



CABINET

Monday 23 January 2023

10.00 a.m.

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

Cabinet Members:-

Leader of the Council
Deputy Leader of the Council,
Neighbourhood Working Portfolio
Adult Social Care and Health Portfolio
Children and Young People Portfolio
Corporate Services, Community Safety and Finance Portfolio
Housing Portfolio
Jobs and the Local Economy Portfolio
Social Inclusion Portfolio
Transport and Environment Portfolio

Councillor Chris Read
Councillor Sarah Allen

Councillor David Roche
Councillor Victoria Cusworth
Councillor Saghir Alam
Councillor Amy Brookes
Councillor Denise Lelliott
Councillor Dave Sheppard
Councillor Dominic Beck



CABINET

Venue: Council Chamber - Rotherham Town Hall, Moorgate Street, Rotherham, South Yorkshire S60 2TH

Date and Time: Monday 23 January 2023 at 10.00 a.m.

Agenda Contact Governance Unit – governance@rotherham.gov.uk

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

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

A G E N D A

1. Apologies for Absence

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

2. Declarations of Interest

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

3. Questions from Members of the Public

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

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

Councillors may also ask questions under this agenda item.

4. Minutes of the Previous Meeting (Pages 9 - 21)

To receive the record of proceedings of the Cabinet meeting held on 19 December 2022.

5. Exclusion of the Press and Public

Agenda Items 6,11 and 12 have exempt appendices. Therefore, if necessary when considering those items, the Chair will move the following resolution:-

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

ADULT SOCIAL CARE AND HEALTH

6. Supported Living Mental Health Recovery Care and Support (Pages 23 - 74)

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

Recommendations:

That Cabinet:

1. Approves the Supported Living - Mental Health Recovery model of care and support.
2. Notes that until creation of the FPS, an interim contract will be entered into with Making Space and Amethyst Care and Support Group Ltd to provide mental health recovery focussed supported living services.
3. Notes that in the future the supported living arrangements for people living with mental ill-health will be delivered through the Community Services – Mental Health Recovery Flexible Purchasing System.

7. Scrutiny Review Recommendations - Covid-19 Care Home Safety (Pages 75 - 83)

Report from the Assistant Chief Executive.

Recommendations:

1. That the following recommendations from the review be received:
 - a) That the learning from the pandemic and ongoing needs in respect of care home safety be noted.
 - b) That the service consider how the Council may help support recruitment and retention within the care sector.
 - c) That consideration be given to how best to retain, where possible, the benefits of supportive models such as regular engagement, access to

training/guidance and the IMT approach, which were adopted during the pandemic.

- d) That outcomes of forthcoming reviews by the Health and Wellbeing Board on learning from the Pandemic be considered for scrutiny.
2. That Cabinet formally consider its response to the above recommendations by March 2023, in accordance with the Overview and Scrutiny Procedure Rules.

CORPORATE SERVICES, COMMUNITY SAFETY AND FINANCE

8. Bereavement Services Dignity Contract Management Report (Pages 85 - 95)

Report from the Strategic Director of Finance and Customer Services.

Recommendations:

1. That Members note the content of this report.
2. That a capital sum of £148,000 is set aside for improvements to the Borough's cemeteries that are outside of the Dignity contract subject to approval of the Budget and Council Tax Report at Council in March 2023. Details are presented at 2.2.1.

9. November 2022/23 Financial Monitoring Report (Pages 97 - 124)

Report from the Strategic Director of Finance and Customer Services.

Recommendations:

That Cabinet:

1. Note the current General Fund Revenue Budget forecast overspend of £9.5m.
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 updated Capital Programme.
4. Approve the proposed use of the UK Shared Prosperity Fund grant 2022/23 and delegate authority to the Assistant Chief Executive in consultation with the Leader of the Council to determine any revised and final allocations as required.

10. Risk Management Policy (Pages 125 - 145)

Report from the Assistant Chief Executive.

Recommendations:

That Cabinet:

1. Approve the Risk Management Policy (attached as appendix 1.)
2. Delegate authority to the Assistant Chief Executive to approve changes to the Policy in future.

HOUSING

11. Housing Development Programme Report - 2023/24 (Pages 147 - 200)

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

Recommendations:

1. That Cabinet approves the Council-owned sites listed in Appendix 3 being brought forward to deliver new Council homes.
2. That Cabinet approves the appropriation of specified General Fund sites to the Housing Revenue Account. Further detail about the sites proposed for appropriation is provided in Appendix 4.
3. That Cabinet approves the purchase of homes from any of the schemes identified in Exempt Appendix 5.
4. That Cabinet delegates authority to the Council's Property Officer (Assistant Director for Planning, Regeneration and Transport) to purchase additional homes from private developers or the open market to add to the Council's housing stock, with the agreement of the Assistant Director for Housing, Cabinet Member for Housing and Section 151 Officer.
5. That Cabinet agrees to receive an update on the housing development programme every six months.

JOBS AND THE LOCAL ECONOMY

12. Approval of the use of a Compulsory Purchase Order (CPO) to acquire 3 - 7 Corporation Street, Rotherham Town Centre (Pages 201 - 263)

Report from the Strategic Director of Regeneration and Environment.

Recommendations:

1. That Cabinet approve the acquisition of 3-7 Corporation Street on terms to be agreed and approve the making of a Compulsory Purchase Order

(CPO) under section 226(1)(a) of the Town and Country Planning Act 1990 for the acquisition of land and rights within the area edged red on the plan in Appendix 1 for the purposes of facilitating development, redevelopment, and improvement of the Order Land.

2. That Cabinet authorises the Assistant Director of Regeneration, Planning and Transport, in consultation with the Cabinet Member for Jobs and the Local Economy and the Head of Legal Services, to affect the making, confirmation, and implementation of the CPO and to take all necessary steps to give effect to the CPO in respect of the Order Land including, but not limited to, the procedural steps in section 3.8 of this report.

SOCIAL INCLUSION

13. Rotherham Museums, Arts and Heritage Collections Management Policy (Pages 265 - 320)

Report from the Strategic Director of Regeneration and Environment.

Recommendations:

1. That Cabinet approves the Collections Management Policy (2023).
2. That Cabinet approves the delegation to the Assistant Director of Culture, Sport and Tourism in consultation with the Cabinet Member for Social Inclusion for any future changes or new versions of the Collections Policy.

14. Rothercard Review (Pages 321 - 380)

Report from the Strategic Director of Finance and Customer Services.

Recommendations:

1. That Cabinet approves the recommended changes set out in this report to deliver a new Rothercard scheme as detailed at **Section 3 (*Options considered and recommended proposal*)**.
2. That Cabinet note the changes to the eligibility criteria and the improvements that will be delivered to make it easier for customers to apply for/benefit from the scheme by:
 - Automatically providing residents who qualify for Council Tax Support (with consent) with a Rothercard.
 - Raising awareness of the scheme with those who have already qualified for Council Tax Support so they can be provided with a Rothercard should they wish to have one.
3. That Cabinet approve the proposal to offer the following new discounts to Rothercard holders:

- 10% reduction off the cost of a hot drink effective from 1 April 2023, at the following locations:
 - Clifton Park Museum Café,
 - Thrybergh Country Park Café
 - Rother Valley Country Park Café
 - 5% reduction on the cost of the 2024/25 garden waste collection service (1st bin only). This reduction will be applied from December 2023 when residents are invited to renew/subscribe for the collection service that will commence from 26th February 2024.
4. That Cabinet approve the intention to engage with businesses to explore the potential for developing a universal discount scheme that supports local businesses and retailers to benefit all Rotherham residents.
 5. That Cabinet approve the intention to introduce an electronic alternative to a paper based Rothercard.
 6. That Cabinet notes the intention to undertake an annual review to assess how the scheme is benefiting residents and helping deliver improved outcomes.

TRANSPORT AND ENVIRONMENT

15. Future Provision for Household Waste Recycling Centres (Pages 381 - 400)

Report from the Strategic Director of Regeneration and Environment.

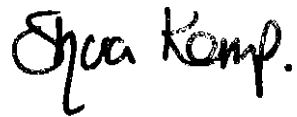
Recommendations:

1. That Cabinet approve Option 3, which will provide for an in-sourced delivery of customer facing sites and facilities, with these being supported by contracted haulage and disposal, following an initial fully contracted service, and authorises the Strategic Director of Regeneration and Environment in consultation with the Cabinet Member for Transport and Environment (subject to confirmation by the Strategic Director for Finance and Customer Services) to agree the final delivery arrangements and subject to Council approval through the budget process.
- ### **16. Recommendations from Overview and Scrutiny Management Board (To Follow)**

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 Thursday 19 January 2023.

17. Date and Time of Next Meeting

The next meeting of the Cabinet will be held on Monday 13 February 2023 commencing at 10.00am in Rotherham Town Hall.

A handwritten signature in black ink that reads "Sharon Kemp." The signature is written in a cursive, flowing style.

SHARON KEMP,
Chief Executive.

**THE CABINET
19th December, 2022**

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

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

Apologies for absence were received from Councillors Lelliott.

79. DECLARATIONS OF INTEREST

There were no declarations of interest.

80. QUESTIONS FROM MEMBERS OF THE PUBLIC

There were no members of the public present at the meeting and no questions submitted in writing.

81. MINUTES OF THE PREVIOUS MEETING

Councillor Allen advised of a correction to Minute No. 69. It should read “held on 17th October 2022 be approved as a true and correct *record* of the proceedings.”

Resolved:-

That the minutes, as corrected, of the previous meeting of the Cabinet held on 21st November, 2022, be approved as a true and correct record of the proceedings.

82. EXCLUSION OF THE PRESS AND PUBLIC

The Chair advised that Appendix 2 to Minute No. 84 contained exempt information, however, the meeting remained open to the public and press throughout.

83. SECTION 106 DEVELOPER EDUCATION CONTRIBUTIONS POLICY

Consideration was given to the report which proposed changes to the threshold criteria within the Section 106 Developer Contributions Policy. The changes reflected recent updates to the evidence base and further work undertaken within the Council to prepare refreshed Supplementary Planning Policy guidance.

The Town and Country Planning Act 1990 (Section 106) made provision for Local Authorities to seek financial contributions from developers towards education infrastructure where it could be evidenced that a

development would put pressure on existing school capacity. The Section 106 Developer Education Contributions Policy set out the Council's strategy towards analysing the impact on education and requesting developer contributions towards creating additional school places where necessary and appropriate.

The latest cost multipliers issued by Department for Education and BCIS (Building Cost Information Service) had uplifted the previous cost formula from £2,342 (Primary) and £2,521 (Secondary) to £3,472 (Primary), £3,737 (Secondary) and £1,621 (Sixth Form). The policy revision reflects the uplift. In future those costs would be updated annually to reflect increases in build costs and as good practice in negotiating Section 106 planning contributions.

The Policy revision which was attached as Appendix 1 to the report also incorporated the use of Section 106 funding for Special Education Needs and Disability (SEND) and Social Emotional and Mental Health (SEMH) resources. This was because the Local Authority had a strategy to align SEND/SEMH resource bases to local mainstream schools to meet the rising need for places in mainstream education for children with SEND/SEMH both with Education, Health and Care Plans (EHCP's) and registered as SEND needs in school but below EHCP threshold.

Consultation was undertaken with stakeholders including RMBC Planning Department (linked to the draft Supplementary Planning Documents (SPD) -Securing Developer Contributions), Housing Department, Legal Department, Finance Department, Procurement Department and Regeneration and Environment Directorate. Feedback from consultees had informed revisions to the revised draft Policy, attached as Appendix 3 to the report.

Resolved:-

That approval be granted to the revised Section 106 Developer Education Contributions Policy.

84. DISPOSAL OF PROPERTY AT 32-34 CORPORATION STREET (FORMER LLOYDS BANK BUILDING)

Consideration was given to the report which sought approval to dispose of property at 32-34 Corporation Street. The property was showed edged in red on the plan attached at Appendix 1 to the report. The disposal would be at a nominal value in line with an independent valuation by private treaty sale and would facilitate the redevelopment of vacant properties at Corporation Street and the provision of new commercial and residential properties.

The proposal was part of a wider development to facilitate new commercial and residential space within the Town's Leisure and Culture Quarter. The Council had secured £31.6m through the Town Deal

towards the regeneration of the Town Centre, Eastwood and Templeborough. Part of this programme would contribute towards a public/private sector partnership redevelopment of properties at 30-38 Corporation Street.

The property would be disposed of to a private sector individual who owned the neighbouring properties (the “Developer”) who would lead in the delivery of the development scheme. Town Deal monies would provide the identified funding gap. The property had to be included at a reduced value and the report, therefore, sought permission to dispose of the property at less than best consideration to facilitate the ongoing regeneration of Rotherham’s Town Centre. A valuation was commissioned in October 2022 and a summary was provided in exempt Appendix 2.

Under Section 123 of the Local Government Act 1972, it states that a Local Authority can dispose of land or property for less than best consideration if it considers that the disposal will contribute to the promotion or improvement of the economic, social or environmental wellbeing of its area and the extent of the undervalue is no more than £2m. To facilitate the continued redevelopment of the Town Centre it was proposed that the Council forgoes a capital receipt, and the property was disposed of at a reduced value.

Neighbouring properties were owned by the Developer who would contribute to the majority of financial contribution to the redevelopment project. A sale by Private Treaty was therefore the recommended option to enable the project to be delivered.

The property was purchased in 2006 by the Council using Yorkshire Forward monies. Responsibility for this grant had since passed to Homes England (HE). The funding agreement provided that the Council must obtain HE approval to any disposal and this was being sought. Funding for the redevelopment project was provided through the Town Deal and private sector investment. There was no cost to the Council.

Resolved:-

1. That Cabinet approve the disposal of the property at 32-34 Corporation Street at a less than best consideration Under Section 123 of the Local Government Act 1972 to the adjoining landowning Developer to enable continued regeneration of the Town Centre.
2. That approval be given to the Assistant Director for Planning, Regeneration and Transport to negotiate and finalise the disposal of the asset in line with the parameters established by this report.
3. That the Assistant Director of Legal Services be instructed to complete the necessary legal documentation once terms for the disposal have been agreed.

85. SCRUTINY REVIEW RECOMMENDATIONS - MARKETS: ENGAGEMENT AND RECOVERY STRATEGY

Consideration was given to the report which summarised the findings and recommendations from the Improving Places Select Commission spotlight review on 7th June, 2022. The spotlight review examined the recovery and regeneration of the markets in Rotherham Town Centre and a number of recommendations had been made. The recommendations directly for the service were contained in Appendix 1 of the report. Contributing Members were Councillors Atkin, Bennett-Sylvester, T. Collingham, Jones and Wyatt (Chair.)

The aims of this review were to receive information in respect of the following topics pertaining to the Rotherham Town Centre Markets:

- Introducing and contextualising the markets
- Describing of the current situation facing the markets
- Summarising budget and financial arrangements in respect of markets
- Navigating pandemic-related challenges
- Redeveloping the markets
- Engaging with young people
- Planning for future sustainability

Members' findings and recommendations centred around 4 areas: Re-evaluating the introductory offer, designing responsively for economic sustainability amid present day budgetary challenges, navigating redevelopment by nurturing relationships, and designing for long term success.

In accordance with the Overview and Scrutiny Procedure Rules, Cabinet was required to consider and respond to the recommendation in no more than 2 months from the date they received the report.

Resolved:-

1. That the following recommendations from the review be received:
 - a. That face-to-face consultations and clear communication be prioritised in all interactions with vendors and traders.
 - b. That the Service consult case studies and resources available in the libraries of National Association of British Markets (NABMA) and National Market Traders Federation (NMTF) to inform the redevelopment of Rotherham markets.
 - c. That the Service re-evaluate the support offer for new vendors, in consultation with the NABMA and NMTF, with a view to encouraging more new vendors to continue trading beyond the 6 months introductory period.

d. In view of relevant expert advice in respect of sustaining a market during redevelopment works, that retaining traders through the redevelopment phase be considered top priority.

e. That any redesign of market spaces duly considers usability and aesthetics, consulting market research to optimise spaces for inclusiveness and accessibility, and to make the offer especially attractive to students and young people.

f. That consideration be given to how the redesign and operation of the markets may best cater to the needs and interests of younger generations by strengthening links with Rotherham College, North Notts College and Dearne Valley College (RNN Group) student populations and extending opportunities to new entrepreneurs through the Young Traders Scheme.

g. Recognising that the Town Centre markets represent a unique and distinct community of buyers and sellers with its own accompanying needs and character, that consideration be given to the ongoing management resource required to sustain the markets economy successfully over the long term.

h. That consideration be given to design and development choices that would help the markets to incorporate cashless, up-to-date approaches to commerce that their potential customers expect.

2. That Cabinet formally consider its response to the above recommendations by February 2023, in accordance with the Overview and Scrutiny Procedure Rules.

86. COUNCIL PLAN 2022-2025 AND YEAR AHEAD DELIVERY PLAN PROGRESS UPDATE

Consideration was given to the report which was the third progress report on the Council Plan 2022-25 and the Year Ahead Delivery Plan. As of 24th November, 2022, the activities within the Year Ahead Delivery Plan were rated as follows:

- 49% (45) complete
- 39% (36) were on track to be delivered by original target date
- 4% (4) were delayed by less than 3 months
- 8% (7) would not be met within 3 months of original target date

During the meeting the Leader explained the reasons why some of the actions were off target. This related to survey results, measures of demand and reflections of the tough times facing the country (particularly in relation to unemployment figures.) Cabinet Members then highlighted areas of positivity from their portfolios along with any issues or concerns they had around missed or delayed actions.

The in-depth progress report on the Council Plan and Year Ahead Delivery Plan was attached as Appendix 1 to the report. The next update was due to be provided to Cabinet in March 2023.

This report had been considered by the Overview and Scrutiny Management Board as part of the pre-decision scrutiny process. The Board fully supported the recommendations but made a number of recommendations:

Resolved:-

That Cabinet note:

1. The overall position in relation to the Year Ahead Delivery Plan activities.
2. The Quarter 2 2022-23 data for the Council Plan performance measures.
3. The performance reporting timetable for the remainder of the 2022-2023 year.
4. The intention of OSMB to undertake a spotlight review of the effectiveness of the Consultation and Engagement Framework as part of its 2023/24 work programme.

87. ROTHERHAM PLAN 2025

Consideration was given to the report which sought endorsement of the updated Rotherham Plan which was attached to the report at Appendix 1. The original document was launched in 2017 and described how the Council and local partner organisations would work together to deliver an ambitious programme of activity through to 2025. A consultation on the updates had been conducted and the analysis of the consultation was contained in Appendix 2.

The update recognised the milestones that had been achieved since 2017 and introduced new themes in response to the significantly different national and local context. Key milestones and actions included a new university centre, the attraction of major investment highlighted by the opening of Gulliver's Valley Theme Park, the ongoing Town Centre development including new housing schemes, integrated health and social care arrangements, a range of employment support programmes, innovative social prescribing practices, and joint commitments on social value across partners.

However, more recently the Council and partner organisations had faced significant challenges, ranging from the Covid-19 pandemic, the growing urgency of climate change to the rising costs of living. The Rotherham Plan 2025 therefore aimed to build on the successes whilst responding to both emerging and long-standing challenges.

The Plan had been signed off by the Rotherham Together Partnership's Chief Executive Officer Group and Cabinet were asked to formally endorse it on behalf of the Council. If endorsed, Cabinet was also asked to agree to the establishment of a Strategic Partnership Group to oversee the delivery of the Plan and ensure connectivity across key partnership boards. It was proposed that the Chairs and one other representative from each of the involved partnership bodies (including at least one non-Rotherham MBC representative) would form a Strategic Partnership Group, to be Chaired by the Leader of the Council. Other members would include the Chair of the Rotherham Together Partnership Chief Executive Officer Group (currently the Council's Chief Executive) and an additional voluntary and community sector representative. In addition, 2 showcase events would be held each year, giving a wider range of people the opportunity to hear about the progress made, including what has been delivered and the impact that it has had.

Resolved:-

1. That Cabinet note the strategic themes and intended programme of action laid out in the Rotherham Plan 2025.
2. That Cabinet endorse the updated Rotherham Plan 2025.
3. That Cabinet agree to the establishment of a Strategic Partnership Group to oversee delivery of the Plan and delegate approval of Terms of Reference to the Chief Executive in consultation with the Leader and the Strategic Partnership Group.

88. ESTABLISHMENT OF A FINANCIAL ABUSE AND EXPLOITATION SERVICE FOR ROTHERHAM

Consideration was given to the report which set out the proposals for a new Service to prevent the financial abuse and exploitation of Rotherham residents. The proposed Service would include the recruitment of a specialist investigator dedicated to Rotherham to investigate cases where crime was suspected, the review of historic exploitation cases and the delivery of financial exploitation and abuse awareness training for key staff and partners. The Service would add to the existing safeguarding offer within the Council's Adults Safeguarding Service and the Council's Trading Standards Service to provide a more comprehensive response.

The Council's Adult Social Care Services consistently received safeguarding concerns that have an element of suspected financial abuse. Since 2019, although the number of concerns raised has

fluctuated, (223 in 2019/20, 362 cases in 2020-21 and 318 in 2021-22, 150 to date in the current year) the percentage where financial abuse was suspected had remained around the 43% mark and had been the third highest category of abuse over the 3 year period.

Deprivation was a known factor in making individuals and communities more susceptible to financial exploitation and abuse. On the Index of Multiple Deprivation 2019 (IMD 2019) Rotherham ranked the 35th most deprived upper tier local authority in England out of a total of 151 authorities. In all, 59 Rotherham neighbourhoods ranked amongst the 20% most deprived in England and 36 of these were in the top 10% most deprived. Given the context and reflective of the Council's core commitment to safeguarding and ensuring Rotherham residents were safe, healthy and live well, the Council had been developing proposals for the development of a new Service offer to further help prevent such abuse and exploitation in the Borough.

The work to establish the Service offer was delayed, principally by the impact of the pandemic, with colleagues in West Yorkshire experiencing issues with time and resources to support Council colleagues in Rotherham. Post-pandemic, discussions resumed with the necessary urgency to enable the proposals contained within this report to be finalised.

A Council working group including colleagues from Adult Social Care Strategic Safeguarding, Housing Services, Regulation and Enforcement, Finance, Performance and Business Intelligence, Procurement and South Yorkshire Police Safer Neighbourhoods Team, had worked to develop the proposal for Rotherham. If the recommendation of the report was approved, the working group would implement the Service proposal to commence activity from April 2023. The working group would also focus on developing referral pathways and associated procedures to support the implementation of the new service offer.

If approved, the proposal would supplement existing Council resources and through a procured specialist provider, include the appointment by that provider of a specialist investigator, for an initial period of 2 years, dedicated solely to Rotherham casework. The procured provider would also be asked to deliver the other activity as detailed in Section 2.5 of the report as part of the contract. The appointed investigator would be recruited and managed by the procured provider. It was envisaged that the postholder would benefit from the wider resources of the provider, in addition to building essential operational relationships with Council staff and partners.

This report had been considered by the Overview and Scrutiny Management Board as part of the pre-decision scrutiny process. The Board fully supported the recommendations but made a number of recommendations:

Resolved:-

1. That Cabinet approve the establishment of a Financial Exploitation and Abuse Service for Rotherham as detailed in Section 3 – Option 2 of the report.
2. That a briefing is circulated to update OSMB on the outcomes of the first year of delivery following appointment of a specialist service provider.

89. SCRUTINY REVIEW RECOMMENDATIONS - CULTURAL STRATEGY

Consideration was given to the report which provided a summary of findings and recommendations from a scrutiny spotlight review undertaken jointly by the Improving Places Select Commission and Improving Lives Select Commission. The aim of the review was to obtain assurances that, following the isolation associated with the pandemic and growing financial pressures on families, the Council's Cultural Strategy was responsive to these challenges. Furthermore, the review aimed to ensure the Council was delivering on its 2022-25 Council Plan objectives that local people had access to libraries, cultural activities, parks and green spaces and that children and young people have fun things to do and safe places to go.

Members of the Improving Places Select Commission and Improving Lives Select Commission met with Culture, Sport and Tourism Service leads, and the Cabinet Member for Social Inclusion. The review was undertaken by Councillors Pitchley, Atkin, Cooksey, Griffin, Havard, Keenan, McNeely, and Sansome. The resulting recommendations were endorsed by the Improving Lives Select Commission on 3rd May, 2022, on behalf of both Select Commissions which conducted the spotlight review. The recommendations were subsequently endorsed by the Overview and Scrutiny Management Board on 12th October, 2022.

Consideration was given to specific areas of work which comprised part of the current offer. Members considered those examples in determining whether there was enough evidence to provide assurances in 2 areas:

1. that there was sufficient variety and availability of cultural events to cater to diverse interests and respond to the changing needs of communities.
2. whether inclusive access to a variety of events across the Borough was sufficient to ensure that young people have fun things to do and safe places to go and that local people have access to cultural activities close to where they live.

In accordance with the Overview and Scrutiny Procedure Rules, Cabinet was required to consider and response to the recommendation in no more than 2 months from the date they received the report.

Resolved:-

1. That the following recommendations from the review be received:
 - a. That the range of available activities tailored for young residents of the Borough be prioritised for expansion.
 - b. That consideration be given to how best to expand access, especially for young people, to recreational swimming in the Borough, whilst protecting against hazards.
 - c. That the Service liaise with Children and Young People's Services to develop a system to help young carers more easily access opportunities for leisure and culture-related respite.
 - d. With a view to expanding access, that consideration be given to hosting cultural events at alternating and varied locations and venues throughout the Borough where appropriate.
2. That Cabinet formally consider its response to the above recommendations by February 2023, in accordance with the Overview and Scrutiny Procedure Rules.

90. LOCAL NEIGHBOURHOOD & ROAD SAFETY SCHEMES

Consideration was given to the report which set out proposals for the progression of the new Local Neighbourhood Road Safety (LNRS) programme and sought approval to progress to consultation in the areas set out in Tablet 2 of the report.

In July 2022 Cabinet approved the Transport Capital Programme for 2022-23. A key part of that Programme was the Local Neighbourhood and Road Safety Programme. This Programme was intended to address concerns in the community in respect of the operation of the highway network, whilst also contributing to strategic objectives. Members were invited to submit issues and concerns in Summer 2022. Following this exercise, areas for investigation had been prioritised based on Member requests received but also having regard to corporate objectives in respect of Council Plan objectives. It was proposed to deliver the Programme in 2 tranches. Areas prioritised in tranche 1 (in the period until December 2023) were listed in section 2.1 of the report, along with an initial budget.

The 12 remaining Wards fell into Tranche 2 of LNRS. These would be prioritised for inclusion in the Programme in the years 23/24 and 24/25, utilising the remaining £1,440,000 as set out in section 2.3 of the report.

Resolved:-

1. That the Programme of Tranche 1 Local Neighbourhood and Road Safety Schemes is approved as set out in Table 2.
2. That Cabinet delegates authority to the Strategic Director, Regeneration and Environment, in consultation with the Cabinet Member for Transport and Environment and Section 151 Officer, to enter projects within the areas specified in Table 2 into the Capital Programme.

91. APPLICATION FOR MOVING TRAFFIC ENFORCEMENT POWERS (TRAFFIC MANAGEMENT ACT PART 6)

Consideration was given to the report which outlined the requirements to undertake the enforcement of Moving Traffic Offences and sought approval to delegate the submission of the Council's application for powers to the Strategic Director for Regeneration and Environment, in consultation with the Cabinet Member for Transport and Environment, following completion of the current public consultation.

The Government had committed to make Moving Traffic Enforcement Powers available to local authorities outside London, under Part 6 of the Traffic Management Act 2004. This gave the Secretary of State regulatory powers to authorise individual Transport Authorities to undertake the civil enforcement of Moving Traffic Offences to reduce congestion and improve air quality, whilst promoting active travel by removing vehicles from areas such as cycle lanes and pedestrianised areas. The offences that these Powers covered were shown in Appendix 1 to the report. The Regulations were laid before Parliament on 27th January, 2022, and introduced on 31st May, 2022. In making these Powers available, the legislative opportunity had been taken to consolidate the existing civil enforcement regimes for parking restrictions, which the Council did carry out, and the civil enforcement of bus lane contraventions which it did not currently undertake.

The Council's Parking Services would be required to develop and implement a new Parking and Moving Traffic Enforcement Policy that covered the Regulations introduced on 31st May, 2022. The updated Policy would need to consolidate the existing Civil Enforcement Policies and processes for parking restrictions and the civil enforcement of bus lane contraventions with the new restrictions introduced in the Moving Traffic Offences Legislation. This would need to include details of how the Council would charge the public for contraventions that are captured on camera and how the public can appeal these penalties.

A review and update of the Council's existing GDPR Policy (which governed data protection) would also be required to support the introduction and use of camera enforcement throughout the Borough to deliver the new Parking and Moving Traffic Enforcement Policy.

The following 5 sites met the criteria as set by the Department for Transport for the Designation of Moving Traffic Enforcement Powers:

Location	Enforcement requirement
Bridgegate (Town Centre)	Vehicle access restrictions
High Street (Town Centre)	Vehicle access period
Clifton Lane	Banned Left Turn - from Clifton Lane into Doncaster Gate
	Banned Left Turn - from Doncaster Road into Clifton Lane
Sheffield Lane, Catcliffe	No Entry
Wood Lane, Brinsworth	Bus Gate

The enforcement of Moving Traffic Offences required the use of approved camera technology and software. This would be compatible with Parking Services current system; Parking 3Sixty from Imperial Civil Enforcement Solutions.

Currently the costs associated with the outlined tasks were unknown but other authorities had specified costs of between £15,000 and £25,000 and up to £700 per month to operate and maintain, with some sites and types of restrictions needing more than one camera for effective enforcement which would increase the cost of a site further. There were also additional costs associated with dealing with representations against Parking Charge Notices (PCNs) and adjudication.

Consultation began on 11th November, 2022, and would end on or soon after 23rd December, 2022.

Resolved:-

That, subject to the current public consultation, Cabinet authorises the Strategic Director for Regeneration & Environment, in consultation with the Cabinet Member for Transport and Environment, to submit the Council's application to the Department for Transport for Powers to enforce Moving Traffic Offences under Part 6 of the Traffic Management Act (TMA) 2004.

92. TRANSFORMING CITIES FUND UPDATE

Consideration was given to the report which provided a progress update on the delivery of the Transforming Cities Fund programme. The Transforming Cities Fund aimed to improve productivity and spread prosperity through investment in public and sustainable transport in some of the largest English city regions and was first announced by Government on 20th November, 2017. The Strategic Outline Business Case (SOBC) for the Transforming Cities Fund (TCF) programme was submitted to the Department for Transport (DfT) by Sheffield City Region on 27th November, 2019. The subsequent acceptance of the £166m grant from DfT was reported at the MCA meeting on 1st June, 2020.

The Council had embarked on an ambitious active travel programme which would see the completion of key strategic active travel and public transport schemes across the Borough, as well as more local improvements. An update in respect of each project was given in Section 2 of the report.

In July 2022, Cabinet approved the Transport Capital Programme for 2022-23. A key part of that programme was the delivery of the Transforming Cities Fund active and sustainable travel programme, detailed in the table below:

Table 1 - DfT Transforming Cities Fund Programme (as of Apr 2022)

	£'000,000
Sheffield Road cycleways	£6.8
Frederick St public realm & cycleway (contribution)	£0.5
Moor Road cycleway, Manvers	£0.4
A631 Rotherham to Maltby bus corridor	£2.3
A630 Doncaster Road improvement, Dalton	£1.9
Forge Island Footbridge	£1.0
Fund subtotal	£12.9

Resolved:-

That Cabinet note the update in respect of the Transforming Cities Fund programme.

93. 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.

94. DATE AND TIME OF NEXT MEETING

Resolved:-

That the next meeting of the Cabinet be held on Monday, 23rd January, 2023, commencing at 10.00 a.m. in Rotherham Town Hall.

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Public Report with Exempt Appendices
Cabinet

Committee Name and Date of Committee Meeting

Cabinet – 23 January 2023

Report Title

Supported Living Mental Health Recovery Care and Support.

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)

Jacqueline Clark, Head of Prevention Early Intervention
Jacqueline.clark@rotherham.gov.uk

Ward(s) Affected

Borough-Wide

Report Summary

Mental health care and support services are necessary to meet the Council's statutory requirements for people who are deemed eligible for support under the Care Act 2014.

A review of current care and support options for people living with mental ill-health indicates a reliance on residential care and non-specialised provision. There is a lack of provision capable of supporting people in line with the principles of mental health recovery. On the 17 October 2022, recommendations to Cabinet to commence a programme of procurement to appoint suitable qualified providers to a Community Services – Mental Health Recovery Flexible Purchasing System (FPS) was approved. The FPS will comprise of a number of separate lots. Lot 1 of the FPS specifies supported living services.

Supported living is typically defined as housing where support and/or care services are provided to help people to live as independently as possible. Supported living provides people with individual tenancies. The competitive tender to appoint the supported living services to the FPS will take approximately 6 months but there is an immediate need to shape the market to develop supported living provision. Opportunities are being presented by the market now which will accelerate market shaping to create supported living services. This report details interim formal arrangements to be made with Making Space and Amethyst Care and Support Group Ltd in advance of the FPS. This commissioning activity will run concurrently with the

development of the Community Services – Mental Health Recovery Flexible Purchasing System.

Cabinet are recommended to approve the Supported Living - Mental Health Recovery model of care and support and note the interim arrangements until the Community Services – Mental Health Recovery Flexible Purchasing System is established.

Recommendations

That Cabinet:

1. Approves the Supported Living - Mental Health Recovery model of care and support.
2. Notes that until creation of the FPS, an interim contract will be entered into with Making Space and Amethyst Care and Support Group Ltd to provide mental health recovery focussed supported living services.
3. Notes that in the future the supported living arrangements for people living with mental ill-health will be delivered through the Community Services – Mental Health Recovery Flexible Purchasing System.

List of Appendices Included

Appendix 1 - Mental Health Services for Adult Social Care – Commissioning and Procurement Approach. 5 October 2021.

Appendix 2 - Outcome of the co-production – Commissioning Mental Health Recovery Focussed Community Services.

Appendix 3 - Part A – Initial Equality Screening Assessment - Commissioning Mental Health Recovery Focussed Community Services.

Appendix 3 – Part B – Equality Analysis - Commissioning Mental Health Recovery Focussed Community Services.

Appendix 4 - Carbon Impact Assessment - Commissioning Mental Health Recovery Focussed Community Services.

Background Papers

Cabinet Paper - Commissioning Mental Health Recovery Focussed Community Services, 17 October 2022

Consideration by any other Council Committee, Scrutiny or Advisory Panel
No

Council Approval Required
No

Exempt from the Press and Public

Yes - Appendix 1

An exemption is sought for (Appendix 1) under Paragraph 2 (Information which is likely to reveal the identity of an individual.) of Part I of Schedule 12A of the Local Government Act 1972 is requested, as this report contains location of services and describes health diagnosis of tenants/residents.

It is considered that the public interest in maintaining the exemption would outweigh the public interest in disclosing the information because (the information may disclose circumstances personal to tenants/residents residing at the identified locations and there are no permissions granted for any such undertaking).

Supported Living Mental Health Recovery Care and Support

1. Background

1.1 Mental health care and support services are necessary to meet the Council's statutory requirements for people who are deemed eligible for support under the Care Act 2014.

1.2 A review of current care and support options for people living with mental ill-health indicates a reliance on residential care and non-specialised provision (Appendix 1). An analysis of 25 people under the age of 67 living with mental ill-health in residential care shows they have lived there for periods ranging between 4 to 19 years duration. The majority of the residents have lived there for in excess of 5 years due to a lack of alternative and more suitable provision. There is a need for alternative community services which offer, personalised social care with increased choice and control and support people in line with the principles of mental health recovery.

1.3 Mental health recovery:

Mental health recovery services are community services which offer, personalised care with increased choice and control and support people to achieve independent living skills. By promoting their individual strengths to increase resilience, such services support a person to regain control of their lives after experiencing a serious mental illness and to move towards and sustain independent living in the community.

1.4 Supported living model:

Supported living is typically defined as housing where support and/or care services are provided to help people to live as independently as possible. It provides accommodation for a range of people including people with mental ill-health.

The term supported living refers to a product that is comprised of three elements:

- A physical building, this may be developed by an investor and owned by a private landlord.
- A registered housing provider who are not-for-profit organisations that provide low cost homes for those in housing need. They act as social landlords in a similar way to a local council, maintaining properties, providing a repair service and collecting rent.
- A care and support provider, regulated by the Care Quality Commission who supports the tenant.

1.5 People in supported living have their own tenancy agreement and are responsible for their own bills and cost of living. The personal care and accommodation parts of supported living are covered by separate agreements. To help cover costs individuals may be entitled to a range of benefits such as housing benefit. Supported living means that a person will have a home of

their own and will benefit from a greater level of autonomy as far as their environment is concerned (Source: Social Care Institute of Excellence). The accommodation is often shared, but can be single household and staff are shared across a number of people in the scheme with additional 1:1 support provided for individuals, based on their assessed eligible needs. Supported living is an alternative to institutional care for people living with mental ill-health and offers more choice, control, rights and independence which is the primary motivation for proposing adoption of this model.

The strategic drivers to develop supported living include:

- reducing the use of high cost and long term residential care,
- its strong preventative focus as it helps people to develop and maintain their independence in the longer term with links to, for example, training, employment and volunteering.

1.6 Care and Support:

The care and support delivered in supported living involves regulated provision from providers registered with the Care Quality Commission (CQC). The care and support services commissioned for people who are deemed eligible for support under the Care Act 2014 will be delivered in line with the guiding principles of the mental health recovery framework. In the supported living model, the costs to the Council are incurred on a temporary basis as the need for the service is reduced over time. Increased independence is gained gradually over an approximate timeframe of 1-3 years.

- 1.7 The Council is commissioning the care, support under separate contractual arrangements to those for the person's housing. This means where issues of quality, compliance and safety the Council can decommission the provider without jeopardising the person's tenancy. In this situation the poorly performing service will be replaced by a provider appointed to the Community Services – Mental Health Recovery Flexible Purchasing System (FPS) that has met the required contractual standards (see 1.9). Supported living offers a high level of support for people for whom residential care would usually be the only viable alternative.

1.8 Housing Benefit:

Supported Living is provided for people with disabilities in a specialised housing scheme provided by registered housing providers. The associated accommodation is classified as 'exempt accommodation' (Defined by the Housing Benefit Regulations), to enable Housing Benefit to meet the additional costs of providing supported housing. Rents and service charges in this sector tend to be high than as a result of a greater degree of adaptations and the need to replace furniture/fittings more frequently. For a Housing Benefit claim to be treated as an exempt accommodation claim, care, support or supervision has to be provided to the tenants.

1.9 Long term:

On the 17 October 2022, recommendations to Cabinet to commence a programme of procurement to appoint suitable qualified providers to a Community Services – Mental Health Recovery Flexible Purchasing System (FPS) was approved. The FPS will comprise of a number of separate lots. Each lot will specify a community service with the principle of mental health recovery at its core. The community services in scope include supported living, day opportunities and preventative services.

Lot 1 of the FPS specifies supported living services.

2. Key Issues

2.1 Increasing need:

In the past 6 months there has been a rise from 20 people (July 2022) to 30 people (December 2022) living with mental ill-health who require accommodation based solutions and a percentage are awaiting hospital discharge. There is an urgent need to shape the market to develop this type of provision for people living with mental ill-health who require accommodation based support.

2.2 Supported Living is delivered within the principles of mental health recovery and is reflective of the outcome of a co-production exercise carried out in 2022 (Appendix 2). The co-production engaged a range of committed stakeholders including people accessing services, their natural forms of support and professionals across health and social care system.

2.3 Accelerate Market Shaping:

The competitive tender approved by Cabinet 17 October 2022 to appoint the supported living services to the FPS will take approximately 6 months to complete. There are opportunities being presented by the market now which could accelerate the market shaping activity by Making Space and Amethyst Care and Support Group Ltd.

2.3.1 Making Space:

Making Space are a national charity providing community-based health and social care services to adults (all age) with primary care needs of mental ill health and/or learning disability. They provide regulated health and social care for people living with bipolar disorder, personality disorder and/or schizophrenia. They predominately support people with mental ill health and provide accommodation-based services and have a strong company ethos of promoting independence.

In October 2020, the Regional Head of Operations approached the Council to advise of their success in securing Social and Sustainable Capital (SASC) Housing Fund. Making Space secured a loan in June 2022 with an 18-month timescale to spend the social investment funding. Any financial risk is

between Making Space and the social investor (SASC) who makes 4-6% return on a quarterly basis to the social investor during the 10-year term. The Council will incur no cost.

Making Space are utilising the social investment of up to £1.5m to purchase property (houses, apartments) on the open market at no risk to the Council. An estimated 9 units of accommodation will meet the specialist housing needs for people living with mental ill-health and Making Space will lease the properties to a registered (housing) provider (not for profit) and propose to deliver the care and support.

2.3.2 Amethyst Care and Support Group Ltd:

Amethyst Care and Support Group Ltd are a registered care and support provider. They provide supported living in Batley, Kirklees and Leeds for people who are living with mental ill-health and/or learning disability. They work with developers to build (new) or to adapt accommodation to meet the needs of people who will access the service. The properties are leased by the developer to a registered (housing) provider (not for profit).

Amethyst Care and Support Group Ltd are currently working with a developer who is engaged in adapting a building in the south of the Borough. The planned development will provide 8 units of specialist accommodation aligned to the supported living model.

3. **Options considered and recommended proposal**

3.1 **Option 1** – Continue with the long term plan identified in section 1.8 of this report and approved by Cabinet 17 October 2022 to establish Supported Living Services (Lot 1) on the Community Services – Mental Health Recovery Flexible Purchasing System (FPS) with an estimated completion date of May 2023. Given the urgent need identified in section 2.1 of this report, this option is not recommended.

3.2 **Option 2 – Recommended** - Interim formal arrangements are made for a period of 6 months with Making Space and Amethyst Care and Support Group Ltd in advance of the FPS whilst the development of the Community Services – Mental Health Recovery Flexible Purchasing System is undertaken.

With this option both providers will apply to be appointed to the FPS and if successful new contractual arrangements will be entered into. If unsuccessful the service will transfer to an alternative successful bidder.

4. **Consultation on proposal**

4.1 In line with commissioning good practice the development of the new co-produced mental health community service model has involved a range of internal and external stakeholders (Appendix 2). With input via various interviews, workshops and focus groups it has been used to inform the content of the service specifications associated with the FPS.

A co-designed approach has been undertaken by engaging a range of committed stakeholders including people accessing services, their natural forms of support and professionals across health and social care systems.

4.2 The co-production timetable is detailed below:

Resource/host organisation	Key Stakeholders	Date	Target
Rotherham and Barnsley MIND	<ul style="list-style-type: none"> People accessing formal and informal services living in the community Unpaid Carers – natural forms of support for people living with mental ill-health VCS organisations Professionals (therapists) 	July – August 2022	80 – face to face 100 – survey online Soft research projects
Rotherham Show – MIND scoping views – via key questions	<ul style="list-style-type: none"> People accessing formal and informal services living in the community Unpaid Carers – natural forms of support for people living with mental ill-health 	September 2022	82 people
Absolute Advocacy Rotherham	People receiving acute service provision – RDASH NHS FT	July –2022	20 people Face to Face
Professionals RDASH/Rotherham MBC Mental Health Team/Brokerage Support Service	Professionals/practitioners supporting people who are living with mental ill-health and who are accessing formal services - living in the community	July – August 2022	

5. Timetable and Accountability for Implementing this Decision

- 5.1 A Service Specification and Contract Terms to provide the care and support services will be prepared in advance of any formal arrangement with Making Space and Amethyst Care and Support Group Ltd. This will be undertaken by the Strategic Commissioning Team and carried out with immediate effect.

6. Financial and Procurement Advice and Implications

Finance:

- 6.1 There is no new funding for developing the initiatives proposed in this report. The cost associated with Supported Living Services will be met within existing mental health budgets currently set at £5.7m (2022-2023).
- 6.2 The new services procured will provide alternative cost effective and appropriate options available currently (residential care and out of area supported living). Supported Living costs and residential care costs are similar. However, supported living cost are incurred on a temporary basis as

the service will reduce as independence is achieved. As residential care costs are incurred long term (section 1.2) Supported Living is a cost effective and the least restrictive option.

- 6.3 The people offered the supported living services described in this report will include new referrals and people already living in residential care. All referrals will be determined as a result of a Care Act 2014 assessment or review of each individual care package and final costs will be determined on an individual basis.

- 6.4 Estimated cost associated with the recommendations in this report:

Assuming the supported living services are procured for a period of 6 months prior to the FPS being established the expenditure is estimated to be a total of £660,000 (£349,000 - Making Space and £311,000 - Amethyst Care and Support Group Ltd).

Procurement:

- 6.5 The procurement of the two contracts will be considered as individual spot purchases, to cover interim arrangements whilst the procurement to establish the FPS is undertaken.

The services to be procured are defined within the Public Contracts Regulations 2015 (as amended) as Social and Other Specific Services "SOSS", and the value of each individual spot purchase (£349,000 and £311,000) is below the SOSS threshold (£552,950 excluding VAT), ensuring the Council is acting in compliance with procurement law. The award of these two contracts, will be undertaken in accordance with the Council's own Financial and Procurement Procedure Rules.

7. Legal Advice and Implications

- 7.1 As stated above the proposal is in accordance with the Public Contract Regulations 2015, and the Councils Financial and Procurement Procedure Rules. An appropriate contract will be concluded with both suppliers incorporating all of the requirements referred to in the report.

8. Human Resources Advice and Implications

- 8.1 There are no direct implications on internal HR resources.

9. Implications for Children and Young People and Vulnerable Adults

- 9.1 The supported living services developed as a result of the direct award of contract which are in line with the care and support model outlined and the co-produced service specification will improve the service offer for adults living with mental ill-health and who are supported by the Council and health partners.

- 9.2 Whilst Children's and Young People Services are out of scope for the purpose of the service specification and the procurement exercise young people transitioning to adulthood will benefit from the proposals.

10. Equalities and Human Rights Advice and Implications

- 10.1 The proposals in this report support the Council to comply with legal obligations encompassed in the:
- Human Rights Act (1998), to treat everyone equally with fairness dignity and respect with a focus on those who are disadvantaged as a result of disability and
 - Equality Act (2010) to legally protect people from discrimination in the wider society.
- 10.2 An equality screening and analysis has been undertaken to inform areas of improvement. The proposals in this report will improve equality of opportunity for people living with mental ill-health to be supported to live in the community and therefore contributes positively to the equalities and human rights agenda.

11. Implications for CO2 Emissions and Climate Change

- 11.1 The carbon impact assessment demonstrates that the recommendations in this report will have minimal impact.

12. Implications for Partners

- 12.1 In line with the integration agenda, the intention is to arrange the contract in such a way which permits the South Yorkshire Integrated Care Board (ICB) to join the contract at a later date. Collaborative discussions are currently taking place.

13. Risks and Mitigation

- 13.1 If this exemption is not approved the Council will fail to achieve the objectives that working with a social investor, an innovative developer presents and to:
- Increase the local rented housing stock in the Rotherham Borough.
 - Lever social and private investment which will contribute to the local economy.
 - Target disadvantaged people living with mental ill health (who will be direct beneficiaries).
 - Prevent dependency other higher cost formal care and support services at the earliest opportunity.
 - Make a significant contribution to supporting people living with mental ill-health to live in the community (as opposed to residential care) and contribute to the community in which they live.
 - Support a charity to establish themselves in the Rotherham Borough with a focus on supporting people with mental ill-health which is at

present an underrepresented section of the care and support market in Rotherham.

14. Accountable Officers

Ian Spicer – Strategic Director of Adult Care, Housing and Public Health

Approvals obtained on behalf of Statutory Officers: -

	Named Officer	Date
Chief Executive	Sharon Kemp	09/01/23
Strategic Director of Finance & Customer Services (S.151 Officer)	Judith Badger	05/01/23
Assistant Director, Legal Services (Monitoring Officer)	Phillip Horsfield	05/01/23

*Report Author: Jacqueline Clark, Head of Prevention Early Intervention,
Strategic Commissioning - Jacqueline Clark, Head of Prevention
Early Intervention*

Jacqueline.clark@rotherham.gov.uk

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

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

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Appendix 2

Mental Health Community Service Model – outcomes of co-production

Co-production activities began in July 2022 and remain ongoing.

This report provides a summary of co-production outcomes to date (**as at 20.9.22**). A range of activities have been undertaken, using different approaches.

1. Online survey, carried out in partnership with Rotherham and Barnsley Mind

160 surveys were sent out to a cross section of Mind service users who live in Rotherham and have lived experience of services in their local area.

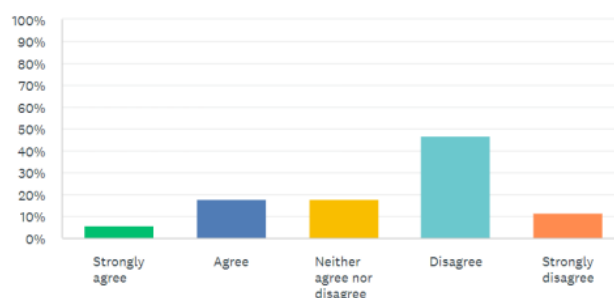
Response rate: 42.5% (68 responses).

Summary of responses:

- 18% said they are currently using other mental health support services (in addition to Mind).
- 35% first accessed mental health support services as a self-referral, 36% were referred by a health professional, 29% other.
- When asked 'how easy or difficult it was to get the help they needed', responses included:
 - 'My referral was through my GP and it was relatively easy'*
 - 'I had to continually chase for updates on my referral'*
 - 'I was on a very long waiting list and had to wait for help'*
- When asked whether they 'feel supported enough to live independently', 62% of respondents answered yes, 7% no, 31% not applicable.
- When asked how much they agreed with the statement 'I feel that mental health support services are available and can be accessed when I need them', 47% disagreed and 11% strongly disagreed (see table 1 below for all responses).

Table 1

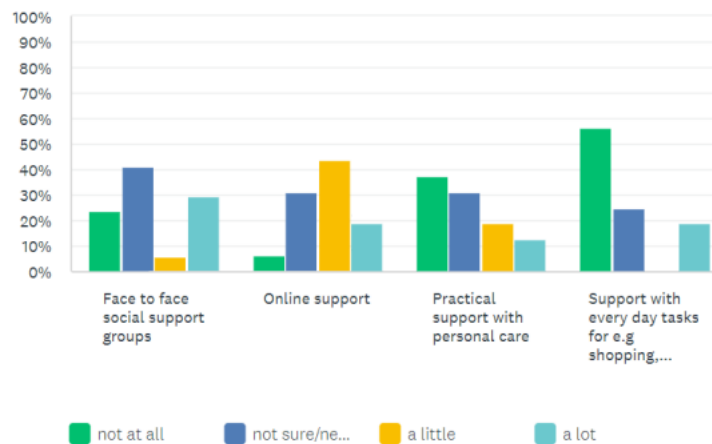
How much do you agree with the following statement: I feel that mental health support services are available and can be accessed when I need them



- Respondents were asked about different activities/services and how much they thought they could help to support or improve their mental health (see table 2 below for all responses):
 - 35% said face to face and social groups would help to support / improve their mental health.
 - 60% said online support would help to support / improve their mental health.
 - 30% said practical support with personal care would help to support / improve their mental health.
 - 18% said support with every day tasks would help a lot to support / improve their mental health.

Table 2

How much would the options below help to support or improve your mental health?



2. Face to face group sessions, carried out in partnership with Rotherham and Barnsley Mind

Three group sessions with a total of 38 Mind service users and one group session with 6 Mind staff were held at Mind. Mind staff facilitated the sessions with service users, RMBC commissioning staff facilitated the session with mind staff.

