

|                 |                                    |
|-----------------|------------------------------------|
| <b>MEETING:</b> | Cabinet                            |
| <b>DATE:</b>    | Wednesday, 6 March 2019            |
| <b>TIME:</b>    | 10.00 am                           |
| <b>VENUE:</b>   | Reception Room, Barnsley Town Hall |

## AGENDA

1. Declaration of pecuniary and non-pecuniary interests
2. Leader - Call-in of Cabinet decisions

### Minutes

3. Minutes of the previous meeting held on 20th February, 2019 (Cab.6.3.2019/3)  
(Pages 3 - 6)

### Items for Noting

4. Decisions of Cabinet Spokespersons (Cab.6.3.2019/4) (Pages 7 - 8)

### Petitions

5. Petitions received under Standing Order 44 (Cab.6.3.2019/5)

### Items for Decision/Recommendation to Council

#### Place Spokesperson

6. Outgoing Poet Laureate (Cab.6.3.2019/6)  
*Presentation and Appreciation for Ian McMillan*
7. Civil Penalties Policy Implementation (Cab.6.3.2019/7) (Pages 9 - 28)
8. Approval to Re-Procure Utility Contracts (Cab.6.3.2019/8) (Pages 29 - 34)

#### Core Services Spokesperson

9. Corporate Plan Performance Report - Quarter 3 ending 31st December, 2018  
(Cab.6.3.2019/9) (Pages 35 - 98)
10. Corporate Financial Performance Report - Quarter 3 ending 31st December, 2018  
(Cab.6.3.2019/10) (Pages 99 - 130)
11. Capital Programme Performance Report - Quarter 3 ending 31st December, 2018  
(Cab.6.3.2019/11) (Pages 131 - 164)
12. Treasury Management Activities Review - Quarter 3 ending 31st December, 2018  
(Cab.6.3.2019/12) (Pages 165 - 178)
13. Revision to Disciplinary Policy (Cab.6.3.2019/13) (Pages 179 - 226)
14. Revision to Grievance Policy (Cab.6.3.2019/14) (Pages 227 - 248)

15. Exclusion of Public and Press  
It is likely that the public and press will be excluded from this meeting during consideration of the items so marked because of the likely disclosure of exempt information as defined by the specific paragraphs of Part I of Schedule 12A of the Local Government Act 1972 as amended, subject to the public interest test.

**Place Spokesperson**

16. Community Asset Transfer: Wilthorpe Tennis Courts, Wilthorpe, Barnsley  
(Cab.6.3.2019/16) (Pages 249 - 258)  
Reason restricted:  
Paragraph (3) Information relating to the financial or business affairs of any particular person (including the authority holding that information)

To: Chair and Members of Cabinet:-

Councillors Houghton CBE (Chair), Andrews BEM, Bruff, Cheetham, Gardiner, Howard, Miller and Platts

Cabinet Support Members:

Councillors Franklin, Frost, Daniel Griffin, Pourali, Saunders and Tattersall

Chair of Overview and Scrutiny Committee  
Chair of Audit Committee

Diana Terris, Chief Executive  
Rachel Dickinson, Executive Director People  
Matt Gladstone, Executive Director Place  
Wendy Lowder, Executive Director Communities  
Julia Burrows, Director Public Health  
Andrew Frosdick, Executive Director Core Services  
Alison Brown, Service Director Human Resources and Business Support  
Michael Potter, Service Director Business Improvement and Communications  
Neil Copley, Service Director Finance (Section 151 Officer)  
Katie Rogers, Head of Communications and Marketing  
Anna Marshall, Scrutiny Officer  
Ian Turner, Service Director, Council Governance

Corporate Communications and Marketing

Please contact Ian Turner on email [governance@barnsley.gov.uk](mailto:governance@barnsley.gov.uk)

Tuesday, 26 February 2019



|                 |                                    |
|-----------------|------------------------------------|
| <b>MEETING:</b> | Cabinet                            |
| <b>DATE:</b>    | Wednesday, 20 February 2019        |
| <b>TIME:</b>    | 10.00 am                           |
| <b>VENUE:</b>   | Reception Room, Barnsley Town Hall |

## MINUTES

**Present** Councillors Houghton CBE (Chair), Andrews BEM, Bruff, Cheetham, Gardiner, Howard, Miller and Platts

**Members in Attendance:** Councillors Franklin, Frost, Daniel Griffin, Pourali, Saunders and Tattersall

### 196. Declaration of pecuniary and non-pecuniary interests

There were no declarations of pecuniary or non-pecuniary interests.

