from Sport England's Facility Costs and Design Guidance [current edition]

- Landscape & Visual Impact Assessment [2015];
- Green Space Review [2017];
- Natural Capital Mapping [2022].

The Council[43] anticipates a refresh of its Playing Pitch Strategy based on an appropriate evidence base and prepared in accordance with the most up-to-date guidance when sufficient resource become available to conduct the preparation of this Strategy.

The Council also takes guidance from responsible bodies [e.g., Sport England; The Woodland Trust; The local Wildlife Trust] with a special interest in the provision of built as well as green infrastructure and space whether for active or passive enjoyment that covers sport, recreation, cycling and walking; as well as providing access to local natural habitats, copses and woodlands, and parks and historic monuments.

**Sites and Policies SP37** specifically sets out the trigger mechanism for the provision of **new and improvements to existing green space**.

> "*Residential development schemes of **36 dwellings or more** shall provide 55 square metres of Green Space per dwelling on site to ensure that all new homes are:*
>
> *i. Within 280 metres of a Green Space; and*
> *ii. ideally within 840 metres of a Neighbourhood Green Space [as defined in the Rotherham Green Space Strategy 2010]; and*
> *iii. Within 400 metres of an equipped play area.*
>
> *The exception to this will be where the characteristics of the site and the nature of the proposals are likely to impact on the delivery of the Green Space or the overall development scheme. In these circumstances, then evidence shall be provided with the planning application to justify any lower level of Green Space provision on-site or off-site contributions. This shall take into account the nature of the proposed development, and the particular characteristics of the site and the wider local area*."
>
> [Source: RMBC, *Sites and Policies Local Plan*, June 2018.p.101; **my emphasis**]

Ordinarily, these shall be secured through a planning condition, however all off-site requirements or in lieu provision shall be, by necessity, secured through a planning obligation.

**Sites and Policies SP37** sets out the trigger mechanisms for the **provision of outdoor sport and recreation** that draws heavily on authoritative Sport England and other guidance, design, and costing advice.

The Council shall rely on agreed **standards of provision** based on a variety of well-respected guidance including:

- **Sport England** facilities modelling and cost estimates regarding the provision of sporting and recreational facilities, especially direct provision, management, maintenance, and life-cycle costing.

[43] At the time of preparing this SPD in April 2022

- **Planning and Design for Outdoor Sport and Play** [PAD] produced by Fields in Trust[44], This guidance has been used by the Council in conducting its audit of its existing provision which is then employed to calculate the type of facilities and off-site contributions arising from new developments.
- **Neighbourhood Equipped Areas for Play [NEAP]:** require the provision of a minimum area of 1.000m$^2$, with 465m$^2$ of the area laid out for kick-about area; such provision shall include a minimum of nine play experiences.
- **Local Equipped Areas for Play [LEAP]:** require the provision of a minimum area of 400m2 of outdoor play area, with a buffer zone to be provided of at least 20m in depth that should contain varied planting, giving an overall area of 3,600m2; such provision shall include a minimum of six play experiences.

Additional information is presented in Table 15 below. It is important to note that the Council is currently preparing the Green Space Supplementary Planning Document. This particular SPD will be made available for consultation purposes in due course and its preparation may lead to further refinements to the content of Table 15 'Expected quantity and age range requirements per number of residential units'.

**Play Spaces General Guidance**

The following criteria shall apply in the siting and provision of play spaces:

- Play spaces need to be provided at a scale that mirrors the scale of the development i.e., larger numbers of new properties demand larger numbers of equipped and informal play opportunities.
- All play equipment and fall attenuation (safer surfacing) must be designed and installed to meet the requirements of BS: EN1176 and BS: EN1177
- The safety of places where children play is improved by natural surveillance from residential properties and should not be placed out of sight.

**Equipped Play and Play Spaces**

Equipment and play space can be provided in a cluster or spread throughout the site but if spread must include an equivalent play value

The provision of play spaces and its equipment is tailored to the age range of the local population it is intended to serve. The Council adopts three main age groups as follows:

- Children that play under adult supervision or 'Toddler Play'
- Children who have started to play independently or 'Junior Play'
- Children or teenagers who play with others or 'Teen Play'

Play Value is a numerical and therefor comparative figure based on various play elements such as swinging, balancing, rotating, climbing, sliding, co-operative play (e.g., see-saw or voice tubes).

Buffer distances should be considered within designs with increased buffers for larger play spaces or older children.

[44] This replaced the Six Acre standard, which served as the standard set by The National Playing Field Association & Play England.

Capacity of provision is a function of size and the number of pieces of equipment proportionate to the size of new developments; these are set out in the Table 15 below.

**Table 15: Expected quantity and age range requirements per number of residential units**

| | Minimum requirement[45] | 26 to 36 units | 36 to 50 units | 51 to 99 units | 100 to 199 units | 200 to 349 units | 350 to 499 units | 500+ units |
|---|---|---|---|---|---|---|---|---|
| LAP Play Space | • Positioned near a well-used pedestrian route.<br>• Well-drained, reasonably flat site surface with grass or a hard surface<br>• Recommended minimum activity zone: 100m$^2$<br>• Buffer zone of 5m minimum depth separates activity zone and nearest dwelling<br>• May have a 600mm guard rail to indicate the perimeter<br>• Requires a sign indicating the area is for children's play and dogs are not welcome<br>• No minimum level of play equipment | x | | | x | x | x | x |
| Small Toddler Play | • To be confirmed in the forthcoming Green Spaces SPD | | x | x | x | | | |
| Large Toddler Play | • To be confirmed in the forthcoming Green Spaces SPD | | | | | x | x | x |
| Small Junior Play | • To be confirmed in the forthcoming Green Spaces SPD | | | x | | | | |
| Medium Junior Play (LEAP) | Positioned by pedestrian route that is well-used; well-drained, reasonably flat site surfaced with grass or a hard surface, along with appropriate surfacing for play equipment or structures. Recommended minimum activity zone is 400m$^2$<br>▪ Play equipment is an integral part of the LEAP Buffer zone of 10m minimum depth separates activity zone and the boundary of nearest property, 20m minimum separates activity zone and habitable room facade of nearest dwelling Stimulating, challenging play experience with provision for a minimum number of six play experiences is recommended.<br>▪ Adequate space for active play; boundaries should be recognisable by landscaping; fencing may be necessary if the site adjoins one or more roads<br>▪ Seating and litter bins provided. Requires a sign indicating the area is for children's play and dogs are not welcome, contact details of facility operator.<br>▪ Expect to provide 6 pieces of equipment which provide differing play experiences. | | | | x | x | | |
| Large Junior Play (NEAP) | • Positioned by a pedestrian route that is well used<br>• Well-drained, reasonably flat site surfaced with grass or a hard surface, along with appropriate surfacing for play equipment or structures<br>• Recommended minimum activity zone is 1000m2 m, comprising an area for play equipment and a hard-surfaced area of at least 465m2<br>• Buffer zone of 30m minimum depth separates activity zone and the boundary of the nearest property | | | | | | x | x |

[45] See for example: A Guide to the Design, Specification & Construction of Multi=Use Fames Areas, prepared by Sport England

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | • Stimulating, challenging play experience with provision for a minimum number of nine play experiences is recommended<br>• Adequate space for active play<br>Boundaries should be recognisable by landscaping, fencing, may be necessary if the site adjoins one or more roads<br>• Seating and litter bins provided<br>Requires a sign indicating the area is for children's play and dogs are not welcome, contact details of facility operator and location of the nearest telephone<br>• Convenient and secure parking facilities for bicycles should be provided<br>• Expect to provide 9 pieces of equipment which prove differing play experiences | | | | | | | |
| Teen Play -MUGA | • At least 684.5 sqm (18.5m x 37m)<br>• Marked out for at least pitch or court 3 sports<br>• At least 2 entrances/exits | | | | | | x | x |
| Teen Play- Skate Park | • Bowl or precast block type construction<br>• At least 300sqm | | | | | | | x |
| Teen Shelter | • Minimum capacity 8 teens | | | | | | x | x |

**Public Open Space [POS]**

Policy SP37 requires 55sqm of POS per residential unit for sites of 36 dwellings or more.

It is expected for the POS to be counted towards this total it must capable of being used for formal or informal recreation. As a general rule areas below 0.2hectares are not large enough to provide a recreational function and should be discounted especially where they are adjacent to roads.

Engineering infrastructure such as Sustainable Drainage Systems [SuDS] should not be considered to be public open space although they can provide a visual amenity if well designed. In this case 20% of the space would be considered to count towards the open space requirement.

Buffer zones that have no formal access and areas of predominantly amenity landscaping and grass verges **shall not be included** in the public open space calculation. However, linear green spaces which form recreational links between areas **shall normally be counted** as part of the POS.

In all cases there must be at least one POS within a development which can be used for active or informal recreation which is over 0.2hectares and does not form a linear feature.

**Sport**

Where a sports pitch or other outdoor sports playing surface is lost through new development a contribution for off-site replacement or betterment of alternative sports facilities within the local area will be expected to be provided at the value for providing the specific play surface type published by Sport England plus 20% for contingencies and fees where demand exists.

Demand for sports could be either existing, latent, or driven by the new development itself. This demand may be shown through a borough wide Playing Pitch Strategy [PPS] or through a more localised pitch strategy provided by a suitably experienced consultancy provided by the developer where the Local authority cannot provide a suitable PPS.

**Allotments**

The Allotments Act 1908 and its amendments provides for the needs of the public wishing to rent allotment gardens. Allotments by their nature are not publicly accessible, as plots are allotted to individuals. Allotments cannot therefore be included in the POS requirements but may be required in developments over 500 homes or where a number of developments within a locale are in excess of this where current demand already outstrips supply or is likely to do so within 10 years.

It is expected that 200sqm of allotment land be made available per 50 residential units and this land should form a block with secure fencing and at least 0.5m of good quality uncontaminated soil for growing crops.

**Provision of Outdoor Sport and Recreational Facilities: An illustration**

To illustrate the design and cost base in the provision of play, sport, and recreational facilities the following examples [see Table 16] are drawn from Sport England's *Cost and Design Guidance*:

**Table 16: Sport England: Facility Costs, [based at 2Q, 2020 (as of 27th May] for England[46]]**

| Facility Type/ Detail | Area [$m^2$] | Capital Costs [£] |
|---|---|---|
| **Artificial Grass Pitches** | | |
| U9/U10 Football/Training (23mm Sand Filled, Fenced, Sports Lighting) (61 x 43) | 2,623 | £400,000 |
| U9/U10 Football/Training (40-50mm 3G, Fenced, Sports Lighting) (61 x 43) | 2,623 | £420,000 |
| U9/U10 Football /Training (60-65mm 3G, Fenced, Sports Lighting) (61 x 43) | 2,363 | £430,000 |
| Rugby League (65mm 3G, Fenced, Sports Lighting) (122 x 74) | 9,028 | £1.250,000 |
| | | |
| **Macadam Outdoor Surfaces** | | |
| Multi-Use Games Area: Macadam, Fenced, Sports Lighting (36.60 x 21.35) | 782 | £160,000 |
| | | |
| **Natural Turf Surfaces** | | |
| Cricket Natural Turf Pitch, with 8 pitch square and 2 winter sport pitches (125.6 x 164.4) | 20,649 | £295,000 |
| | | |
| Source: Extracts from Sport England, Facility Costs, 2Q, 2020; the Planning Authority shall apply current prices at the time of applications. | | |

These costs also **include** provision for external costs and specific fees. Importantly, these same costs **exclude** costs triggered by abnormal site conditions, extraordinary long service connections, site acquisition, drainage attenuations costs in relation to natural turf pitches, local cost adjustment factor, VAT and inflation arising in the future [from 2Q, 2020].

Additionally, to ensure that the provision of facilities secured through developer contributions is properly maintained so as to provide continuing provision over the life of the assets, the Council shall also draw on Sport England's assessment of life-cycle cost methodology [see for example, *Life Cycle Costings: Natural Turf Pitches*, Sport England, 2012; and *Life Cycle Costings: Sports Halls; Swimming Pools & Changing Room*s, Sport England, 2012].

**Green Infrastructure**

These particular policies areas necessarily overlap. The extant Local Plans for Rotherham have identified the importance of green infrastructure corridors[47] and their associated assets and that the

[46] The local cost adjustment factor for Rotherham derived from BCIS shall apply at 0.91 of England base.

[47] See in particular Table 9: Strategic and Local Green Infrastructure Corridors, paragraph 5.6.8; p. 116, RMBC Core Strategy, Adopted June 2014.

growth of Rotherham expounded in these plans stress the need for new development to support, provide and improve the existing assets, which can embrace a variety of provision and facilities for both active and passive enjoyment of the borough for its citizens.

The policy status is signposted in both the Core Strategy and the Sites and Policies Local Plans [dated 2014 and 2018 respectively]. These recognise national guidance which has been tailored to local circumstance and priorities prescribed in Rotherham's local plan documents. In this respect:

> *"The multi-functional nature of Green Infrastructure means that a number of development plan policies can support its implementation."*
> [See paragraph 5.6.5, *Core Strategy*, RMBC 2014.]

The delivery of these objectives will depend upon the pace and delivery of new housing growth and other developments. However, the plans are clear in that developer contribution shall be sought and secured in order to mitigate any needs arising so that the overall quality and capacity is at least commensurate.

The Council has drawn on a variety of authoritative sources of evidence, studies and surveys which provides a suitable basis and assessment upon which individual sites can be evaluated in terms of their impact on the provision, management, maintenance, and improvement to the current stock of assets that comprise Rotherham's green spaces, green infrastructure, including active and passive facilities for residents and visitors to use and enjoy. The Council is an active partner in sub-regional partnerships which link Rotherham to its immediate neighbours; and it collaborates with the private sector, other public bodies, responsible agencies [e.g., Woodland Trust] and of course national, regional, and city-region agencies and government departments whenever possible to enhance the experience of its residents and visitors.

In particular CS19 and CS22 stress that green space provision and green infrastructure shall be:

> "....designed *as an integral part of new development to create a safe and accessible environment that softens the impact of development on the landscape, provides linkages between assets and other facilities (such as schools and residential areas), buffering and protecting sensitive sites (including SSSIs) and addressing deficiencies in the network*".
> [See paragraph 5.16.3, *Core Strategy*, RMBC 2014]

Green Infrastructure can cover a wide range of assets and local benefits. The Core Strategy Local Plan specifically states the following:

- *"Managed and natural green spaces (including woodlands, gardens, allotments, recreational space (e.g., playing pitches), formal parks and amenity areas)*
- *Green corridors and assets (including footpaths, bridleways and cycle paths, disused railway*
- *lines, cycle lanes within the road network, greenways, waterways, street trees and other features that enhance links between habitats, places, and tourist activities)*
- *Nature conservation sites, habitat creation schemes, heritage assets including veteran trees and ecosystems*
- *Individual or distinctive features of the landscape from green/ brown roofs to ancient woodland*

- *Flood risk management measures (such as storage that compensates for loss of flood plain,*
- *landscape intervention which slows the flow of water and sustainable urban drainage systems)*
- *Managed landscapes of trees and associated habitats (which help to regulate temperatures, fix carbon, provide places for recreation close to urban centres, and may enhance landscape character)*
- *Designated and non-designated landscape"*

[See paragraph 5.6.3, p.115, *Core Strategy*, RMBC 2014]

Ordinarily, these shall be secured through a planning condition, however all off-site requirements or in lieu provision shall be secured through a planning obligation. The latter shall be negotiated in accordance Local Plan policies and the tailored to the specific needs arising from all sites identified in the Council's *Sites and Policies Local Plan* [RMBC, 2018].

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## Developer Contributions: Transport and related Service Provision

| Policy Signpost | NPPF | RMBC Core Strategy 2014 | RMBC Sites & Policies Local Plan 2018 |
|---|---|---|---|
| **Transport and Related Service Provision** | **Promoting Sustainable Transport & Travel [paragraphs 104-109, pp.30-31]** | **CS14; CS15; CS16; CS17; CS 18** | **SP26; SP27; SP 28; SP29; SP56** |

## Transport Contributions

**Preamble**

The requirements for transport are based on periodic assessment of the capacity and future growth impacts of the Local Plan on the authority's transport and related infrastructures. These are informed and shaped by the Council's local plan transport policies, and in the following sections the justification, methodology, scale and type of contributions are set out below.

Parts of the Rotherham's transport network are congested and in some locations are subject to poor performance. Development projected in the RMBC will generate additional traffic, cumulatively causing unacceptable network performance deterioration, as shown by assessments relating to its Local Plan growth strategies reflected in its Core Strategy and Sites & Policies Local Plans [2014; & 2018] and the recently adopted Supplementary Planning Document 12: Transport Assessments, Travel Plans and Parking Standards [2021].

Rotherham's Transport Infrastructure Spending Programme is annually reviewed and updated, especially in response to external funding opportunities and successful bidding rounds. As such these will directly support the Council's adopted Local Plan by improving network performance and mitigating development impacts where they arise.

Traffic emanating from local plan developments will travel to areas of Rotherham's transport network already suffering from congestion. New developments shall be required to ensure that measures are included within their development to encourage travel by sustainable modes and where appropriate provide an effective Travel Plan to mitigate their impact on the transport network. Appropriate mitigation through planning obligations will be required where necessary in order to make development acceptable in planning terms.

Traffic generated from new developments in Rotherham including cumulative impacts, will be reduced by projects contained within the Council's Infrastructure delivery programme via dedicated improvements using planning obligations and other developer contributions.

Such developer contributions are assessed as being proportionate to the amount of development traffic routing to areas and schemes comprising Rotherham's network and its surroundings, and as such, are reasonably related in scale. These developer contributions shall typically be allocated to fund schemes along network routes most used by development generated traffic.

**Rotherham's Core Strategy and Infrastructure Delivery Plan [Transport]**
Rotherham's Transport Package[48] of schemes is focused on addressing issues relating to the performance of the transport network by investment in the following deliverable packages:

- Improvements to infrastructure;
- Information systems;
- Active travel; and
- All services across all modes of transport.

The phased delivery of the Council's Transport Strategy is not only a key priority, it is also an important factor in supporting the economic growth within Rotherham and its sub-region, and is thus fully supported by the:

- South Yorkshire Mayoral Combined Authority;
- South Yorkshire Local Enterprise Partnership (LEP);
- Chamber of Commerce; and
- Members of Parliament.

Subject to funding availability and the capacity to develop and construct the packages of schemes, the Council's Transport Strategy will be delivered over a number of years linked with the development growth set out in the Council's Core Strategy, Sites & Policies Documents and its Infrastructure Delivery Strategy.

The Council's strategic approach focuses, in particular, on the role differing modes of transport have in addressing problems with performance of a transport network. Explicitly, the Council's approach is predicated on a combined and integrated approach, which if delivered will generate increased benefits over schemes that are simply considered on a stand-alone basis [i.e., the sum of the parts is greater than the whole or simply synergistic benefits]. In this regard, pooling different developer contributions and other streams of funding shall always be considered if assessments reveal that greater benefits result.

Failure to deliver these strategies will critically undermine the ability of Rotherham's transport network to accommodate the planned growth set out in the Councils' adopted Local Plan. As such the implementation of the Council's Transport Strategy will:

a. Support the growth of Rotherham's and its neighbouring authorities' economy by reducing travel times and costs imposed on businesses, transport operators and other network users by the current and forecast traffic congestion on South Yorkshire's transport network.

b. Improve the transport performance for users of the key highways network, especially to Rotherham Town Centre, industrial and employment estates, and retail centres, thereby helping to better manage traffic conditions.

c. Improve access to the Strategic Road Network from areas to the north and west of Rotherham [i.e., M1] and from east and south of M18.

[48] .Rotherham Transport Strategy can be accessed at https://www.rotherham.gov.uk/downloads/download/363/rotherham-transport-strategy

d. Improve access to national and international hubs, including Doncaster Robin Hood International Airport, Sheffield Railway Station and regional train stations and internal freight hubs for instance at Doncaster (Thorne) and the former Tinsley Marshalling Yard.

e. Contribute to environmental objectives, particularly through encouraging use of walking, cycling, and public transport modes – known as active travel.

**Policies and Objectives**

Key to achieving the Transport Strategy goals is the need to have a transport network in place that will be able to accommodate the future level of growth without imposing unacceptable costs on businesses and other transport users and operators arising from increasing traffic congestion and variable and increasing journey times.

It is apparent that without investment in Rotherham's transport infrastructure and services, Rotherham's and the wider area's ability to grow, accommodate planned development, and remain a key centre in South Yorkshire and the wider sub-region will be significantly constrained. There are forecast to be severe impacts in terms of traffic congestion and access to key services with consequent negative impact on the environment due to reduced air quality, resulting in a decline in the quality of life for residents and a reduction in the overall attractiveness of Rotherham and its environs for residents, businesses, and visitors.

The recently completed *2020 Rotherham Infrastructure Delivery Study* [2021] identifies recent projects and improvements made in a wide range of policy areas. For Transport, Highways, Public Transport and Active Travel these are set out on pp,13-20 on the above report. Importantly it identifies a variety of locations and situations where existing provision and capacity is deficient and under strain. Specifically,

> *"There are local areas of delay and congestion, particularly in Rotherham town centre where the network is constrained by the railway bridges, which pose real obstacles to increasing road capacity even by a modest amount. The routes and junctions that experience the greatest delay during parts of the day compared to free flow conditions include the A57 around South Anston (with the growth of employment and housing in the Worksop area further increasing the impact on the existing pinch points), A6123 Aldwarke Lane, Inner Ring Road (particularly Ickles Roundabout), A631 West Bawtry Road towards Rotherway, Manvers Way (with existing congestion impacting on the growth potential of the employment and housing in the Dearne Valley), the A633 corridor and the A6178 towards Sheffield."*
>
> *[see pp.14-15, 2020 Rotherham Infrastructure Delivery* Study [RMBC, 2021].]

Critically, it also identifies locations and aspects of the infrastructure capacity will need to be enhanced as a direct result of the scale of new housing and commercial growth as set out in Rotherham's adopted local plan[s]. To exemplify:

> *"..other locations where improvements are likely to be needed to support future growth include: • A6123 Stag Roundabout; • St Annes Roundabout; • A631 junction improvements and route treatments (Worrygoose, Brecks and Wickersley); and • Coach Road and The Whins on the Greasborough corridor All of these are located on the initial KRN described above. Improvements may also be needed in the future on the A57 around South Anston and at the Red Lion Roundabout, although these are primarily a result of housing growth outside the Borough. Issues to be addressed have also been identified in specific locations such as Swinton, Kiveton Park and Dinnington, as well as the need for localised improvements associated with the Bassingthorpe Farm strategic site."*
>
> *[ibid, p.16, RMBC, 2021.]*

Following the development by the Council of a draft Local Cycling and Walking Infrastructure Plan (LCWIP), investment in active travel modes has been given increasing importance across Rotherham. A key focus has been on the locations where significant areas of new growth are planned, including a clear steer regarding internal site layouts that encourage and promote active modes, and with connections enhanced to existing facilities.

Rotherham's Rights of Way Improvement Plan[49] [ROWIP] covers the period 2019 – 2024 and sets out how RMBC will develop, promote and protect a Borough-wide network of rights of way that meet the present and likely future needs of the public for the purposes of open-air recreation, exercise and access to local services

RMBC is looking to develop further packages[50] of active travel improvements on holistic corridor-wide basis as growth takes place, in particular covering:

- Rotherham to Wickersley;
- Rotherham to Whiston;
- Rotherham to Thrybergh;
- Rotherham to Thorpe Hesley;
- Rotherham to Greasborough;
- Rotherham to AMID;
- Dearne Valley;
- Maltby to Hellaby; and
- There is also an identified need to develop further cycle connections to, from and within, the Bassingthorpe Farm strategic site.

**Approach to S106 Developer Contributions for Transport and Related Services**
**Preamble**
All development proposals must be in accordance with the requirements and policies set out in its Core Strategy, and in particular the following core strategies: CS14; CS15; CS16; CS17; CS18 and CS32.

All mitigation measures shall be underpinned by the results of transport assessments. The results of the assessments will provide the basis for identifying the appropriate planning obligations, and thus developer contributions, towards the transport infrastructure delivery projects.

In addition to bespoke transport infrastructure costs towards the Council's infrastructure delivery projects, developer contributions will be sought to reduce the impact of developments through "smarter choices" measures or to support and monitor measures of the developments' Travel Plan and South Yorkshire Mayoral Combined Authority [SYMCA] local bus annual season tickets.

Where provision for on-site facilities is required, the Council has a number of mechanisms that they shall consider [i.e., tailored to the specific requirements of each development] in the form of:

- Planning conditions;
- A Section 38 or Section 278 Agreement under the Highways Act 1980; and
- Through a Section 106 legal agreement.

**General Approach**

[49] https://www.rotherham.gov.uk/downloads/file/380/rights-of-way-improvement-plan 20
[50] Recent projects have been funded through the Transforming Cities Fund [TCF] programme.

The level of development proposed for Rotherham in its adopted Local Plan will have an impact on the immediate, local, and wider transport networks. The nature of the existing transport network means that a development site(s) can cause a significant impact by adding to problems which occur at pinch points. Such congestion is caused by trips with trip origins and/or destinations across Rotherham's network and beyond.

**Contributions Methodology**

The approach contained in seeking and securing transport related developer contributions allows for:

a. Calculation of the numbers of trips that each proposed development site will generate.
b. Assessment of the way in which those trips will route on the network and identifying the proportion of development-generated trips with origins or destinations within the South Yorkshire Transport Network Area.
c. Assessment of the way in which those trips with origins and destinations within Rotherham Transport Network Area will route.
d. Schemes will be identified based on the impact development will generate within South Yorkshire Transport Network Area and Rotherham's Transport Network.
e. Apportionment of the costs of mitigating infrastructure requirements against each development allocation.
f. Delivery of a transparent method for financially contributing toward the mitigation of the impacts of planned development on the performance of Rotherham's Transport Network.

In summary, the above approach quantifies the number of trips generated by planned development. The model applies a distribution factor based on census data which is bespoke to each site to quantify the proportion of trips which will use South Yorkshire's Transport Network and a distribution factor for Rotherham's Transport Network on a site-by-site basis. This allows the costs of the strategy schemes to be fairly and reasonably apportioned against each of the planned development sites based on their proportional impact.

In concluding this section, the methodology is as follows:

a. Confirm the total costs of Rotherham's core Transport Strategy measures, excluding any committed funding, including any Local Enterprise Partnership Strategic Economic Plan funding.
b. The Council development management process will quantify the developer contributions toward a specific programme or projects on a case-by-case basis.

**Community Infrastructure Levy and other Developer Contributions**

With the rescinding of Regulation 123 of CIL Regulations 2010 [as amended] in September 2019, the charging authority for Rotherham is able to seek planning obligations which can be pooled with a variety of funding streams including, for example, the Housing Infrastructure Fund, the Transforming Cities Fund [TCF] programme [for active travel and public transport improvements], or CIL receipts to fund a range of local funding infrastructure, including transport. Importantly, the Council is clearly aware that it has greater discretion in the way that it can allocate and spend CIL receipts compared to developer contributions. The latter is based on a nexus that ties the funding stream with mitigating actions that stem directly from the needs arising from new developments.

**Necessary to make the development acceptable in planning terms**

In order to deliver sustainable housing and economic, commercial growth, it is necessary to maintain a transport network that is capable of minimising adverse impacts upon the economy and environment, which in particular seeks to deal with issues of accessibility, traffic congestion, journey times, journey time reliability and transport related costs imposed upon businesses and other

network users. If these issues are not addressed, then they could adversely impact on the performance of the local economy and the local environment, in terms of air quality, noise, severance etc.

Encouragement of sustainable travel will be achieved by seeking developer contributions from new housing growth to fund a variety of actions. The Council shall use S106 legal agreements to seek and secure mitigating measures arising from new growth, for example, in the form of Travel Plans, which are currently priced at £1,200 per dwelling, and shall funs a range of measures, but not limited to:

- Provision of a subsidised public transport ticket;
- A discount voucher for a pedal cycle;
- Cycle hire scheme;
- Regular Dr Bike visits to the site or convenient nearby location;
- Individual or family cycle training;
- Provision of an enhanced bus service [particularly for larger development];
- Membership of a car club [where available];
- Provision of a car-share group;
- Mechanisms to deliver real time public transport information;
- Personal journey planning;
- Improvements to infrastructure which, when provided, will improve pedestrian accessibility, in particular to services and facilities.

The Council's 2020 Infrastructure Delivery programme has set out a comprehensive approach to mitigate the severe adverse impacts on transport network performance of Rotherham Local Plan's planned growth, support for its economy, reducing the impact of transport on sensitive environments and improvement in the quality of life for its residents, businesses, and visitors.

In order to make development acceptable it is considered necessary and appropriate that developers should contribute towards those elements of the Council's transport and other related infrastructure projects/programmes made necessary by their development, in accordance with policies set out in the Council's Core Strategy [RMBC, 2014]and articulated for specific sites in its Sites and Policies document [RMBC, 2018].

**Directly related to the development**
It has been identified that traffic generated by development proposals has a direct impact on the area covered by the Council's transport and related infrastructure delivery programme. The methodology on which the contribution is calculated is directly related to the level of impact, therefore it is considered that the monies sought as a contribution towards the Council's infrastructure delivery programme are directly related to the development in terms of the site proposals being the generator of trips.

**Fairly and reasonable related in scale and kind to the development**
Based upon development sites likely to come forward, which are allocated within the Council's Sites & Policies Document [2018], the impact of new trips on the transport network has been assessed. This methodology forms the basis on which other future site contributions towards the infrastructure delivery programme and schemes will be calculated.

It is the Council's intention to apply this methodology for calculating the cost that the impact of all future developments will have on the infrastructure delivery programme of schemes within the authority's area unless:

a. The impact of the development is not directly related to the Council's Infrastructure Delivery programme; or
b. Is mitigated by site-specific measures; or
c. The developer can demonstrate that the contribution cannot be made on viability grounds. Contesting viability requires applicants to follow the procedures set out in the Council's recently adopted *Supplementary Planning Document on Contesting Viability* [RMBC, 2021].

It is therefore considered that this consistent approach now and, in the future, when seeking transport contributions from developers is fairly and reasonably related in scale and kind to specific development proposals.

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## Developer Contributions in relation to Community Access Plans and other management or operational plans

| Policy Signpost | NPPF, July2021 | RMBC Core Strategy, 2014 | RMBC Sites & Policies Document, 2018 |
|---|---|---|---|
| **Accessing & Protecting Community Facilities** | **Achieving Well-designed Places [Section 12, pp.38-40] Promoting Healthy & Safe Communities [Section 8, pp.27-28]** | **CS29** | **SP62 & SP64** |

**Preamble**
The purpose of a management or operational plan is to set out arrangements for:

- How, after a development is built and occupied, a provision made as part of a development will be managed, accessed, or used; and
- How arrangements agreed as part of a planning permission[51] will be upheld and continued.

Applicants are also advised to consult the Council's *Supplementary Planning Document 10: Community Facilities* [2021] as it sets out guidance on how the Council will implement policies seeking to secure new community facility provision as part of new developments and protect against the loss of community facilities. Importantly, it sets out the Council's approach and the information or evidence that an applicant is expected to provide.

**Objectives**
This is to ensure that the original purpose of a provision or arrangement made during the planning process of a development is preserved. Management plans covering different provisions and arrangements can be prepared and provided separately, or in one overarching management plan for ease of reference.

Management and operation plans are most commonly required and secured through planning obligations either in relation to:

- Community access and/or management of open space, community facilities, play space or other publicly accessible provisions made as part of a development; or
- Construction, delivery and/or servicing of a development.

Community access and management plans are required where a publicly accessible facility is included as part of a development. This will have to be:

- Formulated in consultation with local residents; and
- Submitted to and approved in writing by the Council, prior to the occupation of the development.

The **access and management plan** should set out the following arrangements [including details and justifications where necessary, such as on pricing/access]:

[51] Of course, the Council shall seek to use planning conditions, however, there are situations and circumstances when planning obligations are necessary and most appropriate.

- Arrangements for ongoing consultation with residents and other local stakeholders [should normally include at least one public meeting per annum following the occupation of the new development];
- Date by which the facility has to/is allowed to be completed, opened, or made available to the public [usually upon occupation of the development];
- Proposed arrangements for liaison between the facility, the development, residents and/or the Council;
- Times at which the facility will be open to the public if there is a gate or door which can prevent public access;
- Arrangements for times when the facility is closed;
- Other community access arrangements [e.g., location of entrances etc];
- Pricing policy [e.g., rents at which a community meeting room which can be hired is made available];
- How and by whom a facility will be managed [including making arrangements for cleaning, hiring etc.];
- Where [on what websites, publications etc. e.g., Council website] and how a facility will be advertised [e.g., length of advertisement period];
- How it is anticipated that a facility will be occupied (e.g., target local community groups) and what types of activities will be likely to take place [including implications for noise, transport etc.];
- How a facility will complement existing services or activity in the locality;
- How a facility will be staffed [on-site/off-site, by whom, at what times etc.];
- Arrangements for how any changes in the above arrangements will be managed; and
- Arrangements for the regular review of the plan at certain intervals [usually 6 months, 3 years, 5 years, and 7 years after inception].

There should be some flexibility provided within the plan to allow for changes to be made to it in response to the plan reviews and consultation arrangements mentioned above, to ensure that it continues to be delivered against agreed provisions.

Management plans relating to construction logistics, delivery or servicing may be required for developments where there may be an impact on roads, to demonstrate how any potential impacts will be mitigated. These plans should be secured in line with Council guidance and be co-ordinated with travel plans. Details discussed could include:

- Delivery hours;
- Delivery frequency;
- Service bay location;
- Service bay operation (including swept path analysis); and
- Type/size of servicing vehicles.

For major developments, delivery and servicing plans should contain details for refuse and recycling, indicating locations for collection vehicles to wait and locations of refuse and recycling bin stores. Applications for larger residential developments must demonstrate that delivery and servicing would not impact negatively on refuse collection arrangements.

Other types of management and operation plans not related to community access or management of a publicly accessible facility can cover:

- Restrictions on the use of land;
- Waste;

- Flood management; or
- Accessibility and inclusion.

**Other community obligations**
Beside the more common above-mentioned types of community obligations, other areas for which contributions or provisions may be required, depending on the nature of the individual proposal, could relate to community safety, health impact assessments or public art.

Planning obligations relating to **community safety** can be sought to implement measures which can help to minimise potential crime and the fear of crime. This could be achieved with the help of direct, physical measures, such as improved street lighting or streetscape works which design out crime. Alternatively, community safety could be improved with the help of more indirect measures to improve community cohesion and integration, such as planning decisions around landscape and streetscape. Improved community cohesion helps to reduce some crimes such as hate crimes, graffiti, and criminal damage.

The impacts on the health and wellbeing of communities of major development proposals must be assessed through a **Health Impact Assessment** [see SP55 + SPD page 7]. SP 55 states that this will be required for developments over 50 units, or 1,000m2 and developments where potential health issues are identified. The purpose of such an assessment is to promote health, reduce health inequalities and mitigate any identified impacts of the development on the wider determinants of health, which include their relationship with housing, employment, etc. and what can be done to improve these. These assessments can be required through planning obligations.

Rotherham Council may seek the provision of **public art** as a part of new development where this can be appropriately provided, in accordance with SP55 criterion d and paragraph 4.3.23, stating that opportunities for the integration of high-quality public art into the public realm should be considered when making planning decisions.

Art provided as part of a development should be:

- Accessible to the public;
- Integrated within public open space where this is being provided [using features such as decorative lighting, water features or paving];
- Discussed with the Council at an early stage, before subsequent submission to the Council for approval; and
- Where possible, involve artists, local residents and other groups at an early stage in the design process.

Provision of art on construction hoardings is also strongly encouraged. It provides visual interest, softens the impact of a development site on the local area, deters fly-posting and presents a further opportunity to engage with the community, young people and involve local artists.

**Contact**

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**END**

**Provision of Local Primary Health Care Services**

| Policy Signpost | NPPF/National Guidance | RMBC Core Strategy, 2014 | RMBC Sites & Policies Document, 2018 |
|---|---|---|---|
| **Local Primary Health Care Provision** | **Section 8; Paragraphs 92 -97 And 8b); 20c); 34** | **CS29[52] & CS32[53]** | **SP64 & SP55 SPD5 Equal & Healthy Communities SPD 10 Community Facilities** |

**Preamble and Local Context**

Drawing directly on the Rotherham's *2020 Infrastructure Delivery Study*[54], prepared by a consortium of consultants [HYAS, Richard Wood & FORE] and published March 2021, this report provides an excellent explanation of the current provision of local primary health care capacity in Rotherham Metropolitan Borough Council area. In particular it cites that

> "*[a]cross the area covered by Rotherham CCG, there are **29 general practices** sited **in over 50 premises** ranging from rural branch surgeries, to large single or multiple practices in fully maintained buildings. The practices provide primary healthcare services to around **265,000 registered patients**.*
>
> *More people are now living with long term conditions such as diabetes and heart disease or suffer with mental health issues and may **need to access their local health services more often**. To meet these needs, practices have begun working together and with community, mental health, social care, pharmacy, hospital and voluntary services in their local areas in primary care networks.*
>
> *Primary care networks build on the core of current primary care services and enable greater provision of proactive, personalised, coordinated and more integrated health and social care. Clinicians describe this as a change from reactively providing appointments, to care more proactively for the people and communities they serve. **Primary care networks are based on GP registered lists**, typically serving natural **communities of around 30,000 to 50,000**.*
>
> *The creation of these networks has resulted in many more additional roles in general practice, and a greater number of services being delivered in the community as opposed to hospital-based care. This is a very positive step for patients as it allows care to be delivered closer to home, and by clinicians they know and trust. Conversely, it has **compounded the existing issue of capacity within primary care**. The CCG Estates*

[52] See CS29 Paragraph 5.7.31
[53] See C32 Paragraph 5.8.1
[54] This study has drawn heavily on RCCG [2018; 2020] *Rotherham Primary Care Estates Strategy*, Rotherham Clinical Commissioning Group, November 2018, amended 2020]

*Strategy commissioned in 2018 indicated that* ***only 7 of the 29 practices technically have sufficient floor space to meet the needs of their patient list size****, however in* ***reality that floor space may not be practically usable****, and* ***only two practices are deemed to have adequate space within which to operate****. The primary care estate is a mix of NHS owned and leased property, privately owned and leased property, and privately owned property. As a commissioning organisation,* ***the CCG has indicated that it does not have the power or capital funds to expand or improve the primary care estate without outside funding support.***

***Any increase in patient population creates further pressure on existing services****.* ***As primary care funding is provided per capita at the point of patient registration, the CCG has identified that it will not be possible to plan to meet the increasing demand created by developments without external funding contributions to infrastructure costs.***

[See: *2020 Rotherham Infrastructure Delivery Study*, March 2021, pp.35-37, Section 3.4: Health; **emboldened text** my emphasis]

**Local Primary Health Care Services' Capacity: arising needs from New Housing Growth**

Where new development creates a need for new or improved infrastructure, contributions from developers shall be sought to make the development acceptable in planning terms[55]. New development should also make best use of infrastructure demand management. In some cases, the cumulative impact of individual applications may be considered when assessing infrastructure requirements, taking account of other planning obligations such as the provision of affordable housing as required by the planning authority's adopted local plan policies.

