

# Cabinet

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**Wednesday 1 August 2012 at 2.00 pm**

**To be held at the Town Hall,  
Pinstone Street, Sheffield, S1 2HH**

**The Press and Public are Welcome to Attend**

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## **Membership**

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|                           |                                      |
|---------------------------|--------------------------------------|
| Councillor Julie Dore     | Chair/Leader of the Council          |
| Councillor Harry Harpham  | Deputy Leader/Homes & Neighbourhoods |
| Councillor Isobel Bowler  | Culture, Sport & Leisure             |
| Councillor Leigh Bramall  | Business, Skills & Development       |
| Councillor Jackie Drayton | Children, Young People & Families    |
| Councillor Mazher Iqbal   | Communities & Inclusion              |
| Councillor Mary Lea       | Health, Care & Independent Living    |
| Councillor Bryan Lodge    | Finance & Resources                  |
| Councillor Jack Scott     | Environment, Waste & Streetscene     |

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## **PUBLIC ACCESS TO THE MEETING**

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The Cabinet discusses and takes decisions on the most significant issues facing the City Council. These include issues about the direction of the Council, its policies and strategies, as well as city-wide decisions and those which affect more than one Council service. Meetings are chaired by the Leader of the Council, Councillor Julie Dore.

A copy of the agenda and reports is available on the Council's website at [www.sheffield.gov.uk](http://www.sheffield.gov.uk). You can also see the reports to be discussed at the meeting if you call at the First Point Reception, Town Hall, Pinstone Street entrance. The Reception is open between 9.00 am and 5.00 pm, Monday to Thursday and between 9.00 am and 4.45 pm. on Friday, or you can ring on telephone no. 2734552. You may not be allowed to see some reports because they contain confidential information. These items are usually marked \* on the agenda.

Members of the public have the right to ask questions or submit petitions to Cabinet meetings. Please see the website or contact Democratic Services for further information.

Cabinet meetings are normally open to the public but sometimes the Cabinet may have to discuss an item in private. If this happens, you will be asked to leave. Any private items are normally left until last. If you would like to attend the meeting please report to the First Point Reception desk where you will be directed to the meeting room.

Cabinet decisions are effective six working days after the meeting has taken place, unless called-in for scrutiny by the relevant Scrutiny Committee or referred to the City Council meeting, in which case the matter is normally resolved within the monthly cycle of meetings. Further information on this or any of the agenda items can be obtained by speaking to John Challenger on 0114 273 4014.

If you require any further information please contact [committee@sheffield.gov.uk](mailto:committee@sheffield.gov.uk) or call us on 0114 273 4014.

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## **FACILITIES**

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There are public toilets available, with wheelchair access, on the ground floor of the Town Hall. Induction loop facilities are available in meeting rooms.

Access for people with mobility difficulties can be obtained through the ramp on the side to the main Town Hall entrance.

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**CABINET AGENDA  
1 AUGUST 2012**

**Order of Business**

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- 1. Welcome and Housekeeping Arrangements**
- 2. Apologies for Absence**
- 3. Exclusion of Public and Press**  
To identify items where resolutions may be moved to exclude the press and public.
- 4. Declarations of Interest**  
Members to declare any interests they have in the business to be considered at the meeting.
- 5. Minutes of Previous Meeting**  
Minutes of the meeting held on 11<sup>th</sup> July, 2012
- 6. Public Questions and Petitions**  
To receive any questions or petitions from members of the public.
- 7. Items Called-In for Scrutiny**  
The Chief Executive will inform the Cabinet of any items called in for scrutiny since the last meeting of the Cabinet.
- 8. Retirement of Staff**  
A report of the Chief Executive
- 9. Adult and Community Learning - Fees Policy 2012 -13**  
Report of the Executive Director, Children, Young People and Families.
- 10. The Sheffield Investment Fund**  
Report of the Executive Director, Resources.
- 11. Establishment of Healthwatch Sheffield - Contract Matters**  
Report of the Executive Director, Communities.
- 12. Annual Equalities and Inclusion Report 2011 - 12**  
Report of the Deputy Chief Executive.
- 13. Wybourn Sites Disposal**  
Report of the Executive Director, Place.
- 14. Fox Hill Redevelopment**  
Report of the Executive Director, Place.
- 15. Revenue Budget and Capital Programme Monitoring (Month 2)**

Report of the Executive Director, Resources.

**16. Date of Next Meeting**

The next meeting of Cabinet will be held on Wednesday, 22<sup>nd</sup> August, 2012 at 2.00 p.m.

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**ADVICE TO MEMBERS ON DECLARING INTERESTS AT MEETINGS**

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A new Standards regime was introduced on 1<sup>st</sup> July, 2012 by the Localism Act 2011. The new regime made changes to the way that your interests needed to be registered and declared. Prejudicial and personal interests no longer exist and they have been replaced by Disclosable Pecuniary Interests (DPIs).

The Act also required that provision is made for interests which are not Disclosable Pecuniary Interests and required the Council to introduce a new local Code of Conduct for Members. Provision has been made in the new Code for dealing with “personal” interests.

Guidance on declarations of interest, incorporating regulations published by the Government in relation to Disclosable Pecuniary Interests, has been circulated to you previously, and has been published on the Council’s website as a downloadable document at -<http://councillors.sheffield.gov.uk/councillors/register-of-councillors-interests>

If at all possible, you should try to identify any potential interest you may have before the meeting so that you and the person you ask for advice can fully consider all the circumstances before reaching a conclusion on what action you should take.

Further advice can be obtained from Lynne Bird, Director of Legal Services on 0114 2734018 or email [lynne.bird@sheffield.gov.uk](mailto:lynne.bird@sheffield.gov.uk)

## SHEFFIELD CITY COUNCIL

### CABINET

#### Meeting held 11 July 2012

**PRESENT:** Councillors Harry Harpham (Deputy Chair), Isobel Bowler, Jackie Drayton, Mazher Iqbal, Mary Lea, Bryan Lodge and Jack Scott

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#### **1. APOLOGIES FOR ABSENCE**

1.1 Apologies for absence were received from Councillors Julie Dore and Leigh Bramall.

#### **2. DECLARATIONS OF INTEREST**

2.1 There were no declarations of interest.

#### **3. MINUTES**

3.1 The minutes of the meeting of the Cabinet held on 20 June 2012 were approved as a correct record.

#### **4. PUBLIC QUESTIONS AND PETITIONS**

##### 4.1 Air Quality Action Plan

4.1.1 Whilst recognising the effort that had gone into producing the Air Quality Action Plan, N Parry asked whether Cabinet were aware that a weakness within the Plan was a lack of quantification of the measures required to keep within the law in 2015.

4.1.2 Councillor Jack Scott (Cabinet Member for Environment, Waste and Streetscene) responded that whilst the Plan was a necessary starting point, further work such as the incorporation of the findings of the Low Emissions Feasibility Study, would be carried out to ensure compliance with recent European Commission changes.

##### 4.2 Responses to Public Questions

4.2.1 N Slack asked (i) should it take over a week for the Council to respond to questions asked; (ii) did this show a Council paying lip service to the idea of open government; and (iii) what steps would be taken to ensure this attitude to the public changed?

4.2.2 Councillor Bryan Lodge (Cabinet Member for Finance and Resources) confirmed that a written response was currently being prepared but this would take time

given the amount of information requested. It was noted that some information could not be supplied as it was commercially sensitive. He added that it had been 4 working days since the receipt of Mr Slack's questions and protocol for written responses was 10 working days.

4.2.3 In relation to Mr Slack's previous questions concerning Household Waste Recycling, Councillor Jack Scott (Cabinet Member for Environment, Recycling and Streetscene) confirmed that he had signed a written response for dispatch.

#### 4.3 Sheffield Somali Community Centre

4.3.1 M Ismail stated that the Sheffield Somali Community Centre had been informed that they would no longer receive a funding grant and that a month's notice would be given on the Centre's premises. He asked what evidence had been taken into consideration when making the decision, and questioned whether the decision had been taken in a fair and transparent manner with due consideration given to the impact on equality and the needs of the vulnerable.

4.3.2 F Musa (for and on behalf of the Somali Women's Group, Burngreave) asked why the Centre's funding had been cut without consultation or consideration of the impact on isolated members of the Community. She added that the Centre was used by the Somali Women's Group to meet, socialise and raise awareness.

4.3.3 Councillor Harry Harpham stated that he was aware that the Sheffield Somali Community Centre had requested a meeting with the Leader and he was confident that she would be happy to meet with representatives on her return.

4.3.4 In response to the questions asked, Councillor Mazar Iqbal (Cabinet Member for Communities and Inclusion) outlined the communication process that had taken place, starting in November 2010 with a letter from the Deputy Chief Executive to the VCF organisations, which explained the changes to the grant aid budget and the consultation process. In March 2011, the Voluntary Sector Liaison Team had written to invite organisations to make an application and a further letter was sent setting out the information organisations were required to supply. Responses were not received from the Centre and a set of Accounts subsequently supplied were not signed. A further letter was sent in October 2011 and final payments made in February 2012.

Councillor Iqbal stated that the decision had not been taken lightly and it was important that the process was fair, open and transparent, with over 50 organisations being awarded grants. He added that that one month's notice had been paid as a gesture of goodwill and that a list of activities held at the Centre had been requested in order to assist in seeking alternative accommodation for them, but this had not been received to date.

Councillor Iqbal concluded that he too was confident that a meeting with the Leader would be arranged with the Leader in the near future.

#### 4.4 Council Contracts with Private Companies

- 4.4.1 Mr Slack raised further questions in relation to private contracts for Public Services and asked (i) whether these companies had been approached about the levels of profit they enjoyed from the public purse; (ii) had the Council attempted to negotiate with them on this and if not, would they undertake to do so before more job and service cuts were forced upon the City; and (iii) the reality of spending on Sheffield postcode companies given that most were subsidiaries of major global players.
- 4.4.2 Councillor Bryan Lodge (Cabinet Member for Finance and Resources) responded that the Council operated a mix of service arrangements in line with Authorities across the Country. The contracting of services had facilitated innovative changes and improvements and that reduction in spending and efficiencies should not impact on the quality of service provided as outlined within provider Service Level Agreements. He cited examples of the Capita IT support contract which had been independently verified as providing the lowest spend for the level of service and improvements within the Benefits and Revenues service.

In relation to the Highways PFI contract, Councillor Lodge stated that the tenders had been assessed against the delivery specification and AMEY had been judged the most competent to deliver.

## 5. ITEMS CALLED-IN FOR SCRUTINY/REFERRED TO CABINET/COUNCIL

- 5.1 The Deputy Chief Executive reported that there had been no items of business called in for scrutiny arising from the meeting of the Cabinet held on 20 June 2012.
- 5.2 The Cabinet noted the information reported.

## 6. RETIREMENT OF STAFF

- 6.1 The Deputy Chief Executive submitted a report on Council staff retirements.
- 6.2 **RESOLVED:** That this Cabinet :-

(a) places on record its appreciation of the valuable services rendered to the City Council by the following staff in the Portfolios below:-

| <u>Name</u>                                       | <u>Post</u>                                 | <u>Years' Service</u> |
|---|---|-----------------------|
| <b><u>Children, Young People and Families</u></b> |   |                       |
| Anne-Marie Appleton                               | Teacher, St Marie's Catholic Primary School | 25                    |
| Ian Hayes   | Teacher, Stocksbridge High School           | 29                    |
| Lynne Ley   | Headteacher, Sharrow Primary School         | 30                    |

|              |  |    |
|--------------|--|----|
| Ann Lockwood | Business Manager, Heritage Park Community School | 30 |
|--------------|--|----|

|           |   |    |
|-----------|---|----|
| Susan Orr | Teacher, Parson Cross CE Primary School | 25 |
|-----------|---|----|

|              |                                       |    |
|--------------|---------------------------------------|----|
| Erica Taylor | Teacher, Windmill Hill Primary School | 38 |
|--------------|---------------------------------------|----|

### **Place**

|                |  |    |
|----------------|--|----|
| Pamela Bridges | Personal Assistant, Development Services | 22 |
|----------------|--|----|

|                 |   |    |
|-----------------|---|----|
| Theresa Elliott | Customer Services Assistant, Street Force | 32 |
|-----------------|---|----|

|                 |  |    |
|-----------------|--|----|
| Vivienne Grehan | Administrative Officer, Development Services | 25 |
|-----------------|--|----|

(b) extends to them its best wishes for the future and a long and happy retirement; and

(c) directs that an appropriate extract of this resolution under the Common Seal of the Council be forwarded to them.

## **7. ANY OTHER BUSINESS**

It was noted that this would be Sonia Sharp's (Executive Director, Children, Young People and Families) last Cabinet meeting. Councillor Harry Harpham expressed his thanks on behalf of the Cabinet for her work and enthusiasm in the role and wished her luck and success in her new role in Australia.

## **8. EXECUTIVE FUNCTIONS DECISION RECORD**

The following decisions were taken by the Cabinet:-.

### **8.1 AGENDA ITEM 9: BUS RAPID TRANSIT NORTHERN ROUTE (BRT NORTH) : APPROVAL FOR COMPULSORY PURCHASE ORDER PUBLICATION AND THE ACQUISITION OF LAND**

The Executive Director, Place, submitted a report describing the proposed Bus Rapid Transit Northern Route (BRT North) which would provide new fast, efficient and sustainable public transport links between the centres of Rotherham and Sheffield, providing direct access to the Lower Don Valley which is the development spine of the Sheffield City Region. In particular, it was explained that, in order to deliver the Bus Rapid Transport (BRT) Northern Route to the Programme agreed with Government, the required land to build the scheme must be acquired and all rights negotiated in the calendar years 2012/13 and that this would involve the acquisition and/or granting of rights over of a total of 15 plots of land.



The intention was to acquire the land by negotiation. However, a Compulsory Purchase Order (CPO) scheme was being developed in parallel to give certainty of scheme delivery. The land required would be purchased at market value and its acquisition would represent an increase in the Council's asset portfolio.

8.1.2 **RESOLVED:** That :-

- (a) authority be given for the City Council to make a Compulsory Purchase Order under the powers conferred by the Highways Act 1980 to acquire the land coloured pink on the Map displayed at the meeting of Cabinet on 11th July 2012 and marked 'Map referred to in The City of Sheffield (Attercliffe Common, Carbrook St, Dunlop St, Weedon St, Meadowhall Way, Sheffield Rd) (Bus Rapid Transit Northern Route) (Classified Road A6178, C747) Compulsory Purchase Order 2012'
- (b) the Director of Legal Services be authorized to (i) approve the making of the CPO and to take all necessary procedural steps prior to and after the making of the CPO, to enable the CPO to be submitted to the Secretary of State for Transport for confirmation including : -
  - (A) finalising the draft statement of reasons;
  - (B) finalising the Schedule of Interests;
  - (C) serving notices of the making of the CPO on all persons entitled to such notice and placing necessary press notices;and (ii) submit the CPO to the Secretary of State for confirmation;
- (c) the Director of Finance and the Director of Property and Facilities Management Services, be authorised in conjunction with the Director of Legal Services, to acquire and/or secure affected land and rights by agreement up to the value of £750,000 for individual interests in parallel with the Compulsory Purchase Order, so that the Council can practically implement the scheme;
- (d) the Director of Legal Services be authorised to sign and serve any Notices and documents and, together with the Executive Director of Place, to take all other necessary action to give effect to the decisions now made; and
- (e) as soon as the Order is confirmed by the Secretary of State for Transport to advertise the confirmation of the CPO and serve all necessary notices of confirmation and once the CPO becomes operative, the Director of Legal Services be authorised to serve Notices to Treat under Section 5 of the Compulsory Purchase Act 1965, and where necessary, to serve Notices of Entry under Section 11 of the same Act in respect of the land included in the Order, or to execute general vesting declarations under the Compulsory Purchase (Vesting Declarations) Act 1981.

8.1.3 **Reasons for Recommendations**

Acquisition of the land, and the making of powers to compulsorily purchase any plots that cannot be negotiated by agreement, are necessary to deliver the BRT North scheme which will contribute to the objectives of 'Standing up for Sheffield' and the Sheffield City Region Transport Strategy.

#### 8.1.4 **Alternatives Considered and Rejected**

The Bus Rapid Transit North Scheme was itself developed as a bus-based alternative to the proposed Supertram extensions which were rejected by the Department for Transport for not representing a sufficiently high value for money.

In light of the Government's 2011 spending review, the BRT North scheme was refined and value-engineered to represent the optimum design solution which maximises benefits whilst minimising capital expenditure.

#### 8.2 **AGENDA ITEM 10: CAPITAL PROGRAMME APPROVALS 2012-2013 (MONTH 1)**

The Executive Director, Resources, submitted a report seeking approval for a number of variations and additions to the 2012/13 Capital Programme, as well as the approval of two procurement strategies for the delivery of projects in the Programme.

#### 8.2.1 **RESOLVED:** That Cabinet :-

- (a) approves the proposed additions to the Capital Programme listed in Appendix 1, including the procurement strategies and delegates authority to the Director of Commercial Services or Delegated Officer, as appropriate, to award the necessary contracts following stage approval by the Capital Programme Group
- (b) approves the variations in Appendix 1;
- (c) notes the following variations to the Capital Programme:-
  - (i) two variations approved within the delegated limit of the Executive Management Team for a value of £38,000, namely, Housing Demolition Contract and Park Grange Drive Shops Demolition; and
  - (ii) no variations had been approved by Directors under their delegated authority; and
- (d) notes one emergency approval with a value of £150,000, namely Rivelin Valley Playbuilder. .

#### 8.2.2 **Reasons for Decision**

The proposed changes to the Capital Programme will improve the transport, homes and leisure facilities used by the people of Sheffield.

To formally record changes to the Capital Programme in line with Financial Regulations and to reset the Capital Programme in line with latest information.

### 8.2.3 **Alternatives Considered and Rejected**

A number of alternative courses of action are considered as part of the process undertaken by Officers before decisions are recommended to Members. The recommendations made to Members represent what Officers believe to be the best options available to the Council, in line with Council priorities, given the constraints on funding and the use to which funding is put within the Revenue Budget and the Capital Programme.

## 8.3 **AGENDA ITEM 11: AIR QUALITY ACTION PLAN FOR SHEFFIELD**

8.3.1 The Executive Director, Place, submitted a report providing an update on the new Air Quality Action Plan for Sheffield 2015 and seeking approval for its implementation. The Action Plan set out the causes and impacts of air pollution, and proposed seven commitments to reduce air pollution in Sheffield and achieve national air quality targets and European Union (EU) limit values by 2015, in furtherance of Sheffield's aspiration to be a City where health inequalities are eliminated and air is healthy for all to breathe and to meet the Council's commitment to help improve the health and wellbeing of the people of Sheffield, ensuring that it was an environmentally-responsible City, a key component of which was protecting and improving air quality.

8.3.2 The following minor amendments to the Plan were put forward:-

- Page 12, Action 6 – Substitute the word “Predictable” for the word “Notable” in the second line of the first paragraph.
- Page 28, Paragraph 6.29 - Substitute the word “Predictable” for the word “Notable” in the penultimate line of the paragraph.
- Page 28, Paragraph 6.30 - Substitute the words “may open up the possibility of making gas vehicles for deliveries a condition of planning permission in some instances” for the words “that we could condition in planning applications”

8.3.3 **RESOLVED:** That Cabinet

- (a) notes and agrees the 3 minor amendments to the new Air Quality Action Plan outlined (Page 12, Action 6, Page 28, Paragraph 6,29 and Page 28, Paragraph 6.3)
- (b) approves the new Air Quality Action Plan for Sheffield 2015 for implementation;
- (c) allocates a Steering Group and Working Group “champion” to each Action contained in the Action Plan, supported by a member of the local community;

- (d) delegates authority to the Executive Director, Place in consultation with the Cabinet Member for Environment, Waste and Streetscene, to take steps considered appropriate to implement the approved new Air Quality Action Plan for Sheffield subject to any necessary funding being identified and due regard being had to the legal implications set out in this report;
- (e) recognises that the Council's overall Air Quality Champion will be the Director of Public Health as part of his role on the City's Health and Wellbeing Board; and
- (f) agrees that a fully refreshed Air Quality Action Plan be submitted to Cabinet, following the completion of the Low Emission Zone feasibility study, due in the Autumn 2012.

#### **8.3.4 Reasons for Recommendations**

Air pollution impacts negatively on Sheffield people's health and economy as well as contributing to climate change. Sheffield reflects the national picture, in that generally air quality is improving. However in many areas, near the motorway and within the busy urban centre, it has not improved, with some places seeing air quality worsening.

Reflecting national trends and many other major cities in the UK, Sheffield currently breaches UK and European Union thresholds for air quality. There is the potential for the UK government to be fined if the EU limits are exceeded past 2015, and the fines imposed could be significant, consequently this is a recognised risk for the Council.

The implementation of this revised Air Quality Action Plan seeks to reduce air pollution in Sheffield to achieve national air quality targets and EU limit values by 2015. This will provide a better quality of life for all, particularly those living alongside the city's main transport corridors where exposure to elevated pollution levels is more likely.

#### **8.3.5 Alternatives Considered and Rejected**

To continue implementing the existing 2003 Air Quality Action Plan, after incorporating fine particles (PM<sub>10</sub>) that we have identified as being an additional pollutant to tackle. However, it was considered that this action would not have the required impact needed to meet national air quality targets, European Union (EU) limit values and protect health.

Doing nothing. However, this would mean that Sheffield would risk a possible fine, particularly if no additional efforts to tackle the problem were made, if the national air quality targets and EU limit values are exceeded by 2015.

Attempting to reduce emissions from traffic by using some form of demand management measure. However, this may still not deliver the required air quality targets and EU limit values by 2015 and would also have a negative impact on Sheffield's economy, working against the wider aims of the Corporate Plan.



## SHEFFIELD CITY COUNCIL Cabinet Report

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**Report of:** Deputy Chief Executive

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**Date:** 1<sup>st</sup> August 2012

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**Subject:** Staff Retirements

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**Author of Report:** John Challenger, Democratic Services

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**Summary:** To report the retirement of staff across the Council's various Portfolios

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### Recommendations:

Cabinet is recommended to:-

- (a) place on record its appreciation of the valuable services rendered to the City Council by members of staff in the various Council Portfolios and referred to in the attached list;
  - (b) extend to them its best wishes for the future and a long and happy retirement; and
  - (c) direct that an appropriate extract of the resolution now made under the Common Seal of the Council be forwarded to those staff above with over twenty years service.
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**Background Papers:** None

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**Category of Report:** OPEN

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**REPORT TITLE: RETIREMENT OF STAFF**

1. To report the retirement of the following staff from the Council's Service and to convey the Council's thanks for their work:-

| <u>Name</u>                                       | <u>Post</u>  | <u>Years'<br/>Service</u> |
|---|--|---------------------------|
| <b><u>Children, Young People and Families</u></b> |  |                           |
| Pauline Holmes                                    | Teacher, Newfield School                               | 31                        |
| Kelvin Leaver                                     | Teacher, Forge Valley Community School                 | 36                        |
| Barbara Round                                     | Teacher, Yewlands School                               | 35                        |
| William Huw Thomas                                | Headteacher, Emmaus Catholic and C of E Primary School | 25                        |
| <b><u>Communities</u></b>                         |  |                           |
| Barbara Berwick                                   | Support Worker   | 23                        |
| Marion Burrows                                    | Application Development Manager                        | 33                        |
| Keith Clark                                       | Approved Mental Health Practitioner                    | 23                        |
| Julie Coupland                                    | Support Worker   | 20                        |
| Dawn Ellison                                      | Support Worker   | 24                        |
| Linda Harrison                                    | Assistant Operational Manager                          | 29                        |
| Sharon Marsden                                    | Support Worker   | 23                        |
| Joan McGann                                       | Support Worker   | 24                        |
| June Mundun                                       | Support Worker   | 27                        |
| Sandra Pathan                                     | Support Worker   | 28                        |
| Marilyn Lesley Porter                             | Support Worker   | 32                        |
| Joy Robertshaw                                    | Support Worker   | 23                        |
| Marie Smith                                       | Support Worker   | 29                        |
| Christine Walton                                  | Learning and Development Consultant                    | 26                        |
| Jane Whittington                                  | Support Worker   | 27                        |

|               |                |    |
|---------------|----------------|----|
| Philip Wright | Support Worker | 21 |
|---------------|----------------|----|

**Deputy Chief Executive's**

|             |        |    |
|-------------|--------|----|
| Julian Ward | Lawyer | 42 |
|-------------|--------|----|

**Place**

|               |                                   |    |
|---------------|-----------------------------------|----|
| Stephen Byers | Environmental Policy Co-ordinator | 34 |
|---------------|-----------------------------------|----|

2. To recommend that Cabinet:-

- (a) place on record its appreciation of the valuable services rendered to the City Council by the above – mentioned members of staff in the Portfolios stated :-
- (b) extend to them its best wishes for the future and a long and happy retirement; and
- (c) direct that an appropriate extract of the resolution now made under the Common Seal of the Council be forwarded to those staff above with over twenty years service.

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## SHEFFIELD CITY COUNCIL Cabinet Report

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**Report of:** Executive Director, Children, Young People and Families

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**Date:** 1 August 2012

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**Subject:** **Adult and Community Learning - Fees Policy 2012- 13**

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**Author of Report:** Dee Desgranges 2296140

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### Summary:

1. This report details the fees policy for adult and community learning, funded by the Skills Funding Agency (SFA) and organised by Lifelong Learning, Skills and Communities (LLSC).
  - 1.2 Revisions to the existing fees policy have been made in response to the requirement of the SFA. The SFA 'co-funds' courses and expects the remainder of course costs to be met by fees that are collected locally.
  - 1.3 The key revision is that, as from August 2013 Level 3 (equivalent to A level study over the age of 24 will be required to take out a loan to pay their fees. They will be required to repay the loan if their earnings reach a certain point in the future. Further information about this new scheme is awaited from the SFA.
  - 1.4 National fee remission rules particularly impact on those residents that the City Council wishes to encourage to take up our community learning opportunities, particularly learners of English for Speakers of Other Languages (ESOL).
  - 1.5 This report is a summary of the national guidance, it describes the strategic approach to fee charging that the City Council proposes to take and sets out the implications for adult learners in Sheffield.
-

**Reasons for Recommendations:**

The following recommendations will allow the city to secure its adult learning funding thereby providing access to learning for those residents most in need of improved skills levels and the qualifications needed for work and improved life chances..

**Recommendations:**

Cabinet to note the contents of this report and

- approve the fees policy set for LLSC for the academic year 2012/13
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**Background Papers:**

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**Category of Report:** OPEN

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\* Delete as appropriate

## Statutory and Council Policy Checklist

|  |
|--|
| <b>1 FINANCIAL IMPLICATIONS</b>                      |
| YES/NO      Cleared by: Tony Greenwood               |
| <b>2 LEGAL IMPLICATIONS</b>                          |
| YES/NO      Cleared by: Nadine Wynter                |
| <b>Equality of Opportunity Implications</b>          |
| YES/NO      Cleared by: Bashir Khan                  |
| <b>Tackling Health Inequalities Implications</b>     |
| YES/   |
| <b>Human rights Implications</b>                     |
| YES/   |
| <b>Environmental and Sustainability implications</b> |
| YES/NO   |
| <b>Economic impact</b>                               |
| YES  |
| <b>Community safety implications</b>                 |
| YES/NO   |
| <b>Human resources implications</b>                  |

|   |
|---|
| NO  |
| <b>Property implications</b>  |
| NO  |
| <b>Area(s) affected</b>   |
|   |
| <b>Relevant Cabinet Portfolio Leader</b>  |
| Cllr Jackie Drayton   |
| <b>Relevant Scrutiny Committee if decision called in</b>                        |
| Children, Young People and Family Support                                       |
| <b>Is the item a matter which is reserved for approval by the City Council?</b> |
| YES   |
| <b>Press release</b>  |
| /NO   |

# **Adult and Community Learning - Fees Policy 2012-13**

## **1. Summary**

- 1.1 This report details the fees policy for adult and community learning, funded by the Skills Funding Agency (SFA) and organised by Lifelong Learning, Skills and Communities (LLSC).
- 1.2 Revisions to the existing fees policy have been made in response to the requirement of the SFA. The SFA 'co-funds' courses and expects the remainder of course costs to be met by fees that are collected locally.
- 1.3 The key revision is that, as from August 2013 Level 3 (equivalent to A level study over the age of 24 will be required to take out a loan to pay their fees. They will be required to repay the loan if their earnings reach a certain point in the future. Further information about this new scheme is awaited from the SFA.
- 1.4 National fee remission rules particularly impact on those residents that the City Council wishes to encourage to take up our community learning opportunities, particularly learners of English for Speakers of Other Languages (ESOL).
- 1.5 This report is a summary of the national guidance, it describes the strategic approach to fee charging that the City Council proposes to take and sets out the implications for adult learners in Sheffield.
- 1.6 The proposed charging schedule for Sheffield City Council's Adult and Community Learning provision is shown at Appendix A.

## **2. What Does This Mean for Sheffield People?**

- 2.1 Under the new guidance from the SFA, only the following learners over the age of 19 will be able to access courses free of charge:
  - those in receipt of Jobseekers' Allowance (JSA) or Employment Support Allowance (ESA), those who are unemployed and in receipt of means tested benefits.
  - those pursuing adult literacy and numeracy courses (Basic Skills)
  - those who have not previously achieved a Level 2 qualification (equivalent to five or more GCSEs at A\* - C)
  - those who have not previously achieved a Level 3 qualification (equivalent to two or more 'A' Levels ). From August 2013 all learners over the age of 24 will be required to pay fees.
- 2.2 These rule changes will have a significant impact on the lives of those adults who are in work but in receipt of benefits.
- 2.3 The implications of these rules and changes are:
  - there is less incentive than previously to deliver ESOL, providers will be more inclined to concentrate on offering courses for 16-19 year olds which remain free and where the market is more certain

- the restriction of concessionary fees to those on work-related benefits is likely to impact disproportionately on some disadvantaged groups who are most in need of support . The majority of those are women ESOL learners who are not claiming these benefits.
- the Discretionary Learner Support Fund is no longer available to help the most vulnerable of learners with such things as examination fees, travel and hardship.

2.4 In addition, the Discretionary Learner Support Fund that has allowed adult learners with the greatest financial need to receive a small bursary also ceased in 2011.

### **3. Outcomes**

3.1 The City Council is obliged by the SFA to charge fees for its adult learning provision. The City Council will endeavour to hold fees at a level that allows those who are most in need to access adult learning. This relates to those prospective adult learners who will not be eligible for free provision under the SFA rules i.e. those adults who are in work, but who are disadvantaged, have low skills levels and are most in need of access to learning to improve their life chances and their prospects of employment.

3.2 With regard to the particular challenges associated with the delivery of ESOL, LLSC is leading the Sheffield ESOL Forum which is made up of the main providers of ESOL learning in the city, including:

- the Sheffield College
- the Worker's Education Association (WEA)
- the Sheffield Association for the Voluntary Teaching of English (SAVTE)
- St Mary's church

3.3 The forum is working collectively to review the ESOL offer across Sheffield to ensure that limited resources are deployed to best effect and that the detrimental effects of the new SFA regulations are mitigated as far as is possible. The forum is currently :

- planning a coherent offer with clear progression routes across providers to maximise coverage and avoid duplication
- identifying gaps in provision
- developing a common approach to referral and the assessment of need
- increasing the city's capacity to deliver ESOL through a volunteering structure where learning is free at the point of delivery. This will be achieved by supporting SAVTE and other community organisations to develop the new structure using pump priming from the Neighbourhood Learning in Deprived Communities fund.

### **4. Background**

4.1 The funding for adult learning comes to Sheffield City Council is a grant from the SFA. It covers such things as First Steps informal learning, Family Learning, Basic Skills and ESOL, and courses leading to a first Level 2 or 3 qualification, and Level 3 qualifications.

- 4.2 The SFA requires the providers of adult learning to “increase contributions to the cost of learning from employers and individuals in line with their ability to pay and the benefits they receive”. The national fee assumption is that the public purse will continue to meet at least 50% of the tuition costs of adult learning with the remainder made up by the course fees paid by individual learners. The exception to this rule will be those categories of adult learners who will remain entitled to full fee remission.
- 4.3 LLSC proposes only minor changes to the fees policy for the academic year 2012 /13 following the major revisions made in the last academic year.
- 4.4 Any fees that are collected by LLSC will contribute to the costs of either putting on more provision where it is most required, or contribute to a bursary fund for those who cannot afford the fees or who have other hardship issues.

## **5. Proposed Adult and Community Learning Fees Policy 2012/13**

- 5.1 The fees policy provides coherent, consistent and transparent guidelines that allow for the targeting of finite and diminishing resources at those likely to benefit most from the provision of adult learning, including those needing to access:
- ESOL
  - Literacy and Numeracy
  - Family Learning
  - A first Level 2 or 3 qualification aimed at progress to employment.
- 5.2 The fees policy complies with SFA guidelines but seeks to limit the cost of courses provided by LLSC to reduce the impact on those vulnerable and disadvantaged individuals who previously benefited from fee remission.
- 5.3 LLSC, together with its partners, is establishing a picture of the hardship issues attributed to the introduction of fees for ESOL learning and is addressing these issues through the work of the ESOL Forum. The ESOL Forum is monitoring patterns of attendance and progression using data collected from providers.
- 5.4 The data will provide the basis for a collective and strategic approach to how reduced resources can be best deployed to deliver ESOL most effectively across the city. In support of this approach, Neighbourhood Learning in Deprived Communities funding is being used to resource community-based learning champion activity, some of which will be directed to guiding new ESOL learners to appropriate provision and guiding those learners for whom further accreditation is not appropriate to conversation classes. Voluntary ESOL provision has been mapped and potential sources of financial support defined to aid this process. There is a full prospectus of ESOL provision in the city, both funded and non voluntary that is published each term.
- 5.5 Programmes have been redesigned to ensure as many people as possible are able to access ESOL. This would include those claiming Jobseekers Allowance who may be referred by Jobcentre Plus and will be entitled to fee remission.

## **6. Financial Implications**

- 6.1 Targets are set for recruitment by the SFA against the funding that it provides to the local authority. This funding amounts to £2,135,687. Setting fees at a reasonable level for learners should ensure that these targets can still be met. Fees collected are estimated to amount to approximately £60,000 in the academic year 2012/13.
- 6.2 A small amount of hardship funding of £8,000 will be available from LLSC for those learners who are unable to afford learning. Some Community Assemblies have also expressed a wish to identify an amount of funding to cover hardship in particular individual cases.

## **7. Managing Risk and Governance**

LLSC has extensive experience of managing complex SFA-funded projects to ensure compliance with external contract and audit requirements. The service has developed a close working relationship with the Finance External Funding Team to ensure risk and monitoring mechanisms are appropriate and to mitigate the risk of funding claw back.

## **8. Legal Implications**

The report proposes the revision of the fees policy for adult learning. The Council has power pursuant to sections 15A and 15B of the Education Act 1996 to secure the provision of full-time or part-time education suitable to persons for those who are over compulsory school age who have not attained the age of 19 and those who have attained the age of 19. This may include provision for persons from other areas. The Council may do anything that it considers necessary or expedient for the purposes of, or in connection with, the provision of such further education.

There are no further specific legal implications arising from this report.

## **9. Human Resources Implications**

There are no immediate human resource implications arising from this report.

## **10. Community Safety Implications**

There are no Community Safety implications arising from this report.

## **11. Environmental and Sustainability implications**

There are no environmental and sustainability implications arising from this report

## **12. Consultations**

- 12.1 The issue of changes to fee remission rules and potential responses to these have been widely discussed at meetings with local learning partnerships and Community Assemblies between January 2011 and the present.
- 12.2 The changes have been discussed and a coordinated response organised by providers through the ESOL Forum.
- 12.3 Feedback from all these sources has been fed through to national government as part of the national consultation on the impact of fees for the most disadvantaged.

## **13. Economic Impact**



The engagement of adults into learning and the provision of pathways into further learning, training and employment has a positive economic impact on the city's economy and the life chances of its most vulnerable and disadvantaged residents. The City Council will, with the support of the ESOL Forum, monitor and report on the impact of fee and other changes.

#### **14. Equality of Impact Implications**

An Equality Impact Assessment has been undertaken in relation to the changes outlined in this report and this assessment is appended.

#### **15. Alternative Options**

The option of halting the delivery of those courses for which the charging of fees is now required was considered and rejected as it would not allow equal access to learning for those very vulnerable learners, particularly from the BME communities who need language support to help them to play a positive role in their community and to contribute to the local economy.

#### **16. Reasons for Recommendations**

The following recommendations will allow the city to secure its adult learning funding thereby providing access to learning for those residents most in need of improved skills levels and the qualifications needed for work and improved life chances.

#### **17. Recommendations**

Cabinet to note the contents of this report and

- approve the fees policy set for LLSC for the academic year 2012/13.

### 1. Fee remission criteria

The following provision will be free to all:

- Skills for Life – Literacy (English)
  - Skills for Life – Numeracy (Maths)
  - Family Literacy (English), Languages and Numeracy(Maths)
  - Wider Family Learning
  - A first, full Level 2 or Level 3 qualification
  - A first, full Entry Level or Level 1 course as a step up to Level 2 (not including English, maths or ESOL programmes)
- 
- Jobseekers Allowance or Employment Support Allowance claimants will not pay fees for any courses.
  - Those adults who are unemployed but in receipt of other means tested benefits will not pay fees for any courses.
  - An administrative charge of £10 will apply to **all** learners within community learning where fees are remitted including English and maths.
  - Employers will be expected to make a contribution to the cost of an apprenticeship programme for employees who are 19 years old or more. Some of this contribution could be 'in kind', for example time allowed for the release of the learner for off the job training. A new grant of £1,500 is available to an employer who is taking an apprentice for the first time and who is an SME.
  - The full cost of provision will be charged for courses generally aimed at professionals wishing to retrain or develop their skills, or employers wishing to engage in development of their staff.
  - From August 2013, student loans will be introduced for learners aged 24 or above at Level 3 and above. The loans will be ring fenced within LLSC's allocation. Further information is awaited from the SFA

### 2. Fee charges

#### ***ESOL courses in the community***

Fees will be £1.00 per hour for learners who need to pay. The administrative charge will be £10 (average length of course is 30 hours).

#### ***ICT courses in the community***

Fees will be £2.00 per hour for learners who need to pay. The administrative charge will be £10 (average length of course is 20 hours).

#### ***Craft and Leisure courses***

Fees will be £2.00 per hour for learners who need to pay. The administrative charge will be £10 (average length of course is 20 hours)

***First full Level 2 or Level 3 qualification***

These courses will be free to those learners who meet the fee remission criteria.

***First full Entry Level /Level1 as a step up to Level 2 (does not include Literacy, Numeracy or ESOL Programme)***

**Learners will be asked to sign a disclaimer stating that if they do not attend an exam for which they have agreed to be entered they may be charged the entry fee.**

### **3. Evidence for fee remission:**

Learners entitled to fee remission will need to have the following evidence:

- **Jobseekers Allowance:** a letter confirming JSA status from Jobcentre Plus/Benefits Agency. The letter must not be more than three months old.
- Employment Support Allowance (active benefit): a current ESA Award Notice.
- Means tested benefits: a current letter confirming unemployed status together with a letter confirming the particular means tested benefit

### **4. Bursaries**

- Funding for these courses maybe available through bursaries granted to community organisations.
- Fees are payable either at the commencement of the course, or weekly
- Further details and guidance to follow when grants have been awarded.

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## SHEFFIELD CITY COUNCIL Cabinet Report

10

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**Report of:** Executive Director, Resources

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**Date:** 1 August 2012

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**Subject:** Sheffield Investment Fund

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**Author of Report:** Nalin Seneviratne – Director of Property & Facilities  
Management Services 0114 273 4120

Eugene Walker – Director of Finance  
0114 273 5872

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### **Summary:**

This report sets out proposals on how Sheffield City Council can lead in taking a strategic and innovative approach to the use of its property asset base to develop an Investment Fund, 'The Sheffield Investment Fund'.

The ultimate objective and targeted output of this fund will be to assist in the regeneration and sustainable growth of the local economy with associated benefits to the workforce and people of Sheffield.

The City has the ability to realise cash from the large number of surplus property assets it currently owns, and for a period of time, put that cash to work, through an investment fund. The fund would work by making investments in projects that will unlock viable economic development schemes to assist business, job growth and regenerate the City.

This fund would work alongside and be complimentary to the recently approved South Yorkshire Development Fund and Transport and Housing Fund. Unlike these funds, which are managed outside the City Council, the Sheffield Investment Fund would be integrated with the Council's Capital Programme and be directly controlled by the City Council.

### Drivers

- To make better use of the Council's assets, consistent with the corporate asset management plan.

- Recognition that proactive steps need to be taken by the Council to promote economic advancement in the City.
- To offer a solution to the current challenges in the development finance market in which conditions continue to worsen.
- Viable projects in the City have stalled due to current difficulties in accessing private finance.
- The need to be complementary to the Local Enterprise Partnership (LEP) and linked initiatives.
- To demonstrate that Sheffield is open for business, and for the public sector to meet the private sector to achieve outcomes in the new economic climate.

#### What is the proposed structure of the fund?

- A revolving fund that is governed by the Council with options to use Fund Management expertise where appropriate all as a function of the Council's financial strategy.
- Integrated with the Council's financial strategy and Capital Programme.
- Financing of the Fund is to be obtained from some of the Council's low/zero yielding assets and matched with private sector funding, with the option of drawing in other public funding.
- The fund invests in economic projects to the extent needed to secure the necessary project funding from the private sector. As the project is developed out, the finance provided by the Fund is repaid including an appropriate return. The Fund is therefore a sustainable revolving fund thereby protecting the capital element of the Fund.
- The fund can be structured to work in partnership with other investment Funds at a City Region level, should the Council consider it strategically advantageous to do so in order to maximise benefit.

#### What are the benefits?

- Better use of surplus and underperforming assets that currently generate little financial benefit to the Council and therefore with minimal impact on the net revenue of the Council.
- An opportunity to directly influence economic activity in the City including the growth of Small and Medium Enterprises, social enterprise and inward investment.
- Raising the profile of the City and a clear demonstration to funders, developers and companies that the City is a proactive and positive place to do business.
- A structure that is consistent with emerging Government policy and, if shown to be effective in spending public funds, resulting in a better chance of securing more central government allocations for Regional Growth Fund etc in the future.
- The ability to provide synergy with and to add value or unlock other funding sources such as New Homes Bonus, Regional Growth Fund or JESSICA, (Joint European Support for Sustainable Investment in City Areas), linked to the South Yorkshire Development Fund already approved.

- This approach provides a funding route for viable projects thereby improving the success rate of projects made viable through other sources (such as grant funding, gap funding etc).

#### Which investments will the fund focus on?

The fund is expected to focus on six priority themes that are consistent with the Economic Strategies of both the City Council and the Local Enterprise Partnership and will invite projects which can support and drive growth in these areas:

- Advanced manufacturing & healthcare technologies
- Housing
- Retail and the experience economy
- Creative and digital
- Green and low carbon infrastructure
- Quality office space in the city centre

The fund could also support strategic land acquisition to assist in the above priorities (this may provide a first phase of project investment for the fund).

#### **Recommendations**

To establish the Sheffield Investment Fund as outlined in the report and as a result agree to delegate authority to the Executive Director of Resources, in consultation with the Cabinet Member for Finance and the Director of Legal Services to:

- a) Establish the fund through the capital programme on the basis that the fund will not normally be for “gap” funding, but will be for investment purposes, generating a cash return on the investment with a payback of the capital at the end of the term of the investment.
- b) To establish an appropriate governance structure.
- c) To establish the Fund’s Investment Strategy, project selection process and linkage, where appropriate, to the Sheffield City Region Investment Fund.
- d) To agree the procurement strategy and award if it is determined that the best way of delivering the output is by creating a special purpose vehicle or entering into a joint venture.
- e) To negotiate, agree and complete the legal agreements required to give effect to the above arrangements.
- f) To make any other decision required to enable the creation and operation of the Sheffield Investment Fund including the use of a Fund Manager, where deemed appropriate, as procured for the South Yorkshire Urban Development Fund.

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**Background Papers:**

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**Category of Report:** OPEN/~~CLOSED~~\*

**If Closed add – ‘Not for publication because it contains exempt information under Paragraph... of Schedule 12A of the Local Government Act 1972 (as amended).’**

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\* Delete as appropriate



## Statutory and Council Policy Checklist

|   |
|---|
| <b>Financial Implications</b>   |
| YES/NO      Cleared by: Eugene Walker   |
| <b>Legal Implications</b>   |
| YES/NO      Cleared by: Gillian Duckworth                                       |
| <b>Equality of Opportunity Implications</b>                                     |
| YES/NO      Cleared by: Julie Toner   |
| <b>Tackling Health Inequalities Implications</b>                                |
| NO  |
| <b>Human rights Implications</b>  |
| /NO:  |
| <b>Environmental and Sustainability implications</b>                            |
| NO  |
| <b>Economic impact</b>  |
| /NO   |
| <b>Community safety implications</b>  |
| /NO   |
| <b>Human resources implications</b>   |
| /NO   |
| <b>Property implications</b>  |
| /NO   |
| <b>Area(s) affected</b>   |
|   |
| <b>Relevant Cabinet Portfolio Leader</b>  |
| Cllr Bryan Lodge  |
| <b>Relevant Scrutiny Committee if decision called in</b>                        |
| Overview and Scrutiny Management  |
| <b>Is the item a matter which is reserved for approval by the City Council?</b> |
| YES   |
| <b>Press release</b>  |
| NO  |

## The Sheffield Investment Fund

### 1.0 SUMMARY

- 1.1 This report sets out proposals on how Sheffield City Council can lead in taking a strategic and innovative approach to the use of its property asset base to develop an Investment Fund, 'The Sheffield Investment Fund'.

The ultimate objective and targeted output of this fund will be to assist in the regeneration and sustainable growth of the local economy with associated benefits to the workforce and people of Sheffield.

The City has the ability to realise cash from the large number of surplus property assets it currently owns, and for a period of time, put that cash to work, through an investment fund. The fund would work by making investments in projects that will unlock viable economic development schemes to assist business, job growth and regenerate the City.

This fund would work alongside and be complimentary to the recently approved South Yorkshire Development Fund and Transport and Housing Fund. Unlike these funds, which are managed outside the City Council, the Sheffield Investment Fund would be integrated with the Council's Capital Programme and be directly controlled by the City Council.

### 1.2 Drivers

- To make better use of the Council's assets, consistent with the corporate asset management plan.
- Recognition that proactive steps need to be taken by the Council to promote economic advancement in the City.
- To offer a solution to the current challenges in the development finance market in which conditions continue to worsen.
- Viable projects in the City have stalled due to current difficulties in accessing private finance.
- The need to be complementary to the Local Enterprise Partnership (LEP) and linked initiatives.
- To demonstrate that Sheffield is open for business, and for the public sector to meet the private sector to achieve outcomes in the new economic climate.

### 1.3 What is the proposed structure of the fund?

- A revolving fund that is governed by the Council with options to use Fund Management expertise where appropriate all as a function of the Council's financial strategy.

- Integrated with the Council's financial strategy and Capital Programme.
- Financing of the Fund is to be obtained from some of the Council's low/zero yielding assets and matched with private sector funding, with the option of drawing in other public funding.
- The fund invests in economic projects to the extent needed to secure the necessary project funding from the private sector. As the project is developed out, the finance provided by the Fund is repaid including an appropriate return. The Fund is therefore a sustainable revolving fund thereby protecting the capital element of the Fund.

The fund can be structured to work in partnership with other investment Funds at a City Region level, should the Council consider it strategically advantageous to do so in order to maximise benefit.

#### 1.4 What are the benefits?

- Better use of surplus and underperforming assets that currently generate little financial benefit to the Council and therefore with minimal impact on the net revenue of the Council.
- An opportunity to directly influence economic activity in the City including the growth of Small and Medium Enterprises, social enterprise and inward investment.
- Raising the profile of the City and a clear demonstration to funders, developers and companies that the City is a proactive and positive place to do business.
- A structure that is consistent with emerging Government policy and, if shown to be effective in spending public funds, resulting in a better chance of securing more central government allocations for Regional Growth Fund etc in the future.
- The ability to provide synergy with and to add value or unlock other funding sources such as New Homes Bonus, Regional Growth Fund or JESSICA linked to the South Yorkshire Development Fund already approved.
- This approach provides a funding route for viable projects thereby improving the success rate of projects made viable through other sources (such as grant funding, gap funding etc).

#### 1.5 Which investments will the fund focus on?

The fund is expected to focus on six priority themes that are consistent with the Economic Strategies of both the City Council and the Local Enterprise Partnership and will invite projects which can support and drive growth in these areas:

- Advanced manufacturing & healthcare technologies
- Housing

- Retail and the experience economy
- Creative and digital
- Green and low carbon infrastructure
- Quality office space in the city centre

The fund could also support strategic land acquisition to assist in the above priorities (this may provide a first phase of project investment for the fund).

## **2.0 WHAT DOES THIS MEAN FOR SHEFFIELD PEOPLE**

- 2.1 The proposals in this report would assist in the development and promotion of Sheffield's economy with investment in projects that among other things lead to environmental improvements and growth in jobs, thereby assisting in the sustainable development of the economic, environmental and social well being of the City and its inhabitants.
- 2.2 The proposals also ensure that Sheffield people benefit from the improved use of the City's property asset base to assist with their sustainable well being.

## **3.0 OUTCOME AND SUSTAINABILITY**

- 3.1 As for the South Yorkshire Development Fund, previously agreed by Cabinet, the proposals set out here will establish a recyclable investment fund within the City of Sheffield. This too will facilitate private and public sector investment in projects that will promote job creation and economic growth. This will directly support the Council's strategic objective to create a Strong and Competitive Economy.
- 3.2 Sustainable outcomes would be set through the Investment Strategy to guide investment decisions ensuring that such decisions meet the outcomes of the Corporate Plan. Whilst the fund needs to make a financial return on investments, its purpose is primarily to assist in driving the economic growth and prosperity of the City and to respond to the City Region's needs rather than competing with the private sector. Therefore a series of quantifiable outputs that can be targeted in order to deliver this will be produced. These will then be used as an important part of the project selection mechanism, and will ensure that best value is delivered against measurable criteria.

The actual target categories and numbers will need to be worked up during the fund development, and will require input from all Council and Partner working groups. Whilst there is likely to be an aspiration to aim for the highest possible number of outputs, it must be remembered that the fund must still be able to make a return to keep its integrity and to maintain the potential for a private sector investor to join at fund level, therefore an achievable set of outputs per £ invested would be agreed in an attempt to find this balance.

The output targets will then feed into the project selection process and also the

pricing structure.

Example outputs that may be considered are as follows

- Number of jobs created
- Area of brown field land remediated
- Number of affordable houses produced
- Number of private / private rented houses produced
- Carbon reduction and amount of space created to environmentally sustainable standards.

## **4.0 BACKGROUND**

### **4.1 Objective of the Sheffield Investment Fund**

The objective of the fund is to use the City's asset base more effectively to deliver sustainable economic growth and increased prosperity for Sheffield, engaging the private sector more widely.

- 4.2 This paper follows work carried out by the Property Service of the Council reviewing how it could make best use of the surplus asset base for furthering the objectives of the Corporate Plan which considered taking a different approach to the funding of the capital programme and driving economic growth.

In common with all public sector organisations Sheffield City Council faces severe financial constraints. However, the demand for public services and the need to act as catalysts for change and growth is undiminished. It is hence incumbent upon the Council to explore all opportunities to promote growth and prosperity for the City.

Access to capital to drive regeneration and growth from traditional sources such as central government agencies is very much reduced. Similarly the nature and profile of opportunities which the private sector has the willingness and ability to fund has changed dramatically in recent years presenting further challenges to the promotion of economic activity.

The Council does however, have a significant asset base which at present delivers modest benefit to the City's service priorities and a very modest financial return. This report considers how these assets could be better utilised to address some of these problems. This report also seeks to provide an understanding of how a fund structure can work and to objectively appraise its ability to deliver investment in the City. This paper outlines the principles of operation and the potential sources of funding from both the public and private sector.

#### 4.3 Why An Investment Fund?

In recent history, assistance and resource (both intellectual and financial) has been provided by central government through entities such as the Regional Development Agencies and the Homes and Communities Agency to assist local authorities in delivering strategic frameworks. Such support is now significantly reduced and local authorities are required to source their own intellectual and economic resources and deliver projects using their own initiative.

The principle is that the fund will be created with SCC funds through the management and divestment of assets and used as a vehicle both to lever private sector finance, either at a fund or project level, and to maximise the chances of attracting any available central government funding streams and to make best use of those fund streams through initiatives such as Growing Places Fund, Regional Growth Fund, New Homes Bonus and Business Rate Retention.

It is essential that the fund encourages and can support a structured pipeline of projects to be delivered, creating a critical mass of appropriate projects, access to those projects and finance, which makes it of a size that becomes of interest to the wider market. This structured approach will allow a more efficient resourcing structure and ensure the city can access the best quality investment and delivery advice in a cost efficient manner.

Over time, developers and project sponsors will consider the fund in the first instance when structuring projects, and therefore it is reasonable to expect the project pipeline to strengthen over time.

#### 4.4 Sheffield City Region Investment Fund

In summary, the Sheffield Investment Fund is designed to be complementary to an overarching fund for the City Region which will be implemented on a City Region basis through a partnership approach. This has been given a working title of the Sheffield City Region Investment Fund (SCRIF) and has already been agreed by Cabinet. In reality this will be a collection of complementary funding streams, each of which will have its own objectives and emphases. The SCRIF is the framework through which each of these individual elements is brought together to align objectives and optimise outputs for the Sheffield City Region.

The Sheffield Investment Fund whilst complementing and forming part of the SCRIF, will invest in the local priorities decided by Sheffield City Council, for the benefit of Sheffield and will invest on a commercial basis, seeking to protect the original capital invested and achieve a financial return along with other social and economic benefits. The Sheffield Investment Fund is not however, dependent upon the SCRIF being established to operate and can be formed and operate in advance of the SCRIF.

#### 4.5 The Challenging Market Context

The current market for development finance remains incredibly challenging. A review of the first quarter for 2012 below demonstrates that conditions continue to worsen.

Maximum loan to value ratios continue to fall, bank margins continue to rise and the number of institutions actively lending for development continues to fall. Where finance is available it will generally seek prime assets in prime locations with a very low risk profile.

Other sources of funding are “filling the gap” created by reduced bank financing. All seek preferred positions and exit fees, issues that the Sheffield Investment Fund would also need to consider.

#### 4.6 Priorities for Investment

The following themes have been identified by officers as being the key priorities for economic growth in the city and hence priorities for investment from both the public and private sector. These are consistent with the Sheffield Economic Masterplan prepared by Creative Sheffield and consistent with many of the findings of the independent report by Centre for Cities “Advancing Ambitions: Creating a Sustainable Economic Future for Sheffield” published in October 2011.

##### Key Investment Themes

The proposed themes are as follows:

- Advanced manufacturing & healthcare technologies
- Housing
- Retail & the experience economy
- Creative and Digital Industries
- Green and low carbon Infrastructure
- Quality office space in the City Centre

It will be a next step for a “pipeline” of projects to be developed and assessed for investment. An assessment has been made for the potential projects that currently exist that may be the subject of investment from this fund. At this stage such information is commercially sensitive as there is as yet no decision of the City Council either to approve the development of this fund or indeed to invest in particular projects. Nor has there been any agreement from potential investors or project sponsors. Therefore the assessment of such projects has been made available to members, for information, in a separate closed report.

#### 4.7 Fund Structure

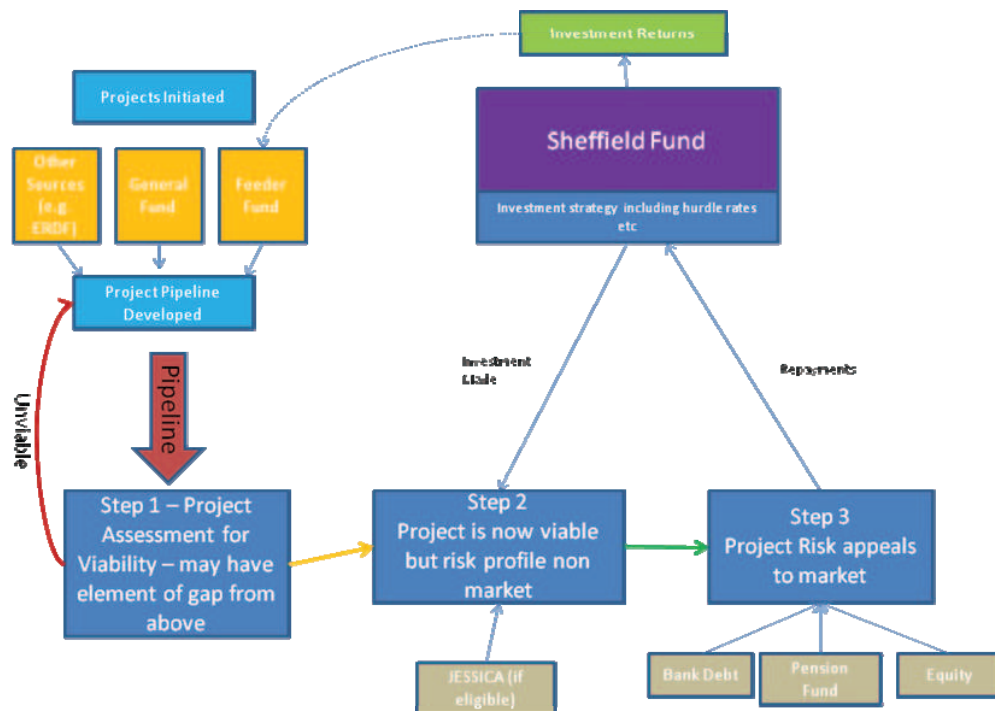
Experience has shown that the projects that deliver the types of outputs that SCC will require from its investments often have historically allocated gap funding, or sunk gap funding and require further investment to deliver the next stage. This funding has typically come from ERDF programmes and the former Regional Development

Agencies.

The Sheffield Investment Fund is not primarily intended to provide gap funding. Therefore it is important to understand the basis on which it can invest, the other funding sources which may be available and how projects will flow towards the fund.

The Sheffield Investment Fund (SIF) will take a commercial stance and will step in where projects are viable but are unable to secure bank finance because the project risk is different to that which is currently acceptable to the banks. Lending will be on commercial terms. The quid pro quo is that the projects will be asked to deliver specified outputs to align them to SCC's economic strategy, thus balancing the risk: benefit ratio to SCC. The initial capital invested in the fund from asset sales will be largely protected and may be bolstered by investments that simply produce a strong financial return.

It is expected that on many occasions the funds will work together with other funding sources such as ERDF, JESSICA, Growing Places etc. which will assist in bringing the projects to a viable position where the Sheffield Investment Fund may then invest.



4.8 What does the Sheffield Investment Fund look like?

The SIF will be structured as a commercial fund. There is an option to use the services of an independent professional Fund Manager and this capacity has been built into the South Yorkshire Development Fund recently approved by Cabinet. However, particularly in the early stages the Council will simply use internal resource to ensure alignment with the Council's financial strategy. This will require an Investment Strategy that will set out the objectives of the fund, determine the rate of return and risk profile that the fund targets, as well as the type of investment the fund



makes.

The SIF will be required to invest in line with State Aid regulations and therefore will be investing at a market rate (subject to obtaining any notification to the contrary). It will aim to deliver a commercial return to its investors. The fund is not primarily about gap funding, but assisting projects that may require a more considered financing solution than the market can offer on its own.

SIF investments may be in the form of debt, equity or guarantee, and may take first or subordinated security (which will affect the rate of return).

Projects for investment will be selected not only on the basis of a sound business case, but also for the regenerative, economic and wider social or environmental benefits that they will deliver for the city.

The fund is expected to have an initial life of 10 years, with capital and potentially returns above a certain level being retained by the fund for reinvestment during this period (a rotating or 'evergreen' fund).

#### 4.9 Interaction with City Region Funds

It is proposed that the Sheffield Investment Fund should co-exist with and be complementary to the emerging Sheffield City Region fund structure. The City Region fund will clearly focus on those projects which will support the economic advancement of the City Region as a whole rather than specifically focussing on Sheffield. The City Region fund will be governed at a City Region level. It is envisaged that the investments strategies of all funds should be complimentary but are likely to have differing emphases. However, notably some of these strategies will be co-terminus i.e. favouring a certain project in a certain location e.g. Sheffield and as such co-investment remains a strong opportunity.

The Sheffield Investment Fund will invest on a commercial basis, aiming for a cashable return whilst protecting the capital which has originated through the sale of City Council owned assets. The City Region fund is likely to provide a structure which is capitalised through alternative sources from Europe and Central Government. The nature of the investments it makes is likely to be of a different nature to the Sheffield Investment Fund although some may be mutually beneficial. City Region funds may also grant fund projects which, whilst important, do not generate a cashable return.

It is possible that the Sheffield Investment Fund could invest in LEP led projects across the City region, which may have multiple income streams, provided the projects fit the Sheffield Investment Fund's investment strategy. It is similarly possible that the Sheffield Investment Fund will invest in projects which have been made viable with grant funding from other sources within the Sheffield City Region Investment fund (SCRIF).

The proposed structure of the SCRIF enables an overview of the economic development priorities across the City Region, the various funding streams available to support these priorities, but importantly allows for local decision making for local authority controlled funding.

#### 4.10 Benefits of the Sheffield Investment Fund

In occupying a position in the funding market that banks and the private sector have retracted from or reduced their capacity, the SIF has the potential to leverage a considerable amount of additional development money in the city.

Because projects will need to be viable, a return will be created from investment by the fund. In addition, projects will need to accord with the Investment Strategy, which will ensure that they deliver beneficial outputs to the city.

These benefits are only maximised through a cohesive approach by SCC, resulting in a critical mass that then becomes attractive to institutional investors and has the capacity to attract and promote other sources of public funding. Whether they will wish to invest at project or fund level, access to the funds that they have available will open up as the funding approach matures.

#### 4.11 Governance and Decision Making

Further work is required on this. The key requirement will be to ensure that this aligns with the Council's capital programme and strategic priorities. The SIF is intended to be directly controlled by the Council, not be a separately managed external fund, although the nature of some investment appraisals may require the use of external fund manager advice. Further work on the arrangements will be agreed with the Cabinet member for Finance.

### 5.0 FINANCIAL & RESOURCE IMPLICATIONS

#### 5.1 The source of Funds

The source of capital for the fund is a series of assets that are earmarked for disposal. The current disposal programme stretches over a number of years in order to allow the assets to be improved and prepared for divestment and to ensure best value is received. All of the cash from these assets will not therefore be available at day 1. A current estimate of this is as follows:-

| <u>Projected Receipts Programme</u> |         |         |         |         |         |        |              |
|-------------------------------------|---------|---------|---------|---------|---------|--------|--------------|
| £m                                  | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | Future | <b>Total</b> |
| Unallocated Receipts b/forward      | 25.2    | 16.8    | 0.0     | 11.0    | 20.2    | 43.9   | <b>25.2</b>  |
| Anticipated Capital Receipts        | 15.7    | 11.6    | 13.5    | 16.6    | 23.7    | 54.6   | <b>135.7</b> |
| Required for SCC Capital Programme  | -24.1   | -28.4   | -2.5    | -7.4    | 0.0     | 0.0    | <b>-62.4</b> |
| Available receipts to carry forward | 16.8    | 0.0     | 11.0    | 20.2    | 43.9    | 98.5   | 98.5         |

- This indicates (the bottom row) that starting in 2013/14, but not before, some funding may become available to the Fund.

- Additional Council capital programme needs, not yet identified, will be required to be funded in the later years.
- The receipts projections are subject to a considerable body of pre-disposal work being undertaken to prepare sites for market, and to the strength of the market itself.
- The successful disposal of surplus assets is essential to the creation of an investment capacity.

## 5.2 Example of funding for a sample project

A sample project could be a mixed use development in the city centre

- A viable project where the developer needs £2m funding to bridge a gap
- The scheme is expected to be completed and sold to long term investors three years after its construction
- The Council decides that it is supportive of the scheme and its tenor, and offers a loan of £2m at suitable interest rates for the three year period. The capital amount is repaid after 3 years. An element of upside may apply.

After 3 years the loan is repaid to the Council and is then available again for further investment. In this sense the scheme is a 'revolving' fund.

## 6.0 LEGAL IMPLICATIONS

- 6.1 In implementing these proposals reliance can be placed on the new 'general power of competence' (the 'GPC') conferred on the Council by Section 1 (1) of the Localism Act 2011.
- 6.2 Section 1(1) came into force on 18<sup>th</sup> February 2012 and provides that, "*A local authority has power to do anything that individuals generally may do.*" This is clearly a very broad power, which is subject to existing or future statutory limitations. Whilst no statutory limitations have at this point been identified, legal input will be required when the exact details of the working of the fund have been agreed, prior to its implementation
- 6.3 The procurement of any goods, works or services must be undertaken in accordance with all relevant provisions of the Council's Constitution and Contract Standing Orders in addition to the European procurement rules and any investments must be made in accordance with State Aid regulations.
- 6.4 The need for any special purpose vehicles (SPVs) or joint ventures is yet to be determined and expert legal advice will be sought to determine the best option for Sheffield where required.
- 6.5 The governance arrangements and the Investment Board / Management Committee are yet to be finalised. The Council will need to satisfy itself that adequate arrangements are in place to protect its position taking appropriate legal advice at the time.