Summary of responses:

Service user sessions

- Service users feel that there is a lack of awareness of support services that are available to them and this is particularly relevant following a stay in hospital or when supporting someone living independently.
- Attendees talked about a lack of information that is available to know where to turn in a time of need and an over reliance on their GP for support and referrals.
- Most commonly service users are heavily reliant on their family or friends for day to day help with their needs.
- Many service users have challenges with accessing services or support networks due to a lack of digital capability and are therefore unfamiliar with accessing support through websites or don't have equipment to access support networks.
- Timescales and backlogs result in people not being able to access the support they need in a timely fashion. Feedback from all groups commented that time delays were the largest contributor to individuals mental health challenges.
- People expressed their lack of knowledge and that much of their information comes from word of mouth and sharing of experiences from friends, family and neighbours.
- Many service users have challenges accessing information and don't know where to go for support.
- It was thought that many services work in isolation and there is a need for a more joined up approach to better connect people to the help they need through a variety of support networks.

Mind staff session:

- It was felt that currently there are limited mental health support options available for people.
- Interim crisis support and services to support people after discharge from hospital were felt to be particularly lacking.
- Strong support for more supported living, floating support, the flexible use of hours for home care support, step up /step down support.

- Need for greater information sharing amongst professionals and training across pathways was highlighted.
- Importance of managed peer support groups as preventative services.
- Difficulty reaching out to BAME service users.
- Concern expressed about service users who fall between 'criteria' based support.

3. Face to face discussions, carried out by Absolute Advocacy

Eighteen individual face to face discussions have been held with people receiving acute service provision. The Mind survey was used as a basis for discussions.

Summary of responses:

- Support which was identified by people as being needed to live independently:
 - Keyworker support
 - More places to go and leisure activities
 - Banking and domestic support
 - Help with money and going out
- When asked 'do you feel supported enough to live independently', 39% said no, 44.5% yes, 11% not applicable, 5.5% did not answer.
- 67% said face to face and social groups would help to support / improve their mental health.
- 17% said online support would help to support / improve their mental health.
- 56% said practical support with personal care would help to support / improve their mental health.
- 33% said support with every day tasks would help to support / improve their mental health.
- 44% said 'strongly disagree' and 17% said 'disagree' to 'I feel that mental health support services are available and can be accessed when I need them'.

4. Face to face group session with RDASH/RMBC Mental Health Team/Brokerage Support Service staff

A group session was held with six staff (practitioners / professionals) supporting people living with mental ill health.

Summary of responses:

- Attendees discussed the need for more supported living, floating support, the flexible use of hours for home care support, step up /step down support.
- Importance of understanding the client group and their needs, to ensure the right service is put in place.
- Training standards to be made clear to providers.
- Training needed more widely for staff on services available / pathways.

5. Short survey at Rotherham Show, carried out by Rotherham and Barnsley Mind

82 members of the public were surveyed at the Rotherham Show (3 and 4 Sept).

Summary of responses:

- 38% of people commented that they had suffered with their mental health over the last 2 years.
- The pandemic was referenced as the greatest impact as this had resulted in being separated from loved ones and had impacted job security.

- Of the 38%, 18% had received support through primary care or services such as Mind. Many said they had looked to family and friends for support or had not felt able to talk about the challenges with their mental health.
- Consistently people said that the timescales to receive support are the most significant barrier to receiving help.
- Lack of awareness of services and not knowing where to go for support were also referred to.

6. Market engagement event with providers, run by RMBC

Supported living services registered with the Care Quality Commission were invited to attend a market engagement event on 9 September. 20 people (15 providers) attended. As part of this event, providers were asked what a good supported living service for people with mental ill health looks like, and what barriers they face in delivering a service of this nature to support individuals to achieve their desired outcomes. This feedback will help to inform future service design.

Appendix 3

PART A - Initial Equality Screening Assessment

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

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

Completed at the earliest opportunity it will help to determine:

- the relevance of proposals and decisions to equality and diversity
- whether or not equality and diversity is being/has already been considered, and
- whether or not it is necessary to carry out an Equality Analysis (Part B).

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

1. Title

Title: Adult Services Mental Health community service model – commissioning approach 2022

Directorate: Adult Care, Housing and Public Health

Service area: Strategic Commissioning

Lead person: Jacqueline Clark

Contact: 22358

Is this a:

☐

Strategy / Policy

☒

Service / Function

☐

Other

If other, please specify

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

A Flexible Purchasing System (FPS) is to be established to procure a range of community services and specialist provision which reflect the principles of the mental health recovery model. This framework will bring quality and costs under a single set of standards to allow the Council to purchase more specified care and support services for individuals.

Background

Mental health care and support services are necessary to meet all the Council's

statutory requirements under the Care Act 2014, the Mental Capacity Act 2005, the Mental Health Act 2007 and the Health and Social Care Act 2012. The types of services people with mental ill health require may include:

- community outreach to enable people with mental ill health to live independently in their own home.
- Supported living, designed specifically to enable people to live as independently as possible.
- Crisis intervention support.
- Residential and nursing care home provision.

The majority of people who receive these services will reside in Rotherham, with a smaller number of people eligible to receive support placed in care and support services located outside of the borough.

Currently, the provision available is limited in choice and does not promote mental health recovery or offer support to people to transition to supported or independent living. Arrangements made with providers are a result of what's available rather than presented as a choice of strengths based personalised social care options which meet specified standards at agreed prices.

3. Relevance to equality and diversity

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

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

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

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

Could the proposal affect the Council's workforce or employment practices?		X
If you have answered no to all the questions above, please explain the reason		
<p>The service(s) will be commissioned from external organisations and therefore no internal staff are affected.</p> <p>To note: the services to be developed will aim to support the strength-based ethos aligned to professional practice of practitioners employed in Adult Care and Integration, and the principles of the Social Care Act 2012 and the Health and Care Act 2022 which underpin workforce activity across Health and Social Care.</p>		

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

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

4. Considering the impact on equality and diversity

If you have not already done so, the impact on equality and diversity should be considered within your proposals before decisions are made.

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

Please provide specific details for all three areas below using the prompts for guidance and complete an Equality Analysis (Part B).

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

The services to be procured are to support people with mental ill health. A mental health condition is considered a disability (and therefore protected by the Equality Act) if it has a long term (at least 12 months or more) effect on day-to-day activities.

All future providers will be required to comply with all statutory requirements relating to the Equality Act 2010 and discrimination against any individual or group of people will be seen as a breach of contract.

Equality and Diversity is a standing agenda item at partnership (contract) meetings. Providers routinely collect/collate specific data around protected characteristics of service users.

We know that there are specific groups who experience higher prevalence of mental health problems ^{1 2 3 4 5}:

¹ [Mental health statistics | Mental Health Foundation](#)

² [Mental health statistics - MHFA England](#)

³ [Mental health: population factors - GOV.UK \(www.gov.uk\)](#)

⁴ [Learning Disability and Mental Health - Mental Health Research | Mencap](#)

BAME groups

- Black men are more likely to have experienced a psychotic disorder in the last year than White men.
- Black people are four more times likely to be detained under the Mental Health Act than White people.
- Older South Asian women are an at-risk group for suicide.
- Refugees and asylum seekers are more likely to experience mental health problems than the general population.

Learning disabilities

- Evidence and research suggests that mental health problems may be higher in people with a learning disability than in those without a learning disability.
- Some studies suggest the rate of mental health problems in people with a learning disability is double that of the general population.

LGBTIQ+

- LGBTIQ+ people are at higher risk of experiencing poor mental health.
- A study carried out in 2020, found that: half of LGBTIQ+ people had experienced depression, one in eight aged 18 to 24 had attempted to end their life; and almost half of trans people had thought about taking their life.

Physical health conditions

- People with a physical disability or physical health problem are more likely to experience a mental health problem, while people with a mental health problem are more likely to experience a physical health problem.
- More than 15 million people – 30% of the UK population, live with one or more long-term conditions, and more than 4 million of these people will also have a mental health problem.
- Of people with severe symptoms of mental health problems, 37.6% also have a long-term physical condition.

Sex

- Men aged 45-49 have the highest suicide rate in England.
- Women between the ages of 16 and 24 are almost three times as likely (26%) to experience a common mental health issue as males of the same age (9%).

Age

- Current service provision by age (this shows the number of people under 67 years and 67 and above) for people living with mental ill health in Rotherham can be seen in table 1 below. This shows a high proportion of people aged under 67 in residential / nursing care.

Unpaid carers

- Looking after a family member can have a significant impact on carers' own mental health problems; 71% of carers have poor physical or mental health.

Rotherham population ^{6 7 8 9}:

- The population is 264,984 (2020 mid-year population estimate).
- By 2030, the total population size for Rotherham is estimated to be 277,500. Data projections show the largest increases are expected to be in the 35-44, 65-69 and

⁵ [Latest suicide data | Suicide facts and figures | Samaritans](#)

⁶ [Homepage – Rotherham Data Hub](#)

⁷ [Projecting Older People Population Information System \(poppi.org.uk\)](#)

⁸ [Projecting Adult Needs and Service Information System \(pansi.org.uk\)](#)

⁹ IPC: Integrating Health and Social Care – Rotherham Case Study (July 2018)

80+ age groups.

- Rotherham people live longer with ill-health and/or disability than the England average.
- Age structure is slightly older than the national average.
- Rotherham is becoming more ethnically diverse. The Pakistani and Slovak Roma communities have above average proportions.
- Rotherham has significantly higher than average deprivation, unemployment and long-term unemployment.

Mental health - the picture in Rotherham ^{10 11 12}

- The population in Rotherham estimated to have a common mental health disorder is 25,300 in 2022 for people aged 18-64. ONS predict this to increase to 25,590 by 2032.
- 18.6% of the population aged 16 and over are living with a common mental health disorder (2017).
- 11.6% of the population aged 65 and over are living with a common mental health disorder (2017).
- The estimated prevalence of common mental health disorders for Rotherham (2017), is higher than that for Yorkshire and the Humber and England for both those aged 16 and over and those aged 65 and over.
- The suicide rate in Rotherham is 13.2 per 100,000, which is higher than that for England (10.4) and for Yorkshire and the Humber (12.5).
- Premature mortality in adults with severe mental illness is higher in Rotherham at 121.6 per 100,000, compared to England (103.6) and for Yorkshire and the Humber (108.8).

The below table provides a snapshot of data from Insight (June 2022) which shows the number of people supported with eligible mental health needs under the Care Act 2014. This shows 325 people in total of which 220 are below the state pensionable age of 67 years.

TABLE 1 – service provision for people with a primary need of mental health (June 2022)

Service Type	Numbers of people accessing service type			
	Under 67 years	+ 67 years	%	Comment
Care Home	55	56	35%	Specialised
Home Care	29	23	16%	Non-specialised
Direct Payment	120	25	44%	People are purchasing non-specialised provision
Supported Living	7	1	3%	Specialised/majority out of Borough

¹⁰ [Adult Care, Housing and Public Health Market Position Statement: RMBC Adult Care Market and Demand](#)

¹¹ [Homepage – Rotherham Data Hub](#)

¹² [Severe Mental Illness - OHID \(phe.org.uk\)](#)

specialised				
Community Support	5		1%	Non-specialised
Extra Care	4		1%	Non-specialised
Total	220	105		

Barriers in accessing services / treatment inequalities ^{13 14 15}

- Research shows that BAME people can face barriers to getting help, including: not recognising they have a mental illness because mental health was stigmatised or never talked about in their community; not knowing that help is available or where to go to get it; language barriers; turning to friends or family rather than professional support, not feeling listened to or understood by professionals; White professionals not understanding their experiences of racism or discrimination.
- Assessments to detect mental health problems in people with a learning disability are not always well developed. Presenting symptoms may be attributed to the person's learning disability rather than the true problem.
- Around one in eight LGBTQI+ people have experienced unequal treatment; one in seven have avoided treatment for fear of discrimination.
- Men are significantly less likely to access psychological therapies than women.
- Young people aged 16-24 are less likely to receive mental health treatment than any other age group.

Co-production

Co-production events are planned as follows:

Activity / host organisation	Date	Target audience
Online survey - Rotherham and Barnsley MIND	July/August 2022	MIND service users accessing formal and informal services living in the community (up to 100)
Face to face sessions – Rotherham and Barnsley MIND	August 2022	MIND service users accessing formal and informal services living in the community (up to 80)
Face to face session – Rotherham and Barnsley MIND and RMBC Commissioning	10 August 2022	MIND staff (therapists) x 6
Face to face discussions – Absolute Advocacy	August 2022	People receiving acute service provision (up to 20)
Hybrid session – RDASH/RMBC Mental Health Team/Brokerage Support Service	10 August 2022	Practitioners/professionals supporting people living with mental ill health and who are accessing formal services living in the community x 8
Rotherham Show; key questions to collect views – Rotherham and Barnsley MIND	3 and 4 September 2022	RMBC residents / people accessing formal and informal services living in the community

¹³ [Mental health statistics | Mental Health Foundation](#)

¹⁴ [Learning Disability and Mental Health - Mental Health Research | Mencap](#)

¹⁵ [Key data: mental health | Men's Health Forum \(menshealthforum.org.uk\)](#)

Market engagement event – RMBC	9 September 2022	Potential providers
<p>Co-production events will explore views, thoughts and experiences around:</p> <ul style="list-style-type: none"> - Access: how easy is it for people (service users and professionals) to find out what support is available? - Information: how and where do people find information? - Delays: importance of getting help in time - Services: positive and negative experiences of mental health services in Rotherham, what do we need more of?, what's missing?, alternatives to traditional forms of support?, support needed to live independently?, support following a stay in hospital? <p>This information will help to support the development of the service specification, to be underpinned by the Mental Health Recovery Framework.</p>		
<p>• Key findings</p> <p>The services to be procured will provide support to people with mental ill health, a protected characteristic under the Equality Act 2010 (a mental health condition is considered a disability if it has a long term (at least 12 months or more) effect on day-to-day activities). This Flexible Purchasing System (FPS) aims to increase the range and choice of services, so will have a positive impact on current and future service users.</p> <p>The commissioning activity being undertaken aims to harness the opportunities which exist in the wider care and support market to increase choice, improve outcomes for people living with mental ill health in Rotherham and deliver a range of service provision arranged under a FPS. The FPS will comprise of a number of separate lots. Each lot will specify a community service with the principle of mental health recovery at its core. Commissioning activity associated with each lot will take place over an extensive period to ensure a range of appropriate services are available which are co-produced with people accessing services and professionals.</p> <p>There is evidence to show that people with other protected characteristics, namely: physical health conditions, learning disabilities, BAME groups, LGBTQI+, age and gender – particularly when combined with other protected characteristics experience higher prevalence of mental health problems. Relating to age, we also know that currently there are a high proportion of people under 67 in residential / nursing care.</p> <p>Our initial review of services has found that:</p> <ul style="list-style-type: none"> - There is a reliance on services which lack the mental health recovery approach. - There is a lack of cost-effective alternatives available to traditional forms of support for people with complex needs i.e long and short term supported housing, floating support services. <p>The co-production consultation to date has highlighted the following in relation to equality and diversity:</p> <ul style="list-style-type: none"> - Importance of understanding the client group and their needs, to ensure the right service is put in place. - Pathways between services and organisations need to be strengthened, including 		

<p>with the Voluntary and Community Sector, to ensure service users get the right support at the right time.</p> <ul style="list-style-type: none"> - Prevention and early intervention services are particularly important; ensuring professionals know what's out there, be able to identify appropriate services and know how to refer. - Increasing the range of services which reflect the principles of the mental health recovery model, will improve outcomes for service users. 	
<p>• Actions</p> <p>The intention is to develop a Flexible Purchasing System (FPS) to procure a range of community services which reflect the principles of the Mental Health Recovery Framework to develop specialist provision in the Rotherham market.</p> <p>The co-production consultation will enable us to gain insight into the views and desired outcomes of people who use mental health services. For example; positive and negative experiences, what they feel is missing / we need more of, what they want to see in a supported living service. The survey will have an equality and diversity section; this will enable us to identify any specific trends.</p> <p>The service specification will need to take account of the above to ensure that all communities can access the services and that no protected characteristic group is being unintentionally excluded or disadvantaged.</p>	
Date to scope and plan your Equality Analysis:	August 2022
Date to complete your Equality Analysis:	19 August 2022
Lead person for your Equality Analysis (Include name and job title):	Jacqueline Clark – Head of Prevention and Early Intervention – Strategic Commissioning – Adult Care Housing and Public Health

5. Governance, ownership and approval

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

Name	Job title	Date
Ian Spicer	Strategic Director - Adult Care, Housing and Public Health	23 August 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	22 August 2022
Report title and date	Commissioning of community services - mental health recovery model.
If relates to a Cabinet, key delegated officer decision, Council, other committee or a significant operational decision – report date and date sent for publication	03/10/2022
Date screening sent to Performance, Intelligence and Improvement	22 August 2022

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Appendix 3

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: Adult Services Mental Health community service model – commissioning approach 2022	
Date of Equality Analysis (EA): 16 August 2022	
Directorate: Adult Care Housing and Public Health	Service area: Strategic Commissioning
Lead Manager: Jacqueline Clark	Contact number: 22358
Is this a: <input type="checkbox"/> Strategy / Policy <input checked="" type="checkbox"/> Service / Function <input type="checkbox"/> 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)
Jacqueline Clark	Rotherham MBC	Head of Prevention and Early Intervention – Strategic Commissioning
Jo Bell	Rotherham MBC	Strategic Commissioning Manager, Prevention and Early Intervention
Jo Fellows	Rotherham MBC	Strategic Commissioning Officer, Prevention and Early Intervention

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.)

A Flexible Purchasing System (FPS) is to be established to procure a range of community services and specialist provision which reflect the principles of the mental health recovery model.

The services to be procured are to support people with mental ill health. A mental health condition is considered a disability (and therefore protected by the Equality Act) if it has a long term (at least 12 months or more) effect on day-to-day activities.

The majority of people who receive these services will reside in Rotherham, with a smaller number of people eligible to receive support placed in care and support services located outside of the borough.

Currently, the provision available is limited in choice and does not promote mental health recovery or offer support to people to transition to supported or independent living. Arrangements made with providers are a result of what's available rather than presented as a choice of strengths based personalised social care options which meet specified standards at agreed prices.

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

- Data available on 'Insight', the Adult Care management system.
- Joint Strategic Needs Assessment data.
- Information gained through the co-production surveys and discussions to also be fed in.

Information from external sources (referenced in Part A):

- [Mental health statistics | Mental Health Foundation](#)

- [Mental health statistics - MHFA England](#)
- [Mental health: population factors - GOV.UK \(www.gov.uk\)](#)
- [Learning Disability and Mental Health - Mental Health Research | Mencap](#)
- [Latest suicide data | Suicide facts and figures | Samaritans](#)
- [Projecting Older People Population Information System \(poppi.org.uk\)](#)
- [Projecting Adult Needs and Service Information System \(pansi.org.uk\)](#)
- [Adult Care, Housing and Public Health Market Position Statement: RMBC Adult Care Market and Demand](#)
- [Severe Mental Illness - OHID \(phe.org.uk\)](#)
- [Key data: mental health | Men's Health Forum \(menshealthforum.org.uk\)](#)

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

All available data has been reviewed.

Further data to come from the co-production work will be taken account of.

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

The incumbent service providers will be required to routinely collect/collate specific data around the protected characteristics of people accessing the services. Trend data will enable service providers to consider demand and gaps in delivering the service to people with protected characteristics.

Engagement undertaken with customers. (date and group(s) consulted and key findings)

Co-production events carried out/planned as below:

	Activity / host organisation	Date	Target audience
1	Online survey - Rotherham and Barnsley MIND	July/Aug 2022	MIND service users accessing formal and informal services living in the community (up to 100)
2	Face to face sessions – Rotherham and Barnsley MIND	August 2022	MIND service users accessing formal and informal services living in the community (up to 80)
3	Face to face session – Rotherham and Barnsley MIND and RMBC Commissioning	10 August 2022	MIND staff (therapists) x 6

	4	Face to face discussions – Absolute Advocacy	August 2022	People receiving acute service provision (up to 20)						
	5	Rotherham Show; key questions to collect views – Rotherham and Barnsley MIND	3 and 4 Sept 2022	RMBC residents / people accessing formal and informal services living in the community						
	6	Market engagement event – RMBC	9 Sept 2022	Providers – specifically supported living providers, social landlords and developers						
	<p>The purpose of the co-production events is to explore views, thoughts and experiences around:</p> <ul style="list-style-type: none">○ Access: how easy is it for people (service users and professionals) to find out what support is available?○ Information: how and where do people find information?○ Delays: importance of getting help in time○ Services: positive and negative experiences of mental health services in Rotherham, what do we need more of?, what’s missing?, alternatives to traditional forms of support?, support needed to live independently?, support following a stay in hospital?○ The Mental Health Recovery Framework model and the service provision needed to support this. <p>Key themes emerging to date (no. 3):</p> <ul style="list-style-type: none">a) Currently there are limited options availableb) Strong support for more supported living, floating support, the flexible use of hours for home care support, step up /step down support.c) Need for greater information sharing amongst professionals and training across pathways.d) Importance of managed peer support groups as preventative services.e) Difficulty reaching out to BAME groups.									
Engagement undertaken with staff (date and group(s)consulted and key findings)		<table><tr><th>Activity</th><th>Date</th><th>Target audience</th></tr><tr><td>Hybrid session – RDASH/RMBC Mental Health Team/Brokerage Support Service</td><td>10 August 2022</td><td>Staff (practitioners/ professionals) supporting people living with mental ill health and who are</td></tr></table>			Activity	Date	Target audience	Hybrid session – RDASH/RMBC Mental Health Team/Brokerage Support Service	10 August 2022	Staff (practitioners/ professionals) supporting people living with mental ill health and who are
Activity	Date	Target audience								
Hybrid session – RDASH/RMBC Mental Health Team/Brokerage Support Service	10 August 2022	Staff (practitioners/ professionals) supporting people living with mental ill health and who are								

			accessing formal services living in the community x 8
	<p>Key findings: as above: a, b, c plus:</p> <ul style="list-style-type: none"> - Importance of understanding the client group and their needs, to ensure the right service is put in place. - Training standards to be made clear to providers. - Training needed more widely for staff on services available / pathways. 		

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)

Areas of possible impact	Impact	Level of impact
Age	Positive	Medium
Disability	Positive	High
Sex	Neutral	-
Gender Reassignment	Neutral	-
Race	Positive	Low
Religion	Neutral	-
Sexual Orientation	Positive	Low
Civil Partnerships and Marriage	Neutral	-
Pregnancy and Maternity	Neutral	-

Narrative:

The services to be procured via the FPS are to support people with mental ill health. A mental health condition is considered a disability (and therefore protected by the Equality Act) if it has a long term (at least 12 months or more) effect on day-to-day activities. The main benefit will therefore be a positive, high-level impact for people with disabilities.

As outlined in Part A, we know that there are specific groups who experience higher prevalence of mental health problems: BAME, learning disabilities, physical disabilities, LGBTQI+.

The establishment of the FPS will develop the range of community services and specialist provision which reflect the principles of the mental health recovery model. People will be able to transition to supported or independent living if that is the best option for them.

This will benefit all age groups as there will be alternative forms of support available other than the traditional options of residential / nursing care homes. There are currently

<p>a high proportion of people living in residential care who are below the state retirement age.</p> <p>Providers who we engage with will be expected to routinely collect/collate specific data around protected characteristics. Commissioners can continue to map this against the Rotherham population to see where there may be gaps. The new FPS will comprise of a number of separate lots. Each lot will specify a community service with the principle of mental health recovery at its core. Where it is identified that provision is needed to meet specific protected characteristics, the FPS will be flexible enough to accommodate this.</p>
<p>Does your Policy/Service present any problems or barriers to communities or Groups?</p> <p>No, the service proposed increases choice and options.</p>
<p>Does the Service/Policy provide any positive impact/s including improvements or remove barriers?</p> <p>Yes, as identified above. In particular, the service proposed will have a high level, positive impact for people with mental ill health.</p>
<p>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)</p> <p>N/A</p>

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 – Adult Services Mental Health community service model – commissioning approach 2022
Directorate and service area: Adult Care, Housing and Public Health
Lead Manager: Jacqueline Clark
Summary of findings:
<p>The services to be procured will provide support to people with a mental health disability, a protected characteristic under the Equality Act 2010 (a mental health condition is considered a disability if it has a long term (at least 12 months or more) effect on day-to-day activities). This Flexible Purchasing System aims to increase the range and choice of services, so will have a positive impact on current and future service users.</p> <p>There is evidence to show that people with other protected characteristics, namely: physical health conditions, learning disabilities, BAME groups, LGBTQI+, age and gender – particularly when combined with other protected characteristics experience higher prevalence of mental health problems. Relating to age, we also know that currently there are a high proportion of people under 67 in residential / nursing care.</p> <p>Our initial review of services has found that:</p> <ul style="list-style-type: none">- There is a reliance on services which lack the mental health recovery approach.- There is a lack of cost-effective alternatives available to traditional forms of support for people with complex needs i.e long and short term supported housing, floating support services, preventative services. <p>The co-production consultation to date (still ongoing) has highlighted the following in relation to equality and diversity:</p>

- Importance of understanding the client group and their needs, to ensure the right service is put in place.
- Pathways between services and organisations need to be strengthened, including with the Voluntary and Community Sector, to ensure service users get the right support at the right time.
- Prevention and early intervention services are particularly important; ensuring professionals know what's out there, be able to identify appropriate services and know how to refer.
- Increasing the range of services which reflect the principles of the mental health recovery model, will improve outcomes for service users.

The proposed Flexible Purchasing System will enable us to procure a range of community services which reflect the principles of the mental health recovery model.

Action/Target	State Protected Characteristics as listed below	Target date (MM/YY)
Design, commission and procure a FPS which addresses the key findings of the service review, reflects co-production feedback and the issues identified in the Equality Screening Assessment (part A)	All protected characteristic groups. Main focus on mental health disability.	Tender opportunity presented to the market Nov 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
Ian Spicer	Strategic Director – Adult Care, Housing and Public Health	24 August 2022
Councillor David Roche	Cabinet Member for Adult Social Care and Health	20 September 2022

7. Publishing

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

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

A copy should also be sent to equality@rotherham.gov.uk 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	22 August 2022
Report title and date	Commissioning of community services – mental health recovery model
Date report sent for publication	03/10/2022
Date Equality Analysis sent to Performance, Intelligence and Improvement equality@rotherham.gov.uk	23 August 2022

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Appendix 4

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?	Minimal	Where engagement sessions are held in-person, there will be a small carbon impact from energy use at the building. This impact is negligible, compared with Business as Usual.			
Emissions from transport?	Minimal	<p>Council officers travelling to in-person engagement sessions. Emissions from transport of staff who are traveling to deliver contracted care and support are not expected to increase beyond the current level and will be therefore business as usual.</p> <p>Carbon emissions from commuting and business travel are scope 3 emissions, in the Council's environmental reporting.</p>	Attendees travelling to in-person engagement sessions. These emissions are outside the scope of the Council's environmental reporting.	<p>Co-production activity will mainly be conducted online and through virtual meetings, minimizing the carbon emissions impact from transport.</p> <p>Where possible, venues will be chosen for in-person engagement sessions which are accessible by public transport and active travel. Active travel and public transport options will be advertised in advance of engagement sessions and car sharing will be encouraged.</p>	<p>Effectiveness of mitigating actions identified in the CIA will be considered as part of a wider review of co-production outcomes.</p> <p>For carbon emissions from transport, this will require a survey of those attending engagement sessions to establish e.g., how they travelled to the venue.</p>

				<p>Engagement sessions may be held at multiple venues, to minimize the distance travelled by those attending.</p> <p>Care and support services are delivered to people in geographical clusters and therefore will not encourage travel to multiple locations.</p>	
Emissions from waste, or the quantity of waste itself?	Nil				
Emissions from housing and domestic buildings?	Nil				
Emissions from construction and/or development?	Nil	This impact assessment only considers carbon emissions arising from engagement and co-production. For wider considerations, please see below.			Ongoing review of carbon impacts, in line with wider activity.
Carbon capture (e.g. through trees)?	Nil				

Identify any emission impacts associated with this decision that have not been covered by the above fields:

The carbon emissions impact from construction and development are Nil, since this carbon impact assessment only considers carbon emissions arising from co-production and engagement with relevant stakeholders. This is in agreement with advice received from colleagues in Asset Management, Policy and Strategic Housing.

However, as part of a wider piece of work in relation to the framework and the Cabinet report, Commissioning of community services - mental health recovery model, 35 new units will be developed over a 10 year period. This needs to be considered and potential impacts assessed, as schemes are identified and instigated. All the new units will not be new builds, but rather a mix of new build and adaptation of current buildings and structures. Where existing buildings are used, the likely emissions impact will be no change or a small decrease in emissions, as buildings' fabric is improved to meet current standards.

If the Council were to develop new, purpose-built supported living, then the relevant Carbon Impact Assessment should be reviewed and updated accordingly. This would provide assurance to residents and communities that carbon emissions considerations had been reviewed as part of the project.

Please provide a summary of all impacts and mitigation/monitoring measures:

- Access to Multiple buildings to reduce extensive travel during consultation
- Car sharing where possible
- Look at different travel methods for example buildings being near shared transport routes (bus, train routes) or cycle and walkable routes.
- Complete consultation aspects online such as surveys, questionnaires, large meetings to reduce travel and emissions.
- When using equipment in the consultations investigate recycling materials and ways in which materials can be re used after the event.
- Consider if face to face events is near to electrical car charging points.

Supporting information:

Completed by:

(Name, title, and service area/directorate).

Jacqueline Clark

Head of Prevention Early Intervention – Strategic Commissioning - ACH&PH

Joanne Bell

Strategic Commissioning Officer, ACH&PH

Arthur King

National Management Trainee, ACH&PH

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]

Committee Name and Date of Committee Meeting

Cabinet – 23 January 2023

Report Title

COVID-19 Care Home Safety

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)

Katherine Harclerode, Governance Advisor
01709 254352 or katherine.harclerode@rotherham.gov.uk

Ward(s) Affected

Borough-Wide

Report Summary

This spotlight review sought assurances around the safety of care home workers and residents during the pandemic and onward. This review of local response and learning anticipates the national inquiry into health and care worker safety which was widely requested by health and care workers in other parts of the UK and their families in 2020-21.

Recommendations

1. That the following recommendations from the review be received:
 - a) That the learning from the pandemic and ongoing needs in respect of care home safety be noted.
 - b) That the service consider how the Council may help support recruitment and retention within the care sector.
 - c) That consideration be given to how best to retain, where possible, the benefits of supportive models such as regular engagement, access to training/guidance and the IMT approach, which were adopted during the pandemic.

- d) That outcomes of forthcoming reviews by the Health and Wellbeing Board on learning from the Pandemic be considered for scrutiny.
2. That Cabinet formally consider its response to the above recommendations by March 2023, in accordance with the Overview and Scrutiny Procedure Rules.

List of Appendices Included

None

Background Papers

Care home Safety. Presentation.

Care Quality Commission, The state of health care and adult social care in England 2020/21. 21 October 2021.

Department of Health and Social Care, Care Quality Commission, and UK Health Security Agency. Guidance Coronavirus (COVID-19): admission and care of people in care homes. How to protect care home residents and staff during the coronavirus outbreak. 16-August 2021 - 1 April 2022.

Consideration by any other Council Committee, Scrutiny or Advisory Panel

Health Select Commission – 24 November 2022

Overview and Scrutiny Management Board – 14 December 2022

Council Approval Required

No

Exempt from the Press and Public

No

Scrutiny Review Recommendations – COVID-19 Care Home Safety

1. Background

- 1.1 This spotlight review sought assurances around the safety of care home workers and residents during the pandemic and onward, living with COVID-19. This review of local response and learning complemented the broader national concern and inquiry into health and care worker safety, prompted by requests from health and care workers in other areas of the UK and their families in 2020-21. Similar concerns were reiterated in a 21 October 2021 report by the CQC, in respect of the state of care in England. The Government guidance regarding approaches to mitigate the spread of COVID-19 among care home workers and residents was withdrawn on 1 April 2022, as part of the Living with Covid Strategy. Councillors Yasseen (Chair), Keenan, Griffin, Haleem and Hoddinott met with commissioning officers and team leads and the Cabinet Member for Adult Social Care and Health on 29 March 2022, to discuss and make recommendations to promote the safety of local care home workers and residents through applied learning from the pandemic.
- 1.2 The review focussed primarily on the external market which provides the vast majority of care, with thirty-two care homes for older people operating in the Borough. The review also examined the two council-run care homes with the understanding that these represent a small percentage of the market. Relevant information relating to learning from the pandemic was requested in respect of infections/deaths rates; PPE availability and use; and challenges around visitation, discharge from hospital to care homes, and vaccination.
- 1.3 At the time of the discussion, nine care homes had closed on a temporary basis due to COVID-19 outbreaks. This was following Interdisciplinary Management Team (IMT) meetings, applying best practice guidance on mitigating the impacts of COVID-19. The Health and Wellbeing Board had conducted an overall survey of care homes in November 2021, which informed the scrutiny discussion.

2. Key Issues

2.1 PPE in care homes

Initially, supplies of Personal Protective Equipment (PPE) for health care and other kinds of care was directed to health care, reducing the supply available for care homes and home care. During this time, the mandate to care homes was for light PPE, that is, face coverings and gloves. New guidance was received each week. Hospitals soon raised their PPE complexity, but care homes did not have parity.

- 2.2 PPE supplies at this time were not readily available from the Central Government. Local Authorities had to source their own supplies, working with each other. Prices rose significantly, such that a mask that previously would have cost a few pennies now cost £1 to £2. The Council was a purchaser of PPE and was a partner with care homes in actively supporting the response. The service was at this time working 7 days a week distributing the PPE. The

Adult Care Strategic Commissioning Manager and her team drove the PPE to care homes throughout the Borough.

- 2.3 Necessary PPE later became freely available from the Government through a national portal. Before the portal came online, the Local Resilience Forum (LRF) encountered quality issues regionally. The Local Resilience Forum could be expected to pay only what was reasonable for the PPE that was desperately needed during this phase of the pandemic.
- 2.4 **Adaptive communication and support for care homes**
Daily phone calls took place among an Interdisciplinary Management Team (IMT) and care homes to provide all round, real-time support. This model of delivering support proved crucial, because the experiences of the care homes were unprecedented. For example, one care home lost 9 residents in one week, which was so unusual as to be traumatic for residents and care workers.
- 2.5 To pay for discretionary aid where it was most needed in addition to mandatory responsibilities, grants were deployed to help care homes continue to respond to the evolving situation. Further, shared good practice brought in an early uplift in fees in recognition of the pressures on care homes. Fees were moved to November 2021, whereas they would have come in March 2022, to help support care homes.
- 2.6 **Testing in care homes**
The testing regime for care homes also evolved during the pandemic. National schemes and Rotherham schemes were implemented to help identify and isolate the virus early. Multiple outbreaks demonstrated a ripple effect from the community into care homes through the staffing route. Staff could test negative but then be positive due to incubation of the virus and asymptomatic carrying. Resulting workforce challenges meant that care home managers were sleeping on the premises until staff recovered.
- 2.7 At the same time, care homes experienced reductions in bed occupancy from 86 percent to around 72 percent. To be financially viable, care homes must maintain an 85 to 90 percent occupancy. This, coupled with a further challenge of mandatory vaccines for care home workers, amplified workforce costs. A small number of staff did leave the care sector at this time - 10 out of 1800 care workers. The legacy effect of these challenges is an observable decline in recruitment and retention of care home staff.
- 2.8 The timeline care homes experienced was characterised by a spike in early 2020, a lull in the summer of 2020, a rise in winter 2020, and the arrival of vaccination in January 2021, with care workers willingly testing daily. In January 2021, the national direction was taken to use lateral flow testing to support visiting. This came into use in addition to local initiatives which utilised visiting pods, screens and outdoor or open-air areas to allow residents to see their loved ones safely.
- 2.9 Following publication of the Living with Covid Strategy, the Government identified who would receive free Lateral Flow Tests, such as frontline care

workers, and who would be required to pay. This provision has now been removed.

2.10 **Understanding ONS data around deaths in care homes**

Three key data sets compiled by the Office of National Statistics (ONS) summarise the impact of COVID-19. Considered together, the data sets suggest that COVID-19 resulted in excess deaths for Rotherham residents in general and also for residents within the care sector of Rotherham. Available data indicates that the majority (86.9%) of deaths of service users, in Rotherham, occurred within the care setting during 2020, compared to 86.6% in England. This percentage remained stable before the pandemic and through 2020, before dropping in 2021 following the rollout of the vaccination programme. This percentage stayed below the percentage for England and Wales combined. A slightly higher percentage of deaths occurred in the care setting *where COVID-19 was mentioned on the death certificate* (15.1%) compared to England and Wales combined (13.1%) across 2020 and 2021. Overall, Rotherham experienced higher mortality *across the general population* than England alone, and high excess deaths early in the pandemic when care homes were worst affected. Underlying health conditions may have been a factor in this.

2.11 The increase in the number of deaths within care settings in 2020 compared to the five-year average (2015-2019) was comparable to England and Wales. In the recording of deaths, practitioners had to note that some suspected to be COVID-19 related, had not been confirmed through testing.

2.12 Deaths in the care sector, England and Wales - Office for National Statistics (ons.gov.uk).

This data indicates the number of registered deaths of care home residents by local authority, registered in 2020 (not COVID-19 specific). This shows 816 deaths for Rotherham registered in 2020, for all causes. Of these, 805 were reported to the Care Quality Commission (CQC).

2.13 Death registrations and occurrences by local authority and health board - Office for National Statistics (ons.gov.uk). The 2020 edition of this dataset shows counts of the number of deaths registered/deaths occurred, including deaths involving COVID-19, by local authority and place of death (not specific to care sector residents). The occurrence tabs in the 2020 edition of this dataset were updated for the last time on 22 June 2021.

2.14 Deaths registered

For deaths registered up to 1 January 2021, in Rotherham:

- There were a total of 623 COVID-19 deaths, of these 149 were in a care home.
- For all causes, in all locations, there were 3,454 deaths registered in this time.
- For all causes, in a care home setting, there were 707 death registrations in this time.

2.15 **Deaths occurred**

For death occurrences up to 1 of January 2021 that were registered up to 19 June 2021, in Rotherham:

- 153 of 646 COVID-19 deaths occurred in a care home.
- For all causes, in all locations, there were 3,382 death occurrences during this time. This compares to 2835 deaths of Rotherham residents registered in 2019.
- For all causes, in a care home setting, there were 707 occurrences during this time.

2.16 **Deaths involving COVID-19 in the care sector, England and Wales - Office for National Statistics (ons.gov.uk).**

This data is for Rotherham care home residents, deaths registered in all locations (the location includes care home, hospital, etc). Data runs from 14/03/2020 to 21/01/22.

- In 2020, there were 657 deaths of care home residents registered for all causes.
- For 2021 and 2022 there were 622 deaths of care home residents registered for all causes.
- For COVID-19 deaths, there were 179 deaths in 2020, and 58 deaths in 2021/22.
- Of the deaths of care home residents registered in 2020, 27% in Rotherham were COVID-19.

2.17 **Vaccination in care homes**

Care home residents were offered their vaccines the week before the general public. In Rotherham, 99% of care home residents and residential care workers have taken up both doses of the vaccine, 98% have taken up the first round of the booster and 81% the spring booster as of October 2022. This data pertains to residents registered with a Rotherham GP.

2.18 **In September 2022, those eligible were able to book the autumn booster. The coverage in care home residents and residential care workers continues to increase as the booster roll-out continues.**

2.19 **Learning from the pandemic**

Areas of learning from the pandemic have been implemented. For example, dedicated beds prevent transmission from hospital to care homes, as hospitals strive to discharge patients faster. Enhanced staff PPE in red areas has also been implemented to prevent transmission within care homes. The necessary PPE will continue to be provided by the Government through 2023. Meanwhile, the Council has built significant resilience in maintaining stocks of PPE - enough for at least 200 days. Good hand hygiene has also cut down transmission. The vaccine programme also has continued, facing further surges.

2.20 **Further learning was derived during the middle stages of the pandemic when staff rotas were affected. In response to workforce shortages, changes to national immigration have meant that care home staff are now given priority. A way to lower levels of infections would be to improve the benefits offer to care**

home workers. Providing sick pay would result in less reliance on agency staff and lower levels of infections. Contracts should consider these social value elements in contracting with agencies, considering what can be done to prevent infection. An understanding of the Council's influence becomes important in the COVID-19 recovery environment, as commissioning decisions are being made and contracts negotiated.

- 2.21 Since the spotlight review was undertaken, details of the statutory public inquiry into UK Government's handling of the Covid-19 pandemic were published. Public hearings and submission of evidence will start in 2023. It is recognised that the findings from the national inquiry may also have ramifications for local services. The learning from the inquiry should be considered for scrutiny alongside any outcomes of reviews conducted by the Health and Wellbeing Board.

2.22 Ongoing needs for care home safety

The Council actually has limited levers whereby to influence care homes, the vast majority of which are private businesses. Ultimately, residence in a particular care home comes down to individual choice. The Council does not issue global contracts. Fees rates are challenging for care homes to pay staff in excess of the Real Living Wage and to compare favourably with the NHS. Workforce shortages in the care sector will continue to be an issue driven not only by pay, but vocational pressures and alternative employment e.g., retail and warehousing. Specific COVID-19 grants from central government such as the Infection Control Fund have previously been issued which could have been used by care homes to pay for staff sick leave – three such grants were returned unspent. Some of the most expensive facilities deprioritise basic sick leave for staff.

- 2.23 The Council does not keep a list of “approved” care homes but does regularly monitor the quality of provision within the Borough. As background contracts are being refreshed, these include information around skills for care providers and also capacity tracking. These are mandatory to complete as part of the Council's requirement to support care homes. Quality issues can result in a care home being rated as “Requires Improvement.” Limited staffing and high turnovers of registered managers often signal an issue.

- 2.24 Therefore, a major priority in the service plan is care home quality, with recruiting problems and the need for better terms and conditions and better pay as key areas for improving care. A Government-led Fair Cost of Care exercise is exploring these needs, as the Council alongside the South Yorkshire ICB respond to the challenges. A strong workforce, good quality guidance, access to PPE and a proportionate and accessible testing regime are all needed to deliver care safely going forward.

3. Options considered and recommended proposal

- 3.1 Recommendations were developed by Members during the scrutiny discussion. Members considered the possibility of recommending that the service collaborate with relevant officers to ascertain whether social value elements of contracts could better reflect learning about care home staffing

terms and conditions. This did not become part of the recommendations because the Council does not have the power to exert direct influence on third party staffing terms and conditions. This review represents Rotherham's proactive approach to scrutiny which sought assurances in preparedness ahead of any national discussion.

4. Consultation on proposal

- 4.1 Members have due regard to the expressed views of their constituents in their formulation of scrutiny priorities and lines of enquiry. Recommendations from scrutiny are produced as outcomes of consultation by Members in their role as elected representatives of Rotherham residents.

5. Timetable and Accountability for Implementing this Decision

- 5.1 The accountability for implementing recommendations arising from this report will sit with Cabinet and relevant officers.
- 5.2 The Overview and Scrutiny Procedure Rules require Cabinet to consider and respond to recommendations from Overview and Scrutiny Management Board and the Select Commissions in no more two months from the date that Cabinet receives this report.

6. Financial and Procurement Advice and Implications

- 6.1 No financial implications arise directly from this report, although the response to the review will take account of any such implications.

7. Legal Advice and Implications

- 7.1 There are no legal implications directly arising from the report

8. Human Resources Advice and Implications

- 8.1 There are no human resources implications directly arising from the report.

9. Implications for Children and Young People and Vulnerable Adults

- 9.1 There are no implications for Children, Young People, and Vulnerable Adults directly arising from the report.

10. Equalities and Human Rights Advice and Implications

- 10.1 Furthering equalities and human rights are key objectives in undertaking scrutiny activity; therefore, Members have due regard for equalities implications in the development of scrutiny work programmes, lines of enquiry and in their derivation of recommendations designed to improve the delivery of council services for residents.

11. Implications for CO2 Emissions and Climate Change

- 11.1 There are no climate or emissions implications directly associated with this report.

12. Implications for Partners

- 12.1 There are no implications for partners directly arising from the report.

13. Risks and Mitigation

- 13.1 Members have due regard to the risks and mitigation factors associated with the services under scrutiny and have made recommendations accordingly.

14. Accountable Officers

Emma Hill, Head of Democratic Services and Statutory Scrutiny Officer
Katherine Harclerode, Governance Advisor

Approvals obtained on behalf of Statutory Officers: -

	Named Officer	Date
Chief Executive	Sharon Kemp	09/01/23
Strategic Director of Finance & Customer Services (S.151 Officer)	Judith Badger	03/01/23
Assistant Director, Legal Services (Monitoring Officer)	Phillip Horsfield	03/01/23

Report Author: Katherine Harclerode, Governance Advisor
01709 254352 or katherine.harclerode@rotherham.gov.uk
This report is published on the Council's [website](#).

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Committee Name and Date of Committee Meeting

Cabinet - 23 January 2023

Report Title

Bereavement Services Dignity Contract Management Report

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

Judith Badger, Strategic Director of Finance and Customer Services

Report Author(s)

Ashleigh Wilford, Superintendent Registrar & Bereavement Services Manager

Ashleigh.wilford@rotherham.gov.uk

Ward(s) Affected

Borough-Wide

Report Summary

This Report provides an update on the Council's Bereavement Services management of the contract between Rotherham Metropolitan Borough Council and Dignity Funerals Limited.

Recommendations

1. That Members note the content of this Report.
2. That a capital sum of £148,000 is set aside for improvements to the Borough's cemeteries that are outside of the Dignity contract subject to approval of the Budget and Council Tax Report at Council in March 2023. Details are presented at 2.2.1.

List of Appendices Included

Appendix 1 Equality Screening Analysis

Appendix 2 Carbon Impact Analysis

Background Papers

None

Consideration by any other Council Committee, Scrutiny or Advisory Panel

Improving Places Select Commission – 13 December 2022

Council Approval Required

No

Exempt from the Press and Public

No

Bereavement Services Dignity Contract Management Report

1. Background

- 1.1 On 1st August 2008, the Council entered into a 35-year contract with Dignity Funerals Ltd (Dignity) for the provision of bereavement services for Rotherham. This partnership saw Dignity take on the responsibility for capital works and maintenance of the East Herringthorpe Cemetery and Crematorium along with the maintenance of the eight other municipal cemeteries located throughout the Borough. The Council retained cemetery chapels, associated buildings and boundary walls on some cemetery sites.
- 1.2 Dignity is required to provide annual assurance to the Council that Key Performance Targets (KPTs) are being met and Service Improvements (SIs) are being made which is documented each year by the production of an Annual Performance Report (APR). This was reported to Scrutiny on 14th December 2022 and is subject to annual scrutiny.
- 1.3 The Council has the ability to enforce financial penalties where there are defined contractual performance failures. The Council has been very active in managing this contract and this report updates Cabinet on the financial charges imposed and makes proposals for investing this income into the service to secure further improvements.

2. Key Issues

2.1 Dignity Performance

- 2.1.1 The Council work actively to monitor delivery of the contractual requirements with Dignity. Where there are any potential performance failures of contractual requirements, Dignity is notified. Where any are not rectified in the period specified within the contract, or within an agreed extension period, then the relevant contractual penalty is enforced.
- 2.1.2 The Council has so far received £395k in payments for performance failures.
- 2.1.3 The Council has liaised with Community Groups and worked with Dignity. As a result of active engagement between the Council and Dignity more than £1m has been invested in the Council's cemeteries this year. These investments include the following.
- 2.1.4 A £400k investment at East Herringthorpe Cemetery to: -
 - (a) Refurbish footpaths and roads around the cemetery that have fallen into disrepair over time and disturbed by tree roots.
 - (b) Works have been undertaken to improve the condition of the Muslim burial section adjacent to the main drive.
 - (c) The installation of extensive drainage systems.
 - (d) 39 burial chambers.
 - (e) A gabion wall to retain land further up the site and landscaping improvements.
 - (f) The temporary paths in this section will be made permanent in December 2022 to improve access to the area.

- 2.1.5 A further investment of around £400k has been made at Greasbrough Lane Cemetery in Rawmarsh to install a drainage system following persistent problems at the Cemetery during periods of inclement weather. This work commenced on 5th October 2022 and was completed on the 19th December 2022. The temporary access path that was installed in 2021 along the coppice in the middle section of the cemetery, where cremated remains plots and the children's section is located, will also be made permanent.
- 2.1.6 An investment of £275k has been made at Maltby Cemetery to improve the footpaths and roadways. This work commenced in September 2022 and was completed on 19th December 2022. As part of this work, the boundary wall along the front of the Cemetery on Grange Lane has been repointed and repairs to railings carried out where required. One of the wall pillars, which was noted to be unstable, is to be dismantled and rebuilt.
- 2.1.7 All other cemeteries' footpaths and roadways will be improved as a rolling programme and will take place in order of priority being determined by the existing condition of the paths and roads within each cemetery, this will continue through 2023.

2.2 *Bereavement Services*

- 2.2.1 It is proposed to re-invest the monies received in financial penalties into the Bereavement Service. This will include: -

Project	Works to be undertaken	Estimated Costs
Maltby Lych Gate	Restoration and repair of the historic lychgate at the entrance to the cemetery. Specialist contractors required.	£20,000
Maltby Perimeter Fence	Perimeter fence to be installed along the three internal boundaries of the cemetery to improve security and prevent unauthorised access from neighbouring properties.	£18,000
Greasbrough Lane Perimeter Fence	Along the top perimeter of the cemetery that abuts the site of the old swimming baths, a perimeter fence is to be installed to improve security and restrict unauthorised access into the cemetery.	£25,000
All Cemeteries	Benches will be installed in each cemetery across the Borough – subject to consultation with the Friends Groups. Granite benches procured from Dignity are to be used to be in keeping with the rest of the cemetery furniture.	£10,000
East Herringthorpe	Installation of a Qibla stone in the Muslim section – this will be a compass design pointing to the Qibla	£10,000
Independent Expert Report	Bereavement Services will commission an independent expert report on the bereavement facilities available in Rotherham. Plus, associated community work.	£20,000

Project	Works to be undertaken	Estimated Costs
High Street	Extensive repair and restoration work of the boundary wall along the bottom of the cemetery to improve safety and access from the 'A' frame gate which is currently inadequate.	£45,000

3. Options considered and recommended proposal

- 3.1 Cabinet could choose not to approve the proposed projects. This is not recommended as there would be further decline of existing Council assets within the cemeteries and these projects could not proceed.
- 3.2 Cabinet may also decide to approve some rather than all the projects listed in the Report. This option again is not recommended as the projects proposed will assist in the maintenance of Council assets and deliver improvement in the Council's cemeteries that will benefit Rotherham's communities.

4. Consultation on proposal

- 4.1 As the report deals with the contractual charges these have not been subject to consultation. Dignity is required through the Contract to engage with both the Friends' Groups and the communities of Rotherham in delivering these services.

5. Timetable and Accountability for Implementing this Decision

- 5.1 The funds proposed will be subject to the Budget and Council Tax Report in March 2023.

6. Financial and Procurement Advice and Implications

- 6.1 The Report recommends the addition of £148k to the Capital Programme, to be approved as part of the Budget and Council Tax report in March 2023. This will fund the works identified in 2.2 above.

7. Legal Advice and Implications

- 7.1 The monies in the Report result from the contractual arrangements put in place in the original contract and enforcement of those terms.

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 This Report has no specific implications in relation to Children and Young People and Vulnerable Adults.

10. Equalities and Human Rights Advice and Implications

- 10.1 The Equality Screening Analysis is attached as Appendix 1 to this Report.
- 10.2 Equalities issues have been addressed as part of the works included in the report.