Developer contributions from a particular development shall be fairly and reasonably related in scale and kind to mitigate the cumulative impact from the relevant scheme; and, if necessary, address any immediate unacceptable short-term problems.

It is clear from Local Plan policy that health care is identified as a legitimate contribution from developers in accordance with the policy tests of seeking and securing planning obligations [i.e., S106 legal agreements].

**Local Plan Context**

**Policy CS 29 Community & Social Facilities**

"*The Council will support the retention, provision and enhancement of a range of community and social facilities in locations accessible by public transport, cycling or on foot which enhance the quality of life, improve health and well-being and serve the changing needs of all of Rotherham's communities; particularly in areas of housing growth or identified deficiency. The Council will seek to enable provision through a variety of local authority, private sector and local community partnerships, wherever appropriate, and support the co-location of community and social facilities wherever feasible.*" [Source: *Core Strategy*, Adopted September 2014, p.162.]

[55] This is in accordance with NPPF, 2021

There is a need for the provision of a wide range of community facilities[56], the demand for which will vary in response to the demographic and economic changes in society and the needs of different groups in the community. These facilities are a vital element in the creation of growing, sustainable and attractive communities.

Planned housing growth and resulting population growth shall need to be supported by adequate infrastructure provision, including community and social facilities. It is also recognised that some existing facilities are in need of upgrading and that some parts of the borough may already be deficient in provision.

Policy CS29 supports the retention and enhancement of existing facilities, as well as the provision of new facilities which enhance quality of life and serve the needs of Rotherham's communities. In particular the provision of community facilities is supported in areas of housing growth where existing facilities may not meet the needs of the new population, and in locations where there is an identified deficit of community and social facilities.

The Council recognises that it is only one of a number of agencies involved in the provision and operation of community facilities and services. In this regard, the Council shall promote co-operation and partnership between the public, private and voluntary sectors, and in particular support the co-location of community and social facilities wherever possible. This can help ensure the efficient use of land whilst also addressing one of the constraints of development viability.

**New Housing: Future Growth**

The planning authority's *Sites & Policies Local Plan* has allocated sites to accommodate future housing growth of over 10,700 new dwellings over the plan period. These are distributed across the borough in the following urban centres and other principal settlements as displayed in Table 1.

**Table 1: Location of planned new housing growth over the Local Plan period**

| Settlements | Number of sites | Indicative dwelling capacities |
|---|---|---|
| Rotherham Urban Area | 35 | 2,953 |
| Dinnington, Anston & Laughton Common | 8 | 1,026 |
| Wath-upon-Dearne, Brampton Brierlow & West Melton | 5 | 776 |
| Bramley, Wickersley & Ravenfield Common | 5 | 571 |
| Waverley New Community | 1 | 2,500[57] |
| Maltby & Hellaby | 6 | 757 |
| Aston, Aughton & Swallownest | 6 | 553 |
| Swinton & Kilnhurst | 5 | 451 |
| Wales & Kiveton Park | 3 | 382 |
| Cartcliffe, Treeton & Orgreave | 3 | 228 |

[56] These includes public services, community centres and public halls, arts and cultural facilities, policing, fire and ambulance services, health and education facilities, public houses, public toilets, youth centres, nurseries, libraries, leisure centres, social care facilities including day centres, places of worship and services provided by the community and voluntary sector [e.g., scout and guide premises are important to the local community and provide a focus for a range of social, cultural and other activities]..

[57] This is to be delivered in the plan period. The total planned is c. 3,900 dwellings.

| | | |
|---|---|---|
| Thorpe Hesley | 3 | 216 |
| Thurcroft | 3 | 244 |
| Harthill | 2 | 87 |
| Total | 85 | 10,744 |

Given the scale and spatial distribution of such planned new housing growth, the Council recognises that the needs arising from this new housing shall be sought and secured using developer contributions to deliver the provision of additional local primary health care services. This is in accordance with both national guidance and the policies in the Council's adopted statutory local plan [i.e., Core Strategy Policy CS29].

As a result of evidence cited in the Council's recently updated *Infrastructure Delivery Study*[58] [2021], the Council recognises that in some settlements local surgeries/medical centres are already operating above capacity, citing the following in particular:

- Dinnington & Anston;
- Bramley & Wickersley; and
- Maltby & Hellaby.

It also cited the need for **new** local health centres in the Waverley New Community and at Bassingthorpe Farm[59], the latter being a strategic housing allocation in the adopted local plan.

In the settlements cited above, **such existing deficiencies cannot be sought or secured through the use of S106 planning obligations**, and alternative funding mechanisms are required. In this regard the Council, with its partners, is already striving to secure funding for two capital projects [via HM Treasury] for a new doctors' practice in Waverley and to support the expansion of the Medical Centre in Broom Lane, which is located on the edge of Rotherham town centre.

However, it remains the case **that only the needs arising from any new housing growth can be sought and secured using a S106 planning obligation.** For example, in Dinnington & Anston, it estimated that a new health centre to accommodate doctors' surgeries is around £3.5miillion, of which the new housing growth of 1026 dwellings, housing about 2,436 persons, shall be required to make a contribution, but other income and funding sources shall have to be sought to cover the shortfall associated with existing deficiencies.

In summary, developer contributions in scale and kind can be supported without rendering development unviable. Potential contributions to primary health care shall be assessed in the same way as other policy requirements on a scheme-by-scheme basis applying a transparent and standardised methodology. The next section shall set this in detail and with illustrative examples.

[58] See in particular Section 3.4: Health, pp-35-37 and Section 4.1.4, p.53
[59] At Waverley, over 1500 dwellings have already been built. While at Bassingthorpe Farm, no new housing has yet started.

**Local Primary Health Care Provision: activities to be accommodated**

As the mix and range of services to be delivered from primary and community care buildings can change over time, it is important that the accommodation is flexible and adaptable. Strategies to promote flexibility and adaptability include:

- use generic patient/client contact spaces;
- limit the number of specialist spaces;
- standardise room sizes and position of built-in equipment;
- consider future engineering service requirements at the outset;
- consider flexible and adaptable forms of construction;
- develop a modular approach to planning and construction;
- provide space for future expansion, if relevant.

Most primary and community care services involve one or more of the following activities:

- counselling;
- consultation;
- examination;
- diagnosis;
- treatment; and
- physical therapy.

These activities can be delivered from the following generic patient/client contact spaces:

- interview room;
- consulting/examination room;
- treatment room (that is, with mechanical ventilation);
- examination/physical therapy room;
- group room.

The Council and its partners, particularly the Rotherham Clinical Commissioning Group {CCG], shall draw on the expert advice and guidance provided by the NHS, especially their Health Building Notes [HBN] and associated technical standards in determining the specification of new and expanded facilities.

The HBN 11-01 also prescribes the **sizes and spaces needed to provide complementary and support services** typically required in providing and delivering primary health in local surgeries and health centres. Such additional space requirements typically accommodate space for Staff, Support and Public and Facilities Management spaces. Chapter Seven of HBN 11-01 demonstrates a range of ways in terms of designs and layouts to accommodate all activities. It is recommended that applicants consult the guidance as well as liaising with both the CCG and the planning authority in terms of their preferences and requirements for local provision.

Standardise room sizes and position of built-in equipment: it is recommended that room sizes and dimensions should be standardised wherever possible. This may mean sizing-up to some extent, but this results in rooms that can be adapted [for alternative use] more easily. Ergonomic analysis suggests the following room sizes provide a good fit for most generic rooms in primary and community care buildings comprising a mix of floorspace areas of 8 $m^2$; 12 $m^2$; 16 $m^2$; and 32 $m^2$.

HBN 11-01 presents a variety of floor layouts and room configurations to illustrate options for the provision or new, expanded or refurbished primary health care centres.

**Standardised Methodology**

Specifically, Health Building Notes, HBN 11-01[60], sets out the methodology to determine the size and types of facilities and space required to deliver a standard provision of primary care [i.e., in a health centre or a doctors' surgery]. HBN 11-01, in chapter 4, explains in some detail the sizing of development required to deliver primary health care locally.

Operational Assumptions: To enable patient/client contact spaces to be quantified, assumptions about the following operational issues are required:

- number of weeks the building will be open per year;
- opening hours per week;
- average duration of each appointment by service and room type; and
- average room utilisation rate.

The room utilisation rate allows for non-attendees, unplanned activity and the complexity of scheduling a variety of staff. A utilisation rate of at least 60% is typically expected. Also, the impact on room requirements of using a higher utilisation rate should be investigated and is always recommended; thus, liaison with both the local CCG and the planning authority is advised.

The figures below illustrate how a notional catchment population of 10,000 persons generates a specific number of consulting and/or examination [in Table 2], and treatment rooms [in Table 3] applying the criteria tied to NHS operational standards.

| **Table 2: Calculating number of Consulting/Examination rooms required for general medical services:** | |
|---|---|
| **Catchment population:** | **10,000** |
| Access rate: | 5,260 per 1000 population |
| Anticipated annual contacts: | 10 × 5,260 = 52,600 |
| Assume 100% patients use C/E room:<br>Patients accessing a C/E room: | 52,600 |
| Patients per week: | 52,600/50 = 1052 |
| Appointment duration: | 15 minutes |
| Patient appointment time per week: | 1,052 × 15/60 = 263 hours per week |
| Assume building operational: | 60 hours per week |
| Assumes room utilisation: | 60% |
| Rooms available: | 36 hours per week |
| **Number of Consulting/Examination rooms required:** | **263/36 = 7.3, say 8** |

| **Table 3: Calculating number of Treatment rooms required for general medical services:** | |
|---|---|
| **Catchment population:** | **10,000** |
| Access rate: | 5,260 per 1000 population |
| Anticipated annual contacts: | 10 × 5,260 = 52,600 |

[60] **Primary and community care. Health Building Note 11-01:** *Facilities for primary and community care services*, HMSO, September 2009.

| | |
|---|---|
| Assume 20% patients use a treatment room:<br>Patients accessing a treatment room: | 52,600 × 0.2 = 10,520 |
| Assume open 50 weeks a year:<br>Patients per week: | 10,520/50 = 210 |
| Appointment duration: | 20 minutes |
| Patient appointment time per week: | 210 × 20/60 = 70 hours per week |
| Assume building operational: | 60 hours per week |
| Assumes room utilisation: | 60% |
| Rooms available: | 36 hours per week |
| **Number of Treatment rooms required:** | **70/36 = say 2** |

In additional to Consulting/Examination/Treatment room space, there also a requirement to provide of other space for interviews, examination/physical therapy; and group work, as well as for facilities management and public/welcoming/reception areas.

The impact of providing the above space is to **raise the overall space required by a factor of two** on the space specifically **targeted for Consulting, Examining and Treatment.** Applying standard size of rooms of 16m$^2$, means that the space requirements to serve a population of 10,000 persons is 320m$^2$ or 0.032m$^2$ per person or 0.076m$^2$ per dwelling.

The figures in Table 4 simply illustrates the space requirements generated by new housing developments [from 10 to 3,000 dwellings] and the new population living in such residential schemes, where figures from OPCS covering average household size in Rotherham of 2.3741 persons per household generates the additional number of persons arising from new housing growth for schemes ranging from 10 to 3,000 new dwellings.

Importantly, for the **larger schemes**, outside space to accommodate car parking for patient, staff and emergency vehicles **shall need to be added** to the above floorspace specifications.

| **Table 4: Provision of New and Expanded Local Primary Health Care** | | | | | | | |
|---|---|---|---|---|---|---|---|
| **Illustrative** | **Site Capacity: New Housing Growth** | | | | | | |
| **Number of New Dwellings** | **10** | **25** | **50** | **150** | **400** | **1000** | **3000** |
| **Average Household Size**[61] | 2.3741 | 2.3741 | 2.3741 | 2.3741 | 2.3741 | 2.3741 | 2.3741 |
| **Additional Persons** | **24** | **59** | **119** | **356** | **950** | **2374** | **7122** |
| **Consulting/Treatment/Examination Space [m$^2$]** | 0.38 | 0.95 | 1.90 | 5.70 | 15.19 | 37.99 | 113.96 |
| **Support & Circulatory Space [m$^2$]** | 0.38 | 0.95 | 1.90 | 5.70 | 15.19 | 37.99 | 113.96 |
| **Total Space [m$^2$]** | **0.76** | **1.90** | **3.80** | **11.40** | **30.39** | **75.97** | **227.91** |

The needs arising from providing additional local primary health care shall be tailored to the scale and location of new housing growth in Rotherham.

[61] Source: OPCS [2019] for Rotherham.

Drawing on case examples sourced from BCIS, and whose data is summarised in Annex A, shows that the **overall costs** of providing new facilities and the expansion in the provision of existing local primary health care centre comprise the following elements:

A. **Baseline build prices** relating to shell and core costs [i.e., median prices];
B. **Design fees** and **external costs** [15% of A].
C. **Fixtures, fittings and digital services** [30% of the sum of A + B].

Figures in Table 5 present the baseline build prices sourced from BCIS showing the median prices [£/$m^2$] nationally which are then rebased by applying Rotherham's local cost adjustment factor of 0.89[62].

| **Table 5: Health Centres, Clinics, Group Practice Surgeries** | | |
|---|---|---|
| | **National** | **Rotherham** |
| **Local Cost Adjustment Factor** | 1 | 0.89 |
| **BCIS, Build Prices*, 1st Quarter 2022**** | **Median Build Prices [£/$m^2$]** | **Median Build Prices [£/$m^2$]** |
| **Generally: New Build** | £2,318 | £2,063.02 |
| **Public: New Build** | £2,843 | £2,530.27 |
| **Private: New Build** | £1,983 | £1,764.87 |
| **Horizontal extension** | £2,005 | £1,784.45 |
| **Vertical extension** | £3,200 | £2,848 |
| **Fitting-out new building** | £490 | £436.10 |
| **Rehabilitation/Conversion** | £1,344 | £1,196.16 |

The figures in Table 6 present the overall costs [£/m2] when provision for design fees and fitting-out costs and digital services are taken into account for new surgeries as well as expanding or refurbishing existing facilities. **Annex A** presents a summary of the overall costs of delivering new local primary health care, which is sourced from the Analysis section of BCIS, covering the period 2010 to 2020, with data being rebased to 1st Quarter, 2022. It also reveals the typical size of new building accommodating local primary health care services.

Where relevant, land plot costs shall need to be added.

| **Table 6: Provision of Health Centres, Clinics, Group Practice Surgeries** | | | | |
|---|---|---|---|---|
| **Rotherham** | **A** | **B** | **C** | **A + B + C** |
| **BCIS, Build Prices, 1st Quarter 2022**** | **Median Build Prices* [£/$m^2$]** | **Design Fees [15% of A]** | **Fixtures, fittings & Digital Services [30% of A+B] *** ** | **Total [£/$m^2$]** |
| **Generally: New Build** | £2,063.02 | £309.45 | £711.74 | **£3,084.21** |

[62] This means that outturn costs for providing local primary health care space in Rotherham is 11% points lower than national levels.

| | | | | |
|---|---|---|---|---|
| **Public: New Build** | £2,530.27 | £379.54 | £872.94 | **£3,782.75** |
| **Private: New Build** | £1,764.87 | £264.73 | £608.88 | **£2,638.48** |
| **Horizontal extension** | £1,784.45 | £267.67 | £615.64 | **£2,667.75** |
| **Vertical extension** | £2,848.00 | £427.20 | £982.56 | **£4,257.76** |
| **Rehabilitation/Conversion** | £1,196.16 | £179.42 | £412.68 | **£1,788.26** |
| * These **include** preliminaries and the contractor's Overheads and Profit. Importantly, these **exclude** External Costs, Professional Fees, Doctors' IT systems and Land Costs | | | | |
| ** Updated on 29th March 2022 | | | | |
| *** See Annex A for this % uplift. | | | | |
| Source: Building Cost Information Services, RICS. | | | | |

As a matter of good practice, the Council's guidance and approaches towards securing developer contributions for local primary health care are regularly reviewed, taking into account updates to National Planning Policy Framework, National Planning Practice Guidance, and specific guidance provided by the National Health Service.

The planning authority shall rebase the above data with reference to BCIS Tender Price index on an annual basis.

Finally, combining the figures in Table 4 covering the additional space requirements with the overall costs [£/m2] in Table 6, which the kinds of schemes involved in providing and expanding local primary health care space. The sums regarding developer contributions are displayed in Table 7 below.

**Table 7: Overall Costs Arising from New Housing Growth: Local Primary Health Care Provision**

| | From Table 4 | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| **Rotherham [rebased]** | **Dwellings** | **10** | **25** | **50** | **100** | **400** | **1000** | **3000** |
| **Scheme Type [£/m2]** | **Additional Space [m2]** | **0.76** | **1.90** | **3.80** | **11.40** | **30.39** | **75.97** | **227.91** |
| **Generally: New Build** | **£3,084.21** | **£2,344** | **£5,860** | **£11,720** | **£35,160** | **£93,729** | **£234,307** | **£702,922** |
| **Public: New Build** | **£3,782.75** | **£2,875** | **£7,187** | **£14,374** | **£43,123** | **£114,958** | **£287,376** | **£862,127** |
| **Private: New Build** | **£2,638.48** | **£2,005** | **£5,013** | **£10,026** | **£30,079** | **£80,183** | **£200,445** | **£601,336** |
| **Horizontal extension** | **£2,667.75** | **£2,027** | **£5,069** | **£10,137** | **£30,412** | **£81,073** | **£202,669** | **£608,007** |
| **Vertical extension** | **£4,257.76** | **£3,236** | **£8,090** | **£16,179** | **£48,538** | **£129,393** | **£323,462** | **£970,386** |
| **Rehabilitation/Conversion** | **£1,788.26** | **£1,359** | **£3,398** | **£6,795** | **£20,386** | **£54,345** | **£135,854** | **£407,562** |
| | **From Table 6** | | | | | | | |
| Source: Building Cost Information Services, RICS. | | | | | | | | |

Applying the above metrics [as presented in Tables 2 to 6] the developer contributions triggered by new housing growth is illustrated in Table 7. It is clear that small-scale new housing schemes shall only be accruing relatively limited lines of revenue. Of course, the larger schemes shall accrue

substantial sums if it is confirmed that this scale of new housing growth cannot be accommodated by extant provision.

The above sums shall be sought and secured in accordance with current guidance and in partnership with the local CCG. The planning authority shall release funds to it in accordance with the terms of the S106 legal agreements entered into with applicants. Such funds shall be released to the local CCG for schemes and that the CCG shall provide an audit trail relating to its delivery and spending, normally on an annual basis until such funds have been exhausted in accordance with the legal agreement.

The local planning authority shall work with local partners, especially the local CCG, to develop a strategic framework so that such developer contributions shall be:

- Sought and secured by the local planning authority on behalf of the local CCG;
- Pooled and held by the local planning;
- Released to the CCG to support the expansion of provision in Rotherham's settlement
- groups [as identified in its adopted local plan];
- Targeted to existing facilities nearest to the location where new housing growth occurs.

**Additional Requisite Clauses in Planning Obligations**

In the delivery of new local primary health care facilities, the Council shall require developers to commit to a high-quality design and performance which will be achieved through the Council's planning and building control procedures, ensuring compliance with national standards which includes the NHS's building bulletins, output specification and other relevant national design standards and local guidance.[63]

As an integral part of the delivery process of new and expanded surgeries, the Council shall include a clause in any planning obligation with developers that requires all design disputes to be referred to an independent expert or design panel or appraised by the Council in accordance with national planning policy and accepted Good Practice. The Council shall always attempt to embrace a collaborative approach with respective parties to the obligation that embraces good practice and demonstrates transparency in its approach.

Additionally, the Council shall include a mechanism to intervene in situations where delivery of new surgeries falls through by including longstop clauses to ensure that the land for surgery practices is transferred early enough for it to intervene and provide the surgeries at the right time. In these situations, the planning obligation shall require financial contributions to be made in lieu of the "in kind" provision of the new surgery by the developer, making use of review mechanisms[64] where necessary to respond to changing circumstances.

**Regular Reviews and Updates**

As a matter of good practice, the Council's guidance and approaches towards securing developer contributions for local primary health care shall be regularly reviewed, taking into account updates to National Planning Policy Framework, National Planning Practice Guidance, and specific guidance provided by the National Health Service. Additionally, the planning authority shall rebase the above data with reference to BCIS Tender Price index on an annual basis.

[63] See Health Building Notes, NHS Guidance.

[64] These shall be explicitly set out as an obligation in the legal agreement

Ordinarily, parties to a S106 legal agreement can be released from their obligations after five years. However, with regards to the provision of local primary health care services, the local planning authority and its local partners may from time-to-time require that this period be extended. Therefore, the local planning authority shall require applicants to agree to a minimum of 10 years. which shall include a regular monitoring, reporting and review mechanism agreed with all signatories to the legal agreement.

See Annex A overleaf.

## Annex A: Costs of Building New Local Primary Health Care Facilities

| New Health Centres, Clinics, Group Practice Surgeries: 2010 to 2020 | | | | | | | |
|---|---|---|---|---|---|---|---|
| **Location** | **Date of Work** | **Build Costs Rebased **** | **Costs [£/m2]** | **Gross Floor space [m2]** | **Overall Contract Value [£]** | **Add-Ons* over Build Costs [as a %]** | **Overall Contract Value [£/m2]** |
| West Midlands | 14 February 2020 | £3,653,668 | £1,878 | 1946 | £4,789,734 | 31.09% | **£2,461.32** |
| Widnes, Cheshire | 21 August 2019 | £2,546,210 | £1,906 | 1336 | £3,378,516 | 32.69% | **£2,528.83** |
| West Midlands | 09 July 2019 | £3,452,682 | £1,952 | 1769 | £4,427,931 | 28.25% | **£2,503.07** |
| Preston, Lancashire | 14 August 2017 | £1,341,271 | £2,079 | 645 | £1,562,613 | 16.50% | **£2,422.66** |
| Wales | 31 March 2017 | £5,265,674 | £3,637 | 1448 | £7,119,170 | 35.20% | **£4,916.55** |
| Harlow Essex | 04 May 2016 | £5,500,938 | £2,379 | 2312 | £8,000,816 | 45.44% | **£3,460.56** |
| Halifax, Yorkshire | 01 Nov 2014 | £5,401,274 | £2,701 | 2000 | £7,005,294 | 29.70% | **£3,502.65** |
| Chipping Norton, Oxon | 17 June 2013 | £3,983,090 | £1,974 | 2018 | £4,742,547 | 19.07% | **£2,350.12** |
| Baildon, West Yorkshire | 07 June 2013 | £1,246,084 | £1,593 | 782 | £1,610,137 | 29.22% | **£2,059.00** |
| Okehampton, Devon | 31 October 2012 | £1,042,223 | £2,056 | 507 | £1,411,041 | 35.39% | **£2,783.12** |
| Edinburgh, Lothian | 22 October 2012 | £3,151,553 | £3,069 | 1027 | £4,152,294 | 31.75% | **£4,043.13** |
| Chard, Somerset | 01 July 2012 | £1,210,789 | £1,985 | 610 | £1,546,657 | 27.74% | **£2,535.50** |
| Mainslee, Shropshire | 12 March 2012 | £2,401,550 | £1,835 | 1309 | £3,156,345 | 31.43% | **£2,411.26** |
| West Glamorgan | 14 April 2011 | £2,581,492 | £2,683 | 962 | £3,040,141 | 17.77% | **£3,160.23** |
| Poole, Dorset | 23 March 2011 | £1,163,515 | £2,491 | 467 | £2,080,771 | 78.83% | **£4,455.61** |
| Newcastle Upon Tyne | 01 February 2011 | £2,147,854 | £1,652 | 1300 | £2,870,543 | 33.65% | **£2,208.11** |
| Dipton, Durham | 01 May 2010 | £747,030 | £2,134 | 350 | £1,037,262 | 38.85% | **£2,963.61** |
| Eastbourne, East Sussex | 26 April 2010 | £1,971,133 | £2,322 | 849 | £2,533,308 | 28.52% | **£2,983.87** |
| Mid Glamorgan | 05 March 2010 | £2,196,858 | £1,886 | 1165 | £3,165,355 | 44.09% | **£2,717.04** |
| Newcastle Upon Tyne | 16 March 2010 | £2,463,185 | £2,131 | 1156 | £3,370,318 | 36.83% | **£2,915.50** |
| Basingstoke, Hampshire | 16 March 2010 | £2,147,854 | £1,652 | 1300 | £2,819,177 | 31.26% | **£2,168.60** |
| | | | | | | | |
| | **MEDIAN** | **£2,401,550** | **£2,056** | **1165** | **£3,156,345** | **31.43%** | **£2,717.04** |
| | **MEAN** | **£2,637,158** | **£2,184** | **1201** | **£3,498,923** | **33.39%** | **£2,921.25** |
| | **STDEV** | **£1,443,484** | **£501** | **562** | **£1,949,139** | **12.72%** | **£764.44** |
| | **MIN** | **£747,030** | **£1,593** | **350** | **£1,037,262** | **16.50%** | **£2,059.00** |
| | **MAX** | **£5,500,938** | **£3,637** | **2312** | **£8,000,816** | **78.83%** | **£4,916.55** |
| **Source: BCIS, *Analysis: New Health Centres, Clinics, Group Practice Surgeries*, RICS, March 2022** | | | | | | | |
| *** These cover External Cost, Fit Out and IT, Fees and Contingencies** | | | | | | | |
| **** These include Preliminaries and the Contractor's Overheads and Profits; Rebased to 1Q 2022 Prices** | | | | | | | |

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**END**

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## Annex 1: Rotherham Metropolitan Borough Council: List of Planning Guidance prepared and adopted

**Supplementary Planning Documents & additional Planning Guidance**
Supplementary Planning Documents, good practice and other guidance documents are produced by the Council to provide further information and advice to the public, applicants and developers on the implementation of specific planning policies. These will be taken into account when determining planning applications.

**Planning Application Requirements**
The Council's current validation of planning applications policy provides a national and local list of requirements for plans and documents required in support of a planning application.

**Supplementary Planning Document No. 1 - Rotherham Town Centre (Adopted July 2016)**
This sets out a vision for transforming Rotherham town centre. It provides guidance for proposed development within and on the edge of the town centre. The document is in two parts: the Supplementary Planning Document and an accompanying map.

**Supplementary Planning Document No. 2 - Air Quality and Emissions (Adopted June 2020)**
This identifies when air quality assessments will be required, how these should be undertaken, and provides guidance on mitigation measures to offset potential effects of pollution upon health and the local environment.

**Supplementary Planning Document No. 3 - Development in The Green Belt (Adopted June 2020)**
This provides guidance relevant to proposals which involve development within the Green Belt.

**Supplementary Planning Document No. 4 - Householder Design Guide (Adopted June 2020)**
This sets out detailed advice and guidance on domestic household extensions.

**Supplementary Planning Document No.5 - Equal and Healthy Communities (Adopted June 2020)**
This provides guidance on how equality, health and wellbeing should be considered in the design of development. It also includes restrictions on the location of new hot food takeaways within 800 metres of schools and colleges. [Nb. Equal and Healthy Communities Checklist is available to download in both PDF and Microsoft Word format.]

**Supplementary Planning Document No. 6 - Shop Front Design Guide (Adopted June 2020)**
This provides guidance for retail and commercial units wishing to install or replace a shop front.

**Supplementary Planning Document No. 7 - Town Centre Uses and Developments (Adopted June 2020)**
This sets out guidance to assist applicants when submitting planning applications for main town centre uses which require sequential and/or impact test assessments. It also sets out how policies relating to development within Primary and Secondary Shopping Frontages will be implemented.

**Supplementary Planning Document No. 8 - Affordable Housing**
This sets out additional guidance to assist developers on the delivery of affordable housing. It clarifies the Council's approach and how it will seek to ensure appropriate provision of affordable housing in new developments. It also sets out how viability issues will be considered.

**Supplementary Planning Document No. 9 - Development Viability**
This guidance sets out overarching principles that the Council, as the local planning authority, shall apply in evaluating development viability as part of the planning application decision-making process.

It details the approach applicants shall follow if they contest viability, the evidence that must be presented, and the format in which this must be provided.

A Microsoft Excel spreadsheet is available to download to assist in providing information to the Council. The spreadsheet contains the formulae used in the Viability Review Mechanisms.

**Supplementary Planning Document No. 10 - Community Facilities**
This sets out guidance on how the Council will implement policies seeking to secure new community facility provision as part of new developments and protect against the loss of community facilities.

It sets out the Council's approach and the information or evidence that an applicant is expected to provide.

**Supplementary Planning Document No. 11 - Natural Environment**
This provides guidance to support developers in considering the natural environment, particularly wildlife habitats and species, and geology, within development proposals. It includes general principles, detailed advice regarding specific habitats and species, and ecological survey requirements.

**Supplementary Planning Document No. 12 - Transport Assessments, Travel Plans and Parking Standards**
This provides a guide for developers and applicants about the general principles applicable to parking and sustainable transport and how these are considered through the planning process. It sets out a methodology for preparing transport assessment, provides advice and guidance on the formulation of travel plans for all types of developments, and sets out parking standards for new developments.

**South Yorkshire Residential Design Guide**
This guidance is intended for use by residential developers and their design professionals, consultants and agents in formulating designs and making applications for planning permission for residential development.

**Flood Risk and Drainage**
All Councils must consider flood risk when making decisions on planning applications. This allows us to limit risks for new and existing developments. The Council's Flood Risk Toolkit provides guidance on managing flood risk within the borough. Guidance for developers is also available from the Environment Agency.

The South Yorkshire Interim Local Guidance for Sustainable Drainage Systems provides minimum recommended standards for the development of sustainable drainage systems.

**Contaminated Land**

The Council has adopted guidance from the local Pollution Advisory Council, which now forms part of the decision-making process for planning applications. The guidance requires a contamination assessment to be submitted for most developments on contaminated land.

**Landscape**

The Landscape Design Guide sets out design considerations which need to be addressed in the design and implementation of landscape schemes for small scale non-contentious development schemes.

**END**

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# BIODIVERSITY NET GAIN + 10%: SUPPLEMENTARY PLANNING DOCUMENT

Abstract

This Supplementary Planning Document sets out the agreed methodology that applicants shall follow to assess and calculate the Biodiversity Net Gain plus 10% arising from proposed new development in Rotherham Metropolitan Borough Council

Prepared by Professor Stephen Walker for Rotherham Metropolitan Borough Council

## CONTENTS

**Purpose of the BNG+10% Supplementary Planning Document: Preamble** 2
**Objectives** 3

**Planning Policy Framework** 4
- **National Policy Context** 4
- **National Planning Practice Guidance** 5

**Local Planning Policy Context** 5
- **Core Strategy Local Plan 2014** 5
- **Sites and Policies Document Local Plan 2018** 5
- **Neighbourhood Plans** 7

**General Principles** 7

**Identifying Relevant Assets** 9
- **Additional Information Available to Applicants** 10

**Establishing the Value of Assets using the Biodiversity Metric 3.0** 11
- **Biodiversity Net Gain Calculation** 11
- **Survey Work** 12

**Applying the Mitigation Hierarchy** 12

**Delivering Biodiversity Net Gain** 13
- **General Principles of Biodiversity Net Gain** 13
- **Habitat Banks** 15
- **How to carry out Biodiversity Net Gain calculation** 16
- **How to complete the Metric 3.0 calculation** 16
- **Implementation of Net Gain: Major Schemes and those affecting natural/semi-natural habitats** 17

**Long Term Management of Compensatory Habitats** 19
- **Incorporating of additional features for biodiversity enhancement** 20

**Implementation of Biodiversity Net Gain: Minor applications not affecting natural/semi-natural habitats** 20

**References** 22
**Glossary** 23
**Appendix A Biodiversity Checklist [Full Application]**
**Appendix B: Guideline Survey Timetable**
**Appendix C: Guidance on Commuted Sums**
**Appendix D: BS 8683:2021**
**Appendix E: An extract from Department for Environment, Food and Rural Affairs *Consultation on Biodiversity Net Gain Regulations and Implementation,* January 2022 [Annex B, pp99 -107]**
**Appendix F: An extract from Department for Environment, Food and Rural Affairs *Consultation on Biodiversity Net Gain Regulations and Implementation,* January 2022 [Annex C, pp-108-109]**

# Biodiversity Net Gain + 10% Supplementary Planning Document

## Purpose of the Biodiversity Net Gain Supplementary Planning Document: Preamble

Supplementary Planning Documents ("SPDs") add further detail to policies contained within the development plan and are used to provide guidance on specific sites or particular issues. SPDs do not form part of the adopted development plan but they are a material planning consideration in decision-taking.

This SPD provides guidance on achieving Biodiversity Net-Gain (BNG) from new development. BNG is achieved when a development site creates an increase in biodiversity, compared to what was on the site prior to development.

This draft SPD on Biodiversity Net Gain sets out how this can be achieved in Rotherham and builds upon existing local plan policies found in Rotherham's *Core Strategy* [adopted 2014] and *Sites and Policies Document* [adopted 2018]. The Council adopted a Natural Environment SPD in June 2021; and is pursuing preparation of further supplementary planning documents: Soil Resources Strategy, Trees and Over-Arching Developer Contributions SPDs. These documents and policies should be referred to in preparing BNG+10% proposals to meet national policy requirements.

In preparing development proposals to meet Biodiversity Net Gain +10%, applicants should also have regard to the Council's Biodiversity Action Plan, and any other studies, such as Nature Recovery strategies, natural capital mapping, and including the priorities as set out in the inset maps of the Core Strategy and Sites and Policies Local Plan.

The Biodiversity Action Plan is available here:
https://www.rotherham.gov.uk/downloads/download/79/evidence-base-downloads

The core purpose of this SPD is to provide information about the provision of and/or contributions towards the delivery of biodiversity net gain in new development and sets out the circumstances where such provision, including financial contributions, shall be sought through planning obligations [i.e., S106 legal agreements].

Specifically, this SPD is designed to assist prospective developers and applicants by providing guidance on how proposals can demonstrate they have met the requirements of planning policy related to biodiversity net gain in Rotherham. By providing this information upfront Rotherham Local Planning Authority aims to minimise uncertainty in the development process and ensure decision-making and, where necessary, negotiating obligations are based on a clear and consistent approach.

The chapter of the SPD seeks to:

- Explain Biodiversity Net Gain;
- Identify national and local planning policies relevant to the delivery of Biodiversity Net Gain; and
- Sets out the process through which applicants can demonstrate they have met the requirements of the adopted Local Plan[s].

All sections of this SPD have been prepared in accordance with the Planning Act 2004 and the associated Town and Country Planning (Local Planning) (England) Regulations 2012 (as amended).

**Objectives**

Biodiversity Net Gain [BNG] is an approach to new development that leaves biodiversity in a better state locally than prior to development.

The NPPF [2019a] raises the prospect of mitigation measures that go beyond the extant nexus position of simple mitigation [i.e., on-site or off-site but nearby] and to embrace measures that seek to secure additional benefits as part of a wider climate emergency objective of reducing overall carbon emissions. Natural England and its partner organisations [e.g., DEFRA] have put in place mapping facilities and capacity which will enable local planning authorities and its partner organisation to develop and implement a consistent methodology to inform the level and extent of requirements new development shall be required to provide in delivering bio-diversity net gains directly in proportion to the scale of new development occurring [with an additional 10%].

The recently updated **BNG Metric 3.0** for both large and small sites [Natural England, July 2021] seeks to ensure that all habitats, from street trees to woodlands, green roofs to grasslands are recorded, scored and valued for their importance for wildlife. At the same time, it provides an evidence-based, transparent, consistent and easy-to-use way of ensuring that nature is considered as an integral aspect in the design of developments and in land management practice, leaving nature in a better place than it was before, benefitting wildlife, people and places.

As stated earlier, the expectation is that such net gains are delivered as a matter of course, on-site, but there may be circumstances where it might be more convenient to deliver these off-site, especially where pooling of contributions are required because of scale economies. It is likely, that cross-boundaries working, liaising and co-ordination shall occur; in these situations, a strategic plan and management setting priorities and impact analysis shall guide activity and provide accountability with regard to developer contributions, spending and impact for donors and partner organisations on an annual basis.

Rotherham Metropolitan Borough Council seeks to achieve a minimum of 10% biodiversity net gain as a requirement of planning permission for “major/large” new build development, demonstrated using the Biodiversity Metric 3.0. This accords with the Government's intention to introduce a 10% biodiversity net gain as a mandatory requirement in England through the Environment Act [2021].

**Importantly, “minor/small-scale development**” is **not exempt** from providing biodiversity net gains. So, **Metric 3.0 for Small Sites** shall be required to be used by applicants. In this regard, 'Minor development' consists of:

- **Residential development** of nine dwelling units or fewer, or on a site having an area of less than 1 hectare; and
- **Commercial development** of less than 1,000 $m^2$ of floor space or on a site of less than 1 hectare.