## 7.0 RISKS

### 7.1

1. **Risk** - The fund acts against the objectives of the Council or control is lost

**Mitigation** – The fund has to invest in accordance with Investment Strategy that the Council sets. Finance provided by the Council to the fund is against specific known projects and therefore directly linked to that project being approved by the Council. The Council can therefore reserve the right to sign investments off on a project by project basis

2. **Risk** - Negative revenue impact on the Council

**Mitigation** - The assets to be invested currently generate a negligible return. One of the fund's aims will be for any interest on bridging finance provided by the Council to be repaid by profits that the fund makes. A facility for the whole fund is established at the outset but funds are only drawn into the fund as required. However, revenue provision will need to be made to cover timing differences between the drawdown of funds and receipt of investment returns

3. **Risk** - This is new, has it been done before?

**Mitigation** – The structure is similar to *Evergreen* established in the North West between 16 local authorities and is consistent with other structures being looked at by Local Authorities elsewhere and new guidance from HMT/HCA

4. **Risk** - Time and cost of setting up

**Mitigation** – The fund is set up with Council funding initially to take account of any immediate project opportunities, with private sector brought in to the fund over time. Professional costs are primarily linked to finance raised rather than consulting fees

5. **Risk** - Sufficient suitable projects fail to come forward for investment

**Mitigation** – An initial due diligence exercise has been undertaken and established there are projects which such a fund could support. However, these are currently limited in number and it will be important to develop a strategy to promote the fund and develop and promote suitable projects

6. **Risk** - Project partners fail to repay investments on time

**Mitigation** – A professional fund manager could be appointed, if considered necessary, to undertake project underwriting and loan monitoring to mitigate

this risk. A Debt management service could also be provided to work out any bad loans in as efficient a manner as possible. Alternatively the private partner investing in the fund could bring the fund management capability.

## **8.0 ALTERNATIVE OPTIONS CONSIDERED**

- 8.1 The alternative option would be not to create an investment fund to assist economic growth using our own asset base as a source of funds and to leave such matters to the market.
- 8.2 The current economic conditions and restrictions on the availability of bank finance mean that projects that are otherwise viable are stalled due to that lack of funding and that is the state of the current market.
- 8.3 We could restrict our activity of investment in such projects to the South Yorkshire Development Fund. However, the creation of a Sheffield Investment Fund would be complimentary to other funds created in the region, and would be focussed on Sheffield.

## **9.0 REASONS FOR RECOMMENDATIONS**

- 9.1 The underlying benefit of this proposal is that it utilises the Council's asset base in a measured way to assist economic growth and progress in the City where, but for the appropriate funding being available, there are viable projects that can help to deliver jobs and other economic activity.
- 9.2 It is proposed that through the Capital Programme Approval process, including subsequent Cabinet approvals, the Council establishes the Sheffield Investment Fund to help progress the priorities of the Corporate Plan.

## **10.0 RECOMMENDATIONS**

- 11.1 That Cabinet agrees –

To establish the Sheffield Investment Fund as outlined in the report and as a result agree to delegate authority to the Executive Director of Resources, in consultation with the Cabinet Member for Finance and the Director of Legal Services to:

- a) Establish the fund through the capital programme on the basis that the fund will not normally be for "gap" funding, but will be for investment purposes, generating a cash return on the investment with a payback of the capital at the end of the term of the investment.
- b) To establish an appropriate governance structure.
- c) To establish the Fund's Investment Strategy, project selection process and linkage, where appropriate, to the Sheffield City Region Investment Fund.

- d) To agree the procurement strategy and award if it is determined that the best way of delivering the output is by creating a special purpose vehicle or entering into a joint venture.
- e) To negotiate, agree and complete the legal agreements required to give effect to the above arrangements.
- f) To make any other decision required to enable the creation and operation of the Sheffield Investment Fund including the use of a Fund Manager, where deemed appropriate, as procured for the South Yorkshire Urban Development Fund.

# Sheffield City Council Equality Impact Assessment



[Guidance for completing this form is available on the intranet](#)

Help is also available by selecting the grey area and pressing the F1 key

**Name of policy/project/decision:** Sheffield Investment Fund

**Status of policy/project/decision:** New

**Name of person(s) writing EIA:** Nalin Seneviratne

**Date:** 12 July 2012

**Service:** Property Services

**Portfolio:** Resources

**What are the brief aims of the policy/project/decision?** To assist economic development of the City of Sheffield

**Are there any potential Council staffing implications, include workforce diversity?** No

Under the [Public Sector Equality Duty](#), we have to pay due regard to: “Eliminate discrimination, harassment and victimisation, advance equality of opportunity and foster good relations.” [More information is available on the council website](#)

| Areas of possible impact                      | Impact   | Impact level | Explanation and evidence (Details of data, reports, feedback or consultations. This should be proportionate to the impact.)   |
|---|----------|--------------|---|
| Age   | Neutral  | Low          |   |
| Disability                                    | Neutral  | Low          |   |
| Pregnancy/maternity                           | Neutral  | Low          |   |
| Race  | Neutral  | Low          |   |
| Religion/belief                               | Neutral  | Low          |   |
| Sex   | Neutral  | Low          |   |
| Sexual orientation                            | Neutral  | Low          |   |
| Transgender                                   | Neutral  | Low          |   |
| Carers  | Neutral  | Low          |   |
| Voluntary, community & faith sector           | Neutral  | -Select-     |   |
| Financial inclusion, poverty, social justice: | Positive | Medium       | The ability for the City to make use of its asset base to assist economic development should have a positive impact on assisting with improvements in financial inclusion through the policy aims to help create more jobs in the city. |
| Cohesion:                                     | Neutral  | Low          |   |
| Other/additional:                             | -Select- | -Select-     |   |

| Areas of possible impact | Impact | Impact level | Explanation and evidence<br>(Details of data, reports, feedback or consultations.<br>This should be proportionate to the impact.) |
|--------------------------|--------|--------------|---|
|                          |        |              |   |

**Overall summary of possible impact (to be used on EMT, cabinet reports etc):** None

If you have identified significant change, med or high negative outcomes or for example the impact is on specialist provision relating to the groups above, or there is cumulative impact you **must** complete the action plan.

**Review date:**                      **Q Tier Ref**                      **Reference number:**

**Entered on Qtier:** -Select-                      **Action plan needed:** -Select-

**Approved (Lead Manager):**                      **Date:**

**Approved (EIA Lead person for Portfolio):**                      **Date:**

**Does the proposal/ decision impact on or relate to specialist provision:** no

**Risk rating:** None

## Action plan

| Area of impact | Action and mitigation | Lead, timescale and how it will be monitored/reviewed |
|----------------|-----------------------|---|
| -Select-       |                       |   |
| -Select-       |                       |   |
| -Select-       |                       |   |
| -Select-       |                       |   |
| -Select-       |                       |   |
| -Select-       |                       |   |
| -Select-       |                       |   |
| -Select-       |                       |   |
| -Select-       |                       |   |
| -Select-       |                       |   |
| -Select-       |                       |   |
| -Select-       |                       |   |
| -Select-       |                       |   |

**Approved (Lead Manager):**                      **Date:**

**Approved (EIA Lead Officer for Portfolio):** Julie Toner **Date:** 17/07/2012





## DRAFT SHEFFIELD CITY COUNCIL Cabinet Report

11

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**Report of:** Richard Webb, Executive Director - Communities

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**Date:** 1 August 2012

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**Subject:** Approval for the procurement strategy, specifications and contract award for Healthwatch Sheffield

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**Author of Report:** Kate Register,  
Development Manager, Quality & Involvement  
Alex Davey, Project Officer, Commercial Services

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### Summary:

- The Health and Social Care Act 2012 stipulates that Healthwatch will be the new consumer champion for both health and social care. This will replace local LINKs. It will exist in two distinct forms – Local Healthwatch, at local level, and Healthwatch England, at national level.
- The proposals in the Health and Social Care Act give the Local Authority a duty to establish, in a locally determined way, organisation/organisations to deliver the existing functions of LINK plus some new responsibilities around information and advice for citizens and specialist independent advocacy for NHS complaints.
- It is proposed that we competitively tender for Healthwatch Sheffield under two lots; the first lot will deliver the core Healthwatch requirements; the second lot will deliver the NHS complaints advocacy service. This gives the best possibility of a strong, professional service that complements the overall Healthwatch vision. The procurement exercise will make it explicit that potential bidders need to demonstrate how they will scale up/down their proposed service according to the resources to be made available by the Department of Health.
- This report seeks approval for all aspects of the Procurement strategy, specifications and delegated decision making at contract award for Healthwatch Sheffield.

- Further direction from the Department of Health is expected around the funding formula and the role of Healthwatch with respect to children's social care issues
- 

#### **Reasons for Recommendations:**

- We have a duty to obtain 'Best value' in any service we deliver.
- Stakeholders have indicated that Healthwatch needs to provide innovative ways to gather and include their views. Tendering will maximise opportunities for creativity and innovation in the delivery of Healthwatch.
- Sheffield City Council Standing orders indicate the requirement to tender for services where the contract value exceeds £50k.
- UK/European regulations require that the procurement process is open, fair, transparent and non-discriminatory and that supply contracts over £173k must be subject to competitive tender.

#### **Recommendations:**

It is recommended that Cabinet:

- approves the procurement strategy and draft specification for Healthwatch Sheffield and the advocacy service.
- delegates to the Executive Director of Communities in consultation with the Cabinet Member with the Health, Care and Independent Living Portfolio and the Director of Commercial Services the decision to award the contracts and to determine the terms and conditions upon which the contracts will be awarded.
- delegates to the Executive Director of Communities in consultation with the Cabinet Member with the Health, Care and Independent Living Portfolio the ability to take action which he feels is necessary to achieve the outcomes outlined in this report.

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#### **Background Papers:**

- Equality Impact Assessment
  - Healthwatch Pathfinder for Sheffield report
  - Procurement Strategy Approval Form
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Category of Report: OPEN

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**Statutory and Council Policy Checklist**

|   |
|---|
| <b>Financial Implications</b>   |
| YES Cleared by:E Orme   |
| <b>Legal Implications</b>   |
| YES/Cleared by: David Hollis  |
| <b>Equality of Opportunity Implications</b>                                     |
| YES Cleared by: B Coukham   |
| <b>Tackling Health Inequalities Implications</b>                                |
| YES/NO  |
| <b>Human rights Implications</b>  |
| YES/NO:   |
| <b>Environmental and Sustainability implications</b>                            |
| YES/NO  |
| <b>Economic impact</b>  |
| YES/NO  |
| <b>Community safety implications</b>  |
| YES/NO  |
| <b>Human resources implications</b>   |
| YES/NO  |
| <b>Property implications</b>  |
| YES/NO  |
| <b>Area(s) affected</b>   |
|   |
| <b>Relevant Cabinet Portfolio Leader</b>  |
| Councillor Mary Lea   |
| <b>Relevant Scrutiny Committee if decision called in</b>                        |
| Healthier Communities and Adult Social Care                                     |
| <b>Is the item a matter which is reserved for approval by the City Council?</b> |
| YES/NO  |

|                      |
|----------------------|
|                      |
| <b>Press release</b> |
| YES/NO               |

## Approval for the Procurement Strategy of Healthwatch Sheffield

### 1.0 SUMMARY

- 1.1 As part of the Government Health reforms, a commitment has been made to strengthening the patient, service user and public voice in health and care services. (The Government white paper *Equity and excellence: Liberating the NHS* sets out that vision for the NHS; *Vision for Adult Social Care, Working Together to Safeguard Children* and *Update of the Carers Strategy* sets out the vision for social care).
- 1.2 The Health and Social Care Act 2012 makes provisions for new commissioning and funding arrangements in the UK including the establishment of local and national Healthwatch. Healthwatch England will be established from 1<sup>st</sup> October 2012, and Healthwatch Sheffield will be established from 1<sup>st</sup> April 2013.
- 1.3 The Health and Social Care Act gives the Local Authority a duty to establish, in a locally determined way an organisation/organisations to deliver the existing functions of LINK plus some additional responsibilities around information and advice for citizens and specialist independent advocacy for NHS complaints.
- 1.4 The current arrangements for Local Involvement Networks (LINKs) will cease on 31st March 2013. LINKs were established in 2008 as an independent network representing the views of users of local health and social care services to commissioners. The LINK is made up of volunteers, led by its participants and managed by an elected Governing Board. The LINK is supported by a host organisation, which in Sheffield is Voluntary Action Sheffield.
- 1.5 Healthwatch Sheffield will continue to have the same powers and obligations as LINKs, which are:
  - Voice and influence role; representing the views of local children, young people and adults with health and social care providers.
  - Quality monitoring role; including powers to conduct enter and view visits to places of service provision.

The Act makes provision for Healthwatch to have some additional responsibilities which include:

- The provision of an independent complaints advocacy service for individuals who require some support progressing a complaint about NHS services.
- The ability to feed up to Healthwatch England local views on health and social care in order for Healthwatch England to present a national viewpoint about issues.
- A seat on the local Health and Wellbeing Board, in order to influence local decisions in regard to health and social care.

- Provide an independent advice and information service, or signposting service on health and social care locally.
- 1.6 Healthwatch Sheffield will be set up as an independent entity that will decide its own priorities and work programme
  - 1.7 Additional funding for the new responsibilities will transfer across to Local Authorities for the financial year 2013/14.
  - 1.8 This report seeks approval to go out to competitive tender using the restricted procedure to let an overarching Healthwatch Sheffield element, alongside a separate specialist complaints advocacy element. In effect one tender to include two lots. This was determined to be the best strategy through an options appraisal (Appendix D) and means that any provider wishing to deliver both lots only has to complete one pre-qualifying questionnaire.
  - 1.9 The exact nature and amount of the funding allocation will not be known until December 2012. Prospective providers will need to demonstrate flexible delivery plans, which can be scaled up or down, to respond to the actual level of funding received.
  - 1.10 This report seeks approval for the Procurement strategy, specifications and delegated decision making at contract award for Healthwatch Sheffield.

**2.0 WHAT DOES THIS MEAN FOR SHEFFIELD PEOPLE?**

- 2.1 Sheffield City Council, together with Sheffield LINK and the Sheffield Host (Voluntary Action Sheffield) together applied to the Department of Health to become a Pathfinder. The Sheffield Pathfinder proposal outlined the way we would work in Sheffield to develop a local vision and model for Sheffield based on the requirements of the Health and Social Care Act and on Sheffield stakeholder views.
- 2.1 Sheffield City Council, together with Pathfinder colleagues adopted a co-production approach to the development of the vision (see below) specifications (see **appendix A and B**) and procurement process for Healthwatch Sheffield. This was done via workshops and events held as part of the Pathfinder to enable key organisations, groups and citizens to shape proposals (see **appendix C** for details of how the engagement took place). Views and conclusions expressed have been used to directly influence and produce the vision, specification and procurement process within legal parameters. Conclusions reached early on have been tested with stakeholders to ensure all the plans accurately reflect local views.
- 2.2 The vision that stakeholders have produced is set out below. The yellow highlights indicate the 'golden thread' approach, whereby stakeholder views have directly contributed to the vision produced.

**Sheffield Vision for Healthwatch**

- Sheffield Healthwatch will be a **strong local consumer voice** that **makes a difference** to Health and Social Care provision on behalf of the children, young people and adults of Sheffield.
- Sheffield Healthwatch will be a **network of networks** that builds on the work of LINK.
- It will **expand and utilise the existing expertise** of third sector organisations and groups of children, young people and adults in Sheffield.
- It will provide a mechanism for **diverse voices** across Sheffield to be heard and ensure that where there are children, young people or adults who are seldom heard, Healthwatch will **provide innovative ways** to gather and include their views.
- It will be a **respected and credible** organisation that is unafraid to challenge service providers and commissioners.
- It will bring together robust, **evidence based local intelligence** that influences key decision making for Health and social care.
- It will ensure that every individual who approaches Healthwatch for information and advice, receives **timely and good quality information** from Healthwatch or one of its signposting organisations.
- It will ensure **complaints advocacy** for NHS complaints is available for all Sheffield children, young people and adults who request that support. (From April 2013)
- Sheffield Healthwatch will be known within the city with an **excellent communications strategy**.

2.3 The model of a network of networks is illustrated on the following page. This describes an agreed model where the whole network represents Healthwatch Sheffield and the hub contract carries out a co-ordination function for the whole.

- 2.4 The proposal for Healthwatch Sheffield is set out under four key objectives which Sheffield City Council have described in more detail in service specifications (**Appendix A and B**):
- To establish an approach to public voice, information provision, support and advocacy in health and social care which is integrated and embedded in networks across the city of Sheffield.
  - All children, young people, adults and communities in Sheffield will have equal access to the support and information they need to make health and social care choices which meet their individual needs.
  - Provision of a transparent, accountable and non-bureaucratic governance structure for Sheffield Healthwatch which places public voice at the heart of local health, social care and public health decision making and commissioning.
  - Establish a Healthwatch that is an effective 'critical friend' of the Clinical Commissioning Group, Sheffield City Council, the new Health & Wellbeing Board and providers of local health, social care and public health services, using the existing powers of LINK and developing a strong relationship with Sheffield's Health Scrutiny arrangements.
- 2.5 The service specifications (**Appendix A and B**) have been designed to set out clear principles, standards and outcomes but to allow potential bidders for the contract flexibility and scope in designing the most innovative, effective and creative way to provide a service that adheres to those principles. This was in direct response to stakeholder input and feedback.
- 3.0 EQUALITY CONSIDERATIONS**
- 3.1 An equality impact assessment has been completed that has been informed by comments made during the stakeholder involvement exercises. The specification and tender process have also been informed by stakeholder contributions.
- 3.2 The proposed model maximises the opportunities for every Sheffield citizen to take part in Healthwatch Sheffield and have their voice heard. The coproduced vision has equality of access and diversity enshrined as a principle.
- 3.3 The new Healthwatch Sheffield organisation will become a corporate body and therefore have public sector duties and responsibilities including compliance with the Equality Act.



- 3.4 Stakeholder involvement in equality impact assessment has directly influenced the proposed procurement strategy and plans. For example, additional tender support events have been held by Commercial Services to encourage smaller organisations with less experience to be involved.
- 3.5 The stakeholder engagement plan was designed to involve a wide range of citizens and organisations. A range of creative mechanisms was employed to ensure that everyone had an accessible opportunity to participate.

#### **4.0 LEGAL IMPLICATIONS**

- 4.1 As stipulated in the Health and Social Care Act 2012, Healthwatch will be the new consumer champion for both health and social care. It will exist in two distinct forms – Local Healthwatch, at local level, and Healthwatch England, at national level.
- 4.2 The Act does not allow for a host arrangement, unlike the arrangements for establishing LINKs which stipulated that a host arrangement be put in place.
- 4.3 The Act stipulates that local authorities have a duty to establish a local Healthwatch in their area. However, there is considerable freedom for a local authority to determine the appropriate approach in their area, taking into account the local situation and stakeholder opinion but will be subject to some limitations within regulations that are yet to be published..
- 4.4 The local Healthwatch will be held accountable for the public money used to establish and run it by publishing an annual report.
- 4.5 The local Healthwatch will be established as a corporate body, but this could be done by an existing organisation(s) in a range of different ways to be determined locally provided contractual arrangements for providing the Healthwatch are made with a social enterprise. This restriction does not apply in relation to the advocacy service
- 4.6 Healthwatch England does not have a regulatory role with respect to local Healthwatch, but can provide advice and support for a local Healthwatch.
- 4.7 The Department of Health has delayed the start date for Healthwatch until 1<sup>st</sup> April 2013 from the original date of 1<sup>st</sup> October 2012. LINKs funding will continue until 31<sup>st</sup> March 2012 and the host contract with VAS will be extended until that time. A period of transition is planned between LINK and the new provider between 2<sup>nd</sup> January and 1<sup>st</sup> April 2013. Healthwatch England will be established in October 2012.
- 4.8 The Department of Health is currently undertaking consultation around the development of the regulations. A response to the consultation will be published in July, but the publication of the regulations themselves is not scheduled to be until October 2012. No draft regulations will be

available before that date.

- 4.9 The attached draft specifications for the new contracts have been seen by the Health and Wellbeing board in June 2012.
- 4.10 Council Standing Orders require that any money spent on services with a contract value over £50k requires a tendering process. UK/European regulations require the process to be open, fair, transparent and non-discriminatory and that Service/Supply contracts over £173k must be subject to competitive tender

## 5.0 FINANCIAL IMPLICATIONS

- 5.1 Funding for Healthwatch Sheffield will be allocated to Sheffield City Council from several different funding streams.
- 5.2 The Department of Health has indicated that it will divide and transfer the funding from the current national contract for complaints advocacy and allocate a sum to each local authority for this purpose.
- 5.3 The Department of Health indicated that the funding for the information and advice element of local Healthwatch would come from current PCT PALS funding. However, there has been no decision yet about exactly how funding may transfer.
- 5.4 The Department of Health has not confirmed funding allocations, and has indicated that it will not do so until December 2012. A factsheet on some of the indicative funding amounts has been received from the DoH. See table below. The latest (June 2012) indicative amounts are substantially reduced from the previous indicative amounts (Jan 2012).
- 5.5 The existing funding for the LINKs function was mainstreamed in 2010/11 budget as part of the area based grant review.

The table below summaries the indicative amounts for the new functions transferring

| <b>Funding source</b>             | <b>2013/14</b> | <b>subsequent years funding</b> |
|-----------------------------------|----------------|---------------------------------|
| PCT PALS (information and advice) | £133k          | £133k                           |
| ICAS (complaints)                 | £166k          | £166k                           |
| <b>Indicative total</b>           | <b>£299</b>    | <b>£299</b>                     |
|                                   |                |                                 |

This indicates transfer funding of £897,000 over a 3 year period for Sheffield, however dependent on how this is funded ie as a specific grant or via the revenue support grant, the actual funding level will not be

confirmed until Dec 2012. If funding is not via specific grants then it is likely the allocation to Sheffield will be less than this indicative figure.

Some flexibility in the tender arrangements to allow us to adapt based on the funding actually received. Potential providers will be expected to demonstrate the ability to scale up/down their service delivery according to available resources from the Department of Health.

- 5.6 The Department of Health has indicated that none of the Healthwatch funding streams will be ring-fenced funding. However, it is not yet clear how this will be passported to local authorities and depending which route is used will impact on funding available.
- 5.7 A small amount of development money for 2012/13 (£36,617) has been allocated to Sheffield City Council in addition to ongoing LINKs funding.
- 5.8 It is proposed that an ongoing percentage be retained by Sheffield City Council for contract management costs.
- 5.9 It is proposed that a portion be retained by Sheffield City Council for contingencies. This might be for example if a gap in engagement mechanisms emerges or is identified for a particular group of people, the contingency might be employed to support that.

## **6.0 PROCUREMENT STRATEGY**

- 6.1 Procurement Strategy Approval will also be sought via the duly authorised Director of Commercial Services as required by contract standing orders.
- 6.2 A procurement timetable has been developed below:
  - Pre-Qualification Questionnaire (PQQ) available – 6<sup>th</sup> August 2012
  - Deadline for PQQ submission – 6<sup>th</sup> September 2012
  - Evaluation of PQQ – By 21<sup>st</sup> September 2012
  - Deadline for submission of Tenders - November 5<sup>th</sup> November 2012
  - Interviews and presentations – 12<sup>th</sup> November 2012
  - Evaluation of Tenders – By 23<sup>rd</sup> November 2012
  - Contract Award (Contract Award Notice published) - 1<sup>st</sup> January 2013
  - Anticipated contract start date - 1<sup>st</sup> April 2013
- 6.3 An options appraisal (**Appendix D**) has been undertaken to determine the best approach to tendering for the specialist independent advocacy for the NHS complaints service.
- 6.4 It is recommended that the two elements, overarching Healthwatch and complaints advocacy, be let as two separate lots under one tender

process.

- 6.5 Healthwatch tender opportunity Awareness Raising Events were run in November 2011 and January 2012 to generate market interest in the opportunity and understanding of the procurement process. This was in response to stakeholder feedback which wanted the opportunity to be available to as many organisations as possible, including those that may have less experience of submitting tenders, but have creative and innovative ideas for service delivery.
- 6.6 A tender support event took place on 27 June 2012, which was advertised to potential suppliers through the buy4sheffield distribution list, VAS connections and buying solutions notice board. In addition all stakeholder engagement events have also drawn attention to this opportunity.
- 6.7 Further engagement is planned including involvement of stakeholders (children, young people and adults) in the evaluation of tenders and preferred supplier recommendation.
- 6.8 It is anticipated that this tender opportunity will primarily be of interest to third sector organisations with experience in the voluntary sector.
- 6.9 The tender opportunities will be open to a stand alone organisation or to a group of organisations tendering as a consortium. If a consortium is tendering for the contract(s) Sheffield City Council will require that one of the consortium members is the lead organisation that SCC will engage with for contract management purposes.

## **7.0 ALTERNATIVE OPTIONS CONSIDERED**

7.1 The Council is prohibited under the Act from delivering Healthwatch itself.

7.2 In compliance with the Council's Standing Orders, European finance regulations and the strongly expressed views of Sheffield stakeholders, there was no other realistic option other than to go out to tender for an overall Healthwatch contract.

7.3 An options appraisal for the complaints advocacy component of the contract has been completed. This included stakeholder views of available options. The highest scoring option recommended that the complaints aspect be let as a separate lot alongside the overarching Healthwatch lot within one tender process.

## **8.0 REASONS FOR RECOMMENDATIONS**

8.1 We have a duty to obtain 'Best value' in any service we deliver.

8.2 Stakeholders have indicated that Healthwatch needs to provide innovative ways to gather and include their views. Tendering will maximise opportunities for creativity and innovation in the delivery of

Healthwatch.

- 8.3 Sheffield City Council Standing orders indicate the requirement to tender for services where the contract value exceeds £50k.
- 8.4 UK/European regulations require that the procurement process is open, fair, transparent and non-discriminatory and that Service and that supply contracts over £173k must be subject to competitive tender.
- 8.5 Letting the complaints advocacy service as a separate lot within one tender gives the best possibility of a strong professional service for citizens that complements rather than detracts from the overall Healthwatch vision.

## **9.0 RECOMMENDATIONS**

9.1 It is recommended that Cabinet:

- approves the procurement strategy and draft specification for Healthwatch Sheffield and the advocacy service.
- delegates to the Executive Director of Communities in consultation with the Cabinet Member with the Health, Care and Independent Living Portfolio and the Director of Commercial Services the decision to award the contracts and to determine the terms and conditions upon which the contracts will be awarded.
- delegates to the Executive Director of Communities in consultation with the Cabinet Member with the Health, Care and Independent Living Portfolio the ability to take action which he feels is necessary to achieve the outcomes outlined in this report.

## Specification for Healthwatch Sheffield

### 1.0 Background

- 1.1 As part of the Government Health reforms, a commitment has been made to strengthening the patient, service user and public voice in health and adult social care services. (The Government white paper *Equity and excellence: Liberating the NHS* sets out that vision for the NHS; *Vision for Adult Social Care, Working Together to Safeguard Children* and *Update of the Carers Strategy* sets out the vision for social care).
- 1.2 The Health and Social Care Act 2012 makes provisions for new commissioning and funding arrangements in the UK including the establishment of Healthwatch. Healthwatch England shall be established from 1<sup>st</sup> October 2012, and Healthwatch Sheffield shall be established from 1<sup>st</sup> April 2013.
- 1.3 The current arrangements for Local Involvement Networks (LINKs) shall cease on 31<sup>st</sup> March 2013. LINKs were established in 2008 as an independent network representing the views of users of local health and social care services to commissioners. The LINK is made up of volunteers, led by its participants and managed by an elected Governing Board. The LINK is supported by a host organisation, which in Sheffield is Voluntary Action Sheffield.
- 1.4 Healthwatch Sheffield shall continue to have the same powers and obligations as LINKs, which are:
  - Voice and influence role, representing the views of local children, young people and adults with health and social care commissioners and providers
  - Quality monitoring role, including the power to conduct enter and view visits to places of service provision

The Act makes provision for Healthwatch to have some additional responsibilities, which include:

- 
- The provision of an independent complaints advocacy service for individuals who require some support progressing a complaint about NHS services.
  - The ability to report concerns about quality of Health and social care locally to Healthwatch England, independent of the Local Authority, with the basis that Healthwatch England can recommend the Care Quality Commission to take action.

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- The ability to feed up to Healthwatch England local views on health and social care in order for Healthwatch England to present a national viewpoint about issues.
  - A seat for a Healthwatch Sheffield representative on the local Health and Wellbeing Board, in order to influence local decisions in regard to health and social care
  - Provide an independent advice and information service, or signposting service on health and social care locally

1.5 Additional funding for the new responsibilities shall transfer across to Local Authorities for the financial year 2013/14.

## **2.0 National vision for Healthwatch**

2.1 Healthwatch Sheffield shall be established as a corporate body, able to employ its own staff and recruit volunteers, so it can become the influential and effective voice of the public. It shall have to keep accounts and make its annual reports available to the public

2.2 The aim of Healthwatch Sheffield shall be to give citizens and communities a stronger voice to influence and challenge how health and social care services are provided within their locality

## **3.0 Local Authority role in Healthwatch**

3.1 Sheffield City Council has a duty to ensure that there is an effective and efficient local Healthwatch in their area.

3.2 Local Authorities have the freedom to decide how to commission or arrange a local Healthwatch.

3.3 Healthwatch Sheffield shall be accountable to Sheffield City Council for operating effectively, achieving outcomes and providing value for money.

3.4 At least one representative of Healthwatch Sheffield shall sit on the new Local Authority Health and Wellbeing Board, providing a strong consumer voice and ensuring this is integral to the wider, strategic decision-making across local NHS services, social care and health improvement.

3.5 Sheffield Council shall also be subject to scrutiny from Healthwatch Sheffield in respect of their social care services and public health function.

## **4.0 Transition from LINKs to Healthwatch**

4.1 The government expects Local Authorities to work with their existing LINKs wherever possible to manage a transition from LINKs to Healthwatch.

4.2 The government has emphasised the importance in continuity through the transition from LINKs to Healthwatch.

- 4.3 In Sheffield a transition contract and plan has been developed by Sheffield City Council, Sheffield LINK and its current host organisation, Voluntary Action Sheffield (VAS). This is being actively monitored by Sheffield City Council.
- 4.4 The Pathfinder (see section 5.0) also addresses transition issues and planning for transition.

## **5.0 Pathfinder in Sheffield**

- 5.1 Sheffield City Council, together with Sheffield LINK and its host, Voluntary Action Sheffield (VAS), jointly applied for Pathfinder status from the Department of Health.
- 5.2 Pathfinder status was granted to Sheffield by the Department of Health.
- 5.3 Work to deliver the Sheffield Pathfinder plan has been carried out by the LINK, VAS and Sheffield City Council, largely within existing resources.
- 5.4 £5k was allocated to Sheffield City Council for Pathfinder activity (as outlined in the Sheffield Pathfinder report) by the Department of Health in April 2012 for the financial year 2011/12.
- 5.5 Sheffield has contributed to key national Pathfinder workshops and has been chosen by the Local Government Association as a national case study.

## **6.0 Sheffield approach to Healthwatch**

- 6.1 Sheffield City Council, together with Pathfinder colleagues, has adopted a co-production approach to the development of the specification for the Sheffield Healthwatch.
- 6.2 Workshops have been held with key stakeholders including: local children, young people and adults, officers from the Local Authority, a range of NHS staff, representatives from Voluntary, Community and Faith sector organisations, individual citizens and other groups of interest to determine what shape Healthwatch in Sheffield should take. Their comments and priorities have informed both the service specification and the procurement process, within legal and statutory parameters.
- 6.3 Officers have also been available to go out to groups and partnership boards to discuss Healthwatch in more detail and these comments too have been fed in to the overall development process.



## Service Specification

Highlighted = a key 'golden thread' from co-production workshops

### VISION FOR SHEFFIELD

#### 1. Sheffield vision for Healthwatch

- 1.1. Healthwatch Sheffield vision has been **co-produced** over a series of workshops with key stakeholders
- 1.2. Healthwatch Sheffield shall be a **strong local consumer voice that makes a difference** to Health and Social care provision on behalf of the children, young people and adults of Sheffield.
- 1.3. Healthwatch Sheffield shall be a **network of networks** that builds on the work of LINK
- 1.4. It shall **expand and utilise the existing expertise** of third sector organisations and groups of children, young people and adults in Sheffield
- 1.5. It shall provide a mechanism for **diverse voices** across Sheffield to be heard and ensure that where there are children, young people or adults who are seldom heard, Healthwatch shall provide **innovative ways** to gather and include their views.
- 1.6. It shall be a **respected and credible** organisation that is unafraid to challenge service providers and commissioners.
- 1.7. It shall bring together robust, **evidence based local intelligence** that influences key decision making for Health and Social care
- 1.8. It shall ensure that every individual who approaches Healthwatch for information and advice receives **timely and good quality information** from Healthwatch, or one of its signposting organisations.
- 1.9. It shall ensure that **complaints advocacy** for NHS complaints is available for all Sheffield children, young people and adults who request that support. (provided possibly by 3<sup>rd</sup> party contract)
- 1.10. Healthwatch Sheffield shall be well known within the city, with an **excellent communications strategy**.

#### 2. Organisational requirements

##### Healthwatch Sheffield must be:

- 2.1. **Independent** - A free-standing body which is respected for its independence and trusted by residents and stakeholders.
- 2.2. **Competent** – an organisation that can demonstrate the relevant skills and competencies required to deliver its functions
- 2.3. **Skilled for influencing** – able to make an impact on the local commissioning and provision of health and social care.

- 2.4. **Supporter of Volunteers** - makes best use of both volunteers and paid officers and support them to work effectively together.
- 2.5. **Accountable** – working to a clear set of standards against which the Local Authority and the residents it serves can appreciate its success.
- 2.6. **Evidence based** - a body which uses a strong evidence base to underpin its views, priority setting and targeting of its efforts.

### 3. Who is Healthwatch Sheffield for and how shall it be accessed?

- 3.1. Healthwatch Sheffield is for anyone who is legally entitled to access health or social care services in Sheffield or anyone who cares for or represents anyone who is legally entitled to access health or social care services in Sheffield.
- 3.2. Healthwatch Sheffield shall be accessible to all citizens across Sheffield and shall actively seek the views and experiences of local children, young people and adults including ‘seldom heard’ groups. It shall use a wide variety of media and creative mechanisms for people to be in touch and involved.
- 3.3. Healthwatch Sheffield shall make full use of existing and well-established links and networks, and build on existing relationships and networks. It shall create and establish new networks and relationships to ensure a strong network of networks within the city underpins Healthwatch Sheffield activities.

## 4. KEY SERVICE FUNCTIONS

### 4.1. Advice and information

**Providing advice and information about access to local health and social care services and support for making informed choices with respect to those services.**

- 4.1.1. Healthwatch Sheffield shall operate a citywide advice and information signposting service, which **maximises information that already exists and works** with service providers and service users of all ages to identify and fill information gaps.
- 4.1.2 Healthwatch shall provide, or signpost to, information and advice on any aspect of health and social care.

- 4.1.3 It is expected that the service shall be available for citizens of all ages in a variety of forms, for example in person, online, via telephone etc. There shall be consideration given to ensure there are adequate opportunities for all citizens to access the service at times that are convenient to them.
- 4.1.4 In making the service available Healthwatch Sheffield must demonstrate it has taken full account of equality and diversity implications, including but not limited to consideration of the Equality Act.
- 4.1.5 Where Healthwatch Sheffield does not themselves hold the information requested, it shall signpost citizens to an organisation(s) or service(s) that can provide it.
- 4.1.6 If an individual requires support to access the required information, or has difficulty in obtaining the necessary advice and information, Healthwatch shall support the individual to obtain it.
- 4.1.7 Information and advice shall be tailored to specific need where possible and shall be delivered without bias to any particular organisation or group of organisations. Where there are a range of organisations that citizens could be signposted to, Healthwatch shall give citizens the choice as to how many contacts/websites/addresses they are given, and shall try and best match the information need with the organisation(s) that are most likely to be able to meet that need.
- 4.1.8 Healthwatch Sheffield shall build specifically on the work developed by LINK and its host in the transition year April 2012 – March 2013, and shall operate an advice and information service from 1 April 2013.
- 4.1.9 Healthwatch Sheffield information and advice service shall be expected to develop further its own knowledge of information and advice resources.
- 4.1.10 Healthwatch Sheffield is expected to maintain good links and relationships with other key information and advice providers within the city, for example Help Yourself directory and NHS 111.
- 4.1.11 Healthwatch Sheffield shall quality monitor the information provision to ensure that any concerns about information and advice provided by a third party are raised with the organisation concerned and addressed where these arise.
- 4.1.12 The Healthwatch Sheffield information and advice service shall be well advertised and generate a strong awareness within all areas of the city.

4.1.13 Information and advice shall be provided to end users in a timely and professional manner and queries shall be answered at the first point of contact where possible.

#### **4.2. National Health Service (NHS) Complaints Advocacy**

4.2.1. Responsibility for NHS complaints advocacy will also take effect from 1 April 2013. In Sheffield the complaints advocacy service shall be let as a separate lot within one tender.

4.2.2. Sheffield Healthwatch shall make arrangements for supporting local children, young people and adults with any complaints they may wish to progress in relation to NHS service provision either through:

4.2.2.1. A directly provided complaints advocacy service; or

4.2.2.2. Referral to a third party contracted by the Local Authority expressly for these purposes.

4.2.3 In 4.2.1 Healthwatch Sheffield shall:

- Support any complaints function by signposting people to this service if not provided in-house.
- Ensure there is a strong link between the provider of complaints advocacy and itself.

4.2.4 Information and statistics collected by the provider of the complaints advocacy service about NHS services through the complaints made shall be used as evidence by Healthwatch Sheffield when shaping their direction and priorities.

#### **4.3 Voice and influence**

##### **Gathering views and understanding the experiences of children, young people and adults who use services, carers and the wider community.**

4.3.13 Healthwatch Sheffield shall ensure that everyone in Sheffield has an opportunity to have their say and shall create opportunities where there are gaps. It must ensure there is equality of opportunity for all citizens, including alternative ways of holding meetings and collecting information, maximising opportunities for people across the city to give their views. This means meetings and events must be conducted in creative and non traditional ways that enable children, young people and adults to contribute positively.

4.3.14 Healthwatch Sheffield shall be creative and innovative and shall constantly be exploring new and successful ways to find out the views of Sheffield children, young people and adults by proactive engagement.

4.3.15 Healthwatch Sheffield shall use a network of networks, which it shall actively build to create and maintain strong relationships with many

groups and organisations across the city, and to gather the widest perspective of Sheffield citizens' views.

4.3.16 Healthwatch must employ demonstrably robust methods of gaining intelligence on the quality of health and adult social care services.

4.3.17 Healthwatch Sheffield must work to find ways of growing membership.

**Making peoples views known.**

4.3.18 Healthwatch Sheffield must use the data it gathers to provide effective voice and influence.

4.3.19 In order to give the children, young people and adults of Sheffield a strong and effective voice Healthwatch Sheffield shall routinely and on specific issues co-ordinate and analyse the expressed views of Sheffield citizens on health and social care issues.

4.3.20 Healthwatch Sheffield shall not act as a stand alone organisation, but be a central core team which shall provide strategic and administrative support, signposting, representation of patient and public voice and wider co-ordination of the Healthwatch approach and volunteers, being a core at the centre of the network of networks.

4.3.21 Healthwatch Sheffield shall represent the views of Sheffield children, young people and adults. This means that all views gathered may need to be represented on occasion eg at the Health and Well Being board. However, in conducting its own work, Healthwatch may also reach its own conclusions for recommendations.

4.3.22 Healthwatch shall demonstrate how childrens, young peoples and adults views have been represented to decision makers, and demonstrate how this has made a difference to commissioning plans and service delivery.

**Promoting and supporting the involvement of children, young people and adults in the commissioning and provision of local health and social care services and how they are scrutinized.**

4.3.23 Healthwatch Sheffield shall be an effective watchdog for all the children, young people and adults of Sheffield and ensure that the diversity of Sheffield opinion is sought and acted on.

4.3.24 Healthwatch should use a variety of mechanisms to explore service quality issues both routinely and where specific issues arise. This will include but not be limited to complaints or safeguarding issue or where a series of complaints or safeguarding issues are brought to their attention.

This shall include 'Enter and View' visits, both announced and unannounced.

4.3.25 At least one representative of Healthwatch Sheffield shall sit on the Health and Wellbeing Board.

4.3.26 Where decision makers or services do not take adequate note of the views of Sheffield Citizens, Healthwatch Sheffield shall make this known to the citizens of Sheffield and seek to address this through confident and constructive discussions with decision makers or services.

4.3.27 Healthwatch Sheffield must develop constructive relationships with health and social care providers and decision makers, but be unafraid to criticise where necessary.

#### **4.4 Relationship with Healthwatch England**

4.4.28 When it appears necessary, Healthwatch Sheffield shall recommend investigation or special review of services via Healthwatch England or directly to the Care Quality Commission (CQC).

4.4.29 Healthwatch Sheffield shall make the views and experiences of children, young people and adults known to Healthwatch England and shall provide a steer to help it carry out its role as national champion.

4.4.30 A timely two-way information flow shall be established between Healthwatch England and Healthwatch Sheffield. Healthwatch Sheffield's role shall be to ensure that it influences Healthwatch England's work and to inform it of local matters relevant to wider public health agendas.

4.4.31 Operate within best practice framework to be published by Healthwatch England.

#### **4.5 Communication**

4.5.29 Healthwatch Sheffield must develop and utilise a strong, effective and ongoing communications strategy which is reviewed and refreshed at least annually, ensuring that the children, young people and adults of Sheffield are able to access its service and are aware of its presence and activities.

4.5.30 The Healthwatch Sheffield Communication Strategy ('the Strategy') must include a range of means of communication that are accessible to all citizens of Sheffield, particularly those who are seldom heard, including but not limited to the use of social media and maximising the existing information we already have.

4.5.31 Healthwatch Sheffield shall focus attention on communication with seldom heard groups and marginalised communities.

4.5.32 Healthwatch Sheffield shall foster good relationship with the media to enhance communication with all citizens.

4.5.33 The Strategy shall include developing and maintaining strong and appropriate links with network organisations to facilitate open communication as widely as possible.

4.5.34 The Strategy must ensure its existence and work are well publicised and ensure the citizens of Sheffield, commissioners and providers understand the role of Healthwatch and how to access it.

## 4.6 Volunteers and members

4.6.1 Healthwatch Sheffield shall be expected to engage with and use a variety of volunteers and members and shall have strategies to recruit them to reflect the diversity of all citizens of Sheffield, particularly those from seldom heard and protected groups.

4.6.2 Where it does use volunteers and members Healthwatch Sheffield shall provide appropriate training and support for them and provide them with a suitable person specification.

4.6.3 Healthwatch Sheffield shall have suitable indemnity insurance for any activity volunteers undertake.

## 5.0 Employment

5.1 The Provider shall have employment policies and processes that take into account all current legislation. The policies shall cover advertising, recruitment and selection, supervision and training, disciplinary and grievance procedures and equal opportunities.

5.2 A standard application form shall be completed and used throughout the recruitment process. The application form shall provide for details of employment history, explanation of gaps in employment and declaration of previous convictions. The application form shall be signed to confirm the veracity of the information given.

5.3 Gaps in employment history shall be investigated. If convictions are declared a risk assessment shall be undertaken to determine the suitability for employment in the service.

5.4 It shall be the responsibility of the Provider to ensure that any individual involved in the provision of the Service or as a member of Healthwatch that shall have access to vulnerable adults or children shall be subject to Enhanced CRB checks.

5.5 A minimum of two written employment references shall be obtained and checks made to confirm referee status. One of the references

shall be from the current or most recent employer; the second can be a personal reference from a referee who is not a family member or a personal friend. If the applicant has had no previous employment then two references may be sought from professional persons.

5.6 As no employees of the Council are engaged in the provision of the Host Service, we consider that the Transfer of Undertakings (Protection of Employment) Regulations 2006 do not apply to this tender because no employees are employed by the Host Service. However, at the expiry of the contract if the Service is re-tendered and employees of the Service Provider or one of its sub-contractors are employed or engaged in the provision of the Host Services then TUPE may apply. Clause 28 of the draft form of Contract sets out a number of requirements on the part of the Service Provider if TUPE applies.

## **6.0 Governance**

6.1 Healthwatch Sheffield must adopt a governance model that ensures all children, young people and adults in Sheffield can be represented by Healthwatch Sheffield.

6.2 The model must be a strong and creative one that includes meaningful involvement of volunteers.

6.3 Healthwatch Sheffield shall operate within an accountability framework including accountability for decision making and transparency of decisions.

6.4 Healthwatch Sheffield must ensure that the governance model it adopts reflects best practice guidance published by Healthwatch England (NB publication date not yet known)

6.5 The code of conduct for the provider shall be the Nolan Principles of Public Life

## **7.0 Record Management**

7.1 The Provider shall maintain records to a professional standard. This shall apply to financial and other records including but not limited to recruitment and training, staffing and records of Healthwatch and its activities.

- These records shall be kept in such a way as to facilitate the transfer of information at the end of the contract.



## 8 Contract Monitoring, Review and Reporting

8.1 The Provider shall have in place and be able to demonstrate to the Purchaser a robust system for ensuring the quality of the service it provides and the quality of Healthwatch activities.

- The Purchaser reserves the right to take its own measures to satisfy itself as to the quality of the service delivered by the Provider in relation to Healthwatch.
- The Provider shall prepare and present financial and other data and reports as requested by the Purchaser and shall meet with the Purchaser at intervals as determined by the Purchaser and as required by Healthwatch. The type, volume and frequency of the data shall be further specified as Healthwatch progresses, however the reporting shall be at least six monthly.
- The Provider shall actively participate and contribute to reviews and evaluation of Healthwatch and its activities as required.
- Following initial and subsequent reviews the Purchaser may, in agreement with the Provider, seek to vary the Service Specification. Such variations shall be in line with the purpose and guidance on Healthwatch and its activities as issued by the Department of Health.
- The Provider shall prepare and present an annual report on Provider and Healthwatch expenditure, activity and achievements as required by the Purchaser and by the Department of Health. The Purchaser should be able to validate this report and it shall be a public document.
- The Provider shall agree with the Council, prior to contract signature, a number of high-level performance targets, that shall be included in the Contract and against which the Council shall measure the effective implementation of the Services. The final scope of the targets shall be determined by the scope of services offered by the Provider but it is anticipated they shall cover areas such as, budget management, service performance, and service satisfaction levels of Healthwatch and other stakeholders.
- Potential bidders will need to demonstrate how they will scale up or down their proposed service according to the resources to be made available by the Department of Health.

## Specification for a Sheffield Independent NHS Complaints Advocacy

### 1.0 Background

#### Healthwatch

- 1.1 As part of the Government Health reforms, a commitment has been made to strengthening the patient, service user and public voice in health and social care services. (The Government white paper *Equity and excellence: Liberating the NHS sets out that vision for the NHS; Vision for Adult Social Care, Working Together to Safeguard Children and Update of the Carers Strategy* sets out the vision for social care).
- 1.2 The Health and Social Care Act 2012 makes provisions for new commissioning and funding arrangements in the UK including the establishment of Healthwatch. Healthwatch England shall be established from 1st October 2012, and Healthwatch Sheffield shall be established from 1st April 2013.
- 1.3 The current arrangements for Local Involvement Networks (LINKs) shall cease on 31st March 2013. LINKs were established in 2008 as an independent network representing the views of users of local health and social care services to commissioners. The LINK is made up of volunteers, led by its participants and managed by an elected Governing Board. The LINK is supported by a host organisation, which in Sheffield is Voluntary Action Sheffield.
- 1.4 Healthwatch Sheffield shall continue to have the same powers and obligations as LINKs, which are:
  - Voice and influence role, representing the views of local children, young people and adults with health and social care commissioners and providers.
  - Quality monitoring role, including the power to conduct enter and view visits to places of service provision
- 1.5 The Act makes provision for Healthwatch to have some additional responsibilities, which include:
  - The provision of an independent complaints advocacy service for individuals who require some support progressing a complaint about NHS services. (In Sheffield this responsibility will be met via a contracted provider under a separate 'Complaints Advocacy service' contract.)

- The ability to report concerns about quality of Health and social care locally to Healthwatch England, independent of the Local Authority, with the basis that Healthwatch England can recommend the Care Quality Commission to take action.
- The ability to feed up to Healthwatch England local views on health and social care in order for Healthwatch England to present a national viewpoint about issues.
- A seat for a Healthwatch Sheffield representative on the local Health and Wellbeing Board, in order to influence local decisions in regard to health and social care
- Provide an independent advice and information service, or signposting service on health and social care locally.

1.6 Additional funding for the new responsibilities shall transfer across to Local Authorities for the financial year 2013/14.

## **2.0 Complaints Advocacy**

2.1 The provision of independent advocacy is a legal requirement for the Secretary of State under section 248(1) of the National Health Service Act 2006:

“The Secretary of State must arrange, to such extent as he considers necessary to meet all reasonable requirements, for the provision of independent advocacy services.”

2.2 Within the meaning of the Act, advocacy services relate only to the provision of assistance for individuals making or intending to make an NHS complaint (which includes a complaint to the Health Service Ombudsman). Within social care, local authorities are currently expected to make complaints advocacy services available if needed, but availability is a matter of local discretion and decision; there is no statutory requirement.

2.3 Previously the Department of Health (DH) on behalf of the Secretary of State for Health, commissioned these services directly from the Independent Complaints Advocacy Service (ICAS), which is currently provided by three suppliers, The Carers Federation, POhWER and SEAP. The Carers Federation up until 1 April 2013 covers ICAS provision in Sheffield.

2.4 The Department of Health currently has responsibility for the management of ICAS contracts, and the quality of service provided. These five-year contracts (let centrally); amounting to approximately £11.75m each year will expire on 31 March 2013.

2.5 Clause 185 of the Health & Social Care Act transfers a duty to commission independent advocacy services from the Secretary of State to individual local authorities; this transfer will take place on 1 April 2013.

### **3.0 Sheffield's Approach to Complaints Advocacy**

3.1 Sheffield City Council has chosen to competitively tender for Healthwatch Sheffield under two lots: the first lot will deliver the core Healthwatch requirements; the second lot will deliver the NHS complaints advocacy service. This gives the best possibility of a strong, professional service that complements the overall Healthwatch vision.

3.2 Sheffield City Council shall make arrangements for supporting local children, young people and adults with any complaints they may wish to progress in relation to NHS service provision through a contracted third party.

3.3 Anonymised complaints information and statistics collected by the provider of the complaints advocacy service about NHS services in Sheffield through complaints made, shall be made available to Healthwatch Sheffield and used as evidence by them when shaping their direction and priorities.

### **4.0 Service Specification**

4.1 Vision and Purpose for Independent NHS Complaints Advocacy.

4.1.1 The Provider will deliver a free, independent, confidential, professional support service to clients wishing to pursue a formal complaint against the NHS in Sheffield.

4.1.2 The purpose of the NHS Complaints Advocacy Service will be to:

- Help safeguard the rights of clients as set out in both health policy and law.
- Empower clients to self advocate as far as they are able
- Support clients to get their views heard
- Support clients in seeking resolution to issues which concern them
- Enable client experiences to inform service development in the NHS by passing data to Healthwatch Sheffield for them to use in pressing for service redesign and quality improvement.

4.2 Core Principles

The NHS Complaints Advocacy Service shall be governed by

seven core principles which set out its approach to supporting its clients:

#### 4.2.1 Empowerment:

The service shall empower children, young people and adults by:

- Providing them with information about the options open to them, enabling them to decide whether or not they wish to pursue a complaint about the NHS in Sheffield.
- Where needed, by providing an advocate to support them in pursuing their complaint.

#### 4.2.2 Accessibility:

The service shall be accessible to all citizens across Sheffield, shall respect the diversity of clients, and shall provide support appropriate to the needs of the client by:

- Ensuring support is accessible at the point of contact to all Sheffield citizens, both in terms of the physical environment where it is delivered and the mode of communication used.
- Providing appropriate services and materials for those clients who do not have English as their first language.
- The Provider will be responsible for widely advertising its services widely to appropriate audiences and by the most appropriate media.

#### 4.2.3 Resolution:

The service shall support clients in trying to achieve a resolution to their complaint, within the NHS complaints procedure by:

- Supporting the process of Local Resolution, where clients and NHS staff work together to resolve complaints, at a point as close as possible to the point of service that has caused dissatisfaction.

#### 4.2.4 Independence:

- The service is not tied to, or controlled by the NHS, enabling it to work solely on behalf of its clients and within the best interest of the client.

#### 4.2.5 Partnership:

- The service shall support the aspirations of the NHS in improving the patient experience by working with all stakeholders to promote positive change in the NHS.

#### 4.2.6 Confidentiality:

- The service shall treat all interactions with clients as confidential, in line with the provider's confidentiality policies.

#### 4.2.7 Value for money:

The provider shall deliver the service using the principles of value for money, those being:

- Economy
- Efficiency
- Effectiveness

### **5.0 Key Service Functions**

#### 5.1 Advocacy for health related complaints

5.2 The service shall be a client centred, flexible service that empowers anyone who wishes to resolve a complaint about healthcare commissioned and/or provided by the NHS in Sheffield.

5.3 The provider's staff shall use advocacy skills to provide practical support and direction to clients, in order to assist them in finding a resolution to their complaint.

5.4 The relationship with the client shall focus on contact at each of the following points or activities in the NHS complaints procedure, those being:

- Identifying what the available options and possible outcomes are, and deciding which option to take.
- Making the complaint to the appropriate NHS services provided by hospitals, health authorities, trusts, GPs, dentists, pharmacists, opticians and other health care practitioners.
- Deciding how to proceed with the complaint, following the initial response.
  
- Supporting clients during the local resolution phase by attending meetings or entering into correspondence.
- Making a complaint to the Care Quality Commission, or other relevant regulatory body
- Supporting the Independent Review stage by attending meetings or entering into correspondence.
- Making a complaint to the Health Service Ombudsman.
- Understanding the Health Service Ombudsman's final decision.

5.5 The service shall also support clients with a grievance related to any aspect of healthcare that falls under the jurisdiction of the Health Service Ombudsman, such as complaints about poor treatment or service provided through the NHS in Sheffield. The Ombudsman looks into complaints against NHS services provided by hospitals, health authorities, trusts, GPs, dentists, pharmacists, opticians and other health care practitioners. The Ombudsman can also investigate complaints against private health providers if the treatment was funded by the NHS. (For more information on the work of the Ombudsman, please go to [www.ombudsman.org.uk](http://www.ombudsman.org.uk))

5.6 Whilst the service shall not provide on-going advocacy for clients outside of the health related complaint, the service shall suggest appropriate referrals for clients who require alternative, additional or specialist support. This will include referrals to PALS, professional bodies such as the GMC, and to specialist support such as medico-legal advice, bereavement support, mental health support and Healthwatch Sheffield independent advice and information.

5.7 Sheffield Complaint Advocates must ensure that clients understand:

- The core service principles of independence and confidentiality;
- What they can expect from the service and what the service expects from the client, through the early completion of the client/service contract when appropriate.
- Limits of what the service can achieve.
- What they can expect from the NHS complaints procedure and where other advocacy/support services can provide more specialist advice.
- When and how the advocacy service can be contacted.
- They can request to meet with an advocate to talk in confidence to them (except when other staff have to be present for reasons of safety or security). The provider will have reasonable, not restrictive policies and procedures to accommodate this.
- They can make a complaint about any aspect of the complaints advocacy service and know how to do so.

5.8 Sheffield NHS Complaints Advocates must:

- Only act or speak on behalf of a client if they, or someone acting on their behalf, request it.
- When considering complaints about services provided to children or young people, be mindful of the requirements around consent to making a complaint.

- Discuss options with clients providing full and balanced information to enable them to make decisions and choices.
- Help clients access the information they need.
- Where it is appropriate to the client, try to contain face-to-face advocacy requirements to no more than two meetings per client, and where further contact is needed, discuss how these requirements can be best met with the Sheffield Complaints Advocate supervisor.

#### 5.9 Absolute requirements:

- 5.9.1 Up to date Criminal Record Bureau checks for all Complaints Advocacy staff.
- 5.9.2 Regular support and supervision for Complaints Advocacy staff including team working arrangements.
- 5.9.3 A strategic training and development plan including utilising a performance management system.
- 5.9.4 The provision of translation and interpretation services.
- 5.9.5 Generalist skills should be available from all Complaints Advocacy staff and in addition, at least 25% advocates should be able to offer specialist knowledge, or skills that would allow them to support clients with more complex needs, such as those suffering with mental health problems, those with learning disabilities, communication difficulties, sight or hearing impairment or clients without English as their first language.
- 5.9.6 The provider shall have the capacity and expertise to support clients in secure environments if necessary.
- 5.9.7 The Provider shall have capacity to provide the advocacy service via telephone and other methods.

### 6.0 Employment

- 6.1 The Provider shall have employment policies and processes that take into account all current legislation. The policies shall cover advertising, recruitment and selection, supervision and training, disciplinary and grievance procedures and equal opportunities.
- 6.2 A standard application form shall be completed and used throughout the recruitment process. The application form shall provide for details of employment history, explanation of gaps in employment and declaration of previous convictions. The application form shall be signed to confirm the veracity of the information given.
- 6.3 Gaps in employment history shall be investigated. If convictions are declared a risk assessment shall be undertaken to determine the suitability for employment in the service.
- 6.4 It shall be the responsibility of the Provider to ensure that any individual involved in the provision of the Service that shall have



access to vulnerable adults or children shall be subject to Enhanced CRB checks.

6.5 A minimum of two written employment references shall be obtained and checks made to confirm referee status. One of the references shall be from the current or most recent employer; the second can be a personal reference from a referee who is not a family member or a personal friend. If the applicant has had no previous employment then two references may be sought from professional persons.

6.6 Clause 28 of the draft form of Contract sets out a number of requirements on the part of the Service Provider if TUPE applies.

## **7.0 Governance**

7.1 The code of conduct for the provider shall be the Nolan Principles of Public Life.

7.2 Where services are provided by a voluntary or not-for-profit organisation, they should have an overall management committee which:

- Is duly elected according to the governing documents.
- Has representation of service users.
- Oversees the sound financial management of the NHS complaints advocacy service.
- Ensures the organisation adheres to charity and company law.
- Organisations providing ICAS should ensure that they have a dedicated, appropriately qualified and experienced management structure, supported by the wider organisation.
- The service must report on a quarterly basis in accordance with the contract requirements.

## **8.0 Record Management**

8.1 The Provider shall maintain records to a professional standard. This shall apply to financial and other records including but not limited to recruitment and training, staffing and records of Complaints Advocacy Service provision.

8.2 Providers must ensure that accurate records are kept of all interactions with clients.

8.3 Records must be securely stored to ensure the confidentiality of the client/service relationship.

8.4 Clients should have access to their records.

8.5 The provider of advocacy services must comply with the requirements of the Data Protection Act 1998.

8.6 These records shall be kept in such a way as to facilitate the transfer of information at the end of the contract.

## **9.0 Contract Monitoring, Review and Reporting**

9.1 The Provider shall have in place and be able to demonstrate to the Purchaser a robust system for ensuring the quality of the service it provides and the quality of Complaints Advocacy activities.

9.2 The Purchaser reserves the right to take its own measures to satisfy itself as to the quality of the service delivered by the Provider in relation to Complaints Advocacy.

9.3 The Provider shall prepare and present financial and other data and reports as requested by the Purchaser and shall meet with the Purchaser at intervals as determined by the Purchaser and as required by Complaints Advocacy. The type, volume and frequency of the data shall be further specified as Complaints Advocacy progresses, however the reporting shall be at least six monthly.

9.4 The Provider shall actively participate and contribute to reviews and evaluation of Complaints Advocacy and its activities as required.

9.5 Following initial and subsequent reviews the Purchaser may, in agreement with the Provider, seek to vary the Service Specification. Such variations shall be in line with the purpose and guidance on Complaints Advocacy and its activities as issued by the Sheffield City Council.

9.6 The Provider shall prepare and present an annual report on Provider and Complaints Advocacy expenditure, activity and achievements as required by Sheffield City Council. Sheffield City Council should be able to validate this report and it shall be a public document.

9.7 The Provider shall agree with Sheffield City Council, prior to contract signature, a number of high-level performance targets, that shall be included in the Contract and against which the Council shall measure the effective implementation of the Services. The final scope of the targets shall be determined by the scope of services offered by the Provider but it is anticipated they shall cover areas such as, budget management, service performance, and service satisfaction levels of Complaints Advocacy and other stakeholders.

9.8 The provider needs to demonstrate how they will scale their proposed service up/down according to the resources to be made available by the Department of Health.



## Appendix C

### Engagement summary

**Webpage** - A Sheffield City Council Healthwatch webpage has been developed [www.sheffield.gov.uk/healthwatch](http://www.sheffield.gov.uk/healthwatch) this has been updated throughout the development of Healthwatch Sheffield and it will continue to be used to provide information about developments. The page contains information about:

- past stakeholder events and reports from them
  - planned events
  - links to other sources of information
  - tendering and support available
- and
- an opportunity for people and organisations to give their views.

### Meetings/visits with key stakeholders

- Sheffield, Carers partnership Board
- Partners for Inclusion
- North patient group
- Third sector Assembly
- PALS services at the Sheffield Childrens and Royal Hallamshire Hospitals
- ICAS

### Workshops and events:

Six events have been co-produced via the Pathfinder Group, to engage with stakeholders about a range of issues and also to provide information for potential contractors and there has been some overlap between the two functions.

Events have been publicised using a variety of mechanisms via:

- the webpage [www.sheffield.gov.uk/healthwatch](http://www.sheffield.gov.uk/healthwatch)
- an email network of 278 direct contracts
- other organisations networks meaning a wide range of people received information
- distribution of fliers using a variety of means
- other organisations websites

### March 2011

Approximately sixty people, representing a wide variety of organisations across Sheffield and some individual citizens, met to begin considering the Government's new plans for local Healthwatch. Participants had a short introduction to the planned reforms from Richard Webb (executive director, Communities) and Mike Smith (chair of LINK). This was followed by an

opportunity for group discussion on the possible future shape and direction of Sheffield Healthwatch.

Some key themes emerged from all the group discussions:

- There is a large and challenging remit for Healthwatch being set nationally
- Publicity and clarity about future role of Healthwatch is important
- Healthwatch should build on services and expertise already in existence e.g. advocacy, information provision and network with existing involvement channels and organisations
- Priority should be given to strategic work of Healthwatch

### **July 2011**

73 people attended a further workshop from a broad spectrum of organisations with the aim of building upon the progress made at the previous workshop held in March 2011 and also to:

- Inform the design of Sheffield Healthwatch, including guidelines for those bidding to supply this service to the people of Sheffield.
- Engage stakeholders in forming possible governance structures for Healthwatch
- Explore the interim arrangements for LINK's until Healthwatch is formally established in April 2012.
- Ensure that LINK volunteers continue to offer their services to Healthwatch, and encourage wider participation from throughout Sheffield's diverse communities.

Key themes emerged from the workshop:

- Ensure good quality training for volunteers that is enjoyable and flexible. Expectations and communications should be clear and concise
- There should be good quality publicity to promote Healthwatch, perhaps via a national awareness campaign, in order to encourage involvement from as broad a spectrum as possible. A variety of media should be used to raise awareness.
- Priorities for Healthwatch should be to involve service users and groups that have been underrepresented. There should also be good consultation to ensure communities know what they should expect and closer cooperation with Sheffield City Council.
- The organisation selected to run Healthwatch should have a good track record in employment, understand the city and reach out to all types of service users. Non-profit organisations and groups of organisations should be considered.

### **November 2011**

Approximately 60 stakeholders including representatives from a variety of organisations across Sheffield attended.

Five students aged 13 -19, who were taking part in 'Takeover Day' attended. The students provided practical support to the event and participated in the exercises as a group. (Takeover Day gives children and young people the chance to work

with adults for the day and be involved in decision-making. Children benefit from the opportunity to experience the world of work and make their voices heard, while adults and organisations gain a fresh perspective on what they do).

The purpose of the event was to:

- provide stakeholders with more information about Healthwatch
- check that the vision represents what people have already said– see the golden thread
- test out some very specific questions and ideas

Summary of outcomes

#### Information and Advice Standards

In general there was support for the proposed Healthwatch Pathfinder standards for organisations giving Information and Advice, with some helpful comments about shaping work on the standards in preparation for Healthwatch.

#### Complaints Advocacy

There was most support for an approach whereby Healthwatch develop 'generic advocacy' in Sheffield and signpost health complaints to 'generic advocacy' in an exercise about handling health complaints. There was also some support for this being separated from other Healthwatch activity. Again there were helpful comments about shaping the approach to complaints.

#### Citizens Views

There was most support for Healthwatch representing the range of different views expressed to them about issues, rather than representing a Healthwatch viewpoint.

#### Governance Models

Many ideas were shared about what would contribute to a successful governance model, including; accountability, transparency, where it links to, training for members, the involvement of service users, principles and alternative ways of holding meetings.

#### Tender Process

Helpful thinking about what will shape a good tender for Sheffield including; accessible information, clear specification, focus on quality not cost, consideration of equality issues, openness, transparent and clear.

**A tender event** was also held in November 2011 and around 40 people representing organisations interested in finding out more about tendering for Healthwatch in Sheffield attended.

The following questions were addressed:

- How the complaints advocacy service will be contracted for.
- About any restriction on the number of organisations who get to Invitation to Tender (ITT) stage depending and scoring.

- The development of Sheffield Healthwatch from LINK and building on the work already done and transfer of staff.
- The number of providers considered necessary to deliver the core contract.
- About the 'network of networks' and the relationship between organisations within it.
- Legal entity proposed by the government and whether the development of it will need to be part of the contract or be in place before the contract is awarded.
- The signposting element and whether it includes both the Primary Care Trust (PCT) element and the Foundation Trust element.