11. Implications for CO2 Emissions and Climate Change

- 11.1 A Carbon Impact Assessment (CIA) has been completed setting out the potential impacts on emissions and how these can be addressed, refer to Appendix 2 of this Report.
- 11.2 The gaps identified within the CIA will be progressed via the Project Liaison Group.

12. Implications for Partners

- 12.1 This Report introduces no additional implications for partners or other Directorates.

13. Risks and Mitigation

- 13.1 Risks relating to the Dignity Funerals Contractual Agreement are monitored via a performance management framework and Annual Performance Report which includes an annual report to Scrutiny.
- 13.2 Financial risks relating to the Dignity Funerals Contractual Agreement are monitored via the Council's annual review of the financial model.

14. Accountable Officers

Ashleigh Wilford, Superintendent Registrar & Bereavement Services Manager
Bal Nahal, Head of Legal, Registrars and Bereavement Services

Approvals obtained on behalf of Statutory Officers: -

	Named Officer	Date
Chief Executive	Sharon Kemp	09/01/23
Strategic Director of Finance & Customer Services (S.151 Officer)	Judith Badger	04/01/23
Assistant Director, Legal Services (Monitoring Officer)	Phillip Horsfield	04/01/23

Report Author: Ashleigh Wilford, Superintendent Registrar & Bereavement Services Manager

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: Bereavement Services

Directorate:
Finance & Customer Services

Service area:
Legal Services

Lead person:
Ashleigh Wilford

Contact:
07795542990,
ashleigh.wilford@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

This screening relates to the Council retained Bereavement Services.

This includes the management and maintenance of cemetery boundaries and chapels of the nine municipal cemeteries across the Borough. Dignity Funerals Ltd have their own Equality Impact Analysis for the operational services it provides for the public on behalf of Rotherham Council.

3. Relevance to equality and diversity

All the Council's strategies/policies, services/functions affect service users, employees or

the wider community – borough wide or more local. These will also have a greater/lesser relevance to equality and diversity.

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

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

Questions	Yes	No
Could the proposal have implications regarding the accessibility of services to the whole or wider community? <i>(Be mindful that this is not just about numbers. A potential to affect a small number of people in a significant way is as important)</i>		X
Could the proposal affect service users? <i>(Be mindful that this is not just about numbers. A potential to affect a small number of people in a significant way is as important)</i>		X
Has there been or is there likely to be an impact on an individual or group with protected characteristics? <i>(Consider potential discrimination, harassment or victimisation of individuals with protected characteristics)</i>		X
Have there been or likely to be any public concerns regarding the proposal? <i>(It is important that the Council is transparent and consultation is carried out with members of the public to help mitigate future challenge)</i>		X
Could the proposal affect how the Council's services, commissioning or procurement activities are organised, provided, located and by whom? <i>(If the answer is yes you may wish to seek advice from commissioning or procurement)</i>		X
Could the proposal affect the Council's workforce or employment practices? <i>(If the answer is yes you may wish to seek advice from your HR business partner)</i>		X
If you have answered no to all the questions above, please explain the reason		

The services provided by the Council in Bereavement Services are minimal due to Dignity Funerals Ltd providing operational public services on behalf of the Council.

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?**

- **Key findings**

- **Actions**

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
Ashleigh Wilford	Superintendent Registrar & Bereavement Service Contract Manager	07/12/2022
Steve Eling	Equalities Officer	15/12/2022

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

Report title and date	Bereavement Services Cabinet Report – 23/01/2023
If relates to a Cabinet, key delegated officer decision, Council, other committee or a significant operational decision – report date and date sent for publication	
Date screening sent to Performance, Intelligence and Improvement equality@rotherham.gov.uk	08/12/2022

Appendix 2

Carbon Impact Assessment – To Accompany Bereavement Service Cabinet Report 2023

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	Nil	Dignity Funerals Ltd report annual emissions through the international Carbon Disclosure Project	-	Emission data communicated on the Dignity website
Emissions from transport?	no impact	Nil	No significant increase from funeral transport	-	Scope 1 & 2 emission data specific to Rotherham will be requested.
Emissions from waste, or the quantity of waste itself?	no impact	Nil	No significant increase from general and mixed recyclable waste.	Following a waste review a national contract has been arranged with Veolia with the aim of nil waste to landfill.	Nil
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: The Council has no control over the emissions produced by Dignity Funerals Ltd but can look at ways of influencing future improvements.					

Please provide a summary of all impacts and mitigation/monitoring measures:

The Council work in partnership with Dignity Funerals Ltd to provide bereavement services in Rotherham

Supporting information:

Completed by: (Name, title, and service area/directorate).	Ashleigh Wilford, Superintendent Registrar & Bereavement Services Manager
Please outline any research, data, or information used to complete this [form].	Nil, at this time
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.	Nil, at this time.
Tracking [to be completed by Policy Support / Climate Champions]	David Rhodes, 03/10/22

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Committee Name and Date of Committee Meeting

Cabinet – 23 January 2023

Report Title

November 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 November 2022 and forecast for the remainder of the financial year, based on actual costs and income for the first eight 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 fourth 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 of November 2022, the Council currently estimates an overspend of £9.5m for the financial year 2022/23. This is an £8.7m improvement on the September position following the Council working to identify short term in-year savings to help mitigate some of the forecast cost pressures, due to the wider financial impact of inflation, energy price increases and the impact of the 2022/23 pay award. These costs could not have been projected within the Council's Medium Term Financial Planning.

The improvements have been generated across the Council's Directorates totalling £4.6m. £4.3m of this is through short term in-year generated by delaying or stopping any non-essential/non-urgent expenditure, delaying recruitment where possible and making use of one-off grant funding in the current year. In addition, there has been positive movements totalling £0.3m across the wider Directorates with regards to business-as-usual activity. Finally, a review of corporate grants and provisions has been undertaken along with a review of the in-year financial impact of the 2022/23 Pay Award, which has enabled a £4.1m improvement to be forecast in Central Services.

Therefore, the core directorates now have a forecast year-end overspend of £3.5m on the General Fund an improvement of £4.6m overall. The £10.1m of estimated unbudgeted cost resulting from inflation, energy price increases and the impact of the 2022/23 pay award are reduced by £4.1m from one-off resources and options down to £6.0m.

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. Anticipated additional income as a result of the Government's budget announcement is not expected to mitigate all the additional costs the Council will incur.

As such the Council faces significant financial pressures that will need to be managed and mitigated through the Medium Term Financial Strategy and through significant use of the Council's reserves and through future Budget decisions.

Recommendations

That Cabinet:

1. Note the current General Fund Revenue Budget forecast overspend of £9.5m.
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 updated Capital Programme.
4. Approve the proposed use of the UK Shared Prosperity Fund grant 2022/23 and delegate authority to the Assistant Chief Executive in consultation with the Leader of the Council to determine any revised and final allocations as required.

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

May Financial Monitoring Report to Cabinet on 11th July 2022

July Financial Monitoring Report to Cabinet on 19th September 2022

September Financial Report to Cabinet on 21st November 2022

Consideration by any other Council Committee, Scrutiny or Advisory Panel

No

Council Approval Required

No

Exempt from the Press and Public

No

November 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 fourth 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 eight 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 November 2022

Directorate	Budget 2022/23 £m	Forecast Outturn 2022/23 £m	Forecast Variance over/ under (-) £m
Children and Young People's Services	67.7	70.6	2.9
Adult Care, Housing & Public Health	94.1	93.7	-0.4
Regeneration and Environment Services	48.2	50.3	2.1
Finance and Customer Services	19.8	19.1	-0.7
Assistant Chief Executive	7.5	7.1	-0.4
Central Services	22.4	28.4	6.0
Directorate Forecast Outturn	259.7	269.2	9.5
Dedicated Schools Grant			0
Housing Revenue Account (HRA)			0.1

- 2.2 The Council's overspend position at this point is largely due to the following overall issues:

- Financial implications of inflation, energy price increases and impact of the 2022/23 pay award.
 - Placement pressures within Children and Young People's Services.
 - Home to School Transport pressures within Regeneration and Environment and CYPS.
 - Pressures relating to the longer-term recovery from Covid-19, on income generation within Regeneration and Environment.
- 2.3 As of November 2022, the Council currently estimates an overspend of £9.5m for the financial year 2022/23. Whilst the core directorates services have a forecast year end overspend of £3.5m on the General Fund, there is also a net £6.0m estimated overspend in relation to the wider financial impact of inflation, energy price increases and national pay award. The overall position has improved by £8.7m from the position reported to Cabinet in November after accounting for Directorate short term savings, use of one-off corporate grants, provisions and in year savings on the pay award forecast to reduce the overall in-year forecast overspend.
- 2.4 These financial challenges are being considered as part of the Council's ongoing Medium Term Financial Planning. Whilst the Council's Medium Term Financial Strategy did have reasonable cover for inflationary impacts and estimated pay award at the time of setting the 2022/23 Budget, the current rises are far above what the Council could have anticipated. The increase in the Council's base costs above budget is £10.1m, this amount will impact the Council's MTFS year on year.
- 2.5 Along with most Councils across the UK, the Council assumed a 2% pay award for 2022/23 in the Budget and Council Tax Report 2022/23. However, the national local government pay settlement provides staff at the bottom of the pay scale with a 10.4% pay award, whilst it reduces to 1.1% for the top salary point, the bulk of the Council's staff are towards the lower end of the pay scale and so will receive a pay award well in excess of the 2% modelled within the Council's Medium Term Financial Strategy. The financial impact of this pay award is £6.1m greater than the budget assumed within the Council's Medium Term Financial Strategy.
- 2.6 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. The Bank of England is still expecting 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 significant financial pressures that will need to be managed and mitigated through the Medium-Term Financial Strategy and the Council's reserves and budget setting decisions.
- 2.7 Due to the forecast outturn position services were asked to go through their budgets to identify where they can take temporary measures to reduce cost this year and improve their financial outturn without direct adverse impact on

residents. The results of this exercise are included in the current forecast position. This has delivered a significant improvement in the forecast outturn.

- 2.8 The position will continue to be monitored closely and mitigations identified to enable a balanced outturn position to be delivered, though it's clear that the Council will need to call on reserves to achieve this. 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 savings plans are delivered on time to mitigate any knock-on impact on future years Medium Term Financial Planning.
- 2.9 The following sections provide further information regarding the Council's forecast outturn of £9.5m, the key reasons for forecast under or overspends within directorates and the progress of savings delivery.
- 2.10 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. £4.3m, over a third of planned savings, have been delivered already within 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. For R&E there has been £119k delivery of increased income at Waleswood and £97k in respect of planned cost reductions on operational buildings. Several assets are being made ready for disposal which will help progress toward delivering the property savings although the actual amount secured will be confirmed at the point of disposal. Finally, savings have been identified for the R&E Customer and Digital Programme.

Table 2: Planned delivery of £11.5m savings

Saving	2022/23	2023/24	2024/25 & Total FYE	Still to be delivered 2022/23	Total Secured as at 30th November 2022
	£0	£0	£0	£0	£0
ACHPH	2,800	2,800	2,800	400	2,400
ACHPH – One off saving	500	0	0	0	500
CYPS	971	4,739	7,411	0	1026
R&E	374	762	784	158	216

R&E Customer & Digital	200	500	500	0	200
Total Savings	4,845	8,801	11,495	558	4,342

Children and Young People Services Directorate (£2.9m) forecast overspend

- 2.11 Children & Young People Services continue to implement the budget recovery plan with budget savings of £1.026m already delivered. The budget pressure at the end of November 2022 is £2.9m, a reduction of £1.5m from the September reported position, with the reduction including £785k of temporary in-year savings. The rest of the saving relates predominantly to reductions in CYPS placements costs.
- 2.12 The CYPS pressures relate in the main to placements £2.6m, Children in Care & Post 19 Transport £1.0m and staffing £302k, offset by Supporting Families income of £300k and the £785k temporary savings.
- 2.13 The Looked After Children numbers have increased from September 2022 by 22 from 543 to 565. This is above the original November budget profile (551) for this period by 14 placements. The placement mix is showing higher than projected placements at November in external residential (5), IFA (31), Leaving Care (26) offset by in-house fostering (38) and no cost placements (24). The LAC number of 565 includes 43 Unaccompanied Asylum Seeker Children (UASC) which has risen from 14 in March 2022 and is an increase of 10 from the September position. The UASC is having an impact on the ability to reduce the overall LAC numbers but doesn't have a significant cost impact.
- 2.14 The direct employee budget is £37.7m and is a combination of general fund, traded and grant funded services. The projected overspend at the end of November is £601k (after excluding placements staffing), which includes a general fund projected overspend of £302k and an overspend of £299k against DSG and traded services.
- 2.15 The general fund projected overspend on staffing of £302k relates to pressures in Children's Social Care (due to agency workers) and the Education Health Care Team (due to agency workers), offset by staff savings across Early Help, Commissioning & Performance. At the end of November there were 23.7 FTE agency workers in CYPS, 14.4 across children's social care and 9.3 in Education Services. The level of agency use is decreasing.
- 2.16 A significant element of the CYPS non-pay budget relates to placements which has a net budget of £36.9m with a current projected spend of £39.5m, a projected overspend of £2.6m as shown in the following table:

Service Pressure/(-Saving)	£m
External Residential Placements	2.2
Emergency Placements	0.8
In-House residential	-0.3

Independent Fostering Agencies	0.8
In-house Fostering	-0.3
Supported Accommodation	-0.5
Non-LAC allowances	-0.1

- 2.17 The £2.2m residential pressure is due to a combination of a reduction in the estimated residential step downs, £1.7m, as well as a reduction in the contribution from Dedicated Schools Grant due to a reduction in education placements £0.5m.

Dedicated Schools Grant (DSG)

- 2.18 The High Needs Block (HNB) is £51.5m (including the £3.3m transfer from the school's 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 EHC numbers, and the implementation of new developments linked to the SEND Sufficiency Strategy.
- 2.19 The central DSG reserve now stands at £12.8m following receipt of £8.5m Safety Valve funding during 2021/22. The Council will receive two 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 overspend of £8k (excluding Safety Valve funding) and will enable a £533k contribution from the HNB to reserves as part of the DSG Management Plan. The pressures reflect demand for special school, resource units, top up funding and ISP's, offset by savings on external residential placements and other education services.
- 2.20 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 2022/23.
 - 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, (£0.4m) forecast underspend

- 2.21 The directorate is forecast to underspend by £0.4m, an improvement of £1.2m from September's financial monitoring. During this time an exercise has been undertaken to reduce spending on a temporary basis, this has delivered £1.4m that has been used to significantly reduce the forecast. The majority of these savings are within Adults and despite significant demand pressures, the area is forecasting an underspend of £1m. Housing General Fund however is forecast to overspend by £0.6m.

- 2.22 The cost of adult care packages are forecast to overspend by £0.4m due to high demand. This is a decrease of £0.6m since the last report following a reduction in package costs and continued improvement in Continuing Health Care (CHC) contributions towards specific individuals care from the NHS. Transforming Care, a specialist provision for complex support cases, is forecast to underspend by £0.1m through fewer cases and transition costs of children becoming adults is forecast to underspend by £0.9m. This is because children are coming into service provision later than forecast and also through CHC funding of the individuals. Staffing costs have increased in the period and now show a £30k overspend as continuing vacancies have led to increased agency costs. Better Care Fund income has been allocated to agreed priorities during the period and has reduced the overall forecast by £0.4m
- 2.23 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.
- 2.24 Neighbourhood Services (Housing) is forecast to overspend by £0.6m. The key pressure continues to be in homelessness, which is expected to overspend by £0.7m after accounting for grant income. Work is on-going to reduce the use of hotels and maximise Housing Benefit and grant income. A delay in implementing the financial inclusion service has also led to a £90k underspend.
- 2.25 Public Health is forecasting a slight underspend at this stage caused by staff vacancies and additional grant income.

Regeneration and Environment Directorate (£2.1m) forecast overspend

- 2.26 The projection for the directorate indicates a forecast pressure of £2.1m for this financial year. This represents a significant improvement from the forecast pressure of £3.1m in the September monitoring, reported at November Cabinet. A significant piece of work has been undertaken by the Directorate to identify temporary in-year savings. This has identified £1.4m of temporary savings that have been built into this forecast. However, since the last Cabinet report, there has also been a further worsening of the position in Asset Management, as a result of an increase in repairs and maintenance expenditure and income under recovery.
- 2.27 The forecast continues to reflect the impact of ongoing demographic pressures in Home to School Transport, the lingering economic impact of the recovery from the lockdown restrictions, and the ongoing cost of living crisis 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.
- 2.28 Community Safety and Street Scene (CSS) is forecasting an overall pressure of £1.3m, an improvement of £0.7m from the September monitoring position. The

most significant pressure continues to be in respect of Home to School Transport, which is still reporting a £1.8m pressure, 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. However, this is a pressure that is affecting other local authorities in the region.

- 2.29 Parking Services is continuing to forecast 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.

- 2.30 Waste Management is now forecasting an underspend of £0.1m, an improvement of £0.2m from the September position. This improvement is the result of incorporating into the forecast a gain share payment from the residual fuel created at the BDR Waste PFI facility, as a result of the increase in the wholesale energy price. There has been a small reduction in the forecast for recycling income as a result of market price changes. Although household waste tonnages continue to be above trend, the Council is starting to see a reduction in tonnages from the high point during lockdown. Additional income in Streetworks and Enforcement, vacancies in Community Safety and Regulation and short term temporary savings are helping to mitigate the pressures elsewhere in CSS.

- 2.31 Culture Sport and Tourism (CST) is forecasting an overall pressure of £0.1m, an improvement of £0.2m from September's monitoring. This reflects additional temporary savings identified, particularly in Libraries, from holding vacant posts and a reduction in non-essential spend. The service is still seeing reduced levels of forecast income compared to pre-pandemic levels at Rother Valley Country Park, Green Spaces, Theatre and the Music Service however an increase in income from Landscape Design is helping to mitigate the pressures in CST.

- 2.32 Planning, Regeneration and Transport (PRT) is forecasting an overall pressure of £0.7m, an improvement of £0.2m from the November Cabinet report. The major pressure continues to be in Asset Management, which has risen to £1m, a worsening of £100k. Pressures in Facilities Management continue to increase as a result of rising property costs, including repairs and maintenance and fixtures and fittings. The forecast assumes income under recovery in Estates, as staff vacancies have limited the ability to generate income.

- 2.33 The forecast has been improved by the recognition of grant funding supporting staff costs in RIDO, who are delivering the major regeneration projects in the town centre and Borough leisure economy. A pressure of £0.2m 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 forecast shortfall on Markets income arising from the number of void stalls and the ongoing difficult trading conditions, is being mitigated by grant income offsetting direct costs in other services in RIDO. The forecast has been improved by the recognition of

grant funding supporting staff costs in RIDO, who are delivering the major regeneration projects in the town centre and Borough leisure economy. In addition, a forecast over-recovery of income in Planning and Building Control is helping to mitigate the pressure in PRT.

Finance and Customer Services (£0.7m forecast underspend)

- 2.34 The overall directorate is reporting a £0.7m forecast underspend position. Like all directorates, the service has reviewed planned expenditure and deferred spending or delayed recruitment to support the overall Council position, without adversely impacting service delivery. This has generated in year temporary savings of £256k, however some of this has been offset by new pressures.
- 2.35 Within Customer, Information and Digital Services (CIDS), 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 generated 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.
- 2.36 Legal Services face continued demand for legal support across all disciplines. Ongoing recruitment challenges in this sector are being addressed through use of short-term locums which are more expensive than permanent employees. Additionally, although still generating a saving the reduction in childcare cases is less than previously forecast and use of King's Counsel has increased, which has reduced the forecast underspend in this area by £90k. Income of £395k has been built into the latest forecast from the penalties imposed by RMBC on the Dignity Contract for bereavement services. It is anticipated that improved performance against the contract will negate further penalties being charged this year.

Assistant Chief Executive £0.4m forecast underspend

- 2.37 The directorate has taken steps to reduce expenditure and delay recruitment where possible to do so, in order to support the overall Council budget position in year. This has generated £256k of temporary savings and an increased in-year underspend. Additional income has been generated within HR from recruitment advertising and consultancy.

Central Services (£6.0m) forecast overspend

- 2.38 There are some significant financial challenges that were not evident at the time of setting the 2022/23 Budget, such as the significant rise in energy prices, inflation and Local Government Pay Award. It is currently estimated that the impact of inflation and in particular energy price increases will be £4m above available budget. In addition, the Local Government Pay Claim 2022/23 has now been agreed with a financial impact £6.1m greater than the budget assumed within the Council's Medium Term Financial Strategy.

- 2.39 These financial challenges are being regularly reviewed as part of the Council's ongoing Medium Term Financial Strategy and whilst the Council's outturn position for 2021/22 placed the Council in a stronger position and more able to manage the impact rather than needing to consider making cuts in services, it is clear that the Council will need to utilise reserves to manage these impacts in 2022/23, whilst also looking at short term savings to reduce its costs to help balance the budget.
- 2.40 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, reserves and budget decisions. The Council currently anticipates that the financial impact of these pressures on the Council's 2022/23 budget will be £10.1m, 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, energy prices and pay award, areas that are to a large degree outside of the Council's control and influence.
- 2.41 In order to support the work to identify temporary measures to reduce cost this year and improve their financial outturn without direct adverse impact on residents. A similar approach was taken to reviewing the Central Services budget but due to the fixed nature of the costs in this area the focus was on a review of grants and provisions; specifically looking for any grants carried forward from previous years, that could be applied as grant terms and conditions have been met and a review of corporately held bad debt provisions. This identified a total of £4.1m one-off funding that could be used to reduce the forecast overspend. This reduces the net forecast overspend on Central Services to £6.0m
- 2.42 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. These wider Central Services budgets are forecast as balanced budgets.

Housing Revenue Account (HRA)

- 2.43 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 £0.1m, a £1.7m improvement since September's monitoring.
- 2.44 The improvement is mainly due to £1.6m income from a gainshare arrangement with the Council's housing contractors, as contracts performed better than

expected, which has been recognised in the period. In addition, there are some smaller variations.

- 2.45 The HRA budget includes a contribution to HRA reserve of £2.037m. This is now forecast at £1.904m and nets the HRA budget to nil.

UK Shared Prosperity Fund grant 2022/23

- 2.46 South Yorkshire was allocated £38.9m from the UK Shared Prosperity Fund (UKSPF) earlier in 2022. The funding is for three years from April 2022 and is managed by South Yorkshire Mayoral Combined Authority (SYMCA) with notional allocations for the four South Yorkshire local authority districts (£7.08m for Rotherham).
- 2.47 The funding is predominantly revenue and aims to build pride in place and increase life chances across the UK, aligning in particular with the following Government levelling up mission: 'By 2030, pride in place, such as people's satisfaction with their town centre and engagement in local culture and community, will have risen in every area of the UK, with the gap between the top performing and other areas closing.'
- 2.48 Funding is divided between three investment priorities: Community and Place, Supporting Local Business and People and Skills.
- 2.49 In December, the Government approved year 1 (2022/23) funding for UKSPF in South Yorkshire, based on the investment plan submitted by SYMCA at the end of July. In principle approval was given for years 2 and 3, subject to ongoing review.
- 2.50 Given the delay in receiving funding approval from the Government and the risk that unspent year 1 funding will not be carried forward to year 2 (this is subject to ongoing discussions between SYMCA and Government officials), it is proposed to allocate Rotherham's share of the funding to the projects set out in the table below. The projects are also subject to SYMCA approval via a process that is operating concurrently due to the urgency.
- 2.51 The total allocation for year 1 (2022/23) is £859,647.

Project	Amount (£)	Description
Cost of living response: Open Arms Rotherham	405,000	A targeted programme of Warm Welcome activities and one-stop-shop information and advice sessions delivered by key voluntary sector organisations and managed by Voluntary Action Rotherham, working with the Council and other partners. The proposal also includes community leadership training for local volunteers and support for consultation and engagement, with a specific focus on building stronger networks around equalities, diversity and inclusion.

Children's Capital of Culture: Chapter 2 – Taking Shape	275,000	This will take forward the next phase of Children's Capital of Culture (CCoC), with the CCoC team partnering with 3 cultural providers and working with young people to deliver a programme of creative and cultural events, festivals, experiences and opportunities across Rotherham.
Business support	Up to 116,000	This focuses on the support provided, through the Council's business centres and advisors in RiDO, to help businesses start and grow (backdated to April 2022). It also includes a small grants pot to help businesses overcome short term financial pressures or to support their growth ambitions.
To be allocated	64,000	This is the remaining capital funding which will be carried forward into 2023/24 subject to agreement

- 2.52 The UKSPF 2022/23 has to be spent before the 31st March 2023, though there are ongoing negotiations between Government and the SYMCA around the ability to carry forward any unspent funds. Should Cabinet support the proposed approach for use of the UKSPF officers will then seek SYMCA authority for the funding to be drawn down and ensure the outlined projects are delivered within the current timeline. The use of the remaining capital funding element still needs to be agreed, as such it is proposed that delegated authority is given to the Assistant Chief Executive in consultation with the Leader of the Council to agree how this capital funding will be utilised and if necessary, any changes to the proposed project allocations in order to ensure the UKSPF is maximised.

2.53 Capital Programme Delivery Updates

This section of the monitoring report focuses on what has been delivered during 2023/23 since the November Cabinet report. In order to reflect the positive outcomes that the Council has achieved the following list of key achievements has been provided.

- The works on the Parkway scheme have completed. The project has created an extra lane in each direction between Catcliffe and the M1, resurfacing of the road from Catcliffe junction to Sheffield boundary and the roundabout at J33 of the M1 has been widened. This scheme will reduce journey times, reduce congestion, improve air quality and improve safety for drivers.
- Working with its development partner Muse, the Council has secured pre-lets on the Forge Island development with a cinema, hotel and five restaurants. Construction works on the scheme are now in progress.
- The Council have completed or acquired an additional 62 new homes to bring the total in this year to 106. This includes 75 direct delivery via the Council's construction contracts and a further 31 from acquisitions from private developers. The acquisitions are from contracts for Fairfields and Laughton Gate.

Capital Programme Financial Update

2.54 The Capital Programme 2022/23 now totals £175.622m split between the General Fund £131.584m and HRA £44.037m. This is an increase of £1.775m to the position as at the end of September reported to Cabinet on 21st November 2022. The majority of this is due to revised grant funding estimates combined with slippage of schemes to future years. The movement is based on the latest profiles of expenditure against schemes, including new and revised grant allocations of £7.672m, new corporate funding allocations £1.380m and slippage and re-profiles of (£7.277m). The overall Capital Programme 2022/23 to 2025/26 has increased by £22.098m, as detailed in the following sections.

Table 4: Variations to the Capital Programme 2022/22 to 2025/26.

	Total Impact £m	2022/23 Impact £m	Post 2022/23 Impact £m
New Corporate Funding	1.954	1.380	0.574
Revised Grant and Funding Estimates	20.144	7.672	12.472
Slippage / reprofiling	0	-7.277	7.277
Total	22.098	1.775	20.323

2.55 The main re-profiles are:

- **Disabled Facilities Grant, £1.8m slippage.** This is largely due to carried forward grant underspend in prior years due to the impact of the pandemic creating a backlog in cases. The service is reviewing use of the grant which is ringfenced and agreed via the Better Care Fund to enable delivery of a greater level of DFG's moving forwards in order to maximise the allocation.
- **School PFI Lifecycle Programme £2.6m slippage** This budget is used to fund the capital lifecycle cost on the PFI programme. This expenditure is delivered by the PFI contractor and is only confirmed in the final quarter of the financial year.
- **Special Educational Needs Budget, £1.9m slippage** This relates to a new grant allocation provided during 2022/23. The Council is still in the planning phase for utilising this grant and as such is unlikely to incur capital expenditure this financial year.

2.56 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 November Cabinet report are listed below.

Table 5: New Grant/HRA funding added to the programme

Directorate/Scheme	2022/23 £M	Post 2022/23 £m
Children & Young People		
Additional Devolved Formula Capital Allocation for 2022/23. Additional funds notified on 6 th December 2022 for energy efficiency measures. As it is unlikely that funds will be spent in 2022/23 this has been profiled in later years.	0.000	2.487
Regeneration & Environment		
New Changing Places allocation. This will be used to provide changing places toilets at Thrybergh Country Park, Clifton Park Museum, Rother Valley Country Park, Gullivers Valley, Rotherham United Football Club and Wentworth Woodhouse Camelia House.	0.195	0.166
New S106 monies for the provision of travel safety measures. This is being utilised to provide a pedestrian crossing on Morthen Road.	0.077	0.000
Adjustment due to confirmation of Local Transport Plan pothole funding allocation.	-0.013	0.000
New Transforming Cities Fund allocation to fund schemes at Sheffield Road £1.178m, Manvers Way £0.550m and A631 Maltby Bus Corridor £1.800m.	1.728	1.800
New Police & Crime Commissioner grant for CCTV upgrade. This was awarded as part of the Home Office's Safer Street 4 Fund and is 50% match funding against RMBC budgets.	0.372	0.000
Revised expected Clean Air Zones grant allocation for works at Bellows Road and Wortley Road.	0.193	0.000
Revised European Regional Development Fund grant allocation. Due to revised profiles and costs there has been a small increase in ERDF grant for Forge Island and Ickles Lock.	0.067	0.000
New Gainshare grant assumptions (SYMCA) for the works at Rotherham Market 22/23 and Broom Road 2023/24.	3.531	1.500

Funding from SYMCA for Local Growth schemes at Greasbrough Village £1.996m and the Whins £0.767m. These are schemes already in the Capital programme but where some of the funding was awaiting formal confirmation from the SYMCA.	2.763	0.000
New City Region Sustainable Transport Scheme grant allocations (SYMCA). The final allocation of CRSTS has now been confirmed. The CRSTS grant has replaced the DFT grant so previous DFT grant funding on the programme has been replaced with the confirmed CRSTS allocation and reprofiled to meet the latest expenditure profiles.	-1.241	6.519
Total	7.672	12.472

New Corporate Borrowing

- 2.57 The HRA budget has been increased by £1.187m for the Town Centre Housing scheme following identification of a number of cost pressures. These pressures are to be funded via additional capital receipts that the sale of some of the new properties are expected to generate.

Since Cabinet approved the budget, the project has borne further increases, attributable to three broad causes:

- Utilities issues (causing delay or additional works)
- Abnormal site costs
- Changes/clarifications to the specification to ensure the finished buildings meet the Council's requirements

- 2.58 A number of additions have been made to the Council's use of borrowing for 2022/23 in recognition of slippage on schemes that was not carried forward from 2021/22 into 2022/23 as expected. £0.192m has been added to the Markets capital scheme and an addition of £0.575m to the roads budget in 2022/23.

2.59 Programme Variations

There have been no significant variations between capital projects that are either key decision value or a change in use of corporate resources that are not detailed above and as such need reporting to Cabinet since the November Cabinet report.

2.60 MCA Approvals

The South Yorkshire Mayoral Combined Authority (SYMCA) acts as accountable body for a number of different Government funding streams and as the accountable body for Gainshare. Since the September position was reported there have been approvals of £5.031m of Gainshare grant, £2.763 for local growth schemes and £9.892m of City Region Sustainable Transport Scheme grant added to the capital programme.

- 2.61 The proposed updated Capital Programme to 2025/26 is shown by directorate in the Table below.

Table 6: 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	9.044	13.012	3.040	14.633	39.729
Regeneration and Environment	108.287	95.325	36.961	52.754	293.327
Adult Care & Housing	5.638	8.407	14.117	4.273	32.435
Assistant Chief Executive	0.496	0.210	0.210	0.210	1.126
Finance and Customer Services	7.120	10.483	3.375	8.059	29.037
Capitalisation Direction	1.000	1.000	1.000	11.000	14.000
Total General Fund Capital	131.585	128.437	58.703	90.929	409.654
Total HRA Capital	44.037	45.643	58.123	29.610	177.413
Total RMBC Capital Programme	175.622	174.080	116.826	120.539	587.067

- 2.62 The capital programme for 2022/23 remains ambitious even with a significant level of re-profiling of schemes into 2023/24. 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

- 2.63 The £175.622m of capital expenditure is funded as shown in the Table 7 below.

Table 7: Funding of the Approved Capital Programme

Funding Stream	2022/23 Budget £m
Grants and Contributions	78.085
Unsupported Borrowing	50.446
Capital Receipts	1.878
Capital Receipts - Flexible Use & HRA Contribution	1.000
HRA Contribution	0.176
Total Funding - General Fund	131.585
Grants and Contributions	2.958
Unsupported Borrowing	1.935
Housing Major Repairs Allowance	31.891
Capital Receipts	4.621
Revenue Contribution	2.632
Total Funding - HRA	44.037
Total	175.622

Capital Receipts

- 2.64 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.
- 2.65 To date General Fund useable capital receipts of £0.020m 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 November 2022 £m
Total Capital Receipts (Excluding loan repayments)	- 0.020
Repayment of Loans	- 0.030
Total Capital Receipts	- 0.050

- 2.66 The detailed disposal programme is currently being updated and it is very difficult to forecast. There is a further disposal for approximately £1m which may go through in the current financial year. Therefore, at this stage the forecast for

useable capital receipts is between £0.02m and £1m. It should be noted that there is no requirement to dispose of General Fund assets.

3. Options considered and recommended proposal

- 3.1 With regard to the current forecast net revenue budget the Council is forecasting an overspend of £9.5m, further management actions have been taken to identify short term temporary savings options to reduce the previously reported £18.2m forecast overspend. However, it is clear 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. 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 2022/23, 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 was 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 inflation, energy price rises and the Local Government Pay Award. 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 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 There are no direct legal implications arising from recommendations within this report.

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	09/01/23
Strategic Director of Finance & Customer Services (S.151 Officer)	Judith Badger	05/01/23
Assistant Director, Legal Services (Monitoring Officer)	Phillip Horsfield	05/01/23

*Report Author: Rob Mahon, Assistant Director – Financial Services
01709 254518*

Rob.Mahon@rotherham.gov.uk

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

☒

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 Council's 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**.

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?**

The Homes for Ukraine Scheme relates to a specific minority community with specific needs.

- **Key findings**

The community and their circumstances present specific needs that the scheme is design to address.

- **Actions**

Paragraph 2.48 of the report provides that an officer decision will be taken by the Assistant Chief Executive, in consultation with the Leader of the Council, to set out how the fund has been used to date, to meet specific emergency requirements as well as setting out how the Council will provide ongoing wrap around support moving forwards. This will address the equalities issues as required.

Date to scope and plan your Equality Analysis:	This will be determined by the actions covered in paragraph 2.48.
Date to complete your Equality Analysis:	This will be determined by the actions covered in paragraph 2.48.
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	21/12/22

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	21/12/22
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	21/12/22

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?	<i>no impact on emissions</i>				
Emissions from transport?	<i>no impact on emissions</i>				
Emissions from waste, or the quantity of waste itself?	<i>no impact on emissions</i>				
Emissions from housing and domestic buildings?	<i>no impact on emissions</i>				
Emissions from construction and/or development?	<i>no impact on emissions</i>				
Carbon capture (e.g. through trees)?	<i>no impact</i>				
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 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: (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]	

Committee Name and Date of Committee Meeting

Cabinet – 23 January 2023

Report Title

Risk Management Policy

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)

Simon Dennis, Corporate Improvement and Risk Manager

Simon.dennis@rotherham.gov.uk

Tanya Lound, Corporate Improvement and Risk Officer

tanya.lound@rotherham.gov.uk

Ward(s) Affected

Borough-Wide

Report Summary

The Council introduced a completely revised Risk Policy and Guide in late 2015 which was approved by the Audit Committee on 24th November 2015. The Policy and Guide has been refreshed and received by the Audit Committee each year since then. It was last considered by the Audit Committee on 30th November 2021.

Cabinet is being asked to approve the Policy as the creation of the Policy is an Executive Function. The role of the Audit Committee is then to monitor the implementation of the Policy and provide their recommendations (if any) to Cabinet as a part of their role in providing assurance on the Governance of the Council as a whole. This report also requests that Cabinet approve that the Assistant Chief Executive can approve future updating of the Policy under delegated powers.

In previous years the Policy has been included in the Risk Management Guide, however, as the document should be formally approved by Cabinet, it has now been produced as a separate document. This has necessitated inclusion of additional information that has previously been included solely in the Risk Management Guide but does not change any operational practices. The detail of these additions is set out elsewhere in this report.

In the course of the coming year, work will continue to ensure the Council's approach to risk management is well embedded across the organisation and understood, by providing training, clear guidance, supporting Risk Champions and risk reporting at various levels.

Recommendations

That Cabinet:

1. Approve the Risk Management Policy (attached as appendix 1)
2. Delegate authority to the Assistant Chief Executive to approve changes to the Policy in future.

List of Appendices Included

Appendix 1 – Risk Management Policy

Appendix 2 – Equality Analysis

Appendix 3 – Carbon Impact Assessment.

Background Papers

Risk Management Policy and Risk Management Guide 2022

Report to the Audit Committee – 28th June 2022 - Risk Management Annual Summary 2021-2022

Report to the Audit Committee – 29th November 2022 – Risk Management Policy and Guide Refresh 2022

Consideration by any other Council Committee, Scrutiny or Advisory Panel

The Audit Committee approved the Risk Management Guide for 2022 at its meeting on 29th November 2022. The Committee also received and noted the Risk Management Policy as part of the same paper, noting that approval of the Policy was required by Cabinet.

Council Approval Required

No

Exempt from the Press and Public

No

Risk Management Policy

1. Background

- 1.1 This report seeks approval from Cabinet for the Council's Risk Management Policy.
- 1.2 The Council introduced a completely revised Risk Policy and Guide in late 2015, which was approved by the Audit Committee on 24th November 2015. The Policy and Guide has been refreshed annually since then and was last considered by the Audit Committee on 29th November 2022.
- 1.3 Cabinet is being asked to approve the Policy as its creation is an Executive Function. The role of the Audit Committee is then to monitor the implementation of the Policy and provide their recommendations (if any) to Cabinet as a part of their role in providing assurance on the Governance of the Council as a whole. Cabinet is also being asked to approve a delegation to the Assistant Chief Executive to enable that post to approve future annual refreshes of the Policy.
- 1.4 The Risk Management Annual Summary for 2021-22 was presented to the Audit Committee in June 2022, in accordance with the risk management standard ISO31000. The report summarised the principal risk management activity carried out in the Council throughout the financial year and provides further background to this Policy.
- 1.5 The Strategic Risk Register is presented to the Audit Committee twice a year. Directorate risk registers are presented to the Committee once a year as part of a rolling programme.

2. Key Issues

- 2.1 There have been no significant changes to the Council's overall management and governance arrangements since the Risk Management Policy and Guide was last updated and approved by the Audit Committee in November 2021. However, as set out above, the Risk Management Policy has been separated from the Guide for the first time. This separation has been necessitated due to the need to obtain approval from Cabinet for the Policy.
- 2.2 As a result of the Policy being a separate standalone document, the section on 'Roles and Responsibilities' at section 4 has been inserted for the first time. Therefore, whilst paragraphs 4.2 to 4.9 of the Policy are additions to the Policy itself, they simply repeat the content of Risk Management Guide.
- 2.3 The Council's Risk Management Objectives are to:
 - Ensure the Council successfully manages risks and opportunities corporately, operationally and within projects and partnerships
 - Ensure that risk management makes an effective contribution to Corporate Governance and a satisfactory Annual Governance Statement
 - Ensure that all parties understand their roles and responsibilities in the implementation of effective risk management

- Provide simple, intuitive processes to assist in the identification and prioritisation of risk and the appropriate allocation of resources
 - Incorporate the principles of effective risk management into all planning and management processes to achieve consistency of approach.
- 2.4 Work is continuing to implement the principles contained in the Policy and to further embed risk management processes across the Council's operations. This process includes review by the Audit Committee of the Corporate Strategic Risk Register and each Directorate's Risk Register annually.
- 2.5 The Risk Management Group, which includes the Council's Risk Champions, meets bi-monthly to co-ordinate and drive risk management development throughout the Council.
- 2.6 In addition to the work of the Risk Management Group, training is in place for staff at management levels in the Council. A programme of training is aimed primarily at middle managers (grades I and above) and training is currently delivered to more than 150 managers a year. Additionally, an online risk management training module has recently been developed and is set to be launched early in the new year.
- 2.7 In February 2022, an external risk consultant delivered bespoke in-house training and staff participating gained a qualification accredited by the Institute of Risk Management (IRM).
- 2.8 Members were also offered risk training as part of the Member Induction process in 2021.
- 2.9 The Risk Management Policy (and the associated Guide) underpins the Council's approach to risk management. The Policy and Guide are available to all staff through the intranet and all managers are referred to it when they complete their risk management training.
- 2.10 The refreshed Risk Management Policy is attached see Appendix 1.

3. Options considered and recommended proposal

- 3.1 This report only considers the refresh of the Risk Management Policy, so no specific options have been considered. However, Cabinet are also being requested to approve a delegation to the Assistant Chief Executive to enable that post to approve future annual refreshes of the Policy. Should Cabinet choose not to delegate this power, then the Policy will return to Cabinet each year when it is refreshed. For this reason, approval of the delegation is recommended.

4. Consultation on proposal

- 4.1 The Policy has been developed over a number of years, with input from the Council's Risk Champions network. Internal Audit have carried out annual audits of the Risk Management process and their recommendations have been

implemented and included in the Policy where relevant. This Policy has also been reviewed and noted by the Audit Committee.

5. Timetable and Accountability for Implementing this Decision

- 5.1 The Corporate Improvement and Risk Manager will be responsible for ensuring that the revised Risk Management Policy is made available on the Council's intranet once it has been approved and will also ensure it is communicated to staff.

6. Financial and Procurement Advice and Implications

- 6.1 There are no direct financial implications due to the recommendations in this report. The Risk Policy itself does not require additional financial resources and there are no procurement issues directly linked to this report. The risks contained in the Council's risk registers require ongoing management action. In some cases, additional resources may be necessary to implement the relevant actions or mitigate risks. Any additional costs associated with the risks are reported through the relevant governance processes in line with the scheme of delegation and the Council's Financial and Procurement Procedure Rules.

7. Legal Advice and Implications

- 7.1 The Council has a statutory duty to provide "Best Value" under the Section 3 of the Local Government Act 1999. This provides that the Council is required to *"make arrangements to secure continuous improvement in the way in which its functions are exercised having regard to a combination of economy, efficiency and effectiveness"*. Effective governance, which this Policy is a part of ensuring, is key to meeting this duty.

8. Human Resources Advice and Implications

- 8.1 There are no direct Human Resources (HR) implications as a result of this Policy. HR are involved in supporting the delivery of training to ensure this Policy is effective and the responsibilities set out in it are delivered.

9. Implications for Children and Young People and Vulnerable Adults

- 9.1 The Council's Risk Management arrangements are designed to identify Children and Young People's Services risks where appropriate.

10. Equalities and Human Rights Advice and Implications

- 10.1 The Council is compliant with statutory requirements covering equality objectives through the Equality Diversity and Inclusion Strategy (EDI) and its action plan. Equalities are considered as part of the decision-making process. This involves two stages of equality screening and full assessment, completed as appropriate, to ensure that consideration of equalities is proportionate and robust. Screenings and assessments are appended to reports presented for decision. This process provides that the Council's policies to advance EDI set

out in the strategy are met and mitigates the risk of challenge in relation to statutory duties.

- 10.2 An Equality Screening has been completed and is attached (see Appendix 2).

11. Implications for CO2 Emissions and Climate Change

- 11.1 The proposed refresh and adoption of the Risk Management Policy will support the Council's aim to achieve net zero, by improving the organisation's risk management process and thereby allowing climate risks to be identified and managed.
- 11.2 The recommendation to adopt this Policy will have no direct significant impact on emissions. It will however improve risk management processes within the Council and may contribute to identifying climate change-related risks which indirectly contribute to the reduction of emissions.
- 11.3 A Carbon Impact Assessment has been produced (see Appendix 3).

12. Implications for Partners

- 12.1 There are no direct implications for partners. The Council will seek to, where appropriate, promote a risk management culture with partners and stakeholders and work alongside them to address risks relevant to the whole Borough.

13. Risks and Mitigation

- 13.1 The Corporate Strategic Risk Register identifies the key risks facing the Council, realigned to the Council Plan themes. This Policy, and the associated Risk Management Guide, underpins and sets out the process of updating and identifying strategic risks and is in place to manage risks in the Council.
- 13.2 Annual reports on Corporate Strategic Risks will continue to be presented to the Audit Committee and Directorates are responsible for ensuring that any significant risks are addressed via directorate and corporate risk registers.

14. Accountable Officers

Simon Dennis, Corporate Improvement and Risk Manager
Assistant Chief Executive's Directorate
Simon.dennis@rotherham.gov.uk

Approvals obtained on behalf of Statutory Officers:

	Named Officer	Date
Chief Executive	Sharon Kemp	09/01/23
Strategic Director, Finance & Customer Services (S.151 Officer)	Judith Badger	03/01/23
Assistant Director, Legal Services (Monitoring Officer)	Phil Horsfield	03/01/23

Report Author:

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

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Risk Management Policy

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1. Introduction

- 1.1 Risk management is about managing threats and opportunities. By managing the Council's risks effectively, we will be in a stronger position to deliver the Council's objectives.
- 1.2 This policy commits to the application of risk management within the Council's planning and business processes and its organisation culture. It should be read in conjunction with the Risk Management Guide, which shows in practice how effective risk management will be achieved.
- 1.3 This Risk Management Policy and Guide together form a key part of the Council's Corporate Governance Assurance Framework. The Council developed a Council Plan for 2022/2025 and the Cabinet continues to work to ensure Council decisions reflect the concerns of local people and the needs of local communities. This policy supports the Council Plan, is closely linked to the Performance Management Framework and is important in supporting the delivery of effective performance and outcomes in the Council and for our citizens.

2. Approach to Managing Risks

- 2.1 Risk management is an integral part of good governance. Managing our risks effectively contributes to the delivery of the strategic and operational objectives of the authority. To do this:
 - We will incorporate the principles of effective risk management into existing planning and management processes, including major projects and partnerships, to achieve a degree of formality and consistency.
 - Risk management will be linked to and will inform decision making across the Council.
 - We will provide appropriate training and guidance for Council Members and staff so they can carry out their roles relating to risk management
 - We will promote a risk management culture throughout the organisation and with our partners.
 - The Council's Audit Committee will hold the organisation and its Members and managers to account for their management of risks by:
 - Monitoring the effective development and operation of risk management in the Authority.
 - Monitoring progress in addressing risk related issues reported to the Committee.
 - Considering the Council's framework of assurance and ensuring that it adequately addresses the risks and priorities of the Council.

3. Risk Appetite

- 3.1 Risk appetite is the degree to which the Council is willing to accept risk in the pursuit of its objectives. For the Council to achieve its objectives, some amount of risk

taking is inevitable. The awareness of risk and the appropriate management of it can lead to the realisation of opportunities and, in this respect, risk is not a negative concept.

- 32 Decisions will depend on the nature of the risk, the potential losses or gains, and the quality of information about the risk in question. The Council may choose to accept risks that cannot be mitigated or reduced, but it should always be able to justify its decisions based on the risk information available. The Risk Management Guide includes more detail on the Council's definition of risk appetite which is key to determining which risks should be accepted and which should be mitigated or reduced.

4. Roles and Responsibilities

- 4.1 Clear roles of responsibility have been established for the successful implementation of the Council's Risk Management Policy. These roles are outlined in the Risk Management Guide and are set out below:

- 4.2 The Cabinet will:

- Have overall responsibility for ensuring the Council has in place effective risk management arrangements and setting policy.
- Lead in promoting a risk management culture within the Council and, where appropriate, with partners and stakeholders.

- 4.3 The Audit Committee will:

- Approve the Council's Risk Management Guide.
- Approve an annual statement on the effectiveness of the Council's risk controls as part of the Annual Governance Statement.
- Monitor the effective development and operation of risk management in the authority.
- Monitor progress in addressing risk related issues reported to the committee.
- Consider the Council's framework of assurance and ensuring that it adequately addresses the risks and priorities of the Council.

- 4.4 All Council members will:

- Consider and challenge risk management implications as part of their roles and areas of responsibility.

- 4.5 Strategic Directors and the Strategic Leadership Team should:

- Champion risk management arrangements and issue direction.
- Lead and manage the identification of significant strategic risks and quarterly review of the Strategic Risk register.
- Ensure that there is a robust framework in place to identify, monitor and manage the Council's strategic risks and opportunities.
- Ensure that measures to mitigate these risks are identified, managed and completed within agreed time- scales, ensuring that they bring about a

successful outcome.

- Promote a risk management culture within the Council and, where appropriate, with partners and stakeholders.
- Ensure risk is considered as an integral part of service planning; performance management; financial planning; and the strategic policy-making process.
- Consider risk management implications in reports, business cases and major projects, including completion of risk assessments where required.
- Ensure that appropriate advice and training is available for all Members and staff.
- Ensure that resources needed to deliver effective risk management are in place.

4.6 Assistant Directors and Directorate Leadership Teams should:

- Lead and manage the identification of significant operational risks from all service areas through monthly review of Directorate Risk Registers.
- Ensure that the measures to mitigate these risks are identified, managed and completed within agreed timescales, ensuring that they bring about a successful outcome.
- Escalate risks/issues to the relevant Strategic Directors, where appropriate.
- Consider risk management implications in reports, business cases and major projects, including completion of risk assessments where required.
- Lead in promoting a risk management culture within the directorate and embed within service areas.
- Ensure compliance with corporate risk management standards and corporate risk management processes.
- Ensure that all employees, volunteers, contractors and partners are made aware of their responsibilities for risk management and are aware of the lines of escalation of risk related issues needed to deliver effective risk management are in place.

4.7 The Corporate Improvement and Risk Manager should:

- Provide facilitation and support to promote and embedded a proactive risk management culture throughout the Council, including clear guidance and processes and annual training programme.
- Assist SLT and Assistant Directors in identifying, mitigating and controlling risks.
- Maintain the Strategic Risk Register.
- Ensure that risk management records and procedures are properly maintained, decisions are recorded and an audit trail exists.
- Review external and internal audit recommendations relating to risk

management to ensure these dealt with by Services.

4.8 Risk Champions should:

- Raise awareness and promote the development of risk management.
- Support the development and monitoring of directorate risk register and any others within the directorate.
- Provide updates in line with the reporting timetable.
- Support the Corporate Risk Manager in the development of risk management across the Council.
- Promote consistency across directorates.

4.9 All Council employees should:

- Have an understanding of risk and role in managing risks in daily activities, including the identification and reporting of risks and opportunities.
- Support and undertake risk management activities as required.
- Attend relevant training courses focussing on risk and risk management.

5. Monitoring, Reviewing & Reporting Risks

- 5.1 Strategic risks are monitored at corporate level and operational risks are monitored and reviewed at directorate level through the strategic and directorate risk registers. Risks may be promoted and demoted as part of the review processes, enabling the Council to effectively react to changes in priorities and/or risks.

6. Review

- 6.1. The Risk Management Policy and Guide will be reviewed each financial year to incorporate lessons learned, to accurately reflect the Council's position and to continually improve its risk management arrangements.

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: Risk Management Policy

Directorate: Assistant Chief Executive

Service area: Policy, Performance and Intelligence

**Lead person: Simon Dennis
(Corporate Improvement and Risk Manager)**

Contact: Simon Dennis (Corporate Improvement and Risk Manager)

Is this a:

☒

Strategy / Policy

☐

Service / Function

☐

Other

If other, please specify

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

This is the annual refresh of the Council's Risk Management Policy. The Policy includes the Council's Risk Management Objectives which are to:

- Ensure the Council successfully manages risks and opportunities corporately, operationally and within projects and partnerships
- Ensure that risk management makes an effective contribution to Corporate Governance and a satisfactory Annual Governance Statement
- Ensure that all parties understand their roles and responsibilities in the implementation of effective risk management

- Provide simple, intuitive processes to assist in the identification and prioritisation of risk and the appropriate allocation of resources
- Incorporate the principles of effective risk management into all planning and management processes to achieve consistency of approach.