In proportion to the scale of the development, small-scale development can however deliver features that will be valuable to wildlife and enhance local biodiversity. The following is not an exhaustive list but is intended to provide applicants with suggestions as to the types of features that could be incorporated into applications. Of course, the most suitable and locally appropriate enhancement measures will vary depending on the location and type of new development. Importantly, for

enhancements incorporated into a building these should be shown on the appropriate drawings [e.g., elevation drawings] and will form part of the approved application.

Suggested Habitats:

- Incorporate native species planting or planting with demonstrable wildlife value;
- Create a pond (Link to Frog-life Guidance here);
- Retain and create deadwood habitats such as log piles;
- Plant trees including fruit trees such as cherry, apple and pear and those with early spring blossom such as hawthorn and blackthorn;
- Plant species given in the Royal Horticultural Societies (RHS) "Perfect for Pollinators" list with preference being given to native species;
- Create biodiverse roofs on new buildings where structurally viable or incorporate green walls with climbing plants such as honeysuckle;
- Incorporate native species rich hedgerows in preference to close board fencing where appropriate, species could include; blackthorn, beech, hawthorn, hornbeam, dog rose, field maple, holly, hazel and wild privet; and
- Create areas of native wildflower 'meadow' planting or incorporate wildflowers which grow well in lawns such as lady's bedstraw, rough hawkbit, oxeye daisy, bird's-foot-trefoil, cowslip, selfheal, meadow buttercup and red clover.
- Bird/bat boxes etc

## Planning Policy Framework

The Council's approach to securing Biodiversity Net Gain is based on existing planning policy set out in the National Planning Policy Framework and policies held in the adopted Local Plan. The guidance in this SPD sets out how applicants can demonstrate compliance with existing policy requirements.

### National Policy Context

The Government's National Planning Policy Framework (NPPF) July 2021 has at its heart the core principle of sustainable development and sets out a number of requirements related to the securing of biodiversity net gain through the planning system. The key sections of the NPPF that area relevant to biodiversity are:

a) Section 8: Promoting Healthy and Safe Communities;
b) Section 15: Conserving and Enhancing the Natural Environment.

These sections contain important policy requirements; the following paragraphs are notable:

a) Paragraph 8c sets out that sustainable development has an environmental objective – to contribute to protecting and enhancing our natural, built and historic environment; including making effective use of land, helping to improve biodiversity, using natural resources prudently, minimising waste and pollution, and mitigating and adapting to climate change, including moving to a low carbon economy.
b) Paragraph 137 provides advice on how Green Belts may be used to enhance landscapes, visual amenity, and biodiversity; or to improve damaged and derelict land.
c) Paragraph 174 states that through planning policy and planning decisions, the natural environment should be enhanced by 'minimising impacts on and providing net gains for biodiversity' (criterion d).

d) Paragraph 175 advises that development plans should 'plan for the enhancement of natural capital'.
e) Paragraph 179 provides specific advice on habitats and biodiversity. In particular criterion b states that development plans should 'identify and pursue opportunities for securing measurable net gains for biodiversity'.
f) Paragraph180 establishes the principles that Local Authorities should use to determine planning applications where biodiversity and geodiversity are material considerations. This policy establishes the mitigation hierarchy and, at criterion d, encourages securing measurable net gains for biodiversity in development proposals.

**National Planning Practice Guidance**

The Government's National Planning Policy Guidance also provides guidance on the natural environment. On Biodiversity, geodiversity and ecosystems the PPG provides advice on how development should not only protect but also enhance biodiversity (paragraph 009 Reference ID: 8-009-20190721) and how biodiversity and geodiversity should be considered. The guidance also sets out the mitigation hierarchy and provides advice on how to achieve Biodiversity Net Gain (paragraph: 022Reference ID: 8-022- 20190721)

**Local Plan Policy Context**

Rotherham's strategic local spatial planning framework comprises: ***Core Strategy [2013-2028]***, Adopted September 2014 and ***Sites and Policies Document***, Adopted June 2018.

**Core Strategy Local Plan 2014**

The first part of the Local Plan, The Core Strategy sets out a number of key strategic policies that align to the NPPF and seek to ensure that impact of development on the natural environment is taken into account through the planning application process:

a) Policy CS19 Green Infrastructure identifies strategic Green Infrastructure assets and seeks their retention. protection and enhancement [see also see pp.114-121 of the Core Strategy, Adopted 2014].
b) Policy CS20 Biodiversity and Geodiversity requires all development to positively contribute to the conservation and enhancement of biodiversity and establishes a requirement to protect biodiversity and geodiversity assets and seeks their enhancement through supporting and improving ecological networks [see also see pp.121-128 of the Core Strategy, Adopted 2014].
c) Policy CS21 Landscape, recognises the importance of habitats that may have a landscape importance and seeks to protect or conserve the ecological qualities of an area [see also see pp.128-131 of the Core Strategy, Adopted 2014].
d) Policy CS22 Green Space recognises the importance played by providing and enhancing the availability of a variety of green space relating to new development, both on-site and off-site, for active and passive recreational and sporting enjoyment of residents and visitors to Rotherham [see also see pp.131-135 of the Core Strategy, Adopted 2014].
e) Policy CS23 Valuing the Historic Environment seeks to ensure that only development proposals are supported which conserve and enhance the heritage significance and setting of the borough's heritage assets, especially listed buildings, conservation areas, historic parks and gardens and archaeological remains [see also see pp.135-139 of the Core Strategy, Adopted 2014].
f) Policy CS24 Conserving and Enhancing the Water Environment seeks to ensure that development proposals are supported that conserve and enhance Rotherham's watercourses,

particularly making contributions to achieving 'good status' under the Water Framework Directive, and the natural geomorphology of watercourses and the ecological value of the water environment [see also see pp.139-141 of the Core Strategy, Adopted 2014].

g) Policy CS27 Community Health and Safety seeks, amongst other things, to promote safe, active and healthy lifestyles through delivery of several measures including open and recreational space, green infrastructure and local food growing space [see also see pp.156-159 of the Core Strategy, Adopted 2014].

**Sites and Policies Document Local Plan 2018**

Part two of the Local Plan, the Sites and Policies Document sets out further detail on a range of focused policies and the related site development guidelines regarding new development and how and by what means ecological networks and green [and blue] infrastructure assets are retained, protected and enhanced. Specifically, these set out the extent and value of these assets and their networks in the borough in the following policies:

a) Policy SP31 Canals [see also p.82 of the Sites & Policies Document, Adopted 2018].
b) Policy SP32 Green Infrastructure and Landscape [see also pp.83-92 of the Sites & Policies Document, Adopted 2018].
c) Policy SP33 Conserving and Enhancing the Natural Environment [see also p.93-96 of the Sites & Policies Document, Adopted 2018].
d) Policy SP34 Sites Protected for Nature Conservation [see also p.97 of the Sites & Policies Document, Adopted 2018].
e) Policy SP35 Protected and Priority Spaces [see also p.98 of the Sites & Policies Document, Adopted 2018].
f) Policy SP36 Soil Resources [see also p.99 of the Sites & Policies Document, Adopted 2018].
g) Policy SP37 New and Improvements to Existing Green Spaces [see also pp.101-104 of the Sites & Policies Document, Adopted 2018].
h) Policy SP38 Protecting Green Space [see also pp.105-108 of the Sites & Policies Document, Adopted 2018].
i) Policy SP39 Design and Location of Green Space, Sport and Recreation [see also pp.109-110 of the Sites & Policies Document, Adopted 2018].
j) Policy SP40 Listed Buildings [see also p.111 of the Sites & Policies Document, Adopted 2018].
k) Policy SP41 Conservation Areas [see also pp,113-115 of the Sites & Policies Document, Adopted 2018].
l) Policy SP42 Archaeology and Scheduled Monuments [see also p.116 of the Sites & Policies Document, Adopted 2018].
m) Policy SP43 Conserving and Recording the Historic Environment [see also pp.117-119 of the Sites & Policies Document, Adopted 2018].
n) Policy SP44 Historic Parks, Gardens and Landscape [see also p.120 of the Sites & Policies Document, Adopted 2018].
o) Policy SP45 Locally Listed Buildings [see also pp.121-122 of the Sites & Policies Document, Adopted 2018].
p) Policy SP46 War Memorials [see also p.123 of the Sites & Policies Document, Adopted 2018].

The overall role and purpose of the above SP policies reinforces the extent and value of the ecological and green/blue infrastructure networks and assets in the borough. Applicants shall be, *inter alia*,

required to deliver Biodiversity Net Gain through the implementation of the SP policies that are set out above in summary form and in detail in the Council's Local Plan[s].

Though planning conditions are the preferred route through which the LPA shall seek and secure BNG, S106 legal agreements shall augment and be used in appropriate cases, for example, in order that off-site requirements and measures, including land transfers and commuted sums are secured satisfactorily to not only deliver the BNG but ensure that these are maintained in the long term for the benefit of residents and visitors to Rotherham.

**Neighbourhood Plans**

There is only one adopted Neighbourhood Plan in Rotherham [though there are 3 others at various stages of preparation]. Such plans include locally specific requirements in regard to the natural environment and biodiversity, including detailed habitat maps that identify biodiversity assets and wildlife corridors. Applicants shall need to consult and, where relevant, work within the Development Plan Framework establishing an acceptable approach to achieving BNG.

Relevant neighbourhood plan policies shall be mapped and as these become available, they can be viewed on the Council's GIS network. Presently, all neighbourhood plans can be accessed here https://www.rotherham.gov.uk/planning-development/neighbourhood-planning/1 Neighbourhood Planning – Rotherham Metropolitan Borough Council

## General Principles

The council has a statutory duty as the local Planning Authority to consider the conservation of biodiversity when making decisions on planning applications and the safeguarding of species protected by law:

- the Conservation of Habitats and Species Regulations 2017
- the Wildlife and Countryside Act 1981
- the Protection of Badgers Act 1992
- priority species for biodiversity set out under the Natural Environment and Rural Communities Act 2006

Whilst the guidance in this SPD focuses on how applicants can demonstrate they have achieved Biodiversity Net Gain on larger development sites, all development in Rotherham should positively contribute to the conservation and enhancement of biodiversity and geodiversity. Accordingly, this SPD also provides guidance on how smaller-scale developments can make a big difference to improving biodiversity in Rotherham, and the measures that applicants shall take to demonstrate compliance with the local plan in this regard.

If in preparing a Preliminary Ecological Assessment Report (PEAR), it concludes that the development project will have negligible ecological impacts, no mitigation is required and no further surveys are necessary. The PEAR shall be submitted with all applicable planning applications for consideration by the LPA in Rotherham.

The PEAR must:

- include a data search from Rotherham Biological Records
- meet the guidelines for carrying out a Preliminary Ecological Appraisal

Subsequently applications involving at least one new dwelling shall require an Ecological Impact Assessment (EcIA) that demonstrates the Baseline and Post Development Biodiversity Unit scores and delivery of Net Gain. The EcIA shall:

- meet the guidelines for carrying out an Ecological Impact Assessment
- include the Defra Biodiversity Metric calculations; and
- demonstrate a Net Gain

With specific regard to BNG, a **Checklist Form** has been designed which shall be completed by all applicants [see appendix A] involving new build development. Along with other relevant documents, a completed checklist form shall be an integral aspect in preparing and making a planning application to the Local Planning Authority in Rotherham. Appendix A provides further details, advice and contact points while Appendix B provides detailed Guidelines for Survey Timetable.

**Additionally**, Rotherham shall develop its planning application documents in relation to BNG based on the templates contained in Appendices E and F. Presently, these are working documents sourced from DEFRA consultation [which was being conducted in the 1st Quarter of 2022].

The basic principle that underpins the delivery of Biodiversity Net Gain is to ensure that development secures more and better-quality biodiversity than would exist without development taking place. To achieve this, applicants are expected to demonstrate how their proposals meet the policy requirements of the local plan, submitting information that sets out how biodiversity will be improved [see a Summary of the Guiding Principles in Table 1 [below]

To achieve this, applicants should:

a) Use the Biodiversity Metric 3.0 to assess the biodiversity value of the site, then:
b) Determine the impact of development options on the biodiversity value of the site; and
c) Establish a design solution that delivers the greatest Biodiversity Net Gain [BNG].

To deliver the greatest BNG, applicants shall carry out the following steps:

a) Identify relevant assets;
b) Establish the value and extent of those assets using the Biodiversity Metric 3.0;
c) Apply the Mitigation Hierarchy to assess the impact of development on the asset[s];
d) Identify design solutions that avoid, mitigate or compensate for the impact, and enhance the Ecological Network and their assets.;
e) Submit detailed solutions that deliver Biodiversity Net Gain.

| **Table 1: Guiding Principles - A Summary** | |
|---|---|
| Have the right support – Accessing ecological expertise | Assessing the likely ecological impacts of a development is often complex so employing a suitably qualified ecological consultant is usually cost effective and valuable. Appropriately qualified ecological consultants can be found by looking on the Chartered Institute Ecological and Environmental Management (CIEEM) website [http://www.cieem.net/members-directory] or by calling CIEEM on 01962 868626.<br><br>Pre-application discussion with the Local Planning Authority will ensure all issues are considered before an application is submitted and help prevent delays. Natural England also offers a Discretionary Advice Service for prospective developers |

| | |
|---|---|
| Ensure adequate and robust baseline information is gathered | Adequate survey information must be gathered before preparing detailed site layouts or Master-plans and submitting a planning application. This information should then be used to inform the design of the development from the earliest stage. You should allow time and budget for the initial survey and any further protected species or habitats surveys. Ecological surveys are seasonally constrained and can only be undertaken at certain times of year, this should be factored into the development programme [See Appendix B for further guidance].<br><br>It is important that planning decisions are based on up-to-date ecological reports and survey data. Therefore, reference should be made to CIEEM's ***Advice Note on the lifespan of ecological reports and surveys*** [most up-to-date version]. Part of your pre-application discussion shall include confirmation of the surveys needed to support your application.<br><br>CIEEM have produced templates to accompany ecological impact assessment reports (and post completion audit report)<br>CIEEM-BNG-Report-and-Audit-templates2.pdf<br>https://cieem.net/wp-content/uploads/2021/07/CIEEM-BNG-Report-and-Audit-templates2.pdf |
| Apply and demonstrate use of the mitigation hierarchy | Do everything possible to first avoid and then minimise impacts on biodiversity. It will be necessary to demonstrate that the mitigation hierarchy has been followed. Only as a last resort, will compensation for losses that cannot be avoided be considered. If compensating for losses within the development footprint is not possible or does not generate the most benefits for nature conservation, then offset biodiversity losses by gains elsewhere. Remember, biodiversity net gain is additional to any requirement for mitigation/compensation measures which may be necessary – for example to mitigate impacts on internationally important nature conservation sites. |
| Avoid losing biodiversity that cannot be offset elsewhere | Irreplaceable habitat is a habitat that, once lost, cannot be recreated elsewhere within a reasonable timeframe. Ancient woodland is an example of an irreplaceable habitat. Where irreplaceable habitat is at risk of loss or deterioration after applying the mitigation hierarchy, any losses of this habitat cannot be offset to achieve biodiversity net gain. Thus, planning permission cannot be granted in such circumstances. |

The guidance below provides essential advice on how applicants can follow the process outlined above and demonstrate compliance with polices in Rotherham's Local Plan[s].

### Identifying Relevant Assets

Rotherham's adopted Core Strategy and its Sites and Policies Document provides the statutory framework within which new development is to be guided and permitted. In accordance with the National Planning Policy Framework, Rotherham has prepared a number of relevant Policies Maps showing a variety of land use designations and the location of allocated development sites for housing, employment and other uses. In particular, these maps must be consulted by all applicants as these reveal a number of land use designations and areas, including Green Belt, Green Space, residential, industrial and business use, special policy areas, retail centres, mixed use areas, community services and facilities, and sites for travelling show people and known environmental designations including:

- Sites of Special Scientific Interest and their associated Risk Zones.
- Local Nature Reserves.
- Local Wildlife Sites, Regionally Important Geological Sites.
- Sites of Historic Heritage Importance, including:
    - Scheduled Ancient Monuments;

    - Conservation Areas; and
    - Registered Parks and Gardens.
- Natural Capital Mapping.
- Emerging Nature Recovery Strategies.
- Priorities set out in policies of the Local Plan.

Such maps shall assist in ascertaining the extent of known ecological assets and green and blue infrastructure which incorporates existing protected sites and priority habitats, and the extent they identify areas to restore and buffer these assets and networks. Such assets and networks will assist in the provision of nature conservation and ecosystem services that are essential for sustainable development, including water management, carbon capture and access to nature with associated recreational and health benefits.

Statutorily Protected Sites and Non-Statutorily Protected Sites are shown as two layers on the Policies Map; a number of statutory and non-statutory interests are amalgamated to aid clarity in reading the hard copy Policies Map, whilst alerting developers to the presence of environmental designations.

- **Statutorily Protected Sites** are shown on the Policies Map to alert developers to areas which have identified interest of at least national value and are protected by statute; these include: Sites of Special Scientific Interest [SSSI] and Scheduled Ancient Monuments [SAM].

- **Non-Statutorily Protected Sites** are shown on the Policies Map to alert developers to areas which have identified interest of at least local value and include: Local Wildlife Sites [LWS]; Regionally Important Geological Sites [RIGS]; Local Nature Reserves; Ancient Woodlands; Register of Historic Parks and Gardens of Special Historic Interest.

Maps of the Non-Statutorily Protected Sites and the Statutorily Protected Sites are available on the Rotherham Local Plan Policies Map.
https://maps.rotherham.gov.uk/mapping/Map.aspx?MapName=LocalPlan

Updates to the mapping series of Local Wildlife Sites can be found here:
https://www.rotherham.gov.uk/planning-development/heritage-natural-environment/2

**Additional Information Available to Applicants**
The LPA maintains and makes available an electronic version of the Policies Map. This will enable the individual spatial constraints and opportunities to be viewed independently or collectively. The electronic Policies Map can be accessed and viewed through our Local Plan web page. Alternatively, enquiries should be directed to the Council's Planning Policy Team who will advise on the availability of data and where this may be obtained.

When demonstrating compliance with the relevant policies of the development plan, applicants shall consider the location of their site against the plan's designation and include measures that would best enhance biodiversity within and close to their site. The policies' maps identify and categorise the location of ecological assets and green and blue infrastructure across the borough. The following Policies' Maps should be consulted and carefully studied:

- Core Strategy Policies Map 9: Rotherham's Strategic and Local Green Infrastructure Corridors [pp.116-117] – CS19.
- Core Strategy Policies Map 10: South Yorkshire Green Infrastructure Strategy [p.122] – CS19.
- Core Strategy Policies Map 11: Yorkshire & Humberside Regional Biodiversity Opportunities (August 2009) [p.129] – CS20.
- Sites and Policies Document Policies Map 4: Landscape Character Area Sensitivity [p.90] and accompanying Table 13: Rotherham's Landscape Character Areas [p.91]; and Landscape Sensitivity Matrix [p.94].
- Emerging Nature Recovery Strategies.
- Opportunities arising from Natural Capital Mapping.
- Opportunities identified within the Rotherham Biodiversity Action Plan.
- Sites located in an area of deficiency as set out in Natural England's "Nature Nearby" Accessible Natural Greenspace Standards or is within or immediately adjacent (and physically connected) to any defined Habitat Network (including any Habitat Network Extensions mapped in Neighbourhood Plans).

Applicants should submit an Ecological Assessment that identifies the relevant assets on-site and include a separate Biodiversity Net Gain Report which uses the Biodiversity Metric 3.0 to demonstrate how they have increased the size of the core area, increased the quality and quantity of priority habitat and/or created new priority habitat that can act as stepping stones or corridors.

Where contributions are required to deliver off-site projects the above networks of green and blue infrastructure will be used to prioritise projects that are deliverable and can secure the greatest benefit for biodiversity for Rotherham and its immediate neighbours.

### Establishing the Value of Assets Using the Biodiversity Metric 3.0

To determine whether a proposal is compliant with policy requirements applicants will be expected to submit detailed worked-up proposals that clearly set out how Biodiversity Net Gain will be achieved.

For all major developments, including transport schemes and all other developments affecting natural or semi-natural habitats, a net gain in biodiversity must be demonstrated using a Biodiversity net gain calculation undertaken using the **most up-to-date** Biodiversity Metric, (currently **Metric 3.0**.)

Appointing an approved [ecological] consultant at an early stage of the project is advised to ensure the best possible outcomes for achieving Biodiversity Net Gain on site, using an iterative approach through the design process. If different layout options are considered each should have a corresponding biodiversity calculation completed.

All supporting evidence including calculations, justifications, distinctiveness, and condition assessments must be submitted as part of a Biodiversity Net Gain report.

**Biodiversity Net Gain Calculations**

Biodiversity Net Gain Calculations are to be undertaken in accordance with the most up-to-date Natural England/DEFRA Metric Version 3.0 (July 2021) and subsequent revisions.

The calculation must consider both the direct impacts of a proposed development, both permanent and temporary, also the indirect effects of development, such as lighting on a woodland edge, or pollution resulting from the operation of a scheme.

The net gain calculation and achieving biodiversity net gain must be undertaken in accordance with the following documents and their subsequent [updated] publications:

a) *The Biodiversity Metric 3.0 auditing and accounting for biodiversity*, Natural England User guide 2021;
b) *Biodiversity net gain, Good Practice Principles for Development – A practical* guide [2019]) CIEEM, IEMA, CIRIA.

Applicants are advised to seek assistance from RMBC Planning Policy Officer and/or Ecologist, the Environment Bank or an ecological consultant when completing the calculation.

**Survey Work**
To inform the net gain calculations vegetation surveys must be undertaken at the appropriate time of year [see also the **Guideline Survey Timetable in Appendix B**]. The following survey information and assessment is required to complete the calculation:

a) Area of each habitat and length of each linear feature present within the red line of the application;
b) Habitat type in UK Habitats Classification, or translated into UK Habitats Classification from another survey type, including indicator species [with reference to the guidance provided in South Yorkshire & Humberside regional biodiversity opportunities and criteria];
c) Habitat condition;
d) Root Protection Areas of any trees on site that do not form part of another habitat on-site;
e) Impact from development based upon current planning layout, both directly on-site, and indirectly off-site; and
f) On-site biodiversity mitigation and compensation measures.

The survey and calculation shall include the whole of the development boundary [red line] and adjacent land where direct or indirect impacts upon adjacent habitats are anticipated.

The evaluation of habitats recorded on-site shall be undertaken with reference to the relevant Rotherham and South Yorkshire Local Wildlife Site selection criteria. Habitats that meet the selection criteria thresholds shall normally be of “High or Very High distinctiveness”.

Habitat Condition should be assessed in accordance with the guidance provided with Metric 3.0 or subsequent guidelines. When assessing any habitats not covered by this guidance, developers and their advisors will be expected to apply evidence-based professional judgement.

Importantly, it is stressed that low distinctiveness habitats created as part of development proposals shall only ever be expected to achieve “Poor Condition”.

If a development site has been cleared with the resulting loss of habitats in advance of a biodiversity metric calculation being undertaken the baseline for the metric is to be taken as the habitats present

prior to site clearance. The biodiversity value of the habitats lost is to be estimated based upon a desk-based assessment and professional judgement. In this regard, the precautionary principle shall be applied where the distinctiveness or condition of the habitats lost is uncertain. It is important to note that the Council is mindful of and shall apply all legislation affecting protected species and habitats.

**Applying the Mitigation Hierarchy**

The approach to achieving net gain shall start by assessing and understanding the type and value of biodiversity being affected by the proposed development. This is dependent on the location of the site within the overall network of ecological and green and blue infrastructure assets; and the type, area and quality of such assets that are present, as determined by using the Metric 3.0.

Once this is understood, it is essential that applicants apply the Mitigation Hierarchy to demonstrate how ecological issues have been considered and how an optimal Biodiversity Net Gain solution has been reached in the proposal.

In applying the mitigation hierarchy applicants shall demonstrate how they have:

a) Sought to avoid loss of existing biodiversity on-site (either through loss of scale or quality of habitat);
b) Where this is not possible, applicants shall demonstrate how they have mitigated the impact of development on biodiversity on-site/off-site nearby;
c) Where mitigation on site or nearby is not possible applicants shall set out the options they have considered, and the reasons why a) and b) above were not possible. In this regard, applicants are also required to set out how they will compensate for any loss or impact on biodiversity through on-site and off-site improvements or contributions.

Avoiding harm to biodiversity assets will always be the preferred approach, and it is expected that applicants demonstrate they have explored options to retain habitats on-site before seeking to mitigate their loss or, where necessary, propose compensatory measures to be delivered off-site.

In providing information on how the mitigation hierarchy has been applied applicants are advised to explicitly address the following questions:

a) What is the impact of the proposed design on identified assets?
b) If there is an impact can the scheme be redesigned to remove or reduce that impact?
c) If the impact cannot be avoided, can the impacted be mitigated for? If so, what are the measures proposed and will they be sufficient to:
    1. Mitigate the impact; and
    2. Secure BNG?
d) If the impact cannot be avoided or mitigated, can it be compensated?
e) If compensatory measures are proposed, will they be on-site, off-site but nearby or off-site entirely?
f) What are the suggested/offered compensatory measures?
g) How will they be applied?
h) Does Metric 3.0 demonstrate the measures that shall deliver a Biodiversity Net Gain?

## Delivering Biodiversity Net Gain

The Council requires applicants to increase biodiversity through their developments, and, through their planning applications, to demonstrate that the measures being put forward will achieve this. If applicants satisfy this requirement, they will ensure their schemes are compliant with the relevant policies of the adopted Local Plan. Appraisals of different options and their predicted or anticipated outcomes shall be presented, with clear reasoning and justification for supporting the option selected.

### General Principles of Biodiversity Net Gain

If an impact on an ecological asset is identified, applicants must propose how that impact will be avoided, mitigated, or compensated in accordance with the mitigation hierarchy.

Where mitigation or compensation is proposed, habitat creation proposals, both on-site and off-site, must avoid 'down-trading' of habitat value by proposing to create habitats of lower distinctiveness compared to those lost.

Habitat creation proposals must be additional to any existing obligations and not deliver something that would occur anyway including, for example, through an existing planning permission, Forestry Authority/Commission grant or Environmental Stewardship scheme.

All proposals to deliver Biodiversity Net Gain through on-site and off-site habitat creation must be:

a) In compliance with British Standard BS 8683 (Process for designing and implementing Biodiversity Net Gain) [**See also Appendix D** for a summary of its use and implementation];
b) Agreed in advance with the Local Planning Authority [LPA];
c) Evaluated through the use of Metric 3.0;
d) Located in a strategically important area as identified by the LPA [unless agreed in advance];
e) Secured by an appropriate planning agreement to ensure long term management;
f) Be supported by a monitoring and management plan ([i.e., adaptive management plan];
g) Included on an off-set Register; and
h) Monitored and reviewed Provision of BNG.

Off-site schemes developed by an applicant or the Local Planning Authority may aim [or enable responsible partner organisations] to:

a) Create new habitats;
b) Enhance existing habitats;
c) Purchase land for the purpose of habitat creation;
d) Manage land for nature conservation purpose;
e) Pay for infrastructure to enable management to take place;
f) Monitor the habitat creation; and
g) Pay professional fees associated with the above.

In order to establish that it is feasible for on-site and/or off-site habitat creation/enhancement proposals to deliver a net gain for biodiversity; developers shall be expected to submit detailed worked-up proposals.

Details of the design, location and extent of any habitat creation proposed will be required. Where off-site habitat creation is proposed it is particularly important that sufficient detail is submitted to reassure the Council that it is feasible that suitable provision can be delivered and maintained in the long term. Developers are encouraged to seek professional advice to ensure their proposals meet this requirement.

Where off-site habitat creation is proposed, the Local Planning Authority expects that sufficient detail is submitted at the application stage that demonstrates delivery is feasible and that suitable provision can be delivered and maintained in the long-term (minimum of 30 years). Developers are encouraged to seek professional advice to ensure their proposals meet this requirement.

Where compensation is targeted at a specific species, off-site compensation must be delivered in an area where this species is known to occur. Desk and field-based assessments may be required to establish this to the satisfaction of the Local Planning Authority.

Where off-site habitat provision is necessary, this should be directed to the following areas:

a) Identified as Nature Improvement Areas.
b) Areas identified in the adopted Local Plan as priority locations, landscape and green infrastructure networks and assets Maps recognised as delivering the most benefit for biodiversity [e.g., Priority areas and locations; corridors; stepping stones; and restoration areas].
c) Any designated Wildlife Corridors shown in neighbourhood plans.
d) Areas identified in Local Nature Recovery Strategies.
e) Opportunities identified through Natural Capital Mapping activity.
f) Opportunities identified in the Rotherham Biodiversity Action Plan.

Habitat creation in these strategically important sites will deliver a greater benefit for biodiversity and so potentially less habitat creation will be required to achieve the same biodiversity benefits.

Habitat creation and enhancement will only be possible where suitable opportunities arise. Consequently, off-site habitat creation and enhancement may be delivered at any suitable location within Rotherham [with preference given to those locations on Map 10 of the Core Strategy, see p.129] where suitable opportunity exists.

The LPA recognises that such locations may be some distance from the site of the related development proposals[1]. There is no requirement for compensatory habitats to be subject to public access. However public access is encouraged where this can occur without being detrimental to the value of the habitats created.

A Monitoring fee[2] is payable to the LPA where compensation takes place off-site. The LPA [or third-party Habitat Bank] will need to facilitate and monitor any Net Gain for Biodiversity and this will involve keeping an audit and mapping of where Biodiversity Units have been lost and projects delivered in different locations that demonstrate provision of Net Gains for Biodiversity

[1] It is expected that these shall be within the geographical boundary of Rotherham. But there may be circumstances where such payments maybe pooled with neighbouring planning authorities or the Councils designated partner organisations and agencies.
[2] The fee schedule is in preparation and shall be published at the sane time as the publication of this SPD.

Where the LPA takes responsibility for ensuring delivery of Net Gain off-site, it will need to work with partners to ensure Biodiversity Delivery Agreements are in place before funding is passed to the relevant Delivery Partner. The Biodiversity Delivery Agreement will necessitate periodic reporting from the Delivery Partner to the LPA against the relevant works to be implemented in the Biodiversity Delivery Agreement.

On-site biodiversity net gain will also be monitored and a fee will be payable to facilitate such monitoring.

**Habitat Banks**
If a developer wishes to rely on habitat created by a Habitat Bank, this habitat is expected to be in place in advance of a planning application being formally submitted as a planning application.

## How to carry out Biodiversity Net Gain Calculations

A net gain in biodiversity must be demonstrated using a Biodiversity Net Gain calculation for all 'Major' developments [i.e., Metric 3.0] as defined by the Town and Country Planning Act, transport schemes and all other developments affecting natural or semi-natural habitats.

It is advisable to appoint an approved [ecological] consultant at an early stage of the project to ensure the best possible outcomes for achieving Biodiversity Net Gain on-site using an iterative approach. If different layout options are considered each should have a corresponding biodiversity calculation completed.

All supporting evidence including calculations, justifications, distinctiveness and condition assessments must be submitted as part of a separate Biodiversity Net Gain report, provided in addition to an Ecological Impact Assessment or any other specific Ecological reports required.

Biodiversity Net Gain calculations are to be undertaken in accordance with the Natural England current Metric 3.0 [July 2021] or subsequent editions revised by Natural England and its partner agencies and consultancies.

The calculation must consider both the direct impacts of a proposed development, both permanent and temporary, also the indirect effects of development, such as lighting on a woodland edge, or pollution resulting from the operation of a scheme.

To reiterate, the net gain calculation and achieving Biodiversity Net Gain must be undertaken in accordance with the following documents and/or any subsequent publications:

a) ***The Biodiversity Metric 3.0 auditing and accounting for biodiversity, User guide***, prepared by Natural England [July 2021] for both Large and Small Sites; and
b) ***Biodiversity Net Gain, Good Practice Principles for development – A practical guide***, prepared by CIEEM, IEMA, CIRIA [2019].

**How to complete the Metric 3.0 Calculation**
Applicants are advised to seek assistance from the Local Wildlife Trust, the Environment Bank or an approved [ecological] consultant when completing the calculation.

To inform the net gain calculations vegetation surveys must be undertaken at the appropriate time of year. The following survey information and assessment is required to complete the calculation:

a) Area of each habitat and length of each linear feature present within the red line of the application.
b) Habitat type in UK Habitats, or translated into UK Habitats from another survey type, including indicator species (with reference to any forthcoming local guidance criteria provided).
c) Habitat condition:
    1. Root Protection Areas of any trees on-site that do not form part of another habitat on-site.
    2. Impact from development based upon current planning layout, both directly on-site, and indirectly off-site.

CIEEM have published Biodiversity Net Gain Report and Audit Templates that provide a framework for completing BNG reports. The templates set out a suggested structure and content:

1. BNG Feasibility Report; aimed at client / design teams to inform of the feasibility of delivering net gain. This report may be contained within, or be supplementary to, a Preliminary Ecological Appraisal (PEA) Report.
2. BNG Design Stage Report is prepared to support decision-makers and forms part of a planning application submitted alongside the Ecological Impact Assessment Report.
3. BNG Audit Report provides an audit checklist confirming the delivery of BNG at project completion.

[See: CIEEM-BNG-Report-and-Audit-templates2.pdf
https://cieem.net/wp-content/uploads/2021/07/CIEEM-BNG-Report-and-Audit-templates2.pdf]

**Implementation of Net Gain: Major Schemes and those affecting natural/semi-natural habitats**
If the biodiversity metric calculation shows that a proposed development would result in a failure to deliver the required net gain for biodiversity the applicant should:

a) **Firstly**, review design solutions and re-apply the Mitigation Hierarchy, seeking to avoid any impacts;
b) **Secondly**, identify potential impacts from an alternative design solution, and set out how on-site mitigation will deliver greater benefits for biodiversity on-site.
c) **Thirdly**, where this is not possible the applicant should then look to offset these impacts through the delivery of benefits for biodiversity at an off-site location.

The LPA in Rotherham may, in some circumstances, consider a commuted sum for the delivery of habitat creation at an off-site location. Commuted sums shall include the cost of land acquisition, purchase or rental, for the purposes of habitat creation by either the Council or partner organisations.

Where the above process is followed, demonstrated, and concludes that off-site provision is necessary, off-site habitat creation for the purposes of delivering Biodiversity Net Gain and shall be secured by either:

a) **Option 1**: Developers providing their own off-set on land within their control;
b) **Option 2**: Purchase of off-sets from an independent provider;
c) **Option 3**: Commuted sum to the LPA; or
d) **Option 4**: A mixture of the above.

**Option 1: Developers providing their own off-set on land within their control**
This option may be used if there is land suitable for habitat creation within Rotherham which is owned or in the control of the applicant. Habitat creation measures, management and monitoring would be secured by a S106 legal agreement or planning condition to ensure they are delivered in accordance with good practice principles.

**Option 2 Purchase of off-sets from an independent provider and delivery body/habitat bank**
The provider/habitat bank must be agreed with the LPA and the principles set out below must be applied. Under this option a financial contribution from the developer will be paid directly into the independent provider/habitat bank. The provider/habitat bank shall then be required to provide suitable and documented assurances of habitat delivery to the LPA. Alternatively, and through the use of a S106 legal agreement, with third parties being a signatory to the agreement, with the LPA acting as the recipient of the funding and transferring such funds to third parties in accordance with such a legal agreement.

**Option 3 Commuted sum payable to the Local Planning Authority [LPA]**
In some circumstances, particularly involving lower impact schemes or where the Local Planning Authority is aware of suitable opportunities for compensatory habitat creation at an off-site location, the LPA may consider a commuted sum secured through a S106 legal agreement, that would be used to deliver suitable compensatory habitat creation.

The LPA shall charge a fee to cover its and partners costs of developing and implementing habitat creation and management measures using the commuted funds. The fee is set at a level that shall cover:

- Officer time to liaise with landowners and partners, undertake site visits to appraise the opportunities for habitat creation;
- Draw up habitat creation measures and management plans;
- Legal fees for land acquisition;
- Associated administration costs, including a site visit to monitor delivery and to maintain a register of the specified/agreed off-sets.

Currently, such fees are anticipated to be £1,200 per biodiversity unit required. Rotherham's fees shall be reviewed annually.

The LPA [where appropriate working with partner organisations] shall ensure that any commuted sum is used appropriately to ensure sufficient habitat creation is delivered in a quantifiable way to address the loss of biodiversity resulting from the consented development. The LPA shall utilise the funding to create habitat that delivers best value for biodiversity. In some circumstances this may involve the creation of smaller areas of habitat subject to more costly long-term management or alternatively funding may be utilised to deliver larger areas of habitat with relatively limited management input.

The figures in Table 2 provide a guide to the likely levels of commuted sums per biodiversity unit required to address the deficit of biodiversity units required to deliver net gain. The costings include habitat creation, 30 years management, land costs and monitoring of the success of management.

An offset provider/habitat bank may ask for lower or higher prices than the figures displayed in Table 2 [below].

The proposed commuted sum figures in Table 2 have been calculated to be compatible with the Metric 3.0. These costs may be subject to change as and when Metric 3.0 is revised by Natural England and its partners.

Very large-scale habitat creation schemes involving multiple habitat types on substantial areas of land may require substantial additional staff and infrastructure resources to deliver and maintain. In these circumstances, a bespoke commuted sum calculation shall be conducted for such schemes.

Further information and guidance on the approach to commuted sums is set out at Appendix C

**Table 2: A Guide to Developer Contributions [Off-setting]**

| Target Broad Habitat | Habitat Type [according to Version 3.0 metric] | Management Period | Expected Condition [Target condition] | Price per Biodiversity unit* | Category [from version 3.0 metric] | Set-up Fee [per S106 agreement] including legal fees, administration of management plan |
|---|---|---|---|---|---|---|
| **Woodland** | Lowland Mixed deciduous woodland | 30 years+ | Good | £20,000 | Accelerated succession | £7,000 |
| **Grassland** | Other neutral Grassland | 30 years+ | Good | £10,000 | Creation/ Enhancement | £7,000 |
| **Wetland** | Priority ponds/ditches/reed beds | 30 years+ | Good | £9,500 | Creation | £7,000 |

*To be validated at the time BNG becomes a formal requirement. All figures shall be annually reviewed and updated.