Attendees also participated in exercises about:

- Any questions about Healthwatch attendees still had and what they would still like to know.
- Checking if attendees were clear about the commissioning process Sheffield City Council is following. If not, what still remained unclear.
- About questions which need to be addressed by future tender events.

### **February 2012**

Held a one-off workshop where we explored whether a simple information standard/quality mark would be useful; and achievable for small groups.

### **May 2012**

A further stakeholder event was held to update attendees on plans for Healthwatch Sheffield with interactive exercises to help us:

- Test ways of measuring potential organisations who tender.
- Decide how to choose stakeholders to be involved in awarding the tenders.
- Check out further details of the specification.
- Give brief information about the tendering process and support.

Summary of outcomes:

### **Testing the PQQ criteria and their weighting:**

#### **Technical capability**

To what extent the contract fits with the tenderers primary business, experience of delivering similar services.

Ranked 1<sup>st</sup>

#### **Quality**

Does the tenderer meet recognised quality standards and have evidence of quality management.

Ranked 2<sup>nd</sup>

#### **Sustainability**

Does the tenderer act in ways that are environmentally, socially and economically sustainable?

Ranked 3rd

### **Equality and diversity**

Does the tenderer comply with anti-discrimination laws?

Ranked close 4th

### **Health and Safety**

Does the tenderer comply with health and safety laws?

Ranked 5<sup>th</sup>

Attendees were also asked to indicate what they would expect in terms of each criteria as a minimum from a potential contractor:

### **An exercise to decide how to choose stakeholders to be involved in awarding the tenders made the following proposals concluded:**

We will probably not to have people involved at Pre-Qualification Questionnaire (PQQ) stage, having made sure that peoples views on weighting are taken note of.

Ensure that there is a 'golden thread' copy of the specification available which shows/illustrates how stakeholder involvement to date has influenced and shaped the service specification.

For us to target a wider reference group of people to be involved in the final decision making process after the PQQ stage. The group:

- Needs to be of around 25-30 people.
- Includes a range of people with experience around partnership, with BME, disabled people, young people, LINK, people who use services and from user organisations representatives, with more than one representative for each equality/interest type group.
- To elect/select 2 people to sit on the final panel.
- Have a clear brief and a training session on how they are to be involved, what they can/cannot do, behaviour expected etc.
- Members to sign confidentiality clauses and conflict of interest declarations.
- Score e.g. a presentation from tenderers in small groups, to mitigate against a dominant voice/one perspective swaying others.
- Members should be made known to potential tenderers beforehand
- Involvement must not be tokenistic e.g. the scores must be used as part of final decision making.
- Those people on the final panel need to have a clear definition of their role, especially around liability.
- Should know that open feedback will be given to unsuccessful applicants which will help in the transparency of process, and in how comments etc are phrased and thought through.
- If possible tenderers need will be anonymised before the group score, but this might be unrealistic given local known organisations are likely to bid.



- Members need to have some understanding of the issues but need to be clear expertise in tender evaluation is not required, but ability to express their opinion on relevant issues is - possibly starting off with groups/people who have been involved in stakeholder events.
- Recognition that conflict of interest is potentially an issue, but having a wider group helps mitigate against this.

Another exercise asked attendees to explore the role of a range of key stakeholders in the way Healthwatch Sheffield will work.

An innovative art based exercise asked attendees to build and visualise the Healthwatch network of networks. This entailed attendees making connections with other organisations and people, describing the state of current relationships and where they'd like to strengthen or make connections.

**Appendix D - HealthWatch Sheffield – Options Appraisal – NHS complaints advocacy service contracting**

|   | <b>Option 1</b>  | <b>Option 2</b>  | <b>Option 3</b>   | <b>Option 4</b>   | <b>Option 5</b>  |
|---|--|--|---|---|--|
|   | Use the resources to invest in existing generic advocacy within Sheffield. | Commission a specialist complaints advocacy service regionally, or sub regionally. | Embed complaints advocacy requirement within the Healthwatch core contract. | Commission a local complaints advocacy alongside the Healthwatch core contract i.e. 2 lots. | Require the Healthwatch core contract holder to subcontract for complaints advocacy. |
| <b>Benefits Criteria</b>                        |  |  |   |   |  |
| Value for money                                 | a) 8   | a) 8   | a) 8  | a) 7  | a) 6   |
| Ability to build strong links with HW Sheffield | b) 2   | b) 5   | b) 9  | b) 7  | b) 8   |
| Realistic option for bidders                    | c) 5   | c) 8   | c) 7  | c) 8  | c) 6   |
| Fit with stakeholder* views                     | d) 6   | d) 3   | d) 3  | d) 7  | d) 5   |
| Capability to deliver a professional service    | e) 5   | e) 6   | e) 6  | e) 8  | e) 6   |
| Capability to deliver a strong HealthWatch      | f) 6   | f) 8   | f) 4  | f) 8  | f) 4   |
| <b>Total score</b>                              | <b>32</b>  | <b>38</b>  | <b>37</b>   | <b>45</b>   | <b>35</b>  |

**Scoring** - range is from 0 -10 per benefits/option, 0 being least positive, 10 being most positive.

\* For the purposes of the options appraisal, stakeholders are the citizens and organisations who've attended stakeholder events held throughout the process and those who have been consulted separately e.g. those who commission advocacy a range services for health and social care services and commissioners of other types of advocacy in Sheffield City Council.

**Definition of benefits:**

- Value for money - the extent to which the option is likely to provide a 'value for money' NHS complaints advocacy service in Sheffield.
- Ability to build strong links with Healthwatch Sheffield – the potential for a strong link between the provider of the NHS complaints advocacy service and Healthwatch Sheffield to exist or be developed e.g. to enable easy exchange of information and intelligence.
- Realistic option for bidders - the extent to which contractors will believe this to be an attractive and sustainable proposition for them to consider bidding for the contract.
- Fit with stakeholder views - whether the option fits with what stakeholders have told us either at events, or in other feedback.
- Capability to deliver a professional service - whether the option is likely to secure a contractor, who can offer a professional NHS complaints advocacy service, i.e. have the required technical capability.
- Capability to deliver a strong HealthWatch - whether the option is likely to provide a Healthwatch organisation that can meet the requirements of stakeholders as described through the service specification.

**Options:**

The options had been pre-assessed to ensure that they are all genuine options that would deliver the statutory requirement for complaints advocacy without presenting a risk to the Council.

**Commentary on scoring:**

**Option 1**

- a) More value might be achieved through using multiple mechanisms/providers and could provide economies of scale.
- b) May be muddled and complex if there are multiple providers.
- c) Existing providers may not feel able to participate in this sort of model.
- d) This has been given a neutral score, weighted slightly positively to reflect a difference in views expressed at stakeholder events and expressed by internal stakeholders, slightly more weight given to the former. Views expressed by stakeholders that a Sheffield solution is preferred.
- e) Non-specialist providers may have limited knowledge of health processes and or advocacy.
- f) Limited and complex in terms of sharing data with Healthwatch Sheffield/contract holder.

**Option 2**

- a) Provides economies of scale and shared management costs. May be some risk in respect of providing service in areas where there are prison populations= potential draw on resources.
- e) Potential limited knowledge of local setups and complexity of multiple tools.
- f) Some potential remoteness from 'local' picture.

**Option 3**

- c) Could work via e.g. consortia arrangements.
- d) Stakeholders at events and internally not in favour of this option.
- e) Potential conflict between the different elements of the contract.
- f) Provider not necessarily specialist.

**Option 4**

- b) Would provide slight external/ limits to control.

**Option 5**

- a) Additional contact costs incurred.
- b) Strong links can be contractually enforced.

**Contributors to appraisal:**

Chairperson - Sheffield LINK  
Development Manager, Quality & Involvement - Business Strategy, Sheffield City Council  
Procurement Professional - Commercial Services, Sheffield City Council  
Senior Development Officer - Business Strategy, Sheffield City Council





[Guidance for completing this form is available on the intranet](#)  
Help is also available by selecting the grey area and pressing the F1 key

**Name of policy/project/decision:** Commissioning Sheffield Healthwatch

**Status of policy/project/decision:** New

**Name of person(s) writing EIA:** Nick Hoult

**Date:** June 2012

**Service:** Business Strategy

**Portfolio:** Communities

**What are the brief aims of the policy/project/decision?**

To commission Healthwatch Sheffield (HWS) as required by the Health and Social Care Act 2012.

This EIA is focused on the approval of the 'procurement strategy process and 'subsequent contract award stage'. It also explores the equality impact of Healthwatch Sheffield when the service is in place. The EIA should be read in conjunction with the relevant Cabinet Report ' Approval for the procurement strategy, specifications and contract award for Healthwatch Sheffield'.

As part the EIA we have looked at what the new service's customer profile or 'target population' might look like, based on Sheffield's citywide demographics and health factors and also some of the inequalities / factors which might influence to what extent people might need to use the service.

We have tried to ensure that the organisations and individuals that we have engaged with during consultation on the procurement have been representative of the target population, work is ongoing to ensure groups who need to be engaged have an opportunity to influence the development and procurement of Healthwatch and the NHS complaints advocacy services.

The views, conclusions and concerns expressed during the consultation and engagement have been used to directly influence and produce the vision, specification and procurement process. This means that where we have achieved good levels of representation in our consultation and engagement, this will have helped us to ensure that equality impacts have been addressed at key stages in the Commissioning process.

**Background to HWS:**

Following the parliamentary passage of the Health and Social Care Act 2012, Healthwatch will be the new consumer champion for both health and social care. It will exist in 2 distinct forms – Local Healthwatch, at local level, and Healthwatch England, at national level.

Local Healthwatch will be established in April 2013. Until then Local Involvement Networks (LINKs) will continue to operate. Healthwatch Sheffield will carry out the same tasks as LINK, with the addition of some new responsibilities around information and advice for citizens and specialist independent advocacy for NHS complaints.

A Local Healthwatch will be an independent organisation, able to employ its own staff and volunteers, so it can become the influential and effective voice of the public. It will have to keep accounts and make its annual reports available to the public.

The Health and Social Care Act give the Local Authority a duty to establish, in a locally determined way, organisation/organisations to deliver HWS.

A vision for Healthwatch Sheffield has been developed via workshops and events held as part of the Healthwatch Pathfinder to enable key organisations, groups and citizen representatives to shape proposals for Healthwatch Sheffield .

The proposal for Healthwatch Sheffield is set out under four key objectives which Sheffield City Council will describe in more detail in a service specification:

- To establish an approach to public voice, information provision, support and advocacy in health and social care which is integrated and embedded in networks across the city of Sheffield.
- All people and communities in Sheffield will have equal access to the support and information they need to make health and social care choices which meet their individual needs.

- Provision of a transparent, accountable and non-bureaucratic governance structure for Sheffield Healthwatch which places public voice at the heart of local health, social care and public health decision making and commissioning.
- Establish a Healthwatch that is an effective 'critical friend' of GP Commissioning Consortia, Sheffield City Council, the new Health & Wellbeing Board and providers of local health social care and public health services, using the existing powers of LINK and developing a strong relationship with Sheffield's health scrutiny arrangements.

The aim of Local Healthwatch will be to give citizens and communities a stronger voice to influence and challenge how health and social care services are provided within their locality.

#### NHS Complaints advocacy

An options appraisal (Appendix D) has been undertaken to determine the best approach to tendering for the specialist independent advocacy for NHS complaints service aspect of Healthwatch Sheffield and this indicates letting the Complaints Advocacy service as a separate lot within one tender giving the best possibility of a strong professional service.

#### Are there any potential Council staffing implications, include workforce diversity? No

Under the [Public Sector Equality Duty](#), we have to pay due regard to: "Eliminate discrimination, harassment and victimisation, advance equality of opportunity and foster good relations." [More information is available on the council website](#)

| Areas of possible impact | Impact   | Impact level | Explanation and evidence (Details of data, reports, feedback or consultations. This should be proportionate to the impact.)  |
|--------------------------|----------|--------------|--|
| Age                      | Positive | Medium       | <p><b>Customer profile / target population</b></p> <p>The older retired population (80+) is projected to increase by over half between 2008 and 2031, increasing from 24,000 people to 39,600 people.</p> <p>There are now 11,700 people aged 85+.</p> <p>The working age population (16-64 age group) is projected to increase by over 20,000 people between 2008 and 2021.</p> <p>The main increase up to 2021 is in the younger, 16-39 age group. The older age group, the 40-64s, is stable until 2021, but is expected to grow significantly after that.</p> <p>The 0-15 age group is projected to increase from 94,800 people in 2008, to 115,500 people in 2031.</p> <p><b>Consultation / engagement</b></p> <p>A group of younger people supported and participated in the stakeholder event in Nov 2011 as part of 'Takeover Day'.</p> <p>Healthwatch's voice and influence role will be to represent the views of local children, young people and adults with health and social care commissioners and providers. It will have a Quality monitoring role, including the power to conduct enter and view visits to places of service provision (it's not clear if this will extend to children &amp; young people's service provision at this time). The NHS complaints advocacy service will be for children, young people and adults. The local freedoms to develop HWS will be used to engage with young people and their organisations to further shape the service requirements for HWS.</p> <p>A CYP event is planned to be held on 3/8/12 See action plan below.</p> <p>Older People have been engaged via specific invitation to events through e.g. Age UK, Expert Elders and 50+.</p> <p>Also via the mechanisms outlined in the section below relating to all groups.</p> |



| Areas of possible impact | Impact   | Impact level | Explanation and evidence<br>(Details of data, reports, feedback or consultations. This should be proportionate to the impact.)   |
|--------------------------|----------|--------------|--|
| Disability               | Positive | Medium       | <p><b>Customer profile / target population</b></p> <p><b>Mental health</b><br/>Approximately one in six people in the local population suffer with some form of mental illness, equating to around 100,000 people in the city. Local analysis indicates that there is a higher rate of depression in non-white ethnic groups.</p> <p><b>Physical, Sensory and Cognitive Disabilities</b><br/>Census data indicates that areas with the highest rate of limiting long term illness are concentrated in the east of Sheffield and parts of the centre of the city. When taken to lower geographic levels, there are some parts of Sheffield where one in three people report such problems.</p> <p><b>Learning disabilities</b><br/>In the last five years (April 2004 to April 2009), the number of adults (over 20) with a learning disability, recorded by the Sheffield Case Register, increased by 14% - from 1,941 people to 2,205. This includes a 38% increase in young adults (aged 20 to 29). A local study in 2007 predicted that the next ten years will see a 27% increase in adults with a learning disability in Sheffield. The number of people with a learning disability from BME communities increased by 80% from 187 to 339 between 1998 and 2008. As a proportion of all people with a learning disability, this was an increase from 8% to 11%. The proportion is higher in younger age groups, with 18% of under-20 year olds who have a learning disability being from BME communities.</p> <p><b>Consultation / engagement</b><br/>Disabled people have been engaged via specific invitation to stakeholder events e.g. through the Learning Disability Parliament, Sheffield Centre for Independent Living, a Diabetes self help group, Sheffield Royal Society for the Blind and Adult Social Care Customers.</p> <p>The events have been accessible for disabled people for example, British Sign Language interpreters have been advertised and present at stakeholder events and venues accessible. A range of methods have been used to gather views to ensure the process is accessible.</p> <p>Also via the mechanisms outlined in the section below relating to all groups.</p> |
| Pregnancy/ maternity     | Positive | High         | <p><b>Customer profile / target population</b><br/>Figures up to 2008/9 show that there were approximately 500 - 600 live births per month with a slightly upward trend. This would indicate around 4,500 pregnant women in Sheffield at any given time. Pregnant women are proportionately more likely to use health services and therefore proportionately potentially more likely to wish to engage with Healthwatch than other groups.<br/>(Live Birth Trends - Monthly Monitoring - NHS Sheffield).</p> <p>Also via the mechanisms outlined in the section below relating to all groups.</p>  |
| Race                     | Positive | Medium       | <p><b>Customer profile / target population</b><br/>Approximately 92,700 people in Sheffield are from ethnic minorities, an increase from 55,200 in 2001. This population is projected to continue increasing in size. This will have implications for cultural services and equalities.</p> <p><b>Consultation / engagement</b><br/>People from Black &amp; Minority (BME) have been engaged via specific</p>  |

| Areas of possible impact            | Impact   | Impact level | Explanation and evidence<br>(Details of data, reports, feedback or consultations. This should be proportionate to the impact.)   |
|-------------------------------------|----------|--------------|--|
|                                     |          |              | <p>invitation to stakeholder events e.g. ROSHNI, SADACCA, BME network, Sheffield Sickle Cell Foundation and Chinese Community.</p> <p>However feedback from the stakeholder event in November 2011 highlighted a concern about lack of take up of the event by BME people. This will be addressed via a specific event - see action plan.</p> <p>Also via the mechanisms outlined in the section below relating to all groups.</p>   |
| Religion/ belief                    | Positive | Medium       | Via the mechanisms outlined in the section below.  |
| Sex                                 | Positive | Medium       | <p><b>Customer profile / target population</b><br/>Approximately 278,800 women and 276,700 men make up the overall population of 555,500.</p> <p><b>Consultation / engagement</b><br/>Both women and men have attended stakeholder events.</p> <p>Also via the mechanisms outlined in the section below relating to all groups.</p>  |
| Sexual orientation                  | Positive | -Select-     | <p><b>Customer profile / target population</b><br/>Estimates vary but it's suggested that approximately one in twelve people are lesbian, gay or bi-sexual , around 8%. There is a range of evidence to show that LGB people experience particular health inequalities and barriers to accessing services.</p> <p><b>Consultation / engagement</b><br/>Whilst there has been some success in engaging with lesbian gay and bi-sexual people, see action plan re further steps.</p> <p>Also via the mechanisms outlined in the section below relating to all groups.</p>  |
| Transgender                         | Positive | High         | <p><b>Customer profile / target population</b><br/>Whilst the number of Transgender people in Sheffield is small, it is recognised that Transgender people are disproportionately affected by health inequalities and therefore potentially more likely to have a need to engage with Healthwatch. Efforts have been made to engage with Transgender people in shaping proposals for Healthwatch Sheffield. See section below relating to all groups.</p> <p><b>consultation / engagement</b><br/>Whilst there has been some success in engaging transgender stakeholders, see action plan re further steps.</p> |
| Carers                              | Positive | Medium       | <p><b>Customer profile / target population</b><br/>Carers are essential partners in providing care in the community and as such supporting carers is a priority for the city. The number of carers in Sheffield is approximately 61,000 people (10% of the total population).</p> <p><b>Consultation / engagement</b><br/>Carers and officers from the Sheffield Carers Centre and Advisory Service have attended Healthwatch Sheffield stakeholder events.</p> <p>Also via the mechanisms outlined in the section below relating to all groups.</p>   |
| Voluntary, community & faith sector | Positive | Medium       | As part of the Pathfinder work a one-off workshop was held where whether a simple information standard/quality mark would be useful; and achievable for small groups and organisations i.e. give out information   |

| Areas of possible impact                             | Impact   | Impact level | Explanation and evidence<br>(Details of data, reports, feedback or consultations. This should be proportionate to the impact.)  |
|--|----------|--------------|---|
|  |          |              | <p>and advice to people (leaflets, verbally etc): i.e.</p> <ul style="list-style-type: none"> <li>• have a turnover of less than £10,000)</li> <li>or</li> <li>• small user led organisation (i.e. run and governed by people who use the service or have a condition, impairment, or a special interest)</li> </ul> <p>Voluntary, Community and Faith sector have been well represented at stakeholder events.</p> <p>Also via the mechanisms outlined in the section below relating to all groups.</p>  |
| <b>Financial inclusion, poverty, social justice:</b> | Positive | Medium       | <p>We will need to ensure that the successful organisation considers financial inclusion issues where these are relevant to service delivery – for example, appropriate signposting e.g. to advice agencies; financial inclusion awareness of staff in relation to health and social care issues; consideration of the costs associated with how people access HWS, etc</p> <p>See action plan regarding picking this up in the service specification.</p>  |
| <b>Cohesion:</b>                                     | Positive | Medium       | <p>Via the mechanisms outlined in the section below.</p>  |
| <b>Other/additional: All groups</b>                  | Positive | Medium       | <p>The Sheffield population is approximately 555,500 and is projected to increase in the future, to around 600,900 people by 2020.</p> <p>A vision for Healthwatch Sheffield has been developed via workshops and events held as part of the Pathfinder to enable key organisations, groups and citizen representatives to shape proposals for Sheffield Healthwatch. Efforts have been made with some success to include as diverse a range of people from protected groups as possible in events as possible and also offer made to visit groups to discuss HWS publicised.</p> <p>A range of stakeholders have been contacted via the 'pathfinder' project including CVS Core Cities group, including NAVCA, regional children and young peoples infrastructure network and visits made to e.g.; Sheffield Carers partnership Board and Partners for Inclusion, Third Sector assembly, north Sheffield patient Group and others.</p> <p>An options appraisal has been undertaken jointly with LINK chair, HWS project team members and 'Procurement professional' to determine the approach to be taken towards tendering for the main HWS service contract and the complaints advocacy service contact.</p> <p>A dedicated web page <a href="http://www.sheffield.gov.uk/Healthwatch">www.sheffield.gov.uk/Healthwatch</a> has been included on the SCC website containing information about Healthwatch and development of HWS. Events have been used to co-produce elements of the 'procurement strategy' and shape involvement of stakeholders in the actual process.</p> <p>A HWS service specification has been developed which includes the views expressed by stakeholders, in particular considerations about equality and diversity and the inclusion of seldom heard groups and how their requirements should be met by Healthwatch Sheffield.</p> <p>The HWS model co-produced with stakeholders is predicated on a network of networks model to 'provide a mechanism for diverse voices across Sheffield to be heard and ensure that where there are people who are seldom heard, Healthwatch will provide innovative ways to gather and include their views'.</p> <p>Healthwatch tender opportunity Awareness Raising Events were run in November 2011 and January 2012 to generate market interest in the</p> |

| Areas of possible impact | Impact | Impact level | Explanation and evidence<br>(Details of data, reports, feedback or consultations. This should be proportionate to the impact.)  |
|--------------------------|--------|--------------|---|
|                          |        |              | <p>opportunity and understanding of the procurement process. Potential suppliers will be targeted through the buy4sheffield distribution list, Voluntary Action Sheffield connections and buying solutions notice board.</p> <p>A further tender support event was held on 27 June 2012.</p> <p>Stakeholder events have been held in July &amp; November 2011, January &amp; May 2012 to co-produce HWS. Where possible a range of interactive exercises have been used to gather stakeholder views. (see cabinet report for further detail)</p> <p>The new Healthwatch Sheffield organisation will become a corporate body and therefore have public sector duties and responsibilities including compliance with the Equality Act. This requirement has been included in the service specification.</p> |

**Overall summary of possible impact (to be used on EMT, cabinet reports etc):**

The impact of HWS should be positive for all protected groups. This is, however dependant on the Council ensuring that we continue to take a comprehensive and robust approach to equality issues throughout the procurement strategy, specification and contract award stages of commissioning the service. When the contract has been awarded, we need to ensure that we continue to monitor equality of opportunity (for all protected groups) as part of our governance role.

- This assessment reflects comments and concerns raised during the stakeholder involvement exercises.
- The proposed model maximises the opportunities for every Sheffield citizen to take part in Healthwatch Sheffield and have their voice heard. The coproduced vision has equality of access and diversity enshrined as a principle.
- Stakeholder involvement in equality impact assessment has directly influenced the proposed procurement strategy and plans. For example, additional tender support events have been held to encourage smaller organisations with less experience to be involved.
- The stakeholder engagement plan was designed to involve a wide range of citizens and organisations. A range of creative mechanisms was employed to ensure that everyone had an accessible opportunity to participate.

If you have identified significant change, med or high negative outcomes or for example the impact is on specialist provision relating to the groups above, or there is cumulative impact you **must** complete the action plan.

**Review date:** January 2013      **Q Tier Ref**      **Reference number:**

**Entered on Qtier:** No      **Action plan needed:** Yes

**Approved (Lead Manager):** Bev Coukham      **Date:** 3/7/12

**Approved (EIA Lead person for Portfolio):** Phil Reid **Date:** 3/7/12

**Does the proposal/ decision impact on or relate to specialist provision:** no

**Risk rating:** Low

Action plan

| Area of impact     | Action and mitigation   | Lead, timescale and how it will be monitored/reviewed            |
|--------------------|---|--|
| All groups         | Include stakeholder views expressed at events are included in the selection process. In line with this select a diverse wider group of people to be involved in the selection process.  | June - November 2012<br>Monitored via procurement project group. |
| All groups         | Include equalities issues/duties in service specification, including those raised by stakeholders.  | June 2012 - completed  |
| All groups         | Adhere to procurement procedures throughout the procurement process to ensure 'equity'.   | June - November 2012<br>Monitored via procurement project group. |
| All groups         | Approach and visit groups on request to publicise the development of Healthwatch.   | June - November 2012<br>Monitored via Pathfinder Group           |
| All groups         | Include requirement to publicise HWS in service specification to ensure information about HWS Sheffield reaches protected groups.   | June 2012 - completed  |
| All groups         | Work with Pathfinder group on Communications plan during procurement process and transition to ensure information about HWS Sheffield reaches protected groups  | Pathfinder Group<br>January-April 2013                           |
| Race               | Hold a specific BME stakeholder event as part of the Pathfinder project, inviting people using a range of methods.  | Held 16 July 2012 - Pathfinder Group-completed                   |
| Sexual orientation | Approach the Centre for HIV and sexual health, about potential visits/meetings to provide information about Healthwatch Sheffield and engage individuals and groups in the procurement.   | June/July 2012 - Pathfinder group                                |
| Financial inc      | Service specification to include re. ensuring that the successful organisation considers financial inclusion issues where these are relevant to service delivery – for example, appropriate signposting e.g. to advice agencies; financial inclusion awareness of staff in relation to health and social care issues; consideration of the costs associated with how people access HWS, etc.  | July 2012  |
| Age                | The local freedoms to develop HWS will be used to engage with children, young people and their organisations to further shape the service requirements for HWS.   | 3 <sup>rd</sup> of August 2012                                   |
| All groups         | <p>Additional considerations for the service specification and the Council's ongoing governance role of HWS:</p> <ul style="list-style-type: none"> <li>• The 'Network of network' includes networks representing diverse groups.</li> <li>• The Complaints Advocacy Service is subject to the same rigorous approach to equality.</li> <li>• HWS should be able to evidence that people accessing its service are representative of its 'target population' (Part of this evidence will be through equality monitoring. Evidence of reasonable adjustments / accessibility of service may also be required).</li> <li>• HWS should be able to monitor customer satisfaction with its service and disaggregate this data by equality groups.</li> </ul> |  |

Approved (Lead Manager): Bev Coukham Date: 3 July 2012

Approved (EIA Lead Officer for Portfolio): Phil Reid Date: 3 July 2012

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## SHEFFIELD CITY COUNCIL Cabinet Report

# 12

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**Report of:** Deputy Chief Executive

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**Date:** August 1<sup>st</sup> 2012

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**Subject:** Annual Equalities and Inclusion Report - 2011/12

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**Author of Report:** Social Justice and Inclusion Manager  
Tel 27 35861

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**Summary:** To provide Cabinet with

- An overview of progress and challenges on Equality, Diversity & Inclusion (EDI)
  - An update on progress on objectives in the Single Equality Scheme 2010 -13
  - An outline of the priorities, work underway and challenges, focused around work required to meet our Equality Duties and local priorities
  - Recommendations for action.
- 

### Reasons for Recommendations:

Our aim is to make Sheffield a fairer place to live and work and on an ongoing basis we will continue to meet the needs of our diverse customers. There is excellent work being undertaken across the Council in relation to equality, diversity and inclusion that will continue to make a difference to people's lives in the city.

However alongside this work there are areas of *persistent inequality* in key areas across the Council that this report has highlighted and undermines the good work in services. These areas should be recognised as priorities and addressed specifically if we are to improve outcomes for everyone across the city.

**Recommendations:** That Cabinet

- a) Agree the report and agree the action plans
  - b) Agree the new Equality, Diversity and Inclusion Policy
  - c) Focus our attention via the Strategic Equality Board on
- Ensuring we have joined up approaches to equality, diversity and inclusion (EDI), including working with partners to deliver joint equality approaches and objectives
  - Strengthening civic participation through representation on boards in line with the city population e.g. women, disabled, BME people, etc

- Strengthening monitoring and reporting of hate incidents & discrimination to ensure we are working to eliminate discrimination and harassment
- Setting new priority indicators for 2013- 17 in line with the recommendations of the Fairness Commission to prioritise areas with key outcome differentials or impacts
- Mainstreaming EDI performance into the Performance Management Framework and throughout business planning
- Developing a deeper knowledge of our customers & communities including consistent monitoring / analysis of differences within communities and new profiles
- Action in line with Workforce Equality Review
- Add additional questions in the staff survey on EDI and more work undertaken to understand and reduce differences.
- Ensuring EDI is embedded in procurement and commissioning arrangements.
- Re evaluate approaches to EDI in Portfolios' to ensure they are fit for purpose
- To continue to review EDI arrangements in line with any changes to legislation.

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**Background Papers: Appendices Attached**  
**Sheffield City Council - Single Equality Scheme 2010 -13**

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**Category of Report:** OPEN/

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\* Delete as appropriate



## Statutory and Council Policy Checklist

|   |
|---|
| <b>Financial Implications</b>   |
| YES Cleared by: Paul Jeffries   |
| <b>Legal Implications</b>   |
| YES/ Cleared by: Lynne Bird   |
| <b>Equality of Opportunity Implications</b>                                     |
| YES Cleared by: Adele Robinson  |
| <b>Tackling Health Inequalities Implications</b>                                |
| YES   |
| <b>Human rights Implications</b>  |
| YES   |
| <b>Environmental and Sustainability implications</b>                            |
| YES/NO  |
| <b>Economic impact</b>  |
| YES   |
| <b>Community safety implications</b>  |
| YES   |
| <b>Human resources implications</b>   |
| YES   |
| <b>Property implications</b>  |
| /NO   |
| <b>Area(s) affected</b>   |
| City wide and across the Council  |
| <b>Relevant Cabinet Portfolio Leader</b>  |
| The Leader and Cabinet Member for Communities and Inclusion                     |
| <b>Relevant Scrutiny Committee if decision called in</b>                        |
| Scrutiny Management Committee   |
| <b>Is the item a matter which is reserved for approval by the City Council?</b> |
| NO  |
| <b>Press release</b>  |
| /NO   |

# Annual Sheffield City Council Equality, Diversity and Inclusion Report 2011/ 2012

## 1.0 SUMMARY

To provide Cabinet with:

- An overview on the background and challenges on Equality, Diversity and Inclusion
- An update on progress on objectives in the Single Equality Scheme
- An outline of the priorities, work underway and challenges, focused around work required to meet our Duties and local priorities including workforce
- Recommendations for action.

## 2.0 BACKGROUND

2.1 Fairness is at the heart of the Council's values, we believe that everyone should get a fair chance to succeed but recognise that some people and communities need extra help to reach their full potential, particularly when they face multiple layers of deprivation. Tackling inequality is crucial to increasing fairness and social cohesion, reducing health problems and helping people to have independence and control over their lives. It will underpin all that we do. ". *"Standing up for Sheffield: Corporate Plan 2011-14.*

2.2 The business case for equality, diversity & inclusion (EDI) is strong; good practice will lead to benefits for all. We want our workforce culture to promote and embrace EDI; realising that each individual adds value to a team. We know our strength comes from building on and valuing our staff and customers' differences and similarities. We are committed to supporting our workforce to develop and to commission or deliver high quality services that meet the needs of everyone.

## 3.0 WHAT DOES IT MEAN FOR SHEFFIELD PEOPLE AND THE CHALLENGES AHEAD?

3.1 As a City Council, we know that unfairness and inequalities do and will exist across the city. We have a major role in tackling this, and it is important that we work with communities and partners to understand the nature of the fairness and inequalities issues affecting individuals and communities in Sheffield, along with the effect of our policies and practices

3.2 Our aim is to make Sheffield a fairer place to live and work and the report will consider how to do this in the context of reducing resources and as the organisation goes through a period of organisational changes. People have different needs and some people may need more or different resources to have access to the same outcomes as others. It places an emphasis on reducing the barriers and constraints that people operate under, helping people to have the ability to face up to challenges, and recognises that people will have diverse goals in life and make different choices.

3.3 As we address some of the persistent long term inequalities that exist in the city, it is also important that we continue on a daily basis to make real improvements and

changes to services and practices that positively impact on peoples lives. A lot of these areas are highlighted through our equality impact assessment process.

- 3.4 Some key areas of inequality and disadvantage are outlined below and must be addressed if all people are to fully contribute to all areas of life in the city and if Council priorities are to be achieved (see Appendix 9 for more detail).
- Financial exclusion is inextricably linked with poverty, and it remains a major challenge for Sheffield, which has the highest levels of financial exclusion in almost half of its wards (affecting approximately 218,743 people in 48% of wards).
  - The achievement of children and young people in Sheffield has continued to improve. However, Sheffield remains below national figures and the achievement gap between the lowest 20% of children and the average has widened by 2%.
  - The difference in life expectancy across Sheffield is approximately 11 years for men and over 6 for women.
  - Women working full-time are paid on average of 15.5% less an hour than men for doing work of equivalent value. Women pensioners therefore tend to be poorer than male pensioners. Other issues, which cannot be separated from experiences of financial exclusion and poverty, include age, ethnicity, sexuality, disability and domestic abuse etc.
  - BME and disabled people have lower average rates of employment; women have lower rates of employment, with ethnic minority women having much lower rates of employment than all other groups.
  - Disabled people are particularly at risk of disadvantage, as the unemployment and disability can become mutually reinforcing.
  - BME people have lower average rates of employment. National figures show that unemployment among young black men has doubled in three years, rising from 28.8% in 2008 to 55.9% in the last three months of 2011.<sup>1</sup> . There is a need to understand how the above applies to Sheffield in the absence of local data.
  - In terms of child poverty 37% of Sheffield is in the bottom 30% of areas, with 21% of all children in the city living in households receiving council tax benefit or housing benefit. It is also estimated that 25% of children in Sheffield live in low income households.
- 3.5 Areas of specific challenge have both a staff and customer focus:
- **Citizens and customers:** inequalities in health, attainment, employment and skills, financial inclusion, social care and personalisation, housing, community safety including hate incidents, domestic & sexual abuse and access. Developing a deeper understanding of inequality and fairness in Sheffield and of the impact on different people is critical.
  - **Staff:** workforce diversity, workforce opinion, shared understanding, reasonable adjustments, access, employee engagement, communication and training.
  - **Both:** *A lack of a shared understanding of equality, diversity and inclusion that risks leading to inappropriate and unacceptable behaviour.*
- 3.6 We should ensure our processes are transparent and fair and are seen to be. To meet this challenge we must address key elements of process, e.g. ensuring we

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<sup>1</sup> (<http://www.guardian.co.uk/society/2012/mar/09/half-uk-young-black-men-unemployed>)

have *accurate base-line information, monitoring and recording* to demonstrate where and how we are making progress.

- 3.5 [The Fairness Commission](#) has been established by Sheffield City Council to make a non-partisan strategic assessment of the nature, extent, causes and impact of inequalities in the City and to make recommendations for tackling them

#### 4.0 OUTCOME AND SUSTAINABILITY

- 4.1 Although this report will address some key ongoing challenges facing the Council, it is important to highlight that there are *daily successes and excellent ongoing work* is being undertaken by staff across the Council making a difference to people's lives.

- 4.2 Appendix 4 notes some detailed examples in relation to

- **Stonewall Education Champions - Tackling Homophobic Bullying**
- **MAST Team**
- **Fellowship Programme**
- **Home Language Accreditation (HoLA) Project**
- **Apprenticeship Scheme**

- 4.3 A few short examples from across the Council include:

##### **Advancing Equality of Opportunity**

- **Community Access and Reablement Service (CARS) pilot** supports people to get back as much of their independence as possible. The service helps people develop a personal plan for the things they want to do more independently. It also offers advice, information and signposting to other services. Customer satisfaction with the service is high – 100% of people were satisfied with their personal plan and 93% felt more independent after six weeks reablement
- The **Self Directed Support** introduction gave us the chance to offer a bigger choice of travel and transport options. A new team called Travel Solutions was set up and has helped more than 100 people get about the way that is right for them.
- **6000 Carers assessments** resulted in 2,500 carers receiving a separate carers' service and another 2,500 provided with advice and information. All Sheffield GP's have been given a booklet about how they can offer advice and support to carers.
- **Young Carers Strategy Group** established to support Young Carers Project and the VOYCE Project) with the aim of developing new models of working which bring Young Carers and organisations providing services together.
- **Reshaping the Voluntary Sector Grants** and the setting up of a new Small Grants Fund. Benefits for local people arising from the grants include access to services for people experiencing domestic abuse, support for vulnerable adults, support for older people, opportunities for people from BME communities and access to advice and advocacy services
- **Highways PFI Client Team**- Highways is traditionally a white, middle aged, male service. However, in the recent recruitment exercise out of 21 posts recruited, 3 of the appointees are BME (14%), 4 are female (19%) and 13 are in their 30's (62%).

In addition, the BME, female and young appointees are evenly spread across the grade structure.

- **Improving Social Care Payments** A group of customers from adult social care and officers are working together to coproduce a new service to process all the financial and payments aspects of receiving a personal budget
- **Work in Customer Services** to improve access to services the following are some headlines
  - Extension of availability of the Family Information Service
  - Digital champions introduced in First Point. Assisting people to reduce waiting time for things that can be done online e.g. blue badge
  - Access to money advice is being promoted as part of our service at First Point
  - Work is taking place in First Point to promote health and well-being
- **The Quality Improvement Network** in Communities has achieved the following;
  - Designed and delivered disability equality training for home care agencies
  - Been trained to recruit and select our staff
  - Co-produced a booklet to tell people about the Right to Control
  - Been on panels for nominating applicants for an accessible housing opportunity and to decide who would get funding for innovation projects
  - Worked with staff and partners to decide priorities and plans for the year
  - Reviewed information packs for customers to make sure they are easy to read
- New Web pages have been developed with extra content under headings such as, our customers, our workforce, our city and our partners. This is ongoing with the aim of **improving access to information** on equality, diversity and inclusion. Some community groups have agreed to test the new pages
- Establishing the **Fairness Commission** to make a non-partisan strategic assessment of the nature, extent, causes and impact of inequalities in the City.
- The **Sheffield 100 Apprenticeship Programme** represents the Council contribution to the overall goal of increasing the numbers of apprentices across the city, and identifying additional places.

## **Eliminating Discrimination**

- **Stonewall Education Champions** We achieved 4th place nationally this reflects effective partnership-led work on challenging homophobia and bullying in schools.
- We are rated by **Stonewall as a 'top 100 employer'** and 'consistently top performer' in the [Stonewall Diversity champions](#) Workforce Index.
- **Safeguarding Adults** is now included in training with links to disability hate crime and discriminatory abuse.
- Sheffield long-listed last year for **European Access City Award**, one of only two cities in the UK.
- Become a '[Mindful Employer](#)' organisation to support staff that experience stress, anxiety, depression and other mental health conditions.
- New **customer monitoring [form and guidance](#)** for staff and customers has been developed. This was launched in Customer Services Week in 2011.

- **Equality Impact Assessments** played a significant role in helping to mitigate the impacts of the recent recession and subsequent public spending cuts, in ensuring that, as far as possible, the city is socially and economically resilient. This can be evidenced through the recent 2012/13 Council budget setting process whereby attempts were made to minimise funding reductions to key frontline services such as Adult Social Care and protect spending in Children’s Social Care.
- We have also **reviewed our impact assessment** process and included additional areas beyond the Equality Act protected characteristics to include carers, poverty and cohesion.
- Sheffield has signed up to a **Community Covenant** and established a Community Covenant Partnership Panel to improve services for the local armed forces.
- **Home Language Accreditation (HoLA) Project.** Working in partnership with King Edward VII secondary school, Languages Sheffield and Children’s University we have secured funding for a 3 year project. It focuses on the relationship between the complimentary and mainstream schools. The Project has been nominated for the European Award for Languages. See appendix 4.

### **Fostering Good Relations**

- Developed a new **Housing Equalities Group** and they will be help us to develop the Housing Equalities Plan his year.
- **Partnership work** with the Somali Community to develop capacity within the community to address disadvantage and develop community resilience and work in Partnership with community group to address disadvantage and develop Roma community links, leadership and community resilience.
- **International Women’s Day Centenary** events in 2011 and 2012 across the city involving women from different communities and sectors, including the ‘Women of Steel’ celebration. Led to the development of new community Women’s Network.
- **Work in partnership and support disabled citizens** through the various groups such as ALG, T4All, and Partners for Inclusion. An example of this is the consultation done with the refurbishment of Weston Park Museum, including the establishment of accessible displays, the development of a Braille-tactile guide to the Park, disability awareness training for staff, including how to guide blind people and how to describe a display which cannot otherwise be accessed.
- The city centre management team have been **working with LGBT communities** supporting Sheffield Pride to help improve planning. There have been a number of improvements which will be seen at this years event on 2<sup>nd</sup> June, including having the first ever Pride Parade into the Endcliffe Park where the event takes place. Other services such as the Registry Office also attended to promote access to services. This is expected to attract in excess of 10,000 visitors from around the region.
- Over the past year we have further developed **Community Knowledge Profiles** in some new areas such as LGBT, disabled, lone parents, women and carers; we have also upgraded our existing BME profiles.
- **Partnership work with the BME Network** on a range of identified challenges such as the economy, children and young people, housing and older people.

- **LGBT survey** as part of the consultation for the Housing Strategy in 2011 (Feb-April) to help identify LGBT people's housing issues and priorities. The interim Housing Equalities Plan (2012-13) has LGBT actions on monitoring.
- We continue to **support and work with staff forums** for under represented groups within the Council such as disabled, BME and LGBT staff and have developed new carers and women's forums as a result of issues raised.

## 5.0 Legislation and Our Public Sector Duties

- 5.1 We currently comply with our legislative requirements under the [Equality Act 2010 and associated Public Sector Duties \(PSED\)](#). These are wide ranging and affect all areas of what the Council does. (See Appendix 5 for more detail).
- 5.2 We have responded to the move by [Government Equalities Office](#) towards public oversight and local accountability in how we are meeting our objectives rather than national auditing.
- 5.3 In line with our duties we have reshaped our web pages to make more information accessible to the public in January 2012 on the external site. We have grouped information in relation to 4 key areas our city, our customers, our workforce and our partners. We are consulting with stakeholders and are continuing to develop these.
- 5.4 As a matter of operational practice, we regularly undertake equality impact assessments across the Council, as a systematic way of assessing the effects that a proposed policy or decision is likely to have on different people within the city.
- 5.5 The Government has recently announced as part of its "red tape challenge" that it is to undertake a review in how the PSED is working in practice. We will review and ensure that our policies and practices are in line with any changes and the values and priorities of the Council.

## 6.0 Leadership & Strategic Oversight on Equality, Diversity and Inclusion (EDI)

- 6.1 Leadership and commitment is vital to our success, at Cabinet level the Leader has been responsible for Equalities and now there is a new Cabinet member for Communities and Inclusion following changes in May 2012. At Officer Level, the Strategic Equalities Board has been chaired by the Deputy Chief Executive and will soon be chaired by the Chief Executive. It provides a clear framework and approach to EDI across the Council, oversees performance management, and ensures services demonstrate that EDI outcomes are being delivered. The Board has representatives from each Portfolio, and also from key commercial partners such as Kier, Capita, Sheffield Homes and Veolia.
- 6.2 In addition to the Social Justice and Inclusion Manager, a range of Officers work on equality issues in Portfolios to try to ensure a robust approach to equalities in service planning and delivery and to ensure resources are used and coordinated effectively. Given the changes and challenges identified within the Council *it is important that each Portfolio review its approaches and ensures the arrangements are fit for purpose.*
- 6.3 Our approach to addressing poverty and increasing social justice will primarily come under the remit of the tackling poverty and social justice outcome linking, income maximisation, financial capability and the Whole household / key worker model and leading to the Council becoming a guarantor of excellence in equality.

6.4 In light of the work of the fairness commission we will work to assess the *impacts on individuals and communities and monitor to ensure that we enhance potential positive impacts and ensure negative impact is mitigated as far as possible*. The new Equality objectives will be embedded into business plans and the Performance Management Framework (PMF) and customer insight and journey mapping will be used to build a better picture of our customers.

## 7.0 Priority Areas

7.1 In discussion with Members, we have prioritised key strategic issues and approaches to EDI. These issues include:

- a) Meeting our Duties – Single scheme, objectives, knowing our communities
- b) Focus on key areas and outcomes
- c) Assessing the impact and future plans
- d) Staff and Workforce issues
- e) External assessments

### **A) Meeting our Duties – What we must do.**

7.2 [The Single Equality Scheme \(SES\) 2010-13](#) provides a clear framework for meeting our equality duties. The SES enables all Portfolios to contribute to equality objectives and ensures these are mainstreamed throughout the Council.

7.3 The SES recognises that everyone's needs are met in different ways. Our core challenge is to embed this standard in the service each person receives either as a service user, resident, visitor or employee. This will help us reduce inequality, barriers and discrimination. The recognition of the **5 Keys to Inclusion** was a key principle of the SES which we committed to using as a guide to ensure our services are inclusive. We need to continue to incorporate this principle in our work.

- **Reach it?** (Can people access our services)
- **Understand it?** (Do services communicate in ways that people understand)
- **Find it?** (Can the services be located easily)
- **Control it?** (Can people take control for themselves and be independent)
- **Relate to it?** (Does it relate to our customers, citizen and visitor needs)

7.4 The Scheme sets out the objectives and outcomes that demonstrate our compliance with our Public Sector General Duty. Under the General Duty one thing we must do is to demonstrate we are trying to eliminate discrimination, harassment and victimisation (including Hate Incidents). Although we have a new cross partner Strategic Group and action plan in relation to hate incidents/ crime this is an area where we need to do further work. There were very few reports in relation to disability hate crime, we believe this is due to under reporting rather than no incidents taking place, *therefore we need to increase reporting*.

7.5 We must demonstrate that from a customer and staff perspective we are monitoring, analysing and taking action in relation to the Duty. The Council is increasing coming under community scrutiny to do more of this. We therefore must further develop monitoring especially in under developed areas like LGB monitoring that better equips us to meet our objectives and Duties. *This includes strengthening monitoring and recording of hate Incidents and discrimination systematically across staff and customers.*

- Examples of [customer monitoring](#) are included on our [Specific Duty](#) web pages such as use translation and interpreting, Activity Sheffield or Blue Badge applications. We also include monitoring information in relation to staff, partners and the city.



7.6 We have also updated and consulted on our [Equality, Diversity & Inclusion policy](#).

### **Single Equality Scheme Objectives**

7.7 A significant amount of work has been undertaken on the objectives outlined in the Equality Scheme. Out of the 57 objectives set out in 2010 58% of them are on target green no concern, 39% are amber indicating they are slightly off track and are being actively managed and only 3% are red which are significantly off track and escalation is needed.

#### **7.8 Red areas on concern are**

- Increase numbers of people with mental health issues and learning disabilities into employment. This is being actively managed however the economic downturn has significantly impacted on this and adjustment will be required.
- To year on year reduce BME exclusions, although there has been a target, over the 2009-11 period, the expected reduction of exclusions has not occurred, there is a working group on this issue however this requires ongoing action. This is being actively monitored and an action plan is in place for this target.

#### **7.9 Amber areas of most concern**

- Workforce diversity appears in a number of objectives but for different groups. Due to the financial challenges for the Council and public sector in general, recruitment has been limited. However although this is amber there has been year on year improvement (see Appendix 7).
- Health inequalities appear in a number of areas. The health inequalities plan has been running for 18 months and although outputs are favourable due to the 5 year rolling average method of measurement of Health Inequalities the outcome will only become clearer over the next 12 months.
- Attainment targets have been set for specific groups e.g. BME, Special Educational needs and Free School meals pupils is very broad however attainment progress has been mixed year on year. Requires ongoing action more detail is provided in annual [scrutiny reports](#) which are available.
- A city wide partnership Hate Crime Action Plan has been developed and is being overseen by the Safer and Sustainable Communities Partnership Board, however reporting is reducing and further ongoing action is required. There were very few reports in relation to disability hate crime, we believe this is due to under reporting rather than no incidents taking place, *therefore we need to increase reporting*.
- Increase women's civic participation, decision making, participation and engagement. Although in the Scheme this applies to women there are concerns in relation to other groups such as BME and disabled people as well. This needs further monitoring

#### **Others Issues**

- Increase percentage year on year of accessible buildings in Sheffield. Although this area is green and we promote this with inclusive design via the use of Planning laws and Building Regulations. We do not currently monitor this and disabled people have indicated that this is still an area of concern.

- 7.10 The full set of objectives and progress report against each individual action is detailed in Appendix 3

### ***Knowing our Communities***

- 7.11 The General Duty requires us to foster good relations and encourage the participation of communities of interest in public life. Work in this area is developing especially around new health arrangements. Work around Community Assemblies has improved local involvement but we need to build on this and join up approaches with partners more in this area.
- 7.12 The Sheffield population has changed significantly in the past few years (See Appendix 5). Demographics raise a number of issues that the Council must consider when planning services. Communities are changing and therefore people's needs are changing. Segmentation of information is therefore crucial for effective planning and service delivery. We need deeper understanding of the differences within communities.
- 7.13 Over the past year we have developed Community Knowledge Profiles in some new areas such as LGBT, disabled, lone parents and carers and we have also upgraded our existing BME profiles. The profiles bring together a range of quantitative research and analysis, using a variety of sources. *We will continue to further develop and take action as a result of knowledge of our customers and communities including deeper analysis of differences within communities and new community profiles*
- 7.14 We are also seeking to address inconsistent customer monitoring across services via a new approach. A [new monitoring form and guidance](#) for staff and customers has been developed. This was launched in Customer services week in 2011 and it *aims to ensure we collect consistent monitoring information to ensure our services are accessible and we can understand what customers need*. If there are unfair differences we can address and change this. This will help us to provide information on groups of people that use our services. *We need to further develop consistent monitoring practice across the Council*.
- 7.15 The Council continues to support the work of a range of networks and groups such as the BME Network, Expert Elders, Youth Council, People's Parliament, 50 plus Network, Partners For Inclusion, Access Liaison Group, T4all etc. The Council is also represented on a number of multi-agency forums to work on specific issues.
- 7.16 However sometimes there is duplication of activity and increasing expectations on the Council to support other community networks. The Council and its partners need to ensure we strengthen capacity for meaningful engagement including looking at new ways of doing things especially utilising IT and social media. *Work is underway to identify requirements for community networks that will inform a review of the voluntary and community sector infrastructure*.

### **B) Focus on key areas and outcomes\***

- 7.17 There are areas of persistent inequality in key areas across the City that the Council and partners recognise recognised to be addressed differently if we are to improve outcomes for everyone across the city. (See Appendix 9 for more details)

Areas of concern include:

- **Financial exclusion** is inextricably linked with poverty, and it remains a major challenge for Sheffield, which has the highest levels of financial exclusion in almost half of its wards (affecting approximately 218,743 people in 48% of wards). Rates of unemployment are highest among those with no or few qualifications and skills,

those with caring responsibilities, lone parents, those from some ethnic minority groups, older workers and, in particular, young people. *We need to further develop understanding and impact on specific groups and work to reduce current inequalities.*

- **Health Inequalities** both in the Council and NHS Sheffield. Inequalities have meant that lives are cut short and people are not living life to the full and enjoying opportunities open to them. As the responsibility for Public Health moves into the Council we will work to reduce persistent inequalities.
- **Educational attainment** is strongly linked to socio-economic deprivation. Barriers such as poor levels of health and poor educational attainment interlink, and restrict people from improving their socio-economic position and that of their families. It is important that both aspiration and subsequent achievement are increased if this link is to be weakened. *This should also include work on absenteeism and exclusions.*
- **Community Safety** is a key factor to reducing inequality, the wellbeing of the city's residents is seriously affected by the reality and fear of crime. Gender, disability, age, ethnicity and where you live are significantly associated with feelings of safety. A further significant concern is around youth offending and gangs.

### ***C) Assessing the Impact and Future plans***

- 7.18 The principles of fairness and social justice are embedded throughout the Corporate Plan, Standing up for Sheffield. We must integrate consideration of impacts and outcomes for different people whether services are delivered in house or with external partners. Carrying out impact assessments will help us to do this.
- 7.19 Equality Impact assessments (EIAs) are one of the main routes we embed and demonstrate EDI considerations across the Council. EIAs, however, should be proportionate and the need to focus on high impact and risk.
- 7.20 Equality considerations have been made an integral part of the budget setting and decision making process. This includes building EIAs into Q Tier and business planning. The Council conducted a wide range of EIAs to understand the impact of the budget on individuals and groups in relation to fairness but understanding of cumulative impact remains the most difficult to address. EIAs must seek to further understand and mitigate where possible cumulative impact on different groups.

### ***D) Staff / Workforce Issues***

- 7.21 As a result of persistent workforce equality issues being identified we asked an independent consultancy EW Group to review and advise on further actions in relation to these areas. The review included a workforce survey, focus groups, individual interviews with staff and a desk top review of documents.
- 7.22 The review included significant stakeholder engagement and alongside looked at more than 120 documents
- Staff Survey – 1342
  - Managers' Survey – 303
  - Individual Interviews – Focus Groups – 8 Groups
  - Briefings / Facilitated Dialogues
- 7.23 The survey results are attached (Appendix 8) along with an action plan to address the key issues overseen by EMT (Appendix 2). The key themes arising from the report were;
- High Staff Interest on Equality, Diversity Inclusion
  - Significant steps by the Council on EDI

- Creating a More Positive "Culture" on E,D & I and moving beyond compliance
- Inconsistency in Staff Experience
- Lack of Workforce Representation for Specific Social Identity Groups
- Support Needed for Managers on E,D & I
- Creating More Effective Staff Forums

7.24 The Council has clearly achieved progress especially in the areas of structures, systems and strategies. However further work is needed in the areas involving staff, skills and style. In relation to strategy and management development the findings pointed to an organisation that has significant policies and processes in place to support delivery on equality and diversity. The report highlights that the effective delivery in some but not all sections of the Council is hampered by a culture that is viewed as "old school" or "predominantly white and male."

7.27 The general situation described above leads to issues arising for specific sections of the workforce with some common and separate themes emerging. The key common theme that emerges is an experience in particular voiced by women, BME and LGB staff, of discriminatory language which has over time resulted in harassment and discrimination. For disabled staff the discrimination is experienced additionally in the less than consistent application of reasonable adjustments.

7.28 The Review will support the Council in moving to a more complex or intercultural view of diversity and difference and help the Council move the organisation from beyond a "compliance culture" around EDI to where it is seen as a necessary part of the Council in achieving its vision, goals and objectives.

7.29 The key workforce diversity priorities to address include

- Lack on declaration rates for some staff e.g. disabled and LGB
- A gap between the BME and disabled profile of the city and Council,
- Job segregation in some areas.

| Description                          | Profile % 06/07 | Profile % 07/08 | Profile % 09/10 | Profile 10/11  | Profile 11/12 | % Sheffield (2006 ONS) |
|--------------------------------------|-----------------|-----------------|-----------------|----------------|---------------|------------------------|
| BME Employees<br>11.5% undeclared    | 6.00%           | 6.47%           | 8.75%           | 8.73%          | 10.41%        | 15.52%                 |
| Top 5%                               |                 |                 | 6.3%            | 6.85%          | 7.01%         |                        |
| Disabled Employees<br>48% undeclared | 1.26            | 1.51            | 2.15%           | 2.2%           | 4.51%         | 16.09%                 |
| Top 5%                               |                 |                 | 1.5             | 1.29 %         | 2.26%         |                        |
| Male employees*                      |                 |                 | 39.59%<br>FTE   | 34.91 %<br>FTE | 35.63         | 49.9%                  |
| Top 5%                               |                 |                 | 51.83           | 52.83%         | 45.91         |                        |
| Female employees*                    | 41.93           |                 | 60.41%<br>FTE   | 65.09          | 64.37         | 50.1%                  |
| Top 5%                               |                 |                 | 48.16           | 47.7%          | 54.09         |                        |
| LGB employees<br>49% undeclared      | NK              | NK              | 1.5             | 1.65*          | 3.16%         | 6% national data       |

It is important to note that there are more young males than females. Females outnumber males considerably in the 60+ age group.

### **Portfolio Profiles October 2011 - See Appendix 6 for a full breakdown**

#### **BME Profile**

Communities = 10.43%  
CYPF = 14.4%  
Place 5.2%  
DCEX 7.9%  
Resources 8.2%%

#### **Women Profile**

Communities 77.\*%  
CYPF = 72%  
Place = 27 %  
DCEX = 66%  
Resources = 50.6%

#### **Disability Profile**

Communities 5.7%  
CYPF = 3.5%  
Place = 2.9%  
DCEX = 5.3%  
Resources 5.5%

- 7.30 We continue to monitor staff perception through the employee opinion survey. Staff who are Trans, LGBT, disabled, BME, and carers score lower overall. There are significant differences in each Portfolio and services (See Appendix 7). *Further questions in the staff survey will be added on EDI and more work undertaken to understand and reduce differences.*
- 7.31 The Council also hosts apprenticeships and work placements for young and vulnerable people. These activities present opportunities to increase the diversity of the workforce by e.g. targeting under- represented groups or attracting people to work for the Council through work placements or apprenticeships. See appendix 4.
- 7.32 Although the Review looked at key challenges facing the Council, it is important to highlight that there are *daily successes and excellent ongoing work* is being undertaken by staff. A few examples from HR include
- A Workforce Profile Improvement Toolkit to assist managers
  - Mandatory Diversity Challenge training and an Equality and Diversity E - Learning course for Directors and rolled out the e learning to our other tiers of service leaders / managers and developed an E - Learning tool for employees
  - EIAs for managing employee reductions to help mitigate any actions taken and undertaken EIAs for other key changes to HR Policy
  - New Family Leave Policy allowing parents to transfer some of their maternity or adoption leave and a new policy for Dignity and Respect including new Contact Advisers to advise and support employees.
  - New reasonable adjustments guide for managers; however there are still some fundamental issues arising on a day to day basis in relation to access and reasonable adjustments for disabled staff that need to be addressed and monitored. *This will be monitored by Portfolios and HR.*

#### **E) External Assessments**

- 7.33 One of the primary ways of assessing our progress on EDI previously has been through the Equality Framework for Local Government. However during the initial review of our readiness to meet the "Excellence" standard it was decided that the *Council needs to go further than the EFLG in measuring our progress*. The EFLG as it stands is quite process rather than outcome driven. It was therefore agreed last year by EMT to postpone our external assessment. There has since been a further move by Government towards public oversight and local accountability in how we are meeting our objectives rather than national auditing. We do not believe that audit would be beneficial in improving outcomes and therefore we recommend not to

progress with the external EFLG assessment at this point. We should instead focus on the Workforce action plan and direct engagement with communities in Sheffield.

## **8.0 FINANCIAL IMPLICATIONS**

8.1 There will be further costs associated with the workforce action plan such as training for staff at a cost of approx 6k which will be split between HR and the equalities budget in DCEX. There may be costs associated with changing and supporting practice in some areas including the potential training required on some actions, but these would be managed from within the existing Portfolio /service budget as set out in the action plan. For example Resources to meet any HR cost implications and DCEX to meet the cost of community profiles.

## **9.0 LEGAL IMPLICATIONS**

9.1 As a Public Authority, we have legal requirements under Section 149 and 158 of the Equality Act 2010 as referred to in section and Appendix 5 of this document. These are often collectively referred to as the 'general duties to promote equality'. To help us meet the general equality duties, we also have specific duties, such as the requirement to produce, publish and report on equality objectives as set out in the Equality Act 2010 (Specific Duties) Regulations 2011.

## **10.0 ALTERNATIVE OPTIONS CONSIDERED**

10.1 The actions and recommendations noted are considered to be the best way to meet our Public Sector Equality Duties, to address persistent long term inequalities and to help make Sheffield a fairer and more equal place to live and work.

## **11.0 REASONS FOR RECOMMENDATIONS**

11.1 Our aim is to make Sheffield a fairer place to live and work and on an ongoing basis we will continue to meet the needs of our diverse customers. There is excellent work being undertaken across the Council in relation to equality, diversity and inclusion that will continue to make a difference to people's lives in the city.

11.2 However alongside this work there are areas of *persistent inequality* in key areas across the Council that this report has highlighted and undermines the good work in services. These areas should be recognised as priorities and addressed differently if we are to improve outcomes for everyone across the city.

## **12.0 RECOMMENDATIONS**

That Cabinet

- d) Agree the report and agree the action plans
- e) Agree the new Equality, Diversity and Inclusion policy
- f) Focus our attention via the Strategic Equality Board on
  - Ensuring we have joined up approaches to equality, diversity and inclusion (EDI), including working with partners to deliver joint equality approaches and objectives
  - Strengthening civic participation through representation on boards in line with the city population e.g. women, disabled, BME people, etc

- Strengthening monitoring and reporting of hate incidents & discrimination to ensure we are working to eliminate discrimination and harassment
- Setting new priority indicators for 2013- 17 in line with the recommendations of the Fairness Commission to prioritise areas with key outcome differentials or impacts
- Mainstreaming EDI performance into the Performance Management Framework and throughout business planning
- Developing a deeper knowledge of our customers & communities including consistent monitoring / analysis of differences within communities and new profiles
- Action in line with Workforce Equality Review
- Add additional questions in the staff survey on EDI and more work undertaken to understand and reduce differences.
- Ensuring EDI is embedded in procurement and commissioning arrangements.
- Re evaluate approaches to EDI in Portfolios' to ensure they are fit for purpose
- To continue to review EDI arrangements in line with any changes to legislation.