The Policy also sets out the roles and responsibilities connected to Risk Management in the Council.

3. Relevance to equality and diversity

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

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

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

Questions	Yes	No
Could the proposal have implications regarding the accessibility of services to the whole or wider community? <i>(Be mindful that this is not just about numbers. A potential to affect a small number of people in a significant way is as important)</i>		✓
Could the proposal affect service users? <i>(Be mindful that this is not just about numbers. A potential to affect a small number of people in a significant way is as important)</i>		✓
Has there been or is there likely to be an impact on an individual or group with protected characteristics? <i>(Consider potential discrimination, harassment or victimisation of individuals with protected characteristics)</i>		✓
Have there been or likely to be any public concerns regarding the proposal? <i>(It is important that the Council is transparent and consultation is carried out with members of the public to help mitigate future challenge)</i>		✓
Could the proposal affect how the Council's services, commissioning or procurement activities are organised, provided, located and by whom? <i>(If the answer is yes you may wish to seek advice from commissioning or procurement)</i>		✓
Could the proposal affect the Council's workforce or employment practices? <i>(If the answer is yes you may wish to seek advice from your HR business partner)</i>		✓
If you have answered no to all the questions above, please explain the reason		
The Risk Management Policy applies to all Council activity. However, as it is essentially a		

document that deals solely with risk management, it does not directly address any issues relating to equality.

Each individual decision that is guided by the Risk Management Policy would be expected to have its own screening assessment irrespective of impact of this Policy.

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?**

- **Key findings**

- **Actions**

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
Fiona Boden	Head of Policy Performance and Intelligence	

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	13 th December 2022
Report title and date	Risk Management Policy 23 rd January 2023
If relates to a Cabinet, key delegated officer decision, Council, other committee or a significant operational decision – report date and date sent for publication	Report date 23 rd January 2023
Date screening sent to Performance, Intelligence and Improvement equality@rotherham.gov.uk	

Appendix 3 - Carbon Impact Assessment – Risk Management Policy

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

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	N/A	N/A	N/A	N/A
Emissions from transport?	No	N/A	N/A	N/A	N/A
Emissions from waste, or the quantity of waste itself?	No	N/A	N/A	N/A	N/A
Emissions from housing and domestic buildings?	No	N/A	N/A	N/A	N/A
Emissions from construction and/or development?	No	N/A	N/A	N/A	N/A
Carbon capture (e.g. through trees)?	No	N/A	N/A	N/A	N/A

Identify any emission impacts associated with this decision that have not been covered by the above fields:

This Risk Management Policy does not directly impact on the Council's Carbon emissions. However, relevant risks around climate change and carbon emissions are included in the Council's risk registers and managed appropriately in line with this Policy.

Please provide a summary of all impacts and mitigation/monitoring measures:

N/A (see above)

Supporting information:

Completed by: (Name, title, and service area/directorate).	Simon Dennis, PPI, ACX
Please outline any research, data, or information used to complete this [form].	Climate Emergency Progress Summary and 2021/22 Action Plan Third Council Plan 2022-2025 and Year Ahead Delivery Plan Progress report
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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Public Report with Exempt Appendices
Cabinet

Committee Name and Date of Committee Meeting

Cabinet – 23 January 2023

Report Title

Housing Development Programme Report – 2023/24

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)

David Bagnall, Housing Development Manager

Ward(s) Affected

Various, please see Appendices 3 and 5

Report Summary

This report sets out proposals to support the delivery of more new council homes by March 2026, through a combination of development on Council owned land and the acquisition of homes from the private sector.

Appendix 3 provides a list of sites proposed for development, including at Appendix 4, several sites held within the Council's General Fund. Exempt Appendix 5 provides a list of potential strategic acquisition opportunities.

It is proposed that Housing Development Programme update reports are presented to Cabinet on a six-monthly basis.

Recommendations

1. That Cabinet approves the Council-owned sites listed in Appendix 3 being brought forward to deliver new Council homes.
2. That Cabinet approves the appropriation of specified General Fund sites to the Housing Revenue Account. Further detail about the sites proposed for appropriation is provided in Appendix 4.
3. That Cabinet approves the purchase of homes from any of the schemes identified in Exempt Appendix 5.

4. That Cabinet delegates authority to the Council's Property Officer (Assistant Director for Planning, Regeneration and Transport) to purchase additional homes from private developers or the open market to add to the Council's housing stock, with the agreement of the Assistant Director for Housing, Cabinet Member for Housing and Section 151 Officer.
5. That Cabinet agrees to receive an update on the housing development programme every six months.

List of Appendices Included

- Appendix 1 Delivery timeline – Jan 2018 to present
- Appendix 2 Photographic summary of delivery
- Appendix 3 Council-owned sites proposed for residential development
- Appendix 4 General Fund sites for early appropriation
- Appendix 5 EXEMPT Potential strategic acquisitions
- Appendix 6 Initial Equality Screening (Part A)
- Appendix 7 Equality Analysis (Part B)
- Appendix 8 Carbon Impact Assessment

Background Papers

Housing Strategy - Rotherham Metropolitan Borough Council

Consideration by any other Council Committee, Scrutiny or Advisory Panel

Improving Places Select Committee (via the Housing Strategy)

Council Approval Required

No

Exempt from the Press and Public

Yes – Appendix 5

An exemption is sought for Appendix 5 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.

Housing Development Programme Report – 2023/24

1. Background

- 1.1 There is a pressing need for more affordable homes across the borough and as the cost-of-living crisis continues to affect communities, more people than ever will turn to the Council for financial support, advice, and housing. Without creating more affordable housing options, household finances will continue to be squeezed and more people will fall into hardship, creating much wider implications for the health and wellbeing of local people and communities.
- 1.2 This need is clearly reflected in the fact that there were over 6,606 individuals and households on the Council's Housing Register as of 1 April 2022. The Council's ability to meet this housing demand is diminishing annually because of the Right to Buy which has seen 793 Council homes sold between January 2018 and November 2022.
- 1.3 In response to this continuing affordable housing need, the Council set a target to deliver hundreds of new Council homes between January 2018 and March 2026.
- 1.4 From January 2018 to November 2022, the Council has successfully completed 439 new, affordable homes; 314 homes for rent and 125 homes for shared ownership:

- 354 of these homes have been delivered through Council-led construction.
- 16 homes have resulted from conversion of existing Council assets into new homes, and
- 69 are from the strategic acquisition of homes from private developers and the open market.

The Council has also built 91 new homes for market sale, whilst a further 34 homes for sale are nearing completion through the Council's Town Centre housing developments. A photographic summary of delivery achieved during this period is provided in Appendix 2.

- 1.5 Since the last Housing Development Report was presented to Cabinet on 11th July 2022 through to the end of November 2022, the Council has:
 - Commenced pre-development appraisal and preparatory work to deliver an estimated eight new bungalows at Carver Close in Harthill, in readiness for procurement activity to begin – currently anticipated Spring 2023
 - Instigated procurement activity in relation to Warden Street, Canklow to deliver an estimated 25 new homes alongside a new Adult Day Care Centre – further information is set out in Appendix 4
 - Taken handover of a further 52 of the 171 new homes to be delivered from the Council's Town Centre 'Trilogy Collection' scheme.

- Obtained planning permission for the Council to deliver 10 new homes across four sites in East Herringthorpe.
- Exchanged contracts and taken receipt of the first three homes from the Beaumont Grange development in Treeton.
- Exchanged contracts and taken receipt of the first 12 homes from the Laughton Gate development in Throapham.
- Exchanged contracts and taken receipt of all five new homes from the Clarence Street development in Dinnington.
- Exchanged contracts and taken receipt of all 11 new bungalows from the Fairfields development in Aston.
- Exchanged contracts for 10 new homes from the Millstone Park development in Swallownest.

1.6 As at the end of November 2022, the Council is in contract to deliver a further 72 homes for rent and 19 for shared ownership. This means a cumulative total of 530 homes already completed or contracted for completion by March 2026.

1.7 In addition to these new homes, a pipeline of further new Council homes has been established and modelled for affordability within the Housing Revenue Account (HRA) Business Plan. These are set out in Appendix 3, Appendix 4 and Exempt Appendix 5 respectively, and summarised below:

Council Build/Conversions	Rent	Shared Ownership	Total
Completed homes	253	117	370
Homes in contract	31	0	31
Pipeline	304	0	304
Totals	588	117	705

Strategic Acquisitions	Rent	Shared Ownership	Total
Completed homes	61	8	69
Homes in contract	47	23	70
Pipeline	129	6	135
Totals	237	37	274

Combined	Rent	Shared Ownership	Total
Completed homes	314	125	439
Homes in contract	72*	19*	91
Pipeline	433	6	439
Totals	819	150	969

*There are 10 further homes currently in contract which are due for delivery after March 2026 and are therefore excluded from these figures.

1.8 Delivering this further programme of new homes in current market conditions by March 2026 will be challenging. This report seeks the necessary approvals to enable delivery to progress with pace and agility.

A fundamental to delivery is the inclusion of larger Council land assets held within the General Fund and the ability to react to other opportunities for new Council homes delivery as they arise. Further Council land assets will also be identified for consideration in future reports.

- 1.9 To enhance the range of potential opportunities available to the Council and following encouraging soft-market testing in Autumn 2022, the Council will be launching its SME (Small and Medium Enterprise) Housebuilder Initiative in early 2023. This initiative is intended to stimulate engagement with local and regional SME house builders by:

- Providing a fast-track route to enter contracts with local SMEs in the forward purchase of newly built homes.
- Enable the purchase to be in staged payments, aiding SME cashflow.
- Support SME house building through helping to de-risk small residential schemes.
- Promoting effective and streamlined officer working across housing, financial, legal and procurement to achieve a quick turnaround.

The initiative has the potential to not only deliver additional new Council homes, but also support local businesses and communities through related supply chains, employment, and training opportunities.

2. Key Issues

- 2.1 To have the best chance of delivering the further programme of new homes, the Council requires a significant degree of control over delivery. This is best achieved by direct Council-led construction and a strategic pipeline of sites has been established which incorporates both small HRA sites and larger General Fund sites. Sites proposed for development are set out in Appendix 3. Inclusion of the General Fund sites is intended to accelerate the pace of delivery and improve efficiency due to better economies of scale. Other key advantages of direct build include:

- Control over type and specification to meet local housing requirements.
- Additionality – contributing to Rotherham's overall housing requirements.
- Creation of jobs and social value.

- 2.2 For the Council to build on General Fund sites utilising HRA funds it is first necessary to transfer the land from the General Fund to the HRA through the process of appropriation. General Fund sites are proposed for appropriation once a reasonable degree of confidence exists in their suitability for development. Appendix 4 sets out the sites proposed for early appropriation.

- 2.3 Strategic acquisitions, particularly 'Section 106' discounted homes which result from affordable housing planning policy provisions, provide a cost-efficient means to increase the Council's housing stock, particularly as the staff resource requirement and risks tend to be lower than with Council-led development. As the homes are market-led, there is a need to act quickly and efficiently to secure acquisitions.

The forward programme forecasts over 100 new Council homes to be potentially delivered through this route, with the potential to purchase more should suitable opportunities arise. As opportunity acquisitions, these cannot be explicitly predicted, but provision has been made within the HRA Business Plan and Capital Programme to support the purchase of such homes

Delegated authority is sought to facilitate acquisition as and when they arise. Opportunities are expected to be presented through:

- The Council's Small Housebuilder Initiative, to be formally launched early 2023.
- The potential buy-back of former Council homes previously sold through the Right to Buy.
- Acquisition of long-term empty homes, enabling them to be brought back into use.
- Additional homes offered to, or negotiated by, the Council over and above the expected 'Section 106' provision determined by Planning.
- Ad-hoc open market acquisitions which meet strategic housing need.

Proposed acquisitions are set out in Exempt Appendix 5.

- 2.4 The delivery programme will continue to evolve as the opportunities within the new homes pipeline are further progressed. A report will be brought to Cabinet every six months to provide an update on progress, and to renew and seek new approvals to support ongoing delivery as necessary.

3. Options considered and recommended proposal

3.1 Option 1: Only develop HRA sites, in addition to acquisitions

The inclusion of General Fund sites is required to support delivery of the additional homes needed. Whilst there are HRA sites available, these are predominantly small sites which may deliver as little as a single home, meaning they are inefficient to deliver in respect of development resources and associated cost, comparative to the number of new homes achieved.

This option is not recommended.

3.2 Option 2: Develop all sites listed in this report, including General Fund sites and pursue acquisitions, including opportunity acquisitions.

The inclusion of General Fund sites brings improved efficiencies of scale and increased delivery of new homes. Opportunity acquisitions will also be important to help supplement delivery, should any elements of the programme become challenging to progress.

This option is recommended.

4. Consultation on proposal

- 4.1 Residents will be consulted via the Planning process along with all statutory consultees. The Strategic Housing and Development Service will further continue to work with the Neighbourhoods Service to assist with disseminating information about development in localities, identifying alignment with Ward priorities. Information about housing development has and will continue to be disseminated through the Council tenants' quarterly magazine, 'Home Matters.'
- 4.2 An all-Member seminar was held on 28 September 2022 and elected Members will be directly consulted about the potential for new housing development on sites within their respective Wards. Furthermore, as individual schemes are progressed into design, Ward Members will be consulted through the neighbourhood working model at an early stage ahead of planning permission being sought.
- 4.3 Ongoing engagement is undertaken with developers, housing associations, and external funders through a range of communication channels, including the Strategic Housing Forum.
- 4.4 The Strategic Housing and Development Service will use all stakeholder feedback to shape the future programme 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 before the end of 2022/23 and further reports will be presented to Cabinet on a six-monthly cycle through to March 2026 to keep Cabinet apprised of progress, refresh existing approvals and to seek new approvals as required.

6. Financial and Procurement Advice and Implications

- 6.1 The release of sites identified in Appendix 3, Appendix 4 and the programme of strategic acquisition opportunities listed in Exempt Appendix 5 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 The appropriation of General Fund sites into the HRA for housing development will increase the HRA Capital Financing Requirement (CFR) by the value of the land being appropriated. The General Fund CFR will be reduced by the same value. The cost of capital charged to the HRA will be increased on a permanent basis.
- 6.4 Housing Growth has been modelled in the HRA business plan for affordability. The model assumes that all capital receipts from sales of private and shared ownership properties are used to fund the housing growth programme. Therefore, capital receipts generated from sales of private and shared ownership properties will be used for this purpose in accordance with corporate financing arrangements.
- 6.5 The HRA business plan model assumes that a significant amount of grant funding will be available to support the delivery programme. Affordability of individual schemes will be assessed if grant funding is not secured.
- 6.6 The HRA Business Plan model further assumes that social housing properties supported by grant funding will be let on Affordable Rent values, rather than Social Rent. However, this will be determined on a scheme-by-scheme basis, once full costs are known and with a preference for Social Rent to be applied, subject to an assessment of the financial viability of the proposed development, prior to grant funding bids being submitted. Any schemes that are not grant funded will use Right to Buy 'one-for-one' monies and are assumed to be let on a Formula Rent basis. Affordable Rent is higher than Formula Rent, so any deviation from this will impact on affordability within the HRA business plan.
- 6.7 Due to the significant amount of work required, an Employers Agent has been procured to expediate the Council build programmes. The cost of this has been included in the capital build cost within the HRA business plan model. Appropriate revenue budgets have been set in place for marketing purposes.
- 6.8 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 will deliver 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 will further deliver bungalows and more specialised 'disabled person units' (DPU) 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 265,800 residents, around 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 Council Build: 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 in the longer-term.
- 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 came into force in June 2022, requiring a 31% reduction in CO2 emissions compared to 2013 standards. All new homes that submit plans after June 2022 or which 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
- 11.4 Both Council-build and acquisitions will ultimately increase emissions. Whilst mitigations are in place, with an explicit aim to exceed Building Regulations Part L requirements where feasible, the overall net carbon emissions status of Rotherham's social housing stock will increase in the short term. Homes brought forward with electrically sourced heating and hot water provision, however, should become effective carbon neutral once the electricity grid itself achieves zero-carbon. In addition to delivering new homes, the Council continues to improve and sustain its existing homes, including investment to maintain the Decent Homes Standard and improve energy and thermal efficiency.

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.	Scheme procurement is likely to take place via a two-stage 'design and build' process which will allow sites to be appraised and suitable designs to be determined in advance of the Council entering into build contracts. This will help ensure that particularly problematic sites are dealt with and potentially removed from the programme before the Council is contractually committed to build. 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

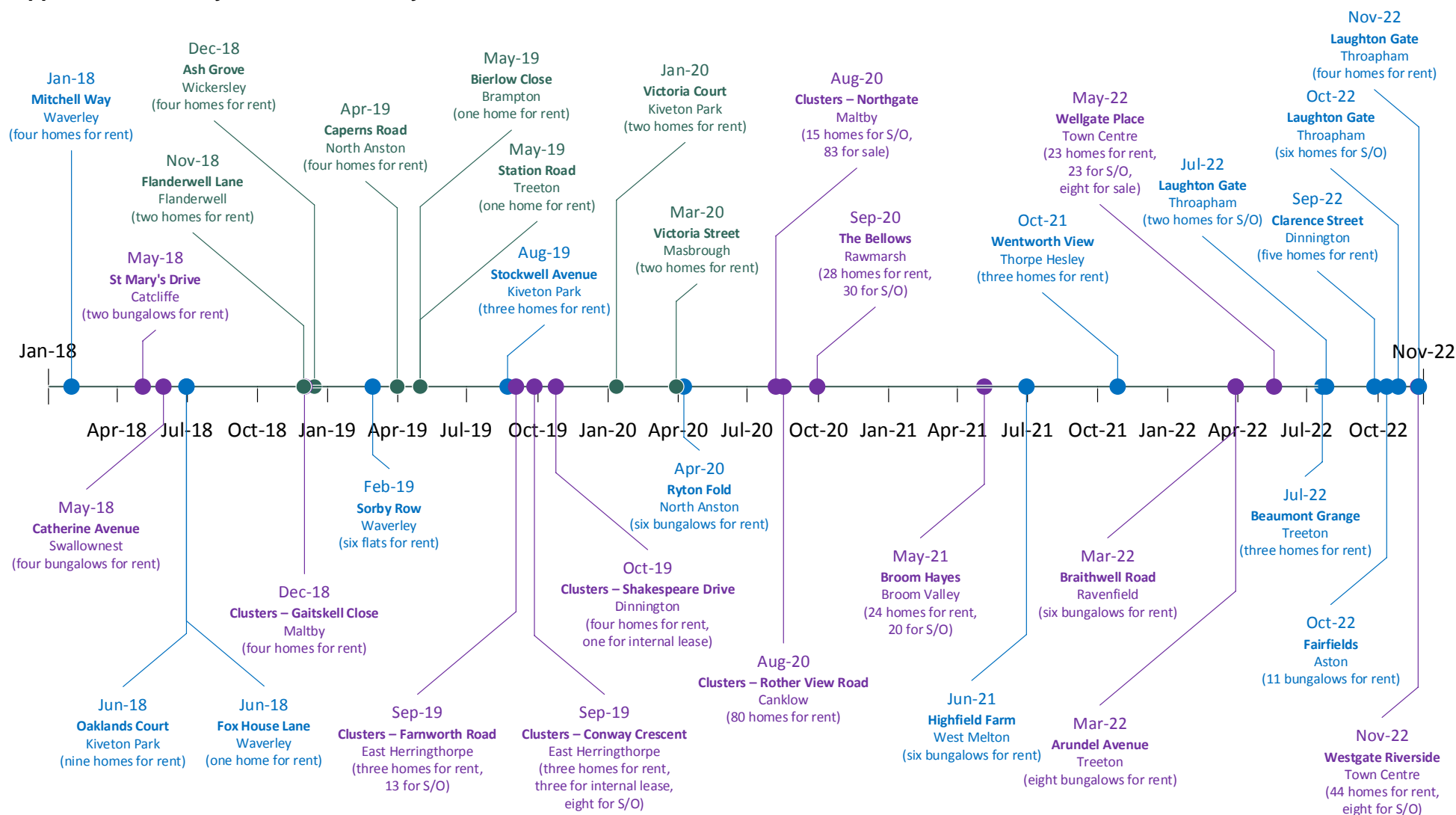
Paul Walsh, Acting Assistant Director of Housing
David Bagnall, Housing Development Manager

Approvals obtained on behalf of Statutory Officers: -

	Named Officer	Date
Chief Executive	Sharon Kemp	09/01/23
Strategic Director of Finance & Customer Services (S.151 Officer)	Judith Badger	09/01/23
Assistant Director, Legal Services (Monitoring Officer)	Phil Horsfield	06/01/23

Report Author: **Error! Reference source not found.**
This report is published on the Council's [website](#).

Appendix 1: Delivery timeline – January 2018 to November 2022



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Appendix 2: Photographic summary of delivery – January 2018 to November 2022

January 2018: Mitchell Way, Waverley (strategic acquisition):

- four homes for Council rent



May 2018: St Marys Drive, Catcliffe (Council build):

- two bungalows for Council rent



May 2018: Catherine Avenue, Swallownest (Council build):

- four bungalows for Council rent



June 2018: Oaklands Court, Kiveton Park (strategic acquisition):

- nine homes for Council rent



August 2019: Stockwell Avenue, Kiveton Park (strategic acquisition):

- three bungalows for Council rent



September 2019: Clusters – Conway Crescent and Farnworth Road (Council build):

- nine homes for Council rent (three leased internally)
- 21 homes for Council shared ownership





October 2019: Clusters – Shakespeare Drive, Dinnington (Council build):

- five homes for Council rent (one leased internally)



April 2020: Ryton Fold, (Penny Piece Lane) North Anston (strategic acquisition):

- six bungalows for Council rent



August 2020: Clusters – Northgate, Maltby (Council build):

- 83 homes for open market sale
- 15 apartments for older people's Council shared ownership





August 2020: Clusters – Rother View Road, Canklow (Council build):

- 80 homes for Council rent



September 2020: The Bellows, Rawmarsh (Council build):

- 28 homes for Council rent
- 30 homes for Council shared ownership





May 2021: Broom Hayes, Broom Valley (Council build):

- 24 homes for Council rent
- 20 homes for Council shared ownership



June 2021: Highfield Farm, West Melton (strategic acquisition):

- six bungalows for Council rent



October 2021: Wentworth View, Thorpe Hesley (strategic acquisition):

- three homes for Council rent (first of 22 homes to be acquired in total)



March 2022: Braithwell Road, Ravenfield (Council build):

- six bungalows for Council rent



March 2022: Arundel Avenue, Treeton (Council build):

- eight bungalows for Council rent



May 2022: Wellgate Place, Town Centre (Council build):

- 23 homes for Council rent
- 23 homes for Council shared ownership
- 8 homes for open market sale



July 2022: Beaumont Grange, Treeton (strategic acquisition):

- three homes for Council rent (first of 14 homes to be acquired in total)



July 2022: Laughton Gate, Throapham (strategic acquisition):

- two homes for Council rent (first of 42 homes to be acquired in total)



September 2022: Clarence Street, Dinnington (strategic acquisition):

- five homes for Council rent



October 2022: Fairfield's, Aston (strategic acquisition):

- 11 bungalows for Council rent



November 2022: Westgate Riverside, Town Centre (Council build):

- 44 homes for Council rent
- eight for Council shared ownership



Appendix 3: 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 capital business case. This content will be regularly refreshed to ensure that the latest position is presented to Cabinet in subsequent reports.

Homes completed (as at November 2022)							
The following homes have been completed and brought into the Council's housing stock since January 2018. This list is in order of completion.							
Scheme	Location	Cabinet Approval	Completion	Council Rent	Council S/O	Other	Total
St Mary's Drive	Catcliffe	Jul 2017	May 2018	2	0	0	2
Catherine Avenue	Swallownest	Jul 2017	May 2018	4	0	0	4
Stock Conversion: Flanderwell Lane	Flanderwell	Feb 2015	Nov 2018	2	0	0	2
Stock Conversion: Ash Grove	Wickersley	Feb 2015	Dec 2018	4	0	0	4
Clusters: Gaitskell Close	Maltby	Sep 2016	Dec 2018	4	0	0	4
Stock Conversion: Caperns Road	North Anston	Feb 2015	Apr 2019	4	0	0	4
Stock Conversion: Bierlow Close	Brampton	Feb 2015	May 2019	1	0	0	1
Stock Conversion: Station Road	Treeton	Feb 2015	May 2019	1	0	0	1
Clusters: Farnworth Road	East Herringthorpe	Sep 2016	Sep 2019	3	13	0	16
Clusters: Conway Crescent	East Herringthorpe	Sep 2016	Sep 2019	6	8	0	14
Clusters: Shakespeare Drive	Dinnington	Sep 2016	Oct 2019	5	0	0	5
Stock Conversion: Victoria Court	Kiveton Park	Feb 2015	Jan 2020	2	0	0	2
Stock Conversion: Victoria Street	Masbrough	Feb 2015	Mar 2020	2	0	0	2
Clusters: Rother View Road	Canklow	Sep 2016	Aug 2020	80	0	0	80
Clusters: Northgate	Maltby	Sep 2016	Aug 2020	0	15	83	98
The Bellows	Rawmarsh	Dec 2017	Sep 2020	28	30	0	58
Broom Hayes	Broom Valley	Dec 2017	May 2021	24	20	0	44
SOAHP Bungalows: Arundel Avenue	Treeton	Dec 2017	Mar 2022	8	0	0	8
SOAHP Bungalows: Braithwell Road	Ravenfield	Dec 2017	Mar 2022	6	0	0	6
Town Centre Sites: Wellgate Place	Town Centre	Oct 2017	May 2022	23	23	8	54
Town Centre Sites: Westgate Riverside	Town Centre	Oct 2017	In progress	44	8	0	52
Totals				253	117	91	461

Homes in contract

The following schemes are in contract, but the homes haven't yet been completed. This list is ordered by location.

Scheme	Location	Cabinet Approval	Est. Completion	Council Rent	Council S/O	Other	Total
Town Centre Sites: Millfold Rise	Town Centre	Oct 2017	Mar 2023	31	0	14	45
Town Centre Sites: Westgate Riverside	Town Centre	Oct 2017	Jan 2023	0	0	20	20
Totals				31	0	34	65

Pipeline: Schemes in pre-contract design

The following sites have previously been presented to Cabinet and are actively in design, but no construction contract is yet in place. This list is ordered by location.

Scheme	Location	Cabinet Approval	Est. Start	Est. Completion	Council Rent	Council S/O	Other	Total
East Herringthorpe Small Sites	East Herringthorpe	Sep 2020	Mar 2023	Mar 2024	10	0	0	10
Thrybergh Zero-Carbon Prototype	Thrybergh	Sep 2020	Mar 2023	Mar 2024	3	0	0	3
Totals					13	0	0	13

Pipeline: Council sites modelled in the latest HRA Business Plan

Cabinet approval is sought to bring forward the following sites to build new Council homes. Some sites have previously been presented to Cabinet, but detailed design work has not yet commenced, and continued Cabinet approvals are sought accordingly. Estimated new homes are based on the latest figures included within the Business Plan but remain subject to change, and not all sites may ultimately prove developable. This list is ordered by ward.

Scheme	Area	Ward	Internal Status	Council Rent	Council S/O	Other	Total
Mill Lane	South Anston	Anston & Woodsetts	HRA	3	0	0	3
Occupation Road	Broom Valley	Boston Castle	HRA	6	0	0	6
Warden Street	Canklow	Boston Castle	General Fund	25	0	0	25
Wadsworth Road	Bramley	Bramley & Ravenfield	HRA	3	0	0	3
Addison Road	Maltby	Hellaby & Maltby West	General Fund	30	0	0	30
Elm Tree Road	Maltby	Hellaby & Maltby West	HRA	2	0	0	2
Larch Road	Maltby	Hellaby & Maltby West	General Fund	20	0	0	20
Princess Street (site A)	West Melton	Hoober	HRA	6	0	0	6
Far Lane	East Dene	Rotherham East	HRA	6	0	0	6
Netherfield Court	Eastwood	Rotherham East	HRA (appropriated)	20	0	0	20
York Road	Eastwood	Rotherham East	HRA (appropriated)	16	0	0	16
Ship Inn	Swinton	Swinton Rockingham	General Fund	5	0	0	5
Cedric Crescent (2 sites)	Thurcroft	Thurcroft & Wickersley South	HRA	5	0	0	5

Pipeline: Council sites modelled in the latest HRA Business Plan

Cabinet approval is sought to bring forward the following sites to build new Council homes. Some sites have previously been presented to Cabinet, but detailed design work has not yet commenced, and continued Cabinet approvals are sought accordingly. Estimated new homes are based on the latest figures included within the Business Plan but remain subject to change, and not all sites may ultimately prove developable. This list is ordered by ward.

Scheme	Area	Ward	Internal Status	Council Rent	Council S/O	Other	Total
St Edmunds Avenue	Thurcroft	Thurcroft & Wickersley South	HRA	3	0	0	3
Carver Close	Harthill	Wales	HRA	8	0	0	8
Littlemoor Avenue (2 sites)	Kiveton Park	Wales	HRA	4	0	0	4
Sycamore Avenue	Kiveton Park	Wales	HRA	1	0	0	1
Denman Road	Wath	Wath	HRA	9	0	0	9
Totals				172	0	0	172

Pipeline: Potential Council sites at an early stage of appraisal and modelled in the latest HRA Business Plan

Three further sites have been modelled within the HRA Business Plan for affordability but require addition work before they can be considered suitable for Council-led development. Consequently, Cabinet approval is not explicitly sought for these sites at this time. Should they be brought forward at a later date, they will be set out in a future Cabinet report.

Scheme	Internal Status	Council Rent	Council S/O	Other	Total
Site A	General Fund	10	0	0	10
Site B	General Fund	30	0	0	30
Site C	General Fund	72	0	38	110
Totals		112	0	38	150

Pipeline: Additionally identified Council sites not modelled in the latest HRA Business Plan

Cabinet approval is sought to bring forward the following sites to build new Council homes. These sites have been identified for inclusion in the pipeline since the HRA Business Plan modelling exercise was concluded. Estimated new homes are subject to change, and not all sites may ultimately prove developable. This list is ordered by ward.

Scheme	Area	Ward	Internal Status	Council Rent	Council S/O	Other	Total
Princess Street (site B)	West Melton	Hoober	HRA	2	0	0	2
Symonds Avenue	Rawmarsh	Rawmarsh West	HRA	5	0	0	5
Totals				7	0	0	7

Total forecast delivery – all new homes				
The following delivery may be achieved by March 2026 if all sites and estimated homes are brought forward.				
Category	Council Rent	Council S/O	Other	Total
Completed homes	253	117	91	461
Homes in contract	31	0	34	65
Pipeline	304	0	38	342
Totals	588	117	163	868

Total forecast delivery – Council rent and shared ownership only			
The following delivery may be achieved by March 2026 if all sites and estimated homes are brought forward.			
Category	Council Rent	Council S/O	Total
Completed homes	253	117	370
Homes in contract	31	0	31
Pipeline	304	0	304
Totals	588	117	705

Appendix 4: General Fund sites for early appropriation

To support delivery of 1000 new Council homes, a number of land and property assets currently held within the General Fund have been considered for inclusion within the programme. To deliver new Council homes on these sites, the assets would need to be formally appropriated to the HRA and the following sites are proposed for imminent appropriation, with Cabinet approval sought accordingly.

Addison Road, Maltby

The Addison Road site currently accommodates the former Addison Road Day Care Centre. Approval to relocate the existing service provision and to decommission the buildings was obtained via the May 2018 Cabinet and Commissioner's Decision Making Meeting report; The Transformation of Services and Support for People with a Learning Disability, and the buildings were formally closed February 2022. The site was declared surplus to service requirements in May 2022 and expressions of interest were sought from internal Council services in advance of disposal. The Housing Service subsequently expressed interest in repurposing the site to build new Council homes.

The site is incurring significant ongoing revenue costs for the General Fund and requires prompt disposal. To immediately address the holding costs, a contractor will be procured to demolish the structures as soon as possible, following which further procurement will take place to identify a construction contractor to build out the site for circa. 30 new Council homes. Appropriation to the HRA will take place following demolition of the structures and completion of further works to confirm feasibility for housing development, estimated spring 2023.

Larch Road, Maltby

The Larch Road site currently accommodates the former Park Hill Lodge residential care home. Approval to close the building was obtained via the November 2021 Cabinet report; The Location of Parkhill Lodge Residential Services – Outcome of Consultation and Subsequent Recommendations, and the building was closed early 2020. The site was declared as surplus to service requirements in May 2022 and expressions of interest were sought from internal Council services in advance of disposal. The Housing Service subsequently expressed interest in repurposing the site to build new Council homes. The site is included within the Council's Local Plan (reference: H66).

The site is incurring ongoing revenue costs for the General Fund and requires disposal. To address the holding costs, a contractor will be procured to demolish the structures, following which further procurement will take place to identify a construction contractor to build out the site for circa. 20 new Council homes. Timings may allow the demolition to take place as part of the construction contract. Appropriation to the HRA will take place following demolition of the structures and completion of further works to confirm feasibility for housing development, estimated spring 2023.

Ship Inn (Dun Street), Swinton

The land at Dun Street was previously cleared through Housing Market Renewal, being the site of the former Ship Inn public house, and which has now stood vacant for a number of years. Whilst considered to be a Housing site owing to the prior clearance through Housing Market Renewal, the site is on the General Fund asset register and appropriation is required to enable HRA-led development. Development through the HRA is likely to see the site bring forward two to five new homes, subject to the property-type mix to be agreed. Appropriation to the HRA will take place following further works to confirm feasibility for housing development, estimated spring 2023.

Warden Street, Canklow

A site also previously cleared through Housing Market Renewal, and which has similarly stood vacant for a considerable period of time, the land is now subject to joint development proposal for a new Adult Day Care Centre (report approved by Cabinet 17 October 2022) and circa 25 new apartments for older people, subject to further consultation. Whilst considered to be a Housing site owing to the prior clearance through Housing Market Renewal, the site is on the General Fund asset register and appropriation is required to enable HRA-led development. Only the southern end of the site will be utilised for Council housing and will therefore be subject to appropriation from General Fund to the HRA. Appropriation of this part of the site is proposed to take place spring 2023. The remainder of the site will be retained within the General Fund to support delivery of the new day care centre.

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

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Appendix 6.

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 Development Programme Report – 2023/24

Directorate: Adult Care, Housing and Public Health

Service area: Strategic Housing and Development

Lead person: David Bagnall

Contact number:
01709 823814

Is this a:

☐

Strategy / Policy

☒

Service/Function

☐

Other

If other, please specify

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

The report sets out progress made against the Council's Housing Development Programme, and proposes new projects for 2023/24.

3. Relevance to equality and diversity

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

The following questions will help you to identify how relevant your proposals are. When considering these questions think about age, disability, sex, gender reassignment, race, religion or belief, sexual orientation, civil partnerships and marriage, pregnancy and maternity and other socio-economic groups e.g. parents, single parents and guardians, carers, looked after children, unemployed and people on low incomes, ex-offenders, victims of domestic violence, homeless people etc.

Questions	Yes	No
Could the proposal have implications regarding the accessibility of services to the whole or wider community? <i>(Be mindful that this is not just about numbers. A potential to affect a small number of people in a significant way is as important)</i>	✓	
Could the proposal affect service users? <i>(Be mindful that this is not just about numbers. A potential to affect a small number of people in a significant way is as important)</i>	✓	
Has there been or is there likely to be an impact on an individual or group with protected characteristics? <i>(Consider potential discrimination, harassment or victimisation of individuals with protected characteristics)</i>	✓	
Have there been or likely to be any public concerns regarding the proposal? <i>(It is important that the Council is transparent and consultation is carried out with members of the public to help mitigate future challenge)</i>	✓	
Could the proposal affect how the Council's services, commissioning or procurement activities are organised, provided, located and by whom? <i>(If the answer is yes you may wish to seek advice from commissioning or procurement)</i>	✓	
Could the proposal affect the Council's workforce or employment practices? <i>(If the answer is yes you may wish to seek advice from your HR business partner)</i>		✓
If you have answered no to all the questions above, please explain the reason		

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

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

4. Considering the impact on equality and diversity

If you have not already done so, the impact on equality and diversity should be considered within your proposals before decisions are made.

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

Please provide specific details for all three areas below using the prompts for guidance and complete an Equality Analysis (Part B).

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

(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 contacts tenants who move into new build properties to carry out a follow-up questionnaire or 'new build survey'. This is done to find out more about the people who have moved into recently built council homes. The equalities and diversity information is 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:	27/10/22
Date to complete your Equality Analysis:	27/10/22
Lead person for your Equality Analysis (Include name and job title):	Wendy Foster, Strategic Housing Coordinator Kalpana Desai, Housing Development Coordinator Asim Munir, Tenant Engagement Coordinator

5. Governance, ownership and approval

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

Name	Job title	Date
David Bagnall	Development Manager	27/10/22
Sarah Watts	Strategic Housing Manager	27/10/22

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	27/10/22
Report title and date	Housing Development Programme Report – 2023/24
If relates to a Cabinet, key delegated officer decision, Council, other committee or a significant operational decision – report date and date sent for publication	23 January 2023
Date screening sent to Performance, Intelligence and Improvement equality@rotherham.gov.uk	3 January 2023

Appendix 7

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: Housing Development Programme Report – 2023/24	
Date of Equality Analysis (EA): 27 October 2022	
Directorate: Adult Care, Housing and Public Health	Service area: Strategic Housing and Development
Lead person: David Bagnall	Contact number: 01709 823814
Is this a: <input type="checkbox"/> Strategy/Policy <input checked="" type="checkbox"/> Service/Function <input type="checkbox"/> 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)
Kalpana Desai	Rotherham Council	Housing Development Coordinator
Asim Munir	Rotherham Council	Tenant Engagement Coordinator
Wendy Foster	Rotherham Council	Strategic Housing 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, other 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; the Housing Development Programme Report – 2023/24. The report identifies Council-owned sites proposed for development.

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 assesses 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 eg, homelessness and young people etc
- Ward members will receive specific briefings on potential sites in their wards and their feedback will be considered and included in individual scheme EAs
- Ward profiles contain detailed, localised information both profiling housing stock in the ward and demand
- The Strategic Housing and Development service has worked with the Neighbourhood Service to assist with consultation and dissemination of 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 ie, 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

- The Census population of Rotherham in 2021 is 265,800, an increase of 8,200 (+3.2%) compared with the 2011 Census, with around 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
- The 2021 Census further shows that Rotherham had 113,900 households, compared with 108,300 in the 2011 Census, an increase of 5,600 or 5.2%. In 2021, 17.7% of Rotherham's population were under 15 years, whilst 25.8% were aged 60 or over. The population of Rotherham aged 60 or over is slightly higher than the England figure of 24.2% and the Yorkshire and Humber figure of 25%.
- Rotherham's young population (under 15) increased from 46,000 in 2011 to 47,100 in 2021 (a 2.4% increase). This increase followed a 6% fall from 48,900 in 2001 to 46,000 in 2011. Whilst the school age population has increased, the number of children aged 0-4 has decreased from 15,738 in 2011 to 14,600 (a 7.3% reduction).

<ul style="list-style-type: none"> Rotherham's older population (over 60) has increased from 61,500 in 2011 to 68,600 in the 2021 Census, an 11.5% rise (51,700 in 2001). Rotherham's population is ageing broadly in line with national trends and the percentage aged over 85 increased from 2.1% in 2011 to 2.3% in 2021. 	
<p>Are there any gaps in the information that you are aware of?</p> <p>None identified following wider discussion with colleagues, and we are seeking to ensure that future housing developments are meeting the protected characteristics identified.</p>	
<p>What monitoring arrangements have you made to monitor the impact of the policy or service on communities/groups according to their protected characteristics?</p> <p>The overall progress of the housing development programme will be reported to Cabinet as part of the request to proceed with the subsequent year's programme.</p> <p>For individual schemes, all proposals requiring a decision under delegated powers will be subject to the following at an early stage:</p> <ul style="list-style-type: none"> Briefing to Assistant Director for Housing and Cabinet Member for Housing Consultation with relevant ward members <p>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:</p> <ul style="list-style-type: none"> 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 <p>Progress with individual schemes will be reported to Housing Senior Management Team and other meetings/forums as appropriate.</p> <p>Officer decisions will be formally recorded and published.</p> <p>Surveys will continue to 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 act, if required.</p>	
<p>Engagement undertaken with customers. (date and group(s) consulted and key findings)</p>	<p>The Council holds a wealth of housing intelligence data which will be used to determine local housing need and prioritise areas for investment.</p>

	<p>The Housing Strategy has been refreshed and was approved by Cabinet in May 2022. It sets the direction for housing priorities for the next three years.</p> <p>The local community will be consulted on individual schemes as part of the planning process.</p>
Engagement undertaken with staff (date and group(s) consulted and key findings)	<p>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.</p> <p>Ward Members will receive specific briefings on potential sites in their wards.</p>

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 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.

Of the sites listed in this report, consideration is being given to the following specific property types;

- Homes for older people (+55 years),
- Larger family homes (4 bedrooms)
- Accessible homes

Housing Occupational Therapists are consulted when site layouts are being explored.

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?

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: Housing Development Programme Report – 2023/24
Directorate and service area: Adult Care, Housing & Public Health. Strategic Housing & Development Service
Lead Manager: David Bagnall
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	

***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.	
If this Equality Analysis relates to a Cabinet, key delegated officer decision, Council, other committee or a significant operational decision a copy of the completed document should be attached as an appendix and published alongside the relevant report.	
A copy should also be sent to equality@rotherham.gov.uk 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	27/10/2022
Report title and date	Housing Development Programme Report – 2023/24
Date report sent for publication	
Date Equality Analysis sent to Performance, Intelligence and Improvement equality@rotherham.gov.uk	03/01/2023

Appendix 8

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	Although new households may not necessarily mean more people living in the Borough, they are likely to create a small increase in	Where appropriate, prospective contractors will be required to produce a plan demonstrating how they will minimise and	Where appropriate, we will monitor contractors implementation of wastes minimisation

Appendix 8

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
		groundworks and waste construction materials.	the overall volume of waste created and, in the distance travelled by waste collection vehicles.	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.	and management plans.
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.	<p>The Council will ensure that the new homes are high quality, energy efficient and able to meet the challenge of climate change.</p> <p>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.</p>	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	<p>Some of the building materials will be manufactured within the Borough.</p> <p>Removal of trees without replacement could,</p>	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.	This will be monitored through the procurement process.

Appendix 8

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
		and cabins. The manufacture of construction materials will increase emissions. It is possible that some mature trees will be removed as part of the development of new sites	depending how they are disposed of, increase carbon emissions.	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.	
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.

Appendix 8

Supporting information:	
Completed by: (Name, title, and service area/directorate).	Nick Ward, Place and Quality Manager, Strategic Housing and Development Service, 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]	Approved 7 th December 2022, Tracking Reference: CIA019

Public Report with Exempt Appendices
Cabinet

Committee Name and Date of Committee Meeting

Cabinet – 23 January 2023

Report Title

Approval of the use of a Compulsory Purchase Order (CPO) to acquire 3 – 7 Corporation Street, Rotherham Town Centre

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)

Lucy Mitchell, Major Projects Officer

lucy.mitchell@rotherham.gov.uk

Maria Smith, Regeneration and Development Project Manager

maria.smith@rotherham.gov.uk

Ward(s) Affected

Boston Castle

Report Summary

This report seeks approval for a Compulsory Purchase Order (CPO) for the acquisition of 3-7 Corporation Street, Rotherham (the Order Land), comprising two derelict, fire damaged buildings, formerly a nightclub/bar and a restaurant. The present owners have proven to be unwilling or unable to bring forward the Order Land's redevelopment and negotiations to acquire by agreement have been unsuccessful. The making of a Compulsory Purchase Order is considered to be the only realistic alternative to bring the site into beneficial economic use.

Recommendations

1. That Cabinet approve the acquisition of 3-7 Corporation Street on terms to be agreed and approve the making of a Compulsory Purchase Order (CPO) under section 226(1)(a) of the Town and Country Planning Act 1990 for the acquisition of land and rights within the area edged red on the plan in Appendix 1 for the purposes of facilitating development, redevelopment, and improvement of the Order Land.
2. That Cabinet authorises the Assistant Director of Regeneration, Planning and Transport, in consultation with the Cabinet Member for Jobs and the Local

Economy and the Head of Legal Services, to affect the making, confirmation, and implementation of the CPO and to take all necessary steps to give effect to the CPO in respect of the Order Land including, but not limited to, the procedural steps in section 3.8 of this report.

List of Appendices Included

- Appendix 1 Land Order Location Plan
- Appendix 2 Full Business Case – 3-7 Corporation Street (exempt)
- Appendix 3 Equalities Assessment
- Appendix 4 Climate Impact Assessment

Background Papers

DLUHC Compulsory Purchase and Compensation: Guide 1 – Procedure (December 2021)

DLUHC Compulsory purchase and compensation: Guide 2 – Compensation to Business Owners and Occupiers (December 2021)

Cabinet Meeting 28th March 2022 (Minute 124) [March 2022 Cabinet Minute 124 re CPO.pdf](#)

[Cabinet and Commissioner's Decision Making Meeting 26th June 2017 \(item 9\)](#)

Consideration by any other Council Committee, Scrutiny or Advisory Panel

No

Council Approval Required

No

Exempt from the Press and Public

An exemption is sought for Appendix 2 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, as this report contains details of all confidential negotiations to date and financial information relating to the purchase.

It is considered that the public interest in maintaining the exemption would outweigh the public interest in disclosing the information because all such negotiations and financial information should remain confidential between the parties.

Approval of the use of a Compulsory Purchase Order (CPO) to acquire 3 – 7 Corporation Street, Rotherham Town Centre

1. Background

- 1.1 The buildings at 3-7 Corporation Street (the Order Land) have been continuously unused and derelict following fire damage in 2007.
- 1.2 Corporation Street is in a prominent position in Rotherham Town Centre. It is a significant route between the Bus Station and the Town Centre, leading to the Minster, the High Street and Forge Island (currently under development). The poor appearance of the site detracts from the appearance and vitality of the town, it is a disincentive to new investment and has a significant negative impact on the Conservation Area within which it is located, and on nearby businesses.
- 1.3 Despite approaches from the Council, the owner is unable or unwilling to bring the Order Land forward for redevelopment and it has become clear that the Council will need to rely on Compulsory Purchase (CPO) powers to bring a development to fruition.
- 1.4 Attempts to assemble the necessary site by agreement are continuing, but timescales relating to the funding and the prior non-cooperation of the landowner (see paragraph 3.4 below) mean that it is necessary to run the compulsory purchase process and continue negotiations with the affected landowner in parallel.
- 1.5 The site is capable of accommodating a residential-led, mixed-use development, comprising of apartments with commercial space on the ground floor. The Council has formulated a scheme to redevelop the site and approved a Full Business Case, with documentation submitted to the Department for Levelling Up, Housing and Communities in June 2022.
- 1.6 Cabinet in March 2022 approved the acquisition of the freehold and leasehold interests in a number of properties to aid regeneration, including 3-7 Corporation Street. A Resolution in Principle to investigate use of Compulsory Purchase Powers should acquisition by negotiation not be successful was also granted, subject to a further report to seek formal resolution from Cabinet to exercise the Council's Compulsory Purchase powers.
- 1.7 This report is seeking Cabinet resolution to use the Council's Compulsory Purchase powers.

2. Key Issues

- 2.1 To benefit from the wider regeneration taking place across the Town Centre and provide a 'joined-up' approach to the wider objectives of the Town Centre Masterplan, it is essential that redevelopment of this site progresses. The Council's willingness and ability to acquire the site, through CPO if necessary, and facilitate redevelopment is essential.

- 2.2 A Compulsory Purchase Order should only be made where there is a compelling case in the public interest. In order to pursue a CPO, the Council needs to demonstrate:
1. A clear intention for the use of the land it is intending to acquire.
 2. That all the necessary resources are likely to be available to achieve that end within a reasonable timescale.
- 2.3 In practice this means:
- A scheme that will achieve public benefit.
 - A scheme that is deliverable; and that there is a clear route to the appointment of a developer or direct delivery by the Council.
 - The full funding of the scheme must be secured either via grant funding and/or commitment of Council to support delivery.
 - There must be no planning barriers to the scheme.
- 2.4 It is considered that these conditions will be met following grant of planning consent and there is therefore a high level of confidence that use of compulsory purchase powers is justified.
- 2.5 Redevelopment of this site will address important regeneration objectives and support the economy; environment and the well-being of Rotherham communities as follows:
- a) Remove eyesore/dereliction:**
The project will address the existing issues of dereliction on this site and introduce an active, high-quality streetscape which will build on the leisure-focused regeneration at the nearby Forge Island. The project offers the opportunity to create a significantly more attractive gateway into the town centre whilst maintaining the existing historic views of the Minster.
- b) Provide housing and repopulate the town centre:**
The residential market in the Town Centre is currently limited. Whilst Corporation Street is not currently a residential destination, the emphasis of the Town Centre Masterplan and more recent Town Investment Plan was on repopulating Rotherham Town Centre and this scheme will support this process.
- c) Improve environment for local businesses and support other developments:**
The nearby development of Forge Island is a vital catalyst project for Rotherham Town Centre. Proposals focus on a new leisure destination featuring a cinema, restaurants, and a hotel. Funding has been secured along with planning permission and work is now underway on site. The Leisure and Cultural Quarter will continue across the river to include the Corporation Street sites which will provide leisure and residential uses on a smaller scale, catering for independent providers and contributing to greater vitality in the Town Centre.

- 2.6 Upon acquisition, the Council intend to select and work with a private sector developer to bring about delivery as outlined in the Full Business Case (Appendix 2). The Council has secured funding to address the viability gap (Town Deal and Levelling Up Funding). The specific nature of the arrangement to secure a developer partner is being considered and developed alongside the Council's procurement team.
- 2.7 A full planning application is underway with a decision anticipated early 2023. Securing consent will ensure there are no planning barriers to the delivery of the scheme and will provide a degree of confidence for a developer to come on board. Rotherham Sites and Policies Document Policy SP24 'Rotherham Town Centre Regeneration' indicates that for this site, the Council will encourage the development of retail floorspace at ground floor level with residential uses above.
- 2.8 Attempts to assemble the necessary land by agreement are continuing, but timescales relating to the funding and the prior non-cooperation of the landowner (see paragraph 3.3 below) mean that it is necessary to run the compulsory purchase process and continue negotiations with the affected landowner in parallel.
- 2.9 The Council has a scheme that meets the key components outlined in paragraph 2.2 and has worked closely with external advisers to bring the scheme to this stage. Following the failure of the owner to bring forward a prior planned scheme, surveyors were appointed to continue negotiations with the owner and prepare desk-based information about the Order Land. Architects, engineers and cost managers were then appointed to develop build plans for the Order Land site, working closely with the planning team to ensure adherence to Local Plan policy and Conservation Area requirements.
- 2.10 As described above, there has been continued negotiation with the landowner. The wider land referencing exercise has identified individuals who may be affected by issues such as rights and access over the Order Land and rights of light. Appointed external specialists are in the process of contacting all these parties as part of this exercise. The Council, as acquiring authority, is committed to working with those affected, and will continue to work with leaseholders, and occupiers as the CPO progresses. Owners/affected parties will be compensated in line with the compulsory purchase compensation code.

3. Options considered and recommended proposal

- 3.1 Various options have been considered to bring forward the redevelopment of this site and to avoid a Compulsory Purchase Order being required:
- Option1 – Do nothing.
 - Option 2 – Support the landowner through grant funding to bring forward a scheme.
 - Option 3 – Acquire by negotiation, demolish and redevelop.

- Option 4 – Acquire by CPO, demolish and redevelop.