### Long Term Management of Compensatory Habitats

Securing the long-term future of newly created or enhanced habitats is vital to achieving a net gain for biodiversity. Therefore, any on-site or off-site measures contributing to Biodiversity Net Gain will be acceptable only if the developer has secured long-term management, for example through the transfer of funds to an LPA approved responsible body to manage, monitor and report back to the LPA.

Therefore. developers will be expected to secure the long-term monitoring and adaptive management of any on-site or off-site habitat creation or enhancement works to ensure created habitats are allowed sufficient time to both achieve their target value and to ensure they are maintained into the future. Therefore, development proposals must include a commitment to implement management for a minimum period of 30 years with regular reporting to the LPA, which would be secured through a condition or planning obligation. A longer time period may be necessary if this is a requirement of the Environment Act once enacted or where the newly created/enhanced habitats are of a type with

particularly long establishment periods or are of particularly high nature conservation significance. As habitats subject to longer management are likely to achieve higher target condition, the length of time proposed as part of a management plan will be considered in the net gain calculation.

Management plans must include proposals to control non-native invasive species when appropriate.

The LPA in Rotherham encourages developers to engage a recognised conservation body in the delivery of long-term habitat creation proposals. If high or very high distinctiveness habitats are to be delivered a specialist contractor or nature conservation body shall be appointed to assist with delivery.

The implementation of off-site habitat creation proposals will be secured by means of a S106 legal agreement.

**Incorporation of additional features for biodiversity enhancement**
In addition to proposals for habitat creation and enhancement as assessed by the biodiversity metric calculation all development proposals must also include proposals for the incorporation of features to enhance the biodiversity of the resulting development. Such features can include:

a) Features for nesting birds associated with the built environment such as swifts and house sparrows;
b) Green walls and green/brown roofs;
c) Features for roosting bats;
d) Creation of new wildlife ponds and the re-creation of historically lost ponds;
e) Log piles and compost heaps;
f) Provision of gaps in boundary fences to allow access by hedgehogs and provision of hedgehog domes. Hedgehog Highways should be marked out on-site to ensure they are not blocked up by future landowners.

**Implementation of Biodiversity Net Gain: Minor applications not affecting natural/semi-natural habitat.**
Developments which fall below the threshold requirement for the conducting of a full biodiversity metric calculation [i.e., 'Minor' applications not affecting natural/semi natural habitats] must be supported by proposals for the incorporation of features for biodiversity enhancement, in addition to what may be required to address any adverse impacts resulting from the development.

Appropriate features include:
a) Features for nesting birds associated with the built environment such as swifts and house sparrows;
b) Features for roosting bats;
c) Green walls and green/brown roofs;
d) Mixed native species hedgerows;
e) Creation of new wildlife ponds and the re-creation of historically lost ponds;
f) Native scrub and tree planting;
g) Orchard/fruit trees;
h) Creation of species rich grassland;
i) Creation of rough grassland suitable for foraging barn owls and provision of barn owl nest boxes;

j) Log piles and compost heaps;
k) Provision of gaps in boundary fences to allow access by hedgehogs and provision of hedgehog domes. Hedgehog Highways should be marked out on-site to ensure they are not blocked up by future landowners.

The provision of these types of features is also required for those schemes subject to a metric calculation as detailed above [p.15].

Importantly, the '***Small sites Biodiversity Metric***' was published [July 2021]. This metric, and subsequent revisions, shall be used for all applicable minor planning applications involving new development In Rotherham.

## References

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RMBC [2018] *Sites and Policies Document*, Adopted June, Rotherham Metropolitan Borough Council

RMBC [2014} *Core Strategy [2013- 2028],* Adopted September, Rotherham Metropolitan Borough Council

SYFP [2011] *Creating and Improving Our Green Network, The South Yorkshire Green Infrastructure Strategy*, South Yorkshire Forestry Partnership, March.

The Conservation of Habitats and Species Regulations 2017

The Environment Act 2021.

The Protection of Badgers Act 1992

The Wildlife and Countryside Act 1981

Priority Species for biodiversity set out under the Natural Environment and Rural Communities Act 2006

## Glossary

**Authority Monitoring Report**
An annual report prepared by Rotherham Metropolitan Borough Council to assess progress and effectiveness of a Local Plan.

**Community Infrastructure Levy**
A levy allowing local authorities to raise funds from owners or developers of land undertaking new building projects in their area.

**Development**
Defined by the Town and Country Planning Act 1990 as "the carrying out of building, engineering, mining or other operation in, on, over or under land, or the making of any material change of use of any building or other land." Most forms of development require planning permission, unless expressly granted planning permission via a development order or is permitted development as defined by legislation.

**Development Plan**
This includes adopted Local Plans and Neighbourhood Plans and is defined in Section 38 of the Planning and Compulsory Planning Act 2004

**Green Infrastructure**
A network of multi-functional green space, urban and rural, which is capable of delivering a wide range of environmental and quality of life benefits for local communities and to support other habitats and species.

**Habitat Bank**
A Habitat Bank is an effective facility used in implementing a system of biodiversity accounting. Any off-site compensation is arranged via 'habitat banks', which is a streamlined and cost-effective solution. Such bank sites are already being set up across the country so that conservation credits can be quickly and easily sold from large wildlife schemes. Habitat banks give planners and developers access to a simple compensation solution, regardless of the size of the development, so that all development can be sustainable. [For further details see for example: Habitat Banking - The Environment Bank]

**Habitats Regulations Assessment**
The process that competent authorities must undertake to consider whether a proposed development plan or programme is likely to have significant effects on a European site designated for its nature conservation interest.

**Local Plan**
The plan for the development of the local area, drawn up by the local planning authority in consultation with the community. In law this is described as the Development Plan Documents adopted under the Planning and Compulsory Purchase Act 2004. Current core strategies or other planning policies, which under the regulations would be considered to be Development Plan Documents, form part of the Local Plan. This term includes old policies which have been saved under the 2004 Act.

**Local Plan Strategy**

Development Plan Document setting out the spatial vision and strategic objectives of the planning framework for an area, having regard to the Community Strategy.

**Local Planning Authority**
The local authority or council that is empowered by law to exercise planning functions. In the case of this SPD, the Local Planning Authority is Rotherham Metropolitan Borough Council.
Minor Development

Major Development

**Neighbourhood Plan**
A plan prepared by a parish council or neighbourhood forum for a particular neighbourhood area (made under the Planning & Compulsory Purchase Act 2004).

**Site and Policies Document**
Part of the Local Plan which contains land allocations and detailed policies and proposals to deliver and guide the future use of that land.

**Supplementary Planning Document**
A Local Development Document that may cover a range of issues, thematic or site specific, and provides further detail and explanation of policies and proposals in 'parent' Local Development Plan Documents.

**Sustainability Appraisal**
An appraisal of the economic, environmental and social effects of a plan from the outset of the preparation process to allow decisions to be made that accord with sustainable development.

**Strategic Environmental Appraisal**
SEA is a process and a tool for evaluating the effects of proposed policies, plans and programmes on natural resources, social, cultural and economic conditions and the institutional environment in which decisions are made.

**Viability Study**
A report, including a financial viability appraisal [FVA], to calculate a site's land value [worth] for a full policy compliant proposed development, which is sufficient to "incentivise a reasonable landowner to sell". Such a study shall involve a transparent analysis of the primary inputs and generated outputs, including sensitivity analysis reflecting local market conditions and extant local plan policy requirements. The FVA primary purpose is to inform those with responsibility for decision-making.

**Appendix A: Biodiversity Checklist (Full Application)**

## Biodiversity Checklist for Full Applications

**RMBC Planning Reference Number [Official Use Only]**

**Site Address:**

There are many legally protected sites of nature conservation importance [see Note1] across Rotherham and wider areas of South Yorkshire alongside non-statutory wildlife sites [Note 2], priority habitats [Note 3] and a wide range of legally protected and other notable species [Note 4]. Developments can adversely affect these and Local Planning Authorities (LPAs) are legally required by Government to consider the conservation of biodiversity when determining a planning application. Government planning policies for biodiversity are set out in the National Planning Policy Framework (NPPF), while the Local Authority's local plan will set out how they address these requirements in local policy terms. LPAs need to be able to understand what the potential impacts of the development might be and if there are impacts on biodiversity, how these will be avoided, mitigated, or compensated.

This **Checklist** will help you work out if your proposal is likely to affect biodiversity, what additional information you will need to provide to support your application and how to get that information.

### Guidance for applicants

If your answers to the questions in Sections 1, 2 and/or 3 identify that your project may potentially have an adverse impact on designated sites, priority or other important habitats or legally protected or notable species then you will need to submit a suitable report such as a Preliminary Ecological Appraisal Report [PEA]), Ecological Impact Assessment (EcIA) or species-specific survey which demonstrates the following:

- Information about the sites, species, habitats or features that could be affected (such as location, size, abundance, importance).
- Likely impacts of your development on habitats, sites or species identified.
- How alternative designs and locations have been considered.
- How adverse impacts will be avoided.
- How any unavoidable impacts will be mitigated (reduced) (see note 6).
- How impacts that cannot be avoided or mitigated will be compensated (see note 6).
- Any proposals for enhancement of biodiversity.

Where more targeted and specific reports are necessary (for example bat surveys), these must:

- Be undertaken by an appropriately qualified and experienced person
- Be of appropriate scope and detail (i.e., be carried out to established standards)
- Be conducted at an appropriate time of year, in suitable weather conditions and using approved methodologies.

Reports may not be required where applicants are able to provide pre-application correspondence from Natural England, the Local Planning Authority ecologist or your ecological adviser that confirms that they are satisfied that the proposal will not have an adverse impact on any features identified in Sections 1, 2 or 3. Your Local Planning Authority ecologist contact details are given on page 5 of this Checklist.

The application may be refused if any of the information submitted proves to be inadequate. If validated and the information is subsequently found not to fully address any potential impacts then further information may be required during the course of any planning application, for instance if any of the information you have provided needs clarification, or if other potential impacts are identified. **If sufficient information on ecological issues is not provided by the time the application needs to be determined, the application may be refused. This can include information (surveys and data searches) considered out-of-date.**

It is strongly advised that you consider biodiversity at the **earliest** possible stage in your project as there are seasonal constraints to much of the survey work that may be needed to support your application [see the **Guideline Survey Timetable** in Appendix B]. You are advised to use the Council's formal Pre-application service so that Biodiversity Net Gain matters can be identified prior to the submission of the formal planning application. For more information in this respect please e-mail development.management@rotherham.gov.uk .

For further advice on competent ecologists who can undertake specialist survey work, please see the Chartered Institute of Ecological and Environmental Management [CIEEM] http://www.cieem.net in the first instance.

**Please let us know if this checklist has been completed or checked by a qualified ecologist; YES/NO**

## SECTION 1 – Legally protected sites for nature conservation

| | |
|---|---|
| Please answer **YES or NO** to the following question. If you answer 'YES', it is possible that the development could have an impact on the designated site [see Note 5]. Please provide further information with your application. | YES✓<br>NO X |
| Does the application site lie within?:<br>▪ 2km of a SAC, SPA or Ramsar site<br>▪ An SSSI Impact Risk Zone (IRZ) and does it correspond to any of the development types listed in the results. See Note 1 and http://magic.defra.gov.uk/Metadata_for_magic/SSSI%20IRZ%20User%20Guidance%20MAGIC.pdf for guidance on the interpretation and use of the **Impact Risk Zones for Sites of Special Scientific Interest** | |

## SECTION 2 – Habitats and locally designated sites

| | |
|---|---|
| Please answer ALL questions Yes or No<br><br>Many of the features described below may support a Priority Habitat. See Note 3 for further information on identifying these.<br><br>If you have answered 'YES', is it possible that the development may have an impact on the designated site or habitat? Please PROVIDE further information if that is the case. | YES✓<br>NO X |
| **Are any of the following present on or within 100m of the application site?** | |
| ▪ Site of Importance for Nature Conservation (SINC) See Note 2 | |
| ▪ Native woodland including ancient, semi-natural and re-planted woodlands | |
| ▪ Veteran (particularly old / large) trees and trees subject to TPOs | |
| ▪ Orchards | |
| ▪ Registered Parks and Gardens | |
| ▪ Water courses (rivers or streams) | |
| ▪ Lakes, ponds or scrapes that specifically support Great Created Newts | |
| ▪ Wetlands, marshes, flood plains and flashes | |
| ▪ Unimproved/semi-improved species-rich grassland | |
| ▪ Arable field margins supporting assemblages of rare arable plants | |
| ▪ Heathland/acid grassland/mire/scrub | |
| ▪ Hedgerows supporting mainly native species | |
| ▪ Local Wildlife Sites and RIGS and any known candidate sites | |
| ▪ Any other habitats identified in the RBAP | |
| ▪ Green Infrastructure Corridors including Biodiversity Opportunity Areas | |

Rotherham can provide detailed maps showing boundaries of all site designations and Priority habitats.

**SECTION 3 – Legally protected and other notable species**

| **PROPOSAL DETAILS**<br><br>Please answer ALL questions **YES** or **NO** by marking against each feature | YES✓<br>NO X | If you have ticked **'YES'** to any of these, you will need to consider potential impacts to these species. | Survey Attached? |
|---|---|---|---|
| **3.1 Will the proposal affect any of the following features/structures? (*See Note 2 and Note 7*)** | | | |
| ▪ Buildings or structures exhibiting features likely to support bat roosts or swift nests [e.g., gaps/crevices /cracks/voids within roofs or building materials such as hanging tiles, soffits, cladding etc].<br>▪ Underground structures (e.g., cellars, caves, mines)<br>▪ Structures where there is known current or historic bat use | | Bats and bat roosts<br><br>Swift nests | |
| ▪ Agricultural buildings particularly of traditional brick, timber or stone construction and/or with exposed timber beams greater than c.20cm thick. | | Bats and bat roosts<br><br>Barn owl/Little owl<br><br>Nesting birds | |
| ▪ Other large agricultural buildings | | Barn owls/Little owl | |
| **3.2 Will the proposal affect trees with any of the following features? (*See Note 2*)** | | | |
| ▪ Old and veteran trees or other trees with a circumference greater than 1m at chest height | | Bats and bat roosts<br><br>Nesting birds<br><br>Other Notable species | |
| ▪ Trees exhibiting, or likely to exhibit holes, cracks, splits, cavities etc. and/or heavy vegetation | | | |
| **3.3. Will the proposals affect any of the following wetland features (*see Note 2*)** | | | |
| ▪ Streams, rivers or lakes on or within 25m of the application site that would be affected (including their banks and adjacent habitat) by the development? | | Bat foraging habitat<br>Otters, Water vole<br>White-clawed crayfish<br>Nesting birds<br>Other Notable species | |
| ▪ Ponds within 100m, particularly any that are well-connected to the application site by, for example, hedges, ditches, woodland, grassland or field boundaries? | | Amphibians (particularly with respect to great crested newts) | |

| **PROPOSAL DETAILS**<br><br>Please answer ALL questions **YES** or **NO** by marking against each feature. | YES✓<br>NO X | If you have ticked **'YES'** to any of these, you will need to consider potential impacts to these species. | Survey Attached ? |
|---|---|---|---|
| **3.4 Will the proposals affect any of the following features (*see Note 2*)** | | | |
| Deciduous woodland? | | Bat foraging habitat<br><br>Dormice<br><br>Nesting birds<br><br>Badgers<br><br>Reptiles<br><br>Other Notable species | |
| Field hedgerows over 1m tall and over 0.5m thick? | | | |
| Areas of scrub well-connected to woodland or hedgerows? | | | |
| Species-rich meadows or grassland on or directly adjacent to the site? | | | |
| Mature or overgrown gardens, rough grassland, derelict/brown-field land, railway land or allotments | | | |

**Notes**

**Note 1**

Impact Risk Zones (IRZs) is a GIS tool developed by Natural England to make a rapid initial assessment of the potential risks to SSSIs posed by development proposals. They define zones around each SSSI which reflect the particular sensitivities of the features for which it is notified and indicate the types of development proposal which could potentially have adverse impacts. The SSSI IRZ Dataset can be downloaded from the Natural England Open Data Geoportal. It is also available to view on www.magic.gov.uk.

**SSSI** = Site of Special Scientific Interest, designated and protected under UK law. See https://designatedsites.naturalengland.org.uk/

**SAC** = Special Area of Conservation and SPA = Special Protection Area. These are designated and protected under EU law. See http://jncc.defra.gov.uk/page-1527 They will also be designated as SSSI.

**Ramsar site** = internationally important wetland, designated under the Ramsar Convention. These sites may also be SPAs/SACs and SSSIs. See http://jncc.defra.gov.uk/page-1527 for more information.

**Note 2**

**SINC** – Site of Importance for Nature Conservation: in Rotherham this is the Local Wildlife Sites series. These are not legally protected, but are identified in planning policy as being of importance for biodiversity and are

considered during the planning process. The LPA's Local Plan Policies Map identifies the location of all Local Wildlife Sites (SINCs) in Rotherham.

**Note 3**

**Priority Habitats** are also called Habitats of Principal Importance in England under Section 41 NERC Act 2006. They comprise natural or semi-natural habitats that have been identified as being at risk (in that they are rare or in decline) or are important for certain key species of plant or animal. Areas of designated Ancient Woodland and some Priority Habitats can be found on www.magic.gov.uk. More definitive and up-to-date maps of Priority habitats may become available from Rotherham MBC in the future as Natural Capital Mapping continues to guide delivery of Biodiversity Net Gain in South Yorkshire.

**Note 4**

**Notable species** include species protected under European legislation and the Wildlife & Countryside Act 1981 (as amended); species listed under:

- S41 of the Natural & Environment and Rural Communities Act 2006 (Priority species);
- the IUCN Red List of Threatened Species;
- the Birds of Conservation Concern Red list; and
- Species listed as being nationally, county, or locally rare or scarce.

Please note however, that absence of a record does not mean absence of a species.

**Note 5**

Effects could be **DIRECT**, such as destruction, removal or modification, or **INDIRECT** through disturbance such as run-off, noise, dust, lighting or increased recreational use. Including dog walking and rambling.

**Note 6**

**Avoidance** = measures taken to avoid impacts – should be the first consideration;
**Mitigation** = measures which make unavoidable impacts less severe;
**Compensation** = measures which counterbalance remaining impacts, resulting in an overall no net loss of biodiversity.
[Please note: 'Mitigation' as a general term or a 'mitigation strategy' is often used to cover all these processes].

**Note 7**

The types of features highlighted in this Checklist have a higher likelihood of supporting bats and is taken from the list produced by the Bat Conservation Trust in their Good Practice Survey Guidelines (see http://www.bats.org.uk/pages/guidanceforprofessionals.html).

However, it is important to recognise that many buildings that do not meet these criteria may also support bats.

**Important**: **this checklist cannot include reference to all protected or notable species in all circumstances where they may be affected**. Legislation relating to protected species does apply in all circumstances and it is the responsibility of the developer to ensure that the species and their habitats are not impacted as a result of development.

**If protected species are found during the course of development, work should be halted and advice sought from Natural England, the local authority ecologist or a qualified private ecologist and the outcomes of any survey or monitoring work discussed with the Local Planning Authority, prior to reaching a potential agreement to continue development on site or withdrawal of the developer from the site.**

**Contacts**

If you are unsure about any of these questions, please contact an officer at RMBC planning authority on **01709 823869** or by email at: **planning.policy@rotherham.gov.uk**

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| | | | | |
|---|---|---|---|---|
| 1 | Have **ALL** questions on **ALL** sections been completed? | Y/N | **If YES**, go to 2 | **If NO**, application **should not** be validated. |
| 2 | Have any questions been answered 'Yes'? | Y/N | **If YES**, go to 3 | **If NO**, application can be validated. However, evidence that a data search has been carried out by the applicant or their adviser shall be authenticated by a written submission at this point. |
| 3 | Does the applicant identify likely impacts **and** address potential issues in any comments made on the checklist? | Y/N | **If YES**, application can be validated. | **If NO**, go to 4. |
| 4 | Has a separate statement, report or other supporting information been submitted to address potential impacts? | Y/N | **If YES**, application can be validated. | **If NO**, application should not be validated. |

## Appendix B: Guideline Survey Timetable



## Appendix C: Guidance on Commuted Sums

The preferred approach meets all the good practice principles set out in *Biodiversity Net Gain: Good practice principles for development,* prepared by CIEEM, CIRIA, IEMA 2019 [Authors: Baker, J. Hoskin, R. and Butterworth, T.] It involves a 30year management period towards set targets according to a bespoke, adaptive management plan. The habitat creation covered below are woodland, grassland, wetland and hedgerows.

| **Table 1: Principles: Creditable Withholding Tax [CWT] for Biodiversity Net Gain** | |
|---|---|
| Meets Biodiversity Net Gain good practice principles | √ |
| Habitat creation/restoration using professional experts | √ |
| Adaptive management plan | √ |
| 30+ years management | √ |
| Regular management reviews | √ |
| Monitoring and reporting against set targets | √ |
| Remedial measures taken if targets not met | √ |
| All habitat will achieve “good condition” within management period | √ |
| Land costs included in commuted sum | √ |
| LPA set-up fee per agreement which includes legal fees | √ |
| A list of all sites relevant to the S106 legal agreement provided to the LPA | √ |
| Included on a GIS based register of sites. All sites will initially be assigned potential Local Wildlife Site [pLWS] status and flagged in data searches. If monitoring shows LWS criteria are met then site will be put forward to LWS Partnership for selection. | √ |
| A not-for-profit organisation | √ |
| All habitats contribute to the recovery or expansion of biodiversity | √ |

### Habitat creation options Hedgerow creation

This option will be aimed at creating hedgerows with a mix of approximately 5 native species adapted to the local area. Hedgerows will be double fenced unless this is not appropriate for the location.

### Woodland creation

In order to achieve the predicted uplift in biodiversity value at the offset site all woodland planting schemes will be created using the ‘accelerated succession’ option in Defra 3.0. Accelerated succession (rather than planting into bare earth or newly created landscapes) retains the value of the existing baseline habitats, meaning an uplift in biodiversity can be achieved more readily. It encourages natural successional processes by allowing a woodland to slowly develop from other habitats such as grassland/scrub. This results in a higher value, more biodiverse woodland habitat compared to tree planting alone. Planting mix will comprise of native, deciduous species chosen to replicate the natural woodland communities in the locality and will vary according to geographic location and soil type

### Grassland creation

Grassland creation is targeted at achieving species-rich neutral grassland using locally sourced seed to preserve local distinctiveness and genetic diversity. All sites will be assessed for their suitability to become a receptor site. This will be done by soil testing and assessing the existing plant communities on the offset site. For some sites it may not be possible to source seeds locally, in which case an appropriate seed mix will be used, taking into consideration local soils, geography, geological strata and sub strata and plant communities.

If Lowland Meadow Priority Habitat creation is required a bespoke approach will be needed as the soil nutrient status is critically important for the establishment of this habitat. This is likely to be more costly

than the creation of neutral grassland partly because of the need to create this habitat on sites that already support neutral grassland, so less units per hectare can be created.

**Wetland Creation**
This involves creating a mosaic of ponds and scrapes with interconnecting habitat. It is targeted at creating priority habitats which (if the site is suitable) will also include reedbeds, ditches and marginal wetland vegetation.

**Biodiversity Unit**
Using the Natural England/Defra Biodiversity offsetting Metric 3.0 we have calculated the cost per biodiversity unit when the correct risk multipliers are applied (supporting calculations in appendix 1). In all cases (apart from woodland) we have assumed that the offset site is improved grassland (NVC MG7) or other low distinctiveness/poor condition habitat. For woodland creation we have assumed the offset site is poor semi-improved grassland (NVC MG6); this is a medium distinctiveness habitat of poor condition. It is a pasture habitat of medium to low fertility which has potential to undergo succession to broadleaved woodland.

**Monitoring/Reporting**
All habitat creation will be managed according to an adaptive management plan with regular reporting on progress towards target condition. Management will be altered accordingly if the monitoring shows progress is not on track to achieve condition.

All offset sites will be GIS-mapped and registered as potential candidate Local Wildlife Sites (LWS) meaning they will be flagged as potential constraints in spatial planning. Should the sites eventually meet the criteria for LWS selection they will be designated as such (non-statutory).

**Details and Costing**
The following tables (B and C) set out the costs per biodiversity unit for the different approaches. Further technical details are set out in the appendices of the 2019 *Good Practice Principles for Development Report*. **The figures below in Table 2 is intended as an illustration/guide only**. All individual schemes would require a bespoke approach which may result in higher or lower costs than those given below.

**Table 2: A Guide to Developer Contributions [Off-setting]**

| Target Broad Habitat | Habitat Type [according to Version 3.0 metric] | Management Period | Expected Condition [Target condition] | Price per Biodiversity unit [valid from Version 3.0 metric] | Category [from version 3.0 metric] | Set-up Fee [per S106 agreement] including legal fees & administration of management plan |
|---|---|---|---|---|---|---|
| **Woodland** | Lowland Mixed deciduous woodland | 30 years+ | Good | £15,434 | Accelerated succession | £6,945 |
| **Grassland** | Other neutral Grassland | 30 years+ | Good | £10,035 | Creation/ Enhancement | £6,945 |

| | | | | | | |
|---|---|---|---|---|---|---|
| **Wetland** | Priority ponds/ditches/reed beds | 30 years+ | Good | £9,361 | Creation | £6,945 |

## Appendix D: BS 8683:2021

**BS 8683:2021** is a new British Standard that sets out a process for implementing biodiversity net gain (BNG), which is an approach to development and land management that leaves biodiversity in a measurably better state than prior to development.

The Local Planning Authority [LPA] in Rotherham shall use BS 8683:2021 to:

- Demonstrate delivery of industry good practice.
- Give clients, commissioning agencies and other stakeholders confidence that processes are in place that will help secure voluntary or relevant local planning or contractual requirements relating to biodiversity net gain outcomes.
- Ensure that internal processes and procedures are in place to help deliver BNG as stipulated by commissioning agencies, clients and consenting bodies.
- Help evidence the satisfactory discharge of planning conditions or the meeting of appropriate regulatory requirements relating to biodiversity net gain outcomes.
- Help differentiate and avoid accusations of 'greenwash' that could compromise biodiversity net gain approaches.
- Help enhance consistency across projects for organizations running multiple projects, minimizing the risk of error and driving consistency of approach.
- Enable planning authorities and clients to specify the consistent delivery of biodiversity net gain processes among developers or contractors operating within their territory or on their behalf.
- Add to brand value by demonstrating that the organisation delivering to the standard is following an evidenced and credible approach and has robust processes in place.

**Appendix E:** An extract from Department for Environment, Food and Rural Affairs [DEFRA] *Consultation on Biodiversity Net Gain Regulations and Implementation,* January 2022 [Annex B, pp-99-107]

### Annex B: Biodiversity gain plan template (working draft)

It is important to note this is not the final version of the plan. The purpose of the biodiversity gain plan is to inform the relevant planning authority of the biodiversity gain outcome. If a development is within scope of the statutory biodiversity gain condition, this document must be completed and submitted to the relevant planning authority. Submission of a biodiversity gain plan must always be accompanied by a completed biodiversity metric.

Data requirements set out in this template are provisional and are based on a typical route to planning permission. We will be working closely with stakeholders during the transition period to ensure that the biodiversity gain plan is proportionate and does not cause undue burden on developers, practitioners, or planning authorities.

We aim to produce a more concise version of the biodiversity gain plan template for developments using the small sites metric.

### Section A: Status of biodiversity gain plan

| Status | Purpose | Relevant sections to be completed prior to submission for each status |
|---|---|---|
| **Biodiversity Gain Information** | To inform the planning application | A, B, C, D and E – **mandatory**<br>F, G, H and I – **optional**, applicant should aim to complete as far as possible |
| **Biodiversity Gain Plan** | For approval by the relevant planning authority before development can commence | A, B, C, D, E, F, G and H– **mandatory**<br>I **– optional**, applicant should aim to complete as far as possible |
| **Please select the status which best describes this submission**: | | Biodiversity Gain Information / Biodiversity Gain Plan |

### Section B: Confirmation of submission of supporting documents

| Document (note that not all documents listed will be relevant for all submissions) | File name (and web link, where available) |
|---|---|
| Completed relevant biodiversity metrics | |
| Habitat Management and Monitoring Plan (where applicable) | |
| Credit Receipt References (or alternative proof) (where applicable) | |
| Any more relevant attached documents or tools used in support of biodiversity net gain design? | Examples may include:<br>▪ supporting species lists and habitat survey reports and maps<br>▪ landscaping plans<br>▪ bespoke compensation for irreplaceable habitats |

| | |
|---|---|
| | ▪ Section 106 agreement wording if securing an offset site via the planning authority<br>▪ covenants (or equivalent legal contracts) securing any unreceipted biodiversity net gain commitments<br>details of future ownership and stewardship |

**Section C: Summary of proposed biodiversity net gain**

| Biodiversity unit type | Baseline units | | Post-development units | | | % Net Gain |
|---|---|---|---|---|---|---|
| | Onsite | Offsite | Onsite [development site] | Offsite [or market provided] | Statutory biodiversity credits [government provided] | |
| Area Habitat | | | | | | |
| Linear habitat – rivers & streams | | | | | | |
| Linear habitat – hedgerows or lines of trees | | | | | | |

**Section D: Project information and contact details**

| **D1: Project information** | |
|---|---|
| Site or development name | |
| Site or development location | |
| Red line site boundary or boundaries for development site and off-site delivery | |
| Planning authority | |
| Planning register reference (if available) | |
| Date of submission of biodiversity gain plan or biodiversity gain information | |
| **D2: Details of the person responsible for completing the net gain plan** | |
| Name | |
| Organisation | |
| Statement of competency | |
| See biodiversity metric 3 User Guide for details of competency requirements | |

**Section E: On-site habitats**

| **E1: Site information** | |
|---|---|
| Provide a brief description of existing (pre-development) habitat on site | |
| As a minimum, this should include habitat types | |
| Provide with a brief description of planned (post-development) habitat creation or enhancement | |
| As a minimum, this should include habitat type | |
| **E2: Baseline habitat data used to inform metric** | |
| If using the Small Sites Metric (SSM), confirm that all criteria for use of the SSM have been met (as set out in the SSM) and state on-site survey date | For example, "09/11/2020, yes SSM criteria met" |
| If using the main metric, please provide:<br>• baseline habitat survey reference<br>• survey date<br>• details of any survey constraints | |
| What local plans or strategies have been used to inform strategic significance multipliers within metric? (Required for SSM and main metric) | For example, Local Plan, Local Nature Recovery Strategies, Green Infrastructure strategies |
| **E3: Metric results – on site** | |
| Do metric results show that at least the minimum percentage net gain requirement has been achieved on site (for area, hedgerow, and watercourse habitat types)? | Yes/No |
| Set out justification if metric has triggered unresolved error messages or if you have deviated from metric guidance | |
| Is further habitat enhancement needed off-site to secure net gain? If yes, complete Section F | Yes/No |

**Section F: Off-site habitat enhancement (if applicable)**

| **F1: Site information** | |
|---|---|
| Register reference for off-site biodiversity net gain component | |
| Brief description of existing habitat off-site | |
| As a minimum, this should include habitat types | |
| Brief description of planned habitat creation / enhancement off-site | |
| As a minimum, this should include habitat types | |
| **F2: Off-site baseline habitat data used to inform metric** | |
| Please provide:<br>• baseline habitat survey reference<br>• survey date<br>• details of any survey constraints | |
| What local plans or strategies have been used to inform strategic significance multipliers? | For example, Local Plan, Local Nature Recovery Strategies, Green Infrastructure strategies |
| **F3: Off-site habitat creation / enhancement plans used to inform metric** | |
| Are off-site habitat creation / enhancement proposals already secured? | |

| | |
|---|---|
| Will there be a significant delay (more than a year) between habitat loss and habitat creation / enhancement works? | |
| Confirmation that off-site Habitat Management and Monitoring Plan and appropriate conservation covenant or contract has been incorporated into the overall biodiversity net gain | Yes/No |
| Habitat Management and Monitoring Plan appended to the biodiversity net gain plan | Yes/No |
| Brief description of habitats being created / enhanced off-site | |
| Brief description of post-development off-site habitats to meet local policy and national policy not included within metric calculations | |
| **F4: Metric results – off-site** | |
| Confirmation that metric calculation spreadsheet (in its entirety, not a summary or screenshots) has been appended to biodiversity gain plan | Yes/No |
| **F5: Credits (only to be used if on-site or off-site (via purchase of units from registered site) net gain is not possible)** | |
| Have statutory credits been purchased? | Yes/No |
| If yes, please state number of credits purchased, provide Credit Receipt References (or alternative proof), and attach receipt | |
| Credits evidence log | |
| Developers applying for government statutory credits must produce an evidence log in their biodiversity gain plan. The evidence log must explain steps taken and decisions made in attempt to achieve biodiversity net gain on site or locally through a land provider, explaining why they have arrived at using credits as a last resort. | |

**Section G: Wider biodiversity net gain obligations [aside from measurable net gain]**

| | |
|---|---|
| **G1: Adherence to the mitigation hierarchy** | |
| Steps taken to avoid and / or minimise adverse biodiversity impacts | |
| | |
| **G2: Irreplaceable habitat** | |
| Is any irreplaceable habitat present on the development site? | Yes/No |
| If yes, please confirm that you have separately provided the following to the relevant planning authority:<br>• information on the type and extent of irreplaceable habitat within the on-site area<br>• justification for these impacts<br>• steps taken to avoid / minimise these impacts<br>• an appropriate bespoke compensation strategy | |
| **G3: Designated sites for nature conservation** | |
| Are any designated sites for nature conservation present within the development site? | Yes/No |
| If yes, please confirm that you have separately provided the following to the relevant planning authority:<br><br>• site name, designation type, habitat / feature type and extent of impact | |

| | |
|---|---|
| • justification for these impacts<br><br>• steps taken to avoid / minimise these impacts<br><br>• an appropriate bespoke compensation strategy | |
| **G4: Protected species** | |
| Are any protected species directly impacted by the development? | Yes/No |
| If yes, please confirm that you have separately provided the following to the relevant planning authority:<br><br>• information on the relevant species and extent of impacts<br><br>• justification for these impacts<br><br>• steps taken to avoid / minimise these impacts<br><br>• an appropriate bespoke compensation strategy | |
| **G5: Net gain legacy** | |
| Confirmation that management of off-site and significant on-site habitat enhancements has been secured for a minimum of 30 years | Yes/No |
| Briefly describe mechanism for securing management and the duration of these agreements<br><br>Append legal agreement or, if not available at point of submission, letter of confirmation from habitat provider | For example, through contract, planning obligation, conservation covenant, endowment / sinking fund etc. |
| **G6: Habitat degradation** | |
| Confirmation that, to the best of the applicant's knowledge, any habitat degradation of pre-development habitats since 30 January 2022 has been accounted for in the baseline.<br><br>If not, has the action causing degradation been approved by planning permissions? If so, state the relevant consenting body and reference number | |

**Section H: Monitoring and Reporting**

| |
|---|
| Monitoring Provide details of mechanisms to ensure any planning authority monitoring and reporting requirements are satisfied |
| For example, when monitoring and reporting will be provided and who outcomes will be shared with |

**Section I: Additional information**

| | |
|---|---|
| **I1: Limitations and assumptions** | |
| Highlight any additional limitations and assumptions made during the biodiversity net gain process (beyond survey constraints outlined in sections E & F) | |
| | |
| **I2: Biodiversity net gain good practice** | |
| Does the project adhere to British Standard BS8683? | Yes/No |
| Opportunity to highlight consideration of / adherence to any additional good practice standards for biodiversity net gain | |
| **I3: Sharing data** | |
| Will you share relevant ecological survey data (baseline and monitoring surveys) with the appropriate Local Environmental Records Centre (LERCs) or other body agreed with the planning authority? | Yes/No |
| If 'No', please explain why data has not been / will not be shared | |
| LERCs manage the evidence base for many planning authorities. It is important that the planning authority know why data have not been shared to add to the evidence base on their behalf, in case they wish to pursue this | |

**Appendix F:** An extract from Department for Environment, Food and Rural Affairs [DEFRA] *Consultation on Biodiversity Net Gain Regulations and Implementation,* January 2022 [Annex C, pp-108=109]

## Annex C: Reporting requirements

**Biodiversity net gain data to be collected from planning authorities under the Natural Environment and Rural Communities (NERC) Act 2006 duty**

| | |
|---|---|
| **1. Gains and losses** | |
| **a Expected** | |
| Quantity of biodiversity gains<br>Total biodiversity value, in biodiversity units, consented within reporting period<br>1)Baseline (on-site and off-site)<br>2)Post development (on-site and off-site)<br>3)Change (on-site and off-site)<br>4)Units from credits<br>5)Overall change in biodiversity units (including any units from credits | |
| ii) Composition of biodiversity gains Breakdown of habitats ('broad habitat types' as listed in biodiversity metric 3) from projects consented within reporting period, expressed in biodiversity units, area (ha), and length (km) for each habitat type<br>1)Baseline<br>2)Post-development<br>3)Change | |
| iii) Location of off-site biodiversity gains Number of off-site biodiversity units:<br>1)Within planning authority area<br>2)Within an adjacent planning authority area<br>3)Outside and not adjacent to planning authority area | |
| iv) Number of development sites including sensitive areas<br>Number of developments impacting:<br>1)Irreplaceable habitats<br>2)Designated sites<br>3)Protected species | |
| **b) Resulting** | |
| i) Results of monitoring biodiversity gains Number of consented projects:<br>1)Meeting monitoring requirements and delivering expected habitats set out in biodiversity gain plans and Habitat Management and Monitoring Plans<br>2)Meeting monitoring requirements however, failing to deliver expected habitats set out in biodiversity gain plans and Habitat Management and Monitoring Plans<br>3)Failing to meet monitoring requirements set out in biodiversity gain plans and Habitat Management and Monitoring Plans | |
| **2. Actions taken by the planning authority to carry out biodiversity net gain planning functions during the reporting period** | |
| **a) Qualitative** | |
| i. Appropriate plan, strategy or policy document that enables use of biodiversity metric 3's strategic significance multiplier valid for the reporting period (Link to document) | Yes/No |
| b) Quantitative | |
| i. Number of planning consents requiring net gain | |
| ii. Number of projects requiring net gain that have submitted a satisfactory biodiversity gain plan | |

| **3. Plans by the planning authority to carry out biodiversity net gain planning functions in the next reporting period** | |
|---|---|
| **a) Qualitative** | |
| i. Appropriate plan, strategy or policy document that enables use of the biodiversity metric's strategic significance multiplier valid for the reporting period | Yes/No |
| ii. Whether the planning authority is considering proposing its own sites to provide local biodiversity units | Yes/No |
| iii. Whether the planning authority is considering acting as a broker between market unit providers and developers | Yes/No |
| | |

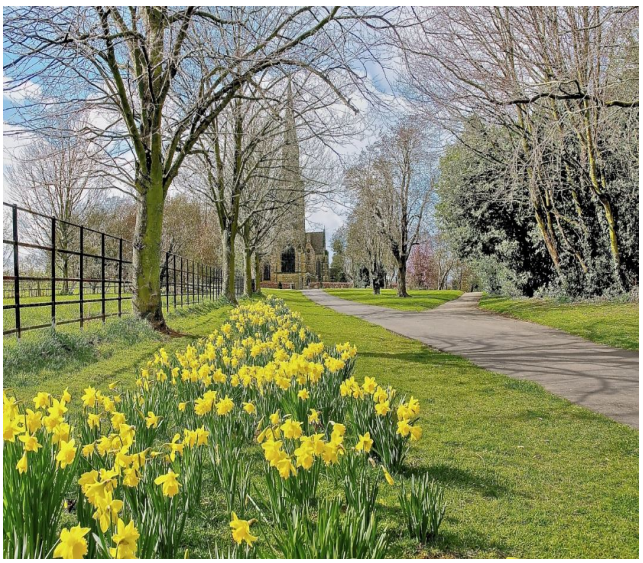
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DRAFT

# Rotherham local plan

## Trees
## Supplementary Planning Document



July 2022

# Chapters

Introduction ..... 2
Legislative and Policy Background ..... 4
Part 1: Existing Trees - Design Stage ..... 10
Part 2: New Tree Planting ..... 18
Part 3: Information Required to Enable Development ..... 21
Part 4: Tree Preservation Orders ..... 24
Contacts ..... 26

# Appendices

Appendix 1: References, Advice and Best Practice Guidance ..... 27
Appendix 2: BS5837 flowchart - Design and Construction Process ..... 29
Appendix 3: Glossary ..... 30

# Introduction

## Background and purpose

1 Trees of all kinds are a material consideration in the UK planning system; therefore, this Supplementary Planning Document (SPD) is designed to support developers when considering the trees within their development proposals and also for providing guidance for tree owners who manage trees protected under Tree Preservation Order (TPO) legislation.