## **Appendices Content**

- 1 Report Action Plan
- 2 Workforce Action Plan
- 3 Equality Objectives Report
- 4 Compliance Good Practice examples
  - a) Stonewall Education Champions - Tackling Homophobic Bullying
  - b) North Mast Team
  - c) Sheffield Fellowship Programme
  - d) Home Language Accreditation (HoLA) Project
  - e) Apprenticeship Scheme
- 5 Equality Act 2010 and Public Sector Equality Duty
- 6 Key population issues for Sheffield
- 7 Staff workforce opinion and workforce profile
- 8 Equalities Review Questionnaire Results
- 9 Reports on key areas of persistent Inequality
  - a) Employment and Skills and Financial Exclusion
  - b) Education – attainment, absenteeism and exclusion
  - c) Health: Health Inequalities Action plan 2010 – 2013 - key issues
  - d) Community Safety - Youth Justice, Domestic Abuse and Hate Crime
10. Equality Diversity and Inclusion Policy

## Annual Equalities Report 2011/12

### Cabinet Appendices Content

- 1 Report Action Plan
- 2 Workforce Action Plan
- 3 Equality Objectives Report
- 4 Compliance Good Practice examples
  - a) Stonewall Education Champions - Tackling Homophobic Bullying
  - b) North Mast Team
  - c) Sheffield Fellowship Programme
  - d) Home Language Accreditation (HoLA) Project
  - e) Apprenticeship Scheme
- 5 Public Sector Equality Duty
- 6 Key population issues for Sheffield
- 7 Staff workforce opinion and workforce profile
- 8 Equalities Review Questionnaire Results
- 9 Reports on key areas of persistent Inequality
  - a) Employment and Skills and Financial Exclusion
  - b) Education – Attainment, Absenteeism and Exclusion
  - c) Health: Health Inequalities Action Plan 2010 – 2013 - key issues
  - d) Community Safety including Youth Justice, Domestic Abuse and Hate Crime
- 10 Equality Diversity and Inclusion Policy



## Appendix 1 – REPORT ACTION PLAN 2012/13

The plan will be monitored and rated quarterly and overseen by the Strategic Equality Board ongoing

| Key  | G   | Performing well / No concern - No further action needed          |           |     |   |  |
|--|---|--|-----------|-----|---|--|
|  | A   | Slightly off track / Minor concern - Active management needed    |           |     |   |  |
|  | R   | Significantly Off track / Major concern - Escalation needed      |           |     |   |  |
| Duty   | Issues  | Responsibility   | By When   | RAG | Progress / 31 <sup>st</sup> Oct/ Jan 31 <sup>st</sup> / Apr 30 and 31 <sup>st</sup> July 2013 |  |
| G2   | Ensure joined up approaches to equality, diversity and inclusion, including work with partners to deliver joint objectives                            | EMT/ Strategic Equality Board                                    | July 2013 | A   |   |  |
| G2   | Strengthen civic participation through better representation on boards etc e.g. women, disabled, bme people etc.                                      | Head of Sheffield First Partnership                              | July 2013 | A   |   |  |
| <del>G1</del><br><del>G2</del><br><del>G3</del><br><del>G4</del> | Strengthen monitoring and recording of hate incidents, & discrimination systematically across staff and customers                                     | Head of Community Safety and Head of HR                          | July 2013 | A   |   |  |
| <del>G2</del><br><del>G1</del><br><del>S1</del>                  | Integrating equality impacts and mainstream equality performance reporting in the Performance Management Framework.                                   | Director of Performance and Communication                        | July 2013 | A   |   |  |
| G2   | Ensure appropriate Equality Impacts Assessments are undertaken and acted upon across the Council  | Social Justice and Inclusion Manager                             | July 2013 | A   |   |  |
| G2 & S2 & 3  | Further develop understanding of our customers and communities including deeper analysis of differences within communities and new knowledge profiles | Director of Policy, Partnerships & Research                      | July 2013 | G   |   |  |
| G1, 2, 3   | Collect consistent monitoring information to ensure services are accessible and we can & deliver what customers need.                                 | Director of Customer services and Directors of Business Strategy | July 2013 | A   |   |  |
| G1,2 3   | Portfolio's review approaches to equalities to ensure they are fit for purpose.   | Directors of Business Strategy                                   | Sept 2012 | A   |   |  |

|           |  |  |            |   |  |
|-----------|--|--|------------|---|--|
| G3        | Identify the requirements for community networks that will feed into a review by the Council of VCF sector infrastructure.                                 | Director of Policy, Partnerships and Research          | July 2013  | A |  |
| G1, G2 G3 | Take appropriate action in line with the recommendations in the workforce equalities review action plan  | Director of HR   | July 2013  | A |  |
| G1        | Improve staff satisfaction of employee groups who are lower than average eg Trans, LGB, Disabled, BME and Carers   | Director of HR   | July 2013  | A |  |
| G1 & G2   | Monitor and ensure the apprenticeships scheme in relation to diversity in the city   | Director of Economy, Enterprise and Skills             | July 2013  | A |  |
| G2        | Further develop understanding and impact of unemployment with regard to specific groups and work to reduce current inequalities e.g. disabled, BME, women, | Director of Economy, Enterprise and Skills             | July 2013  | A |  |
| G1        | Ensure EDI is embedded and monitored in procurement and commissioning arrangements.  | Director of Commercial Services and Director of Policy | July 2013  | A |  |
| G2        | Ensure Strategic Partners are publishing relevant EDI information in relation to staff and customers in line with our duties                               | Social Justice and Inclusion Manager                   | July 2013  | A |  |
| S2        | Publish information annually to demonstrate compliance with the General Equality Duty  | Social Justice and Inclusion Manager                   | Jan 2013   | A |  |
| S3        | Publish Council information relating to staff and customers in line with Duties  | Social Justice and Inclusion Manager                   | Jan 2013   | A |  |
| S1        | Consult on and publish new Equality Objectives 2013-17 in line with the Fairness Commission  | Social Justice and Inclusion Manager                   | April 2013 | A |  |

## Short term actions in blue

| Task  | Action  | Time scale | Lead           | Progress/ 31 <sup>st</sup> July/ 31 <sup>st</sup> Oct/ Jan 31 <sup>st</sup> / Apr 30 2013         | Por | R/A /G |
|---|---|------------|----------------|---|-----|--------|
| <b>Theme 1: Develop Shared Understanding</b>              |   |            |                |   |     |        |
| A   | Map critical directors/managers, road shows and Portfolio meetings.   | April 2013 | Sonia Sharp    | Overall summary:  | P   |        |
| B   | Develop key consistent Equality Diversity and Inclusion (EDI) issues, messages and themes and ensure they are included in each meeting and via website.                                   |            |                |   | P   |        |
| C   | Set self assessment criteria for workforce inclusion covering areas of, awareness, behaviour and information.   |            |                |   |     |        |
| D   | Conduct self assessment performance reviews in these areas in each Portfolio, report via PLT, feedback to Directors Group and share learning and practice and develop cumulative picture. |            |                |   | P   |        |
| E   | Actions based on these assessments to be developed in each Portfolio.   |            |                |   | P   |        |
|   | Develop positive internal communications and messages with staff on EDI   |            |                |   | P   |        |
| <b>Theme 2: Leadership, Management and Member Support</b> |   |            |                |   |     |        |
|   | Dialogue and face to face training for staff in HR to enable them to provide the support, guidance and skills to managers, leaders and Members.   | April 2013 | Laraine Manley | Overall summary:  |     |        |
| B   | Additional Dialogues for Leaders including Members and Forums: Build on the facilitated dialogues to develop shared understanding and clarity about EDI in SCC.                           |            |                |   |     |        |
| C   | Ensure EDI including workplace culture & behaviour is built into directors/ manager's events & Portfolio road shows.  |            |                |   | P   |        |
| D   | Promoting the role of 'equality champions' throughout all levels of the organisation and portfolios   |            |                |   | P   |        |
| <b>Theme 3: Strategic Equality Board</b>                  |   |            |                |   |     |        |
|   | Review and agree new chairing and membership arrangements.  | April 2013 | Lee Adams      | Agreed John Mothersole to chair and EMT members to nominate champion to attend for each Portfolio |     |        |
| <b>Theme 4: Policies/Guidance</b>                         |   |            |                |   |     |        |
| A   | Revise policies and guidance such as diversity toolkit, leadership imperatives, performance reviews,  | April 2013 | Laraine Manley | Overall summary:  | G   |        |

| Task  | Action   | Time scale | Lead           | Progress/ 31 <sup>st</sup> July/ 31 <sup>st</sup> Oct/ Jan 31 <sup>st</sup> / Apr 30 2013 | Por | R/A /G |
|---|--|------------|----------------|---|-----|--------|
|   | recruitment and selection, culture and belief, reasonable adjustments  |            |                |   |     |        |
| B   | Ensure job descriptions and specifications ask for only necessary qualifications and experience - based on competencies  |            |                |   | P   |        |
| C   | Update code of conduct for staff and Members to promote positive inclusive behaviour   |            |                |   |     |        |
| D   | Monitoring via spot checks on recruitment practice eg panels and JD's (internal and external)  |            |                |   |     |        |
| <b>Theme 5 : Skills for Leaders including Members</b> |  | April 2013 | Laraine Manley | Overall summary:  |     |        |
|   | Revise and/or develop new learning and development opportunities:  |            |                |   |     |        |
|   | <ul style="list-style-type: none"> <li>• EDI will explicitly be included in the leadership imperatives, individual performance review framework</li> <li>• Business partners will be trained to support Portfolios in EDI explicitly</li> <li>• Face to face training to be provided to Members &amp; staff different grades in EDI</li> <li>• Online EDI courses to support such as workplace culture &amp; behaviours</li> <li>• Ensure balance in terms of social identity groups in leadership and management development</li> </ul> |            |                |   | P   |        |
| <b>Theme 6: Staff Skills</b>                          |  | April 2013 | Laraine Manley | Overall summary:  |     |        |
| A   | Encourage confidence to challenge discriminatory behaviour and practices   |            |                |   | P   |        |
| B   | Test shared understanding and skills by building 3 questions on EDI into the staff survey for the next 2 years to monitor progress.  |            |                |   |     |        |
| C   | Develop positive communications to increase declarations of staff within the staff census.   |            |                |   | P   |        |
| D   | Hold a 2012/13 Partnership conference with the LGBT multi agency group and other public sector agencies.   |            |                |   |     |        |
| <b>Theme 7: Positive Action measures</b>              |  | April 2013 | Simon Green    | Overall summary:  | G   |        |
| A   | Recruit and retain a workforce at all levels that reflects the diversity of Sheffield  |            |                |   | P   |        |



### Appendix 3: Equality Objectives

| APPENDIX 3          |   | Equality Scheme Objectives Update - 2011/12  |                        |
|---------------------|---|--|------------------------|
|                     | <b>G</b>  | Performing well / No concern - No further action needed  |                        |
| <b>Key</b>          | <b>A</b>  | Slightly off track / Minor concern - Active management needed  |                        |
|                     | <b>R</b>  | Significantly Off track / Major concern - Escalation needed  |                        |
| <b>Issue</b>        | <b>Measure</b>  | <b>Progress</b>  | <b>Progress rating</b> |
| Religion and Belief | Extend recording and monitoring systems to include faith and belief   | Our Equality Monitoring form available to all services now includes Faith/Religion/Belief. Guidance has been developed for staff and customers<br>A further project to improve equality monitoring in Care and Support services has been approved.   | <b>Green</b>           |
| Religion and belief | Ensure consultation strategies take into account working with faith and belief groups                                     | Religion /belief is an area of each impact assessment so is a consideration in decision making. Consultation takes place with faith groups wherever appropriate, e.g. before building or highways work close to a place of worship. EIAs are carried out for major consultations.  | <b>Green</b>           |
| Religion and belief | Build capacity of faith organisations to provide appropriate services to communities in their area                        | The Faith Forum existed in Sheffield until April 2012. This was fully supported by the Council with Officers and members provided support for the organisation. Unfortunately in late 2011 the external funding was no longer available for the Forum's core business and that members of the Faith Forum were not in a position to fund the operational costs of the forum. Though the Council provided gap funding to give the Forum time to secure additional resources, the members of the Forum decided to dissolve the organisation as it was then constituted. Going forward, the Council continues to support the Faith Leaders Group and provides support for Faith Leaders Group and Faith representatives linked to Community Assemblies. We will also continue to support and advise faith leaders in the City on how they may organise themselves in the future | <b>Amber</b>           |
| Religion and belief | Provide faith and belief awareness training to staff in the delivery and planning of frontline services where appropriate | The culture guide is in need of updating, it is planned to be updated by April 2013. 'The guide will reflect beliefs, lifestyle and cultures not just relating to religion. On line training on all equality issues including faith has been developed.  | <b>Amber</b>           |

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| Religion and belief | Support the development of a multi faith prayer/quiet space and retail chaplaincy in the city centre                            | Amber | A prayer room already exists in Castle Market although it is rarely used. There were plans for a multi faith prayer room in the new Market development due to under use of existing facilities and difficult financial circumstances the project is now not planned. We are working with partners to look at alternatives.  |
| Religion and belief | Support capacity building for faith communities to become members of partnership and other boards to promote civic involvement. | Green | The Sheffield Faith Leadership group is represented on Sheffield Executive Board and leads with the director of Sheffield First partnership ongoing discussions about representation on other partnership groups. The faith leadership group is also involved in Sheffield Fairness Commission.   |
| Religion and belief | Develop opportunities that help young people explore and understand theirs and others' faiths, spirituality, values and beliefs | Amber | Within the CYPF Community Cohesion Action Plan, there are a range of activities such as developing links between Madrassas and schools; a range of youth provision activities with BME young people many of whom come from a faith background and around the interface between faith and LGBT via LGBT History Month and other actions. This is an area of ongoing work and activity for CYPF.  |
| Sexual Orientation  | Be an employer of choice for LGBT people by maintaining and improving our score in the Stonewall Workplace Equality Index       | Green | We have continued to be a member of Stonewall and have improved our year on year score. We are one of only a few organisations to be in the Stonewall Top 100 index every year. Produced information and promoted events for LGBT History Month, International Day Against Homophobia (IDAHO), Spring Out LGBT Community event and Sheffield Pride (and other events in the city). Highlighted WEI in 'Working for Sheffield' article. Produced report for Strategic Equality Board to ensure LGBT work is developed throughout the council |
| Sexual Orientation  | Extend Service monitoring to fully include LGBT people  | Green | Included in the Equality Monitoring Guidance issued in October 2011. This includes a suggested monitoring form which fully includes LGB. A further project to improve equality monitoring in Care and Support services has been approved. We will monitor how the monitoring is progressed  |
| Sexual Orientation  | Reduce year on year Homophobic bullying in schools  | Green | Over a five year period, there has been a reduction in the number of incidents report in schools in four out of five years. There has been a significant investment in actions to tackle homophobic bullying in Sheffield schools. We have developed a Schools Charter as part of our commitments.  |
| Sexual Orientation  | Maintain the Stonewall Education Champions Scheme   | Green | Sheffield City Council has renewed its membership of the Stonewall Education Champions Programme for 2012-13. We were 4th in the Index 2010/11. Good practice examples included in the main report  |

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| Sexual Orientation | Ensure Homophobic hate incidents are monitored and reduced in the workforce and Council    | <p>The recording of customer complaints currently includes a tick point on hate incidents so that where a hate incident has been alleged this can be monitored and reported on.</p> <p>The Sheffield Adult Safeguarding Partnership Executive has endorsed a recommendation to undertake an EIA on Safeguarding activity and outcomes, and will rely upon data and information included in the Safeguarding Annual Report for 2010-11 and 2011-12. The final report will be cascaded across all partners to raise awareness about hate incidents/crimes in all public sector organisations - NHS Sheffield, SY Police, Probation Service, Sheffield Health and Mental Health etc. Homophobic incidents can be reported as part of hate crime reporting procedures. Last year there were 25 homophobic motivated incidents reported. For staff the Dignity and Respect policy, procedure and intranet pages have been updated and new Contact Advisers recruited. Cases will be monitored and reported on.</p> | Green |
| Sexual Orientation | Set targets to and reduce health inequalities for LGB people                               | <p>The Council have produced jointly with the PCT a Health Inequalities Action Plan which contains actions across the two organisations aimed at reducing health inequalities wherever they arise. The actions contained in the plan recognise the Inequalities experienced by BME and LGBT communities. The actions aim to improve service process, perception and provision of services across the life course.</p> <p>This plan has been running for 18 months and outputs are favourable but due to the 5 year rolling average method of measurement of Health Inequalities the outcome will become clearer over the next 12 months</p>   | Green |
| Sexual Orientation | Ensure LGB awareness raising events are given significant profile such as Pride, IDAHO etc | <p>The Council continues to promote events such as Pride &amp; IDAHO and Spring Out. E.g. on our website, through social networks and in <i>Communities News etc</i>. We further continue to Chair and support the LGBT multi agency group.</p>   | Green |
| Sexual Orientation | Survey older LGBT Housing needs  | <p>We are developing a new ten year housing strategy for Sheffield and we want to make sure this strategy addresses the needs of lesbian, gay, bisexual and transgender (LGBT) people living in Sheffield. To help inform this, we have recently completed a survey to help us understand the housing barriers and challenges faced by LGBT people living in Sheffield. .</p>   | Green |



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| Gender | Reduce year on year conception rate of girls aged 15 -17   | Over time there has been a gradual reduction of teenage pregnancies. Under 18 conception rate per 1000 girls (15-17) 2002 - 2010 2002 2003 2004 2005 2006 2007 2008 2009 2010<br>Sheffield 56.1 53.3 54.7 51.6 49.0 50.5 46.6 42.9 41.4<br>Yorkshire and the Humber 47.0 46.7 47.3 47.7 46.8 47.7 47.3 44.1 40.5<br>Statistical Neighbours 52.4 49.9 51.6 53.0 51.8 51.3 51.0 49.7 45.6<br>England 42.7 42.1 41.6 41.3 40.6 41.8 40.5 38.2 35.4   | Green |
| Gender | To recruit and retain a workforce that reflects the diversity of Sheffield at every level and develop measures to tackle job segregation | HR currently working with services to highlight and deal with gender inequality – including dealing with inappropriate attitudes and behaviours, job segregation etc.<br>A new women’s network and action plan has been developed. Equal pay claims being administered and dealt with. Workforce EIAs have been developed and updated regularly.  | Amber |
| Gender | Improve access to services for people experiencing domestic abuse  | The number of new referrals into Domestic Partnership Helpline suggests that the service is on track. The service will continue to be monitored.  | Green |
| Gender | Gather and analyse statistical and consultation information in employment and gender   | We publish information on the website in relation to our workforce and use the information to inform EIAs and Policy. We have developed a Women's, lone parents and carer's knowledge profiles for the city.  | Green |
| Gender | Continue to develop and set targets for year on year improvements to encourage more women to become entrepreneurs                        | ERDF statistics show (i.e. that we can fully evidence and are businesses that have existed for a full 12 months). .No of Businesses Assisted that are SME's – 385<br>No of Businesses Assisted that are Social Enterprises – 10<br>No of New Businesses Created – 215<br>Gross New Jobs Created – 267<br>Of which<br>No of new businesses created – majority female owned – 94<br>No of new businesses created – majority BAME owned – 35<br>Gross new jobs created for women – 126<br>Gross new jobs created for BAME – 147<br>We have details on our database of 150 BME businesses that we have supported and helped to start but which at this time we cannot fully evidence to 12 months | Green |

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| Gender | Improve the health and wellbeing of women and men with a focus on taking action to reduce health inequalities | <p>The Council have produced jointly with the PCT a Health Inequalities Action Plan which contains actions across the two organisations aimed at reducing health inequalities wherever they arise. The actions contained in the plan recognise the Inequalities experienced by men and women and different communities. The actions aim to improve service process, perception and provision of services across the life course.</p> <p>This plan has been running for 18 months and outputs are favourable but due to the 5 year rolling average method of measurement of Health Inequalities the outcome will become clearer over the next 12 months.</p> | Amber |
| Gender | Continue to raise year on year the achievement of young people, with particular reference to boys' attainment | <p>In terms of boys, over 2009-11, there has been year on year progress at KS4. at KS1 and KS2, less so. However attainment across the city is lower than national averages. See report and appendices for details.</p>   | Amber |
| Gender | Increase women's Civic participation, decision making, participation and engagement                           | <p>The Centenary of International Women's Day was celebrated across the city in 2011 with a major event in the Town hall. The Network has been founded out of this and supports this aim. Equality Impact Assessments aim to ensure that opportunities for participation, engagement, and decision making are inclusive for different groups (including men/women). In Place portfolio - Inclusive design principles are used , not only for disability access issues, but also for gender issues - for example, building family friendly designs, safety measures and good street lighting into all new developments.</p>                                  | Amber |
| Gender | Further develop strategy for carers and address childcare issues  | <p>Joint Carers City strategy developed &amp; signed up to by Health and Wellbeing Board June 2010. Implementation being monitored by Carers &amp; Young Carers Board (sub group of HWB Board). Carers make up 50% of Board membership.</p>   | Green |
| Race   | To find new additional pitches for the Gypsy/Traveller community  | <p>New additional pitches for the Gypsy/Traveller Community were prepared in 2010 but were rejected. New plans are in the process of being drawn up. However, in order for this to happen we are waiting for two things - 1) The latest guidance from National Government (due to arrive April 2012) and 2) the Revised Assessment of Need which is being prepared by Doncaster Council (currently in draft form). Once we have these we can prepare new plans and then begin the internal and public consultation processes once again.</p>  | Amber |

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| Race | Monitor and improve the investment and business opportunities in BME Communities                       | <p>ERDF statistics show (i.e that we can fully evidence and are businesses that have existed for a full 12 months). .No of Businesses Assisted that are SME's – 385</p> <p>No of Businesses Assisted that are Social Enterprises – 10</p> <p>No of New Businesses Created – 215</p> <p>Gross New Jobs Created – 267</p> <p>Of which</p> <p>No of new businesses created – majority female owned – 94</p> <p>No of new businesses created – majority BAME owned – 35</p> <p>Gross new jobs created for women – 126</p> <p>Gross new jobs created for BAME – 147</p> <p>We have details on our database of 150 BME businesses that we have supported and helped to start but which at this time we cannot fully evidence to 12 months</p>  | Green |
| Race | Improve the educational attainment of BME children and young people year on year                       | <p>There has been a general increase in the levels of BME attainment and a reduction of gaps between 2010-11, with a variation to this trend being at KS2. However at KS2 some groups, particularly Somali and Yemeni pupils have improved between 2010-11. For this indicator, all BME groups are grouped together; however, some BME groups have very high attainment levels.</p>  | Amber |
| Race | Improve the health and wellbeing of BME communities and reduce health inequalities between communities | <p>The Council have produced jointly with the PCT a Health Inequalities Action Plan which contains actions across the two organisations aimed at reducing health inequalities wherever they arise. The actions contained in the plan recognise the Inequalities experienced by different communities including BME people. The actions aim to improve service process, perception and provision of services across the life course. This plan has been running for 18 months and outputs are favourable but due to the 5 year rolling average method of measurement of Health Inequalities the outcome will become clearer over the next 12 months. - Activity Sheffield targets their health improvement work at poorer communities including BME communities. They keep data to prove their impact in these areas.</p> | Amber |
| Race | Increase provision of ESOL (English for speakers of other languages) provision within the city         | <p>We offer support to ESOL learners in terms of literacy qualification at national test level 1/2. We are currently not supporting any numeracy learners. We respond to services who signpost all learners including ESOL learners. The Communities Portfolio has a SFL action plan which links to the National Go Award Criteria which identifies the need to support ESOL learners to access learning. To help with this initiative across service areas we have 24 Skills for Life Learner supports who have undertaken a qualification and 10 of these have a specific unit in supporting ESOL learners</p>   | Amber |

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| Race       | To recruit and retain a workforce that reflects the diversity of Sheffield at every level and develop measures to tackle job segregation | Promoted the Positive Action measures in the Equality Act. Produced a Workforce Profile Improvement toolkit. Updating the Recruitment & Selection policy and procedure. Facilitated BME employee forum and workplace conference. Facilitating Communities BME employee network on recruitment and selection processes<br>Appropriate job adverts for new posts e.g. the Highways PFI team have included positive action statements to encourage applications from under represented groups.  | Amber |
| Race       | Continue to develop work to encourage more people from BME communities to become entrepreneurs   | See gender above new businesses created – majority female owned – 94No of new businesses created – majority BAME owned – 35Gross new jobs created for women – 126Gross new jobs created for BAME – 147   | Green |
| Disability | Support capacity building disabled people to become members of partnership and other boards to promote civic involvement                 | Safeguarding Advisory Forum - support a group of service users (including learning disability, physical impairment, older people, sensory impairment etc) have set up a group to advise and make recommendations to the safeguarding boards around policy and procedure and training and development. A group member from the LDPB is being supported to chair the meetings.<br>Learning Disability Partnership Board (LDPB) - A range of measures are in place to promote involvement in the LDPB and wider learning disability partnership:<br>Empowerment of learning disability forum (People's Parliament) to elect its own members to represent people's voices on LDPB and working groups<br>Close work with people with a learning disability to make LDPB as accessible as possible<br>LDPB Co-Chairs are a person with a learning disability and the Cabinet Member for Healthy and Independent Living<br>Development of LDPB and working groups where people with a learning disability are in lead/prominent roles - e.g. housing, safeguarding, leisure/culture<br>Specific activities linked to LDPB to promote civic involvement:<br>Sheffield Safe Places - (from May 2012) people with a learning disability at forefront of project to sign up shops, housing offices, libraries and other premises to provide places of support-Community Assemblies (June/July 2012) - targeted events to enable disabled people to have greater involvement and a greater say in their local community.<br>Autism Strategy Implementation Group (ASIG) - ASIG operates effectively as a Board and will be reporting to the Health and Wellbeing Board. People with an autistic spectrum condition are members of ASIG and its working groups, some of which specifically address civic involvement - accommodation and employment & inclusion.<br>Close work with people with an autistic spectrum condition, and peer support groups, to develop opportunities for people to feed in their views and, ultimately, co-produce future training and support services. | Green |

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| Disability | Increase percentage year on year of accessible buildings in Sheffield                          | Inclusive Design by Place portfolio. We continue to promote and control it through use of Planning laws and Building regulations. Every new public building, workplace or residential development with 4 units or more must be fully accessible. Planning procedures and Building regulations are used to enforce this. Therefore, Sheffield's buildings do become increasingly accessible year on year although we need to monitor to ensure this.   | Amber |
| Disability | Produce Schools Accessibility Strategy and action plan   | Schools issued with an Equality Statement toolkit which incorporates accessibility.   | Amber |
| Disability | Ensure disability related monitoring is included in hate crime reporting and target reporting  | Work developing a city wide Hate Crime Action Plan has been developed and is being overlooked by the Safer and Sustainable Communities Partnership Board to clearly incorporate the EHRC recommendations in relation to disability related harassment The Sheffield Adult Safeguarding Partnership (SASP) Executive has endorsed a recommendation to undertake an EIA on Safeguarding activity and outcomes, and will rely upon data and information included in the Safeguarding Annual Report for 2010-11 and 2011-12. . This includes improvement actions in a final report that it will be cascaded across all SASP partners to hopefully raising awareness about hate incidents/crimes in all public sector organisations - NHS Sheffield, SY Police, Probation Service, Sheffield Health and Mental Health etc. | Green |
| Disability | Increase numbers of people with mental health issues and learning disabilities into employment | March 2012: NI 146 - Adults with learning disabilities in employment: The latest information we have is for Q3 (Oct-Dec), 20 people in paid employment, out of the 604 assessed/reviewed, making 3.31%. Using this as a numerator or denominator, 604 is less than half of the register known to Social services. Further Continuation Funding project work, is on target; x5 jobs out of the agreed 10, 22 work plans out of the agreed 45. Timescale for completion is end August 2012.   | Red   |
| Disability | Monitor reasonable adjustments across the Council  | Updated policy and ensuring Reasonable Adjustments are monitored under the new Individual Performance review. This will however need monitoring as this area has been indented has having inconsistent practice.  | Amber |

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| Disability                | Sign up to the Mindful employer Scheme and monitor effectiveness  | <p>SCC did apply for, and was granted Mindful Employer status in May 2010. This has brought a number of benefits</p> <p>It is important to note that many, perhaps most, of the actions taken to improve the Council's approach &amp; performance in respect of mental health have other drivers, for example improving attendance &amp; reducing sickness absence, facilitating successful rehabilitation and return to work, tackling issues of harassment discrimination and bullying, attracting &amp; retaining employees etc. There are also linkages between better management of mental health issues in the workplace and better service to customers who may have a mental health condition. The Council is submitting an application to renew its Mindful Employer status. This application for renewal describes progress over the past two years and also shares with Mindful employer the work planned or just underway e.g. the inclusion of mental health in the core curriculum for manager development</p>   | Green |
| Age Issues – Older People | Set up Workshop and develop action plan on BME older people   | <p>Workshop held with the BME Network. In strategic commissioning 'Embedding Diversity' project is ongoing. The aims of this work stream are;</p> <ul style="list-style-type: none"> <li>• For providers and Strategic Commissioning and Partnership to have a good knowledge and understanding of customers, communities and workforce so that services are accessible, of high quality and appropriate for the needs of the people of Sheffield</li> <li>• That equality and diversity, is embedded in business as usual for Strategic Commissioning and Partnership and providers</li> </ul> <p>Work completed as part of this work stream includes;</p> <p>Equality and Diversity plan setting out actions that will be implemented to embed equality and diversity in work across the project and in business as usual for SCaP and providers. Master class for staff held, training on commissioning and diversity implemented for ALL SCaP staff. Diversity a key theme in Pif and its implementation</p> <p>Involvement in BME workshop .Training on Diversity for providers delivered. Diversity and equality resources and information on SCaP website</p> <p>While the above activities were successful work is ongoing to ensure diversity is embedded and seen as business as usual across the board.</p> | Green |
| Age – Older People        | Ensure older people have access to full range of learning opportunities   | <p><a href="https://www.sheffield.gov.uk/caresupport/adults/olderpeople/learning.html">https://www.sheffield.gov.uk/caresupport/adults/olderpeople/learning.html</a></p> <p>("Ageing well in Sheffield" is a resource for older people available on the internet and as a booklet - distributed in local libraries, to "Expert Elders" and Adult Social Care customers aged 50+).</p>  | Green |
| Age – Older People        | Ensure that older people have the appropriate information, advice and guidance in relation to staying safe and secure | <p><a href="http://www.sheffield.gov.uk/caresupport/adults/olderpeople/safety#look">http://www.sheffield.gov.uk/caresupport/adults/olderpeople/safety#look</a></p> <p>("Ageing well in Sheffield" is a resource for older people available on the internet and as a booklet - distributed in local libraries, to "Expert Elders" and Adult Social Care customers aged 50+).</p>  | Green |

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| Age – Older People | Ensure that the older population have a range of accommodation options to meet their needs   | Established reference group of older people to coproduce the strategy for making Sheffield a better place to grow old <a href="http://www.sheffield.gov.uk/in-your-area/housing-services/housing-strategies">http://www.sheffield.gov.uk/in-your-area/housing-services/housing-strategies</a>   | <b>Green</b> |
| Age – Older People | Ensure easy access to good quality and relevant information about services   | Adult social care has developed an Information and Advice Strategy for people needing social care support in Sheffield. It identifies good practice for providing information and advice, and details the special requirements for different communities, including customer care groups and minority communities.  | <b>Green</b> |
| Age – Older People | Develop a City-wide Carers' Strategy   | Joint Carers City strategy developed & signed up to by Health and Wellbeing Board June 2010. Implementation being monitored by Carers & Young Carers Board (sub group of HWB Board). See <a href="https://www.sheffield.gov.uk/caresupport/carers/carersstrategy.html">https://www.sheffield.gov.uk/caresupport/carers/carersstrategy.html</a>  | <b>Green</b> |
| Age – Older People | Increase the range of activities available for older people to take part in.   | Activity Sheffield provide a variety of activities for older people across the city to take part in, including Chair Based Exercise, fun/multi activities and games, various sports, health walks, guided walks and history talks, practical work days i.e. building conservation skills  | <b>Green</b> |
| Age – Older People | Ensure older people skills are positively recognised and we continue to encourage older people to be active in the life of the city. | Activity Sheffield continually encourage all older people within their sessions to continue/maintain their activity levels throughout and actively encourage them to utilise Sheffield's Green and Open Spaces. Older people's support and skills is recognised throughout from staff   | <b>Green</b> |
| Age – Young People | Set targets to raise educational attainment levels of BME, SEN, children who receive free school meals and boys                      | The objective of setting targets to raise the educational attainment levels of BME, SEN, children who receive free school meals and boys is very broad and requires ongoing action. These areas are monitored by CYPF and scrutiny reports are carried out every year. However targets have not been consistently met   | <b>Amber</b> |
| Age – Young People | To year on year reduce BME persistent absenteeism  | There have been a number of actions to enable a reduction of persistent BME absenteeism as well as broad absenteeism. There has been a new attendance policy for schools developed as well as engagement with parents and carers. The four Darnall Primary Schools have taken a targeted approach and a collaborative leaflet has been developed and launched at specific events where parents and carers were invited, this was reported via the local media. A competition is currently being run to support schools and early years settings in raising awareness of the importance of regular attendance. | <b>Amber</b> |

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| Age – Young People | To year on year reduce BME exclusions   | Though there has been a target to see schools in Sheffield have a year on year reduction of BME exclusions, over the 2009-11 periods, the expected year on year reduction of exclusions as targeted has not occurred. There is a working group on this issue however this requires ongoing action. This is being actively monitored and an action plan is in place for this target.   | Red   |
| Age – Young People | To reduce the proportion of children experiencing bullying from 25% in 2007 to 20% in 2010-11 achieve a reduction of racial, disability related or homophobic bullying. | Model Bullying Policy issued to all schools. Survey of schools on compliance with homophobic bullying carried out. We have been a Stonewall Education Champion since 2009. In the inaugural Stonewall Education Index 2011, nationally we came in 4th place in relation to work undertaken to reduce homophobic bullying. Schools Charter launched in 2011.   | Green |
| Age – Young People | Ensure each school has a plan to reduce bullying in relation racial, disability related or homophobic bullying  | All schools issued with a model bullying policy in 2009. Survey of compliance specifically on homophobic bullying carried out in early 2012.  | Green |
| Age – Young people | To set targets on action and reduce year on year BME over representation in the youth justice   | An evaluation of BME youth interaction in the Criminal Justice system has been compiled and reported within a Multi Agency Group of key officers. Some of the actions in the CYPF Community Cohesion Action Plan, for example diversionary positive activities, engaging with disengaged young people will support longer term reductions of BME's entering the youth justice system REMEDI has just been awarded a large grant for 5 years for Restorative Practise work in 3 Secondary Schools which will provide a further route to divert BME young people. | Amber |
| Age – Young People | Ensure that foster carers are representative of looked after children   | Model equality Statement and toolkit produced.  | Green |
| Age – Young People | To establish a timetable for the review and update of school based equality policies in line with the Equality Act  | Schools issued with model Equality Statement and toolkit to help them meet their duties under the Equality Act 2010.  | Green |
| Transgender        | We want to improve the information and support for transgender employees  | Working with Trans employees through LGBT employee network and LGBT Multi Agency Group to promote information on Trans issues. Ensure Trans employees are monitored via the employee census and recruitment monitoring  | Amber |
| Transgender        | Improve monitoring of services to include Trans gender  | Included in the Equality Monitoring Guidance issued in October 2011. This includes a suggested monitoring form which includes a question on gender identity   | Green |
| Transgender        | Monitor trans hate crime and promote reporting of incidents   | Transgender motivated incidents can be reported as part of hate crime reporting procedures. However last year there were only no transgender motivated incidents reported.  | Amber |



## **Appendix 4 Good Practice Examples**

### **A) Tackling Homophobic Bullying Good Practice**

Sheffield City Council has been a Stonewall Education Champion since 2009. In the inaugural Stonewall Education Equality Index 2011, nationally we came in 4th place.

#### **Our good practices include:**

- Research on homophobic bullying by speaking to LGBT young people, parents and carers and school based staff. A summary of the individual research reports were sent to all Sheffield Headteachers and Chairs of Governors during Anti Bullying Week
- Developing the Sheffield Schools Charter and its Guidance as a practical way of ensuring that schools implement their policies on homophobic bullying. Target of 35 (Primary and Secondary) schools achieving our Charter by July 2012
- Survey of Sheffield Schools on their bullying policy and a model Equality Statement and Toolkit developed to help Sheffield schools meet the requirements of the Equality Act 2010 refers to tackling discriminatory language and homophobic bullying
- Working in partnership to re establish a Sheffield Sex and Relationships Forum in November 2011 as a way of supporting professionals to provide excellent SRE in Sheffield
- Commissioned the NSPCC/Anti Bullying Alliance to deliver Anti Bullying training and introductory training for staff working in the 16-18 Sector
- Worked with Sheffield Hallam University on their report on tackling homophobia in South Yorkshire which was launched in Anti Bullying Week November 2011. This included the views of children and young people. Supported the University in event for local schools as part of LGBT History Month
- In schools good practice includes Y10 Equal Opportunities (Citizenship Unit); using the Stonewall FIT DVD; staff members being mentors to LGBT young people; links with Religious Studies, Art and History, for example specific lessons or talks; discussing different family structures in the curriculum etc
- Some Primary and Secondary schools who have been cited nationally as good practice by Stonewall and we support the use of the Stonewall Primary School DVD resource.
- We fund Side by Side, a peer drama on tackling homophobic bullying in schools
- Pupils from the former Wisewood Sports College performed in front of the Equalities Minister at the historic "Tackle It" Rugby Football League match involving the Sheffield Eagles Rugby Football League Club in March 2011
- Engaged with young people, through the "Dragons Den" activity held in Democracy Week
- Secondary schools and the University of Sheffield carried out research on SRE and South Asian communities which was disseminated autumn 2011.

### **B) Inclusion and Inequalities Multi Agency Support Team (MAST)**

MAST continues to collaboratively work with a range of partners to improve inclusion of vulnerable groups and individuals. We aim to reduce economic inequalities with access to health care, educate and raise aspirations of young people and parents. Examples of our activity include the following:

### **MIF (Migration Impact Fund)**

Following the MIF project funding ending in 2011 multi-agency work has continued with partners from schools, voluntary sector, police and housing. A group discusses overarching issues and planning an effective response. A focus group has been established to consider the specific community areas, individual cases, community cohesion and improving relations.

### **Direct Access to a Clinical Psychologist**

MAST are working closely with a number of partnering schools, through the exceptional needs pilot which enables mental health therapeutic interventions to be more accessible to children and families by offering Clinical Psychology provision through the schools.

### **Leadership Training for New Arrivals**

We are working closely with schools on delivering the priorities of the New Arrivals pilot, for example leadership training to students that have settled in the school well. This helps to give them a voice in community, raise aspirations and the opportunity to mentor and buddy more recent new arrivals.

### **Valuing Diversity – Rainbow project**

As part of the New Arrivals Pilot at Longley Primary, we have applied learning over recent years with meeting the needs of students with exceptional needs and language development into a base for EAL (English as an Additional Language) learners called the Rainbow Group. A staff member works with students on language and social development, and work with parents through drop ins at the school. Students are trained to be buddies to help new arrivals.

Another intervention at Longley School is the Sunshine Group which enables children with exceptional needs to make increased gains in their learning and develop confidence in a greater range of skills.

We have delivered training for teaching staff at Parkwood Academy that helps engage learners who are new to English, new to formal education, also high achievers that are new to English.

## **C) Sheffield Fellowship Key Stage 2 Programme**

The Ethnic Minority Traveller Achievement Service set up a pilot KS2 Fellowship programme in April 2009. This is a positive action initiative that aims to raise achievement, attainment and motivation of black minority ethnic pupils and other vulnerable groups at risk of underachieving at KS2. Supporting pupils at Y5 (spring term) through Y6 and transition support into Y7 (Autumn Term) at secondary, enhancing key skills in literacy and numeracy with an EAL focus. This offers personal development activities that impact positively on learning, motivation and aspirations.

### **Aims and Objectives:**

- Narrow the gap between BME/EAL pupils and Sheffield's average attainment at KS2 Level 4+ combined English and Maths
- To raise academic achievement of BME pupils and other vulnerable groups at risk of underachieving at KS2 and narrow the gap.
- To improve motivation, confidence and self-esteem
- To establish effective partnerships between schools, pupils, parents to improve outcomes.
- To support transition in to secondary school

The programme has successfully supported 3 cohorts, and received positive feedback from schools, parents and pupils:

**“The teachers have helped me with my English and Maths”. (Pupil)**

**“My daughter’s educational attainment at school has improved very well. Her self-confidence has also improved”. (Parent)**

**“I don’t know what you do with X but he’s a completely different boy in class”. (School teacher)**

### **Attainment results**

The first 2 cohorts in 2010 and 2011 have achieved great results. Pupils exceeded both the city’s average and city’s BME attainment average.

| <b>KS2 Fellowship Student Results</b> |                                   |                             |                           |  |
|---------------------------------------|-----------------------------------|-----------------------------|---------------------------|--|
|                                       | <b>Number of Pupils Supported</b> | <b>Achieved L4+ English</b> | <b>Achieved L4+ Maths</b> | <b>Achieved L4+ E &amp; M Combined</b> |
| <b>2010</b>                           | 29                                | 83% (24)                    | 83% (24)                  | 72% (21)                               |
| <b>2011</b>                           | 39                                | 85% (33)                    | 82% (32)                  | 74% (29)                               |
| <b>2012</b>                           | 29                                | TBC                         | TBC                       | TBC                                    |

Our current Y5 cohort size is 60 pupils from across Sheffield School.

### **D) The Home Language Accreditation (HoLA) Project.**

Bi-lingual children make up almost two thirds of all Sheffield school age BME population. Many of whom attend a range of supplementary (community language) schools as well as one of the city’s mainstream schools. Yet there is currently very little communication between the two sectors.

The Ethnic Minority Traveller Achievement (EMTAS) working in partnership with King Edward VII secondary school, Languages Sheffield and Children’s University have successfully secured funding from the Hamlyn foundation for a 3 year project. The project focuses on the relationship between the complimentary and mainstream schools.

The HoLA project aims to enable supplementary schools and mainstream schools to communicate effectively, to develop and accredit formally the home languages of their students, and increase the engagement of bilingual children and young people and their families with mainstream schools.

Over the next three years and using the Children’s University model, the two sectors will share information, develop positive links between the mainstream and complimentary schools by provide training around teaching, coaching, mentoring and cultural advice to mainstream schools from the complimentary schools. For further information visit: [WWW.holaproject.org](http://WWW.holaproject.org).

The project has been nominated for the European Award for Languages.

## E) Sheffield 100 Apprenticeship Programme

The City Council has an important role because of its size as an employer, its position within the various partnerships that drive economic regeneration, and as part of our strategy to combat disadvantage and reduce inequality. The Sheffield 100 Apprenticeship programme represents the Council contribution to the overall goal of increasing the numbers of apprentices across the city, and identifying additional apprenticeship places.

There is a responsibility to ensure that the wider community are aware of these opportunities and that they are accessible to all (e.g. people from ethnic minority communities, women and disabled people). Promoting equality and diversity in our own workforce and encouraging our partners and suppliers to do the same, helps to ensure that both the public and private sector benefit from a diversity of skills and talents and improved employment rates among currently under-represented groups.

Rising levels of young people not in employment, education or training (NEETs), together with the increasing diversity of the city was a challenge to the Sheffield 100 programme; however the extension of the apprenticeship programme by an additional 100 positions demonstrates the successful take up by young people. The progress to date is as follows:

- 99 female and 142 male young people applied for the opportunities, of which:
  - 58.9% were male
  - 41% were female
  - 20% were BME
  - 12% have a disability or learning difficulty
- 165 successfully started or are on the programme
- 12 are currently at the interview stage
- 136 young people have already started work, of which:
  - 61% were male
  - 39% were female
  - 20% were BME
  - 15% have a disability or learning difficulty

Sheffield Futures provide referrals for the Apprenticeship programme and as such, follow the eligibility criteria set out by the Council. The referral process ensures that each individual undertakes a Matrix accredited Information, Advice and Guidance (IAG) session. This will determine their suitability for the position and follows best practice to ensure that each young person possess the qualities and ability to fulfil the position requirements regardless of their needs or background and are not 'set up to fail'.

The uptake for the protected characteristics of BME, disability and learning difficulty can be seen to match and also exceed the percentage for the total number of applicants.

## Appendix 5 Equality Act 2010 and the Public Sector Equality Duty

5.1 Currently Section 149(1), Equality Act 2010 (the 'public sector equality duty (PSED)') places a statutory duty on the Council to 'have due regard' when exercising its functions to the need to:-

- Eliminate discrimination, harassment and victimisation
- Advance equality of opportunity
- Foster good relations

5.2 This means public bodies have to understand the effect of their policies, practices and decisions upon equality. Having due regard to the Duty involves:

- Removing or minimising disadvantages suffered by persons
- Taking steps to meet the needs of persons that are different
- Encouraging people to participate in public life
- Tackling prejudice and promote understanding
- Steps to take account of disabled persons' disabilities.

5.3 This Duty has been extended to cover the Act's relevant "Protected Characteristics":

- |                           |                                       |
|---------------------------|---------------------------------------|
| - Age                     | - gender reassignment                 |
| - disability              | - religion or belief (including none) |
| - race                    | - sexual orientation                  |
| - sex                     | - marriage and civil partnerships*    |
| - pregnancy and maternity | (*in the Act but not the duty)        |

5.4 Section 149(6) recognises that compliance with the duties may involve treating some persons more favourably than others. However, this does not to permit conduct that would otherwise be prohibited by or under the Act.

5.5 In addition to the General Duty there are Specific Duties which came into effect in July 2011. These are to:

- Publish equality objectives every four years starting
- Publish information annually to comply with the General Duty
- Publish information relating to their employees and others affected by their policies and practices
- Publish information in a way that is accessible to the public.

5.6 Section 158 provides that if the Council reasonably thinks that:-

- (a) Persons who share a protected characteristic suffer a disadvantage connected to it
- (b) Persons who share a protected characteristic have needs that are different from the needs of persons who do not share it, or
- (c) Participation in an activity by persons who share a protected characteristic is disproportionately low,

Then the Act does not prohibit the Council from taking any action which is a proportionate means of achieving the aim of:-

- (i) Enabling or encouraging persons who share the protected characteristic to overcome or minimise that disadvantage,
- (ii) Meeting those needs, or enabling or encouraging persons who share the protected characteristic to participate in that activity.

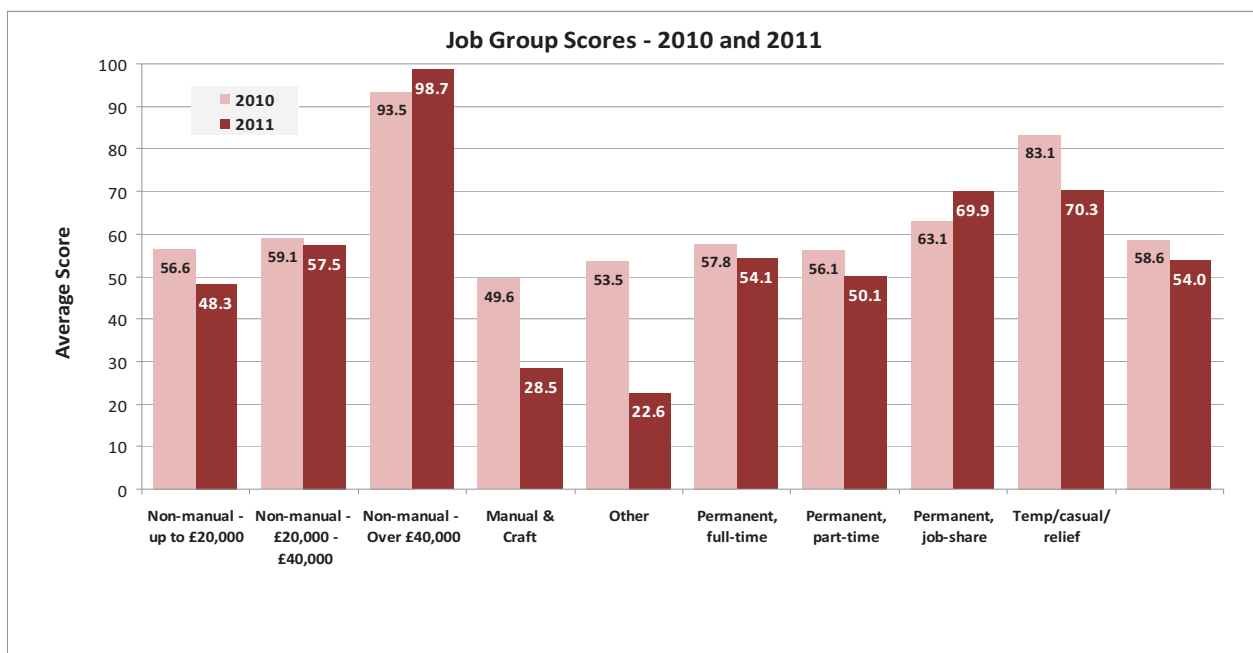
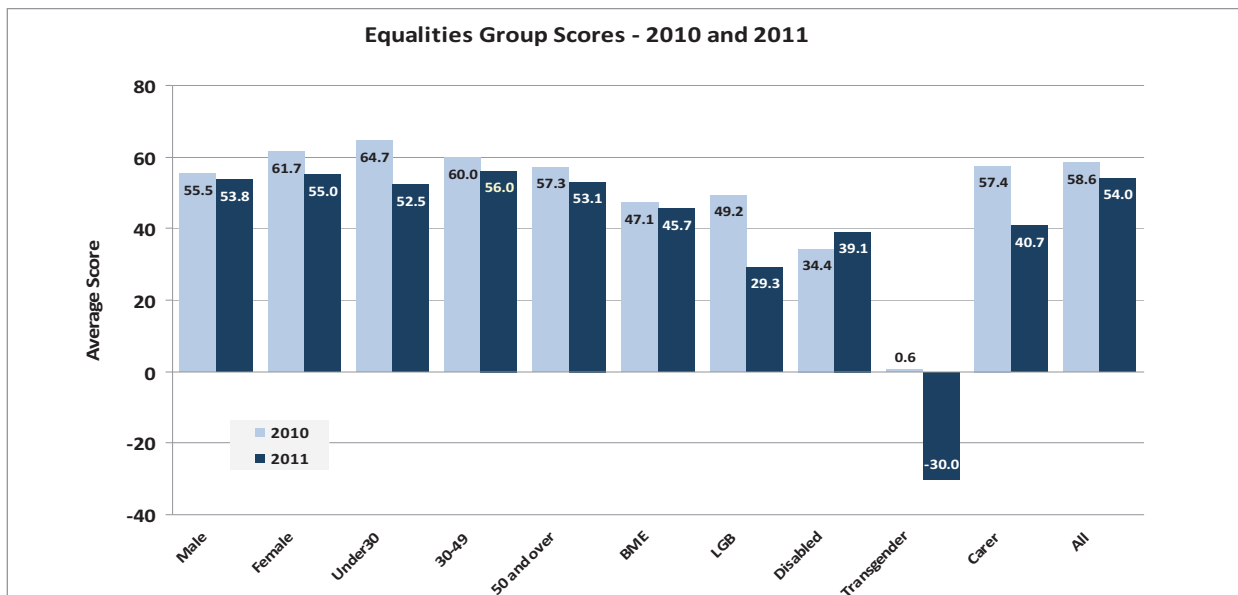
## Appendix 6: Key population issues for Sheffield

- There have been more females than males in the population, due largely to higher life expectancy for women. The numbers have been converging and are projected to meet in 2015, after which there will be more males than females in Sheffield, 5,000 more by 2035.
- There are still more women among the very elderly: 15600 aged 80 or more, compared to 8,900 men.
- The increase in Sheffield's population has been driven largely by migration, although there has also been an increase in births in recent years. The number of young adults has increased markedly in recent years, 20-34 year olds increasing by around 41,200 since 2002 around 8%.
- The population is moving back into a period of ageing. This will show particularly in the very elderly population, with a 21% increase in the 80+ population by 2021. The numbers of 0-15s will increase by 16% in the same period. There may be increasing pressure on school places in the next few years.
- The most recent Office of National Statistics (ONS) estimates (2009) suggest that the BME population in Sheffield makes up 17% of the total. The BME population is not evenly spread across the city.
- Disability in Sheffield is often difficult to map and analyse. There is no agreed definition which allows for a measurement of the numbers of disabled people. The 2001 Census indicated that the number of adults with a long term limiting illness in Sheffield was 105,815, equivalent to around 20% of the population.
- At the city level, Disability Living Allowance claimants in Sheffield have increased from 27,560 in 2002 (5.3% of the total population) to 32,800 in 2009 (5.9% of the total population).

## Appendix 7: Staff Survey and Workforce Profile 2011

There are issues for all staff reflected in the survey but there are key difference related to particular equality characteristics. Below is an overview of issues from across portfolios.

- LGB scores have fallen significantly and Trans staff most unhappy
- Disabled staff scores have increased but are still significantly lower
- BME staff scores fell, however the fall was lower than the scores for all staff so the difference decreased. Still lower overall.
- Women, carers, transgender and under 30s staff fell significantly.
- There are significant differences in Portfolios e.g. LGBT staff in CYPF and Resources increased and fell in Place and Communities. Some service areas have a much higher percentage of BME, LGB, disabled, carers and trans staff and this impacts on scores. This is being explored as we prioritise actions. \*See full staff survey results further overview below

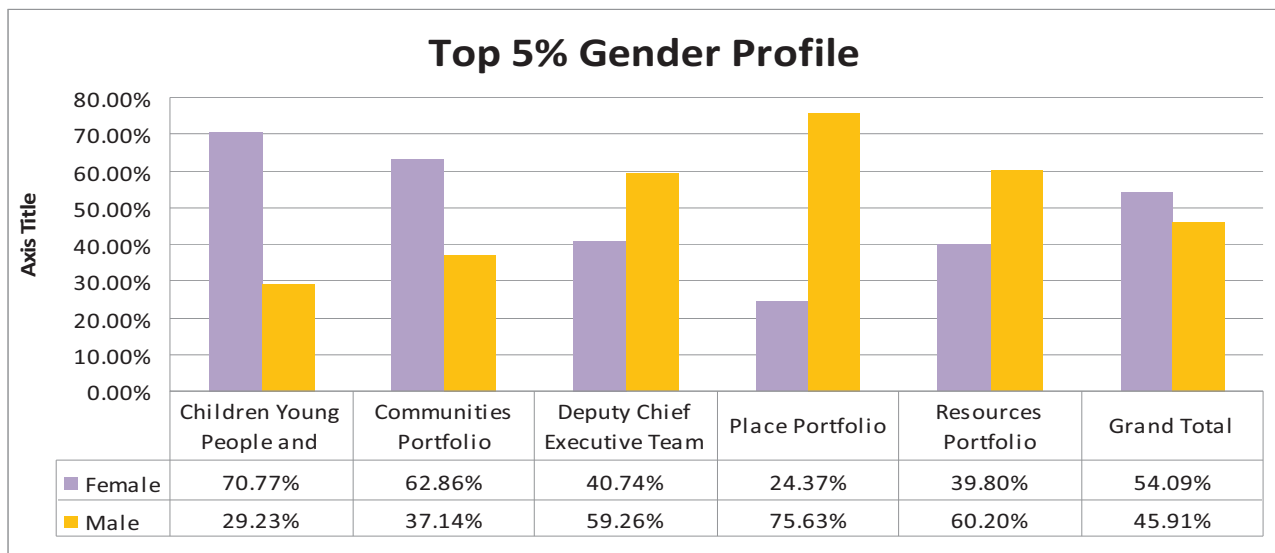
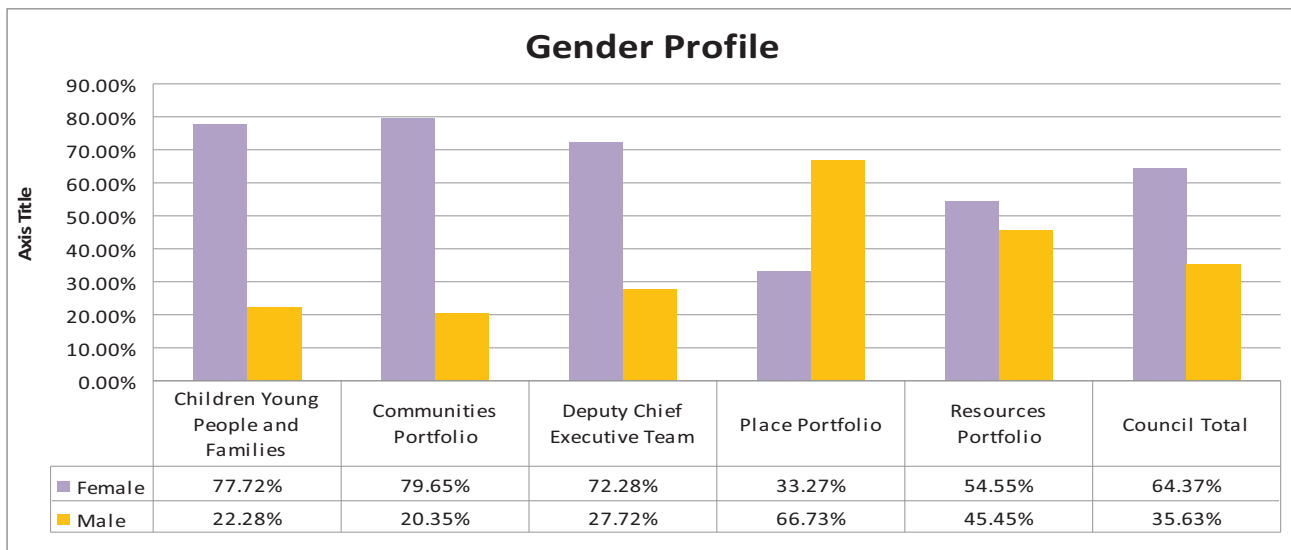


## Workforce Profiles

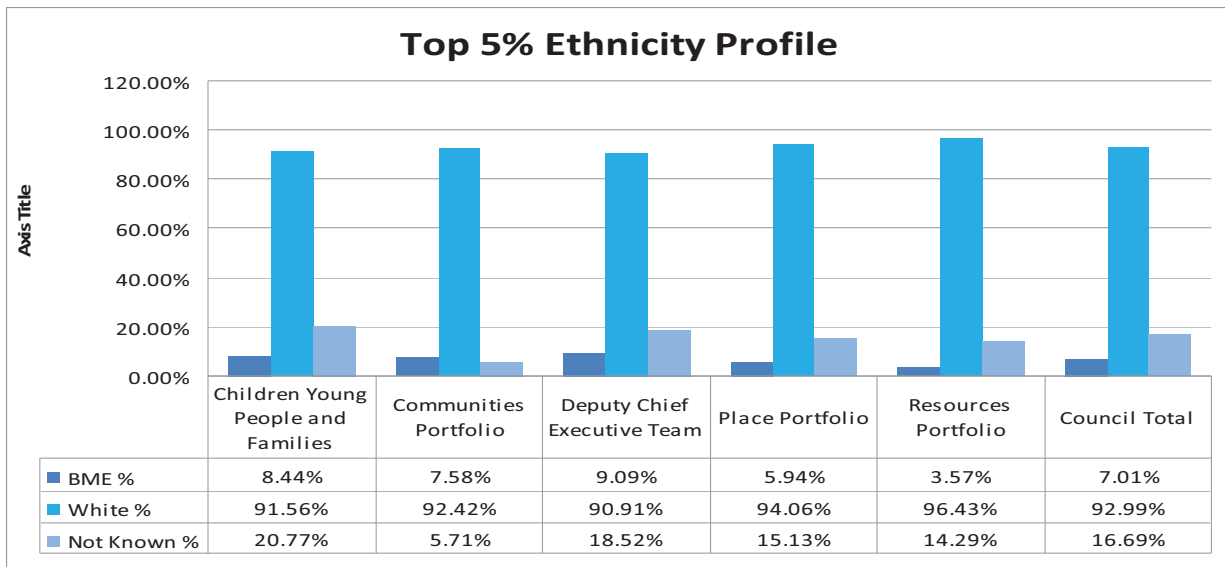
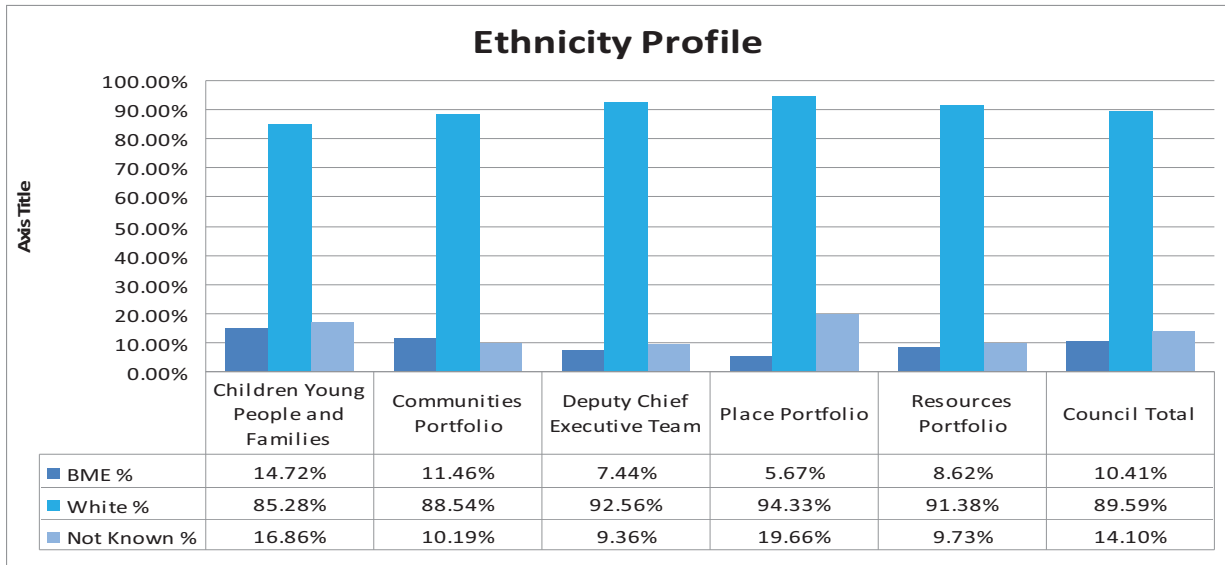
There are a number of employees who choose not tell us information about their “protected characteristic” on the Employee Census. For example if they are disabled or not. The way employee data is presented and reported is that we do not make any assumption about them and we record that as an unknown percentage. The workforce profiles below are therefore calculated as a percentage of those staff that have told us information about themselves for example they are disabled or not. The unknown is shown as an additional percentage amount.

The monitoring information is anonymous and is used for example to see whether certain staff groups are disproportionately more likely to be made vulnerable to redundancy.

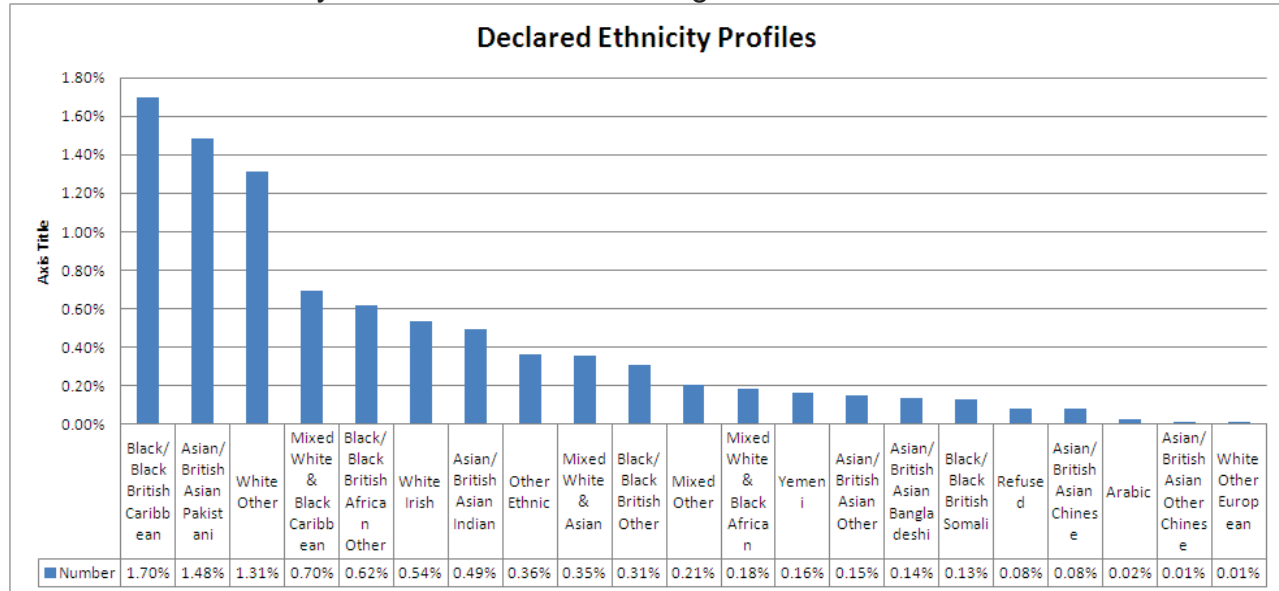
The information below is segmented into the different Portfolios of the Council, so we can monitor where we need to take any action to address issues.