3.2 **Option 1: Do nothing**

- The site is not redeveloped and falls into further disrepair.
- This would detract from the Conservation Area and the value of the proposed Rotherham Town Centre Leisure & Culture Quarter regeneration.
- The buildings will remain in the current state of disrepair and detract from adjacent regeneration investment.

This option is not recommended as it is considered highly unlikely the existing owner will bring forward redevelopment, and the concern that the site is having a negative impact on the vitality of the Town Centre will not be addressed.

3.3 **Option 2: Support the owner through grant funding to bring forward a scheme of redevelopment:**

- Previously, plans were brought forward by the site owner for a hotel and permission was granted conditionally in 2019.
- The plans comprised demolition of the existing buildings and erection of 69 room hotel with associated ground floor restaurant /bar and meeting rooms, and a standalone ground floor retail unit.
- Planning permission has now expired and there have been no credible attempts to progress the plans with the owner recently advising that the scheme is not financially viable.

This option is not recommended. Attempts to engage with the landowner and bring schemes forward have been unsuccessful and there is no realistic prospect of coming to agreement in the foreseeable future. It is considered the Council needs to secure control of the site to deliver a scheme, otherwise it will not be possible to achieve economic growth and priorities to drive regeneration across the town.

3.4 **Option 3: Acquire by negotiation, demolish and develop**

- Numerous attempts have been made to negotiate with the owner and agree a purchase price.
- A wide gulf between the landowner's expectations on price and realistic values for the properties has meant agreement cannot be reached.

Whilst moving forward to promote any CPO scheme, in accordance with the government guidelines, the acquiring authority must always continue to and use all reasonable endeavours to negotiate a purchase by agreement. The Council has continued this approach but negotiations with the owner have not been successful to date. Dialogue and negotiations with the landowner and their representatives will continue as the CPO progresses.

3.5 **Option 4: Acquire by CPO, demolish, and develop**

- Acquire the site, demolish the derelict buildings and work with a private sector developer or self-develop.

- Facilitate redevelopment of the site to provide a mixed-use residential scheme with ground floor commercial units.
- This option best delivers against the following outcomes:
 - Enhanced Town Centre Conservation Area
 - Town centre diversification
 - Provision of new homes
 - Increased Council Tax income
 - New customer base to support town centre businesses

3.6 This option provides greatest certainty that the site will be redeveloped and achieve regeneration objectives for the town centre, supporting the economy, environment and the well-being of Rotherham communities and is therefore recommended.

3.7 Option 4 is considered to provide the Council with the best opportunity to bring the land into public ownership to progress the scheme to development and it is therefore recommended that:

1. Cabinet approves the acquisition of 3-7 Corporation Street on terms to be agreed and approve the making of a Compulsory Purchase Order (CPO) under section 226(1)(a) of the Town and Country Planning Act 1990 for the acquisition of land and rights within the area edged red on the plan in Appendix 1 for the purposes of facilitating development, redevelopment and improvement of the Order Land.
2. Cabinet authorises the Assistant Director of Regeneration, Planning and Transport, in consultation with the Cabinet Member for Jobs and the Local Economy and the Head of Legal Services, to effect the making, confirmation, and implementation of the CPO and to take all necessary steps to give effect to the CPO in respect of the Order Land including, but not limited to, the following procedural steps.

3.8 Procedural steps to be taken to effect the making, confirmation and implementation of the CPO are detailed below.

- finalising a Statement of Reasons setting out the Council's reasons for making the CPO;
- making the CPO, the publication and service of any press, site and individual notices and other correspondence for such making;
- acquiring all interests within the Order Land as may be necessary to facilitate the Scheme, either by agreement or compulsorily, including entering into negotiations with any third parties for the acquisition of their land interests; the payment of compensation and dealing with any blight notices served in connection with the CPO;
- approving agreements with landowners or statutory undertakers as applicable, setting out the terms for withdrawal of any objections to the CPO, including where appropriate seeking exclusion of land from the CPO;

- make any necessary additions, deletions, or amendments to the Order Land and to seek any requisite modifications to the CPO Order and any CPO maps (if required.)
- the preparation and presentation of the Council's case at any Public Inquiry which may be necessary.
- seeking confirmation of the CPO by the Secretary of State (or, if permitted, by the Council pursuant to Section 14A of the Acquisition of Land Act 1981) (the 1981 Act);
- In the event the order is confirmed, publication and service of notices of confirmation of the CPO and thereafter to execute and serve any general vesting declarations and/or notices to treat and notices of entry, and any other notices or correspondence to acquire those interests within the area, including, if required, High Court Enforcement Officer notices;
- Instructing all steps in any legal proceedings related to the Order including referral and conduct of disputes, relating to compulsory purchase compensation, to the Upper Tribunal (Lands Chamber) and/or the courts and any appeals.

4. Consultation on proposal

- 4.1 Extensive public consultation took place in the development of the Town Centre Masterplan, highlighting key sites in the town centre such as the Order Land. Workshops, briefing sessions and 1 to 1's were held to ascertain the views of Members, Town Centre stakeholders, and communities.
- 4.2 A strategic engagement plan formed a key part of the Town Investment Plan (TIP); MyTown portal was used to initially engage the wider community in understanding the town's needs. As the TIP was progressed, a more targeted approach was developed, enabling the public to comment directly on proposals via a Virtual Exhibition (in line with Covid 19 restrictions). The presence of the platform was promoted through social media and Council newsletters.
- 4.3 The Town Deal Board has been consulted on the project and is supportive of the approach being taken.
- 4.4 Events such as the Rotherham Show have also provided a platform for sharing plans and obtaining feedback from communities regarding Town Centre developments. This feedback suggests local residents are keen to see the site redeveloped given the longstanding eyesore in such a prominent location in the town centre.

5. Timetable and Accountability for Implementing this Decision

- 5.1 The Council with support from external advisors will be responsible for continued negotiations with the landowner for purchase by agreement. If an agreement can be reached and the acquisition completed, it will negate the need to progress the Compulsory Purchase Order.

- 5.2 Programme Milestones:
Target dates for successful land acquisition and site redevelopment.

Land Acquisition	
Cabinet Approval for CPO Powers	January 2023
Make CPO	February 2023
Planning Permission Determination	February 2023
CPO Review process starts (incl. potential objections)	March 2023
Procurement of Developer commences	March 2023
Land acquired	October 2023
Developer appointment	July 2024
Detailed design	July 2024
Start on site	January 2025
Completion	March 2026

Planning is progressing in parallel to the CPO preparation and it is envisaged the planning decision will be made prior to the order being made.

6. Financial and Procurement Advice and Implications

- 6.1 Funding for the project is covered by Towns Fund. The funding is approved in the Council's Capital Programme. In addition, professional fees are being supported by the Gainshare revenue stream. As outlined above, solicitors, surveyors, architects, project/cost managers have been appointed by the Council to prepare designs, develop the business case and cost the project. As outlined in the Business Case, the majority funding is provided by a developer with the Town's Fund to support the viability gap to ensure the progress of the scheme. Subject to a developer being found, the Council will review the project and consider potential for direct delivery.
- 6.2 There are no procurement implications associated with the commencement of the CPO process. The development works that will be required to take place, must be structured in a manner that is 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 Section 226 of the Town and Country Planning Act 1990 (TCPA 1990) authorises local authorities to compulsorily purchase land if the authority thinks that the acquisition will facilitate the development, redevelopment or improvement of land, or acquisition is required in order to achieve the proper planning of an area.
- 7.2 Before a CPO can be implemented, the acquiring authority will have to justify it to the Secretary of State.

The local authority must be able to demonstrate, in respect of the CPO, that:

- It is authorised by statute to purchase land compulsorily for a particular purpose and the CPO is necessary to achieve this purpose.
- There is a compelling case in the public interest that sufficiently justifies interfering with the rights of those with an interest in the land affected. In this case that the scheme will improve the economic, social or environmental wellbeing of the area.
- Adequate resources are (likely to be) available to implement both the CPO and the CPO scheme, within a reasonable time frame. (This would include any financial contributions from other bodies, including the private sector.)
- There is a reasonable prospect of the CPO scheme going ahead. For example, the scheme is unlikely to be blocked by the programming of any infrastructure or remedial work that may be required or the need for planning permission or other consent or licence.
- There is no alternative site or alternative means of bringing about the objective of the CPO.
- The CPO is a measure of last resort and that negotiations for acquisition by agreement have been pursued but have proved fruitless.

7.3 Legal Services, in conjunction with external advisers, will continue to monitor the progress of the CPO to ensure compliance with legislation and that the Council is on track to achieve a successful acquisition via CPO powers.

7.4 Section 9D of the Local Government Act 2000 requires that all functions of a local authority are the responsibility of the executive unless otherwise specified in regulations. The discharge of functions in relation to regeneration and in particular the making of a Compulsory Purchase Order are not specified within regulations as to not be functions of the executive. Therefore this is an executive power to be exercised by the Cabinet.

8. Human Resources Advice and Implications

8.1 There are no human resources implications arising from this report.

9. Implications for Children and Young People and Vulnerable Adults

9.1 There are no such implications arising from this report

10. Equalities and Human Rights Advice and Implications

10.1 Section 149 of the Equalities Act 2010 created the public sector equality duty. Section 149 states that a public authority must, in the exercise of its functions have due regard to the need to:

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

The Council is confident that there is a compelling case in the public interest which is required to remove private property. Any decision at Public Inquiry, should one be required, will judge the public interest versus the owner's private property rights. As every effort has been made previously to engage the owner to bring the Order Land forward for development, it is now apparent that there is justification to bring a CPO to the table at this stage.

- 10.2 For an Initial Equalities Impact Screening please see attached Appendix 3.

11. Implications for CO2 Emissions and Climate Change

- 11.1 During the CPO stage of the Corporation Street scheme, there will be very little impact on carbon emissions. There may be a small amount of increased activity on site from visiting Council staff and contactors involved in negotiations and survey work, however, this impact will be minimal. Where possible, survey/negotiation work will be desk-based. As noted, at this stage in the scheme there will be no works on site and no development. However, as the scheme proceeds there will be detailed Carbon Impact Assessments at key stages such as the demolition of the current derelict buildings and the new development.

- 11.2 For full Carbon Impact Assessment please see attached Appendix 4.

12. Implications for Partners

- 12.1 The scheme will have a positive impact on the local area and the other developments that are part of the town deal, providing opportunities for developers and for local people.
- 12.2 If the site cannot be acquired (via negotiation or CPO) this could negatively impact on the wider Town Masterplan implementation and could result in losing the funding allocated to this scheme.

13. Risks and Mitigation

- 13.1 The main risks to the successful land acquisition:
1. Land acquisition costs higher than budgeted for
 2. Developer partner procurement not concluded (CPO impact)

13.2 Landowner acquisition costs higher than budgeted for

Risk: Costs decided by Public Inquiry are higher than we have budgeted for. **Mitigation:** Surveyors and solicitors have been appointed at an early stage to provide 'worst-case' scenarios and ensure all potential compensation costs are covered.

13.3 Developer partner procurement not concluded (CPO impact)

Risk: Developer partner procurement is not concluded/terms are not agreed and the requirements of the CPO mean that RMBC are obliged to deliver the scheme directly. **Mitigation:** RMBC will deliver the scheme directly which will be achievable within the timeframe but lead to a greater capital cost and long-term involvement in the letting or sale of the project.

14. **Accountable Officers**

Simon Moss Assistant Director, Planning, Regeneration and Transport
Tim O'Connell, Head of RiDO

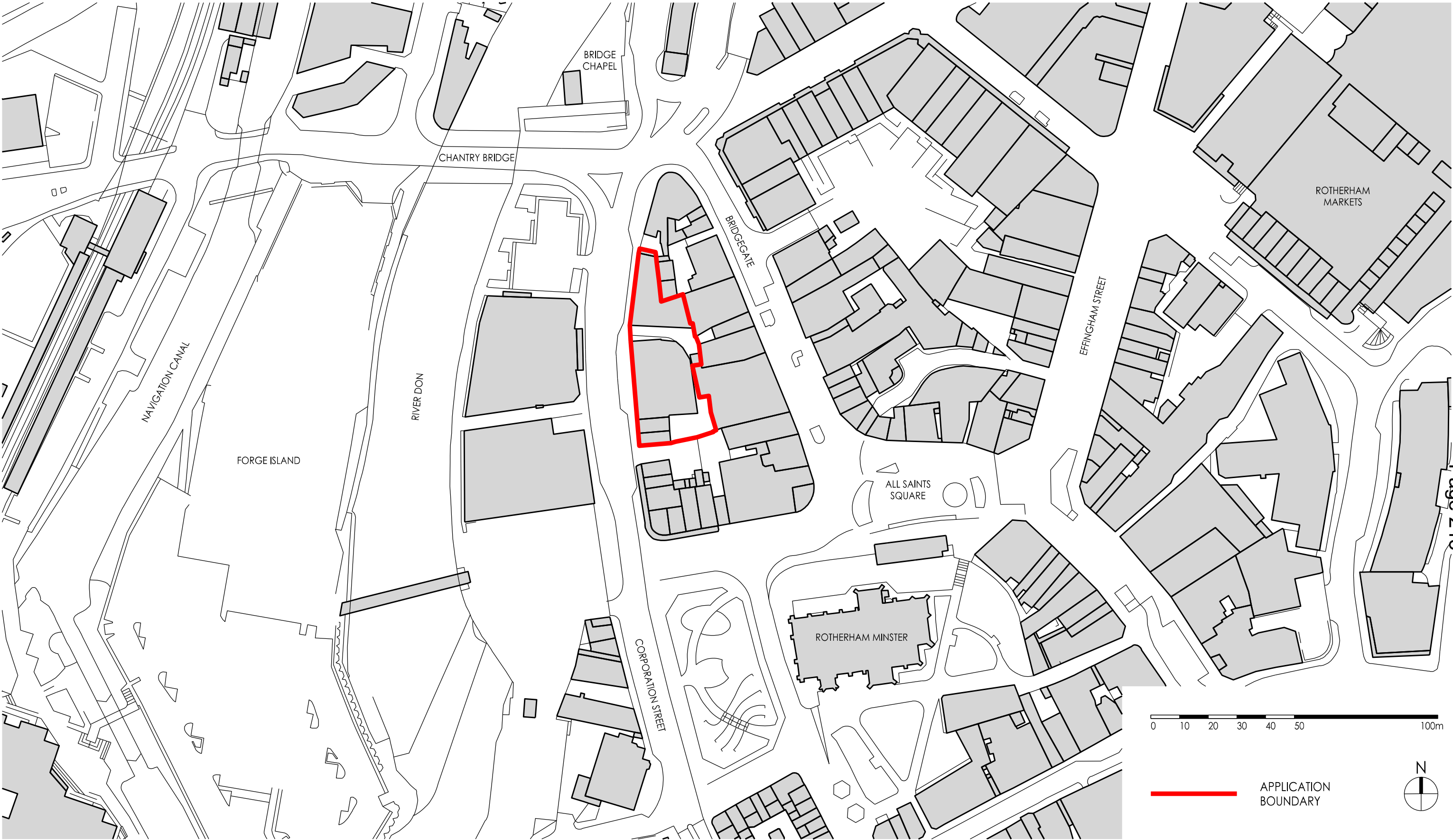
Approvals obtained on behalf of Statutory Officers: -

	Named Officer	Date
Chief Executive	Sharon Kemp	09/01/23
Strategic Director of Finance & Customer Services (S.151 Officer)	Judith Badger	05/01/23
Assistant Director, Legal Services (Monitoring Officer)	Phillip Horsfield	23/12/22

Report Author: Lucy Mitchell, Major Projects Officer

lucy.mitchell@rotherham.gov.uk

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



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31-35 KIRBY STREET
LONDON EC1N 8TE
TEL:020-7837-9789
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ARCHITECTS INTERIOR DESIGNERS MASTER PLANNERS URBAN DESIGNERS

DRAWING TITLE Location Plan		CLIENT Rotherham Metropolitan Borough Council	
		PROJECT 3-7 Corporation Street RCS-AHR	
STATUS PLANNING		DRAWING NO. S0-XX-DR-A-10-000-P1	REVISION P01
SCALE 1:1250 @A3	DRAWN BY PP		
DATE 2022.07	CHECKED BY DDS		

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

Document is Restricted

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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: Approval of use of Compulsory Purchase Powers: 3 – 7 Corporation Street

Directorate:
Regeneration and Environment

Service area:
Rotherham Town Centre

Lead person: Lucy Mitchell

Contact number: 07748 143280

Is this a:

☐

Strategy / Policy

☐

Service / Function

☒

Other

If other, please specify

Cabinet Paper for the Approval of the use of Compulsory Purchase powers (if required) to progress the development of 3 – 7 Corporation Street, Rotherham Town Centre

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

The buildings in the Land Order (3-7 Corporation Street) have been burnt out since 2007. This has created a long-standing problem in Rotherham town centre, having a significant negative impact on the Conservation Area within which they are located. Corporation Street is in a prominent position in Rotherham town centre. It is a significant route between the bus station and the town centre, leading to the Minster, the High Street and the Forge Island Leisure Complex (currently under development). Accordingly, it is untenable to permit dereliction on this scale in such

a key location.

Despite several approaches from the Council, the owner is unable or unwilling to bring the Order Land forward to redevelopment and it has become explicitly clear that the Council will need to rely on CPO powers to bring the proposed development to fruition.

In order to resolve the issue outlined above, it is intended to bring the Order Land into public ownership. It is then intended to promote a project that will demolish the current, derelict buildings, offering a cleared site for redevelopment. Through regeneration of the Town Centre, the project will be funded through the Towns Fund investment. Therefore, the Cabinet Paper will seek approval for use of CPO powers to move the project forward.

3. Relevance to equality and diversity

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

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

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

Questions	Yes	No
Could the proposal have implications regarding the accessibility of services to the whole or wider community? <i>(Be mindful that this is not just about numbers. A potential to affect a small number of people in a significant way is as important)</i>		X
Could the proposal affect service users? <i>(Be mindful that this is not just about numbers. A potential to affect a small number of people in a significant way is as important)</i>		X
Has there been or is there likely to be an impact on an individual or group with protected characteristics? <i>(Consider potential discrimination, harassment or victimisation of individuals with protected characteristics)</i>		X
Have there been or likely to be any public concerns regarding the proposal? <i>(It is important that the Council is transparent and consultation is carried out with members of the public to help mitigate future challenge)</i>		X
Could the proposal affect how the Council's services, commissioning or procurement activities are organised, provided, located and by whom? <i>(If the answer is yes you may wish to seek advice from commissioning or procurement)</i>		X

Could the proposal affect the Council's workforce or employment practices? <i>(If the answer is yes you may wish to seek advice from your HR business partner)</i>		X
If you have answered no to all the questions above, please explain the reason		
<p>Obtaining a CPO would not materially change the site physically at this stage, therefore current arrangements will be preserved and there will no impact affecting different groups or service users. Once the plans for development are in place, we will conduct a detailed Equality Assessment which will explore access in and around the site and potential groups/individuals affected. Internal council processes will be observed and worked within and therefore there will no change to council services or employment practices. The site has been a longstanding eyesore in the town and a source of frustration amongst the general public, therefore we do not anticipate any concerns regarding the CPO being implemented.</p>		

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

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

4. Considering the impact on equality and diversity

If you have not already done so, the impact on equality and diversity should be considered within your proposals before decisions are made.

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

Please provide specific details for all three areas below using the prompts for guidance and complete an Equality Analysis (Part B).

- **How have you considered equality and diversity?**
- **Key findings**
- **Actions**

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
Maria Smith	Regeneration and Development Project Manager	26/08/2022

Lucy Mitchell	Major Projects Officer	26/08/2022
---------------	------------------------	------------

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	30/09/2022
Report title and date	Approval of use of Compulsory Purchase Powers: 3 – 7 Corporation Street
If relates to a Cabinet, key delegated officer decision, Council, other committee or a significant operational decision – report date and date sent for publication	Monday 23 rd January 2023
Date screening sent to Performance, Intelligence and Improvement equality@rotherham.gov.uk	

Carbon Impact Assessment: Use of Compulsory Purchase Powers in order to progress the development of 3 – 7 Corporation Street, Rotherham Town Centre

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

-
- Carbon Impact Assessments are to be appended to the associated cabinet reports
 - Prior to publishing reports, Carbon Impact Assessments should be sent to [jj](#) 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		There will be no impact on emissions from the non-domestic buildings on site. The buildings will remain derelict (in their current state) whilst the CPO progresses.		
Emissions from transport?	Increase emissions	There will potentially be council staff and contractors on site for surveying etc. However, the impact will be minimal.		Alternative transport arrangements will be made where possible. Surveys will be desk-based where possible.	
Emissions from waste, or the quantity of waste itself?	No impact		There will be no impact on emissions from waste from the buildings on site as they will remain as they are. Following CPO (if successful), the buildings will remain as they are until demolition occurs which will be subject to a separate assessment.		
Emissions from housing and domestic buildings?	No impact		There is currently no housing on the site and there will be no development at this stage of the scheme. Once the site is developed there will be residential properties and this will be subject to a separate analysis.		
Emissions from construction and/or development?	No impact		No construction or development proposed at this stage of the scheme.		

Carbon capture (e.g., through trees)?	No impact		There will be no changes to the site so no options for carbon capture at this stage of the scheme.		
--	-----------	--	--	--	--

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:

During the CPO stage of the Corporation Street scheme, there will be very little impact on carbon emissions. There may be a small amount of increased activity on site from visiting council staff and contactors involved in negotiations and survey work, however, this impact will be minimal. Where possible, survey/negotiation work will be desk-based. As noted, at this stage in the scheme there will be no works on site and no development. However, as the scheme proceeds there will be detailed Carbon Impact Assessments at key stages such as the demolition of the current derelict buildings and the new development.

Supporting information:	
Completed by: (Name, title, and service area/directorate).	Maria Smith, Regeneration and Development Project Manager, RIDO, R&E
Please outline any research, data, or information used to complete this [form].	Information and advice has been provided by Gateley Hamer and Turner Townsend (surveyors and consultants on the project).
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]	

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Committee Name and Date of Committee Meeting

Cabinet – 23 January 2023

Report Title

Rotherham Museums, Arts & Heritage Collections Management Policy

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)

Leanne Buchan, Head of Creative Programming & Engagement
01709 822056 leanne.buchan@rotherham.gov.uk

Lisa Howarth, Museums, Arts & Heritage Manager
01709 336633 lisa.howarth@rotherham.gov.uk

Ward(s) Affected

Borough-Wide

Report Summary

This report sets out the updated Collections Management Policy for the Rotherham Museums, Arts & Heritage Service. The Policy forms part of the key evidence base which enables the service to achieve Museums Accreditation from Arts Council England. Without Museum Accreditation, the Museums, Arts and Heritage Service cannot apply for funding to the Arts Council of England (ACE) and will not be able to take forward its conditional offer to join the Arts Council of England National Portfolio Organisation programme, which represents an investment of £250,000 per year for the next three years.

Recommendations

1. That Cabinet approves the Collections Management Policy (2023).
2. That Cabinet approves the delegation to the Assistant Director of Culture, Sport and Tourism in consultation with the Cabinet Member for Social Inclusion for any future changes or new versions of the Collections Policy.

List of Appendices Included

Appendix 1 Rotherham Museums, Arts & Heritage Collections Management Policy
Appendix 2 Equalities Screening & Analysis Part A & Part B
Appendix 3 Carbon Impact Assessment

Background Papers

Rotherham Cultural Strategy 2019-2026
Rotherham Health & Wellbeing Strategy 2018-2025
Rotherham Collections Development Policy 2016
Rotherham Collections Care and Conservation Policy 2016
Rotherham Collections Documentation Policy 2016

Consideration by any other Council Committee, Scrutiny or Advisory Panel

N/A

Council Approval Required

No

Exempt from the Press and Public

No

Rotherham Museums, Arts & Heritage Collections Management Policy

1. Purpose

- 1.1 This report outlines updates and amendments to the Collections Management Policy, which is a key document for the Museums Accreditation process via Arts Council England.
- 1.2 The Museums Accreditation scheme is the UK industry standard for museums and galleries and ensures museums are managing their collections, engaging with visitors and are governed appropriately. It is managed as a UK partnership between Arts Council England, the Welsh Government, Museums Galleries Scotland and the Northern Ireland Museums Council. It is a national benchmark for a well-managed museum, demonstrating professionalism, accountability and gives confidence to donors, partners, and supporters. Being Museums Accredited also opens up opportunities for museums, including funding opportunities, donations and new partnerships.
- 1.3 Full Museums Accreditation lasts for five years and the Museums, Arts & Heritage service was last accredited on 25th February 2016. However, due to backlogs within Arts Council England caused by the Covid-19 pandemic, the application process for renewal has been delayed and is expected in 2024. This gives the service time to ensure all policies and procedures are current, fit for purpose and embedded within the service delivery plan in preparation for the next application window.
- 1.4 Museums Accreditation will also enable the Museum, Arts & Heritage service to secure external funding through Arts Council England and other funders, for the Rotherham Collection and the wider service. Although relating to the collection the accreditation is applied to a specific venue where the collection can be displayed, in this case Clifton Park Museum. As part of the accreditation process the service must demonstrate appropriate policies and procedures to support the care of collections.

2. Background

2.1 Strategic Context

- 2.1.1 The Collections Management Policy aims to ensure that there is a well-managed collection for residents and visitors to enjoy which is representative and inclusive of its residents and can be accessed and enjoyed by people at all stages of their lives. The Rotherham Collection enables the Museums, Arts & Heritage service to develop a range of activities and programmes from toddler clubs to dementia workshops which utilise the objects in the collection to inspire learning, share stories, build cohesion, develop civic pride and improve the mental health and wellbeing of residents from across the borough.
- 2.1.2 Throughout 2018 partners from across the culture, voluntary and community sectors came together to collectively develop a new Cultural

Strategy for Rotherham, which was adopted by a number of organisations, including Rotherham Council in June 2019. The strategy sets out seven game-changers for transforming the cultural landscape of Rotherham, three of which underpin the development of the Collections Management Policy:

- Vital Neighbourhoods - focusing on ensuring that services, venues and programmes are truly representative of Rotherham's communities and enabling access to high-quality cultural provision locally.
- A Vibrant Heart – developing a rich and diverse cultural offer in the Town Centre including Clifton Park Museum.
- Passion to Profession – enabling engagement opportunities which build confidence and skills for life and work.

The Collections Management Policy aims to deliver against these objectives through the provision of access to collections at Clifton Park Museum and the creation of a collection which seeks to ensure appropriate representation and inclusion of the diverse range of communities in Rotherham.

2.1.3 Rotherham's joint Health & Wellbeing Strategy 2018-2025 sets out four strategic aims which include:

- 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

The Collections Management Policy will support the achievement of these aims through ensuring that the Rotherham Collection, which underpins many of the activities of the Museums, Arts & Heritage Service is well managed, appropriately maintained and accessible to a wider range of communities both in museum and community settings.

2.2 **Museums, Arts & Heritage**

2.2.1 Established in 1893 the Rotherham Collection holds more than 76,000 objects which tell the story of Rotherham's communities and shared heritage. Formed under the close supervision of the V&A, the collection included treasures from Rotherham's illustrious history, from the pottery that graced the tables of Buckingham Palace's finest banquets to the tools from the coal face of industry and the stories of ordinary working life across the borough.

2.2.2 Alongside the care of the Rotherham Collection, the Rotherham Museums, Arts & Heritage service manages Clifton Park Museum and

Boston Castle, as well as five heritage sites across the borough which are: Keppel's Column, Catcliffe Glass Cone, Rockingham Waterloo Kiln, Payne Mausoleum and Walker Mausoleum. It is also responsible for the statutory Rotherham Archives and Local Studies Service and is the caretaker of the Rotherham York & Lancaster Regimental Collection on behalf of the sole trustee, Rotherham Metropolitan Borough Council.

3. Key Issues

3.1 Collections Management Policy

3.1.1 Guidance on Museums Accreditation states that the Collections Management Policy should clearly set out how the service will develop, document, and look after its museum collections. The Museum Collection Policies were last updated in 2016 for the last Museums Accreditation renewal. The policies were published as three individual policies:

- Collections Development Policy
- Collections Care and Conservation Policy
- Collections Documentation Policy

The new Collections Management Policy rationalises these policies creating a single Collections Management Policy which covers the above requirements and takes on board the areas for improvement recommended in the recent Museum Collection Audit.

3.1.2 The Collections Management Policy has four main sections detailing:

- Collections Development – showing how collections development activities (acquisition, appraisal, deaccessioning, and disposal) link clearly to the service's mission and meet ethical commitments and legal requirements.
- Collections Care and Conservation – outlines the duty of care and responsibilities towards the collection, ensuring the long-term preservation of objects.
- Collections Documentation - ensures that collections documentation activities provide useful and useable information, are linked to the service's overarching mission and meet ethical commitments and legal requirements.
- Collection Loans – showing how the service manages collection loans in and out of the service, to ensure transparency, collection care and responsibility.

3.1.3 The Collections Management Policy is intended to be delivered in conjunction with the following documents:

- Collections Management Plan – which sets out priorities, activities and resources required to implement the Collections Management Policy.

- Collections Management Procedures Manual – which includes the processes of managing collections effectively using UK collection management standards (known as ‘Spectrum’.)
- Business Continuity Plan – which sets out the procedures required to implement in an emergency or disruption to normal working and outlines actions to secure and care for all assets, both during and after.

3.1.4 The policy sets out key themes for the future development of the collection which include:

- Archaeology - This will include all land within the boundaries of Rotherham Metropolitan Borough. Priority will be given to artefact material and residues from processed samples dating from the Palaeolithic period to the Medieval period. Particular emphasis will be placed on non-flint material of the pre-Roman period, and also to the early Medieval period where there are gaps in the collection.
- Decorative Art – Priority will be given to wares produced by the potteries that manufactured within Rotherham Metropolitan Borough that enhance and fill gaps in the current collections along with decorative and utilitarian glassware produced by the manufacturers that operated within Rotherham Metropolitan Borough.
- Fine Arts – Priority will be given to works produced by Rotherham artists or of Rotherham scenes, especially produced within the last 50 years; Sample arts works owned or displayed by Rotherham people of different classes and cultures, from different eras, to show art in the home; Commissioned works by contemporary artists and/or works associated with Rotherham.
- Natural Sciences – Priority will be given to vertebrates, especially older documented specimens of historic or by named local taxidermists or specimens from a Rotherham collector, but only where specimen source is known or assured; Palaeontology, with a focus on palaeontomological specimens and palaeobotanical material, not represented in the collections; Geology, collecting will prioritise local specimens with good data that fill gaps in the existing collection. Advice will be sought in acquiring specimens from sites of scientific interest where specific rock types or exposures are very scarce or better preserved in situ.

4. Options considered and recommended proposal

4.1 Do Nothing

The current collections policies were adopted in 2016 as part of Museums Accreditation and have not been updated in light of the current guidance for Museums Accreditation or the changes to the service in terms of its refreshed mission and stronger focus on community engagement and participation.

To 'Do Nothing' would risk the loss of Museums Accreditation as the policies would not be fit for purpose. In losing accreditation the service would also lose the conditional offer of NPO funding from Arts Council England, having a financial impact of £750,000 over the next three years.

4.2 Adopt the Collections Management Policy

The Collections Management Policy appropriately reflects the current mission and values of the Museums, Arts & Heritage service and its commitment to ensuring community voice and influence within its activities.

The draft policy responds to and implements the recommendations from the recent Internal Audit of the Museum Collection and ensures that plans are in place for the safe and appropriate care of collections for future generations.

The policy will enable the service to retain its Museums Accreditation and fully participate in the Arts Council England NPO Programme. Although a conditional offer has been received from Arts Council England of £750,000 for the service and the communities it serves over the next three years, the process of due diligence checks will take place over the next three months to ensure that the appropriate policies are in place to support delivery.

This is the recommended option.

5. Consultation on proposal

- 5.1 In developing the Collections Management Policy, consultation has taken place with the Council's Equalities, Asset Management and Climate Change Teams and Arts Council England. Consultation and benchmarking has also taken place with Museums Development Yorkshire and other local authority museum services across South Yorkshire to ensure that the policy is in line with best practice nationally.

6. Timetable and Accountability for Implementing this Decision

- 6.1 The Collections Management Policy is being presented for adoption by Cabinet on 23rd January 2023. Should the policy be approved, it will be adopted with immediate effect, subject to call-in procedures.
- 6.2 The Head of Creative Programming and Engagement and Museums, Arts & Heritage Manager will have overall accountability for the implementation of the policy and the supporting Collections Management Plan working closely with the Collections and Exhibitions team within the service.
- 6.3 Museums Accreditation inspection is expected to take place early 2024 but the timeframe has not yet been announced.

7. Financial and Procurement Advice and Implications

- 7.1 The Museums Arts and Heritage service operates on an approved net budget of £436,895 (Gross £594,175). By having a compliant Collections Management Policy, the service can better avail itself of funding opportunities from within the wider sector.
- 7.2 There are no direct procurement implications arising from the recommendations detailed in this report.

8. Legal Advice and Implications

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

9. Human Resources Advice and Implications

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

10. Implications for Children and Young People and Vulnerable Adults

- 10.1 The Rotherham Collection forms the foundation for the outreach, engagement and learning activities across the Museums, Arts & Heritage service and forms the basis of all exhibitions and associated programmes at Clifton Park Museum. Without the Rotherham Collection these programmes would not offer the same level of high-quality experience which supports education and learning, health and wellbeing, community cohesion and civic pride in museums, schools, care homes and community settings.
- 10.2 As Rotherham prepares to become the world's first Children's Capital of Culture in 2025, the Museums, Arts and Heritage Service is working to ensure that the voice and influence of children and young people is prevalent in its collections and programmes. Consideration will also be given to the Young Producer programme opening up opportunities for traineeships in collections management and development.

11. Equalities and Human Rights Advice and Implications

- 11.1 An Equalities Impact Screening, Assessment and Action Plan can be found at Appendix 2.
- 11.2 The Museums, Arts & Heritage service has undertaken extensive service transformation over the last three years which has included a number of research activities and pilot programmes with targeted groups to better understand their current levels of participation and engagement, representation within the collection and exhibitions, and barriers that prevent greater levels of engagement. Through these carefully co-produced programmes the service has begun to see a change in its audience profile with more communities from Global Majority backgrounds engaging, as well as a growth in engagement from children and young

people. These programmes have enabled the service to test new models of co-production and co-creation, building greater voice and influence for communities which guide the activities of the service including its management of collections. An example of how the service has co-produced with communities, is in relation to language. Through consultation, the service has reviewed language related to equalities and worked with residents to identify preferred terms when referring to “BAME” communities, such as “Global Majority” in order to more accurately represent ethnicity within the work of the service.

- 11.3 The Collections Management Policy seeks to build on the learning from these projects and further embed voice and influence into the policies that govern the development, management and care of the Rotherham Collection. Based on the experiences of these programmes and the data gathered through the Audience Finder programme the service has identified the following key audiences with which to form deeper connections with both the museum and collections. The service will therefore have a focus on the following:
- Global Majority Communities – specifically those of Pakistani, African, Roma/Slovak, Chinese and Yemeni decent whose heritage is more prevalent in Rotherham’s communities.
 - Children & Young people – through a focus on intergenerational families and the key relationships that children and young people have with significant adults in their lives.
- 11.4 Whilst the service will focus on these groups for development purposes, it will strive to ensure that all of Rotherham’s communities are represented and included.
- 11.5 The Equalities Action Plan sets out a series of measures for improving equalities at three levels of implementation:
- Museums, Arts & Heritage – service level, ensuring that equalities, diversity and inclusion is embedded at all levels of the service
 - Rotherham Collection – utilising the Collections Management Policy to improve inclusivity and relevance of the objects within the care of the service

Clifton Park Museum – Museums Accreditation is assigned to a specific venue as such consideration has been given in ensuring that this venue where most of the opportunity for displaying collections exists, is fit for purpose in ensuring inclusivity for a diverse range of audiences.

12. Implications for CO2 Emissions and Climate Change

- 12.1 A Carbon Impact Assessment can be found at Appendix 2.
- 12.2 The key implication for CO2 Emissions and Climate Change is related to the storage of the collection, which is currently in two locations: Wath and Bailey House, Rotherham. Rationalising the collection will enable it to be

stored in a single facility and will eventually help to reduce the CO2 emissions by moving to a single space.

In addition, a Decarbonisation report has been carried out on Bailey House, which included a review on heating systems, and identifying emission improvements including insulation in the building.

13. Implications for Partners

- 13.1 There are no direct implications for partners as the policy relates only to those collections wholly owned by Rotherham Metropolitan Borough Council.

14. Risks and Mitigation

- 14.1 Lack of sustainable funding model for the service:
Through the adoption of the Collections Management Policy the service is enabled to secure Museums Accreditation, and therefore additional grants from funders such as Arts Council England and Art Fund.
- 14.2 Inappropriate storage for museum collection:
The Collections Management Policy enables the service to begin the process of auditing and rationalising collections at Wath Store with a view to creating a single store at Bailey House.
- 14.3 Lack of inclusion within and access to the collection:
The Museums, Arts & Heritage Service acts as a custodian of the Rotherham Collection on behalf of the borough. Through its programme of exhibitions, events, and educational activities it will ensure that the collection is developed to become representative of communities from across the borough and that greater access for engagement with the collections is made available both within museum and community settings. The Equalities Action Plan contained at Appendix 2 provides mitigation for this risk.

15. Accountable Officers

Leanne Buchan, Head of Creative Programming & Engagement
Lisa Howarth, Museums, Arts & Heritage Manager

Approvals obtained on behalf of Statutory Officers: -

	Named Officer	Date
Chief Executive	Sharon Kemp	09/01/23
Strategic Director of Finance & Customer Services (S.151 Officer)	Judith Badger	03/01/23
Assistant Director, Legal Services (Monitoring Officer)	Phillip Horsfield	23/12/22

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MUSEUM

ACCREDITATION

Accreditation Scheme for Museums and Galleries in the United Kingdom

Collections Management Policy

**Clifton Park Museum
Rotherham Museums, Arts and Heritage
Rotherham Metropolitan Borough Council**

Name of museum:

Clifton Park Museum

Name of governing body:

Rotherham Metropolitan Borough Council

Date on which this policy was approved by governing body:

23 January 2023

Policy review procedure:

The Collections Management Policy will be published and reviewed from time to time, at least once every five years.

Date at which this policy is due for review:

22 January 2026

Arts Council England will be notified of any changes to the collections management policy, and the implications of any such changes for the future of collections.

1. General Overview

- 1.1 Rotherham Museums Arts and Heritage is managed by Rotherham Metropolitan Borough Council and sits within the Creative Programming & Engagement service of the Culture, Sport and Tourism team, which is part of the wider Regeneration and Environment Directorate.
- 1.2 This Collections Management Policy brings together the previous Collections Development, Collections Care and Conservation, and Documentation Policies for the museum collections in the care of Rotherham Museums, Arts and Heritage service.

2. Relationship to other relevant policies/plans of the organisation

- 2.1 This policy has been written in accordance with statement of purpose of Rotherham Museums, Arts and Heritage. The mission of the service is to *'Spark imagination, curiosity, and roots through the celebration of Rotherham's people, stories, spaces and collections'*. This mission is underpinned by five values: generosity, quality, inclusivity, wonder and resilience.
- 2.2 This policy should be read in conjunction with the Service's plans relevant to its implementation including the Collections Management Plan, the Collections Management Procedures Manual and the Emergency Plan.
- 2.2 In developing this policy, the Service has taken into account Spectrum primary documentary procedures, PAS 197:2009 (Code of Practice for Cultural Collections Management), Benchmarks in Collections Care, PD 5454:2012 (Guide for the Storage & Exhibition of Archival Materials), PAS 198 (Specification for Managing Environmental Conditions for Cultural Collections), CoSHH (Control of Substances Hazardous to Health, 2002), Health & Safety at Work Act 1974 and the Museums Association Code of Ethics.

3. History of the collections

- 3.1 Rotherham Museums, Arts and Heritage manages Clifton Park Museum and Boston Castle, as well as five heritage sites across the Borough: Keppel's Column, Catcliffe Glass Cone, Rockingham Waterloo Kiln, Payne Mausoleum and Walker Mausoleum. It also manages Rotherham Archives and Local Studies and the Rotherham York and Lancaster Regimental Collection on behalf of the sole trustee Rotherham Metropolitan Borough Council.
- 3.2 Core to our service are an estimated 76,000 objects which have been collected since Clifton Park Museum opened to the public in July 1893. The Corporations Parks Committee administered the museum through the first Curator, Mr Moore. The displays were put together under the supervision of Mr Key from the V&A museum. The collections on display during the nineteenth century were mainly loans from other museums, local gentry or nobility, and local societies. Many of these loans have since been donated or accessioned into the permanent collections. Many local societies and individuals also gave items to the museum.
- 3.3 In the 1920s, the collections were developed under the leadership of Ethert Brand to include objects from all over the world and every aspect of history and art. The museum purchased Brand's personal collection of geological and natural history specimens and

ceramics after his death in 1938.

- 3.4 In the 1940s, Dorothy Greene took over as Honorary Curator. Greene was a keen amateur archaeologist and developed the collections along these lines. She worked with the Rotherham Archaeology Society as well as on her own excavations; especially the Templeborough Roman settlement for which Rotherham is well known.
- 3.5 In the 1970s, the first full time professional curatorial staff were employed by the museum and the collections were developed to concentrate on local interest.
- 3.6 In 2007, the museum collections were badly affected by a flood at one store and many items were either disposed of or conserved depending upon their condition.
- 3.7 In 2011, the museum service merged with Rotherham Archives and Local Studies to form Heritage Services and in 2019, with a renewed focus on the museums, collections and public spaces in our care, we became Rotherham Museums, Arts & Heritage. The service is committed to enabling greater community voice and influence. Following an open and inclusive recruitment process, a Community Story Board will be formed in 2023, further democratising our decision making, and bringing critical debate and challenge to our leadership.

4. Collections Development Policy

- 4.1 The Service has a long-term purpose and holds collections in trust for the benefit of the public in relation to its stated objectives. The governing body, (Rotherham Museums, Arts & Heritage), therefore, accepts the principle that sound curatorial reasons must be established before consideration is given to any acquisition to the collection, or the disposal of any items in the museum's collection.
- 4.2 The governing body (Rotherham Museums, Arts & Heritage) will ensure that both acquisition and disposal are carried out openly and with transparency.
- 4.3 Rotherham Museums, Arts and Heritage recognises its responsibility, when acquiring additions to its collections, to ensure that care of collections, documentation arrangements and use of collections will meet the requirements of the Museum Accreditation Standard. This includes using Spectrum primary procedures for collections management. It will take into account limitations on collecting imposed by such factors as staffing, storage and care of collection arrangements.
- 4.4 Rotherham Museums, Arts and Heritage will undertake due diligence and make every effort not to acquire, whether by purchase, gift or bequest, any object or specimen unless the governing body or responsible officer is satisfied that the service can acquire a valid title to the item in question.
- 4.5 Rotherham Museums, Arts and Heritage will not undertake disposal motivated principally by financial reasons.
- 4.6 Rotherham Museums, Arts and Heritage recognises its responsibility to work within the parameters of the Museums Association Code of Ethics when considering acquisition and disposal.

- 4.7 Acquisitions outside the current stated policy will only be made in exceptional circumstances.

5. **Acquisition - Themes and priorities for future collecting**

- 5.1 Additions to the permanent collections will be primarily of provenanced material made, used or associated with people, places or activities within Rotherham Metropolitan Borough. Non-local material, including common or mass-produced items of a type which would have been used by people living in the Rotherham area, may be acquired to fill gaps in an existing collection or for specific purposes of study or display providing no other Registered or Accredited Museum has a prior claim.
- 5.2 Rotherham Museums, Arts and Heritage will not acquire objects simply as assets. All objects will need to have a long-term purpose and use. Where possible, objects should be contextualised through documentation, oral history and photographs to fully interpret them.
- 5.3 Over time it is anticipated that the Rotherham Museums, Arts & Heritage Service may play a more active role in the documentation and management of Public Art collections. A position statement will be developed in collaboration with other local authority departments and external stakeholders as an addendum to this policy as work progresses in exploring Rotherham's approach to Public Art.
- 5.4 In order to address gaps in the collection related to the experiences of people and communities with protected characteristics, Rotherham Museums, Arts and Heritage Service will work to address inequalities. In addition, the service will work to ensure that appropriate method and language is used to interpret collections e.g., Global Majority instead of BAME, ensuring inclusion of Q+ communities for LGBT objects
- 5.5 The collecting priorities for each collection are as below:

Archaeology

- The collecting area will include all land within the boundaries of Rotherham Metropolitan Borough. Priority will be given to artefact material and residues from processed samples dating from the Palaeolithic period to the Medieval period. Particular emphasis will be placed on non-flint material of the pre-Roman period, and also to the early Medieval period where there are gaps in the collection.
- Any chance finds offered to the Museum will be referred to the local Finds Liaison Officer for recording under the Portable Antiquities Scheme, if not already reported.
- Archaeological archives will only be accepted in line with the conditions set out in The Renaissance Yorkshire Archaeological Archive Deposition Policy.

Decorative Art

Priority will be given to:

- Wares produced by the potteries that manufactured within Rotherham Metropolitan Borough that enhance and fill gaps in the current collections along with decorative and utilitarian glassware produced by the manufacturers that operated within Rotherham Metropolitan Borough.

Fine Art

Priority will be given to:

- Works produced by Rotherham artists or of Rotherham scenes, especially produced within the last 50 years.
- Sample arts works owned or displayed by Rotherham people of different classes and cultures, from different eras, to show art in the home.
- Commissioned works by contemporary artists and/or works associated with Rotherham

Natural Sciences

Priority will be given to:

- Prepared specimens from Rotherham Metropolitan Borough, which would enhance the Rotherham story or improve display and research to the general public.
- Vertebrates, especially older documented specimens if historic or by named local taxidermists or specimens from a Rotherham collector, but only where specimen source is known or assured.
- Palaeontology, with a focus on palaeoentomological specimens and palaeobotanical material, not represented in the collections.
- Geology, collecting will prioritise local specimens with good data that fill gaps in the existing collection. Advice will be sought in acquiring specimens from sites of scientific interest where specific rock types or exposures are very scarce or better preserved in situ.

Social History and Industrial History

Priority will be given to:

- Provenanced material relating to the last 100 years.
- Material that reflects the changing nature of communities within the Rotherham Borough particularly during the 19th and 20th centuries, through immigration and the collapse of heavy industry.
- Material and supporting information relating to the history of Clifton House and Park, including the Walker family and other former occupants.
- Complete outfits of all periods with associated information to fill gaps in existing collection.
- Material relating to Rotherham Militia and locally raised units apart from the York and Lancaster Regiment.
- Material relating to manufacturing industries, trades and crafts formerly carried out within the borough, especially domestic cast ironwork and other metal work, pottery and glass, together with supporting information about the people who worked in them.
- Occupational costume of all periods
- Gaps in the collection created by the disposal of flood damaged items since 2007

World Cultures

The World Cultures Collection will cease to exist and will be incorporated into existing collections.

This is because the consultation process identified that this collection does not represent Rotherham's Global Majority communities and instead those communities want to be included in the main collection, recognising that what were previously seen as 'other' cultures are now recognised as 'our' culture.

The service will actively work to ensure representation of all people with protected characteristics who are currently under-represented in the collections. This work will be monitored through our Equalities Action Plan.

6. **Acquisition - Collecting policies of other museums**

6.1 The museum will take account of the collecting policies of other museums and other organisations collecting in the same or related areas or subject fields. It will consult with these organisations where conflicts of interest may arise or to define areas of specialism, in order to avoid unnecessary duplication and waste of resources.

6.2 Specific reference is made to the following museums/organisations:

- Rotherham Archives & Local Studies
- York & Lancaster Regimental Collection
- Sheffield Museums Trust
- Heritage Doncaster
- Barnsley Metropolitan Borough Council Museums & Galleries
- MAGNA
- Local History Societies within Rotherham Metropolitan Borough
- Rotherham Biological Records Centre
- Creswell Heritage Trust
- Wentworth Woodhouse Preservation Trust

6.3 Rotherham Museums, Arts and Heritage may from time to time seek to acquire items jointly with other services, which are also managed by Rotherham Museums, Arts and Heritage Services: Rotherham Archives & Local Studies and The York & Lancaster Regimental Collection.

7. **Acquisition - Archival holdings**

7.1 Rotherham Museums, Arts and Heritage will not seek to acquire archive material. Material of relevance to the museum collections will be passed to Rotherham Archives & Local Studies within Rotherham Museums, Arts and Heritage and cross referenced for ease of use.

8. **Acquisition – Procedures**

The policy for agreeing acquisitions is:

8.1 Potential acquisitions are assessed by the Collections and Exhibitions Team against this policy and considered at a regular review panel, led by the Museums, Arts and Heritage Manager. The Community Story Board will be formed, with representatives from across the different communities of Rotherham, to draw on a wide range of lived experiences and cultures across the borough. Members of the Community Story Board will be invited to

attend the panel regularly, be involved in dialogue regarding collection development and inform future collecting priorities.

- 8.2 The service will not acquire any object unless it is satisfied that it has not been acquired in, or exported from, its country of origin (or any intermediate country in which it may have been legally owned) in violation of that country's laws.
- 8.3 In accordance with the provisions of the UNESCO 1970 Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property, which the UK ratified with effect from November 1st 2002, and the Dealing in Cultural Objects (Offences) Act 2003, the museum will reject any items that have been illicitly traded. The governing body will be guided by the national guidance on the responsible acquisition of cultural property issued by the Department for Culture, Media and Sport in 2005
- 8.4 So far as biological and geological material is concerned, the service will not acquire by any direct or indirect means any specimen that has been collected, sold or otherwise transferred in contravention of any national or international wildlife protection or natural history conservation law or treaty of the United Kingdom or any other country, except with the express consent of an appropriate outside authority.
- 8.5 The service will not acquire archaeological material (including excavated ceramics) in any case where the governing body or responsible officer has any suspicion that the circumstances of their recovery involved a failure to follow the appropriate legal procedures. In England, Wales and Northern Ireland the procedures include reporting finds to the landowner or occupier of the land and to the proper authorities in the case of possible treasure (i.e. the Coroner for Treasure) as set out in the Treasure Act 1996 (as amended by the Coroners & Justice Act 2009).
- 8.6 The service will use the statement of principles 'Spoliation of Works of Art during the Nazi, Holocaust and World War II period', issued for non-national museums in 1999 by the Museums and Galleries Commission.

9. **Exceptions**

- 9.1 Any exceptions to the above clauses will only be because the service is:
 - acting as an externally approved repository of last resort for material of local (UK) origin
 - acting with the permission of authorities with the requisite jurisdiction in the country of origin
- 9.2 In these cases the museum will be open and transparent in the way it makes decisions and will act only with the express consent of an appropriate outside authority. The museum will document when these exceptions occur.

10. **Rationalisation and disposal**

- 10.1 The service recognises that the principles on which priorities for rationalisation and disposal are determined will be through a formal review process that identifies which collections are included and excluded from the review. The outcome of review and any subsequent rationalisation will not reduce the quality or significance of the collection and will result in a more useable, well managed collection.

- 10.2 The procedures used will meet professional standards. The process will be documented, open and transparent. There will be clear communication with key stakeholders about the outcomes and the process.
- 10.3 The service currently aims to rationalise the collections by disposing of duplicate material and items of a non-Rotherham provenance that have no display, educational or research value. The service also holds a large amount of non-local provenanced objects that do not fit within this current policy. The service will also dispose of items that are in an unacceptable condition, where it is economically unjustifiable to conserve them.