### 197. Leader - Call-in of Cabinet decisions

The Leader reported that no decisions from the previous meeting held on 6<sup>th</sup> February, 2019 had been called in.

### 198. Minutes of the previous meeting held on 6th February, 2019 (Cab.20.2.2019/3)

The minutes of the meeting held on 6<sup>th</sup> February, 2019 were taken as read and signed by the Chair as a correct record.

### 199. Decisions of Cabinet Spokespersons (Cab.20.2.2019/4)

The Record of Decisions taken by Cabinet Spokespersons under delegated powers during the week ending 8<sup>th</sup> February, 2019 were noted.

### 200. Petitions received under Standing Order 44 (Cab.20.2.2019/5)

It was reported that no petitions had been received under Standing Order 44.

#### Core Services Spokesperson

### 201. Discretionary Housing Payments (DHP) Scheme (Cab.20.2.2019/6)

**RESOLVED** that the Discretionary Housing Payments (DHP) scheme, which is set out in the appendix to the report, be approved.

## **Place Spokesperson**

### **202. BMBC's Empty Property Delivery Plan and Profiling 2018-2021 (Cab.20.2.2019/7)**

#### **RESOLVED:-**

- (i) that the Empty Property Delivery Plan and Profiling for 2018-2021, as detailed in the report now submitted, be approved; and
- (ii) that the delegation to the Head of Housing and Energy identified in paragraph 4.16 to approve any adjustments between the individual delivery streams within the overall budget envelope available be approved.

### **203. Acquisition of New Cremators (Cab.20.2.2019/8)**

#### **RESOLVED:-**

- (i) that authorisation be given to procure 4 x new cremators to be installed at Ardsley Crematorium at a total estimated cost of £853,000, phased over a two year period (two in 2019/20 FY and two in 2020/21) to be funded from specifically earmarked reserves, set aside for the Council's 2020 capital priorities through the Council's Reserves Strategy; and
- (ii) that the scheme be included in the Capital Programme and funding released in accordance with Financial Regulations.

### **204. Supplementary Planning Guidance and Planning Advice Notices Update (Cab.20.2.2019/9)**

#### **RESOLVED:-**

- (i) that approval be given to consult on the Supplementary Planning Documents and Planning Advice Notes, as set out in the appendices to the report now submitted; and
- (ii) that the Council no longer continues to progress the Community Infrastructure Levy.

### **205. Draft Fleet Vehicle Replacement Strategy (Cab.20.2.2019/10)**

#### **RESOLVED:-**

- (i) that the draft Fleet Vehicle Replacement Strategy, as set out in Appendix 1 to the report, be supported; and
- (ii) that a future capital plan for future vehicle replacement programme be submitted in accordance with the proposed Strategy.

## **People (Safeguarding) Spokesperson**

### **206. Barnsley Adult Social Care Local Account 2017/18 (Cab.20.2.2019/11)**

#### **RESOLVED:-**

- (i) that the Barnsley Adult Social Care Local Account for 2017/18, as set out in Appendix 1 to the report submitted, be approved; and
- (ii) that awareness of the Local Account be promoted with Elected Member colleagues and constituents.

### **207. Proposed Use Of The Adult Social Care Winter Pressures Funding 2018-19 (Cab.20.2.2019/12)**

#### **RESOLVED:-**

- (i) that the winter pressures funding for the Borough during 2018/19 , as set out in the report now submitted, be noted; and
- (ii) that agreement be given to the proposed use as indicated in paragraph 4.4 of the report.

## **People (Achieving Potential) Spokesperson**

### **208. Co-ordinated Scheme of Admission to Local Authority Maintained Primary and Secondary Schools 2020/21 (Cab.20.2.2019/13)**

**RESOLVED** that the proposed scheme for co-ordinating the admission arrangements for primary and secondary schools, as detailed in the report submitted, be approved for the 2020-2021 school year.

### **209. Admission Arrangements for Community and Voluntary Controlled Primary and Secondary Schools for the 2020-2021 School Year (Cab.20.2.2019/14)**

**RESOLVED** that the proposed admission arrangements for community and voluntary controlled primary and secondary schools, as set out in the report submitted, be approved for the 2020-2021 school year.