2 For trees in relation to development applications, the document aims to assist developers in fully considering and justifying development proposals with regard to trees; and promotes best practice for incorporating existing and new trees within development proposals. The document provides additional guidance in respect of existing policies within RMBC's adopted Local Plan: Core Strategy and Sites and Policies Document and will be used as part of its assessment of all planning applications. It will also be key to helping Rotherham Metropolitan Borough Council (RMBC) to meet national goals of protecting existing tree landscapes and growing new sustainable trees and woodlands to increase our national tree resource.

3 For trees subject of Tree Preservation Order (TPO) legislation, the document aims to provide tree owners with a no jargon pre-application guide to managing protected trees.

4 The guidance provides general advice to support the protection and improvement of the borough's tree stock and their growing environment. It will help applicants to prepare and submit proposals that are mindful of the needs of trees and the many benefits they provide to a local area; and support the delivery of relevant objectives and policies. Site specific and detailed advice can be obtained on request within the planning process through the paid pre-application procedure.

5 The information in this SPD is collated from a range of design guides, British Standard guides, and industry best practice advice. Links are provided for further details on much of this content in Appendix 1. The information covers the planning application process and detailed development design. The information can be used by developers, agents or consultants throughout the planning process and can apply to single dwellings or larger developments.

6 This guidance is structured as follows:

- **Opening section** Focuses on national legislation, national and local planning policies, and guidance in relation to trees and development.
- **Part 1: Existing Trees - Design Stage** Focuses on assessing existing trees, designing a development scheme, and incorporating trees within the scheme.
- **Part 2: New Tree Planting** Focuses on tree planting and successfully incorporating new trees into developments.
- **Part 3: Information Required to Enable Development** Focuses on protecting existing trees through the development process.
- **Part 4: Tree Preservation Regulations** Focuses on guidance for trees protected by Conservation Areas and Tree Preservation Orders [TPO].

## Status

**7** This SPD has been prepared in line with national and locally adopted planning policy and relevant legislation and regulations. The National Planning Policy Framework (NPPF) identifies that SPDs add further detail and guidance to the policies in the development plan. They are capable of being a material consideration in planning decisions.

**8** As required by The Town and Country Planning (Local Planning) (England) Regulations 2012 (as amended) consultation on a draft of this SPD took place between xx and xx. The accompanying Consultation Statement sets out further detail on this consultation, including who was consulted, a summary of the main issues raised and how these have been addressed in the SPD. It also contains an adoption statement, confirming that this SPD was adopted by Rotherham Council on xxxxx.

# Legislative and Policy Background

## National Planning Policy

**9** The National Planning Policy Framework (NPPF) states that the purpose of planning is to contribute to the achievement of sustainable development – making economic, environmental, and social progress for this and future generations. The natural environment and trees are an essential element of sustainable development and design.

**10** In July 2021, an updated NPPF was adopted. This document provides fresh emphasis on numerous areas of the previous version's wording and the following updates that affect trees in relation to planning policy:

> *8. c) an environmental objective – to protect and enhance our natural, built and historic environment; including making effective use of land, improving biodiversity, using natural resources prudently, minimising waste and pollution, and mitigating and adapting to climate change, including moving to a low carbon economy.*
>
> *11 a) all plans should promote a sustainable pattern of development that seeks to: meet the development needs of their area; align growth and infrastructure; improve the environment; mitigate climate change (including by making effective use of land in urban areas) and adapt to its effects*
>
> *98. Access to a network of high quality open spaces and opportunities for sport and physical activity is important for the health and well-being of communities, and can deliver wider benefits for nature and support efforts to address climate change.*
>
> *110. c) the design of streets, parking areas, other transport elements and the content of associated standards reflects current national guidance, including the National Design Guide and the National Model Design Code.*
>
> *128. To provide maximum clarity about design expectations at an early stage, all local planning authorities should prepare design guides or codes consistent with the principles set out in the National Design Guide and National Model Design Code, and which reflect local character and design preferences. Design guides and codes provide a local framework for creating beautiful and distinctive places with a consistent and high quality standard of design. Their geographic coverage, level of detail and degree of prescription should be tailored to the circumstances and scale of change in each place, and should allow a suitable degree of variety*
>
> *131. Trees make an important contribution to the character and quality of urban environments, and can also help mitigate and adapt to climate change. Planning policies and decisions should ensure that new streets are tree-lined, that opportunities are taken to incorporate trees elsewhere in developments (such as parks and community orchards), that appropriate measures are in place to secure the long-term maintenance of newly-planted trees, and that existing trees are retained wherever possible. Applicants and local planning authorities should work with highways officers and tree officers to*

*ensure that the right trees are planted in the right places, and solutions are found that are compatible with highways standards and the needs of different users.*

*161. c) using opportunities provided by new development and improvements in green and other infrastructure to reduce the causes and impacts of flooding, ( making as much use as possible of natural flood management techniques as part of an integrated approach to flood risk management)...*

**11** Paragraph 174 of NPPF states that planning policies and decisions should contribute to and enhance the natural and local environment by:

*a). protecting and enhancing valued landscapes, sites of biodiversity or geological value and soils;*

*b). recognising the intrinsic character and beauty of the countryside, and the wider benefits from natural capital and ecosystem services – including the economic and other benefits of the best and most versatile agricultural land, and of trees and woodland;*

*d). minimising impacts on and providing net gains for biodiversity, including by establishing coherent ecological networks that are more resilient to current and future pressures;*

*e). preventing new and existing development from contributing to, being put at unacceptable risk from, or being adversely affected by, unacceptable levels of soil, air, water or noise pollution or land instability;*

*f). remediating and mitigating despoiled, degraded, derelict, contaminated and unstable land, where appropriate.*

**12** Paragraph 180 c) states that 'development resulting in the loss or deterioration of irreplaceable habitats (such as ancient woodland and ancient or veteran trees) should be refused, unless there are wholly exceptional reasons and a suitable compensation strategy exists'.

**13** Natural England, in association with the Forestry Commission, provides standing advice for ancient woodlands and ancient and veteran trees which is a material planning consideration. the guidance also sets out when Natural England should be consulted on planing applications.

**14** In 2021 the Government published the England Trees Action Plan2021-2024, which provided guidance and targets about how trees and woodland in England should be managed. The following aims relating to trees in the planning process was also set out in the guidance:

1.27. Propose new guidance through the National Model Design Code on how trees can be included in the built environment, including design parameters for the placement of street trees;

1.28. Propose changes to the National Planning Policy Framework, to make clear the expectation that trees, such as community orchards, should be incorporated in new developments and that streets should be tree lined.

3.12. Introduce a new category of 'Long Established Woodland': woodlands that have been in situ since 1840, alongside ancient woodland. We will consult on the protections these woodlands are afforded in the planning system, recognising their high ecological and societal value;

3.13. Update the ancient woodland inventory to cover the whole of England. This will include mapping smaller ancient woodland sites of 0.25 hectares;

3.16. Ensure future planning reforms will lead to more trees being planted and ensure strong protections for existing trees;

3.17. Work with engineers, developers and arboriculturists to get more trees on streets and in developments, including by revising the Manual for Streets and potentially amending National House Building Council guidance on foundations.

5.8. Build the evidence base to protect ancient woodlands, undertaking research into the interaction between ancient woodland and new development to inform proposals by developers and decisions by planners.

**15** Released in May 2021, the England Trees Action Plan also discusses trees in the following contexts:

- To see trees as part of bio-diversity net gain.
- To see all new streets to be tree lined and free from interference with other infrastructure. To see trees as assets on a development site, rather than burdens.
- Use of development contributions to fund the planning, planting and future management of new trees.
- Tree planting that supports biodiversity and future climate pressures.

**16** The Environment Act was introduced in 2021. The Government has set out tree related targets, including the protection and enhancement of existing trees and woodlands as well as increased tree planting targets.

**17** Alongside these targets the Environment Act also introduces the requirement of Biodiversity Net Gain (BNG) to the planning system. BNG will have the effect of increasing the protection and enhancement of nature and habitats through the planning process. The Local Government Association website provides guidance on BNG and the Environment Act.

**18** The Act sets out the following key components to mandatory BNG:

- Minimum 10% gain required calculated using Biodiversity Metric & approval of net gain plan
- Habitat secured for at least 30 years via obligations/ conservation covenant
- Habitat can be delivered on-site, off-site or via statutory biodiversity credits
- There will be a national register for net gain delivery sites
- The mitigation hierarchy still applies of avoidance, mitigation, and compensation for biodiversity loss
- Will also apply to Nationally Significant Infrastructure Projects (NSIPs)

- Does not apply to marine development
- Does not change existing legal environmental and wildlife protections

This SPD supports the principles of BNG, protecting nature and habitats, but it is not its focus. This SPD is directed towards protecting and, where necessary, replacing the existing tree population affected by a development site. RMBC has produced a separate SPD detailing the council's requirements for BNG.

**19** In July 2021 a new National Model Design Code was published, with a clear, strong desire for the retention of existing trees and the planting of new trees on development sites. There is a particularly strong focus on increased tree cover in streets and the public realm. The following are main stand-out guidance on trees in development:

> *Guidance Notes Paragraph 85. Natural assets such as ancient woodlands, designated sites, mature trees, and protected species should be protected and enhanced in the design of the schemes. Priority habitats and priority species should also be considered within the design process.*
>
> *Page 25. Integrating Habitats: Biodiversity can be enhanced through facilitating habitats and routes for wildlife, for example, incorporating trees, wildflowers, ponds, bat boxes, bee bricks and hedgehog highways.*
>
> *Guidance Notes Paragraph 89. Street trees and other landscape features in streetscapes provide habitat, shading, cooling, air quality improvements and carbon sequestration, as well as being a vital component of attractive places. It is the government's intention that all new streets include trees, and the Urban Tree Challenge Fund is planting 130,000 urban trees across England.*
>
> *Guidance Notes Page 26 Trees and hedgerows: These should be incorporated into public realm and other open spaces as well as private development where appropriate.*
>
> *Page 27 Services: Coordinating tree planting with utilities providers and service ducts early in the lifetime of a scheme can ensure that trees do not interfere with underground services.*

**20** Trees can play a key role in meeting the above requirements and are to be considered as a strategic design element.

## Local planning policy

**21** A core planning principle of the NPPF (Paragraph 114) is to 'set out a strategic approach in their Local Plans, planning positively for the creation, protection, enhancement and management of networks of biodiversity and green infrastructure'.

**22** Rotherham's Local Plan consists of the Core Strategy (adopted in September 2014) and the Sites and Policies Document (adopted in June 2018). These are available from our website: https://www.rotherham.gov.uk/localplan

**23** Rotherham's Local Plan contains strategic objectives and policies that relate specifically to the conservation of its Green Infrastructure; these are supported by development management policies that set out expectations for the conservation and enhancement of Green Infrastructure within the planning system. Trees are an important part of the borough's Green Infrastructure. This guidance provides additional detail to, and should be read in conjunction with, the following policies:

**Table 1 Local Plan Policies**

| Policy | Description |
|---|---|
| **CS19 Green Infrastructure** | Establishes trees as part of borough's Green Infrastructure. Sets out considerations for planning proposals to support Rotherham's Green Infrastructure network, including that a net gain is to be realised through measures including protection and enhancement of existing assets and where this cannot be achieved on site through developer contributions. |
| **CS20 Biodiversity and Geodiversity** | Establishes that trees play an important role in and towards supporting and enhancing biodiversity. Establishes that development must prevent harm, and conserve and enhance the natural environment. Where this cannot be achieved on site compensation measures will be sought |
| **CS21 Landscape** | Establishes that new development will be required to safeguard and enhance the quality, character, distinctiveness, and amenity value of the borough's landscapes. |
| **CS22 Green Spaces** | Establishes that trees play a role in many of the Council's green spaces and that they need to be protected and improved. Also, that green spaces should not be sacrificed for developments. |
| **SP32 Green Infrastructure and Landscape** | Developers to consider existing Green Infrastructure, how to enhance and link to wider networks. Where negative impacts occur proposals for mitigation must be made on or offsite. |
| **SP33 Conserving and Enhancing the Natural Environment** | Development should conserve and enhance existing, and create new, features of biodiversity and geodiversity value. |
| **SP41 Conservation Areas** | Development proposals should conserve and enhance conservation area features, which include trees. The features that contribute to the special character of a conservation area will be safeguarded. |

**24** This guidance can also be used to support policies:

- CS 25 Dealing with Flood Risk
- CS 27 Community Health and Safety
- CS 28 Sustainable Design
- SP 13 Gypsy and Traveller Sites
- SP 55 Design Principles

25 Rotherham Council also follows the design principles set out in the South Yorkshire Residential Design Guide (2011). However, given the age of the document we also recommend it is read in conjunction with the design documents produced by the Trees and Design Action Group (TDAG),and Homes England's Streets for a Healthy Life.

26 With regards to trees, the design guide sets out the following guiding principles:

- Carrying out an appraisal of existing green infrastructure, which includes trees and how best to integrate them into the final scheme.
- Provision of British Standard 5837 surveys for existing trees.
- Using trees and other natural features to provide a strong sense of local identity.
- The use of trees to provide multiple benefits to a completed scheme, such as microclimate and air quality management, wind breaks, community woodlands and orchards, speed management on roads, provision of green corridors and habitat, define boundaries and space.
- The principle of commuted sums for trees passing into local authority management
- Confirming how trees on the development will be managed into the future.
- Carrying out a full design appraisal of trees, their needs, and their impact on the development.

## Emerging Legislation and National Guidance

27 Recent documents on the Government's position and emerging and proposed legislation regarding trees and nature conservation are detailed below.

28 HM Government: A Green Future: Our 25-Year-Old Plan to Improve the Environment, was published in 2018 and sets out the Government's commitment to improving the natural environment over the next 25 years. The term 'development' is mentioned 90 times in the document and is clearly crucial to delivering on the Governments targets. Trees are integral to much of this document's aspirations, such as planting 11 million woodland trees and 1 million urban trees

## Part 1: Existing Trees - Design Stage

**29** Due to the many positive benefits that trees can provide to a development RMBC encourages consideration of existing trees and hedgerows at the earliest possible design stage to allow successful integration in any proposed development. To positively integrate trees into a development, it is crucial to provide enough space in the design for trees to mature.

**30** Development can lead to both direct and indirect impacts on existing trees. The direct impacts include air, water, light, or noise pollution or vibration; damage to trees or their soils or fungi; and root damage. Impacts on nearby habitats can also have indirect impacts on trees through reduction of woodland species.

**31** Just some of the benefits provided by trees to developers that are detailed in the Trees and Design Action Group's (TDAG) publications, Trees in the Townscape (2012) & Trees in Hard Landscapes: A guide for Delivery (2014), and they are:

- Trees can provide an uplift in value for developers as they contribute to placemaking,
- Studies show that the presence of trees can increase land and property values,
- Incorporation of trees into residential developments increases the sales rate, enabling developments to be built out faster,
- The presence of trees encourages increased retail spending,
- Trees contribute the creation of a quality space,
- Trees influence both the physical and mental health of local communities.
- Reduced stress and mental health conditions
- The benefits of tree cover increase with age; therefore, the retention of existing trees should be prioritised.
- Increased active travel due to more attractive streets and parks.
- Patient recovery
- Nature conservation and habitat connectivity
- Traffic calming
- Carefully positioned trees can improve sightlines and help to slow down cars. Within urban settings they can be used as an alternative to bollards and speed bumps
- Trees can contribute to reducing storm water run-off
- Air pollution control
- Trees can influence ambient temperatures around buildings by providing shading from the sun and shelter from dominant winds and this can reduce energy usage for both heating and cooling.
- Trees and shrubs help to mask noise through the rustling of leaves, the movement of branches in the wind
- Trees form an important part of the response to the Climate Emergency, both reducing carbon emissions and mitigating the effects of past emissions.

**32** Trees form an important part of the response to the Climate Emergency, both reducing carbon emissions and mitigating the effects of past emissions.

**33** The presence of trees encourages increased retail spending and increased active travel, as routes featuring trees are perceived as shorter. Studies show that the presence of trees can increase land and property values, and developers have indicated that incorporation of trees into residential developments increases the sales rate, enabling the development to be built out faster. The benefits of tree cover increase with age; therefore, the retention of existing trees should be prioritised.

**34** Trees and their retention should always be a driving factor in influencing the layout of the development site. It is therefore desirable for engagement with the Council at the earliest opportunity through our pre-application process to see how development may affect trees and to identify mitigation and compensation measures where necessary. However, any proposals for the site should not be fully developed at this stage.

**35** The Council promotes the recommendations outlined in the latest version of British Standard: 5837 'Trees in Relation to Design, Demolition and Construction – Recommendations' (hereafter referred to as BS5837). This document gives recommendations and guidance in achieving an acceptable connection of new built structures with trees, shrubs, and hedgerows.

**36** BS5837 references a number of plans and documents relating to the assessment of trees and their ability to be integrated into a development. Some or all of which may be required to be submitted in support of planning applications.

**37** Appendix 2 of this document reproduces the British Standard flowchart (Figure 1 The Design and Construction Process and Tree Care) in relation to the stages of the design process and construction and identifies the step-by-step process of integrating trees successfully into a development. The flowchart also describes when certain and specified documents will be required. It is strongly recommended that developments involving trees follow this iterative process to demonstrate that trees and their retention and inclusion has been fully considered from the genesis of the scheme.

**38** The following surveys and reports are required when applying for pre-application advice for all sites that contain trees or are within falling distance or 15m (whichever is greater) of the site boundary:

- Tree Survey
- Tree Retention/Removal Plan (draft)

**39** The following surveys and reports are required to support an application for all sites that contain trees or are within falling distance or 15m (whichever is greater) of the site boundary. Planning applications may not be validated if the following documents are not submitted:

- Tree Survey and Arboricultural Impact Assessment (AIA)*
- Tree Protection Plan*
- Arboricultural Method Statement (draft)
- Topographical survey (required for significant level changes)
- New Landscaping Plan*

* = mandatory unless agreed otherwise in writing by LA

**40** Dependent on the complexity of a development it may be that further information is required to fully assess the impact on trees. For these documents we direct you to Table B1 of BS5837.

**41** Trees provide habitats for many species, including bats, birds, insects, and invertebrates, they can also support lichen, mosses, and fungi, some of which are protected by legislation and are a material consideration in the planning process.

**42** Sites with trees that exhibit bat roost potential will be required, prior to determination of the planning application, to ensure compliance with the requirements of the Habitats Regulations 2010 (as amended) which gives bats and their roosts full protection. The presence of roosting bats does not necessarily preclude tree works from taking place. However, a mitigation scheme and a European Protected Species licence from Natural England is required before any tree works can commence.

**43** By far the most habitat rich trees are those described as veteran or ancient. The types of tree features which are commonly associated with veteran or ancient trees are cracks in limbs, large cavities or hollowing of the main stem, major deadwood, and an association with epiphyte species. For further information on identifying ancient and veteran trees we recommend the guidance produced by the Ancient Tree Forum, particularly Ancient Tree Guide no.4: What are ancient, veteran and other trees of special interest

**44** Ancient and veteran trees are classed as irreplaceable habitats and Paragraph 180 (c) of the NPPF (2021) states:

> *c) development resulting in the loss or deterioration of irreplaceable habitats (such as ancient woodland and ancient or veteran trees) should be refused, unless there are wholly exceptional reasons and a suitable compensation strategy exists*

**45** Sites with trees identified as ancient or veteran should give extra design consideration to reflect the arboricultural, ecological and cultural significance of these trees.

## Tree Categorisation: Identifying trees suitable for retention and removal

**46** The Council's planning service requires each application to meet the specific validation requirements for each type of planning application. In relation to tree retention or removal, validation requires that they should be clearly shown on the plans submitted with a planning application. Failure to do so will result in the planning application not being validated. The more detailed and comprehensive the supporting information is, the lower the likelihood of delays to the consideration of an application.

**47** All trees should be assessed for their suitability for retention and then categorised in accordance with BS5837. This categorisation should be completed prior to drawing up any plans for the proposed development as any trees suitable for retention should inform the final site layout.

**48** Trees which are protected by a Tree Preservation Order (TPO) or classified within retention category A or B in a BS5837 survey shall be retained on the site. If it is proposed that one of these trees is to be removed, then the Council will request the applicant to alter the site design or demonstrate how the removal is essential and propose mitigation measures. The Council

anticipates that any category C trees on site may be removed and their collective value mitigated through re-planting on or off site in accordance with the Local Plan – Core Strategy Policy CS19 refers. This Supplementary Planning Document introduces the Rotherham Tree Replacement Standard (Page 11) to enable satisfactory application of and ensure compliance with, adopted Local Plan policies. Each site will be considered on its individual merits, giving consideration to the surrounding landscape and existing tree canopy cover.

## Tree Survey and Tree Schedule

**49** A tree survey must be submitted alongside a planning application and should be in accordance with the guidance in BS5837, section 4.4. It is highly recommended that the survey is undertaken by a qualified arboriculturist. The results of the tree survey should be used to inform feasibility studies and design options.

**50** The tree survey should be presented as a tree survey plan alongside the accompanying schedule. Please ensure that for clarity the tree survey plan includes the following:

- The position of all trees accurately plotted and numbered
- The crown of each tree correctly plotted at the four cardinal points
- The extent of the root protection area of each tree (taking account of site features that may alter its location)
- The BS5837 retention category
- The plan to be of a standard and workable scale (e.g., 1:200 scale)

## Topographical Survey

**51** In addition to the tree survey a topographical survey and soil assessment survey maybe required should the proposal include any significant land level changes greater than 50mm within root protection areas. It should detail the physical features of the site and will be used to inform the design, layout, and implementation of the development proposal.

## Arboricultural Impact Assessment (AIA)

**52** The Council recommends that an AIA is submitted alongside a planning application for any site which contains or is adjacent to trees, irrespective of whether these trees are to be retained or removed. An AIA will demonstrate that all tree related impacts of the proposed development have been fully considered.

**53** An AIA submitted to the Council must conform to the standards set out in BS5837, section 5.4, which requires an AIA to include a scaled site plan that details:

- The position of all trees on and adjacent the site.
- The root protection areas (RPA) of the trees.
- The proposed design layout.
- Trees to be removed to facilitate the development and trees to be retained.
- Other activities potentially damaging to trees (i.e., level changes, removal/creation of hard surfacing, service runs, etc.).

- Areas that can be used for site accommodation, vehicle parking, material storage etc.
- Pruning to retained tree(s).*
- Issues to be addressed by an arboricultural method statement (see below), where necessary in conjunction with input from other specialists.
- Assessment of lost tree value arising from the development proposals and the proposed mitigation (see section - How we value trees).

* Developments that require significant pruning works or that will require ongoing maintenance to reduce tree related nuisance will not be considered favourably. Retained trees should be given adequate room for all aspects of the tree to develop to maturity.

## How we value trees

**54** Section 174 of the NPPF requires planning policies and decisions to contribute to and enhance the natural and local environment and to enhance valued landscapes and sites of biodiversity. To achieve these outcomes there is an implicit requirement to identify and introduce a valuation assessment system for Green Infrastructure. Without such a system being in place, it is impossible to assess whether the site has suffered irreplaceable loss or enhancement and whether maintenance has occurred, as a result of the development. RMBC's Core Strategy in accordance with the NPPF requires net gain in Green Infrastructure, again this demonstrates an implicit need for an assessment/valuation of an asset. The Environment Act 2021 requires a minimum 10% net gain in Biodiversity.

**55** In order to fully meet the requirements of the NPPF and the Local Plan, RMBC has reviewed and assessed the attributes of many different systems and methods of valuing trees, each with their respective strengths, weaknesses, and specific focus. The methodology detailed below is the favoured approach, that will be adopted by RMBC: it is called the Rotherham Tree Replacement Standard.

## Rotherham Tree Replacement Standard (RTRS)

**56** RTRS is designed as a straightforward method to assess the value of trees based on a financial replacement cost, where it is accepted that the retention of a tree on site is untenable and all possible efforts to retain the tree have been explored. The council expects the value of lost trees to be replaced, through replanting either on or off site (or a mix of both) in accord with Core Strategy policy CS19 using the RTRS.

**57** RTRS is presented in two sections; the first section includes trees of significant public importance (e.g., council-owned or trees protected by TPO legislation) and the second will cover all other trees.

Section 1 - Where a tree is in council ownership or protected by TPO Legislation (TPO or Conservation Area), RMBC will value the tree using the Capital Assessment Valuation of Amenity Trees (CAVAT) method[(1)]

1 The CAVAT method was developed by the London Tree Officers Association and is considered to be the most appropriate valuation method for trees that are either publicly owned, or of public importance. CAVAT places a fiscal value on a tree based on its size, condition and public visibility and gives the applicant the information to make

Section 2 – Where trees are not council owned and are not considered worthy of protection under TPO legislation, they will be valued according to Table 2 below.[2]

**Table 2 Valuing Trees not in Council Ownership or subject to TPO**

| Removed Tree DBH (Diameter at Breast Height) (cm@1.5m) | Replacement Trees<br><br>Number | Notes |
|---|---|---|
| 0 - 7 | 0 | As per Conservation Area legislation, no replacement trees are required for 7DBH and below |
| 8 - 14.9 | 1 | |
| 15 - 19.9 | 2 | |
| 20 - 29.9 | 4 | |
| 30 - 39.9 | 5 | |
| 40 - 49.9 | 6 | |
| 50 - 59.9 | 8 | |
| 60 - 69.9 | 10 | |
| 70 - 79.9 | 12 | |
| 80 - 99.9 | 15 | |
| 100+ | 20 | |

**58** The two sections combined work in conjunction with the replacement tree planting costs (see below) to provide a required replanting number.[3]

**59** It is not the intention of the RTRS to address net gain as required under both the NPPF and the Local Plan - Core Strategy. RMBC is due to publish a separate SPD that will address how developments will contribute to net gain in Rotherham. RTRS is only intended to assess the existing tree benefits on site and seeks to replace any loss, preferably on site or, where that is not possible, off site.

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informed choices regarding the development design with regard to valuable trees. The system is also an open-source document making it available to all.

2 Trees that do not pass the tests requiring protection under TPO designation still have the potential to provide significant ecological and environmental value and their loss shall still incur a replacement requirement to replace these lost benefits. As tree benefits increase in relation to a tree's size Table 2 of the RTRS details how many trees will be required to replace the lost benefits in line with the lost tree's size.

3 It is expected that replacement trees will be of Selected Standard Nursery Stock (10-14cm girth) although other stock types and sizes may be used where appropriate. Replacement tree details are required to be included in a landscape plan which will be conditioned through the planning process.

## Replacement Tree Planting

**60** Where the Council accepts that tree loss is unavoidable, the applicant will comply with Local Plan - Core Strategy policies CS19 and CS20, specifically in relation to the protection and enhancement of Green Infrastructure and biodiversity and where necessary the provision of developer contributions. CS19 and CS20 are summarised in the introduction, but the policies should be read in full.

**61** Where the AIA has highlighted the need for replacement planting the applicant must take into account the number; sizes and species of the trees lost when suggesting replanting. RTRS is to be used to assess the replacement planting numbers required to mitigate tree loss and contribute to the protection and maintenance of tree and woodland cover across the Borough.

**62** The applicant should look to replace lost tree value on site in the first instance, however where this is not achievable the Council may require a financial contribution to achieve the planting and maintenance of the trees off site in line with Local Plan - Core Strategy Policy CS19 and CS20. At the time of drafting, costs are as detailed below. Please note that these costs will be subject to change over time and are provided as example costings at this time. Please contact the Council for clarification and up to date costs at the time of submission of the planning application:

**63** Developer Contribution costs

- To supply, plant and maintain one tree = £396.00.
- To supply, plant and maintain one hectare of woodland = £18960.00

**64** Example of Landscaping Costs

The following provides an example of the costs (at 2021) associated with tree removals on a development site. The example below refers to the removal costs of a TPO tree, which has been CAVAT valued at £10,000, and the removal of four other trees:

**Table 3 Example of Cost for Tree Removal on a Development Site**

| RTRS | Trees to be Removed | Value | Replacement Trees as required by sections 1 & 2 | Total Number of Trees Required |
|---|---|---|---|---|
| Section 1 | 1 x TPO tree | £10,000 | 10000/396 = 25 trees | 25 |
| Section 2 | 4 Other Trees | 18 Diameter at Breast Height (DBH) | 2 | 2 |
| | | 24 DBH | 4 | 4 |
| | | 25 DBH | 4 | 4 |
| | | 41 DBH | 6 | 6 |
| **Total** | | | | **41** |

| RTRS | Trees to be Removed | Value | Replacement Trees as required by sections 1 & 2 | Total Number of Trees Required |
|---|---|---|---|---|
| Trees that can be planted on site | | | | 10 |
| Developer Contribution for Off-Site Tree Planting | | | 31 x £396 | £12,276 |

**65** All developer contributions will go towards tree planting and in locations as close to the associated development as possible, in order to maintain tree related amenity in that locality. However, RMBC also reserves the right to use the funds elsewhere in the affected and neighbouring wards to meet the requirements of Paragraph 175 of the NPPF:

> *...take a strategic approach to maintaining and enhancing networks of habitats and green infrastructure; and plan for the enhancement of natural capital at a catchment or landscape scale...*

**66** Where there is evidence of prior felling, RTRS will be applied retrospectively to include all trees felled prior to the submission of the planning application. In this way any trees felled before the development will be taken into account when considering the application of RTRS.

**67** Other than in exceptional circumstances, hedges will not be seen as acceptable mitigation for tree canopy loss when applying RTRS.

**68** For guidance on incorporating tree planting into a development please refer to Part 2: New Tree Planting

# Part 2: New Tree Planting

## Tree Landscaping

**69** New landscaping is essential to new development proposals to assist in their integration into the existing landscape. For new landscaping to be successful it must be given consideration at as early a stage of the development process as is possible.

**70** Fully established trees provide enormous benefits to both the development and the wider landscape. However, mature trees also carry the potential to cause unnecessary nuisance if they are not correctly planned for at the design stage. Adopting industry best practice, design and materials can enable the successful establishment of trees to maturity in both rural and urban settings.

**71** The following factors should always be considered when planning a tree planting scheme:

- Adequate space allowed for trees to reach their full mature height and spread without, causing nuisance to adjacent structures, utilities, and occupants
- The need for extensive pruning operations to maintain size

**72** Sufficient Soil Volume must be afforded for trees to reach their natural, mature size either through:

- Planting in sufficient soft landscaping,
- Creation of structured soil environments using techniques based on the Stockholm Tree Pit Design
- Provision of cantilever or supported hard surfaces to avoid compaction of the underlying soil structure

### Species suitability

- Canopy density, seed, fruit, and honeydew drop in relation to targets.
- Resilience to pests, disease, and climate change. It is recommended that the 10-20-30 rule is followed to ensure a wide spread of species, genus and tree families are used. **(4)**
- Suitable for location planting positions adjacent structures such as boundary walls, hard surfacing, buildings, etc. Appropriate species choice and or engineering solutions will be required to demonstrate how potential tree related damage will be avoided
- Suitability for their surroundings. Tree planting should always aim to compliment and reflect the architecture, historic environment, and the local landscape.

## Tree Planting Scheme

**73** Where new tree planting is to be provided, to gain approval the following details shall be included within the proposed tree landscaping scheme:

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4 From TDAG: where no family represents more than 30%, no genus more than 20% and no individual species more than 10% of the total tree population

- A scaled plan showing the locations of new trees (the locations of existing trees must also be identified on the plan)
- The species and stock size.
- The planting intended to mitigate the tree losses detailed in the AIA.
- An assessment of the suitability of the planting location, as set out in this Supplementary Planning Document.
- Actions taken to mitigate any foreseeable issues i.e., the use of root barriers/deflectors, flexi-paving, appropriate species selection, structured soils, foundations, etc.
- Proposals shall be in accordance with British Standard 8545:2014 - Trees: from Nursery to Independence.

## Street Tree Planting

**74** The NPPF and National Design Guide (2021) now require strong consideration to be given to the inclusion of street trees into development design. This can include new streets created within developments or where a development fronts or joins a highway.

**75** In such circumstances the incorporation of street trees must be considered at the design stage of the development to ensure that there is an adequate provision made for rooting areas and tree pit design to abate future nuisance.

## Commuted Sums

**76** There are ongoing costs relating to the long-term management and maintenance of trees and this responsibility shall lie with the developer responsible for the planting of the trees. This is most appropriately demonstrated by the draft guidance included within the NPPF (2021), which states that 'appropriate measures are in place to secure the long-term maintenance of newly-planted trees'.

**77** One of the significant aims of the proposed National Tree Strategy is '...Use of development contributions to fund future maintenance.'.

**78** Therefore, where new trees are planted on RMBC land arising from developer contributions; there will also be a need for the tree planting to be supported by a maintenance contribution to ensure that the new tree is capable of becoming successfully established to maturity.

**79** The principle of Right Tree, Right Place will be adhered to, to ensure that these costs are kept to an absolute minimum. A species of tree that is capable of growing to maturity, without impacting on neighbouring infrastructure and buildings, will be chosen. The costs that will be requested as a commuted sum will fund the following operations for the first 10 years of the tree's life (overleaf):

**Table 4 Ongoing Maintenance Costs**

| Operation | Occurrence | Cost |
|---|---|---|
| Formative Prune | Twice | £38 |

| Operation | Occurrence | Cost |
|---|---|---|
| Crown lift to provide suitable clearance | Twice | £40 |
| **Total** (per Tree) | | £78 |

**80** RMBC will consider applying TPOs to a development's newly planted tree landscaping plan. TPOs will be used in this manner where a development's consent is dependent upon the successful implementation and establishment to maturity of the scheme's newly planted trees to ensure replacement of lost tree amenity.

## New Tree Planting in Planters

**81** RMBC will not count trees planted in above ground planter locations as suitable replacements for lost trees, as the reduced soil allocation and increased maintenance requirements are not sustainable and rarely see trees growing to their natural, mature size.

# Part 3: Information Required to Enable Development

## Tree Protection

**82** Whilst trees are capable of reacting to small changes in their environment, the intensive activities that can occur on a development site usually go well beyond what even a healthy tree can endure. Normal construction activity can significantly damage trees; therefore, it is important to ensure that any trees or hedgerows which have been earmarked for retention are effectively managed and protected during the construction of a development to ensure the preservation of these valuable Green Infrastructure assets.