11. **Disposal procedures**

- 11.1 All disposals will be undertaken with reference to the Spectrum Primary Procedures on disposal.
- 11.2 The governing body (Rotherham Museums, Arts & Heritage Service) will confirm that it is legally free to dispose of an item. Agreements on disposal made with donors will also be taken into account.
- 11.3 When disposal of a museum object is being considered, the service will establish if it was acquired with the aid of an external funding organisation. In such cases, any conditions attached to the original grant will be followed. This may include repayment of the original grant and a proportion of the proceeds if the item is disposed of by sale.
- 11.4 When disposal is motivated by curatorial reasons the procedures outlined below will be followed and the method of disposal may be by gift, sale, exchange or as a last resort - destruction.
- 11.5 The decision to dispose of material from the collections will be taken by the governing body only after full consideration of the reasons for disposal. Other factors including public benefit, the implications for the museum's collections and collections held by museums and other organisations collecting the same material or in related fields will be considered. Expert advice will be obtained and the views of stakeholders such as donors, researchers, local and source communities, and others served by the museum will also be sought.
- 11.6 A decision to dispose of a specimen or object, whether by gift, exchange, sale or destruction (in the case of an item too badly damaged or deteriorated to be of any use for the purposes of the collections or for reasons of health and safety), will be the responsibility of the governing body of the service, held annually, acting on the advice of professional curatorial staff. Any decisions made would be progressed through to the Authorities delegated powers for authorisation.
- 11.7 Once a decision to dispose of material in the collection has been taken, priority will be given to retaining it within the public domain. It will therefore be offered in the first instance, by gift or sale, directly to other Accredited Museums likely to be interested in its acquisition.
- 11.8 If the material is not acquired by any Accredited Museum to which it was offered as a gift or for sale, then the museum community at large will be advised of the intention to dispose of the material normally through a notice on the Museum Association's Find an Object web listing service, an announcement in the Museums Association's Museums Journal or in other specialist publications and websites where appropriate.

- 11.9 The announcement relating to gift or sale will indicate the number and nature of specimens or objects involved, and the basis on which the material will be transferred to another institution. Preference will be given to expressions of interest from other Accredited Museums. A period of at least two months will be allowed for an interest in acquiring the material to be expressed. At the end of this period, if no expressions of interest have been received, the museum may consider disposing of the material to other interested individuals and organisations giving priority to organisations in the public domain.
- 11.10 Any monies received by the museum governing body from the disposal of items will be applied solely and directly for the benefit of the collections. This normally means the purchase of further acquisitions. In exceptional cases, improvements relating to the care of collections in order to meet or exceed Accreditation requirements relating to the risk of damage to and deterioration of the collections may be justifiable. Any monies received in compensation for the damage, loss or destruction of items will be applied in the same way. Advice on those cases where the monies are intended to be used for the care of collections will be sought from the Arts Council England.
- 11.11 The proceeds of a sale will be allocated so it can be demonstrated that they are spent in a manner compatible with the requirements of the Accreditation standard. Money must be restricted to the long-term sustainability, use and development of the collection.
- 11.12 The museum will not dispose of items by exchange.
- 11.13 If it is not possible to dispose of an object through transfer or sale, the governing body may decide to destroy it.
- 11.14 It is acceptable to destroy material of low intrinsic significance (duplicate mass-produced articles or common specimens which lack significant provenance) where no alternative method of disposal can be found.
- 11.15 Destruction is also an acceptable method of disposal in cases where an object is in extremely poor condition, has high associated health and safety risks or is part of an approved destructive testing request identified in an organisation's research policy.
- 11.16 Where necessary, specialist advice will be sought to establish the appropriate method of destruction. Health and safety risk assessments will be carried out by trained staff where required.
- 11.17 The destruction of objects should be witnessed by an appropriate member of the museum workforce. In circumstances where this is not possible, e.g. the destruction of controlled substances, a police certificate should be obtained and kept in the relevant object history file.

12. The Repatriation and Restitution of objects and human remains

- 12.1 The museum's governing body, acting on the advice of the museum's professional staff may take a decision to return human remains (unless covered by the 'Guidance for the care of human remains in museums' issued by DCMS in 2005), objects or specimens to a country or people of origin. The museum will take such decisions on a case-by-case basis; within its legal position and taking into account all ethical implications and available guidance. This will mean that the procedures described in 11.1-17 will be followed but the remaining procedures are not appropriate.

- 12.2 The disposal of human remains from museums in England, Northern Ireland and Wales will follow the procedures in the 'Guidance for the care of human remains in museums issued by DCMS in 2005.

13. Collections Care and Conservation Policy

Collections Care – Preventative Conservation

- 13.1 Rotherham Museum, Arts and Heritage Service is committed to achieving the highest standards of collections care within the limits of its resources.
- 13.2 The Collections and Exhibitions Team is responsible for all day-to-day aspects of preventative conservation. This includes collecting data, monitoring the environment, calibration and taking mitigating actions.
- 13.3 The Collections and Exhibitions Manager is responsible for agreeing how, when and where preventative conservation will occur within the Museum, Arts and Heritage Service, and for setting limits for temperature/relative humidity/light.
- 13.4 Data collected from the monitoring of temperature, Relative Humidity, light/Ultra Violet and pests will be analysed on a quarterly basis by the Collections and Exhibitions Officers. A report (including any issues and recommendations) will be produced and submitted to the Collections and Exhibitions Manager. The Collections and Exhibitions Manager will discuss issues and recommendations with the Museum, Arts and Heritage Manager (and any other relevant members of the Museums, Arts, and Heritage Service) and will agree any actions to be taken to mitigate the issues.
- 13.5 All data collected as part of environmental and pest monitoring will be kept for at least 10 years. Earlier data will be reviewed and deleted/ disposed or retained as determined is necessary. Raw data is stored electronically. Reports are stored electronically and a hard copy is also retained
- 13.6 Materials used to construct cases will be evaluated and only items which do not emit gaseous pollutants will be used e.g. zero formaldehyde MDF (ZMDF) or acid-free tissue/card. Within the limits of our resources, we will replace all unsuitable packaging with conservation grade acid-free packaging.

14. Environmental Awareness

- 14.1 Rotherham Museums, Arts and Heritage is aware of its responsibilities related to the environment and climate change.
- 14.2 The Service will take account of the expected collection lifetime and the energy demand arising from the conditions needed to achieve this. In undertaking this, the Service will take account of the sensitivity, significance and use of individual collection items.
- 14.3 The Service will ensure that the collections are kept in the most appropriate conditions, and wherever possible we will reduce the amount of energy used in caring for the collections.

15. Collections Care – Remedial Conservation

- 15.1 Rotherham Museum, Arts and Heritage Services is committed to achieving the highest standards of remedial conservation and restoration within the limits of our resources. Remedial conservation is the treatment of museum objects to halt existing damage (e.g. the freezing of textiles to halt an infestation of clothes moth). Restoration is the treatment of museum objects to repair existing damage (e.g. putting a broken sculpture back together and filling-in any missing pieces).
- 15.2 Items will be selected for remedial conservation and/or restoration according to the Services priorities as set out in the Rotherham Museums, Arts and Heritage Business Plan. The Collections Management Plan sets out details of priorities for collections care and conservation.
- 15.3 For minor interventive work (such as basic cleaning, packing or treatment for pests), appropriately trained members of the Museums, Arts and Heritage Service staff and volunteers can undertake this work. It is the responsibility of the Collections and Exhibitions Manager to ensure anyone undertaking such work on the collections receives appropriate training.
- 15.4 Where interventive conservation falls outside of the competence of the Service's staff or volunteers, and resources allow, then the Service will contract an ICON Conservation Registered conservator to undertake the work. All work undertaken by any external conservator will be overseen by the Collections and Exhibitions Manager.
- 15.5 All interventive treatments must be agreed by the Museums, Arts and Heritage Manager prior to treatment starting. The only exception to this is where delaying treatment might cause further damage to the item itself or other items within the collection. This would normally only be in the instance of a significant infestation or for health & safety considerations.
- 15.6 For any interventive conservation, appropriate ethical concerns will be considered. This will include whether or not it is ethical to conserve the item at all, and if so, how far it is ethical to conserve it. These questions will be considered by the Collections and Exhibitions Team in consultation with the external conservator.
- 15.7 Conservation Treatment Records are requested for every item undergoing interventive conservation. These records are input on the Collections Management System (Adlib). A paper copy is also retained within the relevant Object History File.

16. The Buildings

- 16.1 Rotherham Museums, Arts and Heritage Service recognises that the maintenance of its buildings is fundamental to the preservation of both the buildings and collections and endeavours to ensure that the buildings are maintained in a suitable condition. The museum's collection is stored and displayed in the following buildings. The body responsible for the upkeep of the buildings is listed.

Building	Used for	Owner	Upkeep carried out by
Clifton Park Museum	Museum Display Museum Storage Archive Storage	RMBC	RMBC Asset Management Services overseen by Museum, Arts and Heritage Service
Bailey House	Museum Storage Archive Storage	RMBC	RMBC Asset Management Services, overseen by Collections and Exhibitions Manager, Museum, Arts and Heritage Service
Wath Store	Museum Storage	RMBC	RMBC Asset Management Services, overseen by Collections and Exhibitions Manager, Museum, Arts and Heritage Service
Boston Castle	Museum Display	RMBC	RMBC Asset Management Services, overseen by Museum, Arts and Heritage Service
Riverside House	Museum Display	RMBC	RMBC Asset Management Services

- 16.2 A Service Level Agreement between Asset Management Service and Museums, Arts and Heritage Service is in place regarding the upkeep of all buildings where collections are stored or displayed. Within Museum, Arts and Heritage Services, the Museum, Arts and Heritage Manager is responsible for these agreements.
- 16.3 Museum, Arts and Heritage Services carries out regular inspections of all buildings (or relevant part of buildings) it uses and notifies the RMBC Asset Management Services about any remedial or maintenance work required.

17. Collections Documentation Policy

Documentation Standards

- 17.1 Museum collections will be documented to Spectrum standards as issued by the Collections Trust. Documentation procedures (including all primary and secondary procedures) are included in the Collections Management Manual followed by staff. All primary Spectrum procedures (Object Entry, Acquisition & Accessioning, Cataloguing, Inventory, Location & Movement Control, Object Exit, Loans In (Borrowing Objects), Loans Out (Lending Objects), Documentation Planning) are completed to meet standards of museum accreditation.
- 17.2 Museum collections will be catalogued with at least the minimum requirements set out in the Museums, Arts and Heritage Collections Management Manual.

18. Collection Information

- 18.1 Museums, Arts and Heritage makes every attempt to gather suitable and sufficient information every item in its collection (including loans in). As a minimum, we will gather the following information prior to or upon acceptance of the object into the collection:
- Item name
 - Date (approximate if exact date is unknown)

- Manufacturer (if appropriate)
- Artist where applicable
- Donor or owner if the item is a loan
- Previous owners / users
- Provenance / Object story
- Copyright
- Material
- Condition
- Hazards
- Costs of collecting (including purchase price if relevant)
- Conservation or restoration details

18.2 Additional information will be added to the object record or object history file as it becomes available. This may include; research, exhibition, publication, reproduction and usage information.

18.3 Museums, Arts and Heritage currently uses the following documentation systems for its collections:

- Paper based including accession registers, entry forms and object history files.
- Online Collections Management System (Adlib).

18.4 The Service maintains back-up copies of its Accession Registers. Back-ups of the current registers are added to at the end of each calendar year. Back-up registers are stored in a separate location to the original register. The online Collections Management System (Adlib) works on a cloud-based storage system.

19. Documentation Backlog

19.1 Museums, Arts and Heritage Service acknowledge a considerable documentation backlog of unprocessed entries and unnumbered items found during inventory.

19.2 The backlog will be dealt with in line with the standards set out above and completed according to the Collections Management Plan. We aim to complete these activities within appropriate timescales, noting the current Accreditation guidance.

20. Making Collections Information Available

20.1 Museums, Arts and Heritage will make information about the collections available through the following methods:

- Information provided alongside objects in exhibitions and displays
- Website
- Social media
- Enquiries
- Publications (where appropriate)
- Schools Session
- Events
- Talks and workshops
- Outreach

- 20.2 Museums, Arts and Heritage will make every effort to ensure that information made available about its collections is accurate and takes account of any legal and ethical considerations.
- 20.3 In providing information about the Service's collections, the Service will comply with the General Data Protection Regulation and the Freedom of Information Act 2000. We will review requests for confidential data such as donor information, environmental information, valuations or site details on a case-by-case basis, and in accordance with the applicable legislation and any legal agreements or conditions of gift.

21. Collection Loans

Loan Collection out (lending objects)

- 21.1 Rotherham Museums, Arts and Heritage actively encourages loans from its collections to widen access to our collections through exhibitions, research and learning.
- 21.2 We will loan collection to Accredited Museums, Libraries and Archives, Educational Institutions and individuals for research and study. All borrowers will need to demonstrate that they are able to provide suitable facilities and appropriate conditions for the loan.
- 21.3 Request for loans are assessed by the Collections and Exhibitions Team and considered at a regular review panel, led by the Museums, Arts and Heritage Manager.

Loans Collection In (borrowing objects)

- 21.4 Rotherham Museums, Arts and Heritage actively borrows objects from other Accredited Museums, Libraries and Archives, Educational Institutions, community groups, and individuals to enhance our exhibitions and public programme, and increase co-operation through exchange of material.
- 21.5 Suggested loans are assessed by the Collections and Exhibitions Team and considered at a regular review panel, led by the Museums, Arts and Heritage Manager.

END OF DOCUMENT

Appendix A: An overview of current collections

Archaeology Summary

The archaeology collection consists of around 36,000 objects, of which approximately 30,000 are ceramic vessels or sherds. The collection has material ranging from the Palaeolithic period to the Post-Medieval period.

There is a particularly strong Roman collection, with thousands of finds from the Templeborough Fort and vicus excavations dating from the 1870s, 1916-17, 1940s, 1950s and 2000s. Some of the most notable pieces are the Roman grave markers (including one to a named female), intact ceramic vessels and the structural remains of the granary. From the same excavations, there are also examples of jewellery, building material, and evidence of glass and metal working. The Roman collections from Templeborough are supplemented by material found from other locations in Rotherham and from further afield, such as London and the Mediterranean. The collection also contains coins, including large Roman coin hoards from the Rotherham area. One of the best examples of a Roman coin is a golden Aureus of the Emperor Vespasian.

There is also a good collection of Medieval and Post-Medieval material, mainly from major excavation sites within Rotherham Borough, with the majority made up of ceramic sherds. The best pieces include whole ceramic vessels from Green Lane Pottery in Rawmarsh, domestic and monastic items from Roche Abbey, and a good selection of Tudor floor tiles and brickwork from the College of Jesus.

There is also a strong Prehistory collection from both Rotherham and from around the world, from the earliest Palaeolithic tools and bones from Cresswell Crags and Anston, to Bronze Age pots and flints from Canklow. There are two major collections of Prehistoric material: The Harold Copley Collection of nearly 1,000 items, mainly Neolithic and Bronze Age flints, found in the 1940s between Herringthorpe, Whiston and Canklow and The Gatty Collection of around 150 Palaeolithic to Bronze Age flints found in the Hooton Roberts area.

The collection also contains a small, but excellent, collection of Early Medieval objects, including a small number of ornate Saxon and Viking gold and silver items, the Sagar Hoard of Saxon coins, and the excavation archive from Laughton-en-le-Morthen, which includes rare ceramic sherds and kiln material.

Decorative Art Summary

The decorative art collection consists of ceramics and glass, totalling around 4,000 items.

The main focus of the decorative arts collection is the Swinton/Brameld/Rockingham collection (usually referred to as the Rockingham collection). Rotherham holds one of the best public collections of Rockingham anywhere in the world. Items have been acquired by gift, purchase and bequest since the first item was given to the museum in 1908. The collection demonstrates an excellent range of wares including a full dinner service, and examples of tea and dessert wares, many of which match the Rockingham Pattern Book. The Pattern Book is the 2nd of four volumes produced to illustrate the designs used in the production of porcelain at the Swinton pottery site. It was acquired in 2007, with the aid of a National Lottery Heritage Fund grant. It is available for researchers to view in the Rotherham Archives and Local Studies Search Room.

The collection includes useful and decorative wares including potpourris, vases and figures. The collection includes examples of early Swinton/Brameld ware and early porcelain items such as the earliest known Rockingham teacup dating from 1826, when the factory was still experimenting with porcelain manufacture. The collection holds examples of items from the Royal Dessert Service of William IV, including one unfinished plate. It also has an unfinished plate from the Duchess of Cumberland's Dessert Service.

The largest and most important item within the Rockingham collection is the Rhinoceros Vase. This vase, which was produced in 1826, was at the time of its production the largest piece of porcelain to have been fired in one piece anywhere in the World. The vase, which stands at 1.15m high, was made as a demonstration piece for display at the factory showroom. It is richly decorated with painted scenes from Don Quixote, thought to be painted by John Wager Brameld.

The decorative art collection also includes the Yorkshire potteries collection and the General Ceramics Collection. The Yorkshire potteries collection consists of around 300 items of ceramics made at Yorkshire potteries other than Swinton/Brameld/Rockingham. Included are items made at other Rotherham based potteries (such as Holmes Pottery, Rawmarsh Top Pottery and Kilnhurst Old Pottery) as well as from potteries further afield in Yorkshire (such as Leeds Pottery and Don Pottery, both with Swinton/Brameld/Rockingham connections).

The General Ceramics collection includes pieces used locally and those used as reference samples for non-local factories to demonstrate the similarity to Rockingham or other Yorkshire potteries.

Some glass ware in the collection is thought to have been produced at the local Catcliffe Glass Works, although fully provenanced pieces are difficult to acquire.

Fine Art Summary

The fine art collection consists of oil paintings, watercolours, drawings, prints and sculpture totalling around 3,000 items, around half of which are prints. Of the 1,100 or so drawings and watercolours, the most significant group is the George Wright watercolour collection of over 570 paintings produced by the local firm to demonstrate their cast iron works.

The largest group from one donor are the 81 oil and watercolour paintings donated by local benefactor Edward Nightingale in 1908 and 1913 (some had been on loan to the museum from 1893). He did this specifically *'to form the nucleus of a really good and instructive series of art productions, which a town of such importance as Rotherham should possess'*. Of this group are a number of significant artworks including 'The Bay of Biscay' by Henry Redmore, 'Interior of a Church' by David Roberts, 'Mary Queen of Scots and David Rizzio' by John Rogers Herbert, 'and 'La Zingarella' attributed to Corregio.

Nightingale's collection formed the start of the fine art collection, and the museum continued to collect work, much of which has a particular local significance. Clifton Park Museum was originally the home of the Walker family (an important local family of iron founders), who built Clifton House (as it was then) in 1784. The collection includes a number of oil paintings related to the Walker Family, which fall broadly into three groups: those donated by Mrs Winifred Causton, descendent of the Walker family, including the large full length portraits of Joshua and Susannah Walker of Clifton House; those donated by Michael Walker, descendent of the Walker family, including a portrait of Susannah Walker in later life; those painted by Dame Ethel Walker, descendent of the Walker family, including her self-portrait and 'Decoration for an

Ivory Room: Invocation to the Dance'. Many of the Walker related paintings are on display at Clifton Park Museum because of their direct connection to the building.

The portrait collection extends beyond the Walkers and includes the widely exhibited 'Ann Verelst' (c.1771) by George Romney. Anne was the younger daughter of Josiah Wordsworth of Wadworth. She married Henry Verelst and lived at Aston Hall, near Rotherham. Other portraits include a pair by Jonathan Singleton Copley after David Morier; 'George II' and 'Frederick Prince Of Wales', both c.1800 and two paintings whose artists remain unknown; 'William Pitt the Younger' c.1795 and 'Portrait of an Unknown Lady' (after Kneller) c.1685.

The collection then extends into those inspired by religious belief or mythology and allegory. The 'Adoration of the Shepherds' (16thC Italian School) is probably the best of those inspired by religion, although with conservation some of the remaining items might rival this. The best of the mythological or allegorical paintings are two by well-known artists; 'Diana, Returning from the Chase' by William Etty and 'The Adventure' by William Shackleton.

Beyond these are the townscapes, seascapes, landscapes and rural scenes, mainly relating to local scenes. The seascapes form a particularly good collection with paintings by Henry Redmore, John Callow, George Chambers and William Brooker. The landscapes and townscapes include some paintings of national or international interest such as 'Landscape Study' by Henry Herbert La Thangue.

The majority of the collection focuses on paintings with a local connection, and in the main this means having a local scene or sitter and in some cases are by a well-known local artist. Examples of this are the portrait of 'Thomas Newbold' (a local colliery manager) by David Jagger (this painting is complemented by sculptures by his more famous brother Charles Sargeant Jagger in the sculpture collection), and the William Cowen painting 'View of Rotherham', which is complemented by seven other original works by Cowen in the collection.

In 2009, the Public Catalogue Foundation in partnership with Rotherham Museums, Galleries and Heritage Service photographed and collated information about 328 oil paintings within this collection and made them available online through the Your Paintings website. This has opened up access to these items including those that are not currently on display.

The Sculpture Collection holds three Charles Sargeant Jagger sculptures (The Sentry, Torfrida and Bacchanalian Scene), a series of busts including one in Bronze of local channel swimmer Thomas Burgess and La Femme Africane by Charles H Cordier. Also included within the collection is Puck on a Toadstool, by 19th Century American sculptress, Harriet Hosmer.

Natural Sciences Summary

The natural sciences collection consists of around 21,000 specimens, around 6,000 of which are geological specimens, the remainder are zoology and botany.

The largest individual specimen is that of Nelson the Lion, a Cape Lion who was part of Jamrach's famous menagerie before being sold to London Zoo. As a taxidermy specimen, Nelson was part of the collection of Joseph Whitaker. The Whitaker collection of around 750 natural sciences specimens was donated to the museum in the 1970s. This collection includes excellent examples of bird and mammal taxidermy alongside a good selection of shells and corals.

The zoology collection contains around 2,400 taxidermy specimens including a good collection of study skins. Within the taxidermy collection are a group of around 150 mounted bird and mammal specimens produced by local taxidermist, Graham Teasdale in Rotherham.

The museum also has a very large invertebrate collection, including an excellent collection of around 8,000 pinned Lepidoptera collected by C. E. Young. Most of the remaining invertebrate collection are voucher specimens of records held by RMBC's Biological Records Centre. A significant number of the voucher specimens were destroyed in the floods of 2007, but thousands remain.

The geology collection includes an excellent selection of around 500 minerals and gemstones collected by Ethert Brand. There is also a good collection of around 500 plant fossils from Hellaby, and around 100 rock core samples, mainly from Maltby Colliery.

Finally, the natural sciences collection includes a small but important selection of botanical specimens.

Social & Industrial History Summary

The social and industrial history collections consist of around 11,000 items. The majority of the material relates to the personal lives of people who lived within Rotherham Borough. The collection is particularly strong in late Victorian domestic items. There is a good collection of costume items, with ladies' clothes predominating, mainly from the Victorian period to the mid-20th century.

There is an excellent representative collection of around 1,600 items from the Beatson Clarke Glass Company which includes glass industry tools, finished products and some sample items where the process is also demonstrated. There is a good collection of around 80 items from the Guest & Chrimes Brassworks, including many of their early taps and water valves.

The collection also contains a good collection of fire surrounds including a number of cast iron examples made by local ironworks such as Yates & Haywood and George Wright & Co. Iron and steel production are represented in the collections into the 20th century with a pair of serviette rings produced to mark the first casting from the first Kaldo produced steel in the UK. The Kaldo process was a revolutionary new way to produce steel invented in Europe and used for the first time in 1954. In the early 1960s, it was introduced to Parkgate Iron and Steel, making Rotherham the first place in England to use the new process.

The collection includes a good number of timepieces, with an excellent group of locally made and/or retailed long case clocks, including examples made by Rotherham makers Abraham Taffinder and Cecelia Fletcher. These are complemented by a small but interesting collection of early pocket watches with six dating from the mid-1700s.

World Cultures Summary

The collection consists of around 800 objects from around the World.

The museum holds a good collection of Egyptian items including mummified animals, numerous scarabs and Beni Hasan pots. The collection also contains decorative Egyptian funerary items from sarcophagi, including masks.

The collection has excellent examples of prehistoric material from across the globe, including Palaeolithic material from Zimbabwe, flint tools from Europe and North America, and greenstone tools from New Zealand.

Another collection highlight is the material from the Zulu people of southern Africa. These include a shield and assegai, bead jewellery and a wooden headrest.

The collection includes a number of objects from eastern Asia, with some of the best examples being Tibetan bronze temple figures and incense burners, carved Chinese peach stones and fingernail protector, and an Indian articulated fish.

The collection also contains examples of objects from Oceania, including the wooden Papua New Guinean paddle returned by James Chalmers, the missionary explorer alongside bracelets and earrings made from shells by people of the Solomon Islands.

The collection was put together mainly in the early 20th century, and showed the general interest in the cultures that made up the world, and especially the British Empire. This interest has been rekindled today due to the of the greater diversity amongst the borough's local communities. The collection was the focus of the 2019 Our World project which aimed to improve understanding of different cultures and traditions and develop a greater sense of belonging amongst local communities in Rotherham.

PART A - Initial Equality Screening Assessment

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

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

Completed at the earliest opportunity it will help to determine:

- the relevance of proposals and decisions to equality and diversity
- whether or not equality and diversity is being/has already been considered, and
- whether or not it is necessary to carry out an Equality Analysis (Part B).

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

1. Title

Title: Rotherham Museums, Arts & Heritage Collections Policy

Directorate: Regeneration & Environment

Service area: Culture Sport & Tourism

Lead person: Leanne Buchan, Head of Creative Programming & Engagement

Contact: 01709 822056
Leanne.buchan@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

Rotherham Museums, Arts & Heritage service is updating its Collections Management Policy in line with guidance from Arts Council England which recommends that the policy is reviewed every three to five years.

The policy outlines the approach taken by the service in relation to:

- the appropriate care of museum collections
- the appropriate documentation and categorisation of collections and records management
- an approach to the development of future collections including acquisitions and disposals of objects within the collection

Appendix 2

The policy is underpinned by ethical and legal guidelines provided by industry bodies including Museums Association and Arts Council England.

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
<p>Could the proposal have implications regarding the accessibility of services to the whole or wider community?</p> <p>The Rotherham Museums, Arts & Heritage service has a responsibility to ensure that the collection is both representative of and accessible to all of Rotherham's communities. The policy includes the creation of a 'Community Story Board' who will work alongside the Rotherham Museums, Arts & Heritage Service and draw on a wide range of lived experience and cultures from across the borough to inform future collections development.</p>	X	
<p>Could the proposal affect service users?</p> <p>The proposed Collections Management Policy has the potential to positively affect a range of communities through opening up conversations about representation of stories and communities within the collection and making our collections more accessible to a more diverse range of audiences e.g., care home residents, school children</p>	X	
<p>Has there been or is there likely to be an impact on an individual or group with protected characteristics?</p> <p>The service recognises that its policies have not always been as inclusive and representative of the most diverse range of communities in Rotherham and sees this policy as an important step towards addressing this.</p>	X	
<p>Have there been or likely to be any public concerns regarding the proposal?</p> <p>The proposal is a positive step forward in enabling the Museums, Arts & Heritage service to build a deeper connection with the communities that it serves.</p>		X
<p>Could the proposal affect how the Council's services, commissioning or procurement activities are organised, provided, located and by whom?</p>		X

Appendix 2

The policy does not affect commissioning of services. It does relate to acquisitions and disposal of collections but these are often related to donations. Where the service may in the future be able to fundraise for new acquisitions these would utilise the Council's existing FPPR regulations.		
Could the proposal affect the Council's workforce or employment practices?	X	
The policy details the appropriate levels of PPE related to the safe handling of collections and conservation practices.		
If you have answered no to all the questions above, please explain the reason		
N/A		

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?**

- **Key findings**

- **Actions**

Date to scope and plan your Equality Analysis:

02/12/22

Date to complete your Equality Analysis:

02/12/22

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

Leanne Buchan
Head of Creative Programming
and Engagement

5. Governance, ownership and approval

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

Appendix 2

Name	Job title	Date
Leanne Buchan	Head of Creative Programming and Engagement	02/12/22
Polly Hamilton	Assistant Director, Culture Sport and Tourism	03/12/22
Levi Karigambe	Policy Officer, Equalities Team	07/12/22

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	02/12/22
Report title and date	Rotherham Museums Arts and Heritage Collections Management Policy
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 Meeting on 23 January 2023 Date sent for publication:
Date screening sent to Performance, Intelligence and Improvement equality@rotherham.gov.uk	02/12/22

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: Museums, Arts & Heritage Collections Management Policy	
Date of Equality Analysis (EA): 2 nd December 2022	
Directorate: Regeneration & Environment	Service area: Culture, Sport & Tourism
Lead Manager: Leanne Buchan, Head of Creative Programming & Engagement Lisa Howarth, Museums, Arts & Heritage Manager	Contact number: 01709 822056 01709 289882
Is this a: <input checked="checked" type="checkbox"/> Strategy / Policy <input type="checkbox"/> Service / Function <input type="checkbox"/> Other	
If other, please specify	

Appendix 2

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)
Leanne Buchan	RMBC – Creative Programming & Engagement	Head of Creative Programming & Engagement
Lisa Howarth	RMBC – Museums, Arts & Heritage	Museums, Arts & Heritage Manager
Chris Evans	RMBC – Museums, Arts & Heritage	Learning & Audience Development Manager
Tessa Chynoweth	RMBC – Museums, Arts & Heritage	Collections & Exhibitions 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)**

Rotherham Museums, Arts & Heritage service manages Clifton Park Museum and Boston Castle, as well as five heritage sites across the borough including: Keppel's Column, Catcliffe Glass Cone, Rockingham Waterloo Kiln, Payne Mausoleum and Walker Mausoleum. It also manages Rotherham Archives and Local Studies and is the caretaker of the Rotherham York & Lancaster Regimental Collection on behalf of the sole trustee, Rotherham Metropolitan Borough Council.

Up until recently the service had been traditional in its programming with the voice of the service taking precedence across static exhibitions. Over the last two years as part of its recovery from COVID-19 and drive to engage a wider audience demographic the team has embarked on a programme of change, reimagining its galleries to create seven temporary exhibition spaces, two community engagement rooms and a test space for community ideas to evolve. Working towards creating an inclusive, generous and shared ownership of the museum and collection the service will seek to empower a range of communities to influence its future programming through a series of experimental projects.

The service has a mission to: "spark imagination, curiosity and roots through the celebration of *Rotherham's people, stories, spaces and collections*". This mission underpinned by five values: generosity, quality, inclusivity, wonder and resilience.

This mission supports the care of a collection of more than 76,000 objects that have been collected since 1893 when the museum was first established. Formed under the close supervision of the V&A the collection included treasures from our illustrious history, from the pottery that graced the tables of Buckingham Palace's finest banquets to the tools from the coal face of industry and the stories of ordinary working life across the borough. In 2011 following the merger of the 'Museums, Galleries and Heritage' and 'Archives and Local Studies' the service became 'Heritage Services' and in 2019 with a renewed focus on the museums, collections and public spaces in its care, the service became Rotherham Museums, Arts & Heritage.

In order to enable the collection to be shared and enjoyed by museum audiences across the borough and beyond and secure additional funding for exhibitions and events, Clifton Park Museum must retain Museums Accreditation from Arts Council England for its Clifton Park Museum site.

In light of the new vision, mission and values and the journey of transformation over recent years, the service is revising its Collections Policy which will form part of the criteria for accreditation. The revised Collections Policy will incorporate the new vision, mission and values alongside placing a greater emphasis on community voice and influence in developing future collections.

Whilst the museum and collections will always be open and accessible to all communities across the borough, as part of its work to secure National Portfolio Organisation status (three-year funding from Arts Council England) the service has identified three key audiences with which to form deeper connections with both the museum and collections:

- **Global Majority Communities:** Through recent projects and initiatives such as the World Cultures programme and support for local artists of South Asian heritage the service has been able to grow its global majority audience from 11% in 2021 to 19% in 2022. Data gathered as part of the annual Audience Finder programme shows that the main global majority audiences currently engaging with the museum are Asian/Asian British which reflects the Pakistani demographic within walking distance of the museum. There is also an increased engagement from the Black community growing from 1% in 2021 to 3% in 2022. The data available at present for 2022 is not a full year's worth of data and therefore it is predicted that the museum may grow this audience further by the end of the year
- **Children and Young People:** The Audience Finder data shows that visitors to the museum who are under 16 grew from 45% in 2021 to 59% in 2022 as a result of initiatives such as the National Lottery Heritage Funded Young Roots Programme and the reintroduction of Nelson's Cub Club for young families. In addition to the visitors surveyed as part of Audience Finder the museum also hosts 24 school visits each year connecting local school children to their heritage through collections and exhibitions. In 2021/22 the service also invested in co-production with children and young people hosting nine young people aged 16-25 as part of the Kickstart programme. Working alongside the Children's Capital of Culture team in 2022 the service also worked with a team of three Young Producers to co-create an exhibition for the launch of the Children's Capital of Culture initiative.
- **Intergenerational families:** Linked to the drive to become more family-friendly and provide opportunities for children and young people as part of a family group, the Museums, Arts & Heritage service also has a focus on older people aged 55+ and the role they play within the family. This groups accounts for roughly 31% of the museum visitors currently, with further engagement through outreach and community engagement programmes.
- **Museums, Arts & Heritage staff:** The team is relatively small and has limited representation of global majority or young people's perspectives. The team recognises that the lived experience will be limited due to its current demographic and therefore staff have actively sought to bring wider experience and perspectives through partnerships with Flux Rotherham, BME Carers and other strategic partners. While the staff team is lacking in representation, it does have a good

balance of representation from geographical communities across Rotherham and a greater representation of women. The service has worked with its core staff team to fully embed them in the development of the vision, mission and values and embed ideas, lived experience and creativity into the future direction of the service.

In order for active participation to be sustainable, Rotherham's communities need to see themselves as part of Rotherham's story, to value their own voice within that story and develop a shared pride and identity. This programme will empower families to reclaim their story and document it through active collecting, creating memories and identities that are intertwined with the collections, stories and spaces.

Through its collections, spaces and stories the service has a unique role bringing communities together, sharing the customs and traditions and celebrating difference and commonality. It also has an important role in addressing prejudices, mistrust and exclusion through interpretation of collections and the opportunities it convenes for shared experience.

The Collections Management Policy governs the future development of the collection and how it is shared within Clifton Park Museum. The aim of the policy is to ensure appropriate care for objects whilst crucially providing equal access and opportunities to engagement with those objects.

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

Clifton Park Museum undertakes an Audience Finder Visitor Service annually through the Audience Agency. The survey uses standardised methodologies to enable the service to benchmark against previous year data and national and regional census data. The survey is collected using a systematic sample size and is undertaken for a full financial year. The data can be viewed throughout the year, to enable the service to build up an understanding of visitors throughout the year. This data is for visitors to Clifton Park Museum only and does not include targeted outreach and engagement with community groups or school visits. The data for 2022/23 is not a full year of data, as the year runs from April through to March, but is useful in providing an important snapshot into the current changing visitor profile of the Museum.

The Audience Finder data does not include the age breakdown of children, so this data is collected manually at the entrance. Data was not collected in this format during 2021/22 due to Covid measures still being in place. Table 1 shows the data on age profile of visitors so far this financial year:

Table 1: Audience Age Groups (From April 2022)	
0-5	17%
6-18	25%
18-49	47%
55 or older	11%

Children under 5 years and adults over the age of 55+ are target audiences for the service. Through ongoing engagement through its Nelson's Cub Club programme and intergenerational family learning offer, these audiences are starting to grow.

Table 2 is taken from the Audience Finder survey and shows a sharp increase this year of female visitors. This could be due to the temporary exhibition 'Grass Roots to Glory – Our Story so Far' which celebrated the untold story of women's football in Rotherham.

Table 2: Gender		
	2022/23	2021/22
Female	77%	33%
Male	23%	67%
Other	0%	0%

Table 3 shows that the service has seen an increase over the last year of Global Majority audiences. This is due to the ongoing targeted engagement with Global Majority communities and individuals to empower them to share their stories and collections with us. This ongoing engagement is continuing through the development of the Early Years Programme in which anti-racism practices are being embedded as the service co-creates the programme with Global Majority families and recruits artists who reflect the diversity of the families it works with.

Table 3: Ethnicity		
	2022/23	2021/22
Asian or Asian British	11%	5%
Black or Black British	3%	1%
Mixed: Multiple Ethnic background	0%	3%
White	81%	90%
Other	6%	1%

The Global Majority population of Rotherham more than doubled between 2001 and 2011, increasing from 10,080 to 20,842. 8% of the population belonged to ethnic groups other than White British in 2011 (6% were from non-white groups), well below the English average of 20%. The white minority ethnic population (almost all European) was 2,368 in 2001, rising by 82% to 4,320 in 2011.

Table 4 shows the slight increase in visitors who consider themselves to be disabled or a long-term health condition. The service has undertaken an access audit for Clifton Park Museum to understand and mitigate some of the access challenges faced by some audiences. This work is ongoing and will also see the introduction of a Changing Places facility at Clifton Park Museum in 2023.

Table 4: Identify as D/deaf, disabled or living with a long-term health condition		
	2022/23	2021/22
Yes	7%	6%
No	93%	94%

Over the last three years the service has undertaken externally funded engagement programmes with targeted audiences and community partners. These projects have helped the service to understand specific audience needs and test out targeted and co-produced approaches. As a result of the in-depth evaluation of these projects, the service has a much greater understanding of how to engage with its three key target audiences, building on established relationships and widening reach.

- **Global Majority Communities** - The Esmée Fairbairn Funded 'Our World: Discover Objects, Explore Stories and Make Connections' project used Rotherham Museum, Arts and Heritage Service's World Cultures collection to diversify audiences; improve understanding of different cultures and traditions; and develop a greater sense of belonging amongst local communities in Rotherham. Through the project, community gallery spaces were created to celebrate local stories and bring more diverse voices into the museum. The project highlighted the need to strengthen the relationships of community partners, groups and individuals to create new opportunities for engagement in the future. It also highlighted the need to open dialogue with communities around collections to develop further understanding of community attitudes towards active collecting.
- **Children and Young People** - The National Lottery Heritage Fund Young Roots 'Place Makers, Future Shapers' project centred on connecting young people in Rotherham with heritage, in particular, developing the relationship between Clifton Park Museum and young people aged 15-25. Through co-producing with the young people, this project highlighted the role the museum can play in raising aspirations, developing creative skills and connecting them to their community. It also showed how important it was to create opportunity for young people to be actively involved in the Museum through placements, volunteering and Young Producer roles.
- **Museums, Arts & Heritage staff** - The Arts Council England Funded 'Revealed Roots, Concealed Connections' experimented with innovative ways of working collaboratively across the museum to reimagine relationships between staff and catalyse new connections with local communities. Working with artist Pippa Hale, three members of the Front of House team curated an exhibition from their individual perspective which reached new audiences and forged new relationships. This project targeted working-class communities, adults over the age of 55+ and isolated communities, though personal connections made from the staff team. Through empowering the Museum staff team as storytellers, archivists and curators of their own knowledge, the service was able to authentically reach out to new audiences.

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

Of the 19% of the Museum's audience who identify as Global Majority 6% are listed as 'other' and the Audience Finder survey does not break this down further. We know that Rotherham has a large Roma/Slovak community, Chinese community and that there is significant diversity within the South Asian community, but this level of detail is not currently reflected in the data that the service holds. Anecdotally it is also felt that some of these groups are not currently museum visitors and are currently only connecting with the service through outreach and learning programmes or not at all.

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Representation for core target groups of both Global Majority and Children and Young People, is low within the staff team. The service is working towards addressing these gaps through the commissioning of partners and groups where representation is higher and through forging new partnerships and connections directly with communities. This work is ongoing and more can be done in this area.

Whilst Children and Young People are represented in the collection, active collecting (collecting objects from our present) in this area is low and representation of Children and Young People from diverse backgrounds is also low. In 2025 Rotherham will become the world's first Children's Capital of Culture which offers an opportunity to better document and reflect youth and childhood experience in Rotherham today through the collection. Some work on this has already begun through the partnership with Children's Capital of Culture Young Producers in 2021/2022 which saw young people coproduce an exhibition exploring childhood and youth culture as part of the launch of the initiative. Prior to this, work as part of a National Lottery Heritage Funded Young Roots programme also brought youth perspectives to collecting, exhibitions and storytelling. More could be done to build on these projects and ensure that the perspectives, objects and interests of children and young people are appropriately represented within the collections.

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

In order to ensure the service has a high degree of transparency and accountability, the service is introducing a Community Story Board to enable greater community voice and influence. Following an open and inclusive recruitment process, a Community Story Board will be formed in 2023, democratising our decision making, bringing critical debate and challenge to our leadership.

The Community Story Board will be made up of representatives from target communities across Rotherham, to draw on a wide range of lived experiences and cultures across the borough. The group will meet quarterly and will be invited to the collection review panel, led by the Museums, Arts and Heritage Manager and supported by the Collections and Exhibitions team.

The Community Story Board will work with the Collections and Exhibitions team to develop the processes of acquisitions to ensure it is inclusive and accessible to everyone.

The EIA Action Plan will be integrated with the wider Action Plan for the delivery of the Collections Management Policy. Progress will be monitored via:

- Quarterly reports to the Creative Programming & Engagement Management Team
- Personal Development Reviews with Museums, Arts & Heritage Managers and staff

Engagement undertaken with customers. (date and group(s) consulted and key findings)

Although no engagement with regards to the specific detail of the policy has taken place, its content has been informed through the delivery, evaluation and learning of recent engagement and outreach projects including:

	<ul style="list-style-type: none"> • Esmee Fairbairn Funded 'Our World: Discover Objects, Explore Stories and Make Connections' project (2019-2022) • National Lottery Heritage Fund Young Roots 'Place Makers, Future Shapers' project (2019-2022) • Arts Council Funded 'Revealed Roots, Concealed Connections' project (2020-21) • Arts Council Funded 'Sparkling Wonder, Making Connections' Project (2022-23) • Arts Council and National Lottery Heritage Fund 'Dishes of Rotherham' project (2022-23) <p>Key findings are set out in section 4.</p>
Engagement undertaken with staff (date and group(s) consulted and key findings)	<p>All staff from front of house to hospitality, collections and engagement have been consulted in the development of the new vision, mission and values and the subsequent business plan which is underpinned by the policies and protocols of the service.</p> <ul style="list-style-type: none"> • 13th September 2021 – Entire staff team met for a full day of service development. • 28th March 2022 – Entire staff team met for a full day of service development. • 26th September 2022 - Entire staff team met for a half day of reflection and planning. • 2nd December 2022 – Equality Analysis meeting with Museums, Arts and Heritage Management team. <p>Key findings are set out in section 4.</p>

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)

The policy is to support the management of collections rather than public engagement with and access to collections, however it is important the collection reflects the communities of Rotherham, past, present and future and therefore consideration is given to voice and influence of communities within the policy.

For example, of the 76,000 objects in the collection only 294 form part of its World Cultures collection with very little representation of communities with South-Asian, African,

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or Roma/Slovak heritage within the collection. Conversely the museum has seen engagement with global majority audiences grow over recent years from 11% in 2021 to 19% in 2022. Data gathered as part of the annual Audience Finder programme shows that the main global majority audiences currently engaging with the museum are Asian/Asian British which reflects the Pakistani demographic within walking distance of the museum.

Whilst the policy will not be weighted towards any particular community and will aim to support a collection with universal appeal, it is noted that currently the collection does not equally reflect all of our communities and that some targeted work will be undertaken to address this. The following communities are underrepresented within the current collection:

- Global Majority Communities – particularly those of South Asian (specifically Pakistani and Yemeni) origin, African communities and Roma/Slovak communities which are highly represented within the 10% of Global Majority communities resident in Rotherham
- LGBTQ+ Communities – the collection currently has very little representation of these communities or their local history
- Women and Girls – the representation of women and girls within the collection has grown as a result of the recent ‘Grass Roots to Glory’ project and exhibition linked to Women’s Football but it does still remain disproportionate in a collection with a strong focus on industry

Although not all of the above audiences are key target groups for the museum their stories and heritage should still be represented in the collection and through the formation of a ‘Community Story Board’ representatives of these communities will be invited to share their histories and collections and inform future acquisitions for the collection.

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

The greatest challenge for the policy is in ensuring high quality engagement and genuine, authentic voice and influence of communities within the collection. The Equalities Action Plan below details specific actions to support the service in achieving this.

These actions recognise that not all communities have equal access to provision or to the opportunity to participate in activities to develop and influence collections. Many communities face barriers for different reasons such as language or geography. The actions in the Equalities Action Plan aim to remove as many of these barriers to engagement and participation as possible whilst recognising that the Collections Management Policy is only one area of the Museum, Arts & Heritage Service’s work and the service as a whole presents many other opportunities for this kind of engagement.

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

For the first time the Collections Management Policy will make provision for community voice and influence in shaping the future of the collection, ensuring that the objects that are cared for are fully representative of our communities and tell the whole story of Rotherham’s rich and diverse heritage.

Specific effort will be made through the Collections Management Policy to ensure that all communities have their heritage, culture and identity represented in the collection, addressing gaps in key areas such as Global Majority cultures, LGBTQ+ communities and women and girls.

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

It is hoped that through a more open, transparent and inclusive approach to Collections Management including acquisitions and active collecting, that communities will be able to see their identities, cultures and interests represented in not only the collections but future exhibitions, outreach, engagement and learning programmes.

Being able to see Rotherham's diverse identities represented in these civic spaces is vital to ensuring that communities of all backgrounds feel welcome and safe in these venues. The strong emphasis on community voice and influence brought through the Community Story Board, aims to reach beyond representation to garner true engagement and participation.

Whilst initially collections development work will focus on communities where there is under-representation, some groups may feel that this is too heavily weighted to one particular community. The work of the audience development team within the Museums, Arts & Heritage Service will continue to ensure that a diverse range of audiences are engaged with, ensuring a balance of engagement across communities.

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: Museums, Arts & Heritage Collections Management Policy
Directorate and service area: Museums, Arts & Heritage; Creative Programming & Engagement; Culture Sport & Tourism; Regeneration & Environment
Lead Manager: Lisa Howarth, Museums, Arts & Heritage Manager
Summary of findings: <p>The Museums, Arts & Heritage service has undertaken extensive service transformation over the last three years which has included a number of R&D and pilot programme with targeted groups to better understand their current levels of participation and engagement, representation within the collection and exhibitions, and barriers that prevent greater levels of engagement. Through these carefully co-produced programmes the service has begun to see a change in its audience profile with more communities from Global Majority backgrounds engaging, as well as a growth in engagement from children and young people. These programmes have enabled the service to test new models of co-production and co-creation building greater voice and influence for communities which guides the activities of the service including its management of collections.</p> <p>The Collections Management Policy seeks to build on the learning from these projects and further embed voice and influence into the policies that govern the development, management and care of the Rotherham Collection. Based on the experiences of these programmes and the data gathered through the Audience Finder programme the service will have a core focus on:</p> <ul style="list-style-type: none"> • Global Majority Communities – specifically those of Pakistani, African, Roma/Slovak, Chinese and Yemeni decent whose heritage is more prevalent in Rotherham’s communities • Children & Young people – through a focus on intergenerational families and the key relationships that children and young people have with significant adults in their lives

- Rotherham Museum, Arts & Heritage Staff – in particular improving representation from underrepresented groups within the workforce and investing in staff CPD to ensure appropriate levels of awareness with regards to equalities, diversity and inclusion

Whilst the service will focus on these core audiences, it will strive to ensure that all of Rotherham's communities are represented and included in its Collection and have the opportunity for voice and influence in shaping the future development of the Rotherham Collection.

The Equalities Action Plan sets out a series of measures for improving equalities at three levels of implementation:

- Museums, Arts & Heritage – service level, ensuring that equalities, diversity and inclusion is embedded at all levels of the service
- Rotherham Collection – utilising the Collections Management Policy to improve inclusivity and relevance of the objects within the care of the service
- Clifton Park Museum – Museums Accreditation is assigned to a specific venue as such consideration has been given in ensuring that this venue where most of the opportunity for displaying collections exists, is fit for purpose in ensuring inclusivity for a diverse range of audiences.

Action/Target	State Protected Characteristics as listed below	Target date (MM/YY)
Museums, Arts & Heritage		
<ul style="list-style-type: none"> • Develop a 'zero tolerance' anti-racism protocol which will be clearly communicated across Clifton Park Museum, Boston Castle and Heritage Sites 	Global Majority Communities	January 2023
<ul style="list-style-type: none"> • Work closely with the Independent Hate Crime Scrutiny Panel, Safer Rotherham Partnership and the Police to "Stand against Hate" and to understand how to identify and report it. 	All Groups	March 2023

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<ul style="list-style-type: none"> Work with HR to consider how to improve recruitment practice in order to encourage more applications from under-represented backgrounds 	All Groups	March 2023.
<ul style="list-style-type: none"> Invest in anti-racism training and development for staff from all areas of the service including front of house, collections, learning and management 	Global Majority Communities	May 2023
<ul style="list-style-type: none"> Develop a communications plan that is fully accessible to people from protected characteristics 	All Groups	June 2023
<ul style="list-style-type: none"> Continually identify shared training opportunities, in order to improve practice in working with people/ communities from all protected characteristics. 	All Groups	Reviewed annually
Rotherham Collection		
<ul style="list-style-type: none"> Museums Arts & Heritage will form a Community Story Board, which will act as a 'critical friend' drawing its membership for a diverse and dynamic network of communities to inform exhibitions, collections and policies as appropriate 	Global Majority Communities Children & Young People Women Older People (aged 55+) LGBTQ+ Communities Disabled Communities including Neurodiverse Groups	April 2023
<ul style="list-style-type: none"> Consider future opportunities for connections with children and young people through partnership working with Children's Capital of Culture services with a particular focus on Young Producers, to develop skills in collections management 	Children & Young People	September 2023
<ul style="list-style-type: none"> Develop a volunteering programme to support collections management, documentation and development ensuring that volunteer recruitment seeks representation from under-represented audiences 	Global Majority Communities Children & Young People Older People (aged 55+) LGBTQ+ Communities Disabled Communities including Neurodiverse Groups	June 2023

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<ul style="list-style-type: none"> Building on the Esmee Fairbairn World Cultures project which mapped objects in the social history collection to identify areas of under representation for active collecting and repatriation where appropriate. 	Global Majority Communities	December 2023
<ul style="list-style-type: none"> Review cataloguing of collections on a project-by-project basis to ensure that the service acquires objects which can begin to address gaps in the collections related to equalities, and that appropriate method and language is used to interpret collections e.g., Global Majority instead of BAME, ensuring inclusion of Q+ communities for LGBT objects 	All Groups	Built into all project activity
Clifton Park Museum		
<ul style="list-style-type: none"> Register Clifton Park Museum as a 'Safe Space' and ensure that this is clearly communicated throughout the venue 	All Groups	March 2023
<ul style="list-style-type: none"> Invest in a Changing Places facility at Clifton Park Museum to ensure greater accessibility for disabled audiences 	Disabled Groups	April 2023
<ul style="list-style-type: none"> Engage with the Council's performance management framework through quarterly reporting against agreed KPIs and annual engagement with the Young Inspectors programme. 	Children & Young People	Annually
<ul style="list-style-type: none"> Exhibition protocol to include minimum standards for accessibility 	All groups	September 2023

***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
Leanne Buchan	Head of Creative Programming & Engagement	2/12/22
Polly Hamilton	Assistant Director for Culture, Sport & Tourism	3/12/22
Paul Woodcock	Strategic Director for Regeneration & Environment	
Cllr Dave Sheppard	Cabinet Member for Social Inclusion	

7. Publishing	
The Equality Analysis will act as evidence that due regard to equality and diversity has been given.	
If this Equality Analysis relates to a Cabinet, key delegated officer decision, Council, other committee or a significant operational decision a copy of the completed document should be attached as an appendix and published alongside the relevant report.	
A copy should also be sent to equality@rotherham.gov.uk 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	2 nd December 2022
Report title and date	Museum Collections Management Policy
Date report sent for publication	
Date Equality Analysis sent to Performance, Intelligence and Improvement equality@rotherham.gov.uk	2 nd December 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

-
- 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?	Reduces emission	Introduction of environmental controls to support care of collections	N/A	<p>Decarbonisation report has been carried out on Bailey House, this included a review on heating systems, and identifying emission improvements including insulation in the building.</p> <p>A further condition survey will be carried out which may incorporate some of the issues raised in the Decarbonisation report with a view to longer term planning to improve the building and reduce the carbon footprint. This will be subject to identifying the appropriate funding and any support through grants.</p>	Energy data management software

Emissions from transport?	Reduces emissions	Collections are currently stored across two sites which increases travel usage. The Collections Management Policy supports the rationalisation of the collections but requires building improvements at Bailey House to bring the collections together in one store.	N/A	Short term the Council are working towards centralising the Rotherham Collections into one store, therefore reducing emissions from travel.	Green house gas emissions reports through mileage claims for travel.
Emissions from waste, or the quantity of waste itself?	No impact	N/A	N/A	N/A	N/A
Emissions from housing and domestic buildings?	No impact	N/A	N/A	N/A	N/A
Emissions from construction and/or development?	No impact	N/A	N/A	N/A	N/A
Carbon capture (e.g. through trees)?	No impact	N/A	N/A	N/A	N/A
Identify any emission impacts associated with this decision that have not been covered by the above fields:					
All impacts are noted above.					