### **210. School Term Times and Holiday Dates for Community and Voluntary Controlled Schools 2020-2021 (Cab.20.2.2019/15)**

**RESOLVED** that Option 1 of the proposed term times and holiday dates for 2020-2021, as set out in Appendix 1 of the report now submitted, be approved for adoption.

## 211. Exclusion of Public and Press

**RESOLVED** that the public and press be excluded from the meeting during consideration of the following items, because of the likely disclosure of exempt information as described by the specific paragraphs of Part I of Schedule 12A of the Local Government Act 1972 as amended, as follows:-

| <u>Item Number</u> | <u>Type of Information Likely to be Disclosed</u> |
|--------------------|---|
| 212                | Paragraph 3                                       |

### Place Spokesperson

## 212. Community Asset Transfer - Penistone Paramount Lease Renewal (Cab.20.2.2019/17)

### **RESOLVED:-**

- (i) that approval be given to the granting of a new 25 year lease to Penistone Town Council in respect of Penistone Paramount on terms and conditions to be agreed;
- (ii) that the Corporate Asset Manager be authorised to finalise Heads of Terms for a 25 year lease to Penistone Town Council for a nominal rent; and
- (iii) that the Executive Director Core Services be authorised to complete the lease to Penistone Town Council. The grant will be in accordance with Local Government Act 1972, but at less than best consideration based on the delivery of local social economic and environmental wellbeing powers as introduced by the Local Government Act 2000 and the General Disposal Consent (England) 2003.

.....  
Chair

**BARNSELY METROPOLITAN BOROUGH COUNCIL**

**CABINET SPOKESPERSONS' DECISIONS**

**Schedule of Decisions taken for week ending 15<sup>th</sup> February, 2019**

| <b><u>Cabinet Spokesperson</u></b> | <b><u>Item</u></b>                                  | <b><u>Decisions</u></b>  |
|------------------------------------|---|--|
| 1. Place                           | TPAS Review of Berneslai Homes Engagement Framework | (i) that the findings and recommendations of the independent review of the Berneslai Homes formal engagement model be accepted; and<br><br>(ii) that Berneslai Homes be authorised to develop and implement a new formal engagement framework. |

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## BARNSELY METROPOLITAN BOROUGH COUNCIL

This matter is a Key Decision within the Council's definition and has been included in the relevant Forward Plan

### REPORT OF THE EXECUTIVE DIRECTOR OF COMMUNITIES TO CABINET ON 6<sup>th</sup> MARCH 2019

#### CIVIL PENALTIES POLICY IMPLEMENTATION

##### 1. PURPOSE OF REPORT

- 1.1 To report seeks to outline the rationale for implementation the above policy in accordance with legislative provision made under the Housing and Planning Act 2016, and subsequently how it is implemented fairly and consistently in accordance with Government guidance.

##### 2. RECOMMENDATIONS

1. That the Civil Penalties Policy set out in Appendix 1 be approved.
2. That the Service Director Stronger, Safer and Healthier Communities be authorised to implement the policy and to undertake relevant enforcement under it, including the issuing and enforcement of Civil Penalty Notices.

##### 3. INTRODUCTION

- 3.1 The Council, via delegated authority has the provision of various pieces of legislation to deal with issues raised for the private rented sector relating to housing issues. This type of enforcement work seeks to redress the property issues by the use of enforcement action and where non-compliance arises, redress through the court system via prosecution. Examples of hazards raised are: lack of heating provisions. A category 1 hazards (which is the most serious). This type of enforcement work carries penalties of prosecution and in some cases custodial sentences.

##### 4. PROPOSAL AND JUSTIFICATION

- 4.1 By introducing a Civil Penalties policy it will allow the Council to take a broader and more pragmatic approach to non-compliance for enforcement by the imposition of financial penalties against the landlord or managing agent, commensurate with culpability and levels of harm caused to the tenants. This Policy outlines the rationale for when to prosecute and when to consider the use of civil penalties. Thus offering a transparent approach to enforcement so that people understand how they will be dealt with.
- 4.2 The Policy relies on the same level of evidence as a prosecution ie. the criminal standard of proof. However, it introduces several different levels of financial penalty. This will be decided by the Council in accordance with the policy framework and aggravating factors. See Appendix 1 Civil Penalties policy document.