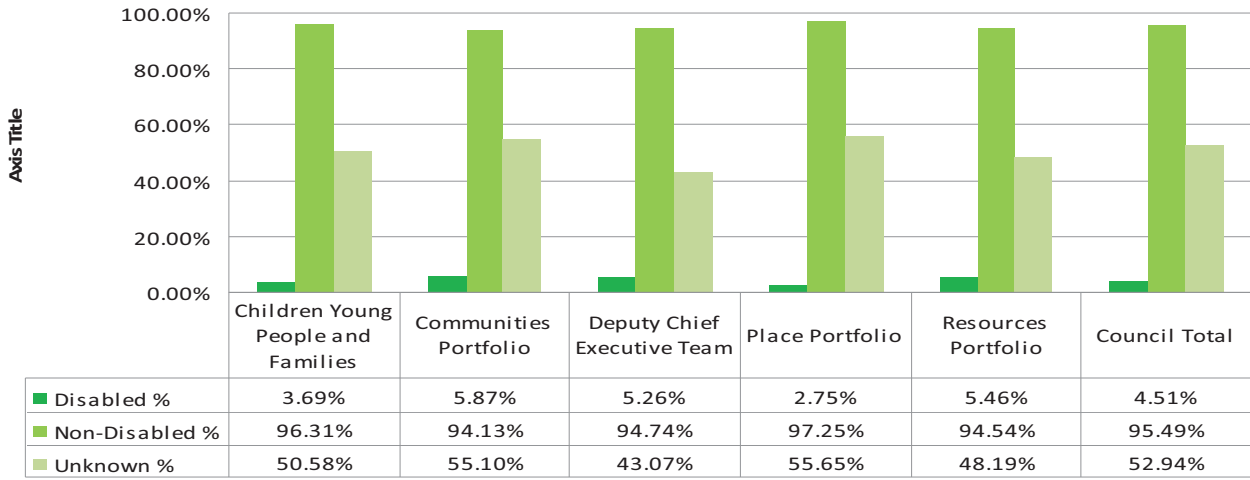




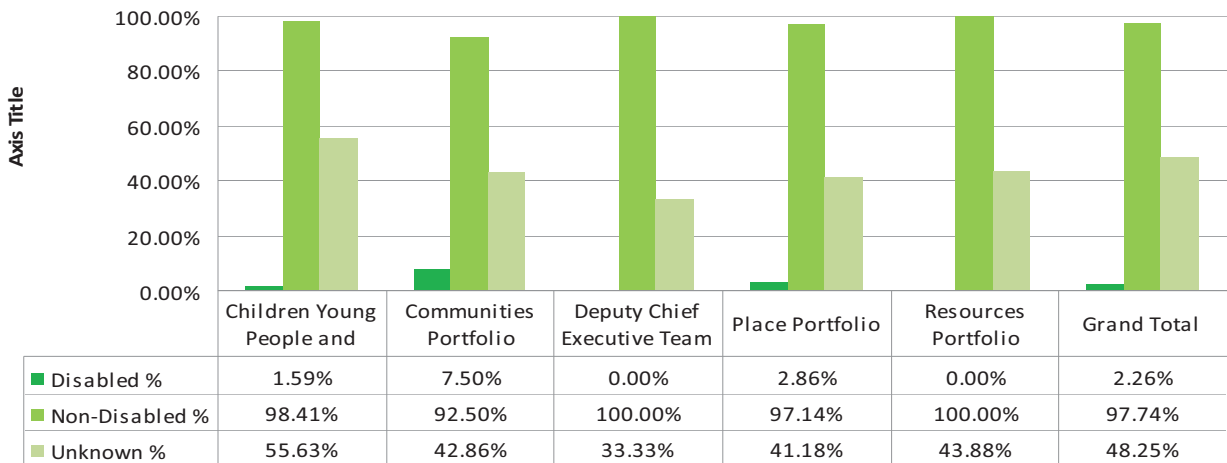
More detailed Ethnicity breakdown excludes “English/Welsh/Scottish/N.Irish/British” at 76.96 %



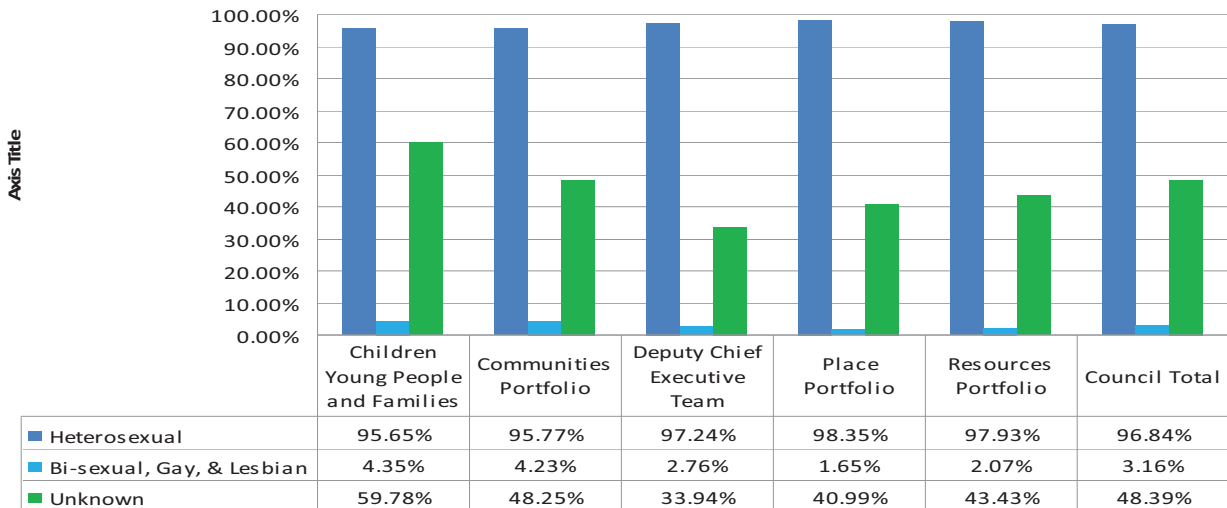
### Disability Profile



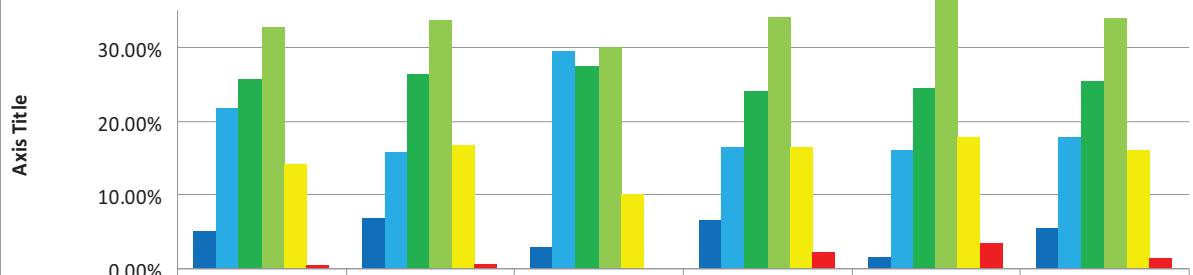
### Top 5% Disability Profile



### Sexual Orientation Profile



### Age Profile % of Portfolio



|                | Children Young People and Families | Communities Portfolio | Deputy Chief Executive Team | Place Portfolio | Resources Portfolio | Council Totals |
|----------------|------------------------------------|-----------------------|-----------------------------|-----------------|---------------------|----------------|
| ■ 25 And Under | 5.00%                              | 6.87%                 | 3.00%                       | 6.62%           | 1.59%               | 5.59%          |
| ■ 26 - 35      | 21.81%                             | 15.86%                | 29.59%                      | 16.56%          | 15.92%              | 17.92%         |
| ■ 36 - 45      | 25.64%                             | 26.28%                | 27.34%                      | 24.03%          | 24.49%              | 25.39%         |
| ■ 46 - 55      | 32.70%                             | 33.64%                | 29.96%                      | 34.07%          | 36.69%              | 33.79%         |
| ■ 56 - 65      | 14.29%                             | 16.67%                | 10.11%                      | 16.42%          | 17.77%              | 15.92%         |
| ■ Over 65      | 0.56%                              | 0.68%                 | 0.00%                       | 2.30%           | 3.54%               | 1.39%          |

## Appendix 8 EW Group Review Scores

### 4.5 Appendix 5: Staff Survey Results

#### All Staff Questionnaire

1. There is regular discussion of equality and diversity in our team meetings

|                   |     |
|-------------------|-----|
| Strongly Agree    | 6%  |
| Agree             | 24% |
| Slightly Agree    | 25% |
| Slightly Disagree | 13% |
| Disagree          | 24% |
| Strongly Disagree | 8%  |

2. Manager encourages discussion and development of work on equality and diversity with the team.

|                   |     |
|-------------------|-----|
| Strongly Agree    | 9%  |
| Agree             | 30% |
| Slightly Agree    | 24% |
| Slightly Disagree | 14% |
| Disagree          | 18% |
| Strongly Disagree | 5%  |

3. My colleagues recognise and discuss where issues relating to equality and diversity are relevant to the job.

|                   |     |
|-------------------|-----|
| Strongly Agree    | 15% |
| Agree             | 45% |
| Slightly Agree    | 21% |
| Slightly Disagree | 9%  |
| Disagree          | 8%  |
| Strongly Disagree | 2%  |

4. My manager raises issues and sets targets linked to the needs of all people employed and served by

Sheffield City Council in performance appraisal and in supervision / one to ones.

|                   |     |
|-------------------|-----|
| Strongly Agree    | 13% |
| Agree             | 37% |
| Slightly Agree    | 22% |
| Slightly Disagree | 11% |
| Disagree          | 12% |
| Strongly Disagree | 5%  |

5. I trust management in my section to allocate new learning and development opportunities equally and fairly across the team.

|                   |     |
|-------------------|-----|
| Strongly Agree    | 24% |
| Agree             | 41% |
| Slightly Agree    | 14% |
| Slightly Disagree | 9%  |
| Disagree          | 7%  |
| Strongly Disagree | 5%  |

6. I am confident in reporting bullying and harassment and hate crime incidents in my section / department.

|                   |     |
|-------------------|-----|
| Strongly Agree    | 27% |
| Agree             | 42% |
| Slightly Agree    | 14% |
| Slightly Disagree | 7%  |
| Disagree          | 6%  |
| Strongly Disagree | 4%  |

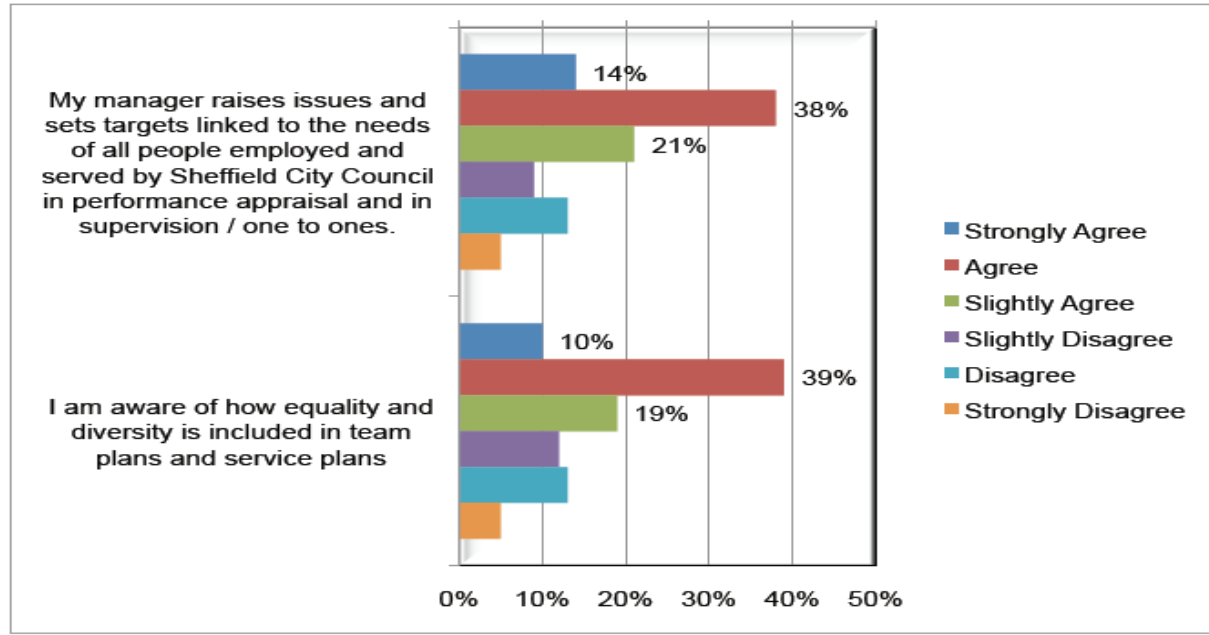
7. I am confident that when I report bullying and harassment and hate crime in my section / department it will be dealt with.

|                   |     |
|-------------------|-----|
| Strongly Agree    | 21% |
| Agree             | 41% |
| Slightly Agree    | 18% |
| Slightly Disagree | 9%  |

|  |     |
|--|-----|
| Disagree   | 7%  |
| Strongly Disagree                                    | 4%  |
| <b>8. I understand the role of the staff forums.</b> |     |
| Strongly Agree                                       | 16% |
| Agree  | 42% |
| Slightly Agree                                       | 21% |
| Slightly Disagree                                    | 10% |
| Disagree   | 8%  |
| Strongly Disagree                                    | 3%  |
| <b>9. I am supported in attending staff forums</b>   |     |
| Strongly Agree                                       | 9%  |
| Agree  | 36% |

|  |     |
|--|-----|
| Slightly Agree   | 28% |
| Slightly Disagree  | 13% |
| Disagree   | 11% |
| Strongly Disagree  | 3%  |
| <b>10. Council consistently shows it is fair in the way it employs and retains staff from diverse backgrounds in line with its policies.</b> |     |
| Strongly Agree   | 11% |
| Agree  | 46% |
| Slightly Agree   | 24% |
| Slightly Disagree  | 9%  |
| Disagree   | 6%  |
| Strongly Disagree  | 4%  |

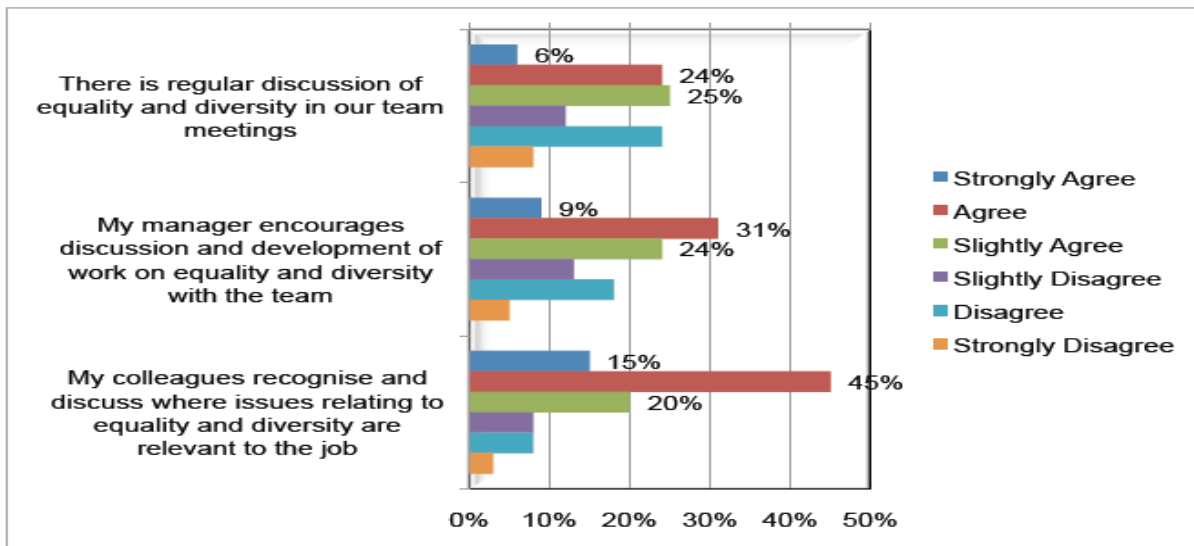
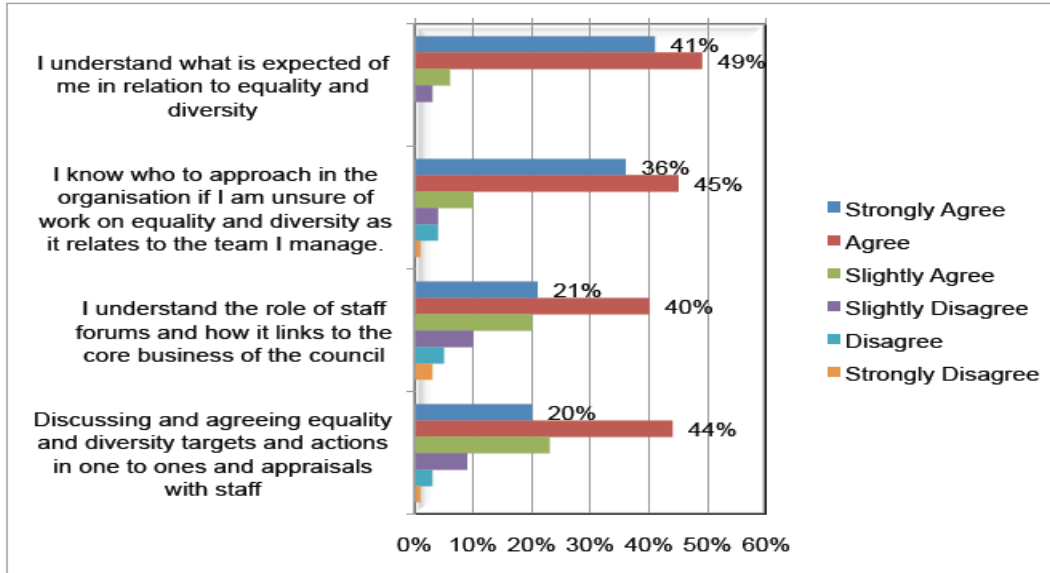
Staff:



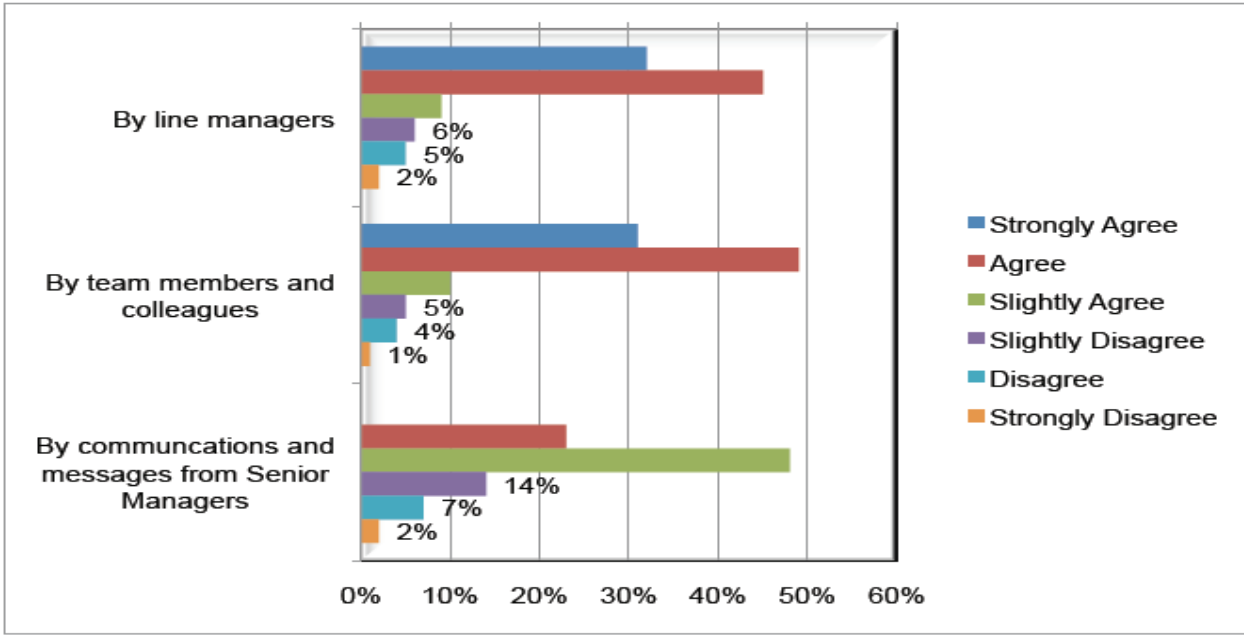
*Clarity of Goals and Objectives*

As noted above, the Council has recognised the need to for mainstreaming "target setting and monitoring and measurement of those targets within the core performance and management structures." The survey results (both staff and managers) seem to show a very high degree of discussion and setting of targets (73% for staff, 64% for managers).

managers:

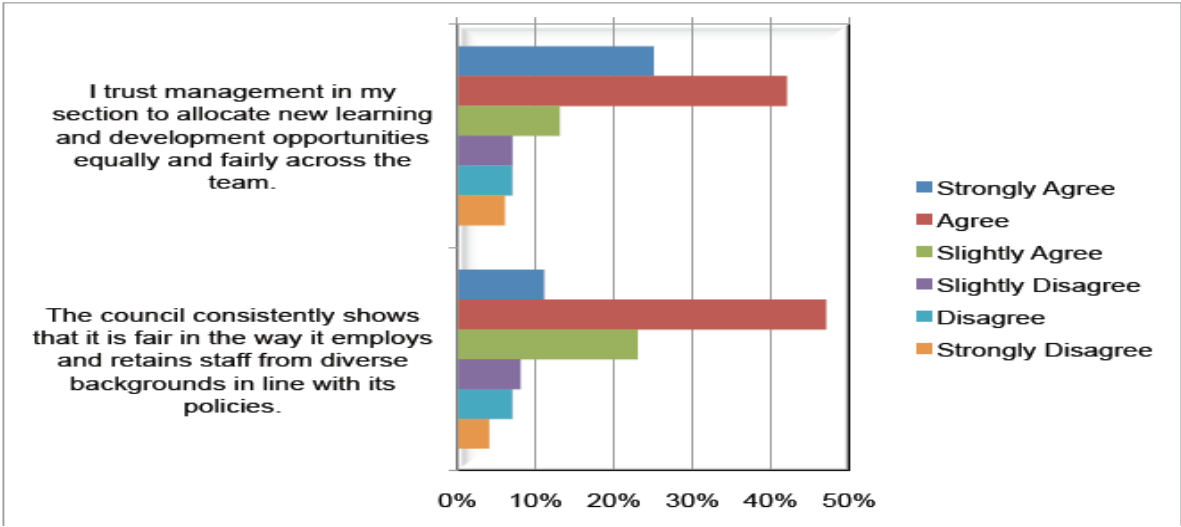


There is lack of consistency in how staff experience the organisation in terms of equality, diversity and inclusion. There is also lower staff satisfaction for some social identity groups as evident in various data sources including previous Council surveys, the survey conducted in this Review, individual interviews and focus groups. The graph on the next page reflects staff feelings on how "equally" or "fairly" they are treated by their managers, colleagues and senior managers:



The survey shows that between 10-23% do not feel treated equally or fairly by others in the organisation.

The questions on recruitment and progression draw out perceptions of how well the council is delivering on "fair treatment" in terms of opportunities for individual and groups. As shown in the graph on the next page, a large majority, 81% agree that the Council has fair practices in terms of recruitment, selection and progression. 19% however disagreed (slightly to strongly) on whether the Council has fair practices.



## Manager's Questionnaire

1. I understand what is expected of me in relation to equality and diversity

|                   |     |
|-------------------|-----|
| Strongly Agree    | 41% |
| Agree             | 49% |
| Slightly Agree    | 6%  |
| Slightly Disagree | 4%  |
| Disagree          | 0%  |
| Strongly Disagree | 0%  |

2. I know who to approach in the organisation if I am unsure of work on equality and diversity as it relates to the team I manage.

|                   |     |
|-------------------|-----|
| Strongly Agree    | 35% |
| Agree             | 44% |
| Slightly Agree    | 11% |
| Slightly Disagree | 5%  |
| Disagree          | 4%  |
| Strongly Disagree | 1%  |

3. I understand the role of staff forums and how it links to the core business of the council.

|                   |     |
|-------------------|-----|
| Strongly Agree    | 21% |
| Agree             | 40% |
| Slightly Agree    | 21% |
| Slightly Disagree | 11% |
| Disagree          | 5%  |
| Strongly Disagree | 2%  |

4. Are there specific areas in terms of managing equality and diversity that you would like more support with as a line manager?

A/ Developing an inclusive working environment that ensures any harassment of staff from colleagues or the public which the member of staff is protected from by equality law (see areas listed in introductory letter) is brought to manager's attention at the earliest opportunity.

|                   |     |
|-------------------|-----|
| Strongly Agree    | 32% |
| Agree             | 50% |
| Slightly Agree    | 12% |
| Slightly Disagree | 4%  |
| Disagree          | 1%  |
| Strongly Disagree | 1%  |

B/ Ensuring the needs of disabled staff are met through reasonable adjustments.

|                   |     |
|-------------------|-----|
| Strongly Agree    | 45% |
| Agree             | 46% |
| Slightly Agree    | 4%  |
| Slightly Disagree | 0%  |
| Disagree          | 1%  |
| Strongly Disagree | 0%  |

C/ Managing conflict that can arise linked to equality and diversity.

|                   |     |
|-------------------|-----|
| Strongly Agree    | 31% |
| Agree             | 52% |
| Slightly Agree    | 11% |
| Slightly Disagree | 3%  |
| Disagree          | 1%  |
| Strongly Disagree | 0%  |



D/ Developing an inclusive working environment that enables lesbian, gay and bisexual and people going through gender transition to be out and supported by colleagues/ staff.

|                   |     |
|-------------------|-----|
| Strongly Agree    | 28% |
| Agree             | 47% |
| Slightly Agree    | 16% |
| Slightly Disagree | 4%  |
| Disagree          | 2%  |
| Strongly Disagree | 1%  |

E/ Developing an inclusive working environment that enables all black and ethnic minority members of staff to be active and respected members of the workforce.

|                   |     |
|-------------------|-----|
| Strongly Agree    | 40% |
| Agree             | 48% |
| Slightly Agree    | 10% |
| Slightly Disagree | 2%  |
| Disagree          | 0%  |
| Strongly Disagree | 0%  |

F/ Developing an inclusive working environment that enables all disabled staff including people with mental health conditions to be active and respected members of the workforce.

|                   |     |
|-------------------|-----|
| Strongly Agree    | 37% |
| Agree             | 43% |
| Slightly Agree    | 14% |
| Slightly Disagree | 5%  |
| Disagree          | 1%  |
| Strongly Disagree | 0%  |

G/ Discussing and agreeing equality and diversity targets and actions in one to ones and appraisals with staff.

|                   |     |
|-------------------|-----|
| Strongly Agree    | 20% |
| Agree             | 43% |
| Slightly Agree    | 24% |
| Slightly Disagree | 10% |
| Disagree          | 3%  |
| Strongly Disagree | 0%  |

## Appendix 9: Reports on key areas of persistent Inequality

### Reports on key areas of persistent Inequality

- a) Employment and Skills and Financial Exclusion
- b) Education – attainment, absenteeism and exclusion
- c) Health: Health Inequalities Action plan 2010 – 2013 - key issues
- d) Community safety\*

#### **A: Employment and Skills and Financial Exclusion \***

Material deprivation (in particular living in poverty) has been seen to exclude people (particularly children and older people) from many aspects of social life, leading through isolation and psycho-social stress, to ill health. Disabled people are particularly at risk, as the unemployment and disability can become mutually reinforcing. Recent work by Sheffield Hallam University identified some of the key barriers to work. Among these was poor health, lack of confidence, lack of skills, transport difficulties, lack of access to training, a tight job

It is clear then to help people access work and better opportunities we need to address wider barriers to work, such as social skills, confidence and language barriers, as well as addressing social exclusion, social immobility and increasing job skills.

The emphasis upon work and paid employment as the main route out of poverty may place women at a disadvantage. Women undertake large amounts of 'unpaid' work as carers and work in the community through voluntary work. Much of this is not recognised as work.

*“Expecting women to fill the looming care gap also jeopardises women’s presence in the work place. Recent years have seen a dramatic increase in the number of women working, but the coalition government looks set to push those women back into the home through removing the many service and benefits that have enabled them to get out there and earn a living (1)*

Women make up 65 per cent of the public sector workforce; some 40 per cent of women in work in the UK are employed in this sector. Women working full-time are paid on average 15.5% less an hour than men for doing work of equivalent value. Women pensioners also therefore tend to be poorer than male pensioners.

Approximately 50,000 of Sheffield's working age residents (13.1%) were claiming out of work benefits in August 2011. This was higher than the national rate of 12.3%, but on a par with Yorkshire and Humberside. Nearly half are claiming Employment and Support Allowance, Incapacity Benefit or Severe Disablement Allowance. The distribution of IB/ESA claimants varies widely across the city with more than one in ten working age residents on these benefits in Norton, Nether Shire, Burngreave, Park, Firth Park, Southey Green and Manor. The Manor has the highest rate with 14.1% of working age residents on IB/ESA. In contrast, fewer than 3 people in 100 were claiming these benefits in Broomhill, Ecclesall and Hallam<sup>2</sup>.

This area is of increasing importance given the short and long term impacts of recession. Since June 2008 Job Seeker Allowance registrations have been rising. Any reduction in claimants has halted, as the number of employment opportunities reduce and competition for jobs intensifies.

- In Sheffield there are 16,400 Job seeker allowance claimants, 41.2% of whom have been out of work for 6 months or longer.

---

<sup>1</sup> Fawcett society 2011

<sup>2</sup> Sheffield Hallam University Fairness Commission evidence 2012  
Governance and Involvement Team 2012

- In addition there are 32,800 individuals on 'out of work benefits', approximately 10,000 of whom are suffering from 'mental or behavioural problems'.<sup>3</sup>

BME people have lower average rates of employment; females have lower rates of employment, with ethnic minority females having much lower rates of employment than all other groups.

| <b>Sheffield</b>                   |                |
|------------------------------------|----------------|
| <b>Employment Rate (age 16-64)</b> | <b>Percent</b> |
| White +                            | 67.0           |
| Ethnic Minority !                  | 55.3           |
| White Males                        | 68.6           |
| Ethnic Minority Males              | 66.3           |
| White Females                      | 65.3           |
| Ethnic Minority Females            | 45.2           |

Source: Annual Population Survey (ONS, 2010)

+ 'White' includes all 'White' ethnic groups. ! 'Ethnic Minority' includes all 'Non-White' ethnic groups.

In full-time employment, in Sheffield, women earn lower wages than men

| <b>Sex</b>               | <b>Weekly pay - gross</b> | <b>Hourly pay - excluding overtime</b> |
|--------------------------|---------------------------|--|
| Male Full Time Workers   | £507.90                   | £12.70                                 |
| Female Full Time Workers | £415.80                   | £10.81                                 |
| Full Time Workers        | £476.00                   | £12.24                                 |

Source: Annual Survey of Hours and Earnings (ONS, 2010)

Higher claimant count rates for non-white ethnic minorities. Female claimant counts may be lower due to measurements applying to households, or fewer females actively seeking paid work (due to other commitments, such as childcare).

Claimant Count by Ethnicity & Gender (JSA Claimants second quarter 2011)

| <b>Ethnicity</b> | <b>Date</b> | <b>Male</b> | <b>Female</b> | <b>Total</b> |
|------------------|-------------|-------------|---------------|--------------|
| White            | April 2011  | 5.2%        | 2.4%          | 3.9%         |
| Ethnic Minority  | April 2011  | 7.5%        | 3.1%          | 5.5%         |

Source: Nomis (2011)

+ 'White' includes all 'White' ethnic groups. ! 'Ethnic Minority' includes all 'Non-White' ethnic groups.

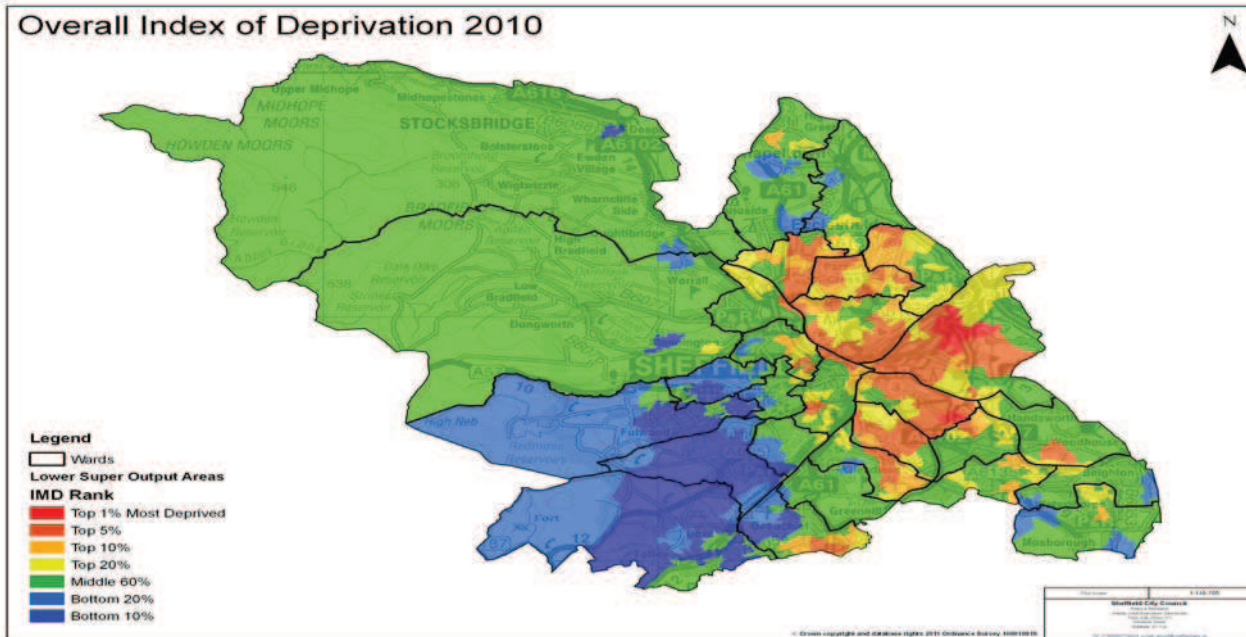
Unemployment levels in Sheffield measured by claimant rates have doubled between 2008 and 2010 (from 2.5% to 4.8%) in response to recession. Sheffield has performed strongly in terms of having a large proportion of people with high levels of educational attainment (NVQ4 and above).

In terms of child poverty 37% of Sheffield is in the bottom 30% of areas, with 21% of all children in the city living in households receiving council tax benefit or housing benefit. It is also estimated that 25% of children in Sheffield live in low income households. Despite this, most children in Sheffield have a positive view of their future, although patterns of aspiration vary considerably across the city. Our overall performance on attainment still lags below the national average.

<sup>3</sup> Sheffield City Council (2010), State of Sheffield 2010, Chapter7 Healthy and Independent, pg3  
Governance and Involvement Team 2012

The map below shows how deprivation is distributed across the city, with the most deprived areas being concentrated in the east and north east of the city (although with pockets elsewhere)

The reasons for this divide are largely historical and reflect the development and expansion of the city over the last two hundred years or so. As noted in *Poverty and Deprivation in Sheffield*<sup>4</sup>. This divide was subsequently reinforced by Sheffield's administrative geography. Unlike other metropolitan areas around cities like Manchester and Birmingham, Sheffield did not have a large or distinct enough conurbation to form an inner core to a cluster of surrounding districts.



The concentration in the North-East of the city has resulted in deprivation becoming more entrenched than in most other English cities. Studies of the relationship of small areas of the city to their nearest neighbours show a much higher proportion in Sheffield than other cities of areas in the 20 percent most deprived being completely surrounded by similarly deprived areas.

There is a correlation between income inequality and health and social problems with key determinants of poverty including adult unemployment, generations of worklessness and low paid often part-time casual work. The *Joint Strategic Needs Assessment*<sup>5</sup> states that a combination of reduced opportunities to achieve and be economically active, poor access to services and low quality living conditions all contribute towards increased income inequality.

Analysis of the 2010 index of Multiple Deprivation shows that the two biggest areas of inequality by these measures are around education/training/skills and income.

Proposed welfare reform changes will have a detrimental impact on some of our poorer residents and could lead to increased inequality and unfairness across Sheffield, although at this stage the impact is difficult to calculate. There is also concern that welfare changes will disproportionately impact on women.

<sup>4</sup> <https://www.sheffield.gov.uk/your-city-council/policy--performance/fairness-commission/background-papers.html>

<sup>5</sup> <https://www.sheffieldfirst.com/the-partnership/health-and-well-being-partnership/jsna.html>

The cumulative impact of housing benefit changes will impact on people’s incomes, possibly affect their ability to pay their rent, affect their choice of and access to affordable housing and could ultimately increase indebtedness amongst a cohort of customers who are already financially vulnerable.

Those facing the risk of labour market disadvantage in Sheffield include the low skilled; lone parents; individuals who have suffered domestic abuse or substance misuse; ethnic minorities and migrants; ex-offenders; the homeless; people with physical disabilities and sensory impairments; and, those with learning disabilities and mental health problems. Key barriers to work include poor health, lack of confidence, lack of skills, transport difficulties, and lack of access to training

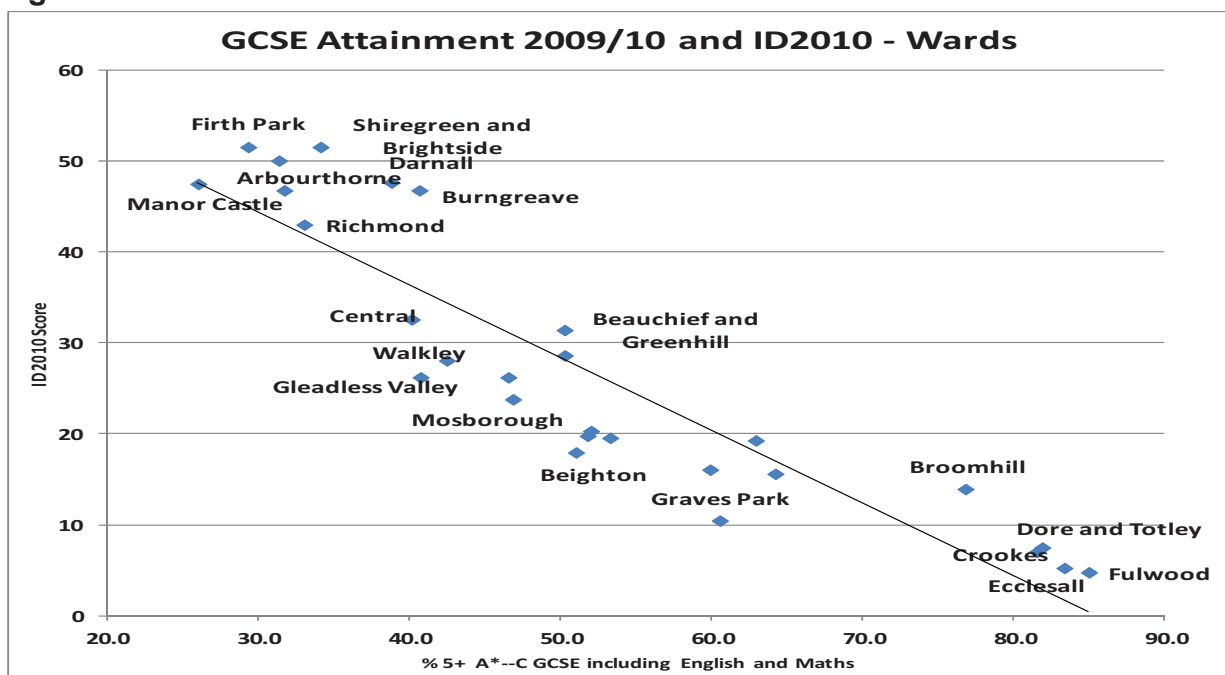
**B) Education – attainment, absenteeism and exclusion**

Analysis over recent years has shown a clear relationship between deprivation and educational attainment. Evidence suggests that life chances in Sheffield are often pre-determined by the material circumstances in which people are born into. In pure education terms, we know that by the age of 7 the life chances of children are beginning to diverge and continue to widen as children progress through school and college. See Scrutiny Report for further details

<http://meetings.sheffield.gov.uk/council-meetings/scrutiny/childrenandyoungpeople/agendas-2012/agenda-23rd-february-2012>

- Attainment for Free School meals (FSM) pupils increased at primary level between 2010 and 2011. The attainment gap closed at KS2 but remained stable or increased slightly at KS1. Attainment increased and attainment gaps closed for pupils living in the 20% most deprived neighbourhoods.
- Progress made by pupils receiving FSM and pupils in the most deprived neighbourhoods has improved in both English and maths at KS2 and KS4. The gap in progress for KS2 English is now close to zero although there is a gap of ~8% for maths. The gap in progress becomes significantly wider between KS2 and KS4 and is around 25% for English and 35% for maths. Figure 1 below highlights the differentials in GCSE attainment at Ward Level.

• **Figure 1**



Attainment for traditionally vulnerable groups of learners at the end of Key Stage 2 (those reaching the expected norm of Level 4+ in both English and mathematics) is variable. Whilst city wide attainment has continued to rise at Key Stage 2 and 4, it has not done so consistently and for all groups of young people. Schools in the city are not closing the gap between the performance of all learners and those from specific BME backgrounds.

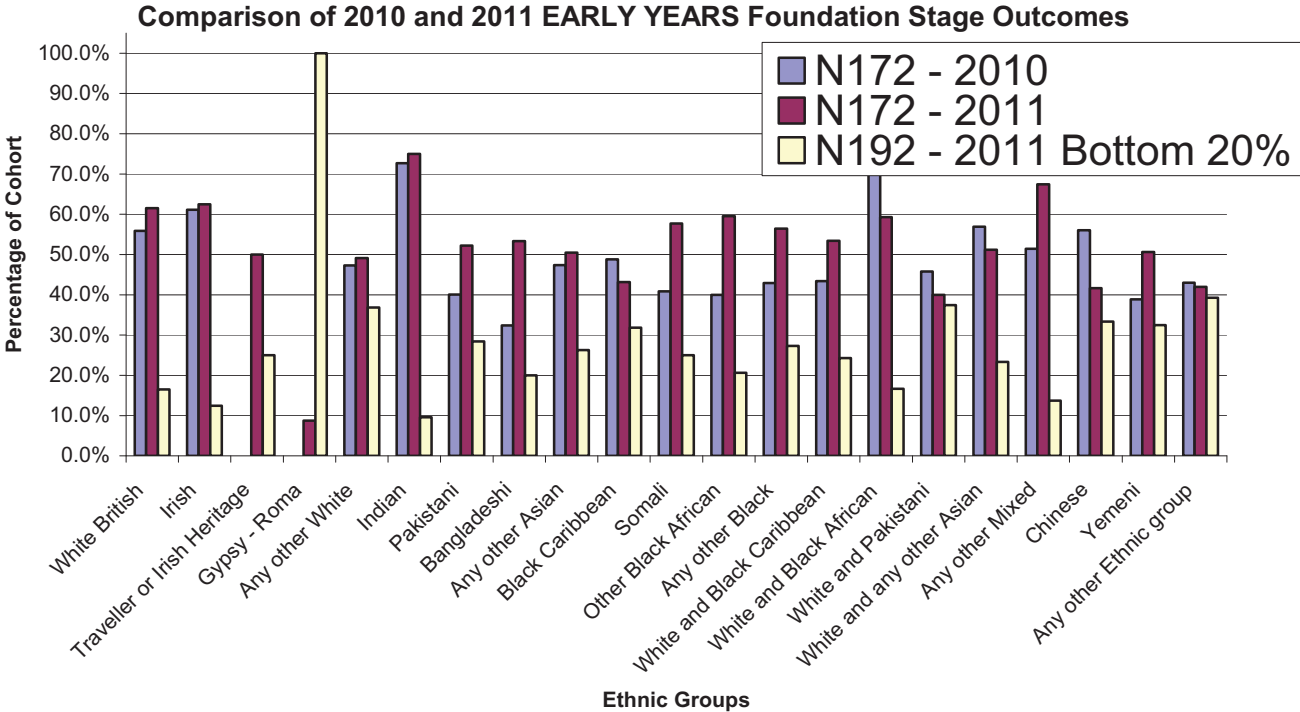
Pupils with special education needs are more than twice as likely to be excluded as a pupil without these needs, and there is also an overrepresentation of children from a BME background that are excluded from Sheffield schools.

Attendance at schools has improved faster in Sheffield than nationally, but persistent absenteeism and children not in school continues to be a problem, with children from white working class backgrounds and children receiving free school meals more likely to become persistent absentees.

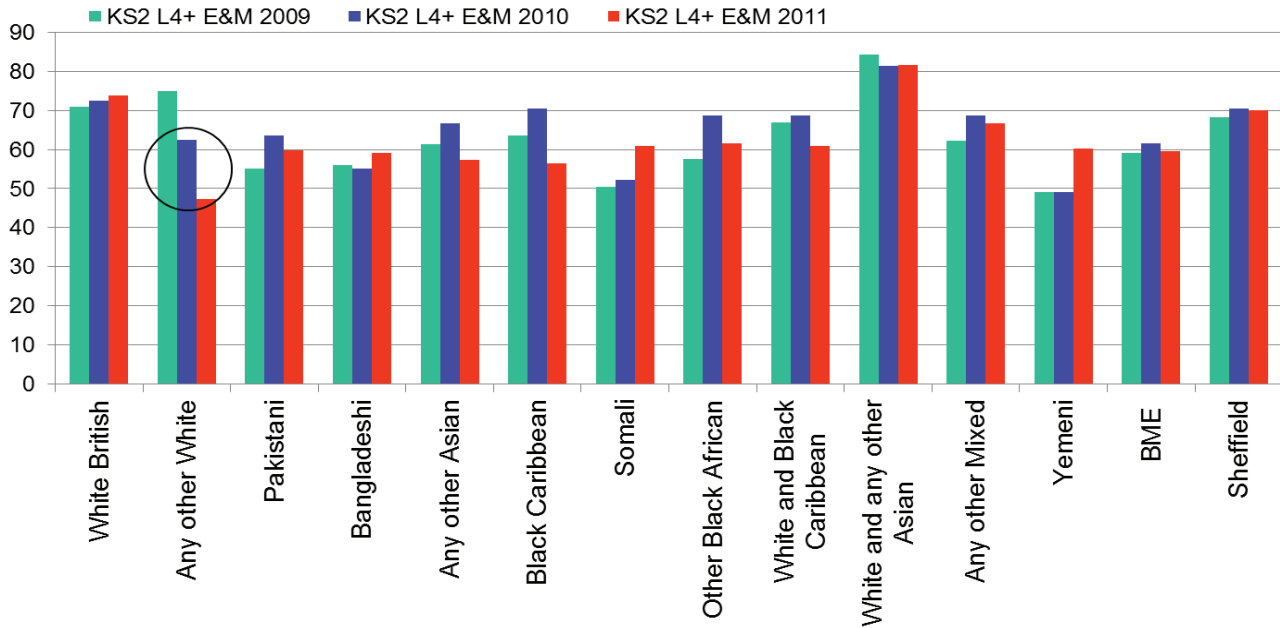
For those children where elements of early years development are lacking, there is a marked tendency towards poor language development, slower progress and behavioural problems at school by Year 6. The gap in outcomes between average learners and those who have experienced disadvantage are apparent by key stage 1. This gap continues to widen thereafter. By the age of 16 only 23.9% of young people in receipt of free school meals in 2011 achieved 5 A\*-C including English and maths compared to 53.7% of those without. Educational attainment at age 16 is the single most important factor that determines success by the age of 19

For extensive graphical analysis see the above scrutiny report.

**Figure 2**



**Figure 3 - Early Years Assessments by Ethnicity 2010-11**  
**3 years comparison by Ethnicity of KS2 L4+ combined English and Maths**



**Figure 4 Years comparison by Ethnicity and Gender of KS4 – 5+ GCSE A\*-C incl. English & Maths**

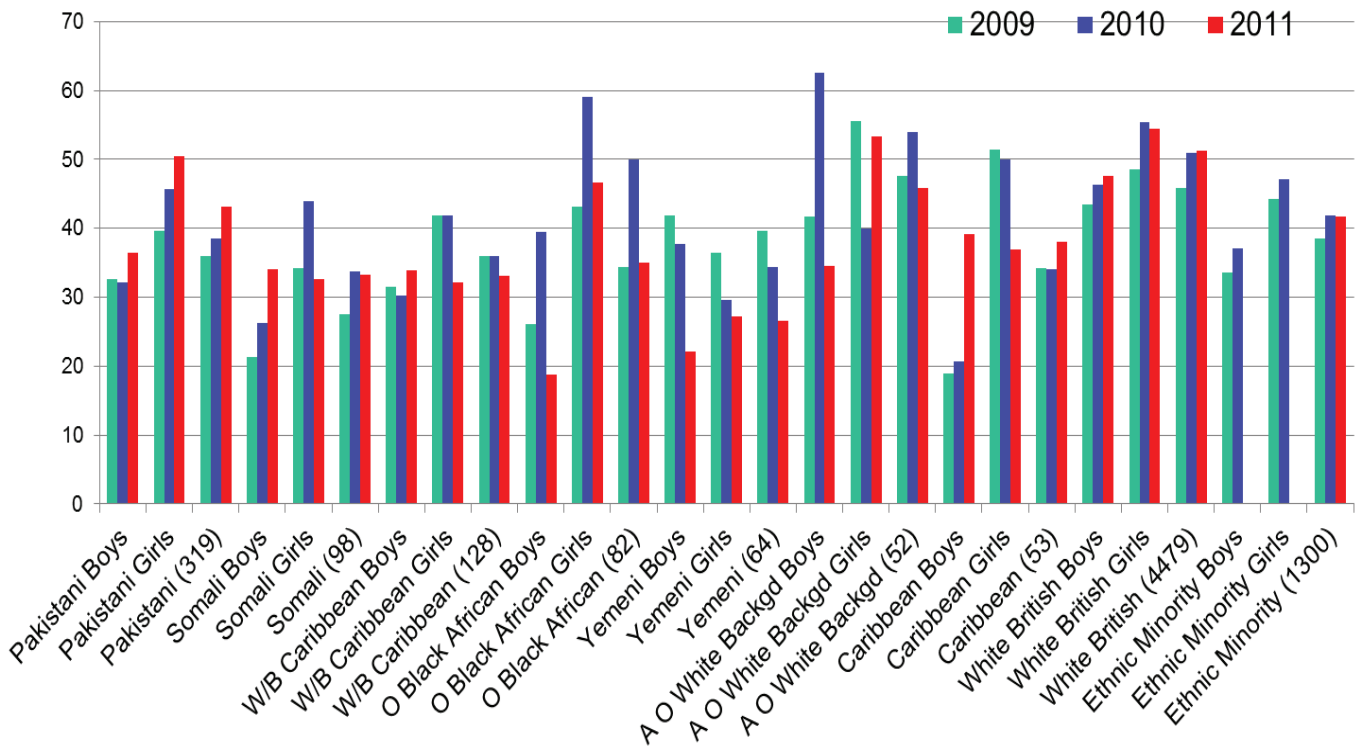
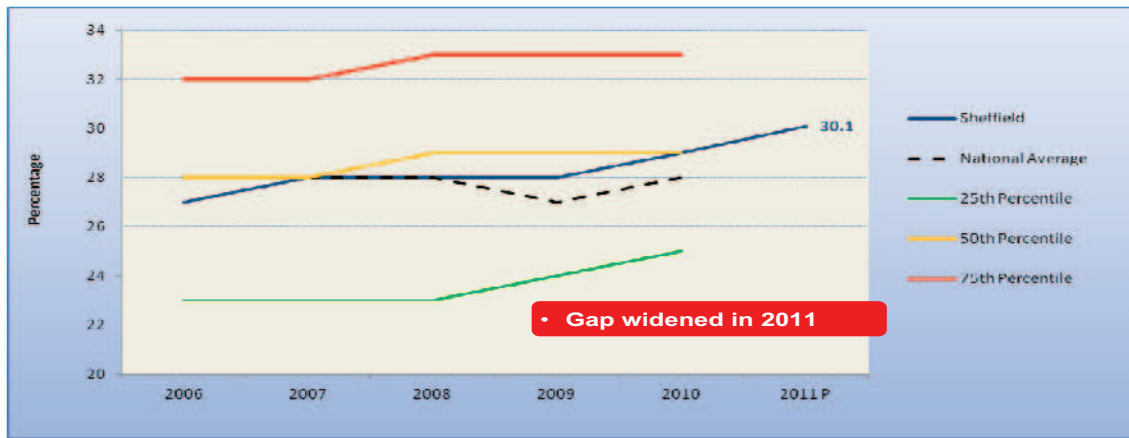


Figure 5 - 2010 Year 11 - Young People's Destination by % Cohort

|                              | WHITE TOTAL | MIXED TOTAL | ASIAN TOTAL | BLACK TOTAL | Any Other Ethnic Group |
|------------------------------|-------------|-------------|-------------|-------------|------------------------|
| Full Time Education          | 77.9        | 78.5        | 89.8        | 92.1        | 88.4                   |
| Full Time Training (non emp) | 4.9         | 5.7         | 2.4         | 1.6         | 3.2                    |
| Employment with Training     | 0.0         | 0.0         | 0.0         | 0.0         | 0.0                    |
| Employment without Training  | 0.1         | 0.0         | 0.0         | 0.0         | 0.0                    |
| Part Time Employment         | 0.3         | 0.9         | 0.2         | 0.0         | 0.0                    |
| NEET                         | 4.3         | 4.8         | 3.1         | 2.8         | 1.1                    |
| Moved out of contact         | 0.3         | 0.4         | 1.4         | 2.4         | 2.1                    |

Figure 6- FSM Gap

### FSM Gap - % of pupils achieving 5+ A\* - C GCSEs including English & Maths





### **C) Health: Health Inequalities Action plan 2010 – 2013 key issues**

Health Inequalities are of enormous concern to Sheffield - both in the Council and NHS Sheffield. For far too long such inequalities have meant that lives are cut short and people are not living life to the full and enjoying opportunities open to them. It is totally wrong that some people in the City should have fewer opportunities, less life chances, worse access to services, and worse treatment than others, through no fault of their own. Inequalities in general give rise to health inequalities.

Although there was some reduction in the differences in life expectancy across the City in the early part of the last decade, that progress now appears to have stalled. Overall, differences in health experience remain significant and persistent over many decades. Because a significant proportion of illness is linked with socio-economic disadvantage, the pattern of health inequality is remarkably consistent irrespective of the particular measure chosen. As previously noted, a separate response on Health Inequalities has been provided to the Fairness Commission

Health Inequalities Action Plan (HIAP) has been developed in Partnership with NHS Sheffield to respond the challenge of growing Inequalities in Sheffield.

An individual's health is determined by material circumstances, including the physical environment, social cohesion, as well as psycho-social factors, behaviour and biological factors. These circumstances are influenced by social position which is itself a factor of education, occupation, income, gender, ethnicity and race etc. The difference in life expectancy across Sheffield is approximately 11 years for men and just over 6 for women.

- Sheffield – Male life expectancy at birth: 77.5 years.
- Sheffield – Female life expectancy at birth: 81.5 years.

In Sheffield, differences in death rates and life expectancy between different parts of the City have been documented in Director of Public Health reports for over a century. The pattern of distribution of health inequalities across the City has changed little over the decades, even though the absolute levels of health have improved enormously. More recently, there has been extensive documentation of inequalities in health across the City, with analyses undertaken both at ward level, and at neighbourhood level.

Although there was some reduction in the differences in life expectancy across the City in the early part of the last decade, that progress now appears to have stalled. Overall, differences in health experience remain significant and persistent over many decades. Because a significant proportion of illness is linked with socio-economic disadvantage, the pattern of health inequality is remarkably consistent irrespective of the particular measure chosen. Key areas are highlighted in the health Inequalities action plan.

There are a number of key factors which contribute to inequalities in maternal, child and young people's health outcomes in Sheffield. These are:

- Pregnant women who smoke are more likely to have a premature baby, or a baby with low birth weight.
- Smoking in pregnancy is strongly related to socio-economic status and the prevalence varies from 0% to 40% across Sheffield neighbourhoods.
- Breastfeeding leads to significant health benefits and has a major role in reducing inequalities for both baby and mother. There is wide variation in breastfeeding initiation rates across the City, from fewer than 50% in some neighbourhoods, to over 90% in others.
- Children who are overweight are at higher risk of developing serious health problems both as children and in later life. Within Sheffield there are notable variations in childhood

overweight and obesity, with some schools having significantly higher levels than the national average.

- Teenage pregnancy is strongly associated with low birth weight, poor neonatal outcomes and reduced life chances for the mother and child.

Teenage pregnancy has declined since 2002, although Sheffield is unlikely to meet a 50 percent reduction target for this year. A higher proportion of children in Sheffield use alcohol and drugs than is the case nationally). Further, bullying and safety are issues raised by children and young people. In a survey of school-based staff about support to LGBT young people 72% of respondents indicated that homophobia was either fairly serious or a significant issue.

On average approx. 28% of the general population smoke this is higher in BME communities, 42% for Bangladeshi and African/ Caribbean's 39% Irish

Mental health is estimated to affect one in six adults, at some point in their lives and it is estimated that there are around 84,500 adults in Sheffield suffering from depression and anxiety. BME communities are over represented in care trusts / hospitals with African men up to 6 times more likely to be sectioned under the Mental Health Act. 1983

South Asian men are 50% more likely to die prematurely from coronary heart disease and a stroke is 70% higher in African and Caribbean and South Asian communities. Men of African descent are nearly 3 times more likely to be diagnosed with prostate cancer.

There is a direct proven link between deprivation, ill health and its causes. In this respect drug use, smoking prevalence, alcohol overconsumption, poor diet, lack of physical activity and obesity are all more prevalent in areas of high deprivation.

Understanding the relationship between health and employment is an integral part of preventing and finding solutions to health inequalities. It is clear that getting people into employment is important for improving health, as employment, job security and attaining 'better' jobs have significant bearing on the way people live and feel.

## **D: Community Safety – Feeling safe and Housing\***

**Feeling safe** - The wellbeing of the City's residents is seriously affected by the reality and fear of crime and disorder, and therefore any inequality in distribution of these factors are likely to create associated health inequalities. In this way 'Keeping Sheffield Safe', (the community safety strategy) is key to reducing inequality. Gender, disability, age, ethnicity and where you live are significantly associated with feelings of safety.

The relationship between feelings of safety and gender is most evident at night as females report feeling far less safe than males. 40.7% of females felt unsafe walking out alone at night compared to 29.1% of males.

Gender also has a relationship with perceptions and use of parks and green spaces. Overall a higher percentage of males reported visiting parks at all frequencies except 2-3 times a year. A significantly higher percentage of females disagree that parks are welcoming and feel parks are unsafe.

Disabled people are also more likely to perceive crime to be a serious problem than non-disabled people. 36.1% of disabled people felt that crime was a serious problem compared to 30.1% of non-disabled people. There is also a significant association between disability and status feelings of safety. A higher % of those with disabilities felt unsafe when at home alone in the day, home alone at night, walking out alone in the day and walking out alone at night.

A higher % of non-BME respondents reported feeling unsafe when walking out alone at night and a higher % of BME respondents reported feeling unsafe when in their house alone at night. BME respondents were also more likely to feel unsafe when alone in the house during the day. 33% of BME people feel unsafe when out in their local area after dark, compared to 27% of White British people. 39% of BME people consider drug dealing and drug use to be a big problem in their areas, compared to 25% of White British.

Feelings of safety as well as perceptions of crime severity also differed between age groups. Age appears to affect feelings of safety both in and out of the house and in the day, as well as at night. In all cases the oldest age group had the highest percentage of those who felt unsafe apart from when walking out alone at night

There is also a relationship between ACORN grouping and feelings of safety. Those in the hard-pressed group have a higher percentage of people that feel unsafe when they are at home alone in the day (5.1%). Feelings of safety increase as wealth increases. Only 1% of wealthy achievers feel unsafe when they are at home alone in the day.<sup>6\*</sup>

**Housing** - There is currently a shortage of good quality affordable housing in Sheffield. Living in poor and inappropriate housing conditions has a direct correlation with ill health. The provision of good quality affordable accommodation will reduce health inequalities. Very often it is the most vulnerable people in the City, whose health outcomes are worst, who have the worst housing conditions, or are homeless.

The availability of affordable homes is one of the city's major challenges. The number of new completions has fallen from a peak of 2,882 completions in 2007/8, to 919 in 2010/11. The number of affordable homes provided through developer contributions was only 21 in the last three years.

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<sup>6</sup> *Sheffield Household Survey 2007)*

In terms of housing quality 92% of council housing meets the Decent Homes Standard (being warm, weatherproof and having reasonable facilities). This compares to 63% of private housing and only 55% of privately rented housing. The condition of the private housing stock is concerning. The increasing cost of living in relation to earnings means that property maintenance often takes a lower priority.

The spread of social stock in the city is not even and some areas of the city have large numbers of similar property types. Wards in the south west of the city have less than 10% of the social stock and wards in the east have over 40%.

At least 1 in 10 of Sheffield's population have some sort of impairment or long term health condition, over 50,000 people. Customer profiling highlights that for Sheffield Homes, 3 in 10 tenants declare themselves as having a disability or longstanding health condition. This presents a number of significant housing challenges in providing appropriate support services for customers with a range of vulnerabilities and in maintaining and adapting a housing stock suitable for a high proportion of disabled tenants and their changing lifestyle needs. Also 2 in every 5 tenants are now over 60, with more than a quarter of all tenants aged over 70

## Youth Justice Service Report

The Youth Justice Service continues to set a key target around disproportionality within the annual youth justice plan. The table below shows how the youth offending cohort in the city has changed over the past three years alongside the changing demographic of the 10 – 17 population. The indicator consists of separate figures for each of the ethnic groups rather than a single figure for

|                | % of Youth Justice pop. In 2009/10 | % of General pop. In 2009/10 | % of Youth Justice pop. In 2010/11 | % of General pop. In 2010/11 | % of Youth Justice pop. In 2011/12 | % of General pop. In 2011/12 | % Difference of Youth Justice pop. Between 2009 and 2012 | % Difference of General pop. Between 2009 and 2012 |
|----------------|------------------------------------|------------------------------|------------------------------------|------------------------------|------------------------------------|------------------------------|--|--|
| <b>White</b>   | 79.00%                             | 76.30%                       | 78.90%                             | 75.70%                       | 75.50%                             | 74.90%                       | -3.50%   | -1.40%   |
| <b>Mixed</b>   | 7.10%                              | 3.80%                        | 7.20%                              | 3.90%                        | 10.00%                             | 4.20%                        | 2.90%  | 0.40%  |
| <b>Asian</b>   | 5.70%                              | 7.70%                        | 6.00%                              | 8.00%                        | 6.60%                              | 8.30%                        | 0.90%  | 0.60%  |
| <b>Black</b>   | 7.10%                              | 4.30%                        | 6.30%                              | 4.40%                        | 6.20%                              | 4.40%                        | -0.90%   | 0.10%  |
| <b>Chinese</b> | 1.10%                              | 2.40%                        | 1.60%                              | 2.50%                        | 1.60%                              | 2.70%                        | 0.50%  | 0.30%  |

the overall BME group, otherwise the under-represented groups counter-balance the over-represented groups – giving the false impression there is no over-representation of particular BME groups. Ethnicity categories at 5+1 level are used since figures for 16+1 categories would be too small to allow meaningful analysis.

The table below shows overrepresentation, based on demographic of the city, within the white, black and mixed category of young people with mixed being the most significantly overrepresented.

**Fig 1**

The tables of data set out below show that over the last three years there has been some movement across the tiers of criminal justice disposals. Within the BME cohort of young people there is an increase in both the pre-court and community sentences disposals over the last year along with a reduction to 39.5% of custodial sentences from 41.3% the previous year. However the data continues to reflect an overall overrepresentation of BME young people being sentenced to custody. An analysis of these cases suggests that gravity of offences is the predominant factor.

The YJS is currently refreshing its race equality action plan within the service to focus attention on reducing disproportionality of BME groups and develop interventions and training for front line staff on direct work with BME young people to maximise engagement. The service has also adopted the Youth Justice Boards disproportionality tool kit which is designed to show trends and characteristics in groups of young people to support effective targeting and interventions. Work is continuing within the newly established Community Youth Teams to maintain the increase in referrals to prevention services and to ensure that we provide an appropriate service to BME young people within all aspects of youth crime prevention. It is clear that there are aspects to this issue that continue to be much wider than the YJS and relate to broader issues of achievement, attainment and aspirations of BME young people across the city and joined up approach with other partners may assist in making some inroads into this area. The Youth Justice Service will be reporting performance and actions on this priority to the Safer and Sustainable Communities Partnership Board.

**Figs 2**

| <b>Ethnicity 2009/10</b>      | <b>Community penalties</b> | <b>Custodial</b> | <b>First-tier</b> | <b>Pre-Court</b> | <b>Grand Total</b> |
|-------------------------------|----------------------------|------------------|-------------------|------------------|--------------------|
| <b>White</b>                  | 79.8%                      | 62.5%            | 80.3%             | 80.2%            | 79.5%              |
| <b>Mixed</b>                  | 11.7%                      | 23.6%            | 8.7%              | 4.2%             | 7.9%               |
| <b>Asian or Asian British</b> | 1.8%                       | 2.8%             | 3.2%              | 7.5%             | 4.7%               |
| <b>Black or Black British</b> | 6.4%                       | 9.7%             | 7.4%              | 6.2%             | 6.8%               |
| <b>Chinese</b>                | 0.3%                       | 1.4%             | 0.4%              | 1.7%             | 1.0%               |

**Figs 3**

| <b>Ethnicity 2010/11</b>      | <b>Community Penalties</b> | <b>Custodial</b> | <b>First Tier</b> | <b>Pre-Court</b> | <b>Grand Total</b> |
|-------------------------------|----------------------------|------------------|-------------------|------------------|--------------------|
| <b>White</b>                  | 81.3%                      | 58.6%            | 78.9%             | 79.2%            | 78.5%              |
| <b>Mixed</b>                  | 6.3%                       | 27.6%            | 9.5%              | 5.2%             | 8.0%               |
| <b>Asian or Asian British</b> | 7.8%                       | 3.4%             | 5.1%              | 6.3%             | 5.8%               |
| <b>Black or Black British</b> | 4.7%                       | 10.3%            | 4.9%              | 7.7%             | 6.3%               |
| <b>Chinese</b>                | 0.0%                       | 0.0%             | 1.6%              | 1.6%             | 1.4%               |

**Figs 4**

| <b>Ethnicity 2011/12</b>      | <b>Community penalties</b> | <b>custodial</b> | <b>first-tier</b> | <b>pre-court</b> | <b>Grand Total</b> |
|-------------------------------|----------------------------|------------------|-------------------|------------------|--------------------|
| <b>White</b>                  | 78.3%                      | 60.5%            | 80.1%             | 72.7%            | 75.5%              |
| <b>Mixed</b>                  | 12.5%                      | 11.6%            | 7.4%              | 10.9%            | 10.0%              |
| <b>Asian or Asian British</b> | 4.2%                       | 4.7%             | 5.6%              | 9.2%             | 6.6%               |
| <b>Black or Black British</b> | 4.2%                       | 20.9%            | 4.6%              | 5.9%             | 6.2%               |
| <b>Chinese</b>                | 0.8%                       | 2.3%             | 2.3%              | 1.3%             | 1.6%               |

\* Youth Justice Service Manager June 2012

## Domestic Abuse Equalities Report 2011/12

In Sheffield 23% of the total recorded violent crime is as a result of domestic abuse; from April 2010 to March 2011 South Yorkshire Police recorded 9,282 incidents of domestic abuse in Sheffield and it is believed that 2 - 4 domestic violence homicides occur in Sheffield each year on average.

The Home Office 'Ready Reckoner' tool estimates that 10,300 women and girls (aged 15-59) will experience domestic abuse, 6,772 will be the victims of a sexual assault, and 12,187 will experience stalking and harassment in Sheffield each year (2009 population figures) with the cost to services at over £104 million.

Sheffield Domestic Abuse Partnership collects data from three services that are co-located and work closely with South Yorkshire Police's Public Protection Unit and the Social Care Joint Investigation team. These services are the Domestic Abuse Helpline, the Sheffield Domestic Abuse Outreach Service and the Independent Domestic Violence Advocacy Service (all provided by VCF specialist providers).