**83** The following are just some of the ways that can lead to trees and hedges becoming damaged during construction:

- Soil Compaction: When soil is compacted it prevents air, water and nutrients reaching the roots of the tree and causes the soil structure to be damaged. Soil compaction is mainly caused by vehicular movement and storage of materials, including bricks, soil, gravel, and cement.
- Excavations: Any excavations on development sites which are within a root protection area (RPA) may cause the roots to break. This will hinder the tree's ability to take up water and nutrients, it will lead to decay and could also impact on the tree's stability. Any excavation work which is proposed within an RPA would have to be agreed with the Council prior to any work being undertaken.
- Ground Level Changes: Both a reduction and a rise in soil levels can be detrimental to the roots of a tree. The reduction of ground levels may cause the roots to be severed, whilst any rise in the levels of soil could impact on the compaction of the soil and lead to suffocating the roots.
- Impact Damage: The use of machinery can cause damage to trees which can include, torn branches, damage to bark and the trunk, which can cause an easier access of diseases and parasites and lead to decay.
- Soil Contamination: Construction materials such as concrete, fuel and oil can cause contamination if it comes into contact with the soil. These substances are poisonous to trees and can see a sharp decline in their health.
- Intense Heat and Fire: Roots, bark and the low branches of a tree can be damaged by exposure to intense heat and fire.

## Tree Protection Plan

**84** Tree protection is essential during the demolition, construction, and landscaping phases of a development. Identifying exclusion zones for each tree and future planting locations will ensure that any development activity, storage of materials, waste or equipment does not damage existing trees and future planting locations.

**85** The Council requires an outline Tree Protection Plan and a draft method statement at the application stage for developments where the Arboricultural Impact Assessment (AIA) has highlighted direct or indirect tree conflict. In other cases, conditions will be imposed requiring the submission of Tree Protection Plan before works commence.

**86** Any Tree Protection Plan must be in accordance with BS5837 showing the retained trees in relation to the final layout. It should identify the positions of all barriers, ground protection and any other methods to be used to protect the trees. Where necessary the Council may also ask for an accompanying Arboricultural Method Statement to detail specific tasks or operations during the demolition and/or construction phase.

**87** Without a Tree Protection Plan or specific method statement where requested, planning permission may be refused or planning conditions may not be discharged.

## Arboricultural Method Statement (AMS)

**88** Where it is deemed necessary that development activities are undertaken in close proximity to trees, the Tree Protection Plan should include an AMS to demonstrate how impact to the trees will be kept to an absolute minimum. An AMS is a detailed description of work that describes the timing and construction techniques which will be undertaken to minimise the impact on trees. The advice of an arboricultural consultant should be sought when preparing an AMS.

**89** Examples where an AMS may be required include but is not limited to:

- Removal of existing structures and hard surfacing.
- Installation of ground protection.
- Excavations and the requirement for specialized trenchless techniques.
- Installation of new hard surfacing.
- Specialist foundations – installation techniques and effect on finished floor levels and overall height.
- Retaining structures to facilitate changes in ground levels.
- Preparatory works for new landscaping.
- Auditable/audited system of arboricultural site monitoring, including a schedule of specific site events requiring input or supervision.

**90** It is possible that the requirement for additional information in respect to specific operations will be highlighted and requested during the application process. This detail may require the input from specialists in a particular field and so could be regarded as onerous on some applications prior to decision. RMBC will therefore request the information is conditioned where appropriate so as not to hinder the decision process.

## Arboricultural Supervision

**91** The Council advises that, prior to construction works being undertaken, the services of an arboricultural consultant are sought to monitor the tree protection measures on site. It is highly recommended that arboricultural supervision is used in the following circumstances:

- Prestart meeting with a Rotherham Council Tree Officer

- Initial implementation/installation of the tree protection measures and any authorized changes during the development
- Approved incursions into construction exclusion zones
- Final removal of the tree protection measures

**92** Where a development site requires particularly detailed or intensive work adjacent to trees or where trees have a particularly high value, RMBC may set conditions on planning applications for arboricultural supervision to take place during the development process.

**93** It is the responsibility of those undertaking site works to ensure that checks are undertaken for any protected species and the construction works timing is altered to reflect the necessary acts.

## Trees and Permitted Development

**94** There are some forms of development which do not require planning permission and can be completed under Permitted Development. However, where such developments affect trees protected by TPO legislation then consent will be required from the Council through the TPO works application process.

**95** Where a TPO works application is required, this will be accompanied by plans that show the proposed development in relation to the TPO tree(s) and provides details of the measures to be taken to protect the tree(s) and their rooting area throughout the development. Given that trees protected by TPO legislation carry great public importance then documents detailed in Part 1 will be requested to demonstrate that the development is possible, without loss or damage to the tree(s).

**96** For any development proposal classed as permitted development where there are trees on the site, the applicant is recommended to contact the Council and discuss the proposals with a Tree Officer before carrying out any works on site to ensure no Protected Trees will be affected by the works. If consent is not sought before starting work this could lead to prosecution as a contravention under the TPO legislation.

**97** Guidance as to what constitutes Permitted Development can be found at Permitted Development Rights for Householders: technical guidance

## Part 4: Tree Preservation Orders

**98** The following section provides standing pre-application advice for homeowners and contractors making tree work applications for trees protected either by a TPO or a section 211 notification for trees protected by a conservation area. For full guidance on trees in relation to TPO legislation you are encouraged to view the government guidance: Tree Preservation Orders and Trees in Conservation Areas

**99** Trees within a conservation area or protected by a TPO have statutory protection in UK law. When considering pruning or removal of a protected tree it is essential that the correct procedure is followed to avoid contravening the TPO legislation.

**100** TPO tree works applications and conservation area section 211 notices can be submitted via the Planning Portal

**101** For a tree works application/notification to be validated, it must provide the following information completed on the tree works application form:

- All information as requested on the application shall be provided.
- A clear specification describing the works to be carried out.
- A clear plan that accurately identifies those trees that will receive the described works.
- The reasons why the works are to be undertaken.
- Any further evidence required to demonstrate the need for the work (where applicable)

**102** Where an application/notification is received, it will be assessed on the following grounds:

- The level of amenity provided by the tree to the local area.
- The tree's health and structure.
- Whether the proposed tree works will have a negative impact on the tree's health, structure and the amenity provided to the local area.
- Does the application sufficiently demonstrate the necessity of the works, to abate a health and safety issue for people or property.

**103** For successful applications it is recommended that all proposed works follow the recommendations set out in the current British Standard for tree works operations BS3998:2010 (or its latest equivalent); a competent arborist or consultant can help with this.

**104** Tree work specifications should be detailed and accurate and shall provide a description of what will remain of the tree following completion of the works; for example:

- T1 Maple – Crown reduce by 2 metres to leave a tree of 15 metres in height and a crown spread of 12 metres. Or;
- T1 Maple – Reduce lateral branches to provide a maximum clearance of 2 metres from the house.

**105** A summary of post completion works to the tree / trees allows for the pruning work to be adequately assessed after the work is completed.

**106** The inclusion of photographs or map images to aid identification, highlight specific concerns of health or structural issues is welcome and will often aid with speed of decisions.

**107** Where protected trees are proposed for removal or where tree works are proposed that go beyond the recommendations of British Standard 3998, a written report detailing the need for such works, prepared by an appropriate professional, is likely to be required – as detailed in section 8 of the TPO application form.

**108** Where proposed works for TPO applications are found to be unacceptable, the Tree Service will, where possible, suggest alternative suitable works as part of the application process.

**109** Where proposed works for Conservation Area section 211 notifications are found to be unacceptable, then RMBC will assess the tree for inclusion in a TPO. There is not an option for RMBC to alter a Conservation Area notification works specification.

**110** RMBC uses the Tree Evaluation Method for Protection Orders (TEMPO) to assess the amenity provided by a tree.

**111** Please be aware that some works are exempted under the TPO legislation and do not require a TPO application or Conservation Area notification before they can be carried out. However, tree owners, their agents and contractors, statutory undertakers and other bodies should take care not to exceed an exemption.

**112** Before carrying out work you believe is exempt, you may wish to obtain advice from a qualified arboriculturist and/or confirmation from the authority of what is and what is not required. The following is a list of works that can be completed under exemption:

- on dead trees and branches
- on dangerous trees and branches
- to comply with an Act of Parliament
- to prevent or abate a nuisance
- necessary to implement a planning permission
- on fruit trees
- by or for statutory undertakers
- for highway operations
- by the Environment Agency and drainage bodies
- for national security purposes.

**113** In advance of carrying out works to trees under exemption, it is highly recommended that confirmation of the works intended to be undertaken and when, so that the proposed works can be evaluated, and advice provided where necessary. If we receive notice of work under any exemption, we may decide to inform the notifier that we consider the exemption does not apply.

## Contacts

If you have any questions regarding this Supplementary Planning Document, please contact Planning Policy:

Submit an enquiry to Planning Policy online:

https://www.rotherham.gov.uk/xfp/form/535

| | |
|---|---|
| Email: | planning.policy@rotherham.gov.uk |
| Telephone: | 01709 823869 |
| Website: | https://www.rotherham.gov.uk/localplan |
| Post: | Planning Policy Team, Planning, Regeneration and Transport, Regeneration & Environment Services, Rotherham Metropolitan Borough Council, Riverside House, Main Street, Rotherham, S60 1AE |

For planning application and pre-application advice, please contact Development Management:

Submit an enquiry to Development Management online:

https://www.rotherham.gov.uk/xfp/form/216

| | |
|---|---|
| Email: | development.management@rotherham.gov.uk |
| Telephone: | 01709 823835 |
| Website: | https://www.rotherham.gov.uk/planning |
| Post: | Development Management, Planning, Regeneration and Transport, Regeneration & Environment Services, Rotherham Metropolitan Borough Council, Riverside House, Main Street, Rotherham, S60 1AE |

For Trees and Woodlands queries please contact the Trees and Woodlands Team:

| | |
|---|---|
| Email: | treesandwoodlands.enquiries@rotherham.gov.uk |
| Telephone: | 01709 823835 |
| Website: | Conservation and Regeneration |
| Post: | Trees and Woodlands Service, Culture, Sport and Tourism, Regeneration & Environment Services, Rotherham Metropolitan Borough Council, Riverside House, Main Street, Rotherham, S60 1AE |

# Appendix 1: References, Advice and Best Practice Guidance

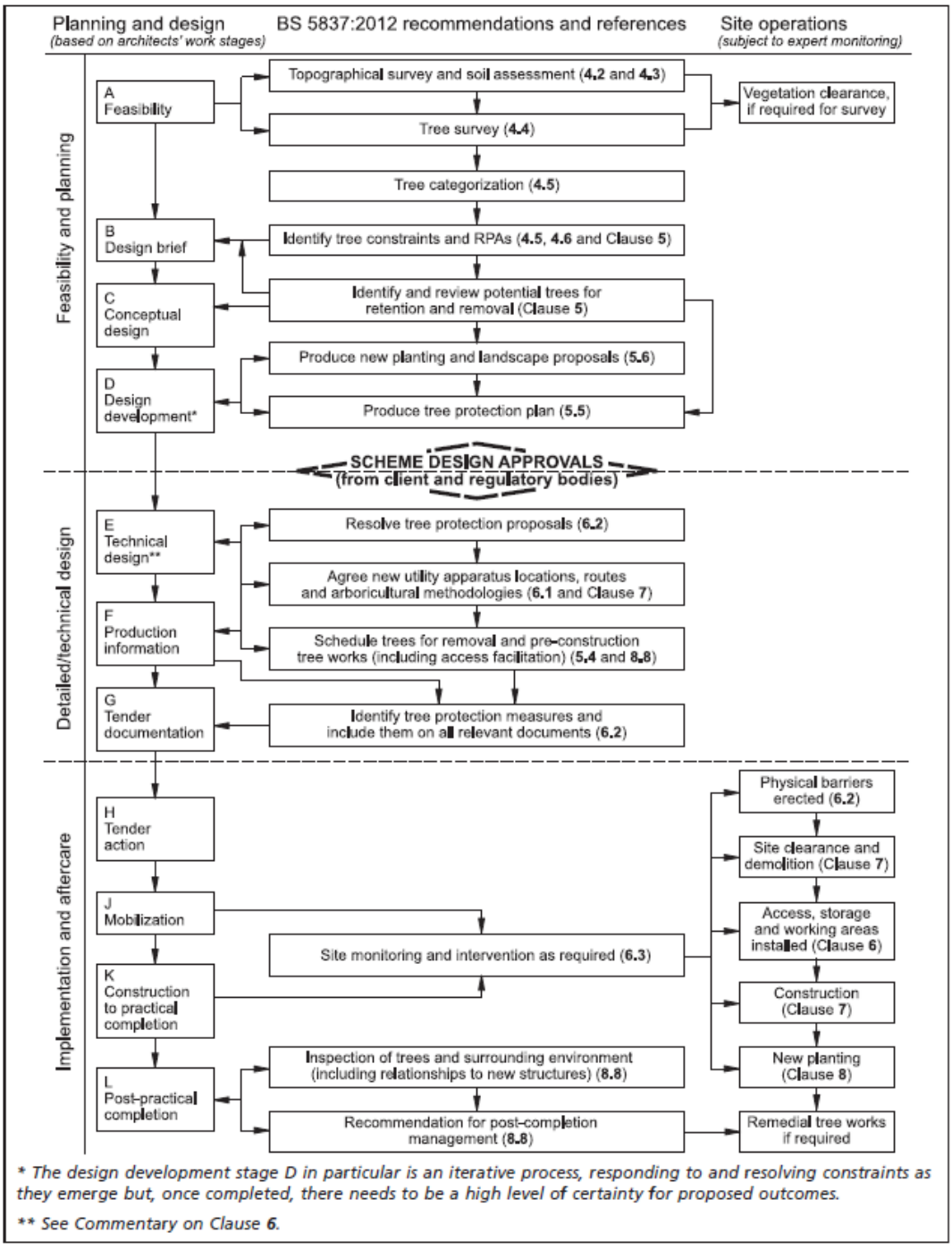
**Table 5 References, Advice and Best Practice Guidance**

| | |
|---|---|
| National Planning Policy Framework Draft 2021 (NPPF) | Draft National Planning Policy Framework 2021 |
| National Model Design Code | National Model Design Code |
| 25 Year Environment Plan | 25 Year Environment Plan |
| England Tree Strategy | England Tree Strategy |
| Rotherham Core Strategy 2014 | Core Strategy |
| Rotherham Sites and Policies Development Plan Document 2018 | Sites and Policies Document |
| Tree Preservation Order Guidance | Tree Preservation Orders & Trees in Conservation Areas |
| Permitted Development Rights | Permitted Development Rights For Householders |
| Planning Portal | Planning Portal |
| Natural England | Natural England |
| European Protected Species | European Protected Species |
| Ancient and Veteran Trees | Ancient and Veteran Trees |
| British Standard 3998 | BS3998 |
| British Standard 5837 | BS5837 |
| British Standard 8545 | BS8545 |
| Tree Evaluation Method for Preservation Orders (TEMPO) | TEMPO |
| Capital Asset Valuation of Amenity Trees (CAVAT) | CAVAT |
| Right Tree Right Place | Urban Tree Manual |
| Stockholm Tree Pit Design | Stockholm Tree Pit Design |
| Trees and Design Action Group | Trees and Design Action Group Home<br>• Trees in the Townscape: A Guide for Decision Makers (2012)<br>• Trees in Hard Landscape: A Guide for Delivery (2014) |

| | |
|---|---|
| | • Tree Species Selection for Green Infrastructure (2018)<br>• First Steps in Valuing Trees (2019)<br>• Trees, Planning and Development: A Guide for Delivery (2021) |
| Arboriculture Association | Arboriculture Association |
| Local Government Association (BNG guidance) | www.local.gov.uk/pas/topics/environment/biodiversity-net-gain |
| South Yorkshire Design Guide (2011) | Planning Guidance – Rotherham Metropolitan Borough Council |
| Homes England, Streets for a Healthy Life (Issue 2) | 04791-sfhl_issue-01.pdf (tdag.org.uk) |

# Appendix 2: BS5837 flowchart - Design and Construction Process

Figure 1 The design and construction process and tree care




** The design development stage D in particular is an iterative process, responding to and resolving constraints as they emerge but, once completed, there needs to be a high level of certainty for proposed outcomes.*

*** See Commentary on Clause 6.*

## Appendix 3: Glossary

**Ancient Woodland:** An area that has been wooded continuously since at least 1600 AD.

**Biodiversity:** is the whole variety of life on earth; all species of plants and animals and the ecosystems of which they are part.

**Biodiversity Net Gain (BNG):** Biodiversity Net Gain is an approach to development that leaves biodiversity in a better state than before. Where a development has an impact on biodiversity it encourages developers to provide an increase in appropriate natural habitat and ecological features over and above that being affected in such a way it is hoped that the current loss of biodiversity through development will be halted and ecological networks can be restored.

**Core Strategy:** sets out the long-term spatial vision for the local planning authority area, the spatial objectives, and strategic policies to deliver that vision. The core strategy has the status of a development plan document.

**Ecological networks:** The connections and interactions between the organisms and components of an ecosystem that conserve the ecosystem and provide ecosystem services that may also have social and economic values.

**Green Infrastructure:** The network of multi-functional green space, both new and existing, both rural and urban, which supports the natural and ecological processes and is integral to the health and quality of life of sustainable communities.

**Irreplaceable habitat:** Habitats which would be technically very difficult (or take a very significant time) to restore, recreate or replace once destroyed, taking into account their age, uniqueness, species diversity or rarity. They include ancient woodland, ancient and 68 veteran trees, blanket bog, limestone pavement, sand dunes, salt marsh and lowland fen.

**National Planning Policy Framework (NPPF):** The National Planning Policy Framework sets out the Government's planning policies for England and how these are expected to be applied. Council's must take account of the NPPF when preparing their Local Plans.

**Priority habitats and species:** Species and Habitats of Principal Importance included in the England Biodiversity List published by the Secretary of State under section 41 of the Natural Environment and Rural Communities Act 2006.

**Sites & Policies Development Plan Document:** This shows specific development sites and contain policies to guide the release of land and design of new development.

**Sites of Special Scientific Interest (SSSI):** Representative examples of nationally important wildlife and geology. SSSIs are notified by Natural England under section 28 of the Wildlife and Countryside Act 1981 as being of special value for nature conservation and are legally protected under the Wildlife and Countryside Act, as amended by the Countryside and Public Rights of Way Act (CROW) 2000 and the Natural Environment and Rural Communities (NERC) Act 2006.

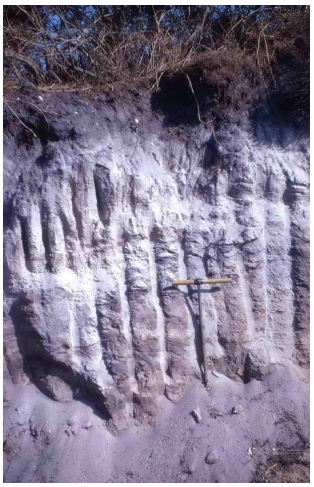
**Supplementary Planning Document (SPD):** provide supplementary information in respect of the policies in development plan documents. They do not form part of the development plan and are not subject to independent examination.

**Sustainable Urban Drainage Systems (SuDS):** Water management practices and control systems designed to drain surface water in a more sustainable way than conventional systems. Different techniques, such as infiltration and retention, are used which mimic runoff from the site in its natural state.

DRAFT

Rotherham local plan

# Preparing a Soil Strategy Supplementary Planning Document




July 2022

www.rotherham.gov.uk

Rotherham Metropolitan Borough Council

Introduction ..... 2
An introduction to soils ..... 5
Soils and development ..... 7
Contact information ..... 13
References ..... 14

## Appendices

Appendix 1: Guidance for carrying out a soil assessment ..... 16

# Introduction

## Background and purpose

1 This Supplementary Planning Document (SPD) is designed to support developers when considering development proposals which involve works to soils. It enables developers, landowners and others with an interest in commenting on a planning application to understand how the Council considers development proposals and the standard of provision sought. References to Local Plan policy and explanatory text are provided in this SPD.

2 The references section provides details of and electronic links (where available) to relevant documents used in the preparation of this SPD. Appendix 1 provides additional information, advice and best practice methods.

3 The information can be used by developers, agents or consultants throughout the planning process. It will help applicants to prepare and submit proposals that are mindful of the impact of development on soils and their protection for biodiversity and geodiversity. It will also provide guidance for planning officers in making decisions to support the delivery of relevant Local Plan objectives and policies. The Council also operates a paid pre application advice service to help guide you through the process.

## Status

4 This SPD has been prepared in line with national planning policy and relevant legislation and regulations. The National Planning Policy Framework (NPPF) identifies that SPDs add further detail and guidance to the policies in the Local Plan. They are capable of being a material consideration in planning decisions.

5 As required by The Town and Country Planning (Local Planning) (England) Regulations 2012 (as amended) consultation on a draft of this SPD took place between xx and xx. The accompanying Consultation Statement sets out further detail on this consultation, including who was consulted, a summary of the main issues raised and how these have been addressed in the SPD. It also contains an adoption statement, confirming that this SPD was adopted by Rotherham Council on xxxxx.

## Policy context

### National planning policy

**6** The NPPF states that the purpose of planning is to contribute to the achievement of sustainable development – making economic, environmental and social progress for this and future generations. The natural environment is an essential element of sustainable development and design.

**7** NPPF Paragraph 174 states that planning policies and decisions should contribute to and enhance the natural environment by:

> *a) protecting and enhancing valued landscapes, sites of biodiversity or geological value and soils...*
>
> *e) preventing new and existing development from contributing to, being put at unacceptable risk from, or being adversely affected by, unacceptable levels of soil, air, water or noise pollution or land instability.*
>
> *f) remediating and mitigating despoiled, degraded, derelict, contaminated and unstable land, where appropriate.*

**8** National Planning Practice Guidance (NPPG) - natural environment provides further detailed guidance on safeguarding soils which recognises that:

- Soil is an essential natural capital asset that provides important ecosystem services – for instance, as a growing medium for food, timber and other crops, as a store for carbon and water, as a reservoir of biodiversity and as a buffer against pollution.
- Defra has published a Code of Practice for the sustainable use of soils on construction sites which may be helpful when setting planning conditions for development sites. It provides advice on the use and protection of soil in construction projects, including the movement and management of soil resources.

### Local Plan policy

**9** Rotherham's Local Plan consists of the Core Strategy (adopted September 2014) and the Sites and Policies Document (adopted June 2018), alongside the Barnsley, Doncaster and Rotherham Joint Waste Plan (adopted March 2012). These are available from our Local Plan Website.

**10** Rotherham's Local Plan contains strategic objectives and policies that relate specifically to the conservation of the natural environment and the protection of soils; these objectives are supported by policies that set out expectations for the conservation and enhancement of the natural environment, including soils within the planning system. This SPD guidance provides additional detail to, and should be read in conjunction with, the following policies:

**Table 1 Policies relevant to the preparation of a soil strategy**

| | |
|---|---|
| CS20 Biodiversity & Geodiversity | Soil resources, including the best and most versatile agricultural land, require protection from contamination, degradation and erosion. Policy |

| | |
|---|---|
| | aims to restrict the loss of high-quality agricultural land from irreversible development. |
| CS21 Landscape criterion e. | Support for landscape enhancement, restoration, reclamation and other environmental improvements. |
| CS24 - Conserving the water environment | Sets out requirements to prevent pollution of watercourses |
| CS25 - Flood Risk | Sets out how risk will be reduced via identification of new areas of natural flood storage. Development proposals increase the risk of surface water flooding and it is important to mitigate these risks. |
| CS26 Minerals criterion d. | The use of surplus fill or soil making materials from mineral workings will normally be utilised in situ for restoration purposes. |
| SP32 Green Infrastructure & Landscape. Paragraph 4.153 | Landscape scheme preparation shall be appropriate to the scale of the development and its impact and shall have regard to appropriate technical standards, including existing soil resources and the requirements for ground preparation. |
| **SP 36 Soil Resources** and its supporting explanatory text, paragraphs 4.182 – 4.186 | Development proposals are required to demonstrate the sustainable use of soils during construction and operation stages. A Soils Strategy shall demonstrate there are feasible and appropriate methods, locations and receptors for the temporary storage and reuse of high-quality soils. Its aim is to preserve or enhance identified soil functions |
| SP 47 - Understanding and Managing Flood Risk and Drainage | Sets out how the Council will expect applicants to consider the use of natural flood storage/prevention solutions |
| SP48 Assessment of Mineral Extraction Proposals criterion f. | To minimise the impact on the best and most versatile agricultural land, submission of a soil strategy is required. The objective will be to restore agricultural land to its previous agricultural quality or better if reasonably practical. Notes that amenity or forestry after-use may be appropriate alternatives. |

## An introduction to soils

**11** Soil, like air and water, is one of the world's most important natural resources; because it lies beneath our feet and is often hidden by buildings and roads, we may not often think about how much it affects our lives and how much we depend on it.

**12** Most of our food depends on soil - it is where we find the plants and many of the animals which make up our food, and it is home to billions of organisms. Soil also provides vital support for many of our buildings and structures.

**13** Soil performs an important role in supporting ecosystem services. These describe how a natural ecosystem can perform 'services' such as the supporting of life of plants and animals, the cleaning of pollutants from water (filtering) and contribution to the natural cycles such as the hydrological, nutrient, nitrogen, carbon and oxygen cycles.

**14** The main factors affecting the type of flora and its distribution are the soils (Ph levels and wetness), the prevailing climate and the relief or topography. There is a large combination of soil/climate/topographic conditions in the UK, and this gives rise to a wide range of plants.

**15** Healthy soils are required for trees to perform ecosystem functions such as carbon sequestration, essential in reducing the impact of harmful greenhouse gasses, and mitigating impacts of climate change. Rotherham MBC declared a Climate Emergency on 30th October 2019 and soils have a role to play in tackling the Climate Emergency.

**16** Once damaged, the 'soil system' cannot work properly and the delicate balance between all the parts that make up the healthy soil become disrupted. One implication could be that animal life in the soil becomes impossible to sustain and the complex web of interactions in the soil cease.

**17** Habitat restoration is now an important part of nature conservation. Government planning regulations encourage restoration through a variety of measures, such as financing the restoration of existing damaged sites. It is important that those who undertake such projects understand the way that the soil system works, so their plans can have the most significant positive effect. Site restoration requires an understanding of the soil and ecological conditions in nearby surrounding landscapes to guide the correct course of action. Restoration projects should use the existing properties and distribution of soils to guide opportunities for habitat restoration.

**18** There is increasing evidence of mismanagement of our soils - soil erosion, pollution either directly to the soil or by way of acid rain, intensive farming, and pollution to water bodies with a resulting loss of aquatic life.

### Topsoil

**19** Landscaping topsoil should be suitably drained and aerated and provide a sufficient source of water, nutrients, organic matter, soil fauna and flora to enable healthy, sustained growth by plants. The majority of fine, feeder roots and their associated mycorrhizal fungi that are important in protecting water supply and providing nutrients grow in topsoil, with a proportion of larger, structural roots providing anchorage and storing resources. Topsoil usually contains a higher quantity of organic matter, microbes and nutrients (e.g. nitrogen & sulphur) than subsoil and is therefore particularly

important to plant nutrition. Typical topsoil depths are 100-150mm for grassland species, and 300-450mm for herbaceous grasses and shrubs.

## Subsoil

**20** Landscaping subsoil has a number of key functions important to healthy plant growth:

- Absorbs surplus water percolating down from topsoil.
- Provides anchorage for roots of large shrubs and trees.
- Provides a reserve of plant nutrients (e.g. potassium, magnesium & calcium).
- Provides an 'ecosystem service' attenuating water during periods of high rainfall.
- Acts as a reservoir during dry periods.

## Soil functions

**21** Soils provide many important functions for plants, animals and humans. The most obvious is supporting the growing of crops, plants and trees in the wild, on the farm and in our gardens. It is a vital resource as a habitat for millions of soil organisms.

**22** Soil acts as a filter, removing pollution from our drinking water and helping to regulate the flow of water through the landscape. Most rainwater ends up moving into the soil before it gets to plant roots, aquifers or water courses. Soil is also the foundation for buildings and roads. The type of soil affects how buildings are constructed.

**23** Soils form very slowly, maybe as little as 2 cm of thickness in 500 years and can be easily destroyed by development, so in human terms it is a non-renewable resource. Many of our soils are becoming damaged and are at risk; consequently, it is important that we understand our soils and make sure they are preserved for future generations.

**24** A typical soil profile consists of variably defined topsoil and subsoil layers of different thickness over parent material, which is usually bedrock, but could be superficial deposits such as glacial moraine or alluvium.

## Soils and development

**25** Development often requires soils to be stripped, stored, shaped, and compacted to provide a base for construction. Unfortunately, these processes can seriously damage the functionality of soils in a number of respects including their ability to hold water, air and retain the nutrients needed to sustain future plant and crop growth.

**26** When soils are considered as part of construction and design and precautions taken to protect them during development, the extent of their loss and damage is reduced and the quality and sustainability of development enhanced.

**27** Site restoration requires an understanding of the soil and ecological conditions in nearby surrounding landscapes to guide the correct course of action.

**28** It is important to understand the existing soil conditions and the kinds of vegetation and habitats the existing soils can sustain. Restoration projects should use the existing properties and distribution of soils to guide opportunities for habitat restoration.

**29** Examples of good practice include choosing appropriate native plant species to encourage and enhance biodiversity and developing links between habitats in the landscape through the creation of Green Infrastructure corridors or "stepping stones".

**30** The Local Plan policy context establishes the need for the advice and support, contained within this Supplementary Planning Document, on the assessment, protection, handling, placement, and amelioration of soils to enhance the quality and sustainability of development.

**31** Paragraph 4.184 policy SP36 Soils states:

> *"Proposals for development should demonstrate that there are feasible and appropriate methods, locations and receptors for the temporary storage and reuse of high-quality soils with appropriate consideration given to the height and duration of soil storage mounds to ensure these are viable alongside construction compounds and work sites. Loss of soil quality which is directly due to the inappropriateness of its handling prior to reuse will not be acceptable."*

### Soil assessment

#### Policy Guidance Note 1

Where proposals are submitted that will impact on the quality of the soil, it is expected that a Soil Resource Survey (SRS) and a Soil Resources Plan (SRP) will be prepared to support the planning application.

Conditions will be applied to a grant of planning permission to ensure the requirements of the SRP are adhered to. Such conditions will depend on the size of the site and whether it is brownfield or greenfield. The SRS and SRP shall be prepared before site clearance, preparation or development is undertaken that may result in damage to in situ soils through compaction, contamination, excavations and vegetation removal.

**32** For small scale developments, such as domestic extensions, where little disturbance to existing garden soils is proposed, consideration shall be given to the impact of their development on the soils. The Council will expect to see appropriate consideration of these matters by the applicant's contractor. This will be ensured through a pre-commencement condition.

**33** Ideally, and specifically for major developments, the Soil Resource Survey (SRS) and Soil Resource Plan (SRP) shall be prepared by a Soil Scientist. However, where the expertise of a Soil Scientist is not available within an agreed timeframe; consideration may need to be given to other suitably qualified professionals, such as Environmental Scientist, Arboriculturist, Horticulturist or Landscape Architect, where expertise in the preparation of both a SRS and SRP can be robustly demonstrated.

**34** So long as they conform to the Defra Code of Practice (2009), or any subsequent replacement, and are prepared by a Soil Scientist or other suitably qualified professional, it is appropriate to include a SRS and SRP as part of a:

- Geo-environmental assessment and/or
- Geotechnical assessment and/or
- Agricultural Land Classification Survey (ALCS).

The Soil Resource Survey (SRS) is the first step and delineates, characterises and quantifies all re-usable topsoil and subsoil resources on the site.

The Soil Resource Plan (SRP) shall set out the methods and equipment to be used for the protection, recovery, storage, re-use and disposal of all site topsoil and subsoil and shall include details of an auditable system of site monitoring by a qualified soil scientist or other suitably qualified person or persons to ensure correct implementation of the SRP to ensure that its use both on and off-site is in accordance with the principles contained in this guidance.

See Model Conditions in Appendix 1 for further information.

## Soil protection

### Policy Guidance Note 2

Development should be designed to protect the largest possible volume of the best *in situ* soils, that is, those soils that are likely to perform the greatest number of functions to enhance the quality and sustainability of development.

Where *in situ* soils are to be retained:

- Soil protection up to the point of completion of built development and implementation of landscaping should comprise a physical barrier and/or ground protection to prevent compaction and contamination.
- Soils to be protected may coincide with the Root Protection Area of retained trees or areas of proposed structural landscaping. In these cases, there should be concordance between the SRS and the Arboricultural Method Statement and Tree Protection Plan; these habitats may be subject to further conditions.
- Barriers and ground protection shall accord with the latest guidance and their positions shown on a plan submitted with the SRS.

In limestone plateau areas (see Local Plan policies map 4), it is possible that remnants of Glacial till (boulder Clay) still exist. SRP for developments in these areas should include information on how they will approach and deal with any rare material, erratic pebbles and cobbles which may be found. These can be very rare and include granite or lava from the lake district and should be collected and recorded due to their potential significant scientific value.

## Soil strippage and storage

### Policy Guidance Note 3

To ensure that soil stripping and storage do not cause an irremediable loss of functionality, the following principles shall be adhered to:

- Use of fit-for-purpose equipment that minimises compaction.
- Stripping to defined depths to avoid mixing topsoil and subsoil.
- Adherence to an approved stripping plan showing soil types to be stripped, haulage routes and phasing.
- Avoiding multiple handling and avoiding handling during or following wet weather.
- Soil should not become wet or waterlogged during handling
- Stockpiling for the shortest possible period and to a depth and method appropriate to the characteristics of the soil, including its wetness.
- Stockpiling different soil types separately.
- Ensuring the angle of repose for stockpiles is less than 40 degrees, or 25 degrees where stockpiles are to be seeded and maintained.
- Ensuring that stockpiles to be stored for over 6 months are seeded with a grass or clover mix to minimise erosion, reduce weed development and maintain biological activity.

All stages of soil stripping and storage as part of development should be overseen by a Soil Scientist or other suitably qualified person or persons, to ensure compliance with the approved SRP. Auditable site monitoring reports shall be prepared and submitted to the Local Planning Authority upon satisfactory completion of each stage.

## Soil Placement

### Policy Guidance Note 4

Soil placement should only take place where the receiving substrate is fit for purpose and under the supervision of a Soil Scientist or other suitably qualified person or persons. For example, where large container or root-balled tree planting is proposed, topsoil should not be emplaced onto compacted, poorly drained sub-soil, or soil compacted to bulk densities that will impede root growth.

The method of placement should be described in the SRS. One of the important functions of an SRS is to identify soils with different 'tolerances' in relation to handling and placement.

Over-specification of topsoil and under-specification of subsoil should be avoided.

## Soil amelioration

### Policy Guidance Note 5

The type and extent of soil amelioration should be specified by a Soil Scientist or other suitably qualified person or persons, within an SRP. Useful guidance and standards to be achieved in soil amelioration for landscaping purposes is provided in the Defra code and up to date British Standards.

Where soils are found to be degraded, every effort should be made to recycle constituents that can be used in the manufacture of soils to be re-used on site. Where soil manufacturing is proposed, full details of the process and product specification should be provided by a Soil Scientist, or other suitably qualified person or persons, within an SRP. It is essential that any amelioration of soils does not alter the pH balance of the natural soils unless it forms part of specific soil restoration proposals.

The SRP should demonstrate a clear understanding of soil types within Rotherham and identify the geographic specific approaches in these areas. Within areas where neutral clays are over colliery shale, soil amelioration may be acceptable but within those areas of Limestone plateau calcareous soils, the introduction of soil ameliorants is not acceptable.

Soil ameliorants such as compost and fertiliser should only be proposed if deficiencies of composition or structure are shown by the SRS or testing in accordance with the most up to date British Standards. Colliery restoration best practice includes the adding of significant quantities of organic matter and lime in order to counter acid regression.

## Imported soils

### Policy Guidance Note 6

Where existing soils or manufactured soils using local resources cannot be used and importation of topsoil and subsoil is proposed, the following information will be required:

- A soiling plan identifying the location of each soil profile
- Submitted specification providing details of proposed topsoil and subsoil types, profiles and extents.
- Evidence of Certification in accordance with the most up to date British Standards (currently BS3882), and
- An interpretive report, prepared by a suitably qualified practitioner, demonstrating that the proposed soils will be fit for purpose.

All imported soils shall be assessed in terms of potential contaminants, not only in terms of plant health, but also human health. Conditions will be attached to planning permissions requiring that any imported topsoil or subsoil, natural or manufactured, must be assessed for chemical or other potential contaminants in accordance with a scheme of investigation submitted to and approved in writing by the Local Planning Authority, in advance of its importation.

## Contact information

If you have any questions regarding this Supplementary Planning Document, please contact Planning Policy:

Submit an enquiry to Planning Policy online:

https://www.rotherham.gov.uk/xfp/form/535

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| Email: | planning.policy@rotherham.gov.uk |
| Telephone: | 01709 823869 |
| Website: | https://www.rotherham.gov.uk/localplan |
| Post: | Planning Policy Team, Planning, Regeneration and Transport, Regeneration & Environment Services, Rotherham Metropolitan Borough Council, Riverside House, Main Street, Rotherham, S60 1AE |

For planning application and pre-application advice, please contact Development Management:

Submit an enquiry to Development Management online:

https://www.rotherham.gov.uk/xfp/form/216

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| Email: | development.management@rotherham.gov.uk |
| Telephone: | 01709 823835 |
| Website: | https://www.rotherham.gov.uk/planning |
| Post: | Development Management, Planning, Regeneration and Transport, Regeneration & Environment Services, Rotherham Metropolitan Borough Council, Riverside House, Main Street, Rotherham, S60 1AE |

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British Standards Institution. 1993. British Standard 7370:1993 Grounds Maintenance Part 4: Recommendations for maintenance of soft landscape (other than amenity turf).

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British Standards Institution. 2019. British Standard EN ISO 25177:2019 Soil quality – Field soil description.

British Standards Institution. 2012. British Standard 5837:2012. Trees in relation to design, demolition and construction – Recommendations.

British Standards Institution. 2013. British Standard 8601:2013. Specification for subsoil and requirements for use.

British Standards Institution. 2015. British Standard 3882:2015. Specification for topsoil.

Cardiff Green Infrastructure SPG: Soils and Development Technical Guidance Note November 2017.

Cranfield Institute: Interactive Soil Map

DEFRA. 2009. Code of Practice for the sustainable use of soils on construction sites

Department for Environment, Food and Rural Affairs. 2006. The Impact of Subsoil Compaction on Soil Functionality & Landscape.