- 4.3 The Policy reflects the requirements to use reform where it offers a suitable alternative to prosecution and potentially where previous prosecution action has not yielded the required results or where landlords have little regard for the law but place greater emphasis on monetary gain at the expense of the most vulnerable.
- 4.4 There is a right of appeal by landlords to the First Tier Tribunal against the Council's decision to impose a penalty and/or the amount of the penalty. The appeal must be made within 28 days of the date the final penalty notice was issued by the Council. The final penalty notice is suspended until the appeal is determined or withdrawn.
- 4.5 An appeal will involve a re-hearing of the Council's decision to impose a civil penalty. It may also have regard to matters of which the Council was unaware when the decision to impose a civil penalty was made. The First-tier Tribunal has the power to confirm, vary (increase or reduce) the size of the civil penalty imposed by the Council, or to cancel the civil penalty. If the First-tier Tribunal decides to increase the penalty, it may only do so up to a maximum of £30,000. It can further dismiss an appeal if it is satisfied that the appeal is frivolous, vexatious or an abuse of process, or has no reasonable prospect of success.

## **5. CONSIDERATION OF ALTERNATIVE APPROACHES**

- 5.1 There are no alternative approaches other than the use of enforcement which is currently being undertaken. Considering the role of the court and the level of fines or punishment given, civil penalties offer a social responsibility to redress a wrong, where prosecution has not deterred the landlord from his former actions. Officers will be expected to use judgement to decide whether it is better to prosecute or use the civil penalties route.
- 5.2 Consideration has been given to the use of Community Protection Notices (CPN) as an alternative to enforcement action. However, this type of notice offers no enforcement to remedy the hazard where non-compliance occurs. The initial level of fine has been considered and set to mirror the true cost of a civil penalty notice within the civil penalties policy.

## **6. IMPLICATIONS FOR LOCAL PEOPLE/SERVICE USERS**

- 6.1 There are no implications, other than the ability for local communities to be clear on the Civil Penalties policy as an alternative to prosecution which has been adopted by the Local Authority.

## **7. FINANCIAL IMPLICATIONS**

- 7.1 None specific to this report – it's currently very difficult to estimate how much income is likely to be generated following implementation of the Policy.
- 7.2 It should be noted however that any income that is generated from civil penalties issued in relation to housing offences must be ring-fenced to directly support those functions necessary to the Council in managing and improving the private rented sector.

## **8. EMPLOYEE IMPLICATIONS**

8.1 No direct implications associated with this report.

## **9. LEGAL IMPLICATIONS**

9.1 This Policy has been drafted in accordance Government guidance (DCLG 'Civil Penalties under the Housing and Planning Act 2016 'Guidance for local authorities'. This is statutory guidance that the Council must have regard to in the exercise of its functions in respect of civil penalties.

9.2 There will be a protocol for Legal advice to be incorporated into the decision making process and legal assistance may be required where:

- a) landlords appeal against the decision of the Council to issue a civil penalty to the First Tier Tribunal, or
- b) landlords fail to pay a civil penalty and the case is then referred to the county court for an order of that court and to recover the debt.

Depending on the numbers and frequency this may have resource implications for Legal Services.

## **10. CUSTOMER AND DIGITAL IMPLICATIONS**

10.1 No implications in terms of Customer of Digital.

## **11. COMMUNICATIONS IMPLICATIONS**

11.1 There are no specific issues associated with this report. Other than to make the public aware of the proposed policy in accordance with the current communications policy.

## **12. CONSULTATIONS**

12.1 Consultation has been sent to: The Private Sector Housing Task and Finish Group

Which includes : Place Directorate, People Directorate, Communities Directorate and Berneslai Homes. Amendments have been made to the policy document.

In addition, a smart survey linked to the policy document was placed on the council's web pages. The survey requested comments relating to the council implementing such a policy. Of the seven responses, which were all from landlords and landlord groups, one respondent felt the policy was not required. The remaining responses indicated they were behind the implementation of such a policy. Of those; The Barnsley Residential Landlords Association (BRLA) were in favour of the policy and Goldthorpe Landlords and Residents group (GLR) did not comment.