**In 2011/ 12 the service totals for these services were:**

|                      | 2011-12    |            |            |             | <b>TOTALS for year</b> |
|----------------------|------------|------------|------------|-------------|------------------------|
|                      | Q1         | Q2         | Q3         | Q4          |                        |
| Helpline             | 653        | 641        | 645        | 742         | 2681                   |
| Outreach             | 128        | 96         | 57         | 107         | 388                    |
| IDVAs (Snig Hill)    | 153        | 159        | 116        | 141         | 569                    |
| IDVAs (Jessops)      | 36         | 62         | 83         | 82          | 263                    |
| IDVAS A & E          |            |            | 45         | 37          | 82                     |
| <b>Quarter</b>       |            |            |            |             |                        |
| <b>Service total</b> | <b>970</b> | <b>958</b> | <b>946</b> | <b>1109</b> | <b>3983</b>            |

Diversity information about the person can sometimes be difficult to obtain, especially for the helpline service as people sometimes want to call confidentially and do not wish to disclose personal information. Or the worker may find it difficult to ask for this information when a caller is distressed. However, services are working to reduce the proportion of unassigned data or where the question was not asked. The data that was gathered for last year is as follows:

| Gender              | Female | Male | Unassigned |
|---------------------|--------|------|------------|
|                     | 3556   | 184  | 243        |
| Proportion of total | 89.3%  | 4.6% | 6%         |

| Disability          | Yes  | No    | Unassigned / not asked |
|---------------------|------|-------|------------------------|
|                     | 245  | 1766  | 1972                   |
| Proportion of total | 6.2% | 44.3% | 49.4%                  |

| Age                 | Under 18 | 18-24 | 25-29 | 30-39 | 40-49 | 50-59 | 60+  | Unassigned / Not known |
|---------------------|----------|-------|-------|-------|-------|-------|------|------------------------|
|                     | 17       | 909   | 670   | 1017  | 703   | 192   | 86   | 389                    |
| Proportion of total | 0.004%   | 22.8% | 16.8% | 25.5% | 17.6% | 4.8%  | 2.1% | 9.8%                   |

| Sexual Orientation<br>(Only collected in Q4) | Bisexual | Gay Man | Gay Woman /Lesbian | Heterosexual /Straight | Not Asked | Not Disclosed |
|--|----------|---------|--------------------|------------------------|-----------|---------------|
| Q4 1019                                      | 1        | 1       | 7                  | 859                    | 46        | 80            |

| Ethnicity           | Asian | Black | Mixed | Other ethnic | White British | White other | Unassigned |
|---------------------|-------|-------|-------|--------------|---------------|-------------|------------|
|                     | 343   | 202   | 35    | 41           | 2185          | 719         | 458        |
| Proportion of total | 8.6%  | 5%    | 0.9%  | 1%           | 54.9%         | 18%         | 11.5%      |

| Language needs      | Arabic | Bengali | Chinese (Mandarin) | English | Farsi | French | Other | Polish | Punjabi | Spanish | Urdu | Unassigned |
|---------------------|--------|---------|--------------------|---------|-------|--------|-------|--------|---------|---------|------|------------|
|                     | 11     | 7       | 1                  | 2703    | 9     | 5      | 46    | 17     | 17      | 4       | 24   | 1139       |
| Proportion of total | 0.3%   | 0.2%    | 0.03%              | 67.9%   | 0.2%  | 0.1%   | 1%    | 0.4%   | 0.4%    | 0.1%    | 0.6% | 28.6%      |

| Religion                                | Atheist/non-religious | Christian | Muslim | Not asked | Other | C of E | Unassigned | Catholic |
|---|-----------------------|-----------|--------|-----------|-------|--------|------------|----------|
| Q3 and 4 data only (total clients 1808) | 144                   | 72        | 113    | 74        | 28    | 108    | 1233       | 36       |
| Proportion of total for Q3 and Q4       | 7.9%                  | 4%        | 7.4%   | 4%        | 1.5%  | 6%     | 68.2%      | 2%       |

## Challenges

The proportion of older people, people with disabilities, under 18s and people identifying as LGBT are areas that the services need to address in the current year.

Work is underway to promote domestic abuse pathways in a range of health settings (A and E, Jessops, GUM and GPs) and has just started with Adult Social Care and Mental Health services. Services have been promoted at Sheffield Pride for the last 2 years.

## MARAC data for 2011/12

The Multi Agency Risk Assessment Conference (MARAC) considers the high risk cases of domestic abuse in the city on a fortnightly basis. Information is submitted by South Yorkshire Police to CAADA (Coordinated Action Against Domestic Abuse) a national agency that collates and benchmarks the data. The following is the data report from CAADA for 2011/12. This is useful as a local comparison with national diversity data.

|           | <b>Indicator (all figures relate to the 12 month period 1<sup>st</sup> Apr 2011 – 31<sup>st</sup> Mar 2012)</b> | <b>Sheffield</b> | <b>CAADA's<sup>[1]</sup> recommendation</b> | <b>South Yorkshire</b> | <b>Most Similar Forces Group</b> | <b>National Data</b> |
|-----------|---|------------------|---|------------------------|----------------------------------|----------------------|
|           | <b>Number of MARACs sending in data</b>   | <b>1</b>         | <b>-</b>                                    | <b>4</b>               | <b>40</b>                        | <b>261</b>           |
| <b>1</b>  | <b>Number of cases discussed</b>  | <b>463</b>       | <b>930</b>                                  | <b>1,361</b>           | <b>10,443</b>                    | <b>55,489</b>        |
| <b>2</b>  | <b>Cases per 10,000 of the adult female population</b>  | <b>19.8</b>      | <b>40</b>                                   | <b>25.3</b>            | <b>29.9</b>                      | <b>26.2</b>          |
| <b>3</b>  | <b>Number of children</b>   | <b>620</b>       | <b>-</b>                                    | <b>1,867</b>           | <b>14,052</b>                    | <b>73,005</b>        |
| <b>4</b>  | <b>% referrals from partner agencies</b>  | <b>47%</b>       | <b>25-40%</b>                               | <b>43%</b>             | <b>34%</b>                       | <b>38%</b>           |
| <b>5</b>  | <b>% referrals from Police</b>  | <b>53%</b>       | <b>60-75%</b>                               | <b>57%</b>             | <b>66%</b>                       | <b>62%</b>           |
| <b>6</b>  | <b>% repeat referrals</b>   | <b>27%</b>       | <b>28-40%</b>                               | <b>21%</b>             | <b>24%</b>                       | <b>23%</b>           |
| <b>7</b>  | <b>% BME referrals</b>  | <b>18%</b>       | <b>Local BME population = 17%</b>           |                        |                                  |                      |
| <b>8</b>  | <b>% LGBT referrals</b>   | <b>2%</b>        | <b>5%</b>                                   | <b>1%</b>              | <b>&lt;1%</b>                    | <b>&lt;1%</b>        |
| <b>9</b>  | <b>% referrals where the victim has a disability</b>  | <b>&lt;1%</b>    | <b>5% +</b>                                 | <b>0%</b>              | <b>5%</b>                        | <b>3%</b>            |
| <b>10</b> | <b>% referrals with a male victim</b>   | <b>4%</b>        | <b>4-10%</b>                                | <b>3%</b>              | <b>4%</b>                        | <b>3%</b>            |

<sup>[1]</sup> For a full explanation of CAADAs recommendations and points to consider please see our [website](#)  
Governance and Involvement Team 2012



**Hate Incidents/ crime by aggravating factor 2010/11 and 2011/12**

**Incidents**

|                    | 2010/2011  | 2011/2012  |
|--------------------|------------|------------|
| DISABILITY         | 3          | 3          |
| GENDER             | 0          | 1          |
| RACIAL             | 217        | 158        |
| RELIGION           | 3          | 0          |
| SEXUAL ORIENTATION | 23         | 15         |
| TRANSGENDER        | 2          | 3          |
| <b>Total</b>       | <b>248</b> | <b>180</b> |

**Crimes**

|                    | 2010/2011  | 2011/2012  |
|--------------------|------------|------------|
| DISABILITY         | 1          | 1          |
| RACIAL             | 201        | 149        |
| RELIGION           | 4          | 1          |
| SEXUAL ORIENTATION | 28         | 11         |
| <b>Total</b>       | <b>234</b> | <b>162</b> |

**Hate crimes/incidents by type**

|                        | Apr-10    | May-10    | Jun-10    | Jul-10    | Aug-10    | Sep-10    | Oct-10    | Nov-10    | Dec-10    | Jan-11    | Feb-11    | Mar-11    |
|------------------------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|
| ASSAULT WITH INJURY    | 3         | 6         | 8         | 3         | 3         | 2         | 4         | 4         | 5         |           | 3         | 2         |
| ASSAULT WITHOUT INJURY | 1         | 4         |           | 5         | 3         | 3         | 1         |           | 2         | 1         | 1         | 2         |
| CRIMINAL DAMAGE        | 1         | 2         | 2         |           | 1         | 3         | 3         | 1         |           | 2         |           | 3         |
| HARASSMENT             | 3         |           | 1         | 1         | 1         |           |           |           |           | 2         |           | 2         |
| INCIDENT (non crimed)  | 19        | 26        | 31        | 40        | 13        | 12        | 15        | 27        | 25        | 12        | 13        | 15        |
| OTHER CRIME            | 3         | 1         |           | 1         |           |           |           |           |           |           |           | 1         |
| PUBLIC ORDER           | 25        | 15        | 15        | 11        | 6         | 13        | 5         | 6         | 13        | 7         | 7         | 11        |
| <b>Total</b>           | <b>55</b> | <b>54</b> | <b>57</b> | <b>61</b> | <b>27</b> | <b>33</b> | <b>28</b> | <b>38</b> | <b>45</b> | <b>24</b> | <b>24</b> | <b>36</b> |

|                        | Apr-11    | May-11    | Jun-11    | Jul-11    | Aug-11    | Sep-11    | Oct-11    | Nov-11    | Dec-11    | Jan-12    | Feb-12    | Mar-12    |
|------------------------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|
| ASSAULT WITH INJURY    | 3         | 1         | 3         | 5         | 2         | 4         | 1         | 2         | 1         |           | 2         | 4         |
| ASSAULT WITHOUT INJURY | 2         | 2         | 2         | 3         | 2         |           | 3         |           |           |           | 1         |           |
| CRIMINAL DAMAGE        | 2         | 2         | 3         | 6         | 1         |           |           | 1         |           | 1         | 2         |           |
| HARASSMENT             | 1         |           | 1         |           |           | 4         |           | 1         | 1         | 1         | 2         | 1         |
| INCIDENT (non crimed)  | 13        | 21        | 27        | 17        | 10        | 13        | 15        | 9         | 8         | 15        | 21        | 11        |
| OTHER CRIME            |           |           |           | 2         |           |           |           |           |           | 1         |           |           |
| PUBLIC ORDER           | 5         | 7         | 11        | 9         | 6         | 8         | 7         | 4         | 8         | 7         | 8         | 6         |
| <b>Total</b>           | <b>26</b> | <b>33</b> | <b>47</b> | <b>42</b> | <b>21</b> | <b>29</b> | <b>26</b> | <b>17</b> | <b>18</b> | <b>25</b> | <b>36</b> | <b>22</b> |

## EQUALITY, DIVERSITY AND INCLUSION POLICY STATEMENT 2012

A commitment to fairness and Social Justice is at the heart of the Council's values. We believe that everyone should get a fair and equal chance to succeed in Sheffield. We recognise that some people and communities need extra help to reach their full potential, particularly when they face multiple layers of disadvantage and discrimination. We will work to prevent and oppose discrimination and inequality.

The business case for equality, diversity & inclusion (EDI) is strong; good practice will lead to benefits for all. We want our workforce culture to promote and embrace EDI; realising that each individual adds value to a team. We know our strength comes from building on and valuing our staff and customers' differences and similarities. By being inclusive we encourage all staff from different backgrounds to be themselves and apply their own unique perspectives. We therefore recognise that we need to draw on talent from all sections of the population to be innovative, creative and effective in service delivery. We are committed to supporting our workforce to develop and to commission or deliver high quality services that meet the needs of everyone in the city

Promoting equality of opportunity, means creating environments where people have the chance to achieve their potential, free from barriers, prejudice and discrimination. Inclusion and equality is not about 'treating everyone the same' but recognising that everyone is different and that people's needs are met in different ways. This can be as a citizen, customer or employee. Diversity is about understanding that each individual is unique, recognising, respecting and celebrating the added value that differences bring.

### OUR COMMITMENTS

#### Creating an environment for our staff and the people of Sheffield:

- That promotes fairness, equality, diversity and inclusion
- That promotes dignity and respect for all
- That recognises and values individual differences and the contributions of all.
- Where people are treated fairly and according to their needs
- Where intimidation, discrimination, harassment, bullying or victimisation is actively prevented and opposed.
- Where individuals feel valued, included and able to access services
- That develops our position as an employer of choice and ensures that staff of all backgrounds have a positive experience whilst working for the Council.

#### Meeting the Equality Act 2010 and section 149 the Public Sector Equality Duty to:

- Eliminate discrimination, harassment and victimisation
- Advance equality of opportunity
- Foster good relations.

The relevant protected characteristics are age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex, sexual orientation or marriage/ civil partnership status. Every person has one or more of the characteristics, so the Act protects **everyone** against unfair treatment.

## **OUR AIMS**

### **When we make decision, plans and policies, we will aim to:-**

- Design our services to meet the diverse needs of our citizens
- Prevent, challenge and eliminate inequality
- Involve and consult with individuals and groups as appropriate
- Conduct appropriate and proportionate equality impact assessments
- Develop services through local and city-wide partnerships
- Create a cohesive city that fosters good relations and is welcoming to all who live, study, work and visit Sheffield
- Create opportunities and reduce barriers to involve people in decision-making processes of the city by increasing participation, e.g. in voting, school governing bodies and partnership bodies etc.

### **When we deliver or commission services we will aim to:-**

- Ensure that our services are relevant and take into account different needs
- Provide information that is clear, accurate and accessible
- Ensure customers receive a quality service but recognise their different needs
- Respond to and investigate complaints of bullying, harassment, discrimination or victimisation
- Monitor services, analyse gaps in provision, identify any barriers and make reasonable adjustments to take individual needs into account
- Have high levels of satisfaction for all citizens, customers or employees
- Provide personalised services to enable our citizens to live independent lives and make their own choices about the type of services they need.

### **As an employer we will aim to:**

- Recruit and retain a workforce that reflects the diversity of Sheffield
- Welcome the contribution made by the experience, knowledge and skills that a diverse workforce brings
- Provide targeted training and development for all our staff and Members;
- Train our workforce to meet the needs of our customers
- Provide an environment free from harassment, discrimination or victimisation
- Promote dignity and respect and provide an environment of mutual trust
- Take action to tackle disproportionate differences in access, progress and outcomes
- Listen to staff suggestions for improving our services and ways of working
- Promote flexible working to help staff to balance their work and personal commitments, reduce stress, absenteeism and achieve their full potential
- Inform people both inside and outside of the Council of our actions and achievements in relation to equality and diversity.

## **RIGHTS AND RESPONSIBILITIES**

We all have a right to be treated fairly and with dignity and respect. For this to happen we also have a responsibility to ensure that our own actions and behaviours are fair and that we respect the dignity of others.

### **This Policy applies to all:**

Governance and Involvement Team 2012

- Council Members;
- Customers and those applying to access services
- Contractors, sub contractors and consultants
- Partners delivering commissioned services
- Employees, whether part-time, full-time or temporary
- Student and volunteer placements

### **Support to Implement the Policy**

All our policies and practices will be supported by training or briefing sessions and guidance. For the equality, diversity and Inclusion policy we will provide:

- General and bespoke equality, diversity and inclusion training
- Advice and guidance is from, HR and Corporate and Portfolio equality leads
- Information on the Intranet and Internet and via Council communication systems.

For further support and guidance on the Policy or EDI issues go our website [link](#)

### **Monitoring Equality, Diversity and Inclusion**

All of our policies contribute to our overall aims around equality, diversity and Inclusion such as those relating to employment, service delivery, community engagement, commissioning and procurement. These are specifically designed to promote equality of opportunity and protect people against and eliminate unlawful discrimination, harassment and victimisation.

We collect and analyse data relating to these areas of policy, to identify trends and potential areas of inequality, and then take appropriate action.

### **Promoting, communicating and ensuring Equality, Diversity & Inclusion**

We will use all available routes to communicate & promote this policy. This will include key messages and challenges, induction events for new staff, information on the intranet and internet and specific events.

- Elected Members will promote our commitment to E DI
- Executive Management Team will be responsible for the overall management and direction of our E DI commitments
- The Strategic Equality Board will oversee this policy and monitor how far we are achieving our commitments
- Human Resources and Corporate and Portfolio equality leads will advise and support E DI work throughout the Council
- Portfolios will ensure E DI policies are implemented and monitor how far we are achieving our commitments
- Managers will make sure EDI is core to service delivery and staff management
- Staff Forums will support and promote EDI and challenge discrimination
- All employees will ensure that they are aware of this policy and take responsibility to promote EDI and challenge discrimination.



## SHEFFIELD CITY COUNCIL Cabinet

13

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**Report of:** Executive Director, Place

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**Date:** August 1<sup>st</sup> 2012

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**Subject:** Wybourn Site Disposal

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**Author of Report:** Tamsin Auckland

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**Summary:** Disposal of a site at Wybourn for residential development by Great Places Housing Association (the local stock transfer landlord) to allow for residential development consistent with the Council approved Wybourn, Arbourthorne and Manor Park (WAMP) Masterplan.

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**Reasons for Recommendations:**

**Recommendations:**

1. Subject to the Secretary of State's consent and receipt of planning approval, the site identified at Appendix A be disposed of to Great Places Housing Association as a site for the construction of 25 properties for affordable housing.
  2. The Director of Housing, Enterprise and Regeneration, in consultation with the Director of Property and Facilities Management be authorised to agree terms for the disposal of the site for purposes mentioned above, and to instruct the Director of Legal Services to complete the transfer on the terms agreed.
- 

**Background Papers:**

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**Category of Report:** OPEN/CLOSED\*

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**If Closed add – ‘Not for publication because it contains exempt information under Paragraph... of Schedule 12A of the Local Government Act 1972 (as amended).’**

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\* Delete as appropriate

## Statutory and Council Policy Checklist

|   |
|---|
| <b>Financial Implications</b>   |
| YES/ Cleared by:  |
| <b>Legal Implications</b>   |
| YES/ Cleared by: Andrea Simpson   |
| <b>Equality of Opportunity Implications</b>                                     |
| /NO Cleared by:   |
| <b>Tackling Health Inequalities Implications</b>                                |
| NO  |
| <b>Human rights Implications</b>  |
| /NO:  |
| <b>Environmental and Sustainability implications</b>                            |
| YES   |
| <b>Economic impact</b>  |
| NO  |
| <b>Community safety implications</b>  |
| NO  |
| <b>Human resources implications</b>   |
| NO  |
| <b>Property implications</b>  |
| YES   |
| <b>Area(s) affected</b>   |
| Wybourn   |
| <b>Relevant Cabinet Portfolio Leader</b>  |
| Harry Harpham   |
| <b>Relevant Scrutiny Committee if decision called in</b>                        |
| Safer and Stronger communities  |
| <b>Is the item a matter which is reserved for approval by the City Council?</b> |
| NO  |
| <b>Press release</b>  |
| NO  |

## REPORT TITLE: WYBOURN SITE DISPOSAL

### 1.0 SUMMARY

- 1.1 This area has already been the subject of extensive masterplanning, as part of Sheffield's Housing Market Renewal programme, resulting in the Wybourn Arbourthorne and Manor Park Masterplan approved by Cabinet in 2005. Through working with Great Places Housing Association, it will be possible to continue to deliver the objectives laid out in the Masterplan, and will contribute to making this community successful and sustainable.
- 1.2 The vision of successful neighbourhoods involves a variety and choice of housing types and tenures. The current Housing Needs Survey, completed in 2007, identified an annual shortfall of at least 729 affordable homes per year in the city. The development of 25 affordable properties will go towards meeting this need.
- 1.3 This report seeks permission to dispose of the site identified at Appendix A, to Great Places Housing Association to allow the building of 25 new properties for affordable rent. Affordable rent is 80% of the market rent that could be achieved for a particular property.
- 1.4 These new properties will help deliver the Council's vision for the City and people of Sheffield by increasing the provision of high quality affordable housing, which supports and delivers the City Councils Corporate Plan ambitions.
- 1.5 Central to the site development (in order to create a more sustainable, vibrant and safer community) is the involvement of local residents and stakeholders in the housing development process.

Great Places Housing Association are the local landlord of choice, and through managing the existing housing in the local area they are aware of the aspirations of the community and are working with them to deliver improvements to the area.

Permitting Great Places Housing Association to develop the site will allow them to further engage, involve and empower the community in guiding the development and help the new development to link to and enhance Wybourn.

- 1.6 The disposal of the land to Great Places Housing Association, will ensure that a developer is chosen that is not only the local



community landlord of choice, but also for example:

- has a long term interest in the area,
- a proven record of community engagement,
- is committed to providing innovative, high quality, environmental housing that meets the present and future needs of the local community and people of Sheffield,
- allows for the alignment of investment and maintenance strategies for the area.

1.7 Please note that a further report will be presented to Cabinet detailing proposals for new housing on the remainder of the Cricket Inn declared site (highlighted in Appendix A) and an additional cleared site on Maltravers Way.

## **2.0 WHAT DOES THIS MEAN FOR SHEFFIELD PEOPLE**

2.1 In terms of Standing Up For Sheffield the Corporate Plan 2011-14, this disposal will help achieve the outcome of a Great Place to Live, by creating desirable housing and promoting a thriving neighbourhood.

2.2 The construction of the properties will also contribute to the City and City Region's economy by creating construction and related industry jobs. The Council will hold discussions with Great Places Housing Association with the aim of maximising the use of local labour and other suppliers.

2.3 An increase in the number of properties at Wybourn will also help expand the local economy with the creation of greater demand for existing/additional local facilities, retail outlets and services.

## **3.0 OUTCOME AND SUSTAINABILITY**

3.1 The disposal of this site will allow Great Places Housing Association, in partnership with the City Council and local residents to contribute to delivering one of the strategic interventions identified in the Council approved WAMP Masterplan. This intervention will provide new housing for the benefit of existing and new residents.

3.2 In addition a Planning Brief (Appendix B) has been produced to state the Council's planning requirements for the sites.

3.3 In order to create a more sustainable, vibrant and safer community, the housing development process will involve local residents and stakeholders.

3.4 Environmental sustainability is also important to the proposed redevelopment of this site. The Planning Brief states that the

redevelopment of the site should minimise any negative environmental impact and provide a positive contribution where possible.

- 3.5 Disposal to Great Places Housing Association will:
- Help enable development of an attractive neighbourhood with a distinct and desirable identity by developing in accordance with planning requirements.
  - Ensure that the new properties will be well built, with high standards of energy efficiency, not only ensuring low running costs for their residents, but contributing to a lower carbon footprint for the City.
  - Allow the new housing and development layout to be designed in a way that will take account of the topography of the area and meet the needs of 21<sup>st</sup> century living.
- 3.6 When successfully completed the new housing development will:
- Transform a former housing site into a new housing development that meets the present and future needs of local residents and the people of Sheffield.
  - Deliver new properties that offer a choice of size and type, and adds to the housing choice and quality available in the area.
  - Raise the profile and desirability of Wybourn as a place to live.
  - Maximise future investment opportunities, estate sustainability options and redevelopment opportunity in a way that allows and maximises the opportunity for local people to stay in the area with the provision of better quality housing.
  - Have allowed local people to actively contribute to the development of the new housing.
- 3.7 The development of any plans for building new properties will involve ensuring that local residents, Members, East Community Assembly and other stakeholders will have the opportunity to be involved in and contribute towards developing the scheme.

The detailed scheme proposal will be subject to public consultation which will include consultation with the East Community Assembly, as part of the planning permission process.

As is detailed in their Consultation Blueprint Great Places have a commitment to community involvement. A copy of this Blueprint will be presented to the East Community Assembly by Great Places Housing Association prior to its implementation in relation to this project.

## **4.0 MAIN BODY OF THE REPORT**

4.1 After full consideration of the options available, in terms of the best interests of the City Council, local residents and people of Sheffield, and in order to best deliver the WAMP Masterplan recommendations for Wybourn the disposal of this site to Great Places is the most appropriate option that will deliver the Council's ambitions for the area.

4.2 The Cricket Inn site was declared surplus by Cabinet on 24 January 2007, and Cabinet resolved that the Director of Housing [now Director of Housing Enterprise and Regeneration], in consultation with the Head of Corporate Property [Director of Property & Facilities Management] and Assistant Chief Executive Legal and Governance [Director of Legal Services] be authorised to select the successful developer in line with the approved site disposal strategy subject to the approval of the development scheme and terms of the disposal in accordance with the Council's constitution.

Previously, Cabinet has also approved the WAMP Masterplan on 11 May 2005 and resolved that it be approved as material consideration in the planning process and relevant proposals be incorporated in the Sheffield Development Framework (SDF).

As is proposed now, the WAMP Masterplan recommended the building of new housing on this site.

4.3 It is therefore proposed that the Director of Property & Facilities Management, in consultation with the Director of Housing, Enterprise and Regeneration be authorised to negotiate and agree terms for the disposal of the site for purposes mentioned above, and to instruct the Director of Legal Services to complete the necessary legal documentation.

## **5.0 5.1 LEGAL IMPLICATIONS**

Disposal of the site to Great Places Housing Association at nil consideration to develop affordable homes would constitute assistance in connection with privately let housing accommodation and would require the consent of the Secretary of State under Section 25 of the Local Government Act 1988. A general consent has been issued for financial assistance or gratuitous benefit consisting of disposal of land to registered providers of social housing for development as housing accommodation. No further consent is needed under section 32 of the Housing Act 1985 to the disposal of housing land.

When deciding whether to dispose of a site at a discount to its market value it must be considered whether the proposed disposal

would be in the interests of the City and its inhabitants as a whole and as Council tax payers and would be consistent with the effective, economic and efficient discharge of the Council's functions.

## **6.0 6.1 FINANCIAL IMPLICATIONS**

The site shown at Appendix A has been valued at £145,000. During the formulation of the Local Investment Plan, the HCA made clear government's expectation that local authorities would maximise the use of their own resources to provide affordable housing. The grant available under the new Affordable Homes Programme for 2011/15 is significantly less than for the previous period, and would not allow the scheme to be developed without the addition of subsidy from sources other than Great Places own resources

Therefore the proposal is to transfer the land at nil value to Great Places Housing Association in order to ensure that the Council's wider ambitions for the area and the City are met in a timely manner. Great Places have confirmed that they will receive a grant of £643,000 from the Homes and Communities Agency.

The land identified for disposal will be disposed of to Great Places Housing Association for the development of 25 properties for affordable rent under a 125 year lease. An overage agreement is not applicable as these new properties will be affordable housing,

The Section 106 contribution from the scheme will also be programmed to be used in the local area to enhance public space and facilities.

This process will also create a saving to the Council as regards cleared site maintenance. It has been agreed that the responsibility for this will pass to Great Places Housing Association.

## **7.0 ALTERNATIVE OPTIONS CONSIDERED**

### **7.1 Do not dispose of the site yet.**

In order to maximise receipt from the potential sale of the site it has been considered whether it would be appropriate to wait until an upturn in the economy before disposal. This would however mean that the site would be left undeveloped for an indeterminable time With no guarantee of developer interest in this site or potential best price offer.

It would also deny the opportunity to develop the site speedily and to fit with Great Places Housing Association investment plans for the neighbourhood or resident expectation for the development of the site.

The timely development of the site is also intended to raise developer confidence in the wider area which will be reflected in the viability of other potential projects.

This option would also delay the delivery of an important strategic intervention of the WAMP Masterplan.

## **7.2 Open market with conditions/no conditions**

Although this option could potentially allow potential rapid development of the site and maximise receipt, this is improbable in the current economic downturn as we could not guarantee developer interest or potential best price offer.

If the site was sold for open market development it would reduce the opportunity for local residents to access the new housing. It would also deny opportunity for local lettings and compromise the investment strategy of Great Places Housing Association.

The process would also delay appointment of a developer and a start on site.

In addition such a process may result in establishing a new Registered Provider in the area, or if the developer chooses to work in partnership with another Registered Provider, with resultant issues around this as detailed below in 7.3.

## **7.3 Disposal of the site to another Registered Provider**

This option would allow development by a Registered Provider other than the local resident's landlord of choice.

Although this would introduce a choice of landlord for residents, it may compromise the opportunity for aligning investment and maintenance strategies.

This option may also compromise the compatibility of local lettings policies to the detriment of local residents wanting to access properties at Wybourn.

## **7.4 Disposal of the site to Sheffield Housing Company (SHC).**

This site is not on the current list of sites that has been offered to the SHC. If it were to be offered then there is no certainty as to when the site would be released and any agreed release date

would be made on the SHC priorities rather than local need.

#### 7.5 **Open competition with detailed development brief.**

The Council could agree a development brief and advertise the site to developers. This would allow the Council to be prescriptive and prioritise the development requirements.

It would however delay the release of the site, be Council resource intensive and not have guaranteed developer interest or potential best price offer.

It may result in the establishment of a new Registered Provider in the area which could result in difficulties in aligning investment strategies with Great Places Housing Association and a coordinated local lettings policy.

If a condition was included in the development brief that insisted the winning developer work in partnership with Great Places Housing Association then this may stop some developers entering the competition or force the developer to work with a partner it would not choose to work with. This may result in a difficult working arrange that may be detrimental to any scheme.

### **8.0 REASONS FOR RECOMMENDATIONS**

8.1 Disposal of this site at Wybourn for residential development by Great Places Housing Association will allow for residential development consistent with the Council approved WAMP Masterplan which will confer a number of timely benefits for the area and the city as a whole.

8.2 Disposal to Great Places Housing Association will result in the building of 25 new properties for affordable rent.

It will also increase the opportunity for local people to benefit from the developments and ensure that maximum numbers of options are available to the Council and Great Places Housing Association for future interventions that seek to ensure the long term sustainability of the neighbourhood.

It is intended that the development will include a variety of housing types, including apartments and bungalows, which are felt to meet the changing housing needs of local residents.

8.3 These new properties will help deliver the Council's vision for the City and people of Sheffield by increasing the provision of high quality affordable housing that supports and delivers the City Councils Corporate Plan ambitions.

- 8.4 Working with Great Places Housing Association will allow better investment planning for them, including the coordinated development of the sites to maximise the opportunity for local residents to move into the new properties. As the local landlord of choice and following extensive community consultation on other projects, Great Places Housing Association have detailed knowledge of the housing needs of the area and will be able to build the new housing to meet those demands.

## **9.0 RECOMMENDATIONS**

- 9.1 Subject to planning permission being granted, the site identified at Appendix A be disposed of to Great Places Housing Association as a site for the construction of 25 properties for affordable rent.
- 9.2 The Director of Property & Facilities Management, in consultation with the Director of Housing, Enterprise and Regeneration be authorised to negotiate and agree terms for the disposal of the site for the purposes set out in this report, and to instruct the Director of Legal Services to complete the necessary legal documentation.

Appendix A

Site for disposal shown in black





# **THE CRICKET INN & MALTRAVERS SITE, WYBOURN**

**SHEFFIELD CITY COUNCIL**

**Planning Brief**

**May 2012**



**CRICKET INN & MALTRAVERS PROJECT BRIEF CONTENTS**

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| <b>2. SITE LOCATION AND DESCRIPTION</b><br>Site Location<br>Site Description<br>Site Ownership                                     | <b>3-6</b>   | <b>7. TIMESCALES AND WORKING ARRANGEMENTS</b>  | <b>28</b>    |
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## 1. PURPOSE AND STATUS OF THE BRIEF

1.1 This is the Cricket Inn & Maltravers Planning Brief prepared for the agreed developer partner, Great Places, to support high quality development proposals on this strategically important site. It is intended that the Brief should be used by Great Places to guide and justify the design of its proposals and enhance development process.

1.2 The Brief has been signed-off as 'fit for purpose' by the Council's Head of Planning and the Development Manager for the area. It should be noted however that the Planning and Highways Area Committee have not approved this Brief.

1.3 The Brief has been prepared in good faith by council officers and represents officer views and current good practice. A number of site-specific requirements are set out here; however, it should be made clear that any development decisions should be made in full understanding of the relevant policy and the supporting documents.

## 2. SITE LOCATION AND DESCRIPTION

### Site Location

2.1 The Cricket Inn & Maltravers Site is shown in its geographic context at Figure 1. An aerial photograph of the site is also shown at Figure 2.

2.2 The site is located on the edge of Wybourn, which is a large residential area positioned to the east of Sheffield City Centre.

2.3 Information on the neighbourhood context is set out in the Neighbourhood Characteristics Section.

### Site Description

2.4 The site is described below and Figure 10 shows the site characteristics.

2.5 The gross area of the total Cricket Inn and Maltravers site is 3.86 Ha and is made up of 2 separate plots. The area of Cricket Inn Road is 2.99 Ha and the area of Maltravers is 0.87 Ha.

2.6 The existing highways infrastructure has been retained through the clearance project. It is expected that Great Places make their own investigations as to the quality and suitability of this infrastructure to meet any future needs. Access to the site is from a number of points.

2.7 There is some archaeological potential at the Cricket Inn site, as it accommodated Wybourn Hall. Details of this are provided at Appendix 6.

2.8 The nearest convenience store is located in the local centre at Manor Oaks Road, where there is also Manor Oaks Community Primary School and children's centre, see Appendix 5 Fig 2 Community Facilities plan for details.

2.9 There are good links to public bus routes on Cricket Inn Road to the north and Manor Oaks Road to the south of the site.

2.10 The Site is on a north facing slope – shallow near to Cricket Inn Road, and steeper to the south. There is a bund of grassed open space (made up of demolition waste) with existing trees to the frontage on Cricket Inn Road. The development site is within an existing neighbourhood within the Wybourn estate, which was modelled on garden suburb principles, built incrementally in 1930s and is made up of a distinctive, yet monolithic, architectural style as described later in Section 5, 'Neighbourhood Characteristics' and the site characterisation in Appendix 5

2.11 There is poor neighbourhood permeability and legibility. The immediate neighbourhood is primarily residential and relatively low density.

**Site Ownership**

2.12 The site is owned by Sheffield City Council.

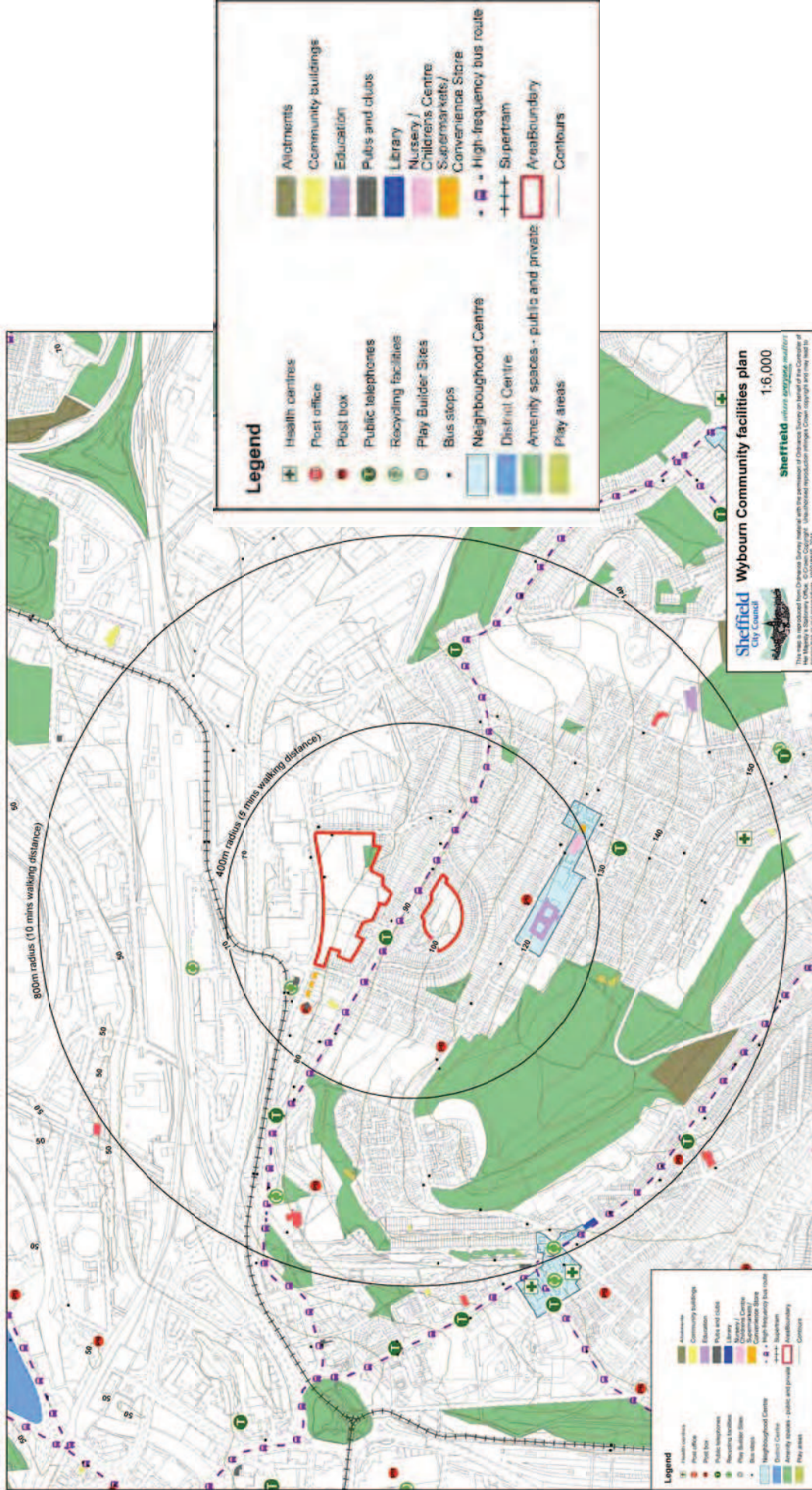


Figure 1: local context

Figure 2: Aerial Photograph (2002)



### 3. VISION

3.1 The Sheffield Development Framework includes a vision of Sheffield as a city that will ‘have attractive sustainable neighbourhoods where people are happy to live, offering everyone a range of facilities and services.’ and ‘to respect the global environment, and prize, protect and enhance its

natural environment and distinctive heritage’ whilst promoting ‘high quality buildings and spaces.’ The overall success of this development will be measured against the Building for Life criteria and should seek to achieve where possible the following outcomes.

| <b>Theme</b>                                 | <b>Neighbourhood Outcomes</b>   |
|--|---|
| <b>Effective Governance and Organisation</b> | <i>Developments and processes that include effective and inclusive participation, representation and leadership.</i>  |
| <b>Society and Culture</b>                   | <i>Healthy and active people, who live in communities that are fair, tolerant and cohesive and live without fear of crime and injury, with a strong local culture and shared community activities.</i>  |
| <b>Housing and the Built Environment</b>     | <i>Attractive, valued and locally distinctive homes and neighbourhoods that are appropriate to needs, safe, well managed, popular and able to be used by everybody. Successful places which are flexible and able to change to meet future as well as today’s challenges and demands.</i> |
| <b>Economy</b>                               | <i>Affordable developments and a residential offer that contributes to the economic success of the city.</i>  |
| <b>Environmental Sensitivity</b>             | <i>Makes the most of their environmental and historic assets, are resilient to changes in the weather whilst enabling people to enjoy the outdoors, reducing their negative impacts on the environment.</i>   |
| <b>Neighbourhood Infrastructure</b>          | <i>A range of neighbourhood facilities that are popular, easy to get to and meet peoples everyday needs.</i>  |
| <b>Transport and Connectivity</b>            | <i>Easy and safe to move around, particularly by walking, cycling and public transport. They are well integrated and connected with their neighbours, employment, neighbourhood facilities and the wider movement network.</i>  |
| <b>Fair for Everyone</b>                     | <i>Promoting diversity and equality of opportunity through inclusion.</i>   |

#### 4. PLANNING CONTEXT

4.1 Please Note - this part of the brief will be updated further as any new Planning Policy emerges or existing Policies are updated.

##### Planning Policy

The National Planning Policy Framework

4.2 This was published on 27 March 2012 and can be seen at <http://www.communities.gov.uk/planningandbuilding/planningsystem/planningpolicy/planningpolicyframework/>.

Unitary Development Plan (UDP)

4.3 Sheffield City Council is currently in the process of replacing the UDP with the Sheffield Development Framework (SDF). The Core Strategy was formally adopted on the 4 March 2009 and various UDP Policies are superseded by this document with others saved.

4.4 The site is designated under the UDP as predominately Housing Area with part of the frontage at Cricket Inn Road as Open Space Area, refer to Figure 3. The policies relevant to this area can be viewed on the council's website at <https://www.sheffield.gov.uk/planning-and-city-development/planning-documents/udp.html>.

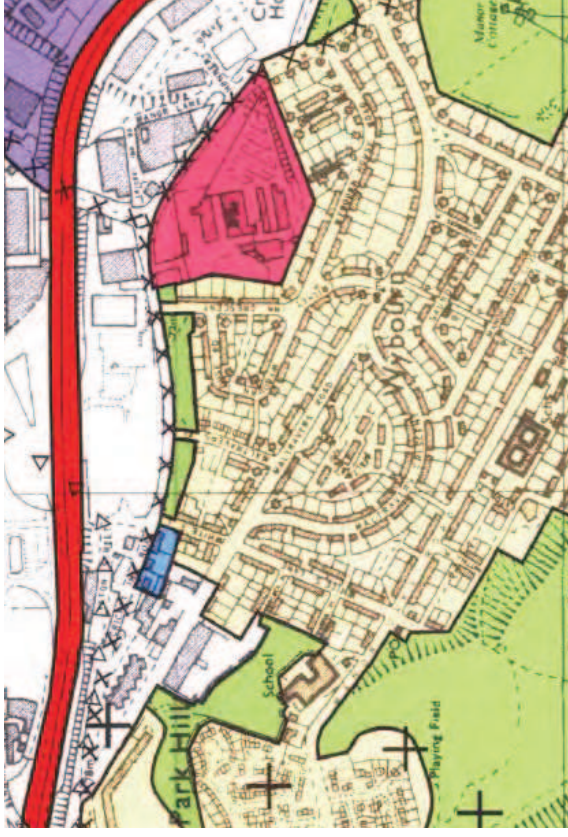


Figure 3: UDP Extract- © Crown copyright. All rights reserved. Sheffield City Council 100018816. 2011.



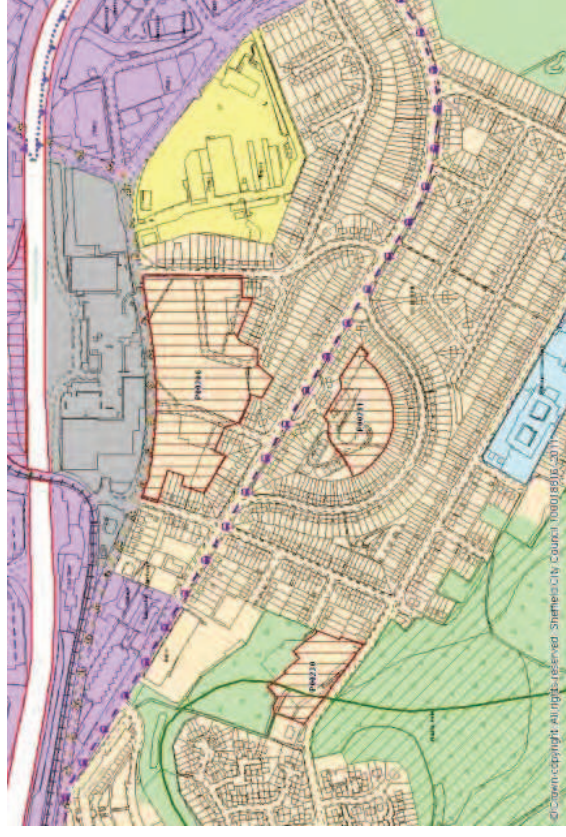
#### Sheffield Development Framework (SDF)

4.5 The Policies from the adopted Core strategy that are relevant to this area can be viewed on the council's website at <http://www.sheffield.gov.uk/sdf>

4.6 The City Policies and City Sites document (supplemented with a Proposals Map) is still being drafted and the timetable can be viewed at: <http://www.sheffield.gov.uk/planning-and-city-development/planning-documents/sdf/local-development-scheme>. It is proposed under the draft Proposals Map that the Open Space Area fronting Cricket Inn Road be changed to Housing Area and included in a City Site Allocation. This is in line with the redevelopment proposals under the Wybourn, Arbourthorne and Manor Park Master Plan (LDA 2005) see Fig 4 for details. For further information regarding the emerging city polices, cites and the map please refer to the council's website <http://www.sheffield.gov.uk/planning-and-city-development/planning-documents/sdf/city-policies>. Please note that this is for informative purpose only as this document has not been formally adopted.

4.7 There is also other relevant local supplementary planning guidance (SPG) which can be viewed in Appendix 1.

Fig 4: Emerging SDF extract



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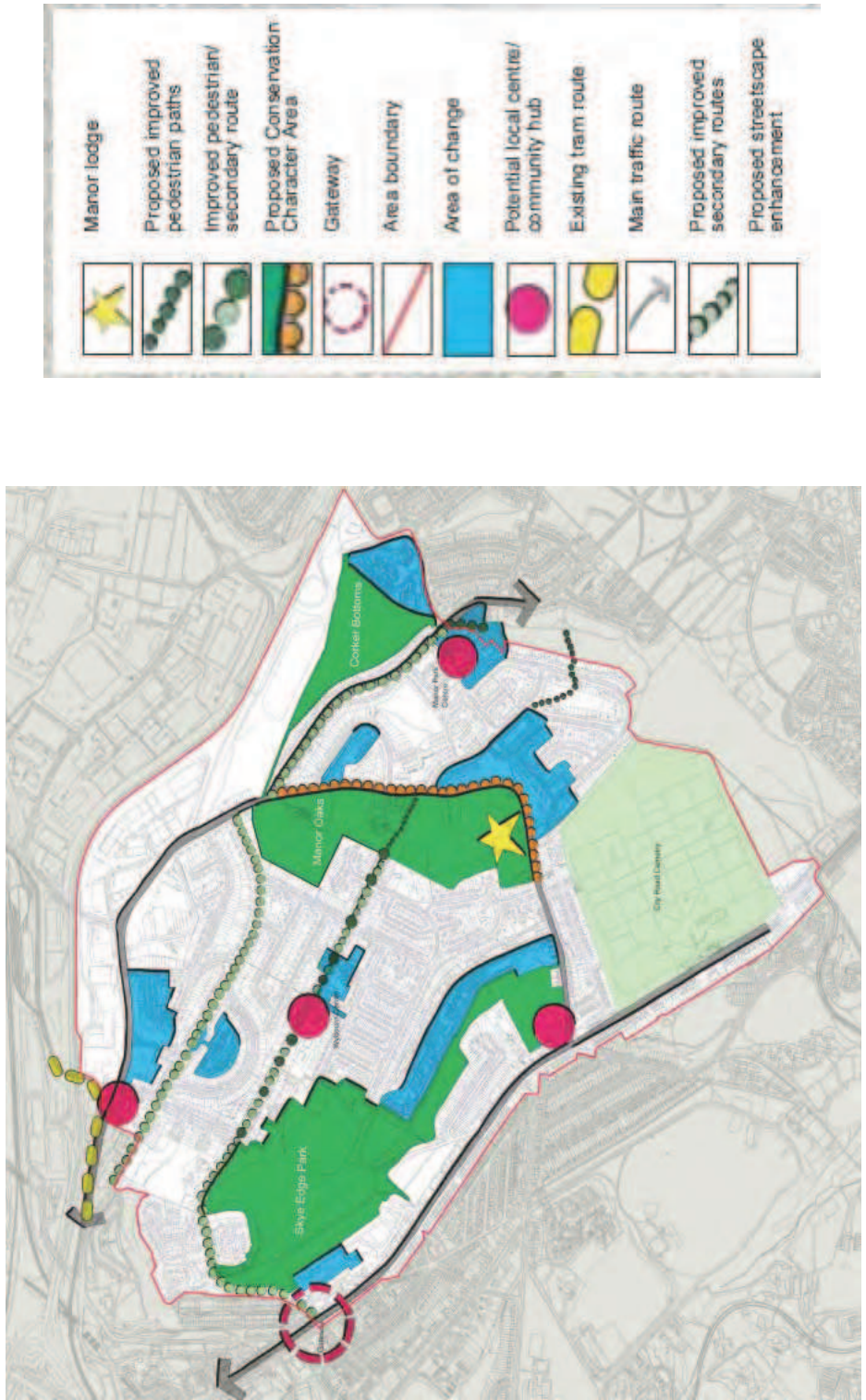
#### **Material Considerations**

4.8 In the context of Housing Market Renewal (HMR) 2002 - 2011, Wybourn has been the subject of masterplanning carried out by LDA Design. The Wybourn Arbourthorne and Manor Park Master Plan (2005) can be found on the council's website,

<http://www.sheffield.gov.uk/planning-and-city-development/planning-documents/background-reports/wybourn-arbourthorne-manor-park-masterplan>

4.9 Figure 5 below shows the broad concept from the Wybourn Master Plan. The concept plan shows how the local centre could be complemented and how new residential development could create a new gateway into the wider residential area from Cricket Inn Road.

Figure 5: Broad Concept from the Wybourn Masterplan, 2005



### **Existing Planning Permissions**

4.10 There are no outstanding permissions on site. Planning permission has been granted to Great Places for boundary treatments for neighbouring properties in the area.

### **Planning Requirements**

4.11 All of the standard planning requirements apply to this site. This section of the Brief in particular draws out the site specific requirements that need to be addressed. The documents required for the planning submission are listed in Appendix 2

Housing (Policies UDP – H7, H10, H14, SDF CS26 CS40, CS41 CS74) Disabled access (Policy UDP BE10, H18)

### **4.12. Target development capacity for this site is 40-60 dwellings per hectare under Core Strategy**

**Policy CS26**, due to its close proximity to high frequency bus routes and the Supertram stop at Cricket Inn Road. This supersedes the 31 units/ Ha stipulated under the Master Plan. The Strategic Housing Land Availability Assessment indicates a development capacity of 108 dwellings at Cricket Inn and 30 dwellings at Maltravers to meet the minimum density requirement.

**4.13 UDP Policy H10 identifies C3 residential uses as the Preferred Use in Housing Areas. It also lists a number of other uses that could be acceptable subject to meeting the criteria of Policy H14.** There is therefore potential for some mixed-use development

along Cricket Inn Road to link in with the local centre in line with the Master Plan

**4.14 CS40 sets Affordable Housing targets of between 30% and 40%** where it is financially viable See Appendix 1 for the link to the relevant Interim Planning Guidance (IPG).

**4.15 The provision of Affordable Housing across different house types could contribute towards CS41 to help create mixed communities.** The Housing Market Assessment (2007) can also guide the creation of Mixed Communities. This part of the City is in need of more larger family housing (4 bed+), and dwellings that can cater for the needs of BME, disabled people, older people and families. This could be done via the creation of lifetime homes, mobility homes and older persons accommodation, and the application of high flexible space standards across house types and tenures. Details of SCC's Housing Strategies can be found at [www.sheffield.gov.uk/in-your-area/housing-services/housing-strategies](http://www.sheffield.gov.uk/in-your-area/housing-services/housing-strategies)

**4.16 UDP Policy H7 requires 25% of new homes to be Mobility Housing**, except where physical characteristics of the site make this impractical, See Appendix 1 for the link to the relevant SPG. **Mobility houses need to be spread across all types and tenure of dwellings**, in doing so this will also contribute towards the creation of Mixed Communities CS41.

Design Principles (UDP Policies – H15, BE2-6, BE9-12, BE16, BE19, BE21, SDF – CS74)

**4.17 CS Policy CS74 states that the scheme needs to achieve Building for Life Silver as a minimum.** A redevelopment scheme for the site should take account of **The South Yorkshire Residential Design Guide**, available to view/download at

[www.sheffield.gov.uk/roads/about/transport-and-highways/development-and-adoptions/design-guide](http://www.sheffield.gov.uk/roads/about/transport-and-highways/development-and-adoptions/design-guide)

**alongside UDP policies within the Built**

**Environment Chapter and Core Strategy Policy**

**CS74.** The site characteristics plan (Fig 10), Urban Design Framework (Fig 11) and characterisation work should inform this.

Archaeology (UDP Policy BE22)

4.18 The South Yorkshire Archaeology Service (SYAS) has found through an initial assessment that there is some archaeological potential at the Cricket Inn site, as it accommodated Wybourn Hall. See Appendix 6 for details.

4.19 Archaeological investigation will be necessary prior to development and initially this will be by evaluation trenching to ascertain the nature, extent and degree of preservation of the Hall. The nature and extent of further work will depend on the evaluation results. **SYAS recommends that the evaluation phase is undertaken prior to submission of any planning application and the results submitted as a report to accompany the application as supporting evidence.** This is in line with the recommendations of PPS5 “Planning for the Historic Environment” (Policy HE6.1).

Public Art (Policy BE14)

**4.20 A public art project should be developed in partnership with the local community enabling participation in the process of regeneration -** strengthening existing communities and helping to build new ones. The focus of the project should be to celebrate the archaeological heritage associated with Wybourn Hall at the Cricket Inn site. SCC has a Public Art Officer who can provide advice on the approach

Education facilities (Policies UDP – H14, CF1, SDF – CS43)

4.21 It is likely that **a section 106 contribution for education provision may be required.** The amount of any contribution will be calculated in accordance with policy and guidance that is relevant at the time of the planning submission, See Appendix 1 for the link to the relevant Supplementary Planning Guidance (SPG).

Open space (policies UDP - H16, SDF – CS45, CS46, CS47, CS54)

4.22 Any redevelopment proposals need to improve pedestrian connections to existing open spaces, see Fig 1 for details.

**4.23 Under UDP Policy H16 there is a requirement for the developer to (a) provide 10% on-site informal open space, and (b) to make a financial contribution towards the provision or improvement for off-site children’s play facilities and outdoor sport space,** using Table 1 for Formal Recreation Space. This table can be found in Appendix 4 of the Open Space SPG, a link to this is provided at

Appendix 1 to this brief. Please be aware that an administration charge is now being levied on open space financial contributions since the 15<sup>th</sup> June 2006. This is 3% of the total open space contribution required, with a ceiling of £4000. Please note this is not in itself a planning obligation. Further information can be found on the website.

4.24 Proposals for the 10% informal open space should include details of ongoing management and maintenance, see Sheffield's Great Outdoors, Green and Open Space Strategy 2010-2030 p51-58 [www.sheffield.gov.uk/out--about/parks-woodlands--countryside/green-and-open-space-strategy](http://www.sheffield.gov.uk/out--about/parks-woodlands--countryside/green-and-open-space-strategy)

4.25 The current strip of Open Space Area as designated under the UDP does not currently function as an Open Space and as such does not feature as part of the Open Space Audit; therefore, its loss would not conflict with CS47 nor LR5. However, **the Open Space Audit does contain an informal area at Cricket Inn Crescent and this could be replaced elsewhere on-site as part of the 10% informal open space requirement.**

Green Environment and Ecology (Policies UDP -BE6, GE10, GE11, GE15. SDF - CS45, CS46, CS47, CS54 CS73)

**4.25 High quality landscape design should be used that include the 10% informal open space area, to link the site to existing open space areas and surrounding green links.**

**4.27 UDP Policy GE15 states that trees and woodland will be encouraged and protected by various means including requiring developers to retain mature trees (category A and B) and replace any that are lost.** Tree survey, constraints and conservation information in accordance with BS5837: 2005 should be discussed during preapplication discussions and submitted as part of development proposals to ensure that all retained trees are protected from adverse impacts on health and longevity. A system of access and working should also be submitted, demonstrating how development works are to be achieved within these constraints.

4.28 Initial officer observations suggest that there are a few trees that should be retained, see site characteristics plan Fig 10 and Urban Design Framework Fig 11 for details.

**4.29 A scoping report should be produced for Ecology** and should be discussed during preapplication discussions and submitted as part of development proposals

Sustainability (Policies UDP- BE5, BE6, BE9, BE10, H10, H14, GE10, GE11 SDF – CS63, CS64, CS65, CS67, CS73, Climate Change and Design Supplementary Planning Document – Guideline CC1)

4.30 The Council encourages sustainable design and construction, green roofs, sustainable urban drainage systems (SUDS), renewable energy, biodiversity and sustainability in general under CS64/65. (The following archived CABA website illustrates possible building methods and principles).

<http://webarchive.nationalarchives.gov.uk/20110118095356/http://www.cabe.org.uk/>

4.31 Under SDF Policy CS64 there is potential to maximise solar gain if dwellings are located on the east-west axis and thermal massing could also be considered. Under SDF Policy CS65, given the size of the Cricket Inn Road site there may be an opportunity for a shared energy scheme to be incorporated i.e. biomass-fired combined heat and power.

4.32 **Under CS64, Level 3 of the Code for Sustainable Homes must be achieved** as a minimum as this site will deliver more than 5 dwellings.

4.33 Guideline CC1 in the Climate Change and Design Supplementary Planning Document (SPD) **requires green roofs on developments of 10 or more dwellings**, provided they are compatible with other design and conservation considerations. The green roof should cover at least 80% of the roof area. See Appendix 1 for the link to the relevant SPD.

#### Infrastructure

4.34 The Sheffield Energy and Water Infrastructure Study (2010) was commissioned to understand the existing energy, water and telecommunications infrastructure along with future capacity. The study is available to view/download at:

<http://www.sheffield.gov.uk/planning-and-city-development/planning-documents/sdf/infrastructure-planning> This has not identified any additional costs to connect the development to infrastructure beyond the standard connection costs.

Environmental Protection Issues (Policies UDP – H14 SDF – CS63, CS64, CS66)

#### **4.35 An acoustic report is required for this site.**

There are a number of potential noise sources (see Site Characteristics Fig 10) as the site is situated on a busy main road, and is adjacent to the Parkway Retail Park that is designated as a Fringe Industry & Business Area. Therefore there are implications for potential living rooms and bedrooms fronting onto Cricket Inn Road. The acoustic report should be based on suitable methodology to determine the Noise Exposure Category for the site and assess the impact of commercial/ industrial noise in close proximity (i.e. PPG24 or BS4142).

4.36 For land contamination issues a **Phase I Preliminary Risk Assessment Report and Phase II Intrusive Site Investigation report is likely to be conditioned on planning permission** to be prepared in accordance with Contaminated Land Report CLR11 (Environment Agency 2004).

#### Drainage (Policy UDP – SDF – CS67)

4.37 For redevelopment areas the aim is to help reduce existing downstream flooding and overload **by limiting surface water discharge to no more than 70% of the previously discharged peak flow (30% reduction as a minimum), if the discharge is direct to existing sewers**. The actual surface water flows will depend largely on development density and the amount of green space provided. **The use of SUDs infiltration drainage techniques will be required where feasible and practicable under SDF Policy CS67.**

A full positive surface water drainage system to serve all hard surfaces would be acceptable to the Local Planning Authority.

4.38 The old development was served entirely by combined Yorkshire Water sewers, shown in red on the plan in Appendix 3 although there may also be many disused local drains still in place. The sewers crossing the Cricket Inn site serve significant areas outside the current development sites and could be problematic and costly to move.

Highways/Transport (UDP – T8, T10, T21, T22, T25, SDF – CS41, CS54) Disabled access (Policy UDP BE10, H18)

4.39 A **Transport Statement** should identify any necessary upgrade works, these may need to be secured through S106/S278 contributions/ works.

**4.40 The Transport Statement should be discussed during preapplication discussions and submitted as part of development proposals.** See Appendix 1 for the link to the relevant SPG.

**4.41 A travel plan will be required and should actively promote walking, cycling and the use of public transport as alternatives to the car in line with CS53-54.** Routes should be designed to encourage better east west connections throughout the site and better linkages to key assets in the area i.e. the local centre/ tram stop at Cricket Inn and the local centre and Manor Oaks Road.

4.42. Under UDP Policy BE10 there is a requirement for a new zebra crossing at Cricket Inn Road to enhance road safety on the pedestrian route to the Parkway Retail Park. See Urban Design Framework (Fig 11).

4.43 A map of the existing road layout and formal adoptions is provided at appendix 4. The Urban Design Framework (Fig 11) indicates potential footpath closures and a potential new pedestrian route.

4.44 Mobility Housing Standard parking spaces will need to be clearly identified on any proposals and their required dimensions achieved. See Appendix 1 for the link to the relevant SPG. For non-housing uses accessible parking spaces will be required.

Waste and Recycling (SDF – CS64)

**4.45 Collection Service for Houses**  
Containers

- Per dwelling, space should be recognised for 3 wheeled bin containers having a footprint size of 0.75m x 1.5m, around which there should be a reasonable allowance for a walkway.
- Storage should be on the premises, and a minimum of 1.0m from the building. The use of communal bin stores should be avoided.  
Access
  - Any undercover/ internal storage facility for bins must have a level access with the ground level or any slope constructed should be equal to that for wheel chair access.

- The movement of domestic household bins to the kerbside collection point is the responsibility of the occupier.
- The surface over which the bins are to be transported (pulled or pushed) should be a smooth surface (tarmac, block paving or paving flagstones) where the container will not sink or be uneven which may cause the container to tip over.
- Servicing (Applicable to Houses and Flats)
  - New roadways should be suitable for a 32 tonne vehicle, and due consideration given to the potential for vehicles to be parked at the sides of the road.
  - The dimensions of the largest collection vehicles are:  
Length: 12.5 metres  
Width: 3.2 metres  
Height: 4.2 metres
  - A turning area is required if there is not an access and egress from the site.
  - Collection Vehicles should not be expected to reverse over 12 metres.

#### 4.46 Collection Service for Flats

Where it is not possible to allocate an individual receptacle to a dwelling the City Council standard is to provide 1100 Litre Euro Bins for residual waste, collected once weekly, 660 Litre Euro Bins for paper and card and 500 litre Euro Bins for glass and cans, both collected every two weeks. 120 litres per dwelling per week is made available, plus a minimum 30% additional capacity for the segregated collection of materials for recycling.

#### Storage

- A minimum allocation for waste storage of 0.25m<sup>3</sup> (as per building standard H6) per dwelling must be adhered.
- Any mixed-use development must provide totally separate storage of domestic waste from any other waste arising from the premises.
- A recycling area should be clearly designated and marked within the waste storage area.
- Space allocated for bin storage should not have bins stored more than two deep and should provide ample room for rotating the bins (a minimum equivalent in space to a 50cm wide band around each bin for this purpose).
- Adequate height, with a minimum of 2.3 metres from floor to ceiling in the storage area must be provided to ensure the lids on all containers must be able to open fully.
- The Developer must give consideration for the accessibility of waste and recycling facilities by disabled residents.
- A designated area must be provided for the occasional storage of bulky items of waste by residents (this should be in addition to the minimum 0.25m<sup>3</sup> of designated waste storage space per dwelling).
- The waste authority is pleased to consider alternative arrangements to chutes for waste.
- Suitable consideration should be made to minimise risk associated with the storage of waste including adequate ventilation and fire precautions.
- Any agreed method of waste management outside the standard service provided via the waste



collection authority will be liable for capital and revenue costs.

**Access & Servicing (Specific to flats)**

- Bins will be pulled a maximum of 12 metres from the storage area to refuse collection vehicle. Arrangements can be made with the waste collection authority where access is within the prescribed measure to collect direct from storage area, alternatively agreement must be sought with the waste collection authority to designate a suitable collection & return point.

**5. NEIGHBOURHOOD CHARACTERISTICS AND DESIGN PRINCIPLES**

- 5.1 This section deals with neighbourhood characteristics closer to the site. Please see Appendix 5 for the detailed site characterisation study.
- 5.2 The development proposals should respond to and develop the general neighbourhood characteristics listed below and in Figures 6, 7 and 8 by optimising the value of the positives and mitigating the negative issues.