Please provide a summary of all impacts and mitigation/monitoring measures:

A Decarbonisation report has been carried out on Bailey House to include a review on heating systems, and identifying emission improvements including insulation in the building.

Funding has been identified to renew the roof which will include additional insulation.

A Condition Survey will be carried out for Bailey House which may incorporate some of the issues raised in the Decarbonisation report with a view to longer term planning to improve the building and reduce the carbon footprint.

RMBC are working towards centralising the Rotherham Collections into one store to reduce the need for travel across the borough.

Supporting information:	
Completed by: (Name, title, and service area/directorate).	Leanne Buchan, Head of Creative Programming & Engagement Lisa Howarth, Museums, Arts & Heritage Manager Stuart Carr, Asset Management Manager Steven Cope, Commercial Energy Manager
Please outline any research, data, or information used to complete this [form].	Decarbonisation Report for Bailey House, David Rhodes and Steven Cope
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]	

Committee Name and Date of Committee Meeting

Cabinet – 23 January 2023

Report Title

Rothercard Review

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)

Luke Sayers, Assistant Director of Customer, Information and Digital Services
01709 823249 or Luke.Sayers@rotherham.gov.uk

Ward(s) Affected

Borough-Wide

Report Summary

The Rothercard scheme was launched as an anti-poverty initiative in 1993 to prioritise support for Rotherham people living on a low-income by offering a discount on a range of Council services, as well as discounts on goods and leisure activities from a small number of other organisations.

The current scheme has not been developed or promoted for some time which is likely to mean that some of the people who could most benefit from the scheme, are missing out.

A review of the Rothercard scheme by a cross party Rothercard Working group has been completed. The findings from the review are set out in Appendix 1 and summarised within this report.

The purpose of this report is to set out the changes identified from the outcome of the review, which, once implemented, will deliver an improved Rothercard scheme.

Recommendations

It is recommended that:

1. Cabinet approves the recommended changes set out in this report to deliver a new Rothercard scheme as detailed at **Section 3 (*Options considered and recommended proposal*)**.
2. That Cabinet note the changes to the eligibility criteria and the improvements that will be delivered to make it easier for customers to apply for/benefit from the scheme by:
 - Automatically providing residents who qualify for Council Tax Support (with consent) with a Rothercard
 - Raising awareness of the scheme with those who have already qualified for Council Tax Support so they can be provided with a Rothercard should they wish to have one.
3. That Cabinet approve the proposal to offer the following new discounts to Rothercard holders:
 - 10% reduction off the cost of a hot drink effective from 1 April 2023, at the following locations:
 - Clifton Park Museum Café,
 - Thrybergh Country Park Café
 - Rother Valley Country Park Café
 - 5% reduction on the cost of the 2024/25 garden waste collection service (1st bin only). This reduction will be applied from December 2023 when residents are invited to renew/subscribe for the collection service that will commence from 26th February 2024.
4. That Cabinet approve the intention to engage with businesses to explore the potential for developing a universal discount scheme that supports local businesses and retailers to benefit all Rotherham residents.
5. That Cabinet approve the intention to introduce an electronic alternative to a paper based Rothercard.
6. That Cabinet notes the intention to undertake an annual review to assess how the scheme is benefiting residents and helping deliver improved outcomes.

List of Appendices Included

Appendix 1 Rothercard Scheme – Review Findings & Recommendations
Appendix 2a Scheme Eligibility Criteria
Appendix 2b Rothercard Application Data Demographics
Appendix 2c Rothercard Discounts 22 to 23
Appendix 3a Equality Screening – Part A
Appendix 3b Equality Screening – Part B
Appendix 4 Carbon Impact Assessment

Background Papers

None

Consideration by any other Council Committee, Scrutiny or Advisory Panel

Rothercard Working Group – 15th November 2022

Council Approval Required

No

Exempt from the Press and Public

No

Rothercard Review

1. Background

- 1.1 The Rothercard scheme was launched as an anti-poverty initiative in 1993 to prioritise support for Rotherham people living on a low-income by offering a discount on a range of Council services, as well as discounts on goods and leisure activities from a small number of other organisations.
- 1.2 There is no charge for a Rothercard. To qualify for a free Rothercard, applicants must be able to provide evidence of meeting one of the criteria set out in the current scheme (Appendix 2a).
- 1.3 The current scheme has not been developed or promoted for some time which is likely to mean that some of the people who could most benefit from the scheme, are missing out.
- 1.4 The range of discounted services on offer has also remained largely unchanged for several years.
- 1.5 The Council Plan (Page 17, People are safe, healthy, and live well) refers to a 'new' Rothercard '*that will provide discounts on Council services for those who most need them.*'
- 1.6 Outcome 2.15 of the Council's Year Ahead Delivery Plan 2022 (*Inequalities are addressed and nobody is left behind*) sets out an action to complete a review of the Rothercard scheme.
- 1.7 A review of the Rothercard scheme by a cross party Rothercard Working group has been completed as detailed in Appendix 1.
- 1.8 The purpose of this report is to set out the changes identified from the outcome of the review to improve the future scheme and provide discounts on Council services for those who most need them.

2. Key Issues

2.1 Rothercard Audience

The current eligibility criteria have not been reviewed for some time which means that some of the residents who should most benefit from the scheme may be missing out.

- It is estimated that there are around 144k residents across the borough who are eligible for a Rothercard under the current scheme; out of which it is estimated only 10k (7%) are card holders
- In terms of applications received since September 2020:
 - 51% of applicants (1.5k) indicated that they were applying as an 'adult on low income; which is less than 3% of the estimated number of 'adults on low income' across the borough (63k); although it should be noted that under current scheme rules,

there is an extensive list of eligible benefits with many applicants in receipt of more than one type of award which makes it difficult to confirm numbers with any real accuracy.

- Only 1% of applications (30) were from young people aged 16-19, which accounts for only 0.3% (11k) of the 2020 mid-year population estimates (Office for National Statistics).
- Only 1% of applications (30) were received from Looked After Children out of a potential 557.
- 12 applications were received from refugees/asylum seekers in receipt of asylum seeker support payments, which is 3% of those eligible according to data found in Home Office's Immigration statistical release (384).
- If adopted, the recommended changes outlined in this report would reduce the estimated number of residents entitled to a Rothercard to 54k. However, by automating and streamlining the service it is envisaged that all those who are eligible will be in possession of a card which would represent a significant increase on current take-up rates.

2.2 **Current Benefits and Take-Up Rates**

2.2.1 **Council Services**

The majority of discounts relate to leisure and event activities such as water sports at Rother Valley Country Park.

A Rothercard holder can however also receive a discount when requesting a Bulky Waste collection, a pest control service for the removal of rats and a range of specific additional/replacement bin services.

Further examples can be found in Appendix 2c.

Details of services that offer a Rothercard discount are included within the Budget Report.

2.2.2 **Places Leisure (PL)**

The Council's contract with Places Leisure has been operating for 12 years and is valid until 2041.

Under the terms of the contract, Rothercard holders are eligible for a discount across several different leisure activities available across four sites.

2.2.3 **Local Businesses**

The current scheme is not designed to allow local businesses to offer discounts to Rothercard holders.

2.2.4 **Take-Up Rates**

It is not possible to gain any overall sense of take-up rates, scheme usage or impact of discounted benefits as this information is not currently consistently collected.

2.3 Administration of the current scheme

2.3.1 Application process

- A digital application process was implemented in September 2020, allowing customers to apply online and upload a photograph together with evidence of their Rothercard eligibility.
- In some cases, the information and documentation customers need to provide when applying for a Rothercard, may be the same as information already held by the Council in relation to other services.
- Making use of existing Council records to verify that someone is on 'low income' would remove the need for the applicant to produce the same documentation again. Furthermore, there would be an even greater improved customer experience if, with consent, eligible residents were to be automatically provided with a Rothercard rather than having to make a separate application.
- There is no current notification process advising customers when their Rothercard is about to expire.
- Several leisure activities offer a Junior Rothercard rate for children under the age of 16 who are dependants of a Rothercard holder living in the same household. The application process for a Junior Rothercard is in need of redesign as it currently requires separate applications for each family member which is administratively clumsy and a poor experience for customers.

2.3.2 Physical Rothercard

Successful applicants are sent a physical plastic Rothercard through the post.

A digital card as an alternative to a plastic card is not currently available.

2.3.3 Financial

- **Customer Services**

Customer Services administer the Rothercard application process. Costs are met from existing Customer Services budget.

- **Services**

In terms of concessionary rates offered by services, all services have income budgets that are uplifted by inflation each year. Any income is reviewed each year as part of budget-setting and adjusted accordingly to reflect planned take-up and rates the following year.

There are no corporate budget allowances for income streams where Rothercard discounts make up a significant proportion. Services are

expected to manage any pressures or gains arising from discounts for their services as part of their monthly monitoring.

- **Places Leisure**

Any reduction in income because of offering a Rothercard discount is considered before determining the value of the profit gain share that is returned to the Council.

2.3.4 **Scheme Promotion**

The scheme has not been actively promoted for many years, which means there is likely to be limited awareness of the available benefits of the scheme.

3. **Options considered and recommended proposal**

3.1 The following recommendations were developed by Members through the review of the current scheme undertaken by the Rothercard Working group.

3.2 **Use existing Council records (Council Tax Support) as the means to verify the 'Adult on Low Income' eligibility criteria**

Rationale

- A key outcome of the Rothercard review is the need to focus the scheme on residents who will benefit the most.
- Making use of existing Council records to verify that someone is on 'low income' improves customer experience by removing the need for an applicant to have to produce documentation they have previously provided. This also makes the scheme easier to manage and administer.
- In addition, automatically awarding residents who meet the 'adult on low income' eligibility criteria with a Rothercard (by consent), improves customer experience and reduces the administrative burden currently resulting from the need for a separate application.

Impact and Action

- The details of residents in receipt of Council Tax Support are already recorded and could therefore be used as the means from which to verify that someone is on 'low income.'
- A digital process will be created to automatically provide consenting residents who meet the 'adult on low income' criteria, with a Rothercard.
- The revised digital process will also incorporate an improved method of assessment/award for dependent children of a Rothercard holder who are under the age of 16 and living in the same household as a Rothercard holder.
- Cards issued to an 'adult on low income' will be valid for 12 months unless they have reached 'state pension age' (see 3.2.2). This means that when a renewal request is received, Council records can be rechecked to ensure the applicants remains eligible under this criterion.

3.2.1 **Replace the '60 and over' eligibility criteria with 'state pension age AND on low income'**

Rationale:

- According to DWP Labour Force Survey the average age of labour market exit is now 65.2 years old for men and 64.3 years old for women.
- Linking the eligibility to the state pension age, reflects the national increase in the age of people remaining in work and future proofs the scheme by avoiding setting a specific age which might then need to change in later years.
- The focus of the Rothercard scheme is to benefit residents who most need it, which is not necessarily everyone who has reached pensionable age. For this reason, applicants will need to meet **both** the 'low income' and state pension age' criterion to be awarded a Rothercard in future.

3.2.2 **Impact and action**

- The date someone has reached their state pension age varies according to their date of birth; information which can be verified on gov.uk.
- If a someone meets the 'state pension age' criteria, they will also need to meet the 'low income' criteria as well (as described above in 3.2.1). Adults who reach pensionable age but who don't meet the 'low income' criteria will not be awarded a Rothercard.
- Successful applicants (with consent) will be automatically provided with a Rothercard.
- Anyone who satisfies both the 'state pension age' and 'low income' criteria will be issued with a card that does not have an expiry date. The reason for this is that an applicant's age will not change and the likelihood of their income status changing in later life is extremely low. This will improve customer experience and reduce renewal related administrative burden/costs.
- Adults who continue working up to their state pension age may still be eligible for a Rothercard if they are on 'low income;' in which case they would be awarded a Rothercard with a 12-month expiry date.
- Existing card holders –anyone aged 60 or over awarded with a Rothercard under the current scheme, will be allowed to continue using their card until it expires; even if they would not be eligible once the new criteria has been introduced. Once the resident's card expires (5 years from the original issue date) they will need to reapply under the eligibility criteria of the new scheme.
- Some of the residents who reapply will no longer be eligible for a Rothercard which may create dissatisfaction.
- It is estimated that the number of residents who will meet both the pensionable age and 'low income' criterion is currently around 15k.

3.2.3 **Replace the 'Young person aged 16 to 19 years in full time education' criteria with a new Young Person age category of '16 to 21 years of age'**

Rationale

- This would extend the eligibility to include young people who for example are not in education but are undertaking apprenticeships or other jobs

with training/qualifications built into employment. These groups are not currently eligible for a card.

- Young people who are newly embarking on their future career paths can often be in low wage jobs.

Impact and action

- The size of the 'young person' audience will increase which may mean greater take up of discounted activities across both Council and Places Leisure services. Any impact to budget would require monitoring and review ahead of setting out the next period of Council Fees and Charges.
- The Rothercard scheme would help enable more young people to do the things that are important to them – 'have fun.' (Council Plan, page 19)
- Customer experience will improve, and the administrative burden will reduce – currently, a resident applying under the criteria '*Young person aged 16 to 19 years in full time education*' needs to provide a letter from their school or college and proof of their parent receiving child benefit. This will not be required under the new proposed criteria; proof of age/residency will be all that will be required which will require a change to the current digital process.
- The validity period for a Rothercard issued to a young person applying under the 'up to 21 years of age' criteria will be valid up to 23:59 the day before they turn 21.
- Work will be undertaken to explore the feasibility of enabling a more proactive award process so that when young people reach the age of 16, they are automatically given a Rothercard if they want one.

3.2.4 Automatically provide Section 95 Local Authority residents with a Rothercard

Rationale

- These customer groups have arrived in the borough because of a humanitarian crisis.
- The benefits of the Rothercard scheme compliments other support packages already in place and provides quicker access to the type of activities that have a positive impact on mental health and wellbeing.

Impact and Action

- This would be one less 'thing to do.'
- Numbers may increase dependent on events happening worldwide and/or other emerging crises.
- Cards issued under these circumstances would be issued with a fixed one-year period of validity, which means that applying for a card after expiry will only be approved if the applicant meets a different eligibility criteria.
- The process for the automatic allocation of a Rothercard for Section 95 Local Authority residents will need to be designed to compliment existing Council arrangements.

3.2.5 **'Looked after children/young people'** – no changes pending other discussions already underway to consider how best to support this group of residents.

3.2.6 **Create a more simplified and streamlined range of discounts and extend the number of services that offer a discount**

Rationale

- Discounts offered are set by the service and vary from anywhere between 10% to 50%.
- Creating a more streamlined and simplified range of discounts in the future will minimise confusion and make the scheme easier to manage.
- Extending the range of discounted services available to Rothercard holders opens new opportunities to those who need help the most.

3.2.7 **Impact and Action**

- Work will be undertaken to begin streamlining and simplifying service discounts.
- During 2023/24, it is proposed that the following new discounts are made available to Rothercard holders:
 - 10% reduction off the cost of a hot drink effective from 1 April 2023, at the following locations:
 - Clifton Park Museum Café,
 - Thrybergh Country Park Café
 - Rother Valley Country Park Café
 - 5% reduction on the cost of the 2024/25 garden waste collection service (1st bin only). This reduction will be applied from December 2023 when residents are invited to renew/subscribe for the collection service that will commence from 26th February 2024.
- Work is ongoing with services to identify additional new discounts that could be offered in the future.
- The discount the customer receives for some services in the future could be greater or smaller than it is now.
- There will be budget implications to consider because of extending the range of discounted services and/or increasing/decreasing the discount percentage. This will need to be worked through in more detail with finance and service colleagues.
- Discussion with Places Leisure will be required to explore the potential for changing/extending the range of discounts currently available through Places Leisure.
- Work will be undertaken during 2023/24 to explore the potential for developing a universal discount scheme that supports local businesses and retailers.

3.2.8 Scheme Administration

Card Expiry

- There is no current process of advance notification ahead of a Rothercard expiring.
 - Administrative processes will be established to generate a notification in advance of someone's card expiring to allow them time to re-apply if this is something they want to do/are eligible to do.
 - Under the new scheme, residents that are awarded a Rothercard because they have met the 'state pension age' eligibility criteria, will not need to renew their card as the card will be valid for their lifetime. A process will be designed to periodically contact these card holders to check that their details remain valid, and the customer has continued residency in the borough.

Digital Card

- In today's world people increasingly prefer to save documents, tickets, and membership cards in a virtual wallet rather than having to carry a physical record with them just in case it's needed.

There is no current facility to provide users with a digital pass:

- It is planned that a solution will be available to offer to customers by Autumn 2023.

Recording use of a Rothercard

- In most cases, Council services that offer a Rothercard discount have no current means of capturing when a discount is applied, and for which type of activity.
- As part of the Customer & Digital programme, several service redesign projects are already underway to identify potential solutions that could, in the future, more consistently capture Rothercard related activity and provide the business intelligence needed to measure the success of the scheme.

3.2.9 It is recommended that the changes described above are implemented to deliver a new and improved Rothercard scheme that 'will provide discounts on Council services for those who most need them' and:

- make the scheme easier to manage and administer.
- improve customer experience in terms of both applying for and benefiting from the Rothercard scheme.
- target the right people to increase awareness of the scheme.
- ensure the scheme is reviewed on a regular basis so that the offer remains right for the residents of Rotherham.
- gather business intelligence to better understand take-up rates and outcomes.

4. Consultation on proposal

- 4.1 The recommendations proposed in this report have been determined by the work undertaken by the Rothercard Working group consisting of cross party elected members and Council officers.

5. Timetable and Accountability for Implementing this Decision

- 5.1 The new Rothercard scheme will be in place effective from 1st April 2023

- 5.1.2 Undertake further work during 2023 to:

- Implement a digital card as an alternative to a physical plastic card.
- Work with local businesses to explore the potential to offer discounts to Rothercard holders.

- 5.1.3 The Rothercard working group will undertake an annual review of the scheme effective from summer 2023.

5.2 Next steps and future actions

It is recommended that

1. Cabinet approves the recommended changes set out in this report to deliver a new Rothercard scheme.
2. That Cabinet note the changes to the eligibility criteria and the improvements that will be delivered to make it easier for customers to apply for/benefit from the scheme by:
 - Automatically providing residents who qualify for Council Tax Support (with consent) with a Rothercard
 - Raising awareness of the scheme with those who have already qualified for Council Tax Support so they can be provided with a Rothercard should they wish to
3. That Cabinet approve the proposal to offer the following new discounts to Rothercard holders:
 - 10% reduction off the cost of a hot drink effective from 1 April 2023, at the following locations:
 - Clifton Park Museum Café,
 - Thrybergh Country Park Café
 - Rother Valley Country Park Café
 - 5% reduction on the cost of the 2024/25 garden waste collection service (1st bin only). This reduction will be applied from December 2023 when residents are invited to

renew/subscribe for the collection service that will commence from 26th February 2024.

4. That Cabinet approve the intention to engage with businesses to explore the potential for developing a universal discount scheme that supports local businesses and retailers to benefit all Rotherham residents.
5. That Cabinet approve the intention to introduce an electronic alternative to a paper based Rothercard.
6. That Cabinet notes the intention to undertake an annual review to assess how the scheme is benefiting residents and helping deliver improved outcomes.

6. Financial and Procurement Advice and Implications

- 6.1 There are no direct procurement implications associated with the recommendations detailed in this report.
- 6.2 The Rothercard discounts are accounted for in the Council's Budget and Medium-Term Financial Strategy. It is not known how the number of eligible people will change under the revised scheme, or how many will take up the card and claim discounts for each service. As such the financial impact of the change in the scheme cannot be estimated at this stage. It is expected that any financial impact is likely to be minimal and will not significantly affect individual service budgets.

7. Legal Advice and Implications

- 7.1 There are no direct legal implications arising from the recommendations within this report.

8. Human Resources Advice and Implications

- 8.1 There are no direct implications within this report.

9. Implications for Children and Young People and Vulnerable Adults

- 9.1 There is a positive impact for young people as the proposals of the scheme is to extend the eligibility criteria so that more young people will be eligible for a card.
- 9.2 Vulnerable adults will not be impacted by the scheme as there are no changes to the criteria that covers this group of residents.

10. Equalities and Human Rights Advice and Implications

- 10.1 The revised Rothercard Scheme makes significant advances in relation to equalities. Refining and adding to the groups of people that qualify will extend and clarify the advantages of the scheme. The scheme makes linkages to other council policies including digital inclusion that will also address equalities and access. This will also enable the collection of equalities data that can be used to identify where there may be lack of take-up in some protected characteristics, enabling proactive action to be taken. The public consultation will enable developments, including advancing equalities, to be made as the scheme is further developed.
- 10.2 Equalities screening and assessments (forms A and B) are appended to the report.

11. Implications for CO2 Emissions and Climate Change

- 11.1 The current Rothercard is only available as a physical card printed onto plastic. A digital card will be developed as an alternative so that residents can add the Rothercard to a virtual wallet.
- 11.2 It is anticipated that this option will be popular, reducing the demand for the printing of physical cards and use of plastic; also lowering the volume of outgoing mail which reduces any carbon emissions associated with the delivery of post.

12. Implications for Partners

- 12.1 Under the terms of the contract, Rothercard holders are eligible for a discount across several different leisure activities available across four sites. Any impact to demand as a result of the proposed changes will be monitored as part of existing review arrangements.
- 12.2 Discussion with Places Leisure will be required to explore the potential for changing/extending the range of discounts currently available through Places Leisure.

13. Risks and Mitigation

- 13.1 No risks have been identified at this time but the impact of the proposed changes will be closely monitored with an annual review undertaken to ensure any future risks are identified and acted on.

14. Accountable Officers

Luke Sayers, Assistant Director Customer Information & Digital Services,
Finance & Customer Services

Approvals obtained on behalf of Statutory Officers: -

	Named Officer	Date
Chief Executive	Sharon Kemp	09/01/23
Strategic Director of Finance & Customer Services (S.151 Officer)	Judith Badger	05/01/23
Assistant Director of Legal Services (Monitoring Officer)	Phillip Horsfield	05/01/23

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BRIEFING	TO:	Rothercard Working Group
	DATE:	15 th November 2022
	LEAD OFFICER:	Luke Sayers Assistant Director of Customer, Information and Digital Services
	TITLE:	The Rothercard Scheme
1. Background		
1.1	The Rothercard scheme was launched as an anti-poverty initiative in 1993 to prioritise support for Rotherham people living on a low-income by offering a discount on a range of Council services, as well as discounts on goods and leisure activities from a small number of other organisations.	
1.2	It is understood that the last formal report relating to the Rothercard scheme for consideration by elected members was sometime in 2008. Since then, there has been no strategic management or development of Rothercard and there is no formally agreed departmental owner; although in 2019 Customer Services (F&CS) took on the responsibility for administering card applications, implementing an improved digital application process in 2020.	
1.3	There is no charge for a Rothercard. To qualify for a free Rothercard, applicants must live in a property which is registered for Council Tax in Rotherham and be able to provide appropriate evidence that they meet one of the criteria listed in Appendix 3a .	
1.4	<p>Since the new digital application process was implemented, 2,245 cards have been issued during the period 1st September 2020 to 31st March 2022.</p> <p>It is estimated that there were around 8k existing Rothercard holders prior to the new digital application process being introduced; although this figure cannot be confirmed as the database originally used to collate this information is no longer supported or accessible.</p> <ul style="list-style-type: none"> • Anyone who was issued with a 'one year' Rothercard before 1st September 2020 will have since needed to reapply, which means the details of these residents are now digitally recorded and included in the figures above. • All those aged over 60 who were issued with a card prior to 1st September 2020 have a card with a 5 year expiry date. Over time, the number of these 'unknown' card holders will decrease as cards lapse and residents reapply. This means that unless the scheme changes, all applicant data will be held as a digitised record by 1st September 2025. 	
1.5	The current scheme has not been developed or promoted for some time. This is likely to mean that some of the people who could most benefit from the scheme, are missing out.	

1.6	The Council Plan (Page 17, People are safe, healthy, and live well) refers to a 'new' Rothercard ' <i>that will provide discounts on Council services for those who most need them.</i> '
1.7	Outcome 2.15 of the Council's Year Ahead Delivery Plan 2022 (<i>Inequalities are addressed and nobody is left behind</i>) sets out an action to complete a review of the Rothercard scheme by June 2022.
1.8	The purpose of this paper is to provide a summary of the findings of the Rothercard review and set out proposals for a new Rothercard scheme and required actions.

2. Key Issues

2.1 Scheme Ownership

There is currently no formally agreed departmental owner. This means that lines of reporting and accountability are unclear.

Customer Services (CIDS) currently administer the Rothercard application process, which includes the ongoing support and maintenance of the digital process, assisted access for applications/renewals, dealing with general enquiries and the production of the physical card.

As a general overview of current responsibilities:

Table 1

Directorate	Service Area	Responsibilities
F&CS	Customer Services	<ul style="list-style-type: none"> • Providing multi-channel access for customers wanting to apply/re-apply for a Rothercard • Assessing and approving applications based on the Council's agreed eligibility criteria • Providing approved applicants with a Rothercard • Ensuring information across all channels (online, contact centre, face to face) remains updated with any changes requested by directorates (eg. pricing change, new benefits etc) • Identifying any opportunities as part of the Customer & Digital programme to implement new technological solutions that improve customer experience and improve efficiency
All Directorates	All services	<ul style="list-style-type: none"> • Identifying services that will offer Rothercard holders a discount/benefit • Working with finance colleagues to ensure discounts offered are affordable • Keeping Customer Services aware of any changes to Rothercard discounts/benefits so that customer information remains up to date and relevant
F&CS	Financial Services	<ul style="list-style-type: none"> • Ensuring any benefits/discounts have been accounted for in service budgets and reflected in the council's Fees and Charges document

No agreed owner	No agreed owner	<ul style="list-style-type: none"> • Promotion of the scheme • Membership numbers • Measuring the impact of the scheme
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2.2

The Rothercard Audience

A review of all available data has been undertaken to:

- Identify which customer groups are currently applying for a Rothercard (based on applicant data over the period 1st September 2020 to 31st March 2022)
- Gain a sense of the size of the audience that would most benefit from the future scheme and how others would be impacted by any proposed changes.
- Better understand how card holders are benefiting from the current scheme
- Identify how the future scheme should be designed so that it will provide discounts on Council services for those who most need them.

2.3

Demographics and current card holders

- It is estimated that there are around 144k residents across the borough who are eligible for a Rothercard under the current scheme; out of which only 10k (7%) are currently card holders (*estimated figure, which includes those card holders who applied prior to 1.9.20*)
- 2021 mid-year population statistics suggest there are circa 68,760 residents aged over 60; of which it is estimated around 8k (12%) of residents in this age group are current card holders. This includes those with a valid card issued before 1.9.20.
- 51% (1,528) of applicants indicated that they were applying as an 'adult on low income'. This is less than 3% of the estimated number of 'adults on low income' across the borough (62,732); although it should be noted that under current scheme rules, there is an extensive list of eligible benefits with many applicants in receipt of more than one type of award which makes it difficult to confirm numbers with any real accuracy.
- The final group of eligible applicants make up less than 3% (72) of applications received. There is a potential estimated 12.2k of young people, looked after children or refugee/asylum seekers eligible across the borough which means that less than 1% are currently benefiting from the scheme.

Please see Appendix 3b for more detailed information

2.5

Current Benefits and Take-Up Rates

The majority of the discounts currently offered to Rothercard holders are leisure based which is typical of most local authority schemes.

- **Council Services:**

All the Council services that currently offer a Rothercard discount are delivered by the Regeneration & Environment directorate. The majority of discounts relate to leisure and event activities.

A Rothercard holder can however also receive a discount when using:

- Bulky Waste service
- Requesting an additional/replacement bin if the bin is black, green or black with a pink lid. There is no discount for brown bins.
- Pest control service where the report relates to rats - the discount does not apply to the treatment of other pests

R&E regularly review the type of services that are suitable for offering a Rothercard discount. Where there are any changes (new discounts or

amendments to an existing one), details are included in the Council's Fees and Charges report.

With the exception of the Bulky Waste service, there is no available data to provide any indication of current take-up rates. Use of a Rothercard to obtain a discount for a Bulky Waste collection is routinely collected as part of the recently redesigned digital process.

During the period 1st January to 31st March 2022, there were 1,913 bulky waste collections booked and paid for. Of these, 436 (23%) received a discount as a Rothercard holder.

- **Places for People (PfP)**

The Council's contract with PfP has been operating for 12 years and is valid until 2041. It was set up as a profit gain share arrangement whereby any profit is shared 50/50 between the Council and PfP with 10% of the Council's share of the profit being committed to sports development.

Under the terms of the contract, Rothercard holders are eligible for a discount across a number of different leisure activities; but there is no available data to indicate how many residents have actually used their cards for this purpose.

- **Looked After Children**

Discussions are separately taking place with CYPS and PfP to explore the provision of a 'Looked after Children' (LAC) VIP card.

2.6 **Appendix 3c** provides an overview of all discounts currently available (2022/23) to Rothercard holders.

2.7 **Junior Rothercard rate**

As referenced in **Appendix 3a**, a number of leisure activities offer a Junior Rothercard rate for children under the age of 16 who are dependants of a Rothercard holder and who are living in the same household as a Rothercard holder.

The application process is in need of redesign as it currently requires separate applications for each family member which is administratively clumsy and a poor experience for customers.

2.8 **Carers and Paid Personal Assistants**

Rothercard holders who have a carer or paid personal assistant, can also apply for the carers discount which gives the carer discounted entry to leisure facilities, and discount rates at Rotherham Theatres when accompanying the Rothercard holder. (NB. The carer is not issued with their own card).

This application process was redesigned and implemented in July 2022.

2.9 **Systems and Software**

- **Application process (managed by Customer Services)**

The current Rothercard application process (implemented Sept 2020) provides customers with a single application form (regardless of access channel). Once submitted, the same system automatically triggers a back-office assessment process which ensures the appropriate eligibility checks (eg. evidence of benefit) are undertaken and recorded so that an award decision can be made.

There is no current notification process advising customers when their Rothercard is about to expire.

- **The 'Rothercard'**

The physical Rothercard is produced by the Customer Services Print & Post team who overlay the Rothercard design template onto a blank plastic card. They use the same type of blank plastic card that is used for Council ID badges but minus the chip that is used for controlling building access.

If approval has been given for the Rothercard holder to receive a discount for their carer/personal assistant (when accompanying them to activities or the theatre), the card is issued with the wording 'plus carer' after their name

- **Recording use of a Rothercard**

In the majority of cases, Council services that offer a Rothercard discount have no current means of capturing when a discount is applied, and for which type of activity.

As part of the Customer & Digital programme, a number of service redesign projects are already underway, and a key requirement that has emerged from this work is the need for a corporate booking solution. Colleagues in Green Spaces and Sport Development have been involved in these discussions. Over the next few month's a 'requirements specification' will be created and this will include the need for future software to have the ability to deduct a discount under specific validated circumstances before calculating the cost to the customer.

As referenced previously, any discounts related to the Bulky Waste collection service are routinely recorded as part of the request process. The same digital process is followed regardless of the contact channel the customer uses to make their request; with the web form requiring the customer to enter their Rothercard account number. There is however no current way to verify that the reference number given is valid and in date. The only check at present is to ensure that the details entered are in the expected format.

Further development work would be needed by the Customer Services digital team to create a more robust and effective solution. Rather than treat this in isolation, it is considered best to wait until the procurement of the corporate booking system has progressed as the objective is to identify a solution that can include this functionality and be used for multiple purposes.

- **Digital card**

There is no current facility to provide users with a digital pass. For example, the ability to add a virtual 'Rothercard' to an Apple or Google Pay Wallet which can then be viewed/presented as and when required until it expires.

In today's world people increasingly prefer to save documents, tickets and membership cards in a virtual wallet rather than having to carry a physical record with them just in case it's needed.

The Customer Services Digital team are currently exploring ways in which the new Rothercard could be produced as 'virtual' by default; whilst still providing a physical card for anyone unable to access/make use of digital technology. It is planned that the solution will be available to offer to customers by the Autumn 2023.

Work will continue to identify other more longer-term improvements such as the ability for providers of discounted services to be able to scan a Rothercard/code in a similar way to how retailers for example, handle reward cards.

2.10 Financial

There is no specific budget for Rothercard.

• Services

In terms of concessionary rates offered by services, all services have income budgets that are uplifted by inflation each year. Any income is reviewed each year as part of budget-setting and adjusted accordingly to reflect planned take-up and rates the following year.

There are no corporate budget allowances for income streams where Rothercard discounts make up a significant proportion. Services are expected to manage any pressures or gains arising from discounts for their services as part of their monthly monitoring.

Services that offer a Rothercard discount are listed in the Councils Fees and Charges schedule.

• Customer Services

Customer Services administer the Rothercard application process. Costs for staff time are accounted for in the staffing budget.

There is no budget for the cards themselves, but current costs are minimal. The cost of producing 2,245 cards (at 6.5p per card) was £146.

• Places for People

Any reduction in income as a result of offering a Rothercard discount is taken into account before determining the value of the profit gain share that is returned to the Council

3. Key Actions and Timelines

3.1 The Future Offer

A number of changes are proposed to deliver a new Rothercard scheme that '*will provide discounts on Council services for those who most need them,*' and:

- make changes to the eligibility criteria so that the focus of the scheme is directed towards residents who will most benefit
- make the scheme easier to manage and administer
- improve customer experience in terms of both applying for and benefiting from the Rothercard scheme
- target the right people to increase awareness of the scheme

i) Use existing Council records as the means to verify the 'Adult on Low Income' eligibility criteria

Rationale

- A key outcome of the Rothercard review is the need to focus the scheme on residents who will benefit the most.
- Making use of existing Council records to verify that someone is on 'low income' improves customer experience by removing the need for an applicant

to have to produce documentation they have previously provided. This also makes the scheme easier to manage and administer.

Impact and Action

- The details of residents in receipt of Council Tax Support are already recorded and could therefore be used as the means from which to verify that someone is on 'low income.'
- The administrative process for assessing applications will need to be updated to include a verification step to be undertaken by Customer Services. This may initially require a degree of manual review with a digital solution created later.
- The revised digital process will incorporate an improved method of assessment/award for dependent children of a Rothercard holder who are under the age of 16 and living in the same household as a Rothercard holder.
- Cards issued to an 'adult on low income' will be valid for 12 months unless they have reached 'state pension age' (see 3.1 ii). This means that when a renewal request is received, Council records can be rechecked to ensure the applicants remains eligible under this criterion.

ii) Replace the '60 and over' eligibility criteria with '*state pension age AND on low income*'

Rationale:

- According to DWP [Labour Force Survey](#) the average age of labour market exit is now 65.2 years old for men and 64.3 years old for women.
- Linking the eligibility to the state pension age, reflects the national increase in the age of people remaining in work and future proofs the scheme by avoiding setting a specific age which might then need to change in later years.
- The focus of the Rothercard scheme is to benefit residents who most need it, which is not necessarily everyone who has reached pensionable age. For this reason, applicants will need to meet **both** the 'low income' and state pension age' criterion to be awarded a Rothercard in future.

Impact and action

- The date someone has reached their state pension age varies according to their date of birth; information which can be verified on [gov.uk](#).
- If a someone meets the 'state pension age' criteria, they will also need to meet the 'low income' criteria as well (as described above in 3.1 i). Adults who reach pensionable age but who don't meet the 'low income' criteria will not be awarded a Rothercard.
- Anyone who satisfies both the 'state pension age' and 'low income' criteria will be issued with a card that does not have an expiry date. The reason for this is that an applicant's age will not change and the likelihood of their income status changing in later life is extremely low. This will improve customer experience and reduce renewal related administrative burden/costs.
- Adults who continue working up to their state pension age may still be eligible for a Rothercard if they are on 'low income;' in which case they would be awarded a Rothercard with a 12 month expiry date.
- Existing card holders –anyone aged 60 or over awarded with a Rothercard under the current scheme, will be allowed to continue using their card until it expires; even if they would not be eligible once the new criteria has been introduced. Once the resident's card expires (5 years from the original issue date) they will need to reapply under the eligibility criteria of the new scheme.

- Some of the residents who reapply will no longer be eligible for a Rothercard which may create dissatisfaction.
- The number of residents who will meet both the pensionable age and 'low income' criterion is unknown.

iii) Replace the '*Young person aged 16 to 19 years in full time education*' criteria with a new Young Person age category of '*16 to 21 years of age*'

Rationale

- This would extend the eligibility to include young people who for example are not in education but are undertaking apprenticeships or other jobs with training/qualifications built into employment. These groups are not currently eligible for a card.
- Young people who are newly embarking on their future career paths can often be in low wage jobs.
- As a local comparison, South Yorkshire Transport provide reduced cost travel costs for young people up to the age of 21

Impact and action

- The size of the 'young person' audience will increase which may mean greater take up of discounted activities across both Council and Places for People services. Any impact to budget would require monitoring and review ahead of setting out the next period of Council Fees and Charges.
- The Rothercard scheme would help enable more young people to do the things that are important to them – 'have fun.' (Council Plan, page 19)
- Customer experience will improve and the administrative burden will reduce – currently, a resident applying under the criteria '*Young person aged 16 to 19 years in full time education*' needs to provide a letter from their school or college and proof of their parent receiving child benefit. This will not be required under the new proposed criteria; proof of age/residency will be all that will be required which will require a change to the current digital process.
- The validity period for a Rothercard issued to a young person applying under the 'up to 21 years of age' criteria will be valid up to 23:59 the day before they turn 21.

iv) Automatically provide Section 95 Local Authority supported refugees/asylum seekers with a Rothercard:

Rationale

- These customer groups have arrived in the borough as a result of a humanitarian crisis.
- The benefits of the Rothercard scheme compliments other support packages already in place and provides quicker access to the type of activities that have a positive impact on mental health and wellbeing.

Impact and Action

- This would be one less 'thing to do' for newly arriving refugees or asylum seekers.
- Numbers may increase dependent on events happening worldwide and/or other emerging crises.
- Cards issued under these circumstances would be issued with a fixed one year period of validity; which means that applying for a card after expiry will only be approved if the applicant meets a different eligibility criteria.

- The process for the automatic allocation of a Rothercard for refugees/asylum seekers will need to be designed to compliment existing Council arrangements.

v) Remove 'Looked after children/young people' as a Rothercard criteria

Rationale

- Discussions are currently and separately underway to create a 'Looked after Children' (LAC) VIP card. It is therefore anticipated that retaining this criterion will not be required and may otherwise cause confusion.
- Assuming this initiative is implemented as currently expected, and that the timing does not conflict, there would be no reason to include this eligibility criteria

Impact and Action

- Subject to the successful implementation of the VIP card, it is anticipated that looked after children will benefit from a more rounded and bespoke offer.
- It is understood that the administration of the VIP card will be undertaken by CYPS to compliment existing LAC related processes.
- A young person aged 16-21 will still be able to apply for a Rothercard if they can provide proof of age and residency.
- Should the expected introduction of a VIP card not go ahead, a separate review will be undertaken to consider how the Rothercard scheme could be best used to the benefit of looked after children/young people.

vi) Creating a more consistent level of discount and extending the range of services that offer a discount

Rationale

- Discounts offered are set by the service and vary from anywhere between 10% to 50%.
- Setting a single standard percentage discount would remove customer and organisational confusion, improve consistency and minimise the administrative burden.
- Extending the range of discounted services available to Rothercard holders opens up new opportunities to those who need help the most.

Impact and Action

- Setting a single standard discount means that the customer may receive a greater/lesser discount than they do now, dependant on the activity or service they are wanting to access using their Rothercard.
- A single standard percentage discount will simplify the administration and ongoing management of the scheme offer.
- There will be budget implications to consider as a result of extending the range of discounted services and/or increasing/decreasing the discount percentage. This will need to be worked through in more detail with finance and service colleagues.
- There needs to be an exemption process put in place that would allow services to request approval to offer a different discount.
- The ability to extend the range of discounted services and implement a single standard discount for Place for People activities may not be possible due to contractual limitations. Further work will be required to explore the potential.
- Local businesses are likely to be interested in offering Rothercard holders a discount to goods/services as a means to boost their trade and increase the

number of people 'shopping local.' This is a piece of work that will be developed during 2023/24.

vii) **Re-establish ownership of scheme responsibilities**

Rationale

- Over time the responsibilities for the Rothercard scheme have become unclear with some activities such as promotion of the scheme and measurement of take-up rates/outcomes not being undertaken at all.

Impact and Action

- Table 1, section 2.1 provides an overview of current responsibilities. It is recommended that those responsibilities already established and working well remain in place.
- Subject to discussions with the appropriate departmental colleagues, it is proposed that those responsibilities without current owners are allocated as follows:
 - Promotion of scheme discounts and benefits to the appropriate target audiences– **Comms & Marketing**, working closely with service colleagues
 - Measuring outcomes, including take up rates and the impact the benefits of the scheme have on Rothercard holders – **Policy, Performance and Intelligence**
- Raising the awareness of the scheme is likely to increase take-up rates which could have budget implications and therefore any promotional activities would need to be carefully considered and planned with finance and service colleagues

viii) **Card Expiry Dates and Changes to Card Holder details**

Rationale

- There is no current process of advance notification ahead of a Rothercard expiring.
- There is no established process for dealing with changes to the card holder details; for example, if someone changes their name, or the person becomes deceased.

Impact and Action

- Administrative processes need to be established to generate a notification in advance of someone's card expiring to allow them time to re-apply if this is something they want to do/are eligible to do.
- The advance notification needs to advise the customer of the eligibility criteria they will need to meet in order to receive a new card; for example, a customer who applied previously under the '*Young Person under the age of 21*' criteria may still be eligible if they are an 'adult in receipt of Council Tax support.' A person who previously applied under the 'age over 60' eligibility criteria may continue to be eligible if, based on their date of birth, they have reached the 'state pension age'.
- Under the new scheme, residents that are awarded a Rothercard because they have met the 'state pension age' eligibility criteria, will not need to renew their card as the card will be valid for their lifetime. A process will be designed to periodically contact these card holders to check that their details remain valid and the customer has continued residency in the borough.

3.2	Summary of Actions		
	Action	Owner	Timescales
<p>1st Draft report outlining the findings of the Rothercard review and associated proposals shared with the working group</p> <p>Final draft report incorporating comments and feedback</p> <p>Conclude review and present final version of report shared with key stakeholders</p> <p>Seek formal approval of recommendations</p> <p>Create a new set of eligibility rules and required evidence</p> <p>Create a new digital application process based on the new eligibility rules</p> <p>Establish a new process for the automatic allocation of a Rothercard for refugees and asylum seekers</p> <p>Work with services & finance to confirm discounted services and standardise discounts</p> <p>Agree owners of currently unallocated responsibilities</p>	1 st Draft report outlining the findings of the Rothercard review and associated proposals shared with the working group	L. Sayers	May 22 Complete
	Final draft report incorporating comments and feedback	L Sayers	September 22
	Conclude review and present final version of report shared with key stakeholders	Rothercard working group	November22
	Seek formal approval of recommendations	Cabinet	TBC
	Create a new set of eligibility rules and required evidence	H Barker	By Dec 22
	Create a new digital application process based on the new eligibility rules	H Barker	By Feb 23
	Establish a new process for the automatic allocation of a Rothercard for refugees and asylum seekers	H Barker	By Feb 23
	Work with services & finance to confirm discounted services and standardise discounts	H Barker	Once approved
	Agree owners of currently unallocated responsibilities	L Sayers	Once approved
<p>New Rothercard in place</p> <p>Promotion of new scheme – in advance of new scheme being introduced, continuing afterwards</p> <p>Implement a digital card</p> <p>Monitoring of take up rates and measurement of outcomes</p> <p>Explore any opportunity to further extend the range of discounted services on offer</p> <p>Undertake an annual review of the scheme</p>	New Rothercard in place		Apr 23
	Promotion of new scheme – in advance of new scheme being introduced, continuing afterwards	Comms	To start Feb/Mar 23
	Implement a digital card	H Barker	Autumn 2023
	Monitoring of take up rates and measurement of outcomes	TBC	Ongoing
	Explore any opportunity to further extend the range of discounted services on offer	Service departments	Ongoing
	Undertake an annual review of the scheme	L Sayers L Sayers	Annual Autumn 2023

	Work with local businesses to extend the range of available discounts to Rothercard holders			
4. Recommendations				
4.1	<p>It is recommended that:</p> <ul style="list-style-type: none"> • The changes and actions set out in this report are approved in order to deliver a new Rothercard scheme that ‘will provide discounts on Council services for those who most need them,’ and: <ul style="list-style-type: none"> ○ make changes to the eligibility criteria so that the focus of the scheme is directed towards residents who will most benefit ○ make the scheme easier to manage and administer ○ improve customer experience in terms of both applying for and benefiting from the Rothercard scheme ○ target the right people to increase awareness of the scheme • The Council continues to explore any opportunity to further extend the range of discounted services on offer to those who need to benefit the most. • An annual review takes place each year to assess customer engagement, experience and take-up rates and monitor administrative processes and application of discounts. 			

Appendix 2a

Rothercard – Current Eligibility Criteria

Eligibility Criteria	Evidence Required	Card validity period
Aged Over 60	<ul style="list-style-type: none"> • proof of age • proof of address 	5 years
Young person aged 16 to 19 years in full time education	<ul style="list-style-type: none"> • proof of age • proof of address • letter from your school or college if you are aged 16-19 in full time education (your parents must still receive child benefit for you) OR proof of child benefit for the dependent applying for the card 	1 year
Refugee/asylum seeker dependent on asylum seeker support payments	<ul style="list-style-type: none"> • proof of age • proof of address • HC2/3 certificate 	1 year
Looked after child/young person	<ul style="list-style-type: none"> • an official letter supplied by the foster carer or residential worker naming the young person in their care 	1 year
<p>Adult on a low income (and any dependants living in the same household) who is in receipt of one of the following benefits:</p> <ul style="list-style-type: none"> • Universal Credit • Attendance Allowance • Council Tax Reduction • Disability Living Allowance • Personal Independence Payment • Working Tax Credit • Housing Benefit • Incapacity Benefit • Income Support • Severe Disablement Allowance 	<ul style="list-style-type: none"> • Proof of age • Proof of address • And, dependent on circumstances one of the below: <ul style="list-style-type: none"> ○ recent benefit award letter or if on Universal Credit proof of online Universal Credit account ○ Council Tax bill showing Council Tax Reduction ○ recent bank statement* ○ HC2/3 certificate 	1 year

<ul style="list-style-type: none"> • Jobseekers Allowance • Employment and Support Allowance • HC 2/3 Certificate - (help with cost of prescriptions, dentist/optician charges) 		
Carers or paid personal assistants supporting Rothercard holders with their attendance at leisure events and theatre	<p>The person applying for a Rothercard must first qualify under one of the above criteria and be able to provide evidence of one of the following:</p> <ul style="list-style-type: none"> • Attendance Allowance • Disability Living Allowance • Disabled Person's Tax Credit • Incapacity Benefit • Severe Disablement Allowance <p>If the applicant has qualified for a Rothercard but is not in receipt of one of the above, they must be able to provide evidence of one of the following:</p> <ul style="list-style-type: none"> • Invalid Care Allowance • Blue Badge • War Pensioner's Mobility Supplement • Registered Disabled • Industrial Injuries (Constant Attendance Allowance or Exceptionally Severe Disablement Allowance) • Assistance of interpreter as form of care for deaf people • Vaccine damage payment • Registered blind or partially sighted • Note of disability from GP or hospital doctor • Motability • A disability premium included in an award for Income Support, Housing Benefit or Council Tax Reduction 	The card is issued to the Rothercard holder not the carer - the validity period depends on the eligibility criteria that the card holder applied under. (1 or 5 years)

- * As many customers now bank on-line, they may not have a paper statement to provide as evidence. A screen shot/photo is acceptable providing this provides evidence of the account holder.

Customer Services provides advice/support for any customer who is unsure how to provide the required documentation and/or needs assistance to do so.

1. Rothercard Applications (1st September 2020 to 31st March 2022)

Since the new digital application process was implemented, there has been 2,979 Rothercard application forms received (1st September 2020 to 31st March 2022). Of these:

- 2,245 were successful applications
- 283 were declined as the applicants was unable to provide the required evidence of eligibility
- The remaining 451 applications include people who made an initial application but have since either decided not to pursue the application or still need to provide corroborating information/evidence.

Data from the 2,979 applications provides the following breakdown of eligibility criteria as indicated by residents:

Reason for applying:	Number	%
Aged over 60	1,379	46.30%
Adult on low income	1,528	51.30%
Young person aged 16 to 19 years in full time education	30	1.00%
Looked after children/young people	30	1.00%
Refugees/asylum seekers dependent on asylum seeker support payments	12	0.40%
Total	2,979	100.0%

Applicants who described themselves as ‘adults on low income’ indicated that they are in receipt of the following benefits:

Benefit	Number of Applicants	% of total applications
Universal Credit	665	43.5%
Personal Independence Payment	239	15.6%
Working Tax Credit	149	9.7%
Council Tax Reduction	136	8.9%
Employment and Support Allowance	114	7.5%
Disability Living Allowance	85	5.6%
Housing Benefit	59	3.9%
Income Support	43	2.8%
Jobseekers Allowance	15	1.0%
Attendance Allowance	10	0.7%
HC 2/3 Certificate	10	0.7%
Incapacity Benefit	3	0.2%
Totals	1528	100%

2. Borough demographics

It is estimated that there are 143,671 residents across the borough eligible for a Rothercard under the current scheme. This is made up of the following demographic groups:

i) Aged over 60

Mid-year (2021) population estimates:

Age	Total
Aged 65+	52,388
Aged 60-64	16,372
Total	68,760

ii) Adults on a low income - defined as anyone in receipt of one of the following benefits:

The data collated below (Jan 22) is from a variety of sources. Exact numbers are continuously changing.

Many adults on low income are in receipt of more than one benefit type. This means that the total number of benefit awards identified in the table below (116k) is not the same as the number of people currently eligible for a Rothercard.