### **13. THE CORPORATE PLAN AND THE COUNCIL'S PERFORMANCE MANAGEMENT FRAMEWORK**

13.1 The Policy supports the delivery of the following strategic priorities;

#### **To achieve a thriving and vibrant economy**

- Create more and better housing

#### **To achieve strong and resilient communities**

- Protecting the borough for future generations

Performance is actively monitored in-line with SNS and Communities Directorate performance management frameworks.

### **14. PROMOTING EQUALITY, DIVERSITY AND SOCIAL INCLUSION**

14.1 The purpose of the Policy is to ensure all Civil Penalties are proportionate and reasonable with due regard to promoting equality, diversity and social inclusion.

### **15. TACKLING THE IMPACT OF POVERTY**

15.1 The purpose of the Policy is to ensure that where Civil Penalties are used across Barnsley, the Policy is implemented on a case by case basis to support the corporate ambition to transform and create a sustainable and better housing. Ultimately the benefits of stimulating improvement in housing through dealing effectively with complaints should benefit all residents of the borough and help address issues associated with housing.

### **16. TACKLING HEALTH INEQUALITIES**

16.1 Dealing effectively with Housing issues in this manner will support the improvement of housing having a positive impact on supporting the most vulnerable people in our communities.

### **17. REDUCTION OF CRIME AND DISORDER**

17.1 There are no specific issues associated with this report.

### **18. RISK MANAGEMENT ISSUES**

18.1 There are no risks in relation to the agreement of the policy. Implementation of such a policy is at the discretion of the council.

### **19. HEALTH, SAFETY AND EMERGENCY RESILIENCE ISSUES**

19.1 There are no specific issues associated with this report.

### **20. COMPATIBILITY WITH THE EUROPEAN CONVENTION ON HUMAN RIGHTS**

20.1 There are no specific issues associated with this report.

**21. CONSERVATION OF BIODIVERSITY**

21.1 There are no specific issues associated with this report.

**22. GLOSSARY**

22.1 SNS – Safer Neighbourhood Services  
DCLG – Departments for Communities and Local Government  
BRLA- Barnsley Residential Landlords Association.  
GLR- Goldthorpe Landlords and Residents association.

**23. LIST OF APPENDICES**

Appendix 1: Civil Penalties Policy

**24. BACKGROUND PAPERS**

DCLG Guidance Document -‘Civil Penalties under the Housing and Planning Act 2016 Guidance for local authorities’.

**Report author:** Gail Hancock  
Senior Private Sector Housing Officer

Financial Implications/Consultation



.....  
*(To be signed by senior Financial Services officer  
where no financial implications)*

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# Barnsley Council

## Civil Penalties Policy for Private Sector Housing

**BARNSELY MBC**

January 1, 2018 v5.1

# Barnsley Council Civil Penalties Policy.

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## **Foreword**

This document sets out the Council's policy relating to the implementation of Civil Penalties for housing offences. This Civil Penalties policy should be read in conjunction with the Private Sector Housing Enforcement Policy and other policies that also include the Council's role in private sector housing. The Safer Neighbourhood Service aims to maintain and improve housing conditions in privately owned properties and improve neighbourhoods. Where an informal approach fails or it is necessary to protect the health, safety and welfare of people in private rented accommodation, the service will decide whether to serve a legal notice for non-compliance and then prosecute or pursue the Civil penalty route.

This policy aims to promote efficient and effective approaches to non-compliance and to outline in policy when to prosecute and when to consider the use of civil penalties offering a transparent approach to enforcement so that people understand how they will be dealt with by the Council.

## Introduction

The Council has a statutory duty to regulate and enforce the Housing Health and Safety Rating System (HHSRS) and to license certain Houses in Multiple Occupation (HMOs). Regulation consists of carrying out inspections, processing licences and undertaking any necessary enforcement action in relation to defective and unsafe properties.

### 1.0 Aim & Objectives of the Policy

The aim of the policy is to set out the legal responsibilities, policies, principles and priorities that the Safer Neighbourhood Service will follow when enforcing legislation.

The Policy Objectives include:

- Helping to provide safer and healthier private housing and Houses in Multiple Occupation (HMO).
- Increase transparency and raise the profile of enforcement in the private rented sector; Ensuring culpability is accountable and enforced upon as an alternative to prosecution.

### 2.0 What is a Civil Penalty?

2.1 A Civil Penalty is a financial penalty imposed by a local Housing Authority on an individual or organisation as an alternative to prosecution for certain housing