**Landscape**

- + Single type of landform – gently sloping, with views to the valley
- + Good transport connectivity in terms of tram and high frequency bus routes
- + Open views that need to be framed
- + Existing trees on Cricket Inn Road offering much needed greenery
- Poor environment on Cricket Inn Road with backs of retail units, fences and service yards
- North facing site orientation

**Streetscape**

- + Wide open streets with verges
- + Clear definition of front and backs
- + Generous front and back gardens with housing set back from the street
- + Variety of boundary treatments – hedgerows, open fences and some brick walls
- In some cases the houses are set up or down, creating a poor relationship with the street to deal with level changes
- Poor street enclosure as a result of the setback houses
- Few street trees

**Architecture**

- + Rich roofscape – predominantly tiled pitched, hipped roofs with chimneys, overhanging eaves and projecting rafter feet
- + Fenestration – clear window hierarchy
- + Materials – red brick, render, cast concrete details
- + Details – brick string courses, brick details, brick archways and cast concrete porch canopies
- Monolithic housing estates – monotonous feel

**Colour**

- + Red and green prominent colours
- + New and bold render colours added to as part of wider environmental improvement scheme to aid legibility

Figure 6: Site Photographs plate 1



View of shops on Cricket Inn Road



View of site frontage on Cricket Inn Road



View of the site and Maltravers Way looking towards Cricket Inn Road



Detail view of shops on Cricket Inn Road



View of the pedestrian Footpath from Whites Lane into the site



View of the existing houses on Maltravers Place



Corner of Wybourn House Road site - Cricket Inn Road and Whites Lane



View of the footpath looking back towards Whites Lane



View of the existing flats on Maltravers Way

Figure 7: Site Photographs plate 2



View of the footpath looking back towards Maltravers Way



Houses on the corner of Cricket Inn Crescent and Wybourn House Road



Pedestrian Route into the Maltravers Way site



View of Wybourn House Road looking east



View of Wybourn House Road East not part of the site



Pedestrian Route and view of the site



View of site and Wybourn House Road looking north



View of Maltravers Road looking towards the approach to Maltravers Way site



Substation on Maltravers Way and approach to the cul-de-sac parking court

Figure 8: Site Photographs plate 3



View from the cul-de-sac parking court off Maltravers Way



View of Maltravers Way as it snakes up the site



Long views from the site



View from the cul-de-sac parking looking toward back gardens of existing houses



View of the site looking towards the back gardens of existing houses



View from Cricket Inn Crescent looking north



View of Maltravers Way looking east



View of the pedestrian footpath as it continues beyond the site



View of the east corner of the site

Figure 9: Site Photographs key map

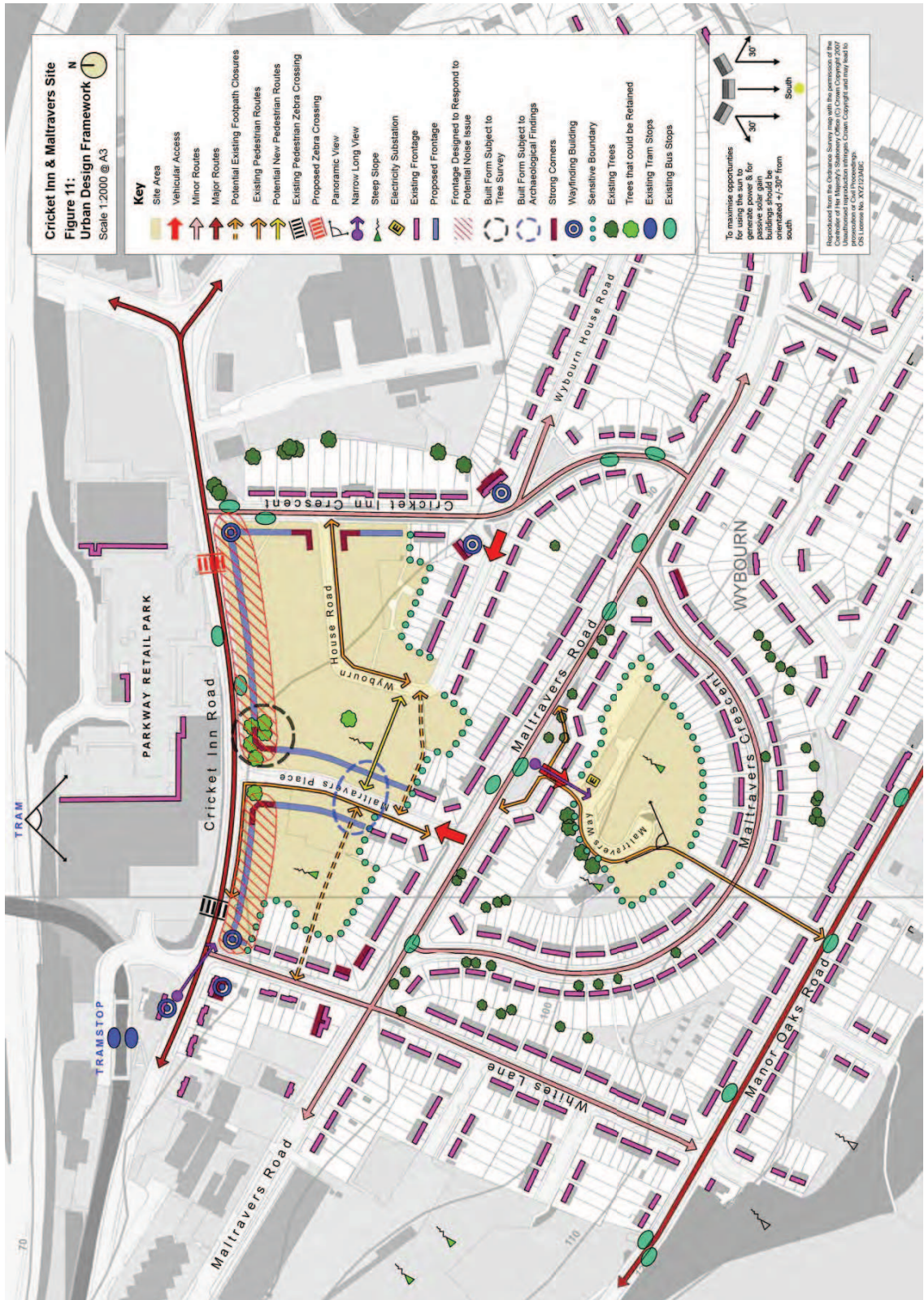


Site Photographs

Figure 10: Site Characteristics



Figure 11: Urban Design Framework





## Design Principles

5.3 Site specific design principles relating to Fig 11 are:

- As outlined in the 2005 Wybourn Masterplan, the character of the development should create a 'new face' for Wybourn and should complement the very visible and gateway location of the site for the area in general. The use of wayfinding buildings should contribute towards this.
- Key views and vistas should be taken into account for the layout and the building arrangement at both Cricket Inn Road and Maltravers Way.
- Create significant frontage onto Cricket Inn Road and Maltravers Way to aid legibility.
- At the Cricket Inn Road site provision should be made in the design of the layout to sensitively respond to: the potential amenity issues with Cricket Inn Road and the Retail Park, on-site trees, the archaeological potential at Maltravers Place, and the sensitive boundary with existing housing
- At the Maltravers Way site provision should be made in the design of the layout to sensitively respond to: the arrangements of existing back gardens, and the relationship with the maisonette blocks and the buildings of influence on Maltravers Way.
- Particular attention needs to be given to the gradient of streets, and to the difference in levels between footways

and the entrance level of adjacent dwellings to avoid steep ramps and driveways or for steps.

- The footways within the Cricket Inn road site to be improved or potentially closed and re-routed.
- Development to be predominantly up to 2 storeys preferably integrating a pitched/hipped roof form, in short terraces or as semi detached houses, demonstrating high quality design, detailing and robust materials.
- Buildings up to three storeys possibly in short terraces or an apartment block could be used at Cricket Inn Road to help wayfinding and provide legibility for the area.
- Integrate existing substation at Maltravers Way in new boundary treatments/ landscaping if it has to be retained.
- Provide the highest practicable standard of inclusive design within the highway and elsewhere in the public realm. Adopt creative solutions to reduce the impact of the topography, but the Maltravers Way site is unlikely to be suitable for Mobility Housing.

## 6 BEST PRACTICE

6.1 Although not a specific planning requirement, the preparation, use and submission of the following information and standards would show good practice in enabling the requirements of planning policy to be met. The Council has a Developer Manual that may help provide useful background information. <https://www.sheffield.gov.uk/planning-and-city-development/regeneration/sheffield-site-redevelopment-programme>

6.2 Grant funded Affordable Homes must be designed to meet the HCA requirements as set out in Design and Quality Standards (April 2007). Annexe 3 of the document identifies also identifies best practice that should be considered. It is not a specific requirement, however, that market housing meets these HCA standards. The developer must however ensure that all homes are tenure blind: unable to be differentiated by appearance, type, location, or phasing within the development for example.

### Housing

6.3 Prepare a Housing Market Assessment using the Sheffield HMA. <https://www.sheffield.gov.uk/in-your-area/housing-services/housing-strategies/housing-market-assessment-2007.html> (further information is available from the Council). Show how the housing needs and demands of the current and future community have been investigated and how the development proposals reflect the findings.

6.4 Use innovative approaches to provide up to 40% of the development as Affordable Housing.

### Environmental sustainability

6.5 Prepare and use a Low and Zero Carbon Technologies Report guiding the most cost effective approach to reducing carbon emissions on the site.

6.6 Prepare a design and planning stage Code for Sustainable Homes reports to guide design development.

6.7 Prepare and use comprehensive Site Investigation Reports to inform the design proposals. The studies should include detailed topographic survey, ecological survey, and ground investigation reports.

6.8 Prepare and use a Water Management and Demand Study including the preferred approach to implementing SUD's. The approach should include the incorporation of green roofs on as many homes as possible.

6.9 Prepare an Environmental Sustainability Brief for the Design Team balancing the findings of the above surveys and proposing the approach to optimising the positive benefits on the environment.

6.10 Prepare a Green Travel Plan explaining how residents will be enabled to lead more environmentally sensitive lifestyles.

### Design and Access Statement

6.11 Show in the DAS how the quality of life of residents can be maintained and enhanced through designing at higher densities.

6.12 Prepare a high quality and comprehensive landscape design scheme to be submitted with the planning application. The scheme should sit within a Green Infrastructure Strategy for the area. Include a costed Management and Maintenance Plan with a delivery mechanism.

6.13 Appoint an accredited Building for Life Assessor to advise on achieving higher scores.

6.14 Show all 7 attributes of 'Safer Places' as set out in chapter 2 of 'Safer Places: the Planning System and Crime Prevention.'  
<http://www.communities.gov.uk/publications/planningandbuildi ng/saferplaces> Work with the Police ALO early on, and seek to achieve Secured by Design award.

6.15 Commit to developing Home Zones and/ or high quality streetscapes that show the principles set out in the South Yorkshire Residential Design Guide.  
<https://www.sheffield.gov.uk/roads/about/transport-and-highways/development-and-adoptions/design-guide>

6.16 Design a range of parking solutions to meet the principles of the English Partnerships guidance 'What works where'.  
<http://collections.europarchive.org/tna/20100911035042/http://englishpartnerships.co.uk/qualityandinnovationpublications.htm>

### **Inclusive design**

6.17 As part of the Design and Access Statement prepare an Inclusive Design Strategy, including creating Legibility Plan for people with sensory impairment, appointing an appropriately

qualified Access Consultant and an Access Champion within the development company.

6.18 Design properties to the Lifetime Homes standard enabling easy future adaptation by residents.

6.19 Design the Mobility Standard Homes to the Mayor of London Best Practice Guide to Wheelchair Accessible Housing, but with just 10% of the properties with a covered car parking space.  
<http://legacy.london.gov.uk/mayor/strategies/sds/bpg-wheelchair-acc-housing.jsp>

6.20 Design dwellings to meet or exceed the National Housing Federation 'Standards and Quality in Development - a good practice guide' internal space design standards.

### **Construction Efficiency**

6.21 Prepare a Construction Efficiency Report showing how construction best practice, such as shown through the Design for Manufacture competition, is being implemented. Include a Sustainable Construction Waste Plan and a report on re-using as much of the site infrastructure as possible.

6.22 Future-proof the design, for example enable future loft conversions into habitable rooms, over-specify roof trusses to enable future PV panels to be fitted, and provide space for additional services.

6.23 Show how the majority of materials are classed A+/B in the BRE Green Guide to Specification. Use local materials and labour.

## 7. TIMESCALES AND WORKING ARRANGEMENTS

7.1 Great Places have already shown commitment to follow a best practice approach to the Pre-application process. At the inception stage the Local Planning Authority will discuss the use of a Planning Performance Protocol and will scope its contents with Great Places. This will be an informal agreement between the Local Planning Authority and Great Places setting out clear guidelines and protocols, a work programme with milestones, and key issues that will be addressed throughout the Pre-application process.

7.2 There is a charge for preapplication advice; details can be seen at the Council's website: <https://www.sheffield.gov.uk/planning-and-city-development/our-customers/planning-for-business/premakinganapp.html>

## 8 CONTACTS

The Sheffield City Council contacts for this project are:

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# **APPENDICES**

**(to Cricket Inn and Maltravers Project Brief)**

- 1. SUPPLEMENTARY PLANNING GUIDANCE      pg 2**
- 2. PLANNING SUBMISSION INFORMATION      pg 3-4**
- 3. DRAINAGE MAP      pg 5**
- 4. HIGHWAY ADOPTIONS PLAN      pg 6**
- 5. SITE CHARACTERISATION      pg 7-22**
- 6. ARCHAEOLOGY      pg 23 24**
- 7. A3 Plans**

## APPENDIX 1: SUPPLEMENTARY PLANNING GUIDANCE

Interim Planning Guidance:

[http://www.sheffield.gov.uk/sys\\_upl/templates/assetbrowser/assetbrowser\\_disp.asp?page=1&basketPage=&basketItem=&pgid=168153&tid=186&resultsOrdering=titleAsc#](http://www.sheffield.gov.uk/sys_upl/templates/assetbrowser/assetbrowser_disp.asp?page=1&basketPage=&basketItem=&pgid=168153&tid=186&resultsOrdering=titleAsc#)

Supplementary Planning Documents:

<http://www.sheffield.gov.uk/planning-and-city-development/planning-documents/sdf/supplementary-planning-documents>

Key documents to refer to are:

- Planning Obligations and Education Provision
- Affordable Housing
- Mobility Housing
- Open Space
- Transport Assessments and Travel Plans
- Climate Change and Design (SPD)

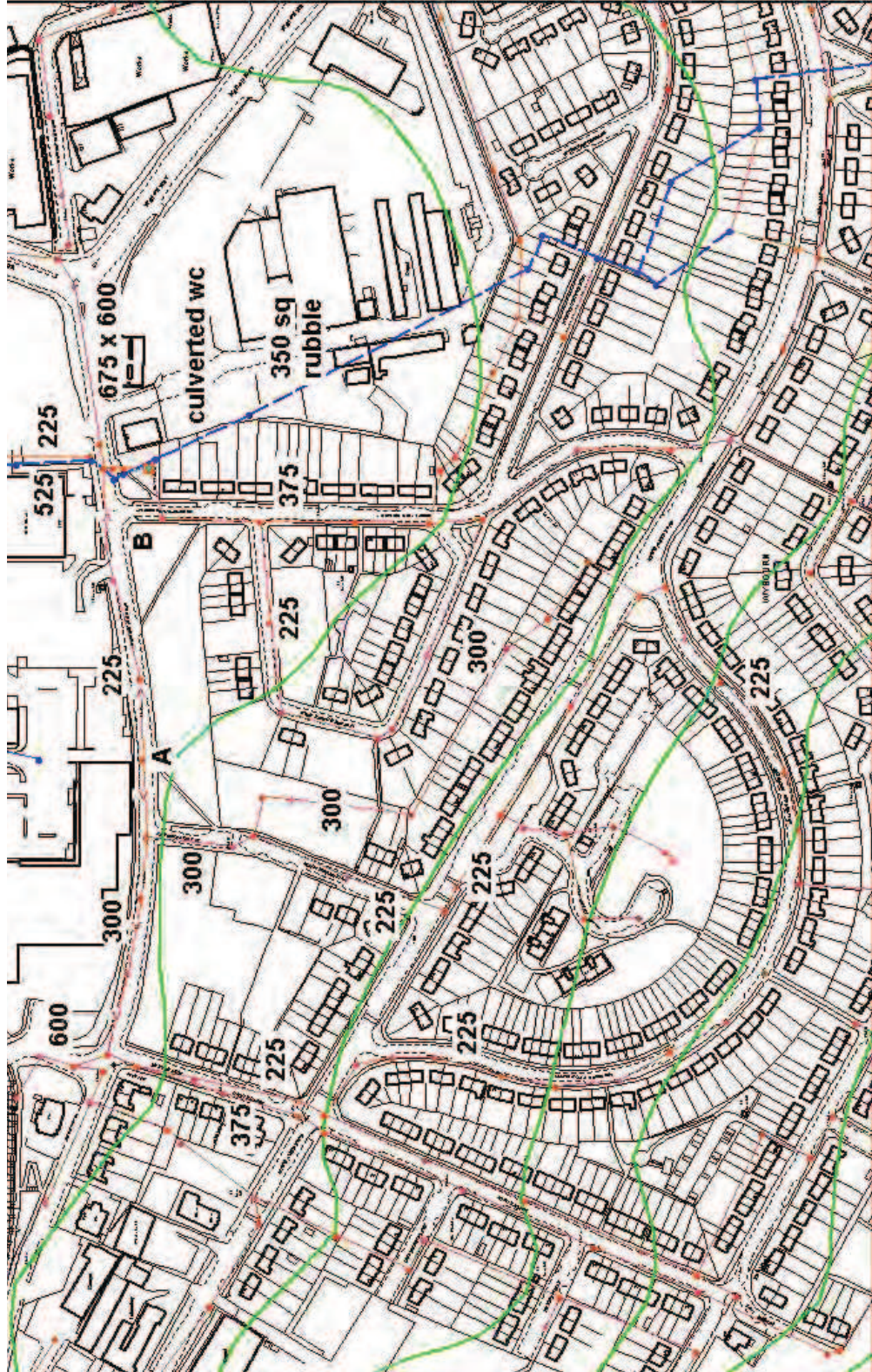
## APPENDIX 2 : PLANNING SUBMISSION INFORMATION

| PLANNING SUBMISSION INFORMATION |   |
|---------------------------------|---|
| a.                              | <b>General site appraisal</b> including site photographs showing the Developer's view of key features (including archaeology).  |
| b.                              | <b>Concept plans</b> showing the proposals in the context of the Site and in relation to the surrounding area, explaining how the proposals respond positively to the brief. Explain the conceptual approach to the Key Topic Areas. Consider including the following conceptual elements; Site analysis, Urban design, character and legibility, Activity and uses, Movement, General layout   |
| c.                              | <b>Site location plan</b> preferably 1:1250, and no smaller than 1:2500 showing the site and the immediate surroundings and including: <ul style="list-style-type: none"> <li>- Metric scales only.</li> <li>- North point, date and number.</li> <li>- Outline the application property, and indicate any adjoining property owned or controlled by the applicant.</li> <li>- Show the application property in relation to all adjoining properties and the immediate surrounding area, including roads.</li> <li>- Show vehicular access to a highway if the site does not adjoin a highway.</li> </ul> |
| d.                              | <b>General layout and massing</b> preferably 1:200 and no larger than 1:500 showing as a minimum; building arrangement, building types/heights with gardens, levels and retaining structures, materials (buildings and landscape), key views and vistas, existing features maintained, location of bins and cycle stores, etc.  |
| e.                              | <b>Public realm, landscape, open space and streetscene</b> showing as a minimum; public and private space and hard landscape proposals, boundary treatments, open space proposals and soft landscape, street furniture, play equipment, public art, uses and activities, existing features maintained, etc  |
| f.                              | <b>Movement and highway design</b> showing as a minimum; any pedestrian and vehicular pathways, shared surfaces, inclusive design features, building and garage entry points, highway design and traffic management proposals, public transport infrastructure and cycle routes, lighting, servicing particularly access for recycling and waste collection, car parking proposals, drainage, key linkages, etc   |
| g.                              | <b>Three-dimensional visualisations, photomontage or models</b> preferably in context with some existing buildings (Note: Three-dimensional drawings do not have to show the whole site, but can consist of specific areas of development to give an indication of how they would appear).  |
| h.                              | <b>A study board</b> describing <b>typical</b> and <b>marker</b> building types in context and with elevations, design features, materials, and hard/soft landscaping and public realm finishes.  |
| i.                              | <b>Accommodation schedule and detailed drawings of all house types</b> including plans and elevations at a scale typically no less than 1:50 and showing all Accessibility features with written confirmation of criteria which cannot be shown on the plans.   |
| j.                              | <b>Cross-sections and all key street elevations</b> – (Typically at a scale of 1:500) showing how the proposed development would sit within the site's topography and how streetscape is created.   |
| k.                              | <b>Detailed annotated drawings of a typical three bedroom four person dwelling types</b> including plans and elevations at a scale typically no less than 1:50. Show a typical furniture layout. This should include an outline specification for the construction of the dwellings, along with external treatments, and explaining how the dwelling meets the quality standards.   |
| l.                              | <b>Detailed drawings of all typical sections of the streetscene and public realm</b> at a scale of not less than 1:50 showing surfacing materials and details, boundary treatments, street trees, street furniture, and any other typical or special details.   |

| Other documents required                      | Cricket Inn and Maltravers Site |
|---|---------------------------------|
| Affordable Housing Statement                  | Y                               |
| Biodiversity survey and Report                | Y                               |
| Consultation Statement                        | Y                               |
| Design and Access Statement                   | Y                               |
| Flood Risk Assessment                         | Y                               |
| Archaeological report                         | Y                               |
| Noise impact assessment                       | Y                               |
| Air quality Assessment                        | Y                               |
| Open Space Statement/ Playing field statement | Y                               |
| Planning obligations (draft)                  | Y                               |
| Sustainability Statement                      | Y                               |
| Transport Assessment                          | Y                               |
| Travel Plan                                   | Y                               |
| Contaminated land risk Assessment             | Y                               |
| Tree Survey                                   | Y                               |
| Ecological Assessment                         | Y                               |
| Environmental Statement                       |                                 |
| Landscaping details                           | Y                               |
| Regeneration assessment                       | Y                               |



APPENDIX 3- Drainage map





## APPENDIX 5: SITE CHARACTERISATION

Background note for Cricket Inn and Wybourn Site  
Planning Brief

*Fig 1: aerial plan of the site and its surroundings*



### Methodology:

The site characterisation study builds on best practice guidance as set out in South Yorkshire Residential Design guide as well as character work outlined in the Wybourn Masterplan, 2005.

The study is in two parts:

Part 1 is the appraisal that describes the distinctive feature of the area while taking into account impact of various tangible and intangible factors on the area over a period of time.

Part 2 is outlines contextual approach that needs to be taken into account for any new future development in the area.

### Bibliography/ references:

Wybourn Masterplan, 2005:  
<http://www.sheffield.gov.uk/planning-and-city-development/planning-documents/background-reports/wybourn-arbourthorne-manoir-park-masterplan>

South Yorkshire Residential Design Guide  
<http://www.sheffield.gov.uk/roads/about/transport-and-highways/development-and-adoptions/design-guide>

South Yorkshire Historic Environment Characterisation  
<http://www.sytimescapes.org.uk/>

Trevor Yorke, The 1930's House Explained

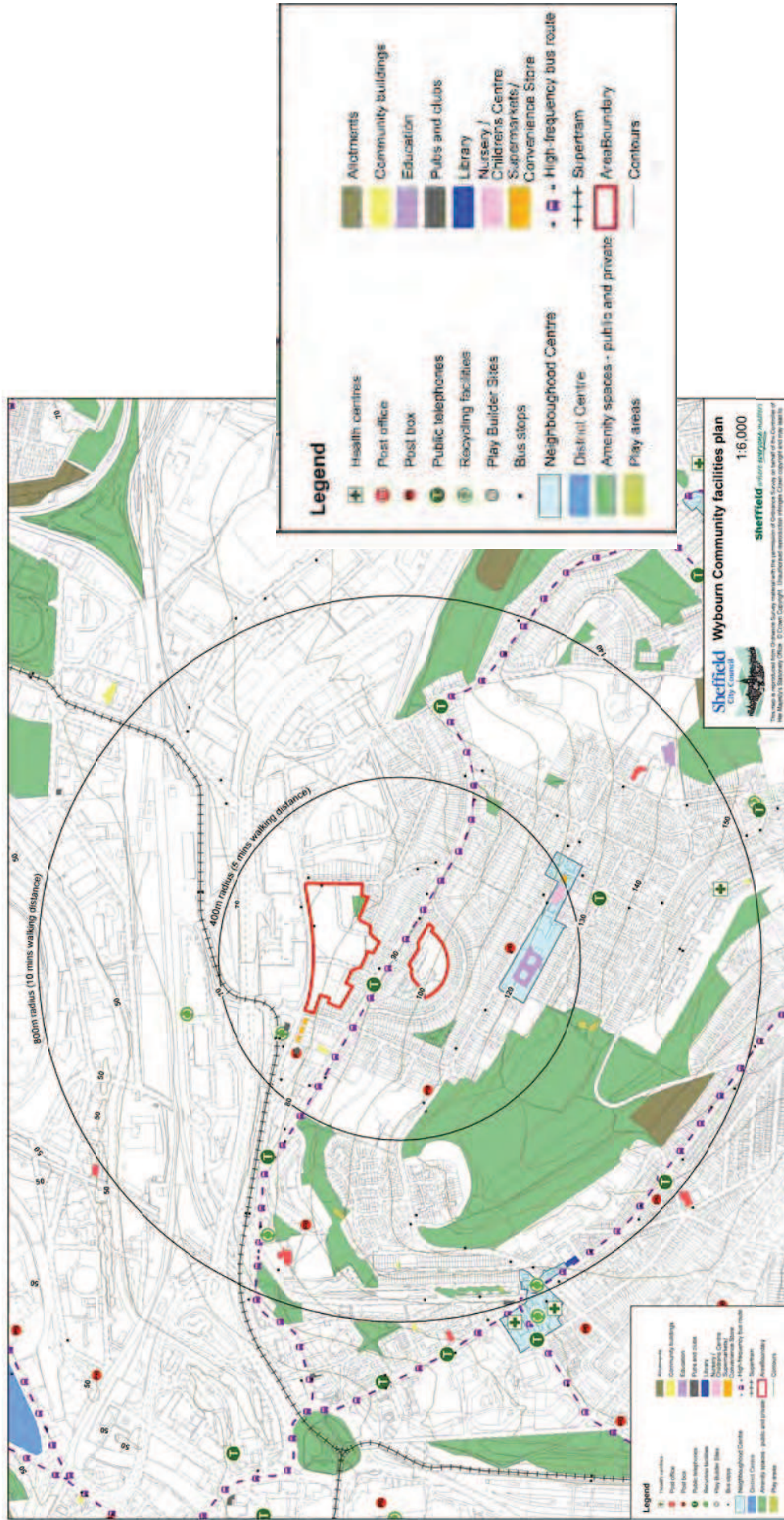
## **APPRAISAL:**

### **1. Activity**

The community facilities plan is an audit of existing facilities in 5 min (400 m) and 10 min (800 m) walking distance from the sites. This audit establishes accessibility levels of the neighbourhood in terms of facilities that are important to encourage a walkable and sustainable neighbourhood.

- although a mixed character on Cricket Inn road with existing shall shops, pubs, the retail park and some housing, the green frontage provided by existing trees adding relief to the frontage dominated by the 'back' of the retail park.
- Good public transport connectivity- supertram stop off Cricket Inn Road and high frequency buses on Cricket Inn Road, Manor Oaks Road
- Although not any supermarket in the area, there are small convenience shops in 5 and 10 minute walking distance.
- Primary School, children's centre within the 10 minute walking distance.
- Amenity spaces in good proximity, although challenges offered to the pedestrian in terms of walking distances, given the topography and poor condition of some of the pedestrian routes.

fig 2: Community facilities plan



## 2. Heritage

The Wybourn estate lies within the boundary of the former Sheffield medieval deer park. In the post-medieval period, the park was taken in to agricultural use, landscape of fields enclosed in a piecemeal fashion in of fields in piecemeal fashion, becoming an agricultural landscape. Terraced houses fronted onto Cricket Inn Road with a lane leading to Wybourn Hall.

Little is known of Wybourn Hall. Approached from the north by a drive from Cricket Inn Road, the Hall was depicted on the Fairbanks plan of 1795. In his notes on Sheffield, Henry Tatton included his own early 20<sup>th</sup> century drawing of the front elevation, showing a large and well-proportioned domestic building, with details suggesting it to be Georgian in date. It was demolished around 1927, probably to make way for the Wybourn estate.

The South Yorkshire Historic Environment Characterisation:

The South Yorkshire Historic Environment Characterisation study characterises the site with zone for early to mid 20<sup>th</sup> century municipal suburbs. It is featured as a residential planned estate with fragmentary historic legibility. Previous character would have been parkland/ farm land for agricultural or recreational purposes (100-1700c) <http://www.sytimescapes.org.uk/>



Figure 3. 1935 OS map extract (grey), overlain with 1923 map (black)  
© Crown Copyright and Landmark information Group

### 3. Landscape



fig 4: extract from the 2005 Masterplan document

<http://www.sheffield.gov.uk/planning-and-city-development/planning-documents/background-reports/wyourn-atbourn-thorne-manoor-park-masterplan>

The site is located on the lower part of a gently sloping north facing hill rising up towards Manor. As shown on the above plan the lighter areas are the gentler slopes whilst the darker areas are higher ground and the green areas are the valleys. Due to the natural topography of Sheffield, made up of several hills and valleys, generally the areas on higher ground do benefit from big views. The site, especially the upper portion on Maltravers

Way does benefit from these long views. The north facing orientation of the site could be an opportunity to maximise the provision of south facing gardens.



fig 5 Views from top of the Maltravers Site



fig 6 Views from top of the Cricket Inn site

**4. Green routes:**

The 2005 Masterplan proposes environmental improvements in the areas that were identified as having poor street lighting, patchy boundary treatments and lack of maintenance of shrubs, trees and areas of no mans land.

*fig 7 and 8 Views of poorly maintained paths and spaces within the site*



In some key areas frontage and facade improvements are identified and some have been carried out, especially to key corners to create sustainable streets by introducing identity and character.



*fig 9: View of recent facade improvement and new boundary railing for terraced houses on corner of Cricket Inn Cres and Wybourn House Rd*

Main routes and bus routes are chosen as streets which should be upgraded to green traffic calmed street. This means securing improvements to Cricket Inn Road and Maltravers Road.



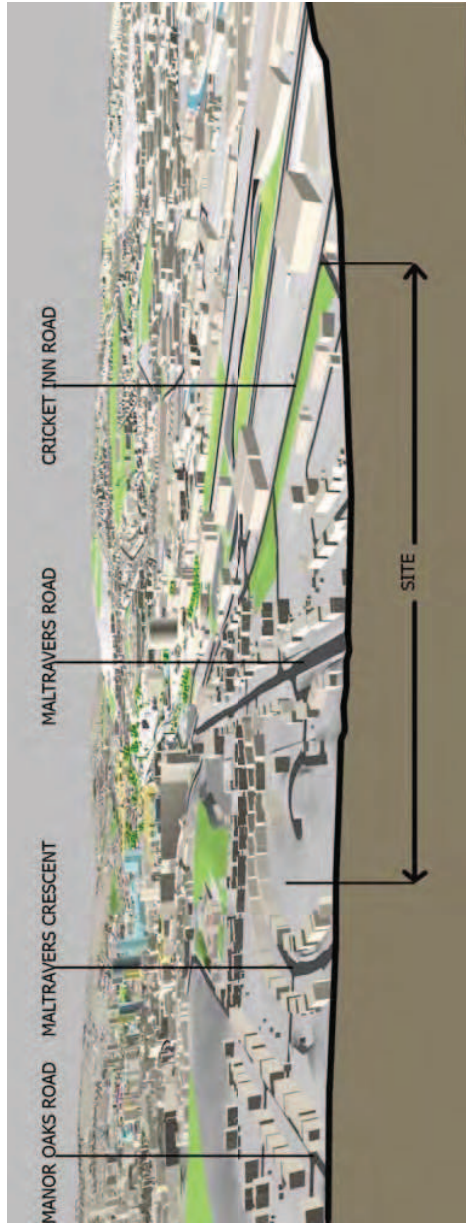


fig 10 a and b: City 3D model site section A (north –south section through the centre of the site)fig 11: City 3D model site section B B (north-south section through east of centre of the site)



## 5. Character areas

As identified in the 2005 masterplan character areas plan (see below) the site is within the Lower Wybourn (in red ) character area. This area is predominantly made up of two storey terraced and detached houses, built in the 1930's.

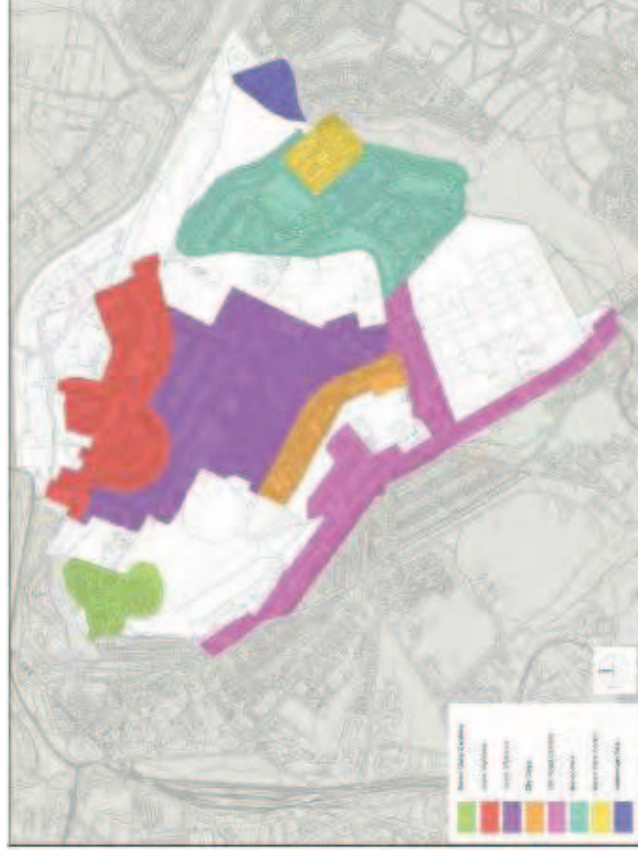


fig 12: extract from 2005 masterplan – pg 19 (fig 4.4- Wybourn and Manor Park Neighbourhood Character areas)

<http://www.sheffield.gov.uk/planning-and-city-development/planning-documents/background-reports/wybourn-arbourthorne-manor-park-masterplan>

Key characteristics according to Trevor Yorke: '1930's House explained'

- These estates were planned out along the lines of the pre war Garden Suburbs Movement, to promote a better standard of living with well spaced houses surrounded by ample greenery to recreate a village atmosphere. Nationally, this resulted in fifteen-fold increase in the number of people paying rent to the council.
- Curving or circular roads are the most notable features of estate layout of this period with only a few straight or grid stretched in between.
- Roads had varying lengths to add further variety to the estates. On the map they can appear like geometrically planned mazes as opposed to tightly packed grid layouts of earlier housing.
- Road names are also distinctive as the word 'street' was rarely used as it was associated with pre war industrial housing, except where existing roads were incorporated within the estate.
- Cross roads or junctions had houses on the corners stepped back or built at an angle with grassed spaces in the front, increasing the feeling of space and light which was one of the main attractions.

fig 13: Extract from draft housing typology sheets: Public Housing early to mid 20<sup>th</sup> Century

### Typical Sheffield PUBLIC HOUSING: Early to mid 20th Century

The Cottage Estates cover large areas on hillsides. Where large development sites were available and have formal geometric plans based on intersecting streets which ignore the topography. There is little variety in the site, type and design of the houses which makes the estates monotonous.

see: SOA, 2000; South Yorkshire Housing: Environmental Characterisation Project; Sheffield Character Zone Descriptors: Early to Mid 20th Century Municipal Suburbs.

**Street Pattern.** Density range: 25-55 dwellings per hectare<sup>11</sup>

**PAIRS OF BUILDINGS FACE ONTO CORNERS**

Connected network of streets

**BUILDINGS SET BACK FROM STREET**

regular building line

Demounted houses and short runs of terraces (4-8 dwellings)

**Plot Arrangement**

Large front gardens

Wide plots with wide fronted dwellings

Large rear gardens

Garden access from street through or around building

Small O'Connell

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### Streets

Street enclosure ratio of generally 1:4-5. Enclosure does not reflect road hierarchy

OFF-STREET PARKING in front of or between properties

4.5

Verge

Wide, long, straight or gently curving streets

Entrances and windows ADDRESS THE STREET

**Building Features**

Entrances and windows ADDRESS THE STREET

STEELY PITCHED, HIPPED ROOF WITH DEEP EAVES. Forward facing gable feature.

Garden access through ginnel

Brick and hip tile details as insets, cills, bannisters and on gables

### Wood

Protecting trees: feet at eaves

EAVES AND RIDGES STEP UP THE HILL IN PAIRS

4.5

Small hedges form boundary treatment, and increase enclosure

Car parking on verges

LARGE STREET TREES IN VERGES

Windows at slightly different heights

LOW FLOOR TO CEILING HEIGHTS AND WIDE FRONTAGE GIVE SQUARE PROPORTIONS

WINDOW HIERARCHY: smaller windows higher up the building

FACING MAY BE RED, BROWN OR BUFF BRICK and gable ends

MOSQUITO PROTECTING CONCRETE PORCHES

**PUBLIC HOUSING: Early to mid 20th Century**

5

## 6. Street Pattern and plot arrangement

The streets are organised in loose grid pattern that are not always connected, with some crescents introduced to create variety in what is a fairly uniform townscape.

The relationship of houses to the street is not direct, although most of the houses have direct access of the street, and is weakened by the wide grass verge that was perhaps introduced to overcome the level change in some cases, but has failed to create a positive streetscape.

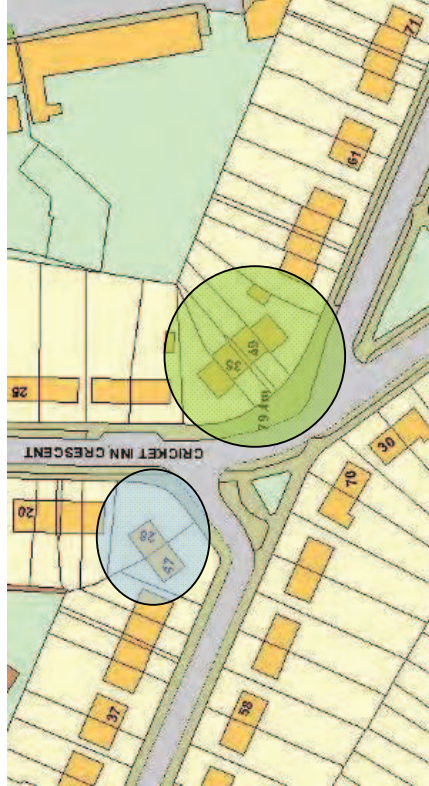


fig 14: plan of area near the site

Observations:

- Although clear pedestrian routes have been defined though the estate, some of the routes through the area are neither overlooked nor leading to a desired destination, resulting in disuse, and creating safety and security issues.
- The houses are set within generous plots measuring on an average 9 m wide and 33.0 m deep, with houses 6.0m wide and 6.0m deep, set back by 6.0m resulting in a usable garden size of 6.0 m x 20.0 m. The house to plot ratio in this case is 0.25 (total floor space of the house divided by the plot area). The corner plots with bigger houses vary greatly depending on the street junction. However the overall house to plot ratio is much smaller, ranging between 0.40 to 0.50, as the plots ended up being smaller with less usable garden space.
- The houses are usually set back on an average by 6.0m, with some short terraces set back to upto 9.0m from the back edge of pavement, creating a very poor sense of enclosure.
- where pairs of houses face onto the corners resulting in unusable garden space to the side of the houses, and creating a weak corner (e.g. in blue)
- where a short terrace of 3 or 4 houses faces the street, with entrances off the street, the corner and streetscene results in a strong building frontage (e.g. in green)
- parking is mostly on plot to the side/ in front of the houses

- The streets do not vary greatly in widths, ranging between a maximum of 16 m for primary streets like Manor Oaks Road to between 12.00 m and 9.00m for secondary (estate roads) streets like Wybourn House Road, Maitravers Place etc.

- marked lack of street trees adds to the poor sense of enclosure creating a very 'open' and in some cases windswept character.

## 7. Street character



Although in plan the streets are fairly uniform in width, with similar relationships with the houses (setbacks etc), there are subtle variations that result in a unique set of characteristics. These are outlined as below -

- lack of hierarchy in the way the houses are organised along the street frontages creating a uniform relationship for the entire area e.g. does not reinforce 'primary' streets or 'secondary' streets
- houses establishing clear definition of fronts and backs with fronts accessed off streets and back to back gardens
- arrangement of the houses do acknowledge and enhance the slopes of streets in uniform stepping arrangement

- uniform height and massing of the houses of 2 storey and pitched roof, along the street frontages does not acknowledge special locations like corners, elevated positions, or key sites terminating key narrow views etc. This results in repetitive arrangement and a not very legible streetscape
- the houses themselves although all built in uniform red brick have subtle variations in type outlined below. These variations are on such a small scale, they do not contribute to creating a distinct character that can be attributed to each street.

## 8. Building features

The inter war houses were remarkably similar in appearance and layout wherever they were built in the country. This was to result in the loss of local styles and individuality; however the larger and better quality house that could now be afforded by the masses presented an achievement over the previous generations.

- Locally sourced brick from small brickworks was the primary source of building material. The bricks had a flat smooth surface, with some specials used to create patterns, more popular in some areas.
- Solid floors began to appear along with the use of blue brick for damp proof course.
- Tiled, hipped roof one with all four sides sloping was the dominant type in this period.
- The plan of the inter war house became standardised with very little local variation.

fig 15: Site Characteristics Plan (part of the Brief)



- A notable change in layout, helping to distinguish an interwar house is the position of its front doors; earlier types had them positioned side by side, but in the 1930's it was universal to have them at the far ends of the front.
- Precast concrete was experimented with and used widely in local authority housing as it enabled architects to create forms that were impossible and expensive to create in other traditional materials. This was used principally for features like porches, corbelled eaves supports etc.
- The internal floor plans of the houses may be similar; however their arrangement varies as well as there are subtle variations on the facades as seen in the detailing that sets them apart. These variations are set out below as types.



Type 1: short terrace of 2/ 3houses-

Key characteristics: two storey and roof, main entrances to the far ends of the elevation with brick flat arches, overhanging eaves with exposed rafters, hipped tiled roofs, chimneys half way along the slope,

red brickwork, paired (UPVC) windows, with hedges or timber fence boundary treatment.



Type 2- semi detached houses:

Key characteristics: two storey and roof, stepping up the slope in a pairs, hipped tiled roofs, chimneys on top of the ridge, exposed rafters, prominent entrance feature with cast concrete canopy, and boundary treatment with hedges, timber fence or railings.



Type 2 variation- semi detached houses:

Key characteristics: two storey and roof, stepping up the slope in pairs, hipped tiled roof defined with chimneys centred, entrance off the street to the far ends of the houses setback front gardens, grass verges to

the street frontage, poorly defined front boundaries- combination of timber fence, hedges and railings



Type 3: short terrace of 2 or 3 houses,

Key characteristics: two storey and roof, stepping up the slope, double pitched tiled roofs with gables, entrance centred to the elevation with precast concrete canopy detail, chimneys on the ridge.



Type 4: semi detached houses

Key characteristics: two storey and roof, entrance to the side of the houses, red brickwork with some render to the feature gable,

overhanging eaves with exposed rafters, steep double pitched roof, setback front gardens with hedges, timber fence boundary, parking on plot to the side/front of the house.



Typical detail of the overhanging eaves, brown/grey roof tiles, flat brick arches and specials as heads and cills to the windows, corbelled precast concrete and brick supports to the eaves and plastered gable top



Type 5: short terrace of 4 houses-

Key characteristics: two storey and pitched roof, red brick masonry, tiled hipped roof with end gables facing the street, chimneys halfway up the roof and centred, entrances well defined to the sides and front, windows centred, a variety of boundary treatments used including timber fences, hedges and railings.



## 9. Summary – CONCEPTUAL APPROACH

### Key strengths

- The area is well connected by means of public transport i.e. tram and high frequency bus routes, and is about 25 to 30 minute walk from city centre
- the green frontage, elevated and sloping position of the site offers good views to the Don Valley
- the surrounding housing stock has recently undergone a round of environmental improvements including new boundary treatments, innovative extensions and façade improvements
- the area exhibits typical 1930s pre war Garden Suburbs housing estates character in its uniformity and regularity of road layouts and houses that acknowledge the natural topography.
- the houses are in large plots resulting in generous front and back gardens

### Weaknesses

- lack of street hierarchy in the way houses respond to the streets resulting in uniform townscape without any distinctive features to assist wayfinding
- setback houses and the marked lack of street trees resulting in poor sense of street enclosure
- rarely uses/ disused pedestrian routes through the area resulting in safety and security issues

- uniform height, massing and design of houses that does not acknowledge special locations like corners or junctions, in the streetscape resulting in a monotonous townscape.

### Opportunities

- establishing a safe and clear pedestrian route network thought the site and the area
- complementing the existing character with introduction of similar and high quality builtform, acknowledging existing building lines, plot ratios etc, however making most of special locations in the streetscene with distinctive massing and design
- introduction of new building type e.g. bungalows and apartments, to add variety to the townscape and to help wayfinding
- introduction of mixed use especially in prominent location to boost local facilities
- introducing a variety of parking solutions e.g. on street, on-plot in garages/ car ports or in smaller parking courts that is well integrated with the streetscene

### Constraints

- Existing street layout as there would be implications on existing services underground if it were to be discarded.
- Archaeological potential and its implication on Maltravers Place

- Green frontage on Cricket Inn Road requiring retention of some of the existing trees and its implication on the building frontage to the Road.

**10. Evaluation of possible impact of new development in the area on the character of the area:**

Positive

- will create safe walking routes through the area
- will reinforce the existing housing character giving a new face to Cricket Inn Road thus alleviating some of the issues caused by the 'back of retail park' frontage.
- will be an opportunity to reinforce special locations in the streetscene
- will introduce a mix of housing tenure in the area e.g. flats and bungalows

Negative

- issue of integration with the existing housing estate may arise if poorly designed
- effective pedestrian connective especially where existing routes are beyond the red line boundary may be difficult to achieve, having a detrimental impact on the overall network

## APPENDIX 6: Archaeology

### Archaeological background

The Wybourn estate lies within the boundary of the former Sheffield medieval deer park. In the post-medieval period, the park was taken in to agricultural use, landscape of fields enclosed in a piecemeal fashion in of fields in piecemeal fashion, becoming an agricultural landscape. At the centre of this lay Wybourn Hall.

Little is known of Wybourn Hall. Approached from the north by a drive from Cricket Inn Road, the Hall was depicted on the Fairbanks plan of 1795. In his notes on Sheffield, Henry Tatton included his own early 20<sup>th</sup> century drawing of the front elevation, showing a large and well-proportioned domestic building, with details suggesting it to be Georgian in date. White's Directory records "Wm. Mabson, farmer, Wybourn Hall" in 1856. Tatton notes "cottage, barns and outbuildings" to the west, confirming the Hall as agricultural in nature at this period. It was demolished around 1927, probably to make way for the Wybourn estate.

### Archaeological potential

Within this redevelopment site, only Wybourn Hall has archaeological potential. Although the central part of Maltravers Place overlies the site of Wybourn Hall, the housing has for the most part avoided the footprint of the Hall (see Figure 1). For this reason, the preservation of the hall may be good.

### Planning Recommendation

Archaeological investigation will be necessary prior to development. Initially, this will be by evaluation trenching, to ascertain the nature, extent and degree of preservation of the Hall. The nature and extent of further work will depend on the evaluation results. Although this work can be secured by planning condition, SYAS recommends that the evaluation phase is undertaken prior to submission of any planning application and the results submitted as a report to accompany the application and supporting evidence. This is in line with the recommendations of PPS5 "Planning for the Historic Environment" (Policy HE6.1).

### References

Tatton, Henry. n.d. "Sheffield", Vol. 2. (unpublished ms., Sheffield Archives).

White, William. 1856. *General Directory ... of Sheffield ...*, 172.



1935 OS map extract (grey), overlain with 1923 map (black), © Crown Copyright and Landmark information Group

**Cricket Inn & Maltraversers Site**  
**Figure 10**  
**Site Characteristics**  
 Scale 1:2000 @ A3

**Key**

- Site Area
- Vehicular Access
- Minor Routes
- Major Routes
- Poor Pedestrian Routes
- Pedestrian Crossing (zebra)
- Panoramic View
- Narrow Long View
- Steep Slope
- Retaining Wall
- Electricity Substation
- Existing Frontage
- Buildings of Influence
- Poor/Broken Frontage
- Sensitive Boundary
- Wayfinding Building
- Proposed Streetscene
- Improvements in 2005 Masterplan
- Existing Trees
- Tram Stops
- Bus Stops
- Strong Corners
- Weak Corners
- Potential Noise Source
- Archaeological Potential

To maximise opportunities for using the sun to generate power & for passive solar gain buildings should be orientated  $\pm 30^\circ$  from south

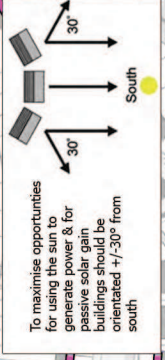
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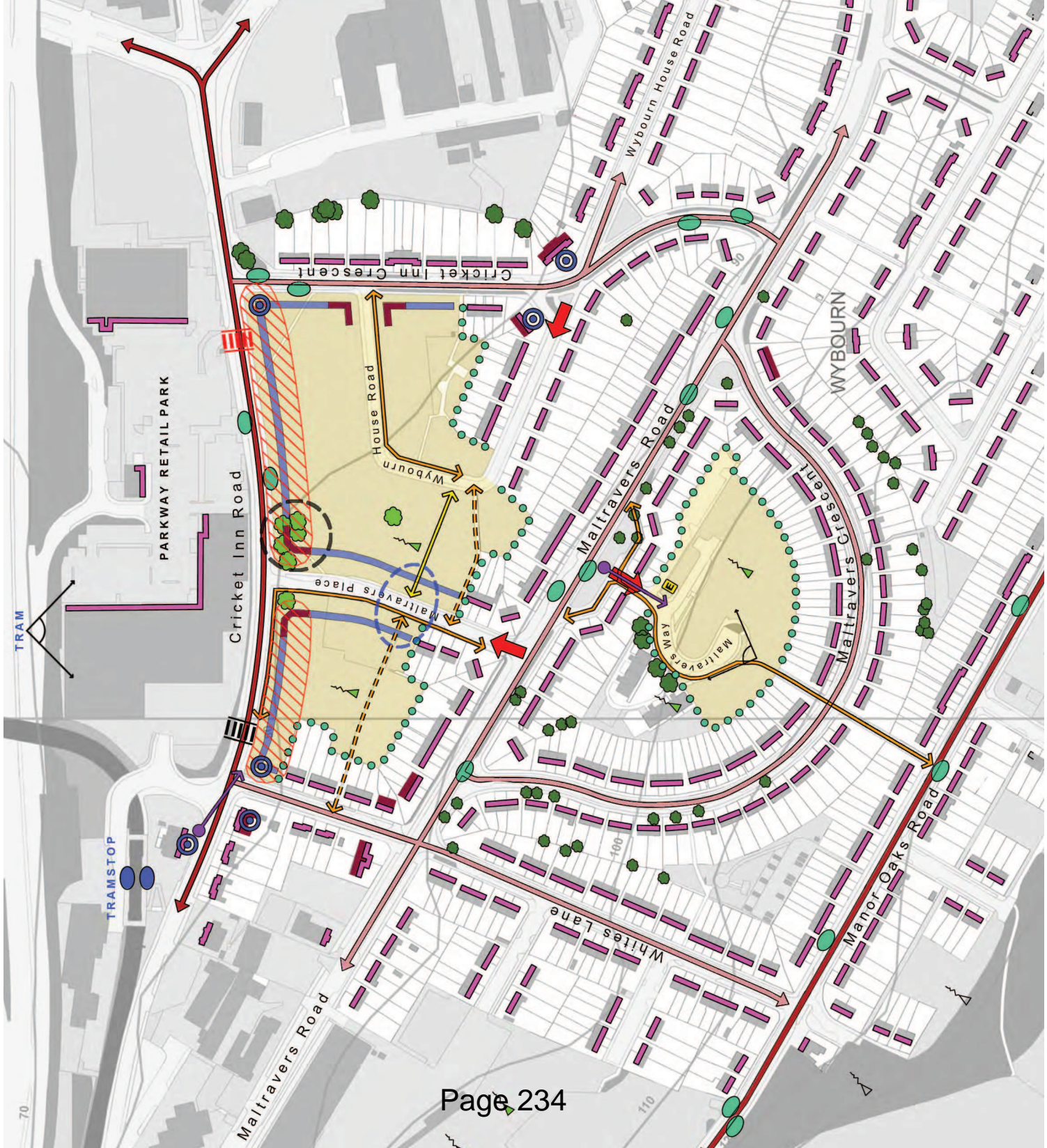
**Cricket Inn & Maltraversers Site**  
**Figure 11:**  
**Urban Design Framework**  
 Scale 1:2000 @ A3

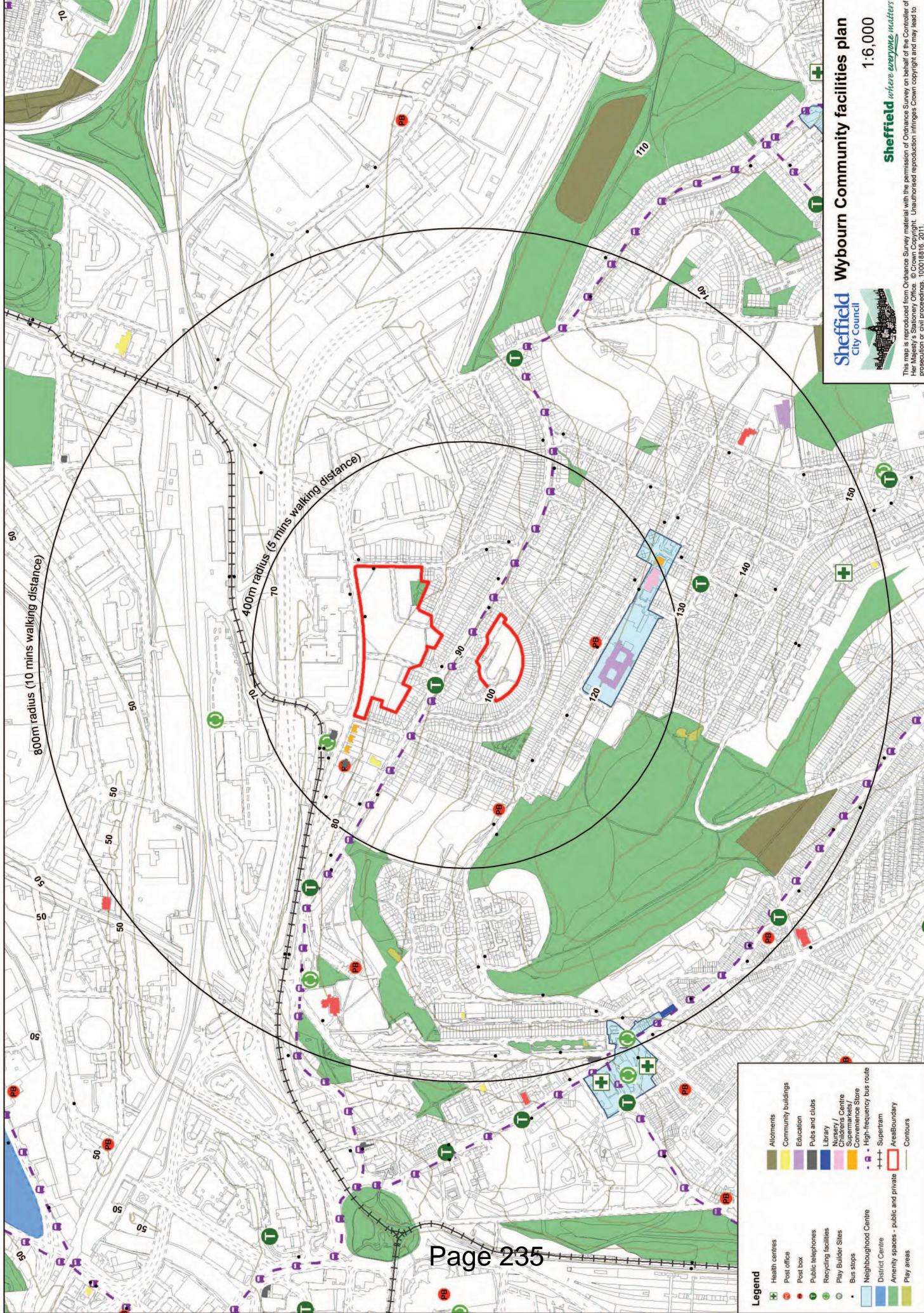


- Key**
- Site Area
  - Vehicular Access
  - Minor Routes
  - Major Routes
  - Potential Existing Footpath Closures
  - Existing Pedestrian Routes
  - Potential New Pedestrian Routes
  - Existing Pedestrian Zebra Crossing
  - Proposed Zebra Crossing
  - Panoramic View
  - Narrow Long View
  - Sleep Slope
  - Electricity Substation
  - Existing Frontage
  - Proposed Frontage
  - Frontage Designed to Respond to Potential Noise Issue
  - Built Form Subject to Tree Survey
  - Built Form Subject to Archaeological Findings
  - Strong Corners
  - Wayfinding Building
  - Sensitive Boundary
  - Existing Trees
  - Trees that could be Retained
  - Existing Tram Stops
  - Existing Bus Stops



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**Legend**

|  |                                     |  |                                |
|--|-------------------------------------|--|--------------------------------|
|  | Health centres                      |  | Community buildings            |
|  | Post office                         |  | Education                      |
|  | Post box                            |  | Pubs and clubs                 |
|  | Public telephones                   |  | Library                        |
|  | Recycling facilities                |  | Children's Centre              |
|  | Play Builder Sites                  |  | Supermarkets/Convenience Store |
|  | Bus stops                           |  | High-frequency bus route       |
|  | Neighbourhood Centre                |  | Supertram                      |
|  | Amenity spaces - public and private |  | AreaBoundary                   |
|  | District Centre                     |  | Contours                       |
|  | Play areas                          |  |                                |

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## SHEFFIELD CITY COUNCIL Cabinet Report

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**Report of:** Executive Director, Place

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**Date:** 1 August, 2012

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**Subject:** Redevelopment of Fox Hill site

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**Author of Report:** Christine Rose 2734373

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### Reasons for Recommendations:

SCC wants to ensure that a new developer is secured who can deliver the high quality housing set out in the lease for Fox Hill.

We are working with KPMG (the administrators), who have been testing the market to identify developer interest.

This report requests that officers are authorised to continue with the negotiations and agree a variation of the lease to allow a new scheme of development which will still maintain the high quality standards as originally envisaged.

### Recommendations:

1 That the Director of Property Facilities and Management and the Director of Housing, Enterprise and Regeneration be authorised to negotiate any new terms of the lease as are considered necessary for the provision good quality housing at Fox Hill.

2 That the Cabinet members for Homes and Neighbourhoods and Business, Skills and Development are delegated the authority to consider the developers final proposals and whether they meet SCC's requirements and make a decision as to whether or not to proceed with those proposals.

3 That, subject to the decision being made to proceed with the proposals the Director of Property and Facilities Management be authorised to instruct the Director of Legal Services to complete the necessary legal documentation.

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**Background Papers:**

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**Category of Report:**      OPEN part 1 CLOSED part 2\*

**If Closed add – ‘Not for publication because it contains exempt information under Paragraph 3 of Schedule 12A of the Local Government Act 1972 (as amended).’**

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\* Delete as appropriate

## Statutory and Council Policy Checklist

|   |
|---|
| <b>Financial Implications</b>   |
| YES/Cleared by<br>Paul Schofield:   |
| <b>Legal Implications</b>   |
| YES Cleared by: David Sellars   |
| <b>Equality of Opportunity Implications</b>                                     |
| NO Cleared by:  |
| <b>Tackling Health Inequalities Implications</b>                                |
| NO  |
| <b>Human rights Implications</b>  |
| NO:   |
| <b>Environmental and Sustainability implications</b>                            |
| YES   |
| <b>Economic impact</b>  |
| NO  |
| <b>Community safety implications</b>  |
| NO  |
| <b>Human resources implications</b>   |
| NO  |
| <b>Property implications</b>  |
| YES   |
| <b>Area(s) affected</b>   |
| Fox Hill  |
| <b>Relevant Cabinet Portfolio Leader</b>  |
| Harry Harpham   |
| <b>Relevant Scrutiny Committee if decision called in</b>                        |
| Safer homes and communities   |
| <b>Is the item a matter which is reserved for approval by the City Council?</b> |
| NO  |
| <b>Press release</b>  |
| YES   |

## **Redevelopment of Fox Hill site**

### **1.0 SUMMARY**

- 1.1 On 21.09.2005 Cabinet noted that Artisan H Ltd was selected as the successful developer following a competition process for the Fox Hill redevelopment site. The Council entered into a lease with Artisan H Ltd dated 28 April 2008. However, in December 2011 Artisan H Ltd went into administration and KPMG were appointed as administrators by the Bank of Ireland who hold a charge over the lease. SCC is still the freeholder of the land which is the subject of the lease and as such has a major role in how the redevelopment of the site is taken forwards. This report recommends that officers are given the authority to negotiate a way forwards and vary the lease as required in order to ensure the delivery of high quality housing at Fox Hill.

### **2.0 WHAT DOES THIS MEAN FOR SHEFFIELD PEOPLE**

- 2.1 The delivery of new housing at Fox Hill effectively stopped in late 2011 as the developer, Artisan H Ltd had been placed into administration. 6 apartments have been completed and sold and 23 units were under construction.
- 2.2 SCC is the freeholder for this site. This report authorises officers to negotiate a way forwards with KPMG, the administrators, to ensure that approximately 160 units of good quality housing is developed on the site.

### **3.0 OUTCOME AND SUSTAINABILITY**

- 3.1 The anticipated outcome of the negotiations would be that a new developer who has been identified by KPMG will be able to deliver the quality of housing specified in the original lease. As matters stand any developer who acquires the lease takes on the obligations to provide good quality housing. They are obliged to use the existing planning application, but any subsequent application must first be agreed by SCC as landlord and will be expected to deliver the following:
- 3.2 Design Standards - the contract with Artisan H Ltd provided that the grant of the lease would be conditional on the grant of planning permission which was based on a planning application approved by SCC as landowner.
- i) Eco Homes Standards (rating of "Very Good" and a SAP rating of at least 95 and where possible no materials /specifications rated as C within the Green Guide to Housing Specification)
  - ii) CABC - Gold Standard

iii)Secured by Design accreditation

iv)Mobility Homes and Lifetime Homes - 25% of dwellings to meet "Mobility Homes" standards. Maximum number of dwellings to meet Lifetime Homes standard.

In addition there will be a planning requirement for affordable housing. There is currently an agreement with great places housing association that they will acquire 21 units, comprising of 10 x 1bed dwellings and 11 x 2 bed dwellings.

## **4.0 BACKGROUND**

4.1 The Fox Hill site formed part of the North Area Development Framework and was a key opportunity for SCC's Housing Market Renewal programme to significantly regenerate and support the housing market through improved housing quality and choice.

4.2 Fox Hill is a visible site along a ridge line overlooking the city and is located in the north west corner of Southey Owlerton area of North Sheffield, adjacent to surrounding farm land, countryside and the popular areas of Old Fox Hill and Birley Carr. The site consists of 3 separate plots of land as referred to on the plans to the lease

In 2005 an open market competition was held to identify a developer who could deliver to the requirements set out in a market brief.

On 21.09.05 Cabinet noted that Artisan H Ltd was selected as the successful developer following the competition process for the Fox Hill redevelopment site.

4.3

Mark Firmin and Howard Smith were appointed Joint Administrators of Artisan H Ltd in the High Court of Justice on 12 December 2011. At the date of the Administrator's appointment 6 units at the Fox Hill development had been completed and sold and 23 units were under construction.

The bank Artisan H Ltd had obtained funding from to develop the site engaged KPMG LLP to help consider its options in November 2011. During this time creditor pressure from those creditors with a vested financial interest in the development was mounting on Artisan H Ltd.

A Notice of Intention to appoint an administrator was lodged by Artisan H Ltd on 22 November 2011 to allow it to assess its position. However, upon its expiration on 6 December 2011, a winding up petition was lodged which prevented Artisan H Ltd from appointing an administrator. Instead, the bank sought to appoint Mark Firmin and Howard Smith of

KPMG LLP as Joint Administrators on 12 December 2011.

Upon their appointment, representatives of the Joint Administrators attended the Fox Hill development site to ensure it was compliant with insurance and health and safety regulations. The entire perimeter of the site has now been secured and 24 hour on site security is in place.

#### **4.4 Legal Implications**

KPMG initially made contact with parties who have expressed an interest in acquiring the site, with the view to continuing and completing the development. The Joint Administrators continue to liaise with the key stakeholders – namely the Bank, the Homes and Communities Agency (both of whom have previously helped with funding), and SCC in seeking a resolution for the development.

In the meantime since the date of the appointment of KPMG Artisan H Ltd has breached at least one of its obligations under the lease in that it failed to complete 50 homes by 31 December 2011. Under the terms of the lease this breach triggers a process by which SCC can serve a notice on Artisan H Ltd requiring it to remedy the breach within a reasonable period of time. In order to protect the Council's position a notice was served on 5 January 2012 requiring the 50 homes to be built within 6 months. That obligation has not been complied with. If Artisan H Ltd remains in breach of the obligation ultimately SCC will be in a position to re purchase the lease for £1.00 (One pound). It is envisaged that the process would take approximately 24 months from service of the notice i.e. till January 2014.

Although a developer has been identified it is clear that they do not consider the scheme as it stands to be practicable both logistically or economically. The developer wishes to explore in more detail the possibilities for an alternative scheme that whilst viable would maintain the high building standards required by SCC. In order to do so KPMG has agreed to give the developer a period of exclusivity in order to make site investigations and have discussions with SCC's planners. SCC has agreed to take no further action under its notice for 6 months whilst the options are explored., and the administrator will provide regular updates on the progress of the developers enquiries. Should the enquiries not progress the administrator and developer should bring the exclusivity agreement to an end allowing the Council to then continue its action

If SCC are to agree to an amendment to the scheme this will require consequential amendments to the terms of the lease. It is also possible that if the scheme proposed by the developer and accepted by SCC is materially different from that first proposed and accepted then an application for Secretary of States consent may be required.

#### **Finance**

This is covered in the closed part 2

## **5.0 ALTERNATIVE OPTIONS CONSIDERED**

5.1 SCC has been cooperating with KPMG to allow them to secure a new developer. They have carried out some extensive market testing but interest in the site with the present obligations under the lease has been weak, resulting in only one positive expression of interest.

5.2

If Artisan H Ltd remains in breach of the terms of the lease SCC could require that the lease is assigned to SCC for £1 and could seek to identify another developer. However, following the market testing already carried out, this is unlikely to result in any further interest.

In the mean time SCC would be responsible for all security and health and safety costs and no funding is available for this.

## **6.0 Risk**

There is a reputational risk to SCC if this project is not taken forwards in a timely manner. Currently, SCC is cooperating with KPMG in order to get best value and high quality design for the site. The potential developer is willing to work at risk, but requires reassurance from SCC that we will not start negotiations with any other developer in the short term (6 months from June). This report allows officers to negotiate the best deal for SCC to allow the development to progress.

## **7.0 REASONS FOR RECOMMENDATIONS**

7.1 SCC wants to ensure that a new developer is secured who can deliver high quality housing for Fox Hill.

7.2

We are working with KPMG, who have been testing the market to identify developer interest.

7.3 This report requests that officers are authorised to continue with the negotiations and agree a variation of the lease to allow a new scheme of development which will still maintain the high quality standards required.

## **8:0 REASONS FOR EXEMPTION (if a Closed report)**

7.1 This report is presented as an exempt item because it contains exempt information under paragraph 3 of Schedule 12A of the Local Government Act 1972 (as amended). The reasons for its exemption are that it refers to items covered in the cabinet report of 28/4/2008 which were closed then and still remain confidential.