It is considered that 63k wpi;d be a more realistic estimate of 'Adults on Low' income in Rotherham

Benefit	Number of estimated benefit awards across the borough	Comments
Universal Credit	26,395	
Employment & Support Allowance	9,794	
Income Support	1,470	
Job Seekers	952	
Attendance Allowance	7,282	These residents are already included in the over 60 age category
Disability Living Allowance/ Personal Independence Payment	24,174	Only 2,969 exclusively claim DLA/PIPS. Some people in receipt of these benefits are included in the over 60 group
Incapacity Benefit & severe disablement allowance	197	
Working Tax Credit	11,200	
Housing Benefit	12,832	Most people in receipt of Housing Benefit will be receiving Council Tax support, or on one of the other primary benefits such as IS, JSA other benefits already listed

Council Tax Support	23,437	Some people in receipt of CTax support will also be included int the totals for ESA,JSA,IS & UC
HC 2/3 Certificate - (help with cost of prescriptions, dentist/optician charges)	unknown	

iii) Young people aged 16 to 19 years in full time education

Data provided by the Office For National Statistics (ONS) according to 2020 (most recent) mid-year population estimates:

Age 16	2,997
Age 17	3,022
Age 18	2,833
Age 19	2,387
Age 16-19	11,239

iv) Looked after children/young people

Data provided by CYPS:

Age group	Number
1 to 4 years	93
10 to 15 years	255
16 years and over	96
5 to 9 years	113
Total children	557

v) Refugees/asylum seekers dependent on asylum seeker support payments

Data found in Home Office's Immigration statistical release:

Section 95 support by Local Authority					
Date (as at...)	UK Region	Local Authority	LAD Code	Support sub-type	People
31 Mar 2021	Yorkshire and The Humber	Rotherham	E08000018	Dispersed Accommodation	371
31 Mar 2021	Yorkshire and The Humber	Rotherham	E08000018	Subsistence Only	12

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Current Rothercard Discounts**i) Discounts for services provided by the Council**

Service	Description of Fee or Charge	Unit of charge	Rothercard Price 2022/23	Full price otherwise
Waste	CAT A Waste Household Garden and Recreational Maximum 9 Items with Rothercard 50% Discount	1-3 items Each additional item	£15.50 £5.00	£31 £10
Waste	180L Black Bin with Pink Lid – New property, additional bin, 2 nd stolen bin	1 bin	£11.50	£23
Waste	240L Green Bin (Paper/card) - New property, additional bin, 2 nd stolen bin	1 bin	£13	£26
Waste	240L Black Bin (Plastics/Cans/Glass) - New property, additional bin, 2 nd stolen bin	1 bin	£13	£26
Waste	140L Additional Black bin (domestic waste)	1 bin	£11	£22
Waste	Delivery charge for the above bins	1 bin	£4.50	£9
Pest Control	Treatment of rats	1 course of treatment	£36	£72
Urban Parks (Clifton Park only)	Season Ticket (April-September) Junior Rothercard Price	Per Person	£45.00	£53.00 Concessionary £82.00 adult
Urban Parks (Clifton Park only)	Day ticket / Match ticket Junior Rothercard Price	Per Person day ticket	£3.50	£4.00 concessionary £6.00 adult
Herringthorpe Athletics Stadium	Athletics - Junior Rothercard Price	Per Person	£2.90	£3.60 concessionary £4.40 adult
Herringthorpe Athletics Stadium	Season Ticket - Monthly (Junior Rothercard Price)	Per Person	£12.40	£19.40 concessionary £25.00 adult
Herringthorpe Athletics Stadium	Season Ticket - Family Monthly - Concessionary/Rothercard	Per Person	£30.80	£41.40
Herringthorpe Athletics Stadium	Multi-sports - Concessionary/Rothercard Junior Rothercard	Per Person	£3.60 £2.80	£4.40
Herringthorpe Athletics Stadium	In2Athletics - Concessionary/Rothercard Junior Rothercard	Per Person	£3.40	£3.90

Appendix 2c – Rothercard Discounts 22 to 23

Service	Description of Fee or Charge	Unit of charge	Rothercard Price 2022/23	Full price otherwise
Thrybergh CP	4 hours (2 fish) Concessionary/Rothercard	Half Day	£4.20	£6.20
Thrybergh CP	Full day (2 fish) Concessionary/Rothercard	Half Day ticket	£5.20	£6.70
Ulley CP	Season Ticket Concessionary/Rothercard	Ticket	£36.70	£56.40
Ulley CP	Day Ticket Concessionary/Rothercard		£3.20	£4.70
Rother Valley CP	Double Handed Dinghies Concessionary/Rothercard Junior Rothercard	Per 90 mins	£13.00 £11.00	£18.50
Rother Valley CP	Single Handed Dinghies Concessionary/ Rothercard Junior Rothercard	Per 90 mins	£10.50 £8.00	£14.50
Rother Valley CP	Windsurfer Concessionary/Rothercard Junior Rothercard	Per 90 mins	£9.50 £7.00	£13.50
Rother Valley CP	Canadian Canoe Concessionary/Rothercard Junior Rothercard	Per hour	£11.50 £9.00	£14.00
Rother Valley CP	Kayak Canoe Concessionary/Rothercard Junior Rothercard	Per hour	£9.50 £7.30	£12.00
Rother Valley CP	Open Canoe Concessionary/Rothercard Junior Rothercard	Per hour	£9.50 £7.50	£12.00
Rother Valley CP	Topo Due Canoe Concessionary/Rothercard Junior Rothercard	Per hour	£11.00 £8.00	£13.00
Rother Valley CP	Wet Suit (session) Concessionary/Rothercard	Per person	£5.00	£7.00
Rother Valley CP	Wet Suit (per day) Concessionary/Rothercard	Per person	£8.00	£15.00
Rother Valley CP	Buoyancy Aid (per day) Concessionary/Rothercard	Per person	£7.00	£11.00
Rother Valley CP	Private Launch - (Per Day) Concessionary/Rothercard	Per unit per day	£8.00	£11.00
Rother Valley CP	Private Launch (within 3 hours of closure) Concessionary/Rothercard	Per unit	£5.50	£7.50
Rother Valley CP	6 Month Private Launch Saver - Incl. Car Parking Fee Concessionary/Rothercard	Per unit	£156.00	£202.00

Service	Description of Fee or Charge	Unit of charge	Rothercard Price 2022/23	Full price otherwise
Rother Valley CP	Model Boating (per craft per day) * Concessionary/Rothercard	Per craft per day	£4.00	£5.50

ii) Places Leisure

	Rothercard price	Full price
SWIMMING		
Adult Swim	£3.80	£4.85
Junior	£3.00	£3.60
GYM		
Casual Use	£4.75	£6.75
Soft Play (up to 2 children, under 5 yrs)	£3.60	£4.65
SWIM ACADEMY (cash)		
Lesson 30mins	£5.10	£6.60
Lesson 45mins	£5.65	£7.65
Adult & Child	£5.10	£6.60
SWIM ACADEMY (DD)		
Junior 30min	£21.50	£27.50
Junior 45min	£23.50	£32.00
Adult & Child	£21.50	£27.50
HALL ACTIVITIES		
Badminton	£9.00	£10.55
Squash	£6.50	£7.55
Squash jnr	£5.00	£6.50
Table Tennis	£9.00/£5.90 (jnr)	£10.55

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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: Rothercard Scheme – proposed changes

Directorate:

Finance & Customer Services

Service area:

Customer, Information & Digital Services

Lead person:

Helen Barker, Head of Customer Services

Contact number:

Is this a:

☒

Strategy / Policy

☐

Service / Function

☐

Other

If other, please specify

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

The Rothercard scheme was launched as an anti-poverty initiative in 1993 to prioritise support for Rotherham people living on a low-income by offering a discount on a range of Council services, as well as discounts on goods and leisure activities from a small number of other organisations.

Since then, there has been no strategic management or development of Rothercard and there is no formally agreed departmental owner; although in 2019 Customer Services (F&CS) took on the responsibility for administering card applications, implementing an improved digital application process in 2020.

Appendix 3A

The current scheme has not been developed or promoted for some time. This is likely to mean that some of the people who could most benefit from the scheme, are missing out.

The Council Plan (Page 17, People are safe, healthy, and live well) refers to a 'new' Rothercard 'that will provide discounts on Council services for those who most need them.'

Outcome 2.15 of the Council's Year Ahead Delivery Plan 2022 (Inequalities are addressed and nobody is left behind) sets out an action to complete a review of the Rothercard scheme by June 2022.

A review of the current scheme has recently been undertaken and a number of recommended changes to the scheme will be proposed to Cabinet for approval.

3. Relevance to equality and diversity

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

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

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

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

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

Appendix 3A

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?**

Yes.

The Rothercard scheme is designed to offer discounts to residents who most need it; which includes people all groups with protected characteristics.

- **Key findings**

There are two aspects to consider with regard to the Rothercard scheme:

1. The ease with which all residents are able to access information about the scheme so they know what the scheme is about, who can apply for a card and what they need to do to apply. A number of improvements have been identified to make the scheme easier to administer which it is anticipated will increase customer experience. Any agreed changes will be created to meet the Digital Design principles and be aligned with the Council's Customer Access Strategy which sets out how the Council will:

- Make it easier and more attractive for people to access services online
- Increase digital inclusion – a specific programme of works to increase digital inclusion is underway
- Encourage and support more people to regularly 'self-serve' rather than choosing to phone or visit a council office
- Make sure everyone continues to have equal access to the information and help they need regardless of their individual circumstances
- Deliver excellent customer service and enhance customer experience
- Involve customers in designing and building services around their needs – the Customer Services digital team have recruited a number of real customer volunteers to help test/comment on new proposed processes or designs
- Make better use of customer feedback to continually develop and improve .

2. Scheme eligibility

The new Rothercard scheme will provide discounts on Council services for those who most need them. The impact this has on the following groups has therefore been considered:

AGE

Older Adults

- According to DWP Labour Force Survey the average age of labour market exit is now 65.2 years old for men and 64.3 years old for women.
- Linking the eligibility to the state pension age, reflects the national increase in the age of people remaining in work and future proofs the scheme by avoiding setting a specific age which might then need to change in later years.
- The focus of the Rothercard scheme is to benefit residents who most need it, which is not necessarily everyone who has reached pensionable age

Young People

- Take-up under the current scheme is low as the criteria is directed at looked After children and young people aged 16 to 19 years who are in full time education
- Many young people may not be in education but are instead undertaking apprenticeships or other jobs with training/qualifications built into employment.
- These groups are not currently eligible for a card – the new scheme proposes that this be made more attractive and more inclusive for young people up to the age of 21.

Junior Rothercard rate

- A number of leisure activities offer a Junior Rothercard rate for children under the age of 16 who are dependants of a Rothercard holder and who are living in the same household as a Rothercard holder.
- Although changes are proposed to the overarching Rothercard eligibility criteria, children under the age of 16 who are dependants of a Rothercard holder and who are living in the same household as a Rothercard holder will continue to be eligible for a Junior Rothercard.

DISABILITY

- No anticipated impact –changes to the eligibility criteria are being proposed to ensure that discounted services are offered to those who need them the most.

GENDER REASSIGNMENT

- No anticipated impact:

PREGNANCY AND MATERNITY

- No anticipated impact

RACE/LANGUAGE BARRIER

- Section 95 Local Authority supported refugees/asylum seekers are eligible for a Rothercard and future administrative changes to the scheme have been recommended to make this application process easier for this group of customers.
- Anyone wanting to apply for a Rothercard can receive assistance through interpreting

Appendix 3A

services that are available through DA Languages.

RELIGION OR BELIEF

No anticipated impact

SEX

No anticipated impact

SEXUAL ORIENTATION

No anticipated impact

MARRIAGE AND CIVIL PARTNERSHIP

No anticipated impact.

OTHER

None currently

- Actions**

1. Equality considerations forms part of our development and implementation of new digital technologies, particularly where these are public facing.
2. Wherever possible residents are involved in the design and testing of solutions designed to meet their needs.
3. Regular updates on new customer access/service initiatives and/or improvements are provided to Community Reference group members.
4. Working with partners, a focussed piece of work to better understand digital exclusion in the Rotherham place is already underway to deliver a longer term programme of work to increase digital inclusion.

Date to scope and plan your Equality Analysis:

Within 12 months of the proposed changes being implemented – and on a 12 month basis from then onwards as part of the annual review of the scheme.

Date to complete your Equality Analysis:

TBC

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

Phil Rushton, Customer Services Manager

5. Governance, ownership and approval

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

Name	Job title	Date
Helen Barker	Head of Customer Services	29 th November 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	21 st November 2022
Report title and date	Rothercard Scheme – proposed changes
If relates to a Cabinet, key delegated officer decision, Council, other committee or a significant operational decision – report date and date sent for publication	TBC
Date screening sent to Performance, Intelligence and Improvement equality@rotherham.gov.uk	29.11.22

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: Rothercard Scheme	
Date of Equality Analysis (EA): Analysis conducted as part of working group review meetings (Dec21 to Nov 22)	
Directorate: F&CS	Service area: CIDS, Customer Services
Lead Manager: Helen Barker	Contact number:
Is this a: <input checked="checked" type="checkbox"/> Strategy / Policy <input type="checkbox"/> Service / Function <input type="checkbox"/> 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)
Helen Barker	RMBC	Head of Customer Services
Phil Rushton	RMBC	Customer Service Manager
Steve Eling	RMBC	Policy and Equalities 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)

The Rothercard scheme was launched as an anti-poverty initiative in 1993 to prioritise support for Rotherham people living on a low-income by offering a discount on a range of Council services, as well as discounts on goods and leisure activities from a small number of other organisations.

Since then, there has been no strategic management or development of Rothercard and there is no formally agreed departmental owner; although in 2019 Customer Services (F&CS) took on the responsibility for administering card applications, implementing an improved digital application process in 2020.

The current scheme has not been developed or promoted for some time. This is likely to mean that some of the people who could most benefit from the scheme, are missing out.

A review of the current scheme has recently been undertaken and a number of recommended changes to the scheme are proposed.

What equality information is available? (Include any engagement undertaken)
1. Rothercard Working group

A working group consisting of cross party elected members and Council officers have reviewed the way the current scheme works and identified opportunities to improve the scheme to meet the following objectives:

- The Council Plan (Page 17, People are safe, healthy, and live well) refers to a 'new' Rothercard 'that will provide discounts on Council services for those who most need them.'
- Outcome 2.15 of the Council's Year Ahead Delivery Plan 2022 (Inequalities are addressed and nobody is left behind) sets out an action to complete a review of the Rothercard scheme.

2. Demographics:

The following information was provided by various officers including the Policy & performance team, Revenue & Benefits and Customer Services.

- **Applications by customer group**

Appendix 3B

Between 1st September 2020 to 31st March 2022). Of these:

- 2,245 were successful applications
- 283 were declined as the applicants was unable to provide the required evidence of eligibility
- The remaining 451 applications include people who made an initial application but have since either decided not to pursue the application or still need to provide corroborating information/evidence.

Data from the 2,979 applications provides the following breakdown of eligibility criteria as indicated by residents:

Reason for applying:	Number	%
Aged over 60	1,379	46.30%
Adult on low income	1,528	51.30%
Young person aged 16 to 19 years in full time education	30	1.00%
Looked after children/young people	30	1.00%
Refugees/asylum seekers dependent on asylum seeker support payments	12	0.40%
Total	2,979	100.0%

Applicants who described themselves as 'adults on low income' indicated that they are in receipt of the following benefits:

Benefit	Number of Applicants	% of total applications
Universal Credit	665	43.5%
Personal Independence Payment	239	15.6%
Working Tax Credit	149	9.7%
Council Tax Reduction	136	8.9%
Employment and Support Allowance	114	7.5%
Disability Living Allowance	85	5.6%
Housing Benefit	59	3.9%
Income Support	43	2.8%
Jobseekers Allowance	15	1.0%
Attendance Allowance	10	0.7%
HC 2/3 Certificate	10	0.7%
Incapacity Benefit	3	0.2%

	Totals	1528	100%
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- Borough Demographics (info dated Jan 22)**

Only a small proportion of residents (estimated to be around 10K) are currently Rothercard holders; out of approx. 144k residents across the borough who it is believed could be eligible for a Rothercard under the current scheme. This is made up of the following demographic groups:

i) **Aged over 60**

Mid-year (2021) population estimates:

Age	Total
Aged 65+	52,388
Aged 60-64	16,372
Total	68,760

ii) **Adults on a low income - defined as anyone in receipt of one of the following benefits:**

The data collated below (Jan 22) is from a variety of sources. Exact numbers are continuously changing.

Many adults on low income are in receipt of more than one benefit type. This means that the total number of benefit awards identified in the table below (116k) is not the same as the number of people currently eligible for a Rothercard.

Conversations with colleagues suggest that 63k was a more realistic estimate of 'Adults on Low' income in Rotherham

Benefit	Number of estimated benefit awards across the borough	Comments
Universal Credit	26,395	
Employment & Support Allowance	9,794	
Income Support	1,470	
Job Seekers	952	

Appendix 3B

Attendance Allowance	7,282	These residents are already included in the over 60 age category
Disability Living Allowance/ Personal Independence Payment	24,174	Only 2,969 exclusively claim DLA/PIPS. Some people in receipt of these benefits are included in the over 60 group
Incapacity Benefit & severe disablement allowance	197	
Working Tax Credit	11,200	
Housing Benefit	12,832	Most people in receipt of Housing Benefit will be receiving Council Tax support, or on one of the other primary benefits such as IS, JSA other benefits already listed
Council Tax Support	23,437	Some people in receipt of CTax support will also be included int the totals for ESA,JSA,IS & UC
HC 2/3 Certificate - (help with cost of prescriptions, dentist/optician charges)	unknown	

iii) Young people aged 16 to 19 years in full time education

Data provided by the Office For National Statistics (ONS) according to 2020 (most recent) mid-year population estimates:

Age 16	2,997
Age 17	3,022
Age 18	2,833
Age 19	2,387
Age 16-19	11,239

iv) Looked after children/young people

Data provided by CYPS:

Age group	Number
1 to 4 years	93
10 to 15 years	255
16 years and over	96
5 to 9 years	113

Total children	557
----------------	-----

v) Refugees/asylum seekers dependent on asylum seeker support payments

Data found in Home Office's Immigration statistical release:

Section 95 support by Local Authority					
Date (as at...)	UK Region	Local Authority	LAD Code	Support sub-type	People
31 Mar 2021	Yorkshire and The Humber	Rotherham	E08000018	Dispersed Accommodation	371
31 Mar 2021	Yorkshire and The Humber	Rotherham	E08000018	Subsistence Only	12

3. Accessibility - information about the scheme and applying for a Rothercard

• **Online**

In terms of information relating to the Rothercard scheme that is published online. The Customer Services web team take several steps to make sure the website is user-friendly and accessible to all. We have a review process as part of our everyday workflow whereby:

- Website content is firstly written in draft by the service to make sure it's factually correct.
- Draft content is shared with the Comms team to check it meets writing standards, such as spelling, grammar and readability.
- Content is then supplied to the website team to make sure it is formatted correctly (HTML) and meets accessibility regulations.

To meet accessibility regulations, the Council uses tools such as WAVE Web Aim which evaluates web content for accessibility issues. And we use Silktide Accessibility simulator which simulates a range of disabilities, such as colour blindness, Myopia and Dyslexia. We also use 'read-aloud' services to make sure our content is understandable when spoken. Our website is also independently audited for accessibility by Silktide. The audit by Silktide highlights accessibility issues and recommends fixes. The website team look at the issues and fix the one's which can be fixed by the team. Some of the issues are technical and are raised with our website supplier. Our website is currently scoring 97 out of 100 on the Silktide index and has been in the top 30 of UK councils for over the past 24 months. An independent company ([Silktide](#)) assess over 400 local authority websites on a monthly basis against website accessibility standards. RMBC has been in the top 30 each month for the last 24 months.

The Council's [Accessibility statement](#) provides a wide range of information for customers about how to get the most out of their online experience.

- **Telephone**

The Customer Services contact centre support anyone unable to self-serve online by providing going through the application process with the customer over the telephone.

- **In person**

Where either of the above contact channels are not appropriate for the customer, a pre-arranged telephone appointment can be arranged and conducted face to face at any of the Council's six Customer Service centre locations.

- **Translation services**

DA Languages are the Councils' appointed Translation and Interpretation provider and arrangements are in place to support any customer with language difficulties.

The Council's accessibility pages provide information about how to change language settings for customers transacting online.

- **Disabilities**

The Council's [Customer Access strategy](#) sets out the Council's commitment to ensure all customers, regardless of circumstances can access the help and support they need and provides a range of channels and contact methods for people to choose from.

- **Physical Rothercard**

In today's world people increasingly prefer to save documents, tickets and membership cards in a virtual wallet rather than having to carry a physical record with them just in case it's needed.

There is no current facility to provide users with a digital pass but it is anticipated that a solution will be available to offer to customers by the Autumn 2023.

4. Service Take Up:

The collection of data to evidence Rothercard usage is not consistent and does therefore currently provide any reliable information about how the scheme might be positively impacting on people's lives.

A new digital corporate equalities template has recently been designed to 'add on' to any digital form (when appropriate) and should in the future extend the amount of equalities data captured when customers are requesting services that involve a Rothercard discount.

5. Residents who do not meet the eligibility criteria for a Rothercard

The recommended changes to the Rothercard scheme are intended to deliver a new and improved scheme that 'will provide discounts on Council services for those who most need them; with a regular review to ensure the offer remains right for the residents of Rotherham.

A piece of work to be developed during 2023/24 will explore options for a different Rothercard offer for those who do not meet the eligibility criteria. Local businesses for example may be interested in offering Rotherham residents a discount to goods/services as a way of boosting their trade and increasing the number of people 'shopping local.'

6. Other related programmes and projects :

- The Rotherham Place Digital Inclusion programme; working with charities and partners to address digital divides within the community with a particular focus on the ability of residents in protected groups to access services.
- Digital Strategy - four interlinking themes that collectively aim to reduce the digital-divide and help residents that might otherwise struggle, overcome barriers and enjoy the benefits of digital technologies.
- Thriving Neighbourhoods Strategy - creating the capacity, interest and enthusiasm for individuals and communities to do things for themselves
- Customer & Digital programme – implementation of customer improvements that are designed as digital first, based on a series of design principles to ensure they are built consistently and to agreed standards. Wherever possible, and particularly for high demand/sensitive/complex processes, we involve members of our customer user testing group. We have around 50 residents who have expressed interest in helping, together with established groups such as the Digital Inclusion Stakeholder group with representation from the 3rd sector such as Age UK
- Access to free wi-fi in Council buildings for people without their own broadband/data access
- Rotherham Place Digital Roadmap – a 5 year roadmap to empower patients and citizens to better self-manage their own health and care through digital services and support the transformation of our health and care services so that they can increasingly be delivered out in the community.
- Promoting, encouraging and supporting those who are able, to be more motivated to engage digitally, and feel more inclined to choose 'online' as their channel of choice.

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

As referenced previously, there is very little data consistency at present; something which will be resolved as part of the redesign of the scheme.

Equality information is not currently captured. The use of a single digital process (as per Customer & Digital design principles) coupled with the use of the new standard equalities questionnaire should extend the amount of usable data captured.

For example, by capturing scheme usage based on gender, ethnicity and disability, the Council can identify any groups where take-up is disproportionately lower than it should be; allowing for a more targeted awareness raising campaign.

Some form of public consultation would also further increase the Council's understanding of how the scheme is benefiting its residents, as well as providing an opportunity to find out if there are any links between the take up of specific discounted services and protected groups. For example, Rothercard holders from protected group x are not making use of the discount for these kinds of sporting activities.

All of this information can then be assessed as part of the annual review and used as the evidence to propose any potential changes to the offer.

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

- Customer feedback channels including but not limited to:
 - [Website Feedback form](#). This is designed for customers to share their thoughts about their website experience
 - [Customer Access Strategy](#) - this web form encourages customers to tell us what we can do to make it easier for customers to access the services they need and to share ideas about new features we might not already offer.
 - Rothercard scheme feedback questionnaire – to be developed during 2023/24
 - Comments, compliments, complaints – formal or informal
 - Digital Inclusion working group
 - Community Reference group
- Review of Rothercard application data over the first few months following implementation of the improved scheme and related processes
- Financial impact – There are no corporate budget allowances for income streams where Rothercard discounts make up a significant proportion. Services are expected to manage any pressures or gains arising from discounts for their services as part of their monthly monitoring.
- Annual review of the scheme

Engagement undertaken with customers. (date and group(s) consulted and key findings)

See Section entitled '*What equality information is available? (Include any engagement undertaken)*'

Engagement undertaken with staff (date and group(s) consulted and key findings)

The following Council officers have provided information that has helped the Rothercard Working group establish how the scheme works/is used now, and how it could be improved in the future:

Name	Directorate	Date
Michael Holmes	Assistant Chief Executive	Jan, Sept 2022
Rob Cutts	Finance & Customer Services	Apr, Sept 2022
Andrew Sheldon	Finance & Customer Services	Apr, Sept 2022
Nikki Kelly	Finance & Customer Services	Nov 2021
Sam Barstow	Regeneration & Environment	Jul, Aug 2022
Leanne Buchan	Regeneration & Environment	Nov 2022
Barry Connolly	Regeneration & Environment	Jul, Aug, Sep 2022
Chris Siddall	Regeneration & Environment	Apr 2022, Dec 2022
Donna Furniss-Morton	Regeneration & Environment	Jul 2022

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	Phil Rushton	Finance & Customer Services	Ongoing
	Charlotte Cheetham	Finance & Customer Services	Ongoing
	Ashley Haystead	Finance & Customer Services	Apr 2022
	Jo Longworth	Regeneration & Environment	May 2022

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)

The Rothercard scheme was launched as an anti-poverty initiative in 1993 to prioritise support for anyone living in a property which is registered for Council Tax in Rotherham and able to provide evidence of meeting one of the [criteria](#) set out in the current scheme.

The current scheme has not been developed or promoted for some time which is likely to mean that some of the people who could most benefit from the scheme, are missing out.

The Council Plan (Page 17, People are safe, healthy, and live well) refers to a 'new' Rothercard '*that will provide discounts on Council services for those who most need them.*'

Outcome 2.15 of the Council's Year Ahead Delivery Plan 2022 (*Inequalities are addressed and nobody is left behind*) sets out an action to complete a review of the Rothercard scheme. (completed Nov 22)

The review took into account all available information to determine how a new and improved Rothercard scheme that 'will provide discounts on Council services for those who most need them,' could be delivered. The proposed improvements will mean that for all residents, regardless of protected group:

- Customer experience will be enhanced in terms of both applying for and benefiting from the Rothercard scheme
- the right people will be targeted to increase awareness of the scheme
- the scheme will be reviewed on a regular basis so that the offer remains right for the residents of Rotherham
- business intelligence will be more consistently gathered and analysed more regularly so the Council can better understand take-up rates and outcomes

As the assessment of current equalities information confirmed, appropriate support is in place for all groups to ensure they can access the help and support they need when enquiring about /applying for a Rothercard.

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

Research suggests that some customers and communities are more likely to find it difficult to access services in the same way that others might take for granted. For example, national data finds that digital exclusion is more evident amongst the elderly, disabled, and individuals from BAME and socially deprived communities.

Through work already taking place as part of the Customer & Digital programme and Digital Inclusion programme, any opportunity to improve service access/delivery can be identified and appropriate plans put in place to reduce digital inequalities.

The focus of the Rothercard scheme is to benefit residents who most need it, which is not necessarily everyone who has reached pensionable age. For this reason, applicants will need to meet both the 'low income' and state pension age' criterion to be awarded a Rothercard in future.

Anyone 'aged 60 & over' who already has a Rothercard can however continue using their card until it expires; even if they would not be eligible once the new criteria has been introduced. Once the resident's card expires (5 years from the original issue date) they will need to reapply under the eligibility criteria of the new scheme.

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

The new scheme means more young people can apply for a Rothercard. The criteria currently requires a young person to be 16-19 and in full time education. The new scheme removes the need for a young person to be in education and expands the age range to 16-21.

Anyone of any age who meets the 'adult on low income' criteria will be able to apply for a Rothercard; and, for anyone on low income who has also reached the state pension age, they will be awarded a Rothercard that does not have an expiry date.

Section 95 Local Authority supported refugees/asylum seekers will be automatically granted a Rothercard with a 12 month expiry date. These customer groups have arrived in the borough as a result of a humanitarian crisis and the benefits of the Rothercard scheme compliments other support packages already in place and provides quicker access to the type of activities that have a positive impact on mental health and wellbeing.

This is a positive step. It is one less 'thing to do' for newly arriving refugees or asylum seekers.

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)

Strong and collaborative community engagement is essential in delivering effective, efficient and inclusive customer centric services.

The new Rothercard scheme is designed to provide discounts on Council services for those who most need them so it is anticipated that the impact of this change will be a positive one.

The future scheme will benefit from improved data gathering, more regular assessment and the annual review; making it easier to identify any changes needed to the 'offer' also taking into account other work already taking place as part of the Thriving Neighbourhood Strategy, Customer & Digital programme and Digital Inclusion.

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: Rothercard Scheme
Directorate and service area: Customer Services, Finance & Customer Service
Lead Manager: Helen Barker
Summary of findings:

Action/Target	State Protected Characteristics as listed below	Target date (MM/YY)
Design and build improved application and assessment process	ALL	04/23
Create Comms Plan - Promotion of new scheme in advance of new scheme being introduced, and continuing afterwards	ALL	03/23
Implement a digital card	ALL	10/23
Work with local businesses to explore the potential for offering discounts to Rothercard holders	ALL	10/23

Questionnaire to seek customer feedback about the new Rothercard scheme	ALL	10/23
Undertake an annual review of the scheme	ALL	11/23

*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
Steve Eling	Policy and Equalities Manager	13/12/2022

7. Publishing

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

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

A copy should also be sent to equality@rotherham.gov.uk 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	13/12/2022
Report title and date	Rothercard Scheme
Date report sent for publication	
Date Equality Analysis sent to Performance, Intelligence and Improvement equality@rotherham.gov.uk	13/12/2022

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?	None				
Emissions from transport?	None				
Emissions from waste, or the quantity of waste itself?	None				
Emissions from housing and domestic buildings?	None				
Emissions from construction and/or development?	None				
Carbon capture (e.g. through trees)?	Yes	A digital Rothercard will be created . Customers will be encouraged to choose this option rather than a plastic card that has to be posted out Reduction to paper and associated tasks eg. print, mail/delivery			Customer take-up of digital cards will be monitored with further promotion when appropriate.
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:

The Rothercard scheme is designed to provide discounts on Council services for Rotherham residents who most need them. The current card is only available as a physical card printed onto plastic. Customers increasingly expect a digital card (which can be added to a virtual wallet) so it is anticipated that this option will be popular and therefore reduce the demand for physical cards which ultimately reduces print and use of plastic; in addition to lowering volume of outgoing mail which reduces carbon emissions associated with post delivery.

Supporting information:	
Completed by: (Name, title, and service area/directorate).	Helen Barker
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]	

Committee Name and Date of Committee Meeting

Cabinet – 23 January 2023

Report Title

Future Provision for Household Waste Recycling Centres

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)

Barry Connolly, Head of Environmental Services

Barry.connolly@rotherham.gov.uk

Sam Barstow, Assistant Director Community Safety and Street Scene

sam.barstow@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, and officers have been working to explore the potential to continue to work in partnership to deliver this service. The negotiations have not been successful due to policy differences between the Councils and as a result, a range of options have been developed to continue the delivery of this statutory service after the current contract expires.

Options considered include the contracting out of the services, alongside a range of internal delivery models. There are significant complexities attached to developing an in-house service in what is a highly regulated industry. However, there are also a range of potential benefits in terms of new services and more flexibility in delivering existing services, to meet the needs of residents and the Council.

After collaborative consideration of the options across relevant Council departments, this report recommends an in-sourced delivery of customer facing sites and facilities, with these being supported by contracted haulage and disposal. In recognition of the complexities, this report further recommends the procurement of a delivery partner to

provide the HWRC service for up to three years, whilst also supporting the Council to develop and implement its in-house delivery model. In addition, haulage and disposal aspects of the contract will continue to be provided by the market beyond the in-sourcing of the front-end of this service.

Recommendations

1. That Cabinet approve Option 3, which will provide for an in-sourced delivery of customer facing sites and facilities, with these being supported by contracted haulage and disposal, following an initial fully contracted service, and authorises the Strategic Director of Regeneration and Environment in consultation with the Cabinet Member for Transport and Environment (subject to confirmation by the Strategic Director for Finance and Customer Services) to agree the final delivery arrangements and subject to Council approval through the budget process.

List of Appendices Included

Appendix 1 Equality Impact Assessment
Appendix 2 Carbon Impact Assessment

Background Papers

Cabinet Report July 2022

Environment Act 2021

Consideration by any other Council Committee, Scrutiny or Advisory Panel

None

Council Approval Required

No

Exempt from the Press and Public

No

Future Provision for Household Waste Recycling Centres

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 HWRCs 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. Following a Cabinet decision in July 2022, the Cabinet Member and relevant officers have been engaged with Barnsley and Doncaster Councils in order to develop the parameters for the future contract. There remained some key outstanding issues such as the weighting given to social value in the evaluation of tender submissions, with Rotherham Council seeking a higher weighting reflecting existing policy. In addition, the length of time for delivery of the contract and agreement to pay the Real Living Wage were also matters of ongoing negotiation with Rotherham seeking to ensure workers would be paid the Real Living Wage, again in line with the existing policy position. Ultimately, a shared policy position could not be reached and as a result the Council, through this report, is seeking to develop and implement options for delivery of a bespoke local HWRC service.

2. Key Issues

- 2.1 In considering options for future delivery, officers have reconsidered the options presented within the Cabinet report dated 11th July 2022. The primary options remain the same, the Council could choose to deliver this service through a third party via a contract. Alternatively, the Council could seek to bring all, or parts, of the services in house.
- 2.2 As set out within the previous report, referred to above, the Council is committed to a number of key principles which will drive the future service offer. In particular these are areas such as increasing innovation in the re-use of materials, ensuring social value through any contracted provision and ensuring that all workers receive the Real Living Wage. In relation to ambitions such as increasing re-use, the Council is seeking to make the best use of resources available through initiatives such as re-use shops, which could include the potential for building skills and employability locally, supporting wider ambitions around training and employment. Additional flexibility in terms of general site management and the potential to create a commercial waste offer may also be beneficial in delivering future services, as well as the ability to effectively adapt service as the Environment Act 2021 and associated national strategies begin to be implemented.

- 2.3 In order to ensure thorough exploration of the strengths and weaknesses of the varying approaches and the costs associated, the Council has undertaken, with independent partners, an analysis of the options with a focus on the principles set out in the previous Cabinet report. The analysis focussed on a range of areas including (but not limited to) the ability to adapt to new legislation or changing demands, management of risk and staffing implications.
- 2.4 All of the options for future delivery will require capital investment in new equipment as well as signage and infrastructure works. Providing the capital directly will not only reduce costs, due to favourable interest rates available to the Council, but may also limit contractor uplift and provide the potential for recovering some value at the end of the operational life. It also allows for greater flexibility in future delivery, meaning the service could be brought in-house.
- 2.5 In relation to strengths, both in-house models of delivery scored higher (high is good). This is primarily due to the level of the control this would allow the Council to have which may be critical in responding to secondary legislation under the Environment Act 2021, allowing flexibility in use such as commercial operations and providing the greatest capacity to deliver enhanced social value or increasing reuse.
- 2.6 When considering the weaknesses, the in-house models of delivery scored lower (low is good). This is largely driven by issues such as a lack of competitive pricing through contracted provision, lack of flexibility to adapt to some of the key challenges on the horizon, or to align to Council priorities.
- 2.7 Conversely there are risks in bringing the service in-house, largely around experience and technical competencies, efficiencies of scale and in-sourcing risks, alongside general delivery. It should be noted that activities on HWRC sites can present safety risks due to the use of machinery, the processing of waste and the numbers of public visitors. In addition, the Council will need to develop expertise and experience it does not currently hold.
- 2.8 The table below provides an overview of the scores associated with the varying models. As can be noted, both in-house options (whether including or excluding haulage) scored highest. Option 1 is repeated as two different lengths of outsourced options were considered during the analysis with the three-year contract being discounted as the worst option.

	Strengths – Weaknesses	Opportunities-Threats	Total	Ranking
Outsourced 5 + 3 year (Option 1)	9	-3	6	3
Outsourced 3 year (Option 1)	-2	-3	-5	4
In-house excluding haulage and disposal	16	3	19	1

(Option 3)				
In-house including Haulage and disposal (Option 2)	16	3	19	1

- 2.9 With regards to the option of developing a contracted service provision, officers at all levels have remained fully engaged in the process supporting the planned procurement of the partnership contract. This includes market engagement, public consultation and the development of the detailed specification. This means the Council is able to relatively quickly adapt learning and documentation to support local delivery however, the scale of the task should not be underestimated.
- 2.10 In considering in-sourcing all or parts of the service, a number of challenges have been identified. A few examples of the areas of consideration are listed below, and each of these represents a significant programme of work, which will take time to deliver:
- Relevant Permitting
 - Training and Certification of Competent Staff
 - Infrastructure challenges on the sites
 - Staffing issues including Transfer of Undertakings Protection of Employment (TUPE) transfer arrangements
 - A range of procurements from physical assets to site services and IT systems
 - Health and Safety development of systems and safe working practices
- 2.11 Delivery against these varying demands would require the input of a range of Council services as well as external technical experts and is likely to be unachievable within the timescales prior to the existing contract expiring, without significant additional investment or diversion of a significant proportion of services such as the Waste Management Team, the Procurement Team, Health and Safety Team, IT and others. As a result, options for internal delivery are underpinned by the need for a short-term arrangement, via a contractor, for delivery of the services, as well as support for the Council to develop and implement an internal delivery model. This is set out in options 2 and 3.

3. Options considered and recommended proposal

3.1 Option 1 – Contracted Provision

This option would seek to procure the full delivery of the HWRC service for the long term under an 8-year contract, which would allow the service to run until 2031.

- 3.2 The Council would lease the 4 HWRCs 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, would be clearly documented. The contract would contain certain performance indicators and have obligations that the contractor is obliged to deliver. It would contain measures that would set out

when the contract could be terminated. A contracted service also allows for risk to be managed on the Council's behalf.

3.3 **Option 2 – Full In-House Delivery (following an initial fully contracted service)**

This option would seek to create a fully in-sourced service. This would mean the Council managing the sites and all associated activities. The operation of HWRCs can be separated into operation of the sites themselves, and then what happens to the waste after it is deposited. In terms of operating the sites, this requires permitting, as waste collection and disposal is a regulated activity. It would also involve employment and management of staff on the site, assets on the site and any risk and safe working practices associated with the site. With regards to disposal, this consists of two main aspects which are the haulage of material from the site and the subsequent processing of that waste (which may be disposal or recycling).

3.4 In order to deliver the haulage and disposal elements of the service, the Council would need to procure providers for the disposal of a large number of separate types of waste. Due to the relatively small tonnages of waste that the Council will collect, as compared to larger national businesses or larger Councils, it is likely to be significantly more expensive. In addition to the costs, the haulage and disposal of waste has little impact on the service delivery for residents, who are largely impacted by the way that the sites operate as opposed to the disposal of items, acknowledging residents will want to be assured as to the responsible processing and disposal of waste. Direct delivery would however benefit from full control over aspects such as emptying or moving of skips, which may support more effective operations on the site.

3.5 This option also acknowledges some of the challenges outlined in section 2.11 and 3.9. In order to address these challenges, the proposal is to procure a delivery partner for a period of up to three years. This delivery partner would be required both to deliver the HWRC service, for the duration of the contract, and support the Council to purchase the relevant assets and develop the relevant infrastructure and systems to deliver services in-house by the end of the contractual term.

3.6 Whilst this option would provide the technical support required to establish safe systems and working practices, there would still be a range of operational activities and procurements required in order to ensure the Council is ready to take over the service following the end of the contractual period. A large amount of this work relates to the front-end delivery of the services. If in addition the Council chose to in-source haulage and disposal as is proposed with this option, there would be around 30 types of materials which would require separate disposal procurements and in addition, safe working practices and procedures alongside the procurement or hire of Heavy Goods Vehicles and employing a number of drivers, which is an area the Council currently has difficulty in recruiting and retaining qualified staff.

3.7 Option 3 (recommended option) – In-sourced delivery of customer facing sites and facilities, with these being supported by contracted haulage and disposal (following an initial fully contracted service)

This option would seek to in-source all the front-facing aspects of the delivery of HWRC sites. This would allow the Council direct control over the service delivery to residents, allowing for greater flexibility within the service, full control of policies and procedures and the ability to create innovation in the management of waste at HWRCs.

3.8 Again, this option acknowledges the challenges outlined in option 2 and section 2.11 and would therefore seek a short-term delivery partner to both deliver the HWRC service (up to a 3-year contractual period), whilst also purchasing the relevant capital assets, on behalf of the Council, and supporting the Council to develop systems and practices for the delivery of an in-house front-end service i.e., the operation of the HWRC sites.

3.9 Within this option, the contractor would provide haulage and disposals both for the initial contractual period (up to three years) and a further two years, providing a total contract length of up to five years (with an optional +2 extension, giving a total potential contract length of seven years). The suggested term is based on the initial contract period being focussed on the in-sourcing of the ‘front end’ service, therefore allowing a further two years to consider next steps in relation to haulage and disposal. The market for recycling commodities is relatively unstable however recycled materials do carry value, this combined with significant impending changes as a result of the Environment Act 2021 make it necessary to review the haulage and disposal within the five-year period to ensure the Council can achieve best value for money over the medium to long term. Offering a longer-term relationship with a supplier through the five-year total contract length is intended to increase the appeal to the market whilst also allowing the operational space for the range of changes required. Haulage and disposal elements of the contract would be based on a risk and profit share which is likely to deliver best value for money in the short term. This is the recommended option.

4. Consultation on proposal

4.1 A consultation was undertaken across Barnsley, Doncaster and Rotherham to gauge resident satisfaction with the current HWRC provision, materials they would like to see introduced and any areas they believe could be improved. The consultation results showed that although residents are largely happy with the current HWRC service, they would most like to see improvements to the materials accepted at site and in particular accepting paint and increasing the reuse and repair. The other two areas residents would like to see improved are the size of the sites and the opening hours. A directly delivered service allows for the greatest capacity to respond to any changes required.

4.2 A market engagement exercise was also conducted as part of the work with Barnsley and Doncaster Councils. The market responded that they would

prefer at least an 8-year term, but most of the reasoning was to allow the appropriate time for the assets to depreciate. Contractors feel that material volatility is always a key risk across HWRC contracts, compounded by the upcoming changes in legislation. These changes will lead to the introduction of a Deposit Return Scheme, Extended Producer Responsibility, and changes in kerbside collections, which are a direct result of the Environment Act 2021. As such they would expect any risk to be shared by the Council. Contractors highlighted the long lead in times for any new vehicles, plant machinery and equipment and advised these should be considered when putting the contract together. Additionally, contractors agree in working towards reducing carbon emissions and are firmly behind pushing reuse/repair and social value. They were asked about accepting and recycling paint, carpets and mattresses, which they were positive about.

- 4.3 In considering in further detail the Councils own options, an additional market engagement exercise has been undertaken in order to test the varying options with the market of providers. A total of 8 providers of waste services responded to the Council's market engagement exercise. All providers had an interest in working directly with the Council. Five of the providers would be interested in working with the Council to support developing an in-house delivery service, two further providers were more cautious, and all made comments on how this could best be achieved. Again, when considering interest in providing haulage and disposal for the Council five of the respondents were interested in providing this service and the same again in terms of interest in working with the Council under an in-sourced service delivery model. The market engagement does demonstrate an effective level of market interest which would support a competitive tender should the Council choose this option.

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 provision must be in place. Under the recommended option, it is proposed that procurement activity would commence in January 2023, which would allow the appropriate time for selection and mobilisation.
- 5.2 Concurrently with the initial contract period of up to three years, the Council would mobilise itself to deliver the front-end of the service in-house. This would become effective in October 2026. Subsequently, haulage and disposal options for future delivery would need to be in place by October 2028.

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. It was acknowledged in the previous Cabinet report in July 2022 that even remaining within the partnership, costs were likely to increase. In addition, the Councils further ambitions in areas such as increased re-use and commitment to the Real Living Wage will also increase costs, however, may positively impact on the management of recycling materials in the future

which may generate further income, whilst also allowing the Council broad flexibility in service delivery. The cost of each option is broken down in the following sections however the table below provides a high-level cost comparison.

Option	Total Cost £,000	+/- Vs Current Provision £,000
1 Fully Outsourced	1,180	157
2 Full In-House with initial 3-year contract	1,201	178 +56k after 3 years
3 In-house front facing delivery following a Contracted Provision (up to 3 years)	1,201	178 +44k after 3 years

- 6.2 The following cost assumptions are based on current prices for direct comparison, inflation will impact each model to a varying degree, however it is complex to project that forward within significant accuracy.

Option 1. Contracted Provision for 8 years.

It is estimated that this would cost approximately £730,000 for the management fee, £350,000 for haulage and £100,000 for loyalty bonuses. This represents a total cost of £1,180,000 an increase of £157k on the current contract and offers the cheapest option.

- 6.3 Option 2 Full in-house delivery following Contracted Provision.

The initial cost of £1.201m represents an increase of £178k on current contracts. The increases are management and haulage costs. This option also requires RMBC to purchase the capital equipment. The management fee is estimated at £750k due to the shorter term proposed than in option 1.

Following the 3 years contract the in-house option could then be operated on a cheaper basis owing to income from recyclables, no loyalty payments but increased overheads however, a further £123,600 would be needed after the 3-year period (offset by the increase of at least £67k income) This would increase to £1.257m after this period.

- 6.4 Option 3 In-sourced delivery of customer facing sites and facilities, with these being supported by contracted haulage and disposal.

Initial costs are as per Option 3; £1.201m per annum. After the contract period an in-sourced delivery system could see the HWRC's then run as above at a cheaper cost following the contract with the difference being haulage, however additional operatives would be needed meaning a further £123,600 would be required, offset in the same way as above (Option 2).

The cost of the service is £1.201m for 3 years increasing to £1.245m after this period.

- 6.5 The Capital costs associated with bringing the services in-house are estimated to be in the region of £2.4m. Capital purchases would be made through the contract associated with the recommended option, ensuring the contractor seeks best value for money.
- 6.6 As detailed throughout the report, all the varying options have associated procurement implications associated with them. The estimated contract value of the recommended option is in excess of the threshold contained within the Public Contracts Regulations 2015 (as amended) ("the Regulations") and as such the procurement activity must be undertaken in compliance with the Regulations and the Council's own Financial and Procurement Procedure Rules.

7. Legal Advice and Implications

- 7.1 The Council is lawfully able to adopt any of the options put forward in the report. As stated above any procurements will need to be conducted in accordance with the Public Contracts Regulations 2015 (as amended) and the FPPR. The necessary contractual arrangements will need to be concluded with third party providers to include all matters referred to within the report and all further matters to ensure successful operation of the HWRC sites and associated services.

8. Human Resources Advice and Implications

- 8.1 The Transfer of Undertakings (Protection of Employment Regulations) 2006 (commonly known as TUPE) will apply to the insourcing/in house delivery of services. Employees would therefore transfer to the employment of the Council under TUPE, on their existing terms and conditions of employment.
- 8.2 Under TUPE, all liabilities of the 'transferor' (BDR Partnership) relating to employees transfer over to the 'transferee' (the Council). The Council would therefore inherit liability for any statutory rights, claims and liabilities of transferring employees. Any risks identified should be managed as part of the due diligence process.
- 8.3 Consultation and engagement would be undertaken with Trade Unions on any transfer of employees, including any proposed changes to working practices (TUPE measures), in line with normal human resources policies and procedures.

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.

- 10.2 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. Policies are in place to ensure that there is equitable service to all residents in the borough. In considering bringing the service in-house, a full review of site accessibility will be considered as part of the infrastructure works required.

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.

12. Implications for Partners

- 12.1 There are no specific implications identified for partners.

13. Risks and Mitigation

- 13.1 There is the possible risk that no contractors bid for the 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 HWRCs to residents within the Borough. In order to mitigate this risk the Council has engaged in two market engagement exercises and has confirmed market interest. Any contract engaged will have appropriate levels of risk transfer. The procurement documentation will be robust with clear requirements and industry standard expectations.
- 13.2 There are a range of risks associated with the in-sourcing of the service, these will be managed through a stand-alone risk register for the project, should Cabinet choose to progress with an in-house delivery model. There are also risks as a result of secondary legislation under the Environment Act 2021 and an in-house model will allow the Council to adapt to these changes more effectively.

14. Accountable Officers

Sam Barstow, Assistant Director for Community Safety and Street Scene
Barry Connolly, Head of Environmental Services

Approvals obtained on behalf of Statutory Officers: -

	Named Officer	Date
Chief Executive	Sharon Kemp	09/01/23
Strategic Director of Finance & Customer Services (S.151 Officer)	Judith Badger	03/01/23
Assistant Director, Legal Services (Monitoring Officer)	Phillip Horsfield	21/12/22

Report Author: Barry Connolly, Head of Environmental Services
Barry.connolly@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 Waste Recycling Centre contract procurement

Directorate:
Regeneration and Environment

Service area:
Community Safety and Street Scene

Lead person:
Sam Barstow

Contact:
sam.barstow@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

Rotherham Metropolitan Borough Council provide places for householders to deposit their waste materials as a statutory service at Household Waste Recycling Centre (HWRC) throughout the borough. The current contract ends in October 2023 and the procurement process for the new contract has commenced. This screening document is to ensure that the procurement of the service will result in service provision that is equitable to all.

3. Relevance to equality and diversity

All the Council's strategies/policies, services/functions affect service users, employees,

or the wider community – borough wide or more local. These will also have a greater/lesser relevance to equality and diversity.

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

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

Questions	Yes	No
Could the proposal have implications regarding the accessibility of services to the whole or wider community? <i>(Be mindful that this is not just about numbers. A potential to affect a small number of people in a significant way is as important)</i>		No
Could the proposal affect service users? <i>(Be mindful that this is not just about numbers. A potential to affect a small number of people in a significant way is as important)</i>		No
Has there been or is there likely to be an impact on an individual or group with protected characteristics? <i>(Consider potential discrimination, harassment or victimisation of individuals with protected characteristics)</i>		No
Have there been or likely to be any public concerns regarding the proposal? <i>(It is important that the Council is transparent and consultation is carried out with members of the public to help mitigate future challenge)</i>		No
Could the proposal affect how the Council's services, commissioning or procurement activities are organised, provided, located and by whom? <i>(If the answer is yes you may wish to seek advice from commissioning or procurement)</i>		No
Could the proposal affect the Council's workforce or employment practices? <i>(If the answer is yes you may wish to seek advice from your HR business partner)</i>		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. Policies are in place to ensure that there is equitable service to all residents in the borough.

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?**
- **Key findings**
- **Actions**

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 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.

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	31/11/22
Report title and date	Future Provision for Household Waste Recycling Centres 23 rd January 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	

Date screening sent to Performance, Intelligence and Improvement equality@rotherham.gov.uk	1/12/22
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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

-
- 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?		Dependant on who wins the contract they may need/want to have an office within the borough to manage the HWRC more effectively		This is variable dependant on location and type of building required.	Officers will also request regular carbon assessments from the new contractor. RMBC to perform any further emission assessments if required
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 and distance travelled. Monitoring will also ensure the maximum payload is used to reduce overall emissions.
Emissions from waste, or the quantity of waste itself?	reduces emissions	Reduction on contractors' emissions with new plant machinery at each site. Contract has a requirement for the contractor to minimise the amount of waste sent to disposal and maximise the amount of material reused and recycled. Residual	None	New contract insists on new plant machinery to be used at sites that are more efficient than current plant hire. New contract incentivises reuse and recycling	RMBC to monitor tonnage of waste collected and moved each month. RMBC to report on reuse and recycling of the contract.

		waste is sent to a Mechanical Biological Treatment facility with Dry Anaerobic Digestion. Electricity generated by the AD plant is used in the operation of the facility.			
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:
 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. Contract will have a requirement for continuous improvement in carbon reduction.

Supporting information:	
Completed by: (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]	