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Moffat. A. 2014. Forest Research Best Practice Guidance for Land Regeneration Note 4.

National Planning Policy Framework (2021)

National Planning Practice Guidance

Rotherham Local Plan Core Strategy (2014)

Rotherham Local Plan Sites and Policies (2018)

Rudeforth, C.C.; Hartnup, R.; Lea, J.W.; Thompson, T.R.E and Wright, P.S. 1984. Soil Survey of England and Wales. Soils and their Use in Wales. Harpenden.

Soil-Net provides further information on soil functions and threats to soils in the UK.

Soilscapes viewer at http://www.landis.org.uk/soilscapes/

Soils Site Reporter at http://www.landis.org.uk/services/sitereporter.cfm

The British Society of Soil Science provides details of Soil Scientists at:

www.soils.org.uk

Watson, G. W., Hewitt, A.M., Custic, M. & Lo, M. 2014. The Management of Tree Root Systems in Urban and Suburban Settings: A Review of Soil Influence on Root Growth. Arboriculture & Urban Forestry 40 (4).

White, T & Doick, K. J. 2014. Forest Research Best Practice Guidance for Land Regeneration Note 19.

# Appendix 1: Guidance for carrying out a soil assessment

**35** Examples of model planning conditions that may be used are provided below:

1) No development shall take place until the following information has been submitted to and approved in writing by the Local Planning Authority:

A Soil Resource Survey (SRS) prepared by a qualified soil scientist, or other suitably qualified person or persons, in accordance with the 2009 DEFRA Construction Code of Practice for the Sustainable Use of Soils on Construction Sites (or any updated version of this code) that delineates, characterises and quantifies all re-usable topsoil and subsoil resources on the site.

Reason: To ensure that usable soil resources are fully utilised within the development and any surplus soil is identified for off-site use.

2) No development shall take place until the following information has been submitted to and approved in writing by the Local Planning Authority:

A Soil Resource Plan (SRP) prepared by a qualified soil scientist, or other suitably qualified person or persons, in accordance with the 2009 DEFRA Construction Code of Practice for the Sustainable Use of Soils on Construction Sites (or any updated version of this code) informed by a Soil Resource Survey carried out in discharge of this condition. The SRP shall set out the methods and equipment to be used for the protection, recovery, storage, re-use and disposal of all site topsoil and subsoil and shall include details of an auditable system of site monitoring by a qualified soil scientist or other suitably qualified person or persons to ensure correct implementation of the SRP and to ensure that its use off-site is in accordance with the principles contained in this guidance.

Reason: To ensure that all usable soil resources are appropriately recovered and protected, and not lost, damaged or sterilised during the construction process.

**36** A pre-commencement condition For small scale developments, such as domestic extensions:

No development shall take place until consideration of the impact of their development on the soils by the applicant's contractor that delineates, characterises and quantifies all re-usable topsoil and subsoil resources on the site has been submitted to and approved in writing by the Local Planning Authority

Reason: To ensure that usable soil resources are fully utilised within the development and any surplus soil is identified for off-site use.

**37** This technical guidance sets out the key considerations for developers bringing forward development sites. It sets out key issues to be considered. It is vital that this appendix is read alongside the guidance within the body of the SPD. Descriptions of soils within a Soil Resource Survey (SRS) shall conform to the criteria defined in the:

- Soil Survey Field Handbook or
- British Standard EN ISO 25177:2019.

Soil testing as part of an SRS shall accord with:

- BS 3882:2015 - Table 1 and
- BS 8601:2013 - Table 1 or any updated versions of these Standards.

Ideally, the Soil Resource Survey and Soil Resource Plan (SRP) shall be prepared by a Soil Scientist. However, where the expertise of a Soil Scientist is not available within an agreed timeframe; consideration may need to be given to other suitably qualified professionals, such as Environmental Scientist, Arboriculturist, Horticulturist or Landscape Architect, whose expertise in the preparation of both a SRS and SRP can be robustly demonstrated.

Geo-environmental or geotechnical assessments may show irremediable levels of soil contamination, negating the requirement for an SRS and SRP, but should not replace an SRS and SRP.

An ALCS may provide useful information about soils, but this is focused on functionality in supporting agriculture, not re-use for landscaping as part of development, so an ALCS should not replace an SRS and SRP.

Information provided by the Landis Soilscapes viewer and the Soils Site Reporter should supplement, not replace assessment in accordance with the Code.

The Soil Survey Field Handbook and BS EN ISO 25177:2019 provide guidance on examining soils in the field and a photographic field guide to preparing soil pits and assessing the physical characteristics of soils is provided by the Environment Agency: Think Soils Manual.

## SOIL PROTECTION

Barriers and ground protection shall accord with BS 5837:2012, or any updated version of this Standard, and their positions be shown on a plan submitted as part of an SRS.

Soils to be protected may coincide with the Root Protection Area of retained trees or areas of proposed structural landscaping. In these cases, there should be concordance between the SRS and the Arboricultural Method Statement and Tree Protection Plan, submitted in accordance with BS 5837:2012.

## SOIL STRIPPING AND STORAGE

Where soil stripping and storage is unavoidable, strict adherence to an approved SRP shall prevent irremediable loss of functionality due to compaction, contamination, loss of structure, loss of organic matter and loss of biodiversity.

## SOIL PLACEMENT

Only soils that have been handled in accordance with an approved SRP and/or where appropriate, tested, certified and found to be fit for purpose by a Soil Scientist, or other suitably qualified person or persons, in accordance with BS 3882:2015 and BS 8601:2013, or updated versions of these Standards, should be emplaced as part of development.

To ensure root growth is not impeded, bulk densities should be provided that accord with those reported in Watson et al. (2006) as follows:

- Sands & loamy sands: 1.80g cm- ³ will restrict root growth.
- Sandy loams & loams: 1.80g cm- ³ will restrict root growth.
- Sandy clay loams & clay loams: 1.75g cm- ³ will restrict root growth.
- Silts & silt loams: 1.75g cm- ³ will restrict root growth.
- Silt loams & silty clay loams: 1.65g cm- ³ will restrict root growth.
- Sandy clays, silty clays, some clay loams (35-45% clay): 1.58g cm- ³ will restrict root growth.
- Clays (>45% clay): 1.47g cm- ³ will restrict root growth.

The most appropriate method of placement generally is loose tipping by machine as described in the DEFRA Code, during weather conditions that will not result in the soil becoming sticky, amorphous or self-compacting.

Some soils, such as well-structured sandy loams, are more 'tolerant' of handling than soils with high clay or silt content and lose less of their functionality on placement.

As a rule of thumb, topsoil and subsoil depths for different planting types should be as follows:

- Trees – 300mm topsoil over 600mm subsoil.
- Shrubs – 300 - 450mm topsoil over 300mm subsoil.
- Amenity grassland – 150mm topsoil over 150mm subsoil.

Over-specification of topsoil and under-specification of subsoil should be avoided. Topsoil functionality below 300mm is impeded and excessive depths can increase the risks of anaerobic soil conditions developing and resulting in planting failures.

## SOIL AMELIORATION

The use of machinery to break up subsoil and relieve compaction does not guarantee good aeration and drainage thereafter and may result in significant damage to soil biota.

Ripping and other forms of machine cultivation should only be used as a last resort, where other less invasive forms of amelioration are not available or will not be effective. Ripping may not be effective for soils with high silt content, or soils with high clay content that are poorly structured. In all cases, the method and equipment to be used shall be specified by a Soil Scientist, or other suitably qualified person or persons.

Where more sensitive planting types such as large trees are proposed, the importation of well-aerated, freely draining subsoil may be more appropriate than machine cultivation in ensuring good soil functionality.

Policy Guidance Note 2: Soil Ameliorants refer to BS 3882:2015 and BS 8601:2013, or updated versions of these Standards.

The following documents provide useful guidance on soil amelioration in relation to landscaping:

- DEFRA Construction Code of Practice for the Sustainable Use of Soils on Construction Sites.
- The Impact of Subsoil Compaction on Soil Functionality and Landscape.
- Forest Research Best Practice Guidance for Land Regeneration Notes 3, 4, 5 and 19 (2014).
- BS 4428:1989 Code of practice for general landscape operations (excluding hard surfaces).
- BS 7370: Part 4: 1993 Grounds Maintenance Part 4: Recommendations for maintenance of soft landscape (other than amenity turf).
- BS 3998:2010 Tree work – Recommendations.
- BS 8601:2013 Specification for subsoil and requirements for use.
- BS 8545:2014 Trees: from nursery to independence in the landscape – Recommendations.
- BS 3882:2015 Specification for topsoil.

## IMPORTED SOILS

Different planting types such as root-balled and container tree planting, bare root, transplant and whip planting, amenity grassland, sports pitches and wildflower grassland, have differing requirements of the soil. A 'one size fits all' or 'multi-purpose BS 3882 soil' is therefore unlikely to be appropriate in many cases, and particularly not for sensitive functions such as large tree planting, where optimal conditions of aeration and drainage to depth are critical to successful establishment; or sports pitches where regular, intensive footfall may result in damage to soil functionality.

Where large tree planting is proposed, soils meeting the 'sandy loam' textural range in the British Standards should be used as a default, but meeting British Standards alone, will not guarantee good functionality in this regard, particularly for soils that are at the top end of the textural range limits in terms of silt and clay content. Wherever possible, specifications that exceed British Standards and are designed specifically for their intended end use should be used.

The use of specialist soils for landscaping, such as Amsterdam tree sands, structural soils and 'hybrid' topsoil-subsoils should be supported by site specific product manufacturer's specifications that demonstrate fitness for purpose.

Policy Guidance Note 3: Importation of topsoil and subsoil refer to BS 3882:2015 and BS 8601:2013, or updated versions of these Standards

Rotherham local plan

# DRAFT
# Development in the Green Belt
# Amendments to Adopted SPD No.3

## Supplementary Planning Document





JULY 2022

**Introduction** ..... **2**

Status ..... 2

**Planning Policy** ..... **3**

**General Guidance** ..... **6**

**Development** ..... **7**

Extensions to Existing Buildings ..... 7

Replacement Buildings ..... 9

Infill Dwellings in Green Belt villages ..... 11

Converting Existing Buildings ..... 13

Change of Use of Land ..... 18

Agriculture and Forestry ..... 19

Equestrian Development ..... 22

**Contact Details** ..... **23**

# Appendices

**Appendix 1 Calculating Volumes** ..... **24**

**Appendix 2 Light Spillage, Light Glare and Sky Glow** ..... **28**

# Introduction

This guidance has been prepared to assist applicants when preparing planning applications for land or buildings within the Green Belt. It explains our policy on developments in Green Belts and how the Council will assess proposals for particular types of development.

**1** There are specific reasons for including land within the Green Belt, such as to prevent towns and settlements from spreading into the countryside (urban sprawl). This is achieved by restricting the type of development that can be built in Green Belts.

## Status

**2** This Supplementary Planning Document (SPD) has been prepared in line with national planning policy and relevant legislation and regulations. The National Planning Policy Framework (NPPF) identifies that SPD add further detail and guidance to the policies in the development plan. They are capable of being a material consideration in planning decisions.

**3** As required by The Town and Country Planning (Local Planning) (England) Regulations 2012 (as amended) consultation on a draft of this SPD took place between 7 October and 4 November 2019. The accompanying Consultation Statement sets out further detail on this consultation, including who was consulted, a summary of the main issues raised and how these have been addressed in the SPD. It also contains an adoption statement, confirming that this SPD was adopted by Rotherham Council on 15 June 2020.

# Planning Policy

## National planning policy

**4** National policy on Green Belts is contained within the National Planning Policy Framework (NPPF) which sets out what developments are appropriate. Any other form of development is inappropriate and will only be allowed in very special circumstances. These circumstances will not exist unless the potential harm to the Green Belt by reason of inappropriateness, and any other harm, is clearly outweighed by other considerations. Developments should also have minimal impact on the openness of the Green Belt. The NPPF notes that the most important attribute of Green Belts is their openness.

**5** The NPPF makes clear that the creation of high quality buildings and places is fundamental to what the planning and development process should achieve, creating better places in which to live and work and helping make development acceptable to communities (paragraph 124).

**6** Design quality should be considered throughout the evolution and assessment of proposals. NPPF (paragraph 127) also states that development should, amongst other things:

- add to the overall quality of the area;
- be visually attractive as a result of good architecture, layout and appropriate and effective landscaping;
- be sympathetic to local character and history, including the surrounding built environment and landscape setting; and
- create places that are safe, inclusive and accessible and which promote health and wellbeing.

**Appropriate and inappropriate development**

NPPF provides guidance on the types of development that are appropriate in the Green Belt:

Paragraph 145: A local planning authority should regard the construction of new buildings as inappropriate in the Green Belt. Exceptions to this are:

a. buildings for agriculture and forestry;
b. the provision of appropriate facilities (in connection with the existing use of land or a change of use) for outdoor sport, outdoor recreation, cemeteries and burial grounds and allotments; as long as the facilities preserve the openness of the Green Belt and do not conflict with the purposes of including land within it;
c. the extension or alteration of a building provided that it does not result in disproportionate additions over and above the size of the original building;
d. the replacement of a building, provided the new building is in the same use and not materially larger than the one it replaces;
e. limited infilling in villages;
f. limited affordable housing for local community needs under policies set out in the development plan (including policies for rural exception sites); and
g. limited infilling or the partial or complete redevelopment of previously developed land, whether redundant or in continuing use (excluding temporary buildings), which would:

   - not have a greater impact on the openness of the Green Belt than the existing development; or

   - not cause substantial harm to the openness of the Green Belt, where the development would re-use previously developed land and contribute to meeting an identified

Paragraph 146: Certain other forms of development are also not inappropriate in the Green Belt provided they preserve its openness and do not conflict with the purposes of including land within it. These are:

a. mineral extraction;
b. engineering operations;
c. local transport infrastructure which can demonstrate a requirement for a Green Belt location;
d. the re-use of buildings provided that the buildings are of permanent and substantial construction;
e. material changes in the use of land (such as changes of use for outdoor sport or recreation, or for cemeteries and burial grounds); and
f. development brought forward under a Community Right to Build Order or Neighbourhood Development Order.

**7** It should be noted that this does not include new detached outbuildings (such as detached garages at residential properties) or boundary walls/fences.

## Local planning policy

**8** Rotherham's Local Plan consists of the Core Strategy (adopted in September 2014) and the Sites and Policies Document (adopted in June 2018), alongside the Barnsley, Doncaster and Rotherham Joint Waste Plan (adopted in March 2012). These are available from our website: https://www.rotherham.gov.uk/localplan

**9** This guidance provides additional detail to, and should be read in conjunction with, the following policies:

| | |
|---|---|
| CS4 Green Belt | which confirms that land within the Rotherham Green Belt will be protected from inappropriate development. |
| CS9 Transforming Rotherham's Economy | which supports a range of measures to improve economic performance, including rural farm diversification. |
| CS28 Sustainable Design | which sets out a range of design considerations to which proposals should have regard. |
| SP2 Development in the Green Belt | which set out more detailed general guidance relevant to proposals within the Green Belt. |
| SP3 Rural Workers Dwellings in the Green Belt | which will be relevant to proposals which seek to provide accommodation for rural workers. |
| SP4 Extensions to Buildings in the Green Belt | which sets out specific guidance relevant to proposed extensions. |
| SP5 Alternative Uses for Buildings within the Green Belt | which will be relevant to proposals seeking to deliver a change of use or conversion of existing buildings. |
| SP6 Replacement Buildings in the Green Belt | which sets out policy specific to proposals seeking to replace existing buildings. |
| SP7 New Agricultural or Forestry Buildings or Structures in the Green Belt | which sets out how new agricultural or forestry related developments will be considered. |
| SP8 Infilling Development within the Green Belt | which provides policy guidance for infill of developments within Green Belt villages. |
| SP9 Previously Developed Sites within the Green Belt | which will be relevant to proposals on previously developed (i.e. brownfield) land. |
| SP10 Proposals for Outdoor Sport, Outdoor Recreation and Cemeteries in the Green Belt | which sets out the Council's policy on the provision of new outdoor sport, outdoor recreation and cemeteries. |
| SP55 Design Principles | which sets out detailed design principles to which proposals should have regard. |

# General Guidance

## Green Belt guidance 1

Any development in the Green Belt should have a minimal effect on the openness and appearance of the Green Belt. The physical effect buildings and structures have on the Green Belt depends on factors A to E listed below. By considering each of these factors, the physical effect a development has on the Green Belt can be reduced.

**A. Size**

**10** The size of a building or structure, which should be thought of in terms of its total volume, should be kept to the minimum size necessary for meeting appropriate needs.

**B. Design**

**11** New buildings and structures must not stand out too much. Materials, colours, construction methods and building styles should fit in with the traditional building styles of the area, and should not form a prominent feature in the landscape.

**C. Position and screening of the development**

**12** New developments should be placed where they have least effect on the landscape, avoiding prominent locations, and should use structures, individual buildings or groups of buildings as screening where appropriate. If the proposal is unacceptable because of its size, design or position, it would not be acceptable to mitigate by planting trees as screening.

**D. Enclosures**

**13** Any enclosure (wall, fence, hedge, and so on) should be the minimum size necessary and should be appropriate to its location in terms of materials and style. It is preferable to plant a hedge of native species (for example, hawthorn) rather than to use fences or walls which give a built-up appearance to an area. Fences and walls may be acceptable within settlements that have a tradition of using them instead of hedges.

**E. Lighting**

**14** The Council will not allow proposals for floodlighting in the Green Belt unless it can be demonstrated the lighting will not detract from the character of the Green Belt. (Lighting can detract from the character and openness of the Green Belt through 'light spillage', 'light glare' and 'sky glow' - see appendix 2.) These effects can be reduced or removed by using a lower strength light source and a cover which surrounds light to focus light onto a specific area.

# Development

## Extensions to Existing Buildings

**15** This section provides guidance on extensions to all types of buildings, including outbuildings such as residential garages. To extend a building in the Green Belt, the principles laid out in this guidance note should be followed.

### Green Belt guidance 2

An extension should not exceed more than 33% of the volume of the original building.

*Key policy reference: SP4 Extensions to buildings in the Green Belt*

**16** The NPPF (at paragraph 145) states that limited extensions of existing buildings can be acceptable if they do not result in 'disproportionate additions over and above the size of the original building'. The NPPF defines 'Original building' as: "A building as it existed on 1 July 1948 or, if constructed after 1 July 1948, as it was originally built."

**17** The Council will take account of the degree to which the building has already been extended, and the effect of any further extension. Several factors, such as the design, form and size of the extension, should be considered.

**18** ~~In respect of residential properties, any outbuilding~~ **Any secondary building** (where built at the same time as the original **(main)** building, or if in existence prior to 1 July 1948) that is within 5 metres of the original ~~dwelling~~ **building** will be counted as part of the volume of the original ~~dwelling~~ **building**. As such, it will not be afforded its own 33% extension 'limit' as any extension to it would be considered as part of the overall volume of the original ~~dwelling~~ **main building** and all original ~~outbuildings~~ **secondary buildings** within 5 metres. Any ~~outbuilding~~ **secondary building** to be considered should be of permanent and substantial construction.

**19** It is very likely that once the building has been extended by more than 33% of its original volume, any further increase in volume would have an adverse effect on the Green Belt. Such an increase would constitute a 'disproportionate' extension and therefore represent inappropriate development. The 'very special circumstances' needs to be demonstrated if the proposal extends by more than this. Even if the volume of the proposed extension stays within 33%, the size, form and materials of the extension must also be appropriate to the original building and its setting. Details of how to work out the volume of a building are given in Appendix 1.

**20** Where a proposed extension is to be physically attached to an existing outbuilding, the volume of that outbuilding will be counted towards the 33% if the outbuilding was built after the original dwelling.

**21** Extensions must be compact and fit in with, rather than take over, the original building. It may be preferable to fill in space between existing parts of it rather than to extend beyond its footprint. Avoid extensions that increase the length of the building's longest side. When considering the proposal,

the Council will also take account of the extension's effect on the character and appearance of the surrounding area. An extension which may be acceptable in an existing housing development may not be so in the open countryside.

**22** For large-scale proposals, particularly those in the open countryside, the Council will take account of the intended purpose of the extension. If the proposal is to bring an unimproved small home up to modern standards, this may represent a 'very special circumstance' to justify an extension over and above the 33% limit. A further example of a very special circumstance to justify an increase of more than 33% could be where the proposal would remove lawful outbuildings (providing they are of permanent and substantial construction) which harm the openness of the Green Belt, unless they would have to be removed as a consequence of the proposed development when no allowance would be made.

**23** It may be possible to allow an extension greater than 33% of the volume of the original dwelling if the outbuilding to be removed as a consequence of the development is greater than 33% of the volume of the original dwelling itself and the resultant extension is no larger than the outbuilding or extension that it is replacing.

**24** If planning permission is granted for an extension greater than 33% of the volume of the original building because of the removal of outbuildings, it is likely that the Council will also remove permitted development allowances for both further extensions and outbuildings.

**25** In addition, the Council is also likely to remove permitted development rights where the extension(s) results in a volume increase in excess of 20% of the original volume in order that subsequent extensions can be adequately controlled.

**26** Generally, all extensions should satisfy the following criteria:

- together with all previous extensions be subsidiary to the original building, not dominate, and be sympathetic in terms of size, scale and design;
- have a minimal visual impact on the local setting and amenity;
- involve minimal intensification and urbanisation of the site; and
- be sympathetic in architectural design in relation to the original building.

**Creating extra units of accommodation**

**27** Applicants should be mindful that an extension should not be seen as a way of getting planning permission for a separate home (which would not be allowed under Green Belt policy). A proposed extension should not, by itself, or together with any existing dwelling, create a building which would be readily capable of conversion into more than one dwelling, or which would facilitate the future formation of a separate residential curtilage. Under such circumstances the Council will treat it in the same way as an applications for a new home.

## Replacement Buildings

### Green Belt guidance 3

A replacement building should not exceed more than 10% of the volume of the existing building.

*Key policy reference: SP6 Replacement Buildings in the Green Belt*

**28** The NPPF (paragraph 145) states that the replacement of buildings (including dwellings) in the Green Belt is not inappropriate provided that the replacement building is not materially larger than the existing building (including any extensions) and is in the same use.

**29** Policy SP6 establishes that the Council considers that an increase in excess of 10% of the volume of the existing building would make the replacement building materially larger and, therefore, inappropriate development in the Green Belt and the very special circumstances is required to justify it. An example of a very special circumstance to justify an increase of more than 10% could be where the proposal would remove lawful outbuildings within the curtilage of the building which spoil the openness of the Green Belt. Any outbuilding to be considered should be of permanent and substantial construction.

**30** If planning permission is granted for a replacement building greater than 10% of the volume of the existing building because of the removal of outbuildings, it is likely that the Council will also remove permitted development allowances.

- If the outbuildings were within 5m of the original building, permitted development is likely to be removed for further extensions, and also possibly for outbuildings.
- If the outbuildings were more than 5m away from the building, it is likely that the Council would remove permitted development allowances for further extensions AND outbuildings.

**31** ~~In respect of residential properties, any outbuilding~~ **Any secondary building** that is within 5 metres of the existing ~~dwelling~~ **(main) building** will be counted as part of the volume of the existing ~~dwelling~~ **building**. As such, it will not be afforded its own 10% replacement volume 'limit' as any replacement building would be considered as part of the overall volume of the existing ~~dwelling~~ **main building** and all existing ~~outbuildings~~ **secondary buildings** within 5 metres. Any ~~outbuilding~~ **secondary building** to be considered should be of permanent and substantial construction.

**32** Where larger replacement buildings are accepted, permitted development rights are likely to be removed in order that future extensions can be controlled so as to minimise the impact on the openness of the Green Belt. Any subsequent application for an extension to a replacement building will be judged on the volume of the building that it replaced, as originally built, for the purposes of judging whether it is disproportionate or not.

**33** The Council will grant planning permission for replacement buildings only if the proposal meets factors (a) to (e) listed in the Green Belt guidance 1 section of this guidance note, relevant local and national planning policies and the following criteria:

- both the building to be replaced and its curtilage must be lawful;
- the building must not be materially larger than what it is replacing;
- replacement buildings must not be significantly more visible and stand out more than the existing buildings;
- plans of the existing building and calculations of the increase in volume of the replacement building should be submitted with the application;
- replacing a temporary building (such as a caravan) with a permanent structure would not be permitted;
- replacing a building converted from a traditional local building (such as a barn) with a more modern structure would affect the character of the Green Belt and it would not be allowed unless keeping the building as it is has proved not to be possible.

**34** If the building that is planning to be replaced by the proposed development has already been demolished or has not been used for a long period (and is considered to be 'abandoned'), its use will have ceased and a planning application for a new building will be necessary. It is unlikely under such circumstances that planning permission would be granted.

**35** It should be noted that the replacement of a building does not allow for a change of use and the new building should be used for the same purpose as the original building. Where such a change is proposed, this would result in inappropriate development and 'very special circumstances' would need to be demonstrated.

**36** Any replacement building must be for the same use as the original and the Local Planning Authority are unlikely to support any applications for a change of use of a replacement building to residential purposes within a period of 10 years from its substantial completion. The replacement of a residential outbuilding with a separate dwelling would constitute a material change of use, and as such would represent inappropriate development.

## Infill Dwellings in Green Belt villages

### Green Belt guidance 4

Limited infilling which can demonstrate that it will not erode the character of the area may be acceptable in the villages listed in Policy SP8 Infilling Development within the Green Belt. This policy defines infilling as the filling of a small gap in an otherwise built up frontage, and defines a small gap as a gap which fronts onto a highway and has a width less than 20 metres between the existing buildings.

*Key policy reference: SP8 Infilling Development within the Green Belt*

**37** This relates to the development of a single dwelling and the filling in of a small gap between an otherwise built up frontage. Any proposals for such development should be discussed with the Local Planning Authority before the submission of a planning application.

**38** In accordance with paragraph 145 of the NPPF the limited infilling or the partial or complete redevelopment of previously developed sites (brownfield land) is also not considered to be inappropriate development providing it would not have a greater impact on the openness of the Green Belt, or, where the development would re-use previously developed land and contribute to meeting an identified affordable housing need, not cause substantial harm to the openness of the Green Belt.

**39** The Green Belt villages to which Policy SP8 and the guidance above applies are:

- Brampton-en-le-Morthen;
- Firbeck;
- Gildingwells;
- Hooton Levitt;
- Hooton Roberts;
- Letwell;
- Ravenfield;
- Thorpe Salvin;
- Ulley; and
- Wentworth

**40** Figure 1 'Example of an infill gap' below illustrates the features of an infill gap, showing that these are gaps in an otherwise built up frontage which fronts onto a highway and has a width less than 20m between the existing buildings.




**Figure 1 Example of an infill gap**

## Converting Existing Buildings

### Green Belt guidance 5

The conversion of an existing building is acceptable in principle providing the proposal preserves the openness of the Green Belt and does not conflict with the purposes of including land within it, the re-use of buildings is not inappropriate development, provided that the buildings are of permanent and substantial construction.

*Key policy reference: SP5 Alternative Uses for Buildings within the Green Belt*

**41** For a building to be of permanent and substantial construction it must have walls and a roof, be structurally sound and not require significant re-building, cladding or significant external alterations. This would also include a building that would require significant internal alterations to bring it up to habitable standards unless it is desirable to retain the building because of the historic value or visual amenity that it provides.

**42** Whilst the conversion of a rural building is acceptable in principle, it is important that certain design principles and other issues are considered. This supplementary design guidance reviews the conservation and technical issues that arise when traditional vernacular buildings are re-used. Most buildings in this category are agricultural but this guidance applies overall.

**43** The Council supports the appropriate re-use of vernacular buildings for a range of end uses but will specifically welcome conversion schemes to a commercial end use to support prosperous rural economies, and which involve minimal alterations to the building's character and/or appearance. Residential conversions entail the most demanding changes to a building and will require careful assessment as to the impact and appropriateness of such changes. The proposed 'curtilage' to the converted building should be clearly defined and kept to a minimum.

**44** The conversion of a residential outbuilding to a separate dwelling will require planning permission and the applicant will need to demonstrate the sustainability impacts of creating a new dwelling in what may be an isolated location, and demonstrate how the development would not lead to a greater impact on the openness of the Green Belt through the increase in traffic / parking at the site and of general domestic paraphernalia. The Council will be sympathetic where the outbuilding to be converted has some architectural or historic interest.

**45** The conversion of a building to a residential use will result in a new planning 'unit' with its own defined 'curtilage' benefiting from permitted development rights. As such, conversions to residential use will generally result in the removal of permitted development rights for both outbuildings and extensions as these could have a significant impact on the openness of the Green Belt, which is a major factor in determining whether the change of use is acceptable in the first place.

**46** The following advice outlines the criteria and requirements that will need to be met to enable successful building conversions within Rotherham's Green Belt.

**Survey**

**47** An application for building conversion will require an assessment of the historical development of the site, a full measured survey and a structural survey including a condition survey.

**48** Many vernacular buildings suffer structural defects through neglect. In older buildings the construction techniques themselves can cause problems, for example, inadequate foundations, the absence of damp-proofing and cavity walls.

**49** The condition and structural survey should be carried out by an appropriately qualified person and include:

i. a general description of the building(s) and the age of any original building(s);
ii. a description of the condition, structural integrity, foundations, walls, dampproofing, joinery, timbers, roof structure and roof covering;
iii. an assessment of the repairs needed to ensure conversion;
iv. an assessment of any structural work and other alterations necessary to implement the proposed conversion;
v. areas of demolition and rebuild, underpinning etc. illustrated on appropriate plans and elevations (or photographs), and;
vi. an opinion on the physical suitability of the building(s) for the proposed conversion.

**50** When structural works are necessary to allow for conversion, proposals should be submitted to rectify the faults. Proposals should minimise the amount of demolition and rebuilding. For example, underpinnings will be preferable to demolition and rebuild, to ensure foundation support.

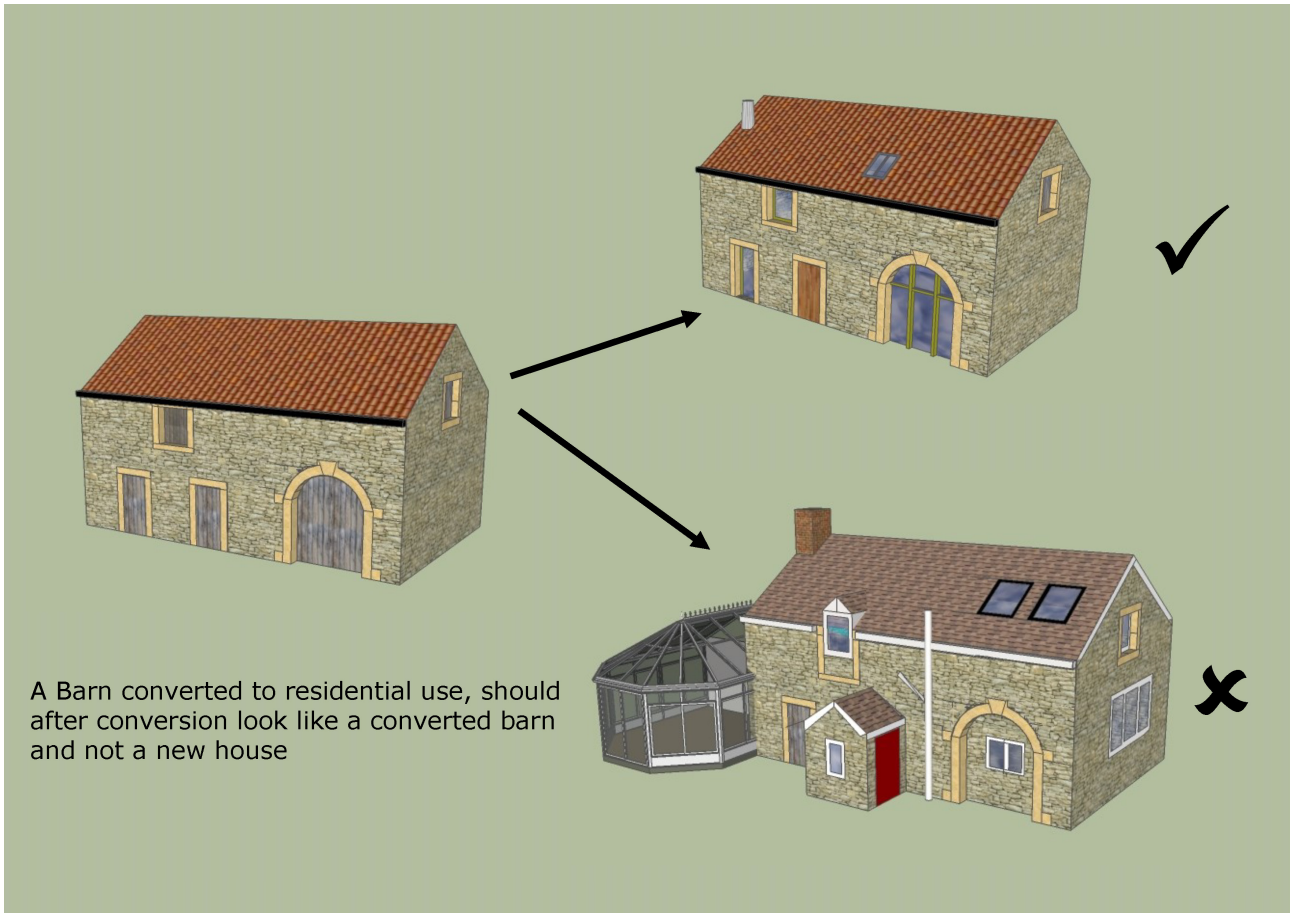
**51** Farm buildings, and in particular older farm buildings, may contain animals and birds protected under the 1981 Wildlife and Countryside Act and The Conservation of Habitats and Species Regulations 2017. Examples include bats, Schedule 1 bird species including barn owls and nesting birds. As part of any conversion, it may be necessary to provide suitable areas for the protected species concerned to ensure their favourable conservation status. Early surveys (undertaken by a suitably qualified and experienced professional ecologist) to identify any potential ecology considerations is recommended due to survey seasons and potential mitigation lead-in time. The Council's Ecological Development Officer will be able to advise more specifically.

**Design considerations**

**52** The successful conversion will take account of and respect the style and detail of the building(s), bring out the character, retain and re-use features and retain and use the existing spatial qualities of the interior. The applicant will need to liaise with the Planning Department to ensure the full statutory approvals are applied for and granted. The introduction of new window openings into an existing vernacular building will usually harm the character and appearance of the building and should be avoided where possible.

**53** Figure 2 'Barn conversion example' shows how, for example, a barn conversion should, after conversion, look like a converted barn rather than a new house.

**Figure 2 Barn conversion example**




## Setting

**54** The setting of a vernacular rural building is a very important asset. The farmyard area can become cluttered with elements of general commercial or domestic living. For example yards can be divided by fences or walls and inappropriate external lighting used, all of which will have a detrimental effect on the building's setting.

**55** A large uncluttered yard with existing stone setts should be retained if possible. It should not be subdivided by fences or hedges or cluttered or marked out parking bays. Boundary markings can be subtly achieved by using bricks or setts flush into the yard. Cart sheds, where they exist, are more suitable for the accommodation of vehicles than forming part of the ancillary accommodation of the conversion. Preferably they should not be closed with garage doors.

**56** To protect the setting and to control further changes to the building, when granting planning permission for change of use to residential, the Council often removes all or some Permitted Development Rights. In all types of conversions the Council will also apply planning conditions to ensure that the conversion works are appropriate and use suitable materials. Those conditions that cannot be applied under planning legislation may, in some cases, be made in a legal agreement between the Council and applicant to ensure the appropriate conversion details.

**57** Farm buildings are usually large and functional. Their robust design should enable all the functions of the new use to be contained within the existing buildings. The Council is likely to be critical of a conversion that requires any extension to facilitate the end-use. This will be especially enforced in any proposals affecting a Listed Building. The curtilage, or surrounding area, may contain features such as stone setts or stone walls. These features add to and define the character of the building and should be preserved.

**Roofs**

**58** Roofs are large unbroken slopes. This important characteristic should be respected in conversion proposals.

**59** In the east and south of the Borough, roofs are usually covered with hand-made clay tiles, laid on pine slats resting on main trusses of oak. However, roof trusses can be constructed in other timbers and many have been repaired with softwood timber.

**60** Older barns may have a stone flag roof, laid in diminishing courses which should be preserved. Larger stone flags are usually laid to two or three courses at eaves level. This ensures that the roof over-sails the wall-plate and wall-head and remains watertight. Where it remains, this feature should be preserved. The total renewal of roof coverings will be resisted unless the covering is an original or vernacular material.

**61** Domestic features such as dormer windows and chimneys should be avoided and are unlikely to be supported. Roof lights, set into the roof slope, may be appropriate on the private side of the building to light upper rooms.

**62** Ridge lines usually show slight undulations. This is not necessarily a sign of structural weakness and it is not necessary to rebuild the roof to strengthen the ridge.

**Openings**

**63** Existing openings should be retained in their current form; widening or blocking is not usually appropriate. Any remaining timber windows should be retained, with new timber "scarfed in" to repair rot or damage. All openings should be set in reveals of a minimum 150mm. New openings should be avoided if possible, but any that are proposed should be the minimum and match the proportions and random distribution of existing openings. The windows should preferably be constructed of wood, have glazing bars to match the existing and may be painted or stained. Threshing doors provide an opportunity to light the whole height of the building if used appropriately.

**64** Doors should be simple timber plank, ledged and braced if no existing doors remain. It may be acceptable to glaze the upper portions of the doors. Any remaining doors in openings to be used as windows may be used as external shutters.

**Rainwater goods**

**65** All rainwater goods should be of a simple profile and preferably made of cast iron or painted aluminium.

**66** Listed Buildings may not have guttering and downcomers and it may be appropriate to leave them without if the building is not suffering as a result. The design should be simple, gutters crossing gables avoided and the downcomers be as few as possible in areas they least affect the buildings character.

**Heating**

**67** Chimneys should be avoided as they are not usually a vernacular barn feature, are domestic in appearance and break the roof line. Metal flues of a neutral colour may be acceptable within the roof slope on the private side of the building. A specialist heating engineer should be consulted at an early stage in the design process to advise on the most appropriate heating solutions. Older buildings will suffer if high levels of dry heat, such as modern central heating are used, as the timbers and walls are designed to absorb water and release it in an open air environment.

**Interiors**

**68** Threshing barns had few partitions and space is an important component to retain. Rooms may be larger than 'standard' to accommodate this and the limited number of openings. This will influence the number of units a building can accommodate. In farm buildings totally or partially open to the roof, at least one bay should remain so.

**Fabric repairs**

**69** Repairs to walls can be inappropriate and totally change the character of the building. Many red sandstone or yellow limestone repairs need careful consideration. Any mortar should be sacrificial and weather faster than the surrounding stone to ensure the face of the stone remains intact. The mortar should be lime rich to allow movement and the moisture accumulation and evaporation usual in old stone buildings. Ribbon pointing should be avoided as it is not a vernacular form in the Borough and is damaging to the surrounding stone.

**70** Vernacular farm buildings are well used, with the patina of age forming a significant part of their character. Stone replacement and redressing should be minimised. A matching second hand stone should be used to replace a damaged stone. 'Plastic repair' should be avoided. Stone cleaning is not desirable for farm buildings and would detrimentally affect the character of the building and its setting within the landscape.

## Change of Use of Land

### Green Belt guidance 6

Planning applications to change the way land is used will need to show that the openness of the Green Belt will not be affected and there is no conflict with the reason the land was made part of the Green Belt. They shall also comply with local and national policy which establishes that inappropriate development should not be approved except in very special circumstances, and that 'very special circumstances' will not exist unless the potential harm to the Green Belt by reason of inappropriateness, and any other harm resulting from the proposal, is clearly outweighed by other considerations.

While the construction of new buildings for limited infilling or the partial or complete redevelopment of previously developed land **(whether redundant or in continuing use, excluding temporary buildings)** is not considered to be inappropriate in the Green Belt in the NPPF [1] , **any** planning application should demonstrate **that the proposed development** ~~whether redundant or in continuing use (excluding temporary buildings), which~~ would:

- not have a greater impact on the openness of the Green Belt than the existing development; or
- not cause substantial harm to the openness of the Green Belt, where the development would re-use previously developed land and contribute to meeting an identified affordable housing need within the area of the local planning authority.

*Key policy reference: SP2 Development in the Green Belt; SP10 Proposals for Outdoor Sports, Outdoor Recreation and Cemeteries in the Green Belt*

**Extending gardens beyond property boundaries**

**71** The NPPF states that the fundamental aim of Green Belt policy is to prevent urban sprawl by keeping land permanently open and that one of the five purposes of the Green Belt is to safeguard the countryside from encroachment. Whilst a planning condition could be attached to any application for garden extensions (either into the Green Belt, or to a property within the Green Belt) that would remove permitted development rights (such that no outbuildings could be built on the land) this would not control other structures that do not constitute development. As such, it is considered that the change of use to residential garden constitutes inappropriate development and very special circumstances would have to be demonstrated to justify such development.

1 paragraph 145(g) of the NPPF (2019)

## Agriculture and Forestry

### Green Belt guidance 7

Proposals should have regard to the guidance below where they involve:

- applications for new agricultural or forestry buildings or structures;
- applications for a new rural worker's home;
- diversifying a farming business;
- farm shops;
- economic diversification in rural areas.

*Key policy references: SP3 Rural Workers Dwellings in the Green Belt; SP7 New Agricultural or Forestry Buildings and Structures in the Green Belt; CS9 Transforming Rotherham's Economy*

**Applications for new agricultural or forestry buildings or structures**

**72** Any new agricultural or forestry building or structure must be needed, designed and constructed only for agricultural or forestry purposes. This prevents the building of property which is intended to be converted (for example, into a home). In accordance with Part 6 the General Permitted Development Order, and Policy SP7 New Agricultural or Forestry Buildings and Structures in the Green Belt, any new building not used for agriculture within 10 years should be removed, and this could be controlled by way of a planning condition or S106 Legal Agreement. In addition, it should be commensurate in size to the agricultural use of the land.

**Applications for a new rural worker's home**

**73** Green Belt land in Rotherham is never far from a built-up area where there is a considerable supply of housing. For this reason, planning permission for a rural worker's home in the Green Belt would only be granted in very special circumstances.

**74** The NPPF (at paragraph 79) makes clear that isolated new houses in the countryside require special justification for planning permission to be granted. One of the few circumstances in which isolated residential development may be justified is when accommodation is required to enable agricultural, forestry and certain other full-time rural workers to live at, or in the immediate vicinity of, their place of work (see Policy SP3 Rural Workers Dwellings in the Green Belt). It will often be as convenient and more sustainable for such workers to live in nearby towns or villages, or suitable existing dwellings, so avoiding new and potentially intrusive development in the countryside. However, there will be some cases where the nature and demands of the work concerned make it essential for one or more people engaged in the enterprise to live at, or very close to, the site of their work. Whether this is essential in any particular case will depend on the needs of the enterprise concerned and not on the personal preferences or circumstances of any of the individuals involved.

**75** It is essential that all applications for planning permission for new occupational dwellings in the countryside are scrutinised thoroughly with the aim of detecting attempts to abuse (e.g. through speculative proposals) the concession that the planning system makes for such dwellings. In particular,

it will be important to establish whether the stated intentions to engage in farming, forestry or any other rural-based enterprise, are genuine, are reasonably likely to materialise and are capable of being sustained for a reasonable period of time. It will also be important to establish that the needs of the intended enterprise require one or more of the people engaged in it to live nearby.

**76** It will therefore be necessary to demonstrate a functional need for the dwelling and that the business which it supports is financially stable to justify a permanent dwelling. Where the dwelling is to support a new business venture, it may be more appropriate to provide temporary accommodation in the short term until the business is established and the need for a permanent dwelling proven.

**Conditions**

**77** If planning permission is granted for a permanent home, the Council will remove permitted development rights for further extensions to, and new buildings within the curtilage (the small area forming part or parcel of the home or building within which it is contained or to which it is attached) of the agricultural or forestry worker's home. This is to make sure that further development cannot reduce the openness of the Green Belt.

**78** The Council will also apply an 'occupancy condition' to state that the home can be lived in only by a rural worker in the area, or such a person's widow, widower or dependants.

**Removing the occupancy condition**

**79** The Council may remove the occupancy condition explained above only if it can demonstrate:

- the worker no longer needs to live close to the relevant activity (in which case justification and reason would be required); and
- there is no demand for a rural worker's home in the area. In this case, the rural worker's home must have been put up for sale with a land agent, at a price agreed with us that takes account of the occupancy condition, for at least 12 months and have received no reasonable offer. Adverts should have been placed regularly in local newspapers and agricultural publications. Written proof in the form of invoices for adverts would be required and correspondence with land agents, valuers (to ensure valuation is undertaken in accordance with a recognised valuation standard and the sale price has been set reasonably), interested parties, and so on.

**Diversifying a farming business**

**80** In accordance with chapter 6 of the NPPF, 'Supporting a prosperous rural economy', the Council recognises that farm businesses may need to diversify (move into other business activities) in rural areas to bring about benefits such as protecting or creating jobs, reusing buildings that might otherwise become derelict, and supporting other rural businesses. Diversification can take a variety of forms from setting up a farm shop to using farmland for leisure. Policy CS9 Transforming Rotherham's Economy supports rural farm diversification proposals where they are modest in scale, additional to the main agricultural / farm use and re-use existing buildings wherever possible.

**81** The Council will allow existing buildings to be re-used for other purposes as long as the use does not have a significantly greater effect than the present use on the openness of the Green Belt, and does not conflict with the purposes of including land within it. The same two conditions apply

for making any significant change in the use of land. Diversification will not justify activities that harm the openness or purposes of the Green Belt or the attractiveness of the area.

**Farm shops**

**82** Planning permission would not be required to sell unprocessed goods produced on the farm, and a minimal amount of other related goods, from the farm. Farm shops play an important role in providing fresh produce to local people, and are a good example of diversification. However, planning permission would be required to sell produce which have not produced on site (within the farm).

**Economic diversification in rural areas**

**83** Economic diversification in rural areas is different from farm diversification. It relates to the creation of new businesses not directly related to farming. As no part of the Green Belt in Rotherham is far away from a built-up area, and there is a significant amount of vacant industrial land and industrial properties available for use, there are ample opportunities for new businesses to be set up within built-up areas. Economic diversification in rural areas is not sufficient reason for needing new buildings for a new non-agricultural business in the Green Belt. Even before considering Green Belt issues, non-agricultural businesses are often better suited to a built-up area because they have better public-transport links, they promote development on land that has been built on before and they are closer to a greater number of potential customer, workers and supporting services.

## Equestrian Development

### Green Belt guidance 8

Proposals should have regard to the guidance below where they relate to equestrian development and any associated change of use of land.

*Key policy reference: SP10 Proposals for Outdoor Sport, Outdoor Recreation and Cemeteries in the Green Belt*

**84** The grazing of horses on agricultural land does not constitute a material change from a former agricultural use. Land can be used for grazing, if horses are turned onto it with the primary purpose of feeding them from it, but not if they are kept on it for some other purpose (such as exercise or recreation) when grazing is seen as completely incidental and inevitable. To be classed as 'grazing land' at least 0.5 hectares per horse must be provided, unobstructed by buildings, (as recommended in Defra's Code of Practice for the Welfare of Horses, Ponies, Donkeys and their Hybrids – December 2017). Additionally, if any feeding takes place other than from the grazing land, for example an alternative food source is brought onto the site/land from elsewhere, then a material change of use of the land will have taken place and planning permission would be required.

**85** All permanent stables/shelters will need planning permission. Mobile field shelters may not need planning permission, depending on size, construction, physical attachment to the ground and their intended degree of permanence, though as noted above, the associated use of the land for the keeping of horses will require permission for a change of use.

**86** Contact the Council (see the contact details section) with full details of the proposal to find out if planning permission is required.

**Criteria**

**87** Paragraph 145(b) of the NPPF notes that new buildings (such as stables) are only acceptable if they provide appropriate facilities for outdoor sport and outdoor recreation, and as long as they preserve the openness of the Green Belt and do not conflict with the purposes of including land in it. If planning permission is required for the equestrian development in the Green Belt, planning permission would only be granted if the proposal meets factors (a) to (e) listed in Section 2 of this guidance note, relevant draft planning policies and the following criteria:

- Stables should be a suitable distance away from homes to avoid problems of smell, noise, pests and so on (taking account of wind directions and other relevant factors). Officer will seek guidance on an appropriate distance from our Environmental Health Department.
- Existing buildings should be used wherever possible and any new buildings should generally be made from wood with felt roofs so they are relatively easy to dismantle when they are no longer needed and are in keeping with the character of the Green Belt.
- Stables and associated tack room/storage should be appropriate for the outdoor recreational use of the associated land, and genuinely required for that use. Livery proposals will be considered on their impact on the character and amenity of the area.

## Contact Details

If you have any questions regarding this Supplementary Planning Document please contact Planning Policy:

Submit an enquiry to Planning Policy online:

https://www.rotherham.gov.uk/xfp/form/535

| | |
|---|---|
| Email: | planning.policy@rotherham.gov.uk |
| Telephone: | 01709 823869 |
| Website: | https://www.rotherham.gov.uk/localplan |
| Post: | Planning Policy, Planning, Regeneration and Transport, Regeneration & Environment Services, Rotherham Metropolitan Borough Council, Riverside House, Main Street, Rotherham, S60 1AE |

For planning application and pre-application advice, please contact Development Management:

Submit an enquiry to Development Management online:

https://www.rotherham.gov.uk/xfp/form/216

| | |
|---|---|
| Email: | development.management@rotherham.gov.uk |
| Telephone: | 01709 823835 |
| Website: | https://www.rotherham.gov.uk/planning |
| Post: | Development Management, Planning, Regeneration and Transport, Regeneration & Environment Services, Rotherham Metropolitan Borough Council, Riverside House, Main Street, Rotherham, S60 1AE |

# Appendix 1 Calculating Volumes

## Volume of extensions to buildings in the Green Belt

**88** As explained, the Council will not usually agree to extensions to buildings in the Green Belt if the volume of the original building would be increased by more than 33%. You must submit plans and your calculations of the increase in volume with your application.

**89** Further information regarding how to calculate volumes is provided below, and a worked example is included at Figure 3 'Working out the percentage increase in the volume of your home'.

### Volume of original building

**90** When working out the volume of an original building, use external measurements. For the purpose of this calculation, the original building is the building as it existed when it was built or on 1 July 1948, whichever is the later.

**91** Measurements should include:

- the roof space;
- the volume below any original raised decking/balconies;
- any attached buildings (i.e. garages) if they were constructed at the same time as the ~~house~~ **building** or added before 1 July 1948~~.~~**;**
- **any secondary building (where built at the same time as the original building, or if in existence prior to 1 July 1948) that is within 5 metres of the original building.**

**92** Measurements should not include:

- any extensions added after the original ~~house~~ **building** was built unless they were added before 1 July 1948;
- detached **secondary buildings that are not within 5 metres of the original building** ~~outbuildings even if they were constructed at the same time as the original dwelling~~;
- the volume of an area enclosed by railings etc around a balcony or by walls, but which do not have a roof;
- basements and any other parts of the original building which are below ground level.

**93** Any lawful outbuildings that are to be removed should be included as a separate volume calculation if you are relying on them to increase the volume of the original building by more than 33% or a replacement building by more than 10%.

### Volume of Extensions

**94** Measurements should include:

- the roof space;
- basements and any other parts of the building which are below ground level;
- The volume below any raised decking/balconies.

**95** Measurements should not include the volume of any proposed area enclosed by railings etc around a balcony or by proposed walls, but which do not have a roof. High walls/ boundaries proposed will be considered on their merits in terms of the combined impact they have, with the extension, on the openness of the Green Belt.

## Volume of existing and replacement buildings in the Green Belt

**96** As explained, the Council will not usually agree to extensions to buildings in the Green Belt if the volume of the original building would be increased by more than 33%. You must submit plans and your calculations of the increase in volume with your application. When working out the volume of an existing building, use measurements taken from outside the walls (external measurements). Submitted plans should also include ALL existing outbuildings within the curtilage of the property on the existing layout, and ALL of those buildings to be retained once the replacement building is constructed. This will allow the Council to enter into a S106 Legal Agreement with the applicant to prevent additional outbuildings being subsequently erected (before any permission for the replacement building is implemented).

**Existing building:**

**97** Volume measurements (external) of the existing building should include:

- the roofspace;
- The volume below any raised decking/balconies;
- Any attached extensions~~:-~~
- **any secondary building (where built at the same time as the original building, or if in existence prior to 1 July 1948) that is within 5 metres of the original building.**

**98** Your measurements should not include:

- Any detached outbuildings **that are not within 5 metres of the original building**;
- Basements and any other parts of the ~~dwelling~~ **building** which are below ground level;
- The volume of an area enclosed by railings etc around a balcony or by walls, but which do not have a roof, no matter how near to the building the area is.

**99** Any outbuildings to be removed should be included as a separate volume calculation if you are relying on them to increase the volume of the replacement building by more than 10%.

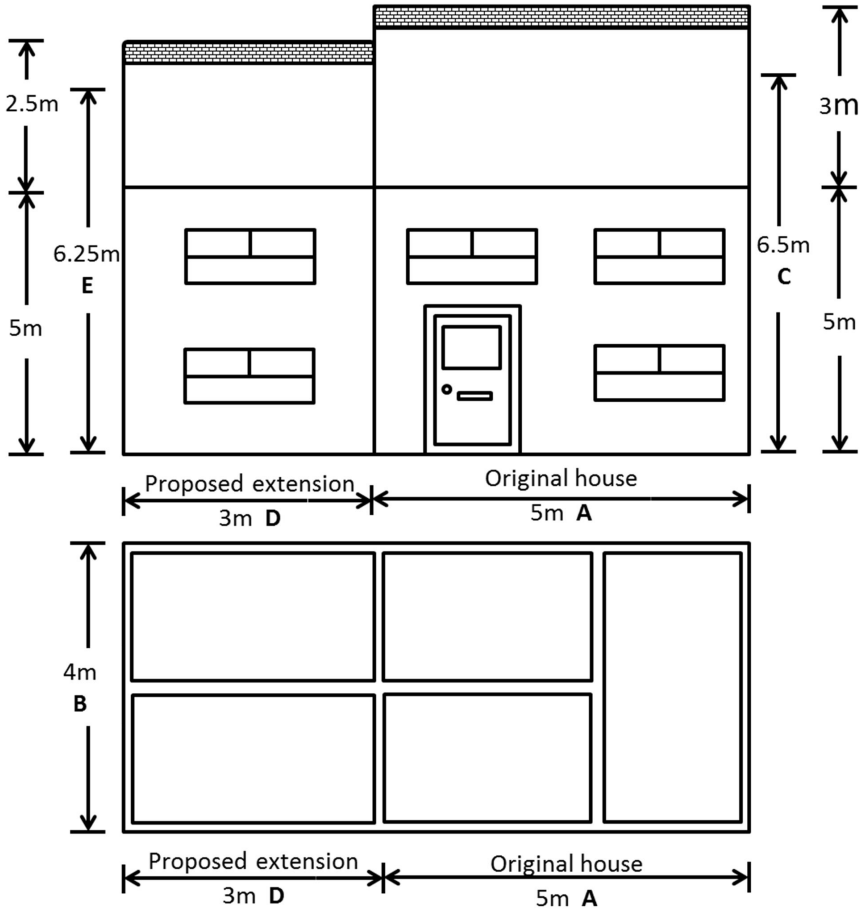
**Proposed building:**

**100** Volume measurements of the proposed ~~dwelling~~ **building** should include:

- the roofspace;
- the volume below any raised decking/balconies;
- proposed basements and any other parts of the building which are below ground level;
- proposed outbuildings (for example, garages) or structures which have a roof and so enclose space.

**101** Your measurements should not include the volume of an area enclosed by railings etc around a balcony or by walls, but which do not have a roof.

**Figure 3 Working out the percentage increase in the volume of your home**




| **Original home** | | | | | | |
|---|---|---|---|---|---|---|
| **A** Width in metres | **X** | **B** Length in meters | **X** | **C** Height in metres midway between eaves and ridge | = | **Volume ($m^3$) of home** |
| **5m** | **X** | **4m** | **X** | **6.5m** | = | **130$m^3$** |
| **Extension** | | | | | | |
| **D** Width in metres | **X** | **B** Length in meters | **X** | **E** Height in metres midway between eaves and ridge | = | **Volume ($m^3$) of extension** |
| **3m** | **X** | **4m** | **X** | **6.25m** | = | **75$m^3$** |

**Percentage increase in volume of your home:**

Volume of extension divided by Volume of original house $\frac{75m^3}{130m^3}$ **X 100 = 57.7%**

# Appendix 2 Light Spillage, Light Glare and Sky Glow

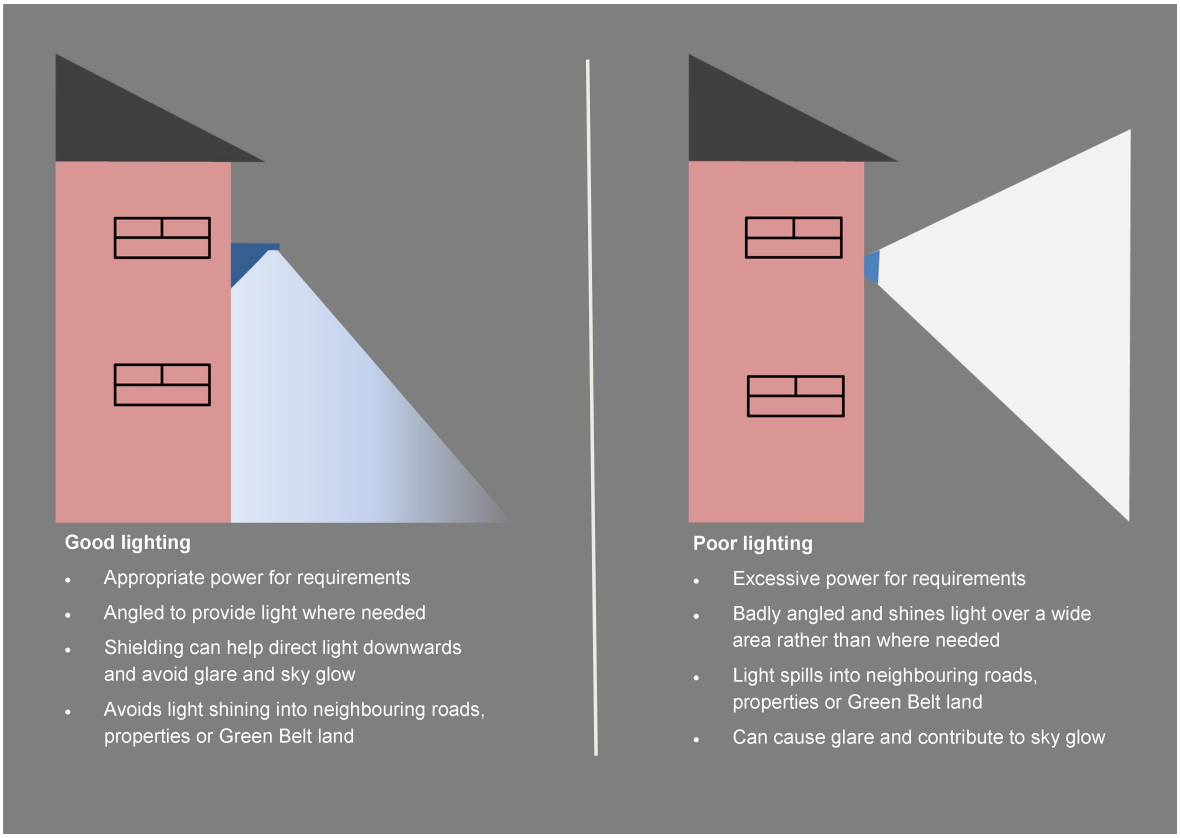
**102** Floodlights can have the following three effects which can lead to an adverse effect on the Green Belt:

- Light spillage (also known as light trespass) – this is light spilling beyond the boundary of the property the light is on. It can lead to large areas in the Green Belt being made highly visible and standing out.
- Light glare – this is dazzling people, causing blind spots in their vision, which can cause a serious danger to drivers.
- Sky glow – this is when artificial light, from the ground is scattered through the atmosphere by dust particles and water droplets. This results in a glow in the sky (making it difficult to see the night sky) and increased light levels on the ground, even in areas some distance away from the light sources.

**103** Artificial lighting would have potential impacts on wildlife such as bats, it is therefore important to thoroughly assess and mitigate any lighting scheme. Further advice can be sought from the Council's ecologist and Local Wildlife Trust.

**104** Figure 4 'Examples of good and poor lighting' below shows how poor lighting can lead to light spillage, glare and sky glow, and how measures can be taken to provide good lighting solutions.

**Figure 4 Examples of good and poor lighting**



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## 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: Draft Supplementary Planning Documents** | |
| **Directorate:**<br>Regeneration & Environment Services | **Service area:**<br>Planning Policy Team<br>Planning, Regeneration and Transport |
| **Lead person:**<br>Helen Sleigh<br>Senior Planning Officer | **Contact number:**<br>01709 823831 |
| Is this a:<br>☑ **Strategy / Policy** ☐ **Service / Function** ☐ **Other**<br><br>**If other, please specify** | |

| **2. Please provide a brief description of what you are screening** |
|---|
| Draft Supplementary Planning Documents (SPDs) will provide additional good practice guidance for implementing a range of adopted Local Plan policies. The Integrated Impact Assessment (including an Equalities Impact Assessment) was completed to support the adoption of the Core Strategy and Sites and Policies Document which together form the Rotherham Local Plan. |

Following community and stakeholder consultation on the draft SPDs, and their anticipated subsequent adoption, taking account of any amendments arising from the consultation; the guidance provided in the SPDs will be used by applicants submitting planning applications across the borough, and by the Council in determining such planning applications. The outcome will be planning decisions which comply with relevant planning policies, and that will have a positive impact on residents, workers, visitors or other users of any future development.

The SPDs are subservient to the adopted Rotherham Local Plan and they offer further guidance and protocols for implementing the policies of the Local Plan: Core Strategy (2014) and Sites and Policies Document (2018). There is a clear hierarchy within adopted planning policy documents; the Local Plan, is prepared in conformity with National Planning Policy Framework and its guidance, at the time of its adoption. SPDs sit below the strategic policies of the Local Plan and provide further guidance to applicants in submitting their planning applications. They are a material consideration in the determination of such applications.

## 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? *(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)* | ✓ | |
| Could the proposal affect service users? *(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)* | ✓ | |
| Has there been or is there likely to be an impact on an individual or group with protected characteristics? *(Consider potential discrimination, harassment or victimisation of individuals with protected characteristics)* | ✓ | |
| Have there been or likely to be any public concerns regarding the proposal? *(It is important that the Council is transparent and consultation is carried out with members of the public to help mitigate future challenge)* | | ✓ |
| Could the proposal affect how the Council's services, commissioning or procurement activities are organised, | | ✓ |

| | | |
|---|---|---|
| provided, located and by whom?<br>*(If the answer is yes you may wish to seek advice from commissioning or procurement)* | | |
| Could the proposal affect the Council's workforce or employment practices?<br>*(If the answer is yes you may wish to seek advice from your HR business partner)* | | ✓ |

| If you have answered no to all the questions above, please explain the reason |
|---|
| The SPDs are intended to provide further guidance to all applicants applying for planning permission as to how Local Plan policies will be implemented and planning decisions made. They are prepared in accordance with strategic policies of the Local Plan. As such the Supplementary Planning Documents will provide assistance to all. |

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**.**<br><br>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.<br><br>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?**<br>*(**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)*<br>At the time of preparation of both the Core Strategy and Sites and Policies Document the Council undertook Equalities and Health Impact Assessments of the strategic policies within the Local Plan. These equalities assessments are included within the accompanying Integrated Impact Assessments (IIAs) for both parts of the Local Plan and published alongside the Local Plan on the Planning Policy web page. The equalities impact assessments have guided and formulated the strategic policies of the local plan.<br><br>https://www.rotherham.gov.uk/planning-development/guide-local-plan/1<br><br>The outputs and recommendations arising from the Health and Equalities Assessments that were prepared at each stage of plan preparation are taken into account in drafting the policies of the Local Plan. Therefore, any subordinate planning guidance that is subsequently drafted, including SPDs, are prepared in accordance with the policies of the Local Plan. They fully reflect the equalities assessment and the outputs and recommendations previously undertaken and reported within the accompanying Integrated Impact Assessments (2013 and 2016). |

- **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)*

The provision of further planning guidance aims to ensure the Local Plan is delivered to its fullest extent and ensures there are benefits to all local people arising from new development opportunities; and that any impacts on the community and the wider environment are appropriately mitigated in accordance with the vision of the Local Plan: "to minimise inequalities through the creation of strong, cohesive and sustainable communities".

Enhancements to biodiversity to be secured through requirements of the Environment Act 2021 to increase Biodiversity Net Gain; and the protection of trees and soils promoted in the Trees, and Soils SPDs; will lead to improvements in air quality and thus improve the health of local people. Greater protection of the natural environment will also assist in improving the mental health of all people by providing opportunities to access the benefits provided by all green infrastructure.

The protection and further enhancements to the wider natural environment can have a greater impact on those with protected characteristics and people on low incomes who may have limited access to private open space such as gardens.

The Developer Contributions SPD provides a clear methodology and guidance for seeking to mitigate the impacts of future development proposals and to ensure that any gaps in provision of social and community facilities that are likely to arise from a localised increase in population, through new housing development (for instance) are provided for by the developer; unless there are clearly substantiated and justified reasons as to why a developer could not viably fund such planning contributions. The public sector will need to fill gaps in provision of social and community facilities that arise in such circumstances. Although there may be a time lag in delivering the necessary social and community infrastructure to meet such needs, and compromise or work around solutions may be required in the short to medium term.

- **Actions**

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

The preparation of SPDs is a positive approach to ensuring the Local Plan and its policies can be implemented to their fullest extent. The guidance within these documents removes ambiguity and misunderstandings that can occur in the planning process. The guidance will assist the Council in achieving the best possible outcomes from new development opportunities both for its own communities within which development takes place, and the wider community of Rotherham Borough.

Owing to the full Equalities Impact Assessment undertaken to assess the policies of the Core Strategy and the Sites and Policies Development Plan Document (which together provide a comprehensive Local Plan for Rotherham); and,

- having been prepared and further refined, following pubic and stakeholder consultation at each stage of Local Plan preparation; and,
- the equalities impact that arose as part of that earlier comprehensive assessment, having been taken into account, in various revisions to the draft policies, prior to their final approval in the adopted Local Plan;

there is therefore, no requirement to complete Form B the Equality Analysis.

There are no direct equalities impacts arising from the preparation and subsequent adoption of these draft Supplementary Planning Documents, that has not already been taken into account at the earlier, higher level, strategic policy stages, of Local Plan preparation and its subsequent consultation, examination and adoption.

Therefore, in these circumstances, there is no further requirement to complete Form B of the Equalities Impact Assessment, as this assessment has previously been completed; it is fully documented and publicly available in the Integrated Impact Assessments of 2013 and 2016.

| | |
|---|---|
| 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 |
|---|---|---|
| Andy Duncan | Planning Policy Manager | 12/05/2022 |

## 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** | 29 April 2022 and<br>10 May 2022 |
| **Report title and date** | Local Plan: Consultation on draft |

| | |
|---|---|
| | Supplementary Planning Documents |
| **If relates to a Cabinet, key delegated officer decision, Council, other committee or a significant operational decision – report date and date sent for publication** | Cabinet – 11 July 2022 |
| **Date screening sent to Performance, Intelligence and Improvement equality@rotherham.gov.uk** | 29 April 2022 and<br>10 May 2022 |

User guidance:

- The first section of this form guides users through considering major areas where emissions are likely to occur. If emissions are impacted in a way not covered by these categories, please identify this at the bottom of the section
- The first section should be filled as such:
  - ***Impact***: identify, in relation to each area, whether the decision of the proposal does the following: *reduces emissions*, *increases emissions*, or has *no impact on emissions*. If it is uncertain this section can be labelled *impact unknown*
  - If ***no impact on emissions*** is identified: no further detail is needed for this area, but can be added if relevant (e.g. if efforts have been made to mitigate emissions in this area.)
  - ***Describe impacts or potential impacts on emissions***: two sections deal respectively with emissions from the Council (including those of contractors), and emissions across Rotherham as a whole. In both sections please explain any factors that are likely to reduce or increase emissions. If ***impact unknown*** has been selected, then identify the area of uncertainty and outline known variables that may affect impacts.
  - In most cases there is no need to quantify the emission impact of an area after outlining the factors that may reduce or increase emissions. In some cases, however, this may be desirable if factors can be reduced to a small number of known variables (e.g. if an emission impact is attached to a known or estimated quantity of fuel consumed).
  - ***Describe any measures to mitigate emission impact:*** regardless of the emission impact, in many cases steps should be taken in order to reduce mitigate all emissions associated with each area as far as possible; these steps can be outlined here (For example: if a proposal is likely to increase emissions but practices or materials have been adopted in order to reduce this overall impact, this would be described here).
  - ***Outline any monitoring of emission impacts that will be carried out:*** in this section outline any steps taken to monitor emission levels, or steps taken to monitor the factors that are expected to increase or reduce emission levels (for example, if waste or transport levels are being monitored this would be described here)
- A ***summary paragraph*** outlining the likely overall impacts of the proposal/decision on emissions should then be completed - this is not required if the proposal/decision has no impact across all areas.
- The supporting information section should be filled as followed:
  - Author/completing officer
  - ***Research, data, or information*** may refer to datasets, background documents, literature, consultations, or other data-gathering exercise. These should also be added to the ***supporting documents*** section of the cabinet report

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- Carbon Impact Assessments are to be appended to the associated cabinet reports
- Prior to publishing reports, Carbon Impact Assessments should be sent to climate@rotherham.gov.uk for feedback
- Report authors may also use the above email address to direct any further queries or to access further support regarding completing the assessment

| Will the decision/proposal impact… | Impact | If an impact or potential impacts are identified | | | |
|---|---|---|---|---|---|
| | | Describe impacts or potential impacts on emissions from the Council and its contractors. | Describe impact or potential impacts on emissions across Rotherham as a whole. | Describe any measures to mitigate emission impacts | Outline any monitoring of emission impacts that will be carried out |
| Emissions from non-domestic buildings? | No Impact on Emissions | n/a | n/a | n/a | n/a |
| Emissions from transport? | Counter the impact of Emissions | n/a | The Supplementary Planning Documents provide planning policy guidance for developers.<br><br>• The SPD on Biodiversity Net Gain sets out the requirement for developers to meet the 10% BNG requirement introduced by the Environment Act 2021. This includes the protection and improvements to the natural environment and increased participation in active travel through increased access to Green Infrastructure corridors. | The Supplementary Planning Documents provide further guidance and clarity to developers to:<br>• Reduce the carbon footprint of their development.<br>• Provide improvements and enhancements to the natural environment that will lead to improved health of local communities. | Air quality monitored via the Local Plan Annual Monitoring Report. |

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| | | | • The Trees SPD sets out the requirements for retention and replacement of trees on development sites, which has been shown to encourage active travel through an enhanced natural environment. | | |
| Emissions from waste, or the quantity of waste itself? | Reduce Emissions | n/a | The Soils SPD sets out requirements for the management of soils on site. The efficient management and re-use of soils will reduce waste produced by incorrect disposal of soils; and will encourage and protect biodiversity within soils thus supporting all levels of life within the carbon food chain. | n/a | Waste quantity monitored via the Local Plan Annual Monitoring Report. |
| Emissions from housing and domestic buildings? | Reduce Emissions | n/a | There is potential for a reduction in emissions through the increase in Biodiversity Net Gain and tree cover on residential developments. Increased vegetation of all kinds | The Supplementary Planning Documents provide further guidance and clarity to developers to: | CO2 emissions per capita monitored via the Local Plan Annual Monitoring Report. |

| | | | | | |
|---|---|---|---|---|---|
| | | | provides carbon capture and 'cleans' the air of emissions. | • Reduce the carbon footprint of their development<br>• Provide improvements and enhancements to the natural environment that will lead to improved health of local communities. | |
| Emissions from construction and/or development? | Reduce Emissions | n/a | The proper handling of trees and soils on site will manage any harm to these assets caused by construction and development. | A Soils Strategy is required for new development proposals to be submitted as part of the planning application. | CO2 emissions per capita monitored via the Local Plan Annual Monitoring Report. |
| Carbon capture (e.g. through trees)? | Reduce Emissions | n/a | The draft Supplementary Planning Documents promote best practice.<br><br>The Biodiversity Net Gain, Trees, and Soils SPDs will assist in the mitigation of $CO_2$ emissions. They aim to further protect the natural environment and limit the impacts of new development on the natural environment and to seek compensation off site for | An increase in vegetation, in Rotherham and the improved handling of soils will promote carbon capture and reduce emissions.<br><br>Increased tree cover will provide carbon capture and 'clean' the air of emissions. | CO2 emissions per capita monitored via the Local Plan Annual Monitoring Report. |

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| | | | new development proposals where on-site mitigation and enhancement is not possible. | | |

Identify any emission impacts associated with this decision that have not been covered by the above fields:

The SPDs will guide decision-making on planning applications, which will influence $CO_2$ emissions. The threat of climate change has informed Local Plan policy. The promotion of climate resilient developments and delivery of sustainable construction methods are embedded throughout.

- The Biodiversity Net Gain SPD will secure 10% Biodiversity Net Gain for new developments as required in the Environment Act 2021. This includes the potential for new planting and enhancements to the biodiversity of existing open spaces which is known to reduce carbon emissions.

- The Trees SPD sets out the requirements for retention and replacement of trees on site. Trees are known to provide carbon capture along with mitigation of the impacts of climate change and pollution.

- The Soils SPD sets out requirements for the proper management of soils. In the long term, this will maintain the health of the Borough's vegetation, providing enhanced Green Infrastructure to improve carbon capture in the Borough. Good soil conditions will also secure the food supply in the Borough, which is under threat due to climate change[1].

The willingness of developers to work towards zero carbon developments is a key driver to change. Future government legislation will effectively regulate development on site to be zero carbon. Without legislation, the Council can promote best practice through its Development Plan Documents and guidance but cannot insist on carbon-neutral development.

There is a significant demand for new homes and amenities in the Borough. The Council is committed to determining planning applications in accordance with Local Plan policy, and in doing so is seeking to reduce, mitigate and adapt to climate change.

Please provide a summary of all impacts and mitigation/monitoring measures:

[1] United Kingdom Food Security Report 2021: Theme 2: UK Food Supply Sources - GOV.UK (www.gov.uk)

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| The Supplementary Planning Documents provide further guidance and clarity to developers in bringing forward planning applications for development; reducing the carbon footprint of development; promoting higher sustainable construction standards; building climate resilient dwellings; minimising impacts of carbon emissions harmful to local air quality, the natural environment and health. |

| Supporting information: | |
|---|---|
| Completed by:<br>(Name, title, and service area/directorate). | Kwame Steadman, Planner, Planning Policy, Planning, Regeneration and Transport |
| Please outline any research, data, or information used to complete this [form]. | National Planning Policy Framework (2021)<br>Rotherham Local Plan Core Strategy (2014)<br>Rotherham Local Plan Sites and Policies Document (2018)<br>United Kingdom Food Security Report 2021: Theme 2: UK Food Supply Sources |
| If quantities of emissions are relevant to and have been used in this form please identify which conversion factors have been used to quantify impacts. | n/a |
| Tracking [to be completed by Policy Support / Climate Champions] | Andy Duncan, Planning Policy Manager and Climate Champion, Built Environment – Planning |