## **9.0 RECOMMENDATIONS**

9.1 That the Director of Property Facilities and Management and the Director of Housing, Enterprise and Regeneration be authorised to negotiate any

new terms of the lease as are considered necessary for the provision of good quality housing at Fox Hill.

- 9.2 That the Cabinet Members for Homes and Neighbourhoods and Business, Skills and Development are delegated the authority to consider the developers final proposals and whether they meet SCC's requirements and make a decision as to whether or not to proceed with those proposals.
- 9.3 That, subject to the decision being made to proceed with the proposals the Director of Property and Facilities Management be authorised to instruct the Director of Legal Services to complete the necessary legal documentation.



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

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## SHEFFIELD CITY COUNCIL Cabinet Report

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**Report of:** Eugene Walker

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**Date:** 1 August 2012

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**Subject:** Revenue Budget & Capital Programme Monitoring  
2012/13 – As at 31 May 2012

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**Author of Report:** Allan Rainford; 35108

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**Summary:** This report provides the month 2 monitoring statement on the City Council's Revenue and Capital Budget for 2012/13.

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**Reasons for Recommendations** To formally record changes to the Revenue Budget and the Capital Programme and gain Member approval for changes in line with Financial Regulations and to reset the capital programme in line with latest information.

**Recommendations:**

Please refer to paragraph 103 of the main report for the recommendations.

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**Category of Report:** OPEN/CLOSED

## Statutory and Council Policy Checklist

|  |
|--|
| <b>Financial implications</b>  |
| YES/NO      Cleared by: Eugene Walker  |
| <b>Legal implications</b>  |
| YES/NO      Cleared by:  |
| <b>Equality of Opportunity implications</b>  |
| YES/NO      Cleared by:  |
| <b>Tackling Health Inequalities implications</b>                                       |
| YES/NO   |
| <b>Human rights implications</b>   |
| YES/NO      :  |
| <b>Environmental and Sustainability implications</b>                                   |
| YES/NO   |
| <b>Economic impact</b>   |
| YES/NO   |
| <b>Community safety implications</b>   |
| YES/NO   |
| <b>Human resources implications</b>  |
| YES/NO   |
| <b>Property implications</b>   |
| YES/NO   |
| <b>Area(s) affected</b>  |
|  |
| <b>Relevant Scrutiny Board if decision called in</b>                                   |
| Strategic Resources and Performance  |
| <b>Is the item a matter which is reserved for approval by the City Council? YES/NO</b> |
|  |
| <b>Press release</b>   |
| YES/NO   |

## REVENUE BUDGET & CAPITAL PROGRAMME MONITORING 2012/13 – AS AT 31<sup>ST</sup> MAY 2012

### PURPOSE OF THE REPORT

1. This report provides the Month 2 monitoring statement on the City Council's Revenue Budget and Capital Programme for 2012/13.

### SUMMARY

2. The latest monitoring position at month 2 – which is summarised in the table below – shows a forecast increase in spending of £4.6m to the year end.

| Portfolio              | FY Outturn | FY Budget | FY Variance |
|------------------------|------------|-----------|-------------|
|                        | £000s      | £000s     | £000s       |
| CYPF                   | 69,066     | 69,154    | (88)        |
| PLACE                  | 141,956    | 140,824   | 1,132       |
| COMMUNITIES            | 159,771    | 157,653   | 2,118       |
| DEPUTY CHIEF EXECUTIVE | 9,835      | 9,665     | 170         |
| RESOURCES              | 90,546     | 89,374    | 1,172       |
| CORPORATE              | (466,572)  | (466,670) | 98          |
| GRAND TOTAL            | 4,602      | -         | 4,602       |

3. Resources totalling £6.8m were approved for carry forward into 2012/13 as part of the 2012/13 budget approval. These are reflected in the budget figures shown above. The recent Cabinet decision to carry forward an additional £6.2m of resources into 2012/13 is not reflected in the above budget figures: those carry forwards that relate to expenditure in 2012/13 will be included in future budget monitoring reports.
4. Some of the carry forwards from 2011/12 relate to funding, particularly grant funding, that is required to offset expenditure in future financial years. Where there are further examples of this in 2012/13, these will be highlighted in budget monitoring reports with a view to taking an early decision regarding carry forward of resources into 2013/14 and beyond.
5. In the following months the budget monitoring reports will include an analysis of actual spending in the year to date and how that compares to the profiled budget. This may help to identify variances that are attributable to movements in actual spending compared to planned, and to separate these from income that is received in advance.
6. In terms of the analysis of the position at month 2, this is the first budget monitoring report of the year and because it is at an early stage it

involves Managers producing straight line projections of expenditure to the year end. It is therefore difficult to identify trends or issues that are emerging at this stage but is useful in providing a benchmark for following months. It is worth noting that at this stage last year expenditure was forecast to exceed budget by £5.8m

7. The key variations from budget in the current financial year are summarised as follows:
  - Children Young People and Families are showing a forecast reduction in spend of £88k.
  - Place are showing a forecast overspend of £1.1m: £282k overspend on waste management; £630k overspend predominantly relating to additional grant payments being made as part of a wider stabilisation programme for Museums Sheffield; and £190k overspend within the Capital Delivery Service.
  - Communities are showing a forecast overspend of £2.1m. This is mainly within the Care and Support Service and relates to: additional forecast expenditure in Learning Disabilities Purchasing of £655k (net of contingency); slippage on budget savings in assessment and care management and provider services of £858k; and additional forecast expenditure in mental health commissioning of £417k due to pressures on the purchasing budget and slippage in budget savings.
  - A forecast overspend of £300k on ex-Burngreave New Deal assets which are currently accounted for in Communities.
  - Resources are showing a forecast overspend of £1.2m: however corrective action has been identified which will bring the forecast overspend to below £1m. The portfolio is forecasting a number of overspends across services, including £700k in Legal Services, £600k in Commercial Services, £400k in Property and Facilities Management and £200k in Business Information Services (BIS). These overspends are partially offset by a forecast reduction in spending in central costs of £800k.
  - Deputy Chief Executive's are showing a forecast overspend of £170k, mostly relating to increased costs of local elections and electoral registration within Modern Governance.
8. Capital Programme monitoring is reported in paragraph 84.

## INDIVIDUAL PORTFOLIO POSITIONS

### CHILDREN YOUNG PEOPLE AND FAMILIES (CYPF)

#### Summary

9. As at Month 2, the CYPF Portfolio is forecasting a full year outturn of £88k reduction in spending. This position is likely to change in month 3 when the additional resources carried forward from 2011/12 are included in service budgets.

#### Financials (Non – DSG activity)

| Service                        | FY Outturn | FY Budget | FY Variance |
|--------------------------------|------------|-----------|-------------|
|                                | £000s      | £000s     | £000s       |
| BUSINESS STRATEGY              | 1,080      | 1,082     | (2)         |
| CHILDREN & FAMILIES            | 54,411     | 54,313    | 99          |
| CHILDREN'S COMMISSIONER        | 1          | -         | 1           |
| INCLUSION & LEARNING SERVICES  | 5,501      | 5,497     | 3           |
| LIFELONG LEARN, SKILL & COMMUN | 8,073      | 8,262     | (189)       |
| GRAND TOTAL                    | 69,066     | 69,154    | (88)        |

#### Business Strategy

10. This service is forecasting an overall reduction in spend of £34k of which £32k relates to Dedicated Schools Grant (DSG) funding and £2k (in the table above) relates to the cash limit (i.e. general fund). There are no significant variances in this service that require an explanation.

#### Children & Families

11. This service is forecasting an overall overspend of £174k of which £75k relates to DSG funding and £99k (in the table above) relates to the cash limit. There are a range of minor under and over spends forecasted within the service: however the main area of overspend, £100k, relates to the service commitment to the Electronic Document and Records Management System (EDRMS) project.

#### Children's Commissioner

12. The budget areas relating to this service have now been included within the Inclusion and Learning Service.

#### Lifelong Learning Skills & Communities (LLSC)

13. This service is forecasting an overall reduction in spending of £165k of which there is an overspend of £24k that relates to DSG funding and £189k reduced spend (in the table above) relates to the cash limit.

14. LLSC is heavily reliant on external funding and there are grants expected to be received during the year that are for a time period that bears no relationship to the Council's financial year. There is also budgetary provision for projects within CYPF, not just LLSC, which will exceed one financial year. It is intended that these be identified in future monitoring reports and a mechanism put in place to allow these to be removed from the monthly monitoring.
15. The forecast underspend for LLSC does not yet take into account the amount of funding required to be carried forward for the next two financial years for the two phases of the Apprenticeship scheme. Detailed estimates are being prepared, however it is estimated that in the region of £750k is required to be carried forward to 2013/14 and beyond.

### **Dedicated Schools Grant (DSG)**

16. The DSG central expenditure budget for 2012/13 is £34.2m. This has reduced by £3.5m from the 2011/12 budget of £37.4m. The reduction is due to the additional delegation of funds to schools.

### **PLACE**

#### **Summary**

17. Place portfolio are forecasting a full year outturn of £1.132m over budget. The key forecast outturn variances are:
  - Business Strategy & Regulation - £282k over budget on waste management arising from delays in agreement with the Contractor on planned budget savings (£1.15m), largely offset by one-off savings from the resolution of other contractual 'disputes' (£374k) and additional projected income from the sale of recyclable waste (£500k).
  - Culture & Environment - £630k over budget predominantly relating to additional grant payments being made as part of a wider stabilisation programme for Museums Sheffield.
  - HERS - £190k over budget arising from a projected shortfall in income (£455k) within the Capital Delivery Service, being partly offset by staff and other savings secured to date.



## Financials

| Service                        | FY Outturn | FY Budget | FY Variance |
|--------------------------------|------------|-----------|-------------|
|                                | £000s      | £000s     | £000s       |
| BUSINESS STRATEGY & REGULATION | 30,178     | 29,896    | 282         |
| CULTURE & ENVIRONMENT          | 21,233     | 20,603    | 630         |
| DEVELOPMENT SERVICES           | 85,221     | 85,208    | 13          |
| CREATIVE SHEFFIELD             | 3,857      | 3,860     | (3)         |
| HERS                           | 872        | 682       | 190         |
| MARKETING SHEFFIELD            | 998        | 993       | 5           |
| STREET FORCE                   | (754)      | (755)     | 1           |
| SUSTAINABLE DEVELOPMENT        | 351        | 337       | 14          |
| GRAND TOTAL                    | 141,956    | 140,824   | 1,132       |

## Commentary

### Business Strategy & Regulation

18. The current forecast for this activity is £282k over budget. The key issue is within waste management where there are risks associated with the delivery of planned budget savings. Delays in agreement with the Contractor impact on the full delivery this year on fortnightly waste collections (£676k) and changes in waste collection hours (£486k). These will be met from savings elsewhere: the resolution of other contractual 'disputes' (£374k) and income from the sale of recyclable waste (£500k). Whilst there is a delay in 2012/13 the full year savings will be secured in 2013/14.

### Culture & Environment

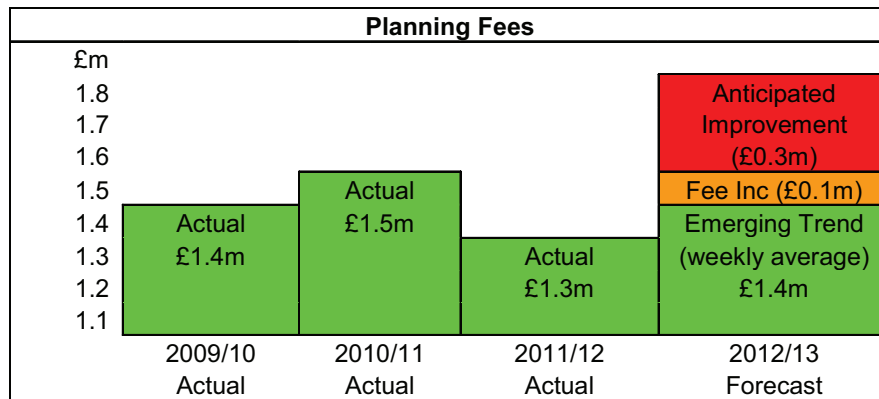
19. The current forecast for this activity is £630k over budget. The key issue relates to additional grant payments of approximately £600k being made as part of a wider stabilisation programme for Museums Sheffield.
20. Other key forecast variances at this point are within parks and countryside (£90k over budget) largely attributable to the viability of Norton nurseries, offset by additional income in bereavement services (£84k).

### Development Services

21. The current forecast for this activity is broadly balanced. The key issue to date relates to a potential shortfall in planned savings relating to an increase in planning fees (£176k). Whilst it was widely anticipated that a government decision would have been announced to allow local fee setting for planning applications this year, latest intelligence indicates this is likely to be introduced next year. A plan to mitigate this shortfall includes a potential 10% national increase in fees from September

(announcement is considered imminent) and re-prioritising of staff to work on local growth funded projects rather than core planning activities.

- 22. However, as in previous years the key risk will be securing £10m planned external fee income from car parks, building regulations and planning. Fees are £245k below target after 2 months, however initial management forecasts project this may reduce to £133k by year-end, assuming a price increase (referred to above) and a number of large planning applications materialise.
- 23. Should fee performance to date not improve considerably during the remainder of the year, there is potentially a significant risk. This risk seems particularly high within planning, as highlighted in the table below. This shows that achieving the forecast £1.8m of fees requires a £500k (40%) increase on the previous year and a £400k improvement on the average fees received to date.



**Housing, Enterprise & Regeneration (HERS)**

- 24. The current forecast for this activity is £190k over budget. The key issue is a projected shortfall in income (£455k) within the capital delivery service, being partly offset by staff and other savings secured to date.

**COMMUNITIES**

**Summary**

- 25. As at Month 2, the Portfolio is forecasting a full year outturn of £2.1m over budget. The key reasons (described in greater detail under commentary) for this position are:

- Care and Support Services are forecasting an overspend of £2.7m. This is predominately related to Learning Disabilities Purchasing (£1.8m) and slippage on budget savings (see detail below).
- Mental Health Commissioning are forecasting an overspend of £417k due to pressures in the purchasing budget and slippage on budget savings.
- This is partly offset by reductions of £1.1m in Business Strategy which holds the contingency to offset pressures in care costs, which are currently manifesting in Joint Learning Disability Services.

## Financials

| Service                        | FY Outturn     | FY Budget      | FY Variance  |
|--------------------------------|----------------|----------------|--------------|
|                                | £000s          | £000s          | £000s        |
| <b>BUSINESS STRATEGY</b>       | 2,724          | 3,884          | (1,159)      |
| <b>CARE AND SUPPORT</b>        |                |                |              |
| ASSESSMENT & CARE MANAGEMENT   | 71,861         | 71,196         | 665          |
| HOUSING RELATED SERVICES       | 3,406          | 3,419          | (13)         |
| JOINT LEARNING DISABILITY SERV | 33,244         | 31,364         | 1,881        |
| PROVIDER SERVICES              | (6,073)        | (6,266)        | 193          |
| <b>COMMISSIONING</b>           | 43,391         | 42,944         | 447          |
| <b>COMMUNITY SERVICES</b>      |                |                |              |
| COMMUNITY SAFETY               | 1,551          | 1,511          | 41           |
| LIBRARIES                      | 6,526          | 6,429          | 97           |
| LOCALITY MANAGEMENT            | 3,141          | 3,174          | (33)         |
| <b>GRAND TOTAL</b>             | <b>159,771</b> | <b>157,653</b> | <b>2,118</b> |

## Commentary

### Business Strategy

26. A variance of £1.14m reduction in spending is predicted for the contingency held to offset unforeseen pressures in care costs, which are currently manifesting in Joint Learning Disability Services.

### Care and Support

27. Overall this area is forecasting an overspend of £2.7m. This is predominately related to Learning Disabilities Purchasing (£1.8m) and slippage on budget savings.
28. **Assessment and Care Management (Older People/Physical Disabilities and Sensory Impairment)** is forecasting an overspend of £665k.
- Of this, £375k relates to purchasing and reflects the delay in implementing savings particularly the implementation of homecare reablement. The citywide rollout of Community Access and

Reablement services (CARs) in August will, based on the pilot, deliver reduced weekly costs.

- The remainder of the overspend relates to employee costs, and reflects that the assessment and care management review will not make a full year's saving but these will be effective from September. In addition, extra staff have been required to deliver performance targets and address backlogs. Employee costs are being closely monitored following the recent reorganisation and MER implementation, and will ensure budgets and actuals are correctly aligned and recharges to other bodies are agreed and timely.

29. **Housing Related Services** are forecasting a small reduction in spending of £13k. There has been some slippage in the MER and other savings but this is being offset by vacancies pending the reorganisation.

30. **Joint Learning Disabilities Service** are forecasting an overspend of £1.9m.

- Of this, £1.7m relates to Purchasing. This is consistent with the 2011/12 overspend of £1.2m with an ongoing upward trend reflecting increased demand in number of care packages. Further analysis to understand the reasons behind the increased demand is required.
- The transport contract and travel solutions team are forecasting an overspend of £235k because of delays in implementing travel plans and reducing use of white buses. The current approach has been reviewed to ensure specific areas and routes are targeted.

31. **Provider Services** are forecasting an overspend of £192k. This is made up of;

- 24 Hour Response £555k due to delays in delivering 2012/13 budget savings. These are in respect of introducing city wide care alarm (CWCA) charges where existing Supporting People funding does not cover costs, and clarity about whether this can be done under former Supporting People guidance is being sought. There have also been delays in making savings with regard to night care visiting due to service demands from the PCT and clarity about TUPE regulations.
- There is a shortfall in residential and nursing contributions of £295k which relates predominantly to Sheffield Health and Social Care Trust (SHSCT) mental health residential homes and this reflects the occupancy levels.

- There has been a month's delay in the closure of two resource centres pending Cabinet approval and this has meant an estimated overspend of £232k.
- The overspends have been offset by reduced expenditure on transport (£140k) and staffing (£704k) due to lower activity levels, and in preparation for further planned savings.

### Community Services

32. **Community Safety** has a variance of £41k mainly explained by slippage in the Safer Neighbourhood Officer reductions of £68k offset by various small predicted underspends.
33. **Libraries** have several pressures unforeseen at the beginning of the year, chiefly contract cleaning £97k.
34. **Locality Management** reduction in spending relates to rents and is offsetting the Safer Neighbourhood Officer slippage in Community Safety.

### Commissioning

35. Overall this Service is forecast an overspend of £447k.
36. **Social Care Commissioning** is forecasting on line at (£26k) however there are two issues which are currently offsetting each other:
  - Burngreave New Deal Project has forecast overspend of £292k – funding is no longer available for this project in 2012/13, pay costs have been transferred to Place but premises costs and income remains on Communities awaiting agreement to transfer.
  - Learning Disabilities Supporting People is forecasting a reduction in spending of £300k on contracts. This reduction in spending is likely to increase but the appointment of a new Budget Manager has led to cautious forecasting until further, detailed, analysis of contracts has been undertaken.
37. **Mental Health Commissioning** (Sheffield Health and Social Care Trust (SHSCT) Partnership Budgets) are forecasting a £417k overspend. This is made up of:

- MH and Substance Misuse Purchasing Budgets forecast a £303k overspend as a result of increased Self Directed Support/Direct Payments activity and shortfall in income.
  - Older People Resource Centre Savings of £251k are at risk of non-achievement in 2012/13. A forecast overspend of £125k is included to represent SCC potential exposure to 50% of the full figure (on basis of partnership share). SHSCT are focussing on mitigating savings now that the risk has been formalised.
38. **Housing Commissioning** are forecasting a small reduction in spending of £55k.

### Public Health

39. 2012/13 is the shadow running year for the public health services transferring from the PCT to SCC responsibility. It is proposed that monthly updates for information only will be contained as part of this report once the format has been agreed.
40. In overall terms the PCT is currently forecasting a year end reduction in spending of £90k on a £28.1m budget.

## RESOURCES

### Summary

41. As at Month 2, the Resources Portfolio is forecasting a full year outturn of £1.172m over budget. However since the month 2 deadline a solution has been found to an issue in Property and Facilities Management which brings the forecast additional spend to below £1m.
42. The key reasons (described in greater detail under commentary) for this position are:
- £700k in Legal Services due to reduction in non core income and additional work being commissioned.
  - £600k in Commercial Services due to additional salaries expenditure and non achievement of savings target.
  - £400k in Property and Facilities Management due to delays in changes to corporate mail recharging (£100k) and difficulties in implementing a £200k budget saving relating to insurance. This latter issue has since been resolved.

- £200k in Business Information Services (BIS) due to a delay in the Managing Employee Reduction (MER) process required to make staff savings.

43. These have been offset by an £800k overall forecast reduction in spending in central costs.

## Financials

| Service                        | FY Outturn    | FY Budget     | FY Variance  |
|--------------------------------|---------------|---------------|--------------|
|                                | £000s         | £000s         | £000s        |
| BUSINESS INFORMATION SOLUTIONS | 966           | 697           | 269          |
| COMMERCIAL SERVICES            | 1,578         | 1,299         | 279          |
| COMMERCIAL SERVICES (SAVINGS)  | (532)         | (820)         | 288          |
| CUSTOMER FIRST                 | 5,853         | 5,853         | 0            |
| CUSTOMER SERVICES              | 2,322         | 2,317         | 5            |
| FINANCE                        | 6,754         | 6,795         | (41)         |
| HUMAN RESOURCES                | 2,607         | 2,488         | 119          |
| LEGAL SERVICES                 | 1,753         | 1,039         | 714          |
| PROPERTY AND FACILITIES MGT    | 40,117        | 39,756        | 361          |
| TRANSPORT                      | (61)          | 9             | (70)         |
| <b>TOTAL</b>                   | <b>61,358</b> | <b>59,433</b> | <b>1,925</b> |
| CENTRAL COSTS                  | 27,712        | 28,522        | (810)        |
| PROGRAMMES AND PROJECTS        | 1,476         | 1,419         | 57           |
| <b>GRAND TOTAL</b>             | <b>90,546</b> | <b>89,374</b> | <b>1,172</b> |

## Property & Facilities Management

44. This service is forecasting £361k overspend. The key reasons for this position as are:

- Corporate Mail £100k overspend – changes to increase the chargeable business and to transform the service to include alternative methods of delivery have not yet been implemented.
- Insurance £200k overspend – a reduction in the insurance fund had been included in the budget on an ongoing basis rather than a one off basis. However alternative action has been identified to address this issue and the removal of this £200k overspend will be reflected in next months report.

## Human Resources

45. This service is forecasting £119k overspend. This is mainly due to £55k of legal fees arising from the equal pay review which is not budgeted for plus a number of other smaller over spends.

### Central Costs

46. This area is showing an overall reduction in spending of £810k. The main reason for this is additional benefits subsidy of £1.19m. Beneath the headline figure, however, are some significant projected overspends that require further work to determine how these can be mitigated.

| Central Costs           | Forecast Variance |
|-------------------------|-------------------|
|                         | £ 000             |
| Capita - ICT            | 69                |
| Capita - Finance        | 313               |
| Capita - HR             | 471               |
| Benefits subsidy        | (1,191)           |
| <b>Sub total Capita</b> | <b>(338)</b>      |
| Other Costs             | (472)             |
| <b>Total</b>            | <b>(810)</b>      |

### Business Information Solutions

47. This service is forecasting a £269k overspend. The key reason for this position is due to the Managing Employee Reduction (MER) process for the re-alignment of organisational structures between BIS and CAPITA that has not yet been put place. The position will be reviewed as and when further information is available.

### Commercial Services

48. There are two aspects to this, the operation of the service unit and the requirement to achieve specific savings from the establishment and operation of the unit. The budgetary allocation between the two is shown below:

| Service                                      | FY Outturn   | FY Budget  | FY Variance |
|--|--------------|------------|-------------|
|  | £000s        | £000s      | £000s       |
| COMMERCIAL SERVICES                          | 1,578        | 1,299      | 279         |
| COMMERCIAL SERVICES (Invest to Save savings) | (532)        | (820)      | 288         |
| <b>TOTAL</b>                                 | <b>1,046</b> | <b>479</b> | <b>567</b>  |

49. The forecast overspend in Commercial Services of £279k, relates mainly to an overspend of £182k on employee costs, but expected to be recovered through additional recharges. In addition to this, £80k of funding that was initially thought would be available through savings in 2011/12 and carried forward, related to the construction category management not being available.



**Commercial Services (Invest to Save savings)**

50. This is showing an under achievement of savings, but has some estimates which appear to be relatively conservative and the forecast savings are anticipated to be higher. However, further review by the service manager is required when more information is known. These include:
- savings in the agency contract estimated at £35k per month although the first month saving was £53k;
  - savings forecast from the acquisition of multi function (print/scan etc.) devices are expected to be higher than the £40k currently forecast.

**Legal Services**

51. This service is forecasting a £714k overspend. The key reasons for this position are:
- Non-core income is £690k down against budget and no opportunity to charge it to other areas.
  - There is £112k forecast spend relating to work on South Yorkshire Trading Standards (SYTS) for which there is no budget available.
52. A review of internal recharging is taking place for legal services; however the fact remains that income, from sources external to the cash limit, or general fund, is not achievable.

**DEPUTY CHIEF EXECUTIVE'S****Background****Summary**

53. As at Month 2, the DCX Portfolio is forecasting an increase in spending of £170k over budget. The key reasons (described in greater detail under commentary) for this position are:
- Increased costs relating to local elections and electoral registration within Modern Governance (£174k).
  - The overspends have been offset by a range of smaller savings in other areas.

## Financials

| Service                           | FY Outturn | FY Budget | FY Variance |
|-----------------------------------|------------|-----------|-------------|
|                                   | £000s      | £000s     | £000s       |
| ACCOUNTABLE BODY ORGANISATIONS    | 0          | 0         | 0           |
| BUSINESS DEVELOPMENT              | 1,508      | 1,579     | (71)        |
| ECONOMY AND SKILLS                | 0          | -         | 0           |
| HEALTH IMPROVEMENT                | 136        | 136       | (0)         |
| MODERN GOVERNANCE                 | 3,719      | 3,588     | 131         |
| PERFORMANCE AND CORP PLANNING     | 1,078      | 1,009     | 69          |
| POLICY, PARTNERSHIP, AND RESEARCH | 3,394      | 3,353     | 41          |
| GRAND TOTAL                       | 9,835      | 9,665     | 170         |

### Modern Governance

54. This service is forecasting an overspend of £131k. This is due to increasing costs relating to electoral registration (£94k) and local election (£80k) although this has been offset by a number of smaller underspends in other areas within the service. In month 3, the position should improve due to the transfer of £80k from a specific election reserve.

### Policy, Partnership and Research

55. This service is forecasting an overspend of £41k. The position will change due to a budget adjustment approved by Cabinet: funding of £105k for Voluntary Grants was approved in June.

## CORPORATE ITEMS

### Summary

56. The month 2 forecast position for Corporate budgets is a £98k overspend. The table below shows the items which are classified as Corporate and which include:

- Corporate Budget Items: corporate wide budgets that are not allocated to individual Services/portfolios, including capital financing costs and the provision for redundancy/severance costs.
- Corporate Savings: the budgeted saving on review of management costs and budgeted saving from improved sundry debt collection.
- Corporate income such as Formula Grant and Council tax income, some specific grant income and contributions from reserves.

## Financials

|   | <u>FY Outturn</u> | <u>FY Budget</u> | <u>FY</u>       |
|---|-------------------|------------------|-----------------|
|   | <u>£'000</u>      | <u>£'000</u>     | <u>Variance</u> |
|   |                   |                  | <u>£'000</u>    |
| Corporate Budget Items  | 73,176            | 73,176           | 0               |
| Savings Proposals   | -1,652            | -1,750           | 98              |
| Income from Council Tax, RSG, NNDR, other grants and reserves | -538,096          | -538,096         | 0               |
| <b>Total Corporate Budgets</b>                                | <b>-466,572</b>   | <b>-466,670</b>  | <b>98</b>       |

57. The overspend consists of a £98k reduction on the savings proposals in relation to improved sundry debt collection.

## CORPORATE FINANCIAL RISK REGISTER

58. The Council maintains a Corporate Financial Risk Register which details the key financial risks facing the Council at a given point in time. The most significant risks resulting from that exercise are summarised in this report for information together with a summary of the actions being undertaken to manage each of the risks. The top risks are summarised below:

### Digital Region

59. The Council is providing £4m in loans to the Company and as a shareholder carries further rights and responsibilities. The Company's sales are proving slow to take off, leading to changes in the Business Plan and to Contract changes with its private sector partner. The Council faces risks on its direct investment, as well as on guarantee clauses to key contractors.

### Capital Receipts & Capital Programme

60. Failure to meet significant year on year capital receipts targets due to depressed market and reduced Right-to-Buys, resulting in potential over-programming / delay / cancellation of capital schemes.
61. Building Schools for the Future Programme Affordability – The £18m affordability gap in the capital programme for the secondary schools estate which must be underwritten by the Council. This requirement has been identified in the Council's Capital Programme.

**Pension Fund**

62. Bodies whose Pension liability is backed by the Council are likely to find the cost of the scheme a significant burden in the current economic context. If they become insolvent the resulting liability may involve significant cost to the Council.

**Electric Works**

63. The running costs of the business centre are not covered by rental and other income streams. The approved business plan set-aside contingency monies to cover potential deficits in its early years of operation. However, there remains a risk that the occupancy of units within Electric Works might be slower (lower) than that assumed within the business case, such that the call on the contingency is greater (earlier) than planned. The business case assumed occupancy levels would increase from 44% (2009/10) to 79% (2010/11), The actual occupancy levels were 24% (2009/10) and 57% (2010/11), much of the shortfall in income being made up from conference lettings and virtual services. Following a refresh of the financial model, the assumed level for 2011/12 is 68% rising to 78% for 2012/13 - a position which is being closely monitored.

**Contract Spend**

64. The high and increasing proportion of Council budgets that are committed to major contracts impairs the Council's flexibility to reduce costs or reshape services. This is exacerbated by the fact that in general these contracts carry year-on-year inflation clauses based on RPIx which quite probably will not be available to the Council's funding streams e.g. Council Tax and RSG.

**Economic Climate**

65. There is potential for current adverse economic conditions to result in increased costs (e.g. increased homelessness cases) or reduced revenues.
66. The Council seeks to maintain adequate financial reserves to mitigate the impact of unforeseen circumstances.

### **NHS Funding Issues**

67. There are significant interfaces between NHS and Council services in both adults' and children's social care. The Council has prioritised these services in the budget process, but savings have nevertheless had to be found. Working in partnership with colleagues in the Health Service efforts have been made to mitigate the impact of these savings on both sides. However, ongoing work is required now to deliver these savings in a way that both minimises impacts on patients and customers and minimises financial risks to the NHS and the Council.

### **Housing Regeneration**

68. There is a risk to delivering the full scope of major schemes such as **Parkhill** and **SWaN** because of the severe downturn in the housing market. This could result in schemes 'stalling', leading to increased costs of holding the sites involved, and in the case of SWaN, potential exposure to termination payments. In addition, the ending of the Housing Market Renewal programme is causing funding pressure e.g. on site clearance work and in enabling further phases of commenced demolition schemes, such as Arbourthorne.

### **Trading Standards**

69. There is a risk that it is not possible to recover outstanding contributions from the other South Yorkshire Authorities.

### **External Funding**

70. The Council makes use of a number of grant regimes, central government and European. Delivering the projects that these grants fund involves an element of risk of grant claw back where agreed outputs are not delivered. Strong project management and financial controls are required.

### **Academies & Independent Schools**

71. Local Authority community schools that choose to become independent academies are entitled, under current DfE finance regulations, to receive a proportion of the local authority's school related central spending budgets. If all of Sheffield's Secondary Schools were to become academies it is estimated that around £2.7 million would be deducted from the authority's central spending budgets and given to the Academies. The risk is that this would leave an inadequate level of

funding to maintain the centrally retained school services that support local authority community schools and thus cuts would have to be made to balance the budget.

72. There are also further potential risks if a school becoming an academy is a PFI school, it is unclear how the assets and liabilities will be transferred to the new academies and whether the authority could be left with residual PFI liabilities.
73. Where new independent schools (free schools) or Academies are set up and attract pupils from current PFI schools, the funding base available to pay for a fixed long term PFI contract would reduce, leaving SCC with a bigger affordability gap to fund.
74. It is not yet known which schools will become academies this year. Current indications suggest that all the secondary schools will transfer with potentially some of the larger primary schools.

### **Agreed Budget Savings for 2012/13**

75. Following a period in which a risk assessment was carried out of the implementation of budget savings and resulted in the preparation of RAG reports, the position from now on will be assessed as part of the budget monitoring process.

### **Treasury Management**

76. The ongoing sovereign-debt crisis is subjecting the Council to significant counterparty and interest-rate risk. Counterparty risk arises where we have cash exposure to banks and financial institutions who may default on their obligations to repay to us sums invested. There is also a real risk that the Eurozone crisis could impact upon the UK's recovery, which in turn could lead to higher borrowing costs for the nation.
77. The Council is mitigating counterparty risk through a prudent investment strategy, placing the majority of surplus cash in AAA highly liquid and diversified funds. Ongoing monitoring of borrowing rates and forecasts will be used to manage our interest-rate exposure.

### **Welfare Reforms**

78. The government is proposing changes to the Welfare system, phased in over the next few years. The full detail and impact of the changes are not known at this stage. Changes proposed include:

- Housing Benefit changes – there are a number of proposals where the anticipated impacts are that a number of claimants will receive less benefits than they do now, thereby impacting on their ability to pay rent.
- Abolition of council tax benefit – due from April 2013 to be replaced by a local scheme. It will be cash limited and subject to a 10% reduction from current levels.
- Introduction of universal credit – from October 2013 administered by DWP. Along with the impact of reducing amounts to individuals and the financial issues that might cause, the biggest potential impact of this change is the impact on the HRA and the collection of rent. This benefit is currently paid direct to the HRA in future this will be paid direct to individuals. This will potentially increase the cost of collection and rent arrears. There will also be an impact on the current contract with Capita and internal client teams.

## **HOUSING REVENUE ACCOUNT (HRA)**

79. The 2012/13 financial year is the first of the new self financing regime for the HRA. During 2011/12 there was a write off of a significant amount of the Council's housing debt which has meant that for future years the Council is able to meet its social housing costs from the rent generated by tenants.
80. The agreed 2012/13 budget for the HRA involved a contribution from reserves of £1.1m (excluding District Heating). As at month 2 the position is that a contribution of £3.6m is made reserves, an improvement of £4.7m on the budgeted position.
81. This is due to a variation in the assumption about interest rates: the budget assumed that the impact of the debt write off would result in an interest rate of 5.33% in respect of the remaining debt. However the actual impact of the write off and the timing of this have meant that the interest rate is expected to be lower due to access to more attractive interest rates which have the potential to reduce capital financing costs by £1.4m.
82. In addition an improved rental income position is also forecast as a result of reductions in the overall level of vacant properties (£154k) and revised projections of (£180k) rent income.

83. Consideration needs to be given to the impact of the changing interest rates and this may result in reducing the amount of prudential borrowing planned, which will ensure longer terms savings and give flexibility later in the business plan.

## THE CAPITAL PROGRAMME FOR 2012/13

### Summary

84. At the end of May 2012, capital expenditure so far to date is £5.335m (32%) below budget. The outturn forecast is £12.151m (6%) below the Approved Capital Programme.
85. The variation in the year to date position arises from accelerated spend on Building Schools for the Future projects in the CYPF portfolio offset by slippage in the Place portfolio, especially on Housing projects (£4.4m).
86. The forecast for the year shows all portfolios except Communities underspending by £2- 3m against the approved programme.

### Financials 2012/13

All figures reported in £000

| <b>Portfolio</b>   | <b>Spend to date</b> | <b>Budget to Date</b> | <b>Variance</b> | <b>Full Year forecast</b> | <b>Full Year Budget</b> | <b>Full Year Variance</b> |
|--------------------|----------------------|-----------------------|-----------------|---------------------------|-------------------------|---------------------------|
|                    | <b>£000</b>          | <b>£000</b>           | <b>£000</b>     | <b>£000</b>               | <b>£000</b>             | <b>£000</b>               |
| CYPF               | 5,357                | 3,700                 | 1,658           | 82,466                    | 85,510                  | (3,045)                   |
| Place              | 812                  | 2,865                 | (2,053)         | 19,435                    | 23,063                  | (3,628)                   |
| Housing            | 4,927                | 9,344                 | (4,417)         | 66,487                    | 70,015                  | (3,528)                   |
| Communities        | 65                   | 465                   | (400)           | 3,100                     | 3,010                   | 90                        |
| Resources          | 356                  | 478                   | (123)           | 23,694                    | 25,735                  | (2,041)                   |
|                    |                      |                       |                 |                           |                         |                           |
| <b>Grand Total</b> | <b>11,517</b>        | <b>16,852</b>         | <b>(5,335)</b>  | <b>195,182</b>            | <b>207,333</b>          | <b>(12,151)</b>           |

### Commentary

87. At this early stage of the financial year not all of the forecasts are complete and it is therefore difficult to discern any noticeable trends or provide an accurate analysis. Further attention will be given to completing the forecasts in the months that follow.



### Children, Young People and Families Programme

88. CYPF capital expenditure is £1.658m (45%) above the profiled budget for the year to date but forecast to be £3.045m below the programme by the year end for the reasons set out in the table below:

| <b>Cause of change on Budget</b>                              | <b>Year to date<br/>£000</b> | <b>Full Year<br/>forecast<br/>£000</b> |
|---|------------------------------|--|
| Revised profile for Building Schools for the Future programme | 1,931                        | 0                                      |
| Incorrect budget profiles                                     | -387                         | 0                                      |
| Delayed forecasts   | 0                            | -2,942                                 |
| Other variances   | 114                          | -102                                   |
|   | <u>1,658</u>                 | <u>-3,044</u>                          |

89. In general, the impact of incorrect budget profiles is much reduced on last year but there has already been a significant change in the BSF programme.

### Place Programme

90. The Place portfolio programme (excluding Housing) is £2.053m (72%) below the profiled budget for the year to date and forecast to be £3.628m below the programme by the year end for the reasons set out in the table below:

| <b>Cause of change on Budget</b>   | <b>Year to date<br/>£000</b> | <b>Full Year<br/>forecast<br/>£000</b> |
|--|------------------------------|--|
| Operational delays in projects due to planning, design or changes in specification | -20                          | 0                                      |
| Incorrect budget profiles  | 40                           | 0                                      |
| Delayed forecasts  | 0                            | -3,035                                 |
| Other variances  | -2,073                       | -593                                   |
|  | <u>-2,053</u>                | <u>-3,628</u>                          |

91. The majority of the underspend to date is on Highways scheme where the Local Transport Programme and other Highways schemes have only just been submitted for approval.

### Housing Programme (Place Portfolio)

92. The Housing capital programme is £4.417m (47%) below the profiled budget for the year to date and forecast to be £3.528m (5%) below the programme by the year end for the reasons set out in the table below:

| Cause of change on Budget  | Year to<br>date<br>£000 | Full Year<br>forecast<br>£000 |
|--|-------------------------|-------------------------------|
| Slippage to be carried forward   | 0                       | -2,366                        |
| Operational delays in projects due to planning, design or changes in specification | -203                    | 0                             |
| Incorrect budget profiles  | -3,543                  | 0                             |
| Projects submitted for Approval  | 0                       | 2,247                         |
| Additional Home Improvement grants   | -13                     | 0                             |
| Underspending on project estimates   | -294                    | -2,642                        |
| Other variances  | -364                    | -767                          |
|  | -4,417                  | -3,528                        |

93. Schemes forecast to underspend in the year are Photo Voltaic cells for council housing (£1m) and several Sheffield Homes managed projects. £1.6m of the £2.4m slippage is accounted for by the District Heat metering scheme which is forecast to slip into 2013/14:

### Communities

94. The year to date spend on the Communities portfolio capital programme is only £400k (86%) below the profiled budget on three key projects:

- £212k on Parson's Cross Library scheme;
- £104k on the Climate Change Impact fund which is dependant on proposals from Community Assemblies; and
- £212k on the implementation of the ICT infrastructure.

### Resources

95. The year to date spend is £123k below the programme due to slippage on the Accommodation strategy projects (£205k) offset by earlier than anticipated purchases of transport equipment. The forecast outturn is £2.041m below the approved programme but most of this is due to forecasts being incomplete at this stage.

## Approvals

96. A number of schemes have been submitted for approval in line with the Council's agreed capital approval process.
97. Below is a summary of the number and total value of schemes in each approval category:
- 10 additions to the capital programme with a total value of £1.226m;
  - 29 variations to the capital programme giving a net reduction of £912k;
  - 6 procurement strategy approvals with a total value of £2.218m.
98. The following have been approved since the previous report to Cabinet:
- 3 emergency approvals with a total value of £1.373m;
  - There have been no director variations.
99. Further details of the schemes listed above can be found in Appendix 1.

## FINANCIAL IMPLICATIONS

100. The primary purpose of this report is to provide Members with information on the City Council's Budget Monitoring position for 2012/13 and, as such it does not make any recommendations which have additional financial implications for the City Council.

## EQUAL OPPORTUNITIES IMPLICATIONS

101. There are no specific equal opportunity implications arising from the recommendations in this report.

## PROPERTY IMPLICATIONS

102. Although this report deals, in part, with the Capital Programme, it does not, in itself, contain any property implications, nor are there any arising from the recommendations in this report.

## RECOMMENDATIONS

103. Members are asked to:
- a. Note the updated information and management actions provided by this report on the 2012/13 budget position.

- b. In relation to the Capital Programme:
- (i) Note the proposed additions to the capital programme listed in Appendix 1, including the procurement strategies and delegations of authority to the Director of Commercial Services or Delegated Officer, as appropriate, to award the necessary contracts following stage approval by Capital Programme Group.
  - (ii) Note the proposed variations in Appendix 1 & 2.
  - (iii) Note that there were no variations approved by Directors under their delegated authority.
  - (iv) Note the Emergency Approvals in Appendix 1.
  - (v) Note the financial position on the Capital Programme.

## **REASONS FOR RECOMMENDATIONS**

104. To formally record changes to the Revenue Budget and the Capital Programme and gain Member approval for changes in line with Financial Regulations and to reset the capital programme in line with latest information.

## **ALTERNATIVE OPTIONS CONSIDERED**

105. A number of alternative courses of action are considered as part of the process undertaken by Officers before decisions are recommended to Members. The recommendations made to Members represent what Officers believe to be the best options available to the Council, in line with Council priorities, given the constraints on funding and the use to which funding is put within the Revenue Budget and the Capital Programme.

**Eugene Walker**  
**Director of Finance**

# Appendix 1

## Capital

| Scheme Description  | Approval Type | Value £000 | Procurement Route   |
|---|---------------|------------|---|
| <p><b>ADDITIONS:-</b></p> <p><b>PPG2 Oughtibridge Primary</b><br/>           This project is part of the Primary Population Growth Wave 2 programme. The work is a minor remodel of the existing building in order to accommodate an increase in pupil numbers from 30 to 60 in the 2012 intake. This project is to provide an additional classroom space for pupils who will be moving up from the foundation stage in September 2013.</p> <p>The design fees of £28.5k have already been approved in the Population Growth Phase 2 - Feasibility &amp; Design scheme.</p>   | Addition      | 158        | Collaborative framework contract (e.g. YorBuild, EN Procure, HCA, Buying Solutions, YPO).<br><br>A tender list will be sourced from YorBuild.                   |
| <p><b>Local Transport Plan (LTP) Schemes</b><br/>           See Appendix 2 for further details</p> <ul style="list-style-type: none"> <li>• Optio Orange – City to Halfway</li> <li>• Bus Gates               <ul style="list-style-type: none"> <li>– South Lane</li> <li>– Boston Street</li> </ul> </li> <li>• School Entrance Improvements               <ul style="list-style-type: none"> <li>– Chaucer School Wordsworth Avenue</li> <li>– King Egberts School Furniss Avenue</li> <li>– Greenhill School Greenhill Parkway</li> </ul> </li> <li>• PFI Opportunities</li> <li>• NIRR Archaeology</li> <li>• Key Bus Route: Sheffield to Woodhouse</li> </ul> | Additions     | 1,069      | For work to commence before August, works to be undertaken by Streetforce. For works after the transfer of Streetforce to the PFI contractor, to be determined. |

Capital

|  |           |        |                    |  |  |
|--|-----------|--------|--------------------|--|--|
|  |           |        |                    |  |  |
| <b>VARIATIONS:-</b>  |           |        |                    |  |  |
| <b>Programme Management Costs General Fund</b><br>A variation to cover professional services and overhead support costs necessary for the delivery of the Housing Capital Programme. The cost in 2012/13 is £801k, the total costs for future years is £467k per annum totalling £1.455m up to 2017<br><br>The project will be funded from capital receipts in the block sum included in the 2012-13 capital programme.  | Variation | 1,455  | N/A                |  |  |
| <b>Programme Management Costs HRA</b><br>A variation to cover professional services and overhead support costs necessary for the delivery of the Housing Capital Programme . Costs for 2012/13 to 2016/17 are £905k with a total of all years up to 2016/17 being £2.7m<br><br>The project will be funded from HRA Self financing and was included in the 2012-13 capital programme as a block allocation.   | Variation | 2,710  | N/A                |  |  |
| <b>Q00067 NBH Management costs</b>   | Variation | -4,165 | N/A                |  |  |
| <b>Park Hill – Decommissioning</b><br>Phase 5 of the Park Hill project was declared for demolition on 14 <sup>th</sup> May 2012. This Phase has been commissioned to Sheffield homes and consists of re-housing 97 customers and making appropriate payments. The site will then be decommissioned and screened and Sheffield homes will be responsible for the cleaning and maintenance of the site prior to demolition. The activities involved in this phase will be carried out by Sheffield Homes so no procurement is planned. | Variation | 1,129  | Existing Contracts |  |  |

Capital

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|---|---|-----------------------------|---------------------------|
|   | <p>The project will be funded from HRA self financing income included in the 2012-13 capital programme as a block sum provision.</p>  |                             |                           |
| <p><b>Q00069 HRA Funding</b><br/>Adjustment of the block sum provision to fund the above variations to programme management costs.</p>  | <p><b>Castle Beck Safe and Secure</b><br/>This variation is for an increase in funding of £100k. It was always envisaged that more funding would be sought to enhance the project. The additional funding is a grant from the Environment Agency (£20k) and a contribution from revenue from Premises and Assets Budget (£80k).</p> | <p>Variation<br/>-1,129</p> | <p>N/A</p>                |
| <p>Originally work to create an attenuation basin with an earth dam and choke device in order to control the flow of water during a flooding event was carried out, but due to local intervention the control device became blocked and a pond was created. This pond was created by local people for recreational fishing use. Local people maintain the pond, cutting back vegetation and litter picking.</p> <p>Work will include the construction of a new weir with drainage outfall, new footpaths to provide improved access to and around the pond. A new timber footbridge will also be provided to improve access to both sides of the pond. Purpose built fishing platforms will also be constructed in order to provide a safer fishing area. Two of these platforms will be specifically created to allow for wheelchair access.</p> | <p>Variation<br/>100</p>  | <p>100</p>                  | <p>Competitive tender</p> |
| <p><b>Private Sector Housing Works in Default</b><br/>This Variation is to re-profile the original budget over three years to more accurately reflect the delivery of this project. The work is reactive so is difficult to forecast.</p>   | <p>Variation<br/>100</p>  | <p>N/A</p>                  |                           |

Capital

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|--|-------------------|--------------|------------------------|
| <p>This funding is for work on Privately owned houses where owners are required to carry out works but have failed to do so. This requirement is generally an unknown quantity from year to year.<br/>The budget is for £60k over 3 years.</p>   |                   |              |                        |
| <p><b>Local Transport Plan (LTP) Schemes</b><br/>See Appendix 3 for further details</p> <ul style="list-style-type: none"> <li>• Ecclesall Road Traffic Management System</li> <li>• A57 Manchester Road / Nile Street Pedestrian Improvements</li> <li>• LTP Management Fees</li> <li>• S Yorkshire Intelligent Transport System Development</li> <li>• Bus Infrastructure Improvements</li> <li>• Citywide 20mph Zone</li> <li>• Parking Permit Schemes             <ul style="list-style-type: none"> <li>– Upperthorpe &amp; Netherthorpe</li> <li>– Hillsborough</li> </ul> </li> <li>• Road Safety Audits &amp; Scheme Completion</li> <li>• Public Rights of Way</li> <li>• Prince of Wales Rd/Greenland Rd</li> <li>• Air Quality</li> <li>• Package Performance Monitoring</li> <li>• Taxi Rank Improvements</li> <li>• LTP Cycle Parking</li> <li>• Road Safety (Education, Training &amp; Promotion)</li> <li>• Sustainable Modes of Transport</li> <li>• Traffic Controller Upgrade</li> </ul> | <p>Variations</p> | <p>1,669</p> | <p>To be confirmed</p> |



Capital

|   |                |         |                                   |              |              |                |              |               |                                       |                |              |                       |  |  |   |
|---|----------------|---------|-----------------------------------|--------------|--------------|----------------|--------------|---------------|---------------------------------------|----------------|--------------|-----------------------|--|--|---|
| <p><b>STAGE APPROVALS:-</b></p>   |                |         |                                   |              |              |                |              |               |                                       |                |              |                       |  |  |   |
| <p><b>1. Business Unit: Primary Population Growth 2 Oughtibridge Primary</b></p> <p><b>Project Background:-</b> This project is part of the Primary Population Growth Wave 2 programme. The work is a minor remodel of the existing building in order to accommodate an increase in pupil numbers from 30 to 60 in the 2012 intake for one year only. This project is to provide an additional classroom space for pupils who will be moving up from the foundation stage in September 2013.</p> <p><b>Financial Position: -</b><br/>The project is funded as follows:-</p> <p>DFE Capital Basic Need Grant: £186,000 (*including £28.5k fees budgeted for within BU 90678 - Population Growth Phase 2 – Feasibility &amp; Design).</p> <p>The total costs of £186k are broken down in the Procurement Strategy as follows:</p> <table style="margin-left: 40px;"> <tr> <td>Construction</td> <td style="text-align: right;">150,000</td> </tr> <tr> <td>Contingency &amp; Client Direct Costs</td> <td style="text-align: right;"><u>7,500</u></td> </tr> <tr> <td><b>Total</b></td> <td style="text-align: right;"><b>157,500</b></td> </tr> <tr> <td><b>*Fees</b></td> <td style="text-align: right;"><u>28,500</u></td> </tr> <tr> <td><b>Total Per Procurement Strategy</b></td> <td style="text-align: right;"><b>186,000</b></td> </tr> </table> <p><b>Procurement Route:-</b><br/>Procurement will be via a collaborative framework contract route - in this case a competitive tender using the YorBuild list of contractors will take place to identify a</p> | Construction   | 150,000 | Contingency & Client Direct Costs | <u>7,500</u> | <b>Total</b> | <b>157,500</b> | <b>*Fees</b> | <u>28,500</u> | <b>Total Per Procurement Strategy</b> | <b>186,000</b> | <p>157.5</p> | <p>Stage Approval</p> |  |  | <p>YORBuild Collaborative Framework</p> |
| Construction  | 150,000        |         |                                   |              |              |                |              |               |                                       |                |              |                       |  |  |   |
| Contingency & Client Direct Costs   | <u>7,500</u>   |         |                                   |              |              |                |              |               |                                       |                |              |                       |  |  |   |
| <b>Total</b>  | <b>157,500</b> |         |                                   |              |              |                |              |               |                                       |                |              |                       |  |  |   |
| <b>*Fees</b>  | <u>28,500</u>  |         |                                   |              |              |                |              |               |                                       |                |              |                       |  |  |   |
| <b>Total Per Procurement Strategy</b>   | <b>186,000</b> |         |                                   |              |              |                |              |               |                                       |                |              |                       |  |  |   |

Capital

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| <p>contractor to complete the required work to the building.<br/>A tender list will be sourced from YorBuild.</p> <p>This will ensure that regional contractors are selected and that outcomes for Employment Training and Development are achieved. A competitive tender will then be undertaken to select a contractor from the list. In addition, SCC will undertake appropriate financial checks on the list of contractors in order to minimise the risk of financial exposure.</p>   |                       |            |                           |
| <p><b>Castle Beck Safe and Secure</b></p> <p><b>Project Background:</b> - Public Realm improvements in line with the master plan strategy for the area. This Includes a natural play scheme, formalising a fishing pond and improving entrances and boundaries to green space.</p> <p>Originally work to create an attenuation basin with an earth dam and choke device in order to control the flow of water during a flooding event was carried out, but due to local intervention the control device became blocked and a pond was created. This pond was created by local people for recreational fishing use. Local people maintain the pond, cutting back vegetation and litter picking.</p> <p>During the works the pond will also be drained and the bed of the pond will be re-profiled to increase the water capacity and the ponds ability to hold additional water during periods of heavy rainfall, thus further reducing the risk of flooding to the Darnall area.</p> <p>Work will include the construction of a new weir with drainage outfall, new footpaths to provide improved access to and around the pond.</p> | <p>Stage Approval</p> | <p>108</p> | <p>Competitive tender</p> |

Capital

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| <p><b>Financial Position:</b> - The total additional budget for the project is £133k with £188k being spent in prior years.</p> <p>The Environment Agency is providing a grant of £20k and Premises and Assets are providing £80k from revenue to cover the health and safety aspects, £33k is slippage of budget from 11/12 which has already been approved. The contract value is £107,868 which contains £16k for contingencies with 25k for fees.</p>  |                       |                      |  |
| <p><b>Decent Homes Environmental Programme</b></p> <p><b>Project Background:</b> - This Project is to improve the environment on Council estates and to improve the security and desirability of blocks of flats. The programme is split into eight business units on an area basis. The Procurement strategies for this area are for lighting, flooring, CCTV installation and door Entry to communal areas.</p> <p><b>Financial Position:</b> - Lighting to communal areas in flats and maisonettes at various sites - Contract value £135k<br/>         Flooring to communal areas in flats and maisonettes at various sites – contract value £35k<br/>         Door Entry to communal areas in flats and maisonettes at various sites – contract value £1.4m<br/>         CCTV installation - to communal areas in flats and maisonettes at various sites – contract value £152k<br/>         The total of the combined approved budgets for the Environmental Programme for the eight business units is £4,458k..</p> | <p>Stage Approval</p> | <p>170<br/>1,552</p> | <p>EN procure Framework<br/>Competitive Tender</p> |

Capital

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|---|---------------------------------|---------------------------------------|
| <p><b>Bus Rapid Transit North &amp; Tinsley Link</b></p> <p><b>Project Background:-</b><br/>                 This is a £34m project designed to reduce congestion and journey times and improving the reliability and quality of public transport along the proposed corridor. The Bus Rapid Transit Northern route will run from Sheffield City Centre through the Wicker, Attercliffe, Carbrook and Meadowhall Way before joining a proposed new section of carriageway to Tinsley (to be known as the Tinsley Link). The new link road is to be built on land between Meadowhall Way and Sheffield Rd.</p> <p><b>Financial Position: -</b><br/>                 The BRT scheme will be funded by the South Yorkshire Local Transport Plan (LTP) allocation.</p> <p><b>Procurement Route:-</b><br/>                 The procurement strategy for BRT Enabling Works comprising site investigation works and third party independent verification checks to provide the required structural assurances.</p> <p>Since the original procurement strategy approval, the Council has now arranged a framework through YORconsult which will be quicker than open tender. Approval is now sought to amend the procurement strategy. The proposal is to use the YORconsult framework for the Category III checks, rather than the open tender route originally</p> | <p>Stage Approval Variation</p> | <p>YOR Consult Framework contract</p> |
|   |                                 |                                       |
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|   |                                 |                                       |

Capital

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| <p><b>EMERGENCY APPROVALS:-</b></p> <p><b>CCTV Parking Enforcement and Bus Lane Cameras (Highways)</b><br/>                 The purpose of this scheme is to equip one Parking Services vehicle with CCTV equipment to enhance the effectiveness of parking enforcement at bus stop clearways, no-waiting restrictions along arterial routes, around schools, near shops and adjacent to taxi ranks. The project scope also includes the purchase of additional re-locatable bus lane cameras, which will enable additional bus lanes to be enforced.</p> <p>The anticipated project cost is £180k and this will be funded from Prudential Borrowing £105k and revenue contributions to capital £75k. It is estimated that there will be at least 23 additional Penalty Charge Notices issued per day and the resultant increase in income will be around £184k per annum. The cost of the capital project will be repaid over two years, with repayments around £56.5k pa, with licence and support costs of around £7.6k per annum. This results in a net increase in income of around £115k in the first year (pro rata for 8 months income) and £120k in years two and three. (Prudential Borrowing repayments commence the year after installation). From years 4 onwards the net income generated should be approximately £177k pa.</p> | <p>Emergency</p> | <p>180</p> | <p>In-House provider for road signage and markings.<br/><br/>Capita and partners for ICT equipment.</p>   |
| <p><b>Sharrow Junior School (CYPF)</b><br/>                 This scheme covers refurbishment works at the old Sharrow Junior School building, as part of a wider scheme (The Sharrow Programme – seeking to improve local services and community facilities), specifically intended to provide refurbishments and improvements to Sharrow Old Junior School. The school has been retained as a council asset, along with Highfield Library. Highfield House, the Mount Pleasant Buildings and the nursery-infant school were declared surplus to requirements.</p> <p>The purpose of the reorganisation has been to maximise the space in the old junior</p>  | <p>Emergency</p> | <p>133</p> | <p>A formal tendering process will be undertaken for the Junior School improvements with support from SCC Design and Project Management. (Commercial Services agreed that the existing procurement strategy for</p> |

Capital

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| <p>school to make it a community space and reduce the under-used, expensive to maintain buildings in the area.</p> <p>The competitive tender produced costs below the estimated amount and approval was sought to utilise the savings to expand the scope of works to include improved floors, stairwells, heating controls and additional meeting rooms.</p> <p>By seeking the emergency approval to expand the contract, the Council has been able to maximise the value for money element of the scheme by avoiding some contractor overhead costs which would have been incurred if the works had been procured in two separate tranches.</p>  |                  |              | <p>this project can be used for the variation).</p>  |
| <p><b>UTC (University Technical College) Site – Porter Brook (Resources)</b><br/>                 This project is to facilitate the purchase of land currently owned by the Homes and Communities Agency (HCA) to provide a site which will be leased to the UTC Trust over 125yrs at a peppercorn ground rent, as approved by the Cabinet Report of January 2012. Procurement of the construction of the building is to be a matter solely for the UTC Trust.</p> <p>Provision of a UTC in Sheffield will increase the offer to the city's 14-19 year olds and provide employment routes into advanced manufacturing and creative digital industries. Future development of the UTC may also bring in further investment to the city.</p> <p>An Emergency Approval was sought to enable legal work to commence in time to ensure that land purchase milestones to enable construction of the building, as procured by the UTC Trust, were met in time to ensure it could be open and ready for first use in September 2013.</p> | <p>Emergency</p> | <p>1,060</p> | <p>Land purchase commissioned through DLA via Legal Services (final sale contract August 2012).<br/>                 Payment agreed to be made to HCA in April 2013.</p> |

**Appendix 1**

**Capital**

|   |  |  |  |  |
|---|--|--|--|--|
| <p>If an Emergency Approval had not been granted ahead of the next Cabinet approval date (June 2012), then delays in legal processes would have been encountered, leading to project timetable milestones not being achieved.</p> |  |  |  |  |
| <p><b>DIRECTOR VARIATIONS:-</b></p>   |  |  |  |  |
| <p>None</p>   |  |  |  |  |





**2012-13 Local Transport Plan (LTP) Integrated Transport Programme**

The Local Transport Plan programme is designed to make it easier for people to move around safely, reducing congestion, making public transport easier to use, making the City's road safer, improving the condition of the roads and providing better transport links within and beyond the City. These are priorities as set out in the Council's Corporate Plan - 'City of Opportunity'.

The LTP Integrated Transport programme is funded by an approved allocation from the South Yorkshire Integrated Transport Authority £3,193,000 and in 2012-13 this is complemented by investments from Better Buses funding, Local Sustainable Transport Fund, Local Transport Plan Countywide funding, Growing Places Fund and Other contributions of around £3,922,000.

A breakdown of this funding is shown below:

| <b>Funding</b>   | <b>£k</b>    |
|--|--------------|
| South Yorkshire Integrated Transport Authority (SYITA) - 2012/13 | 3,193        |
| Better Buses Funding   | 758          |
| Local Sustainable Transport Fund                                 | 321          |
| Local Transport Plan Countywide Funding                          | 210          |
| Growing Places Funding for BRT North & Tinsley Link              | 2,398        |
| Other Contributions  | 235          |
| <b>Total Funding</b>   | <b>7,115</b> |

**These resources will be deployed as follows:**

| <b>Allocations</b>                                   | <b>£k</b>    |
|--|--------------|
| Additions submitted for approval in this report      |              |
| Optio Orange :City to Halfway                        | 411          |
| Bus Gates  | 278          |
| School Entrance Improvements                         | 175          |
| PFI Opportunities                                    | 125          |
| Northern Inner Relief Road – Archaeology             | 50           |
| Key Bus Routes: Sheffield to Woodhouse               | 30           |
| <b>Additions Subtotal</b>                            | <b>1,069</b> |
| Variations submitted for approval in this report     |              |
| Ecclesall Rd Traffic Management Scheme               | 263          |
| A57 Manchester Rd/Nile St - Pedestrian Improvements  | 200          |
| LTP Management Costs                                 | 188          |
| S Yorkshire Intelligent Transport System Development | 160          |
| Bus Infrastructure Improvements                      | 142          |
| Citywide 20mph Zone                                  | 120          |
| Parking Permit Schemes                               | 114          |
| Road Safety Audits and Scheme Completion             | 100          |
| Public Rights of Way                                 | 80           |
| Prince of Wales Rd/Greenland Rd                      | 80           |
| Other smaller value schemes                          | 219          |
| <b>Variations Subtotal</b>                           | <b>1,666</b> |

|  |              |
|--|--------------|
| Emergency Approvals (to be reported at July CPG)       |              |
| Halfway to Killamarsh Multi User Route                 | 250          |
| Upper Don Valley Cycle Routes                          | 206          |
| Driving Me Crazy Programme 2                           | 50           |
| Better Buses schemes                                   | 47           |
| South Community Assembly                               | 40           |
| <b>Emergency Approval Subtotal</b>                     | <b>593</b>   |
| Schemes awaiting approval at July Cabinet meeting      |              |
| BRT North and Tinsley Link                             | 2,398        |
| Waverley-Handsworth Cycle Link                         | 50           |
| Peak Park Pedestrian Crossings                         | 30           |
| <b>May Recommendations to Cabinet Subtotal</b>         | <b>2,478</b> |
| <b>Total Allocations</b>                               | <b>5,806</b> |
| Further scheme allocations to be presented to July CPG | 1,198        |
| Unallocated LTP funding                                | 111          |
| <b>Total</b>   | <b>7,115</b> |

There are a number of schemes to be presented to CPG in July, to the value of approximately £1.2m. They include the remaining Community Assembly allocations and the Lower Don Valley Cycle Route scheme. To date, there is approximately £111k of unallocated Local Transport Plan funding.

Further detail on the larger schemes is described below:

**Optio Orange: City to Halfway (£411k)**

This scheme provides new infrastructure and network management solutions on the leading voluntary partnership (Optio) route from Sheffield City Centre to Halfway. This will include highway improvements to reduce bus delays; improving the wireless communications network for intelligent traffic signal control by changes to smart management technology and management of these locations to minimise delays; bus stop clearways, raised kerbs and tactiles; new bus shelters, some with Real-Time information; and minor works to ensure bus lanes and clearways are enforceable.

**Bus Gates (£278k)**

This scheme is to progress the installation of bus gates at South Lane (£148k) and Boston Street (£130k).

**School Entrance Improvements (£175k)**

The three projects being progressed are at Chaucer Secondary (£150k), King Egbert Secondary (£12.5k) and Greenhill Primary (£12.5k). They will improve visibility of school children, manage speeds and parking appropriately. This will consider extending waiting restrictions outside some school gates.

**PFI Complementary Schemes (£125k)**

This a series of small scale changes that can be designed in advance and built at the same time as the main PFI contractor is repairing roads, thereby getting best value for money.

### **A57 Manchester Rd/Nile St - Pedestrian Improvements (£200k)**

This scheme is to progress the installation of new signal pedestrian crossing facilities at this busy junction in the middle of Broomhill. The approval for 2012/13 (£200k) would fund the necessary preparatory works in advance of the main scheme works in 2013/14.

### **Ecclesall Road Traffic Management Schemes (£263k)**

Following on from last year's successful public consultation process, the proposal is to build a number of agreed traffic management measures along this busy road.

### **LTP Management Costs (£188k)**

Funding used to pay for staff time to deliver projects within the Local Transport Plan capital programme.

### **South Yorkshire Intelligent Transport System (SYITS) Development (£160k)**

Sheffield is leading on this project on behalf of all four districts in the County. The SYITS system provides journey time data on both radial and orbital routes across the city and county.

### **Bus Infrastructure Improvements (£142k)**

This scheme deals with bus hotspots and reassessing bus priority measures where they failing to deliver. This can involve re-locating bus stops, altering bus lanes and other necessary work.

### **Citywide 20mph Zone (£120k)**

This is a citywide strategy to provide safer roads – including development of the first two 20mph speed limits in Community Assembly areas.

### **Parking Permit Schemes (£114k)**

This project will develop and install Permit Parking schemes - building on consultation work already done with local communities, through implementing a scheme in Upperthorpe and Netherthorpe, and developing a scheme in the St.Vincent's area. It will also review the Hillsborough scheme which went live in February 2012.

### **Road Safety Audits and Scheme Completion (£100k)**

The purpose of this scheme is to carry out road safety audit work on existing completed projects and undertaking minor improvements where necessary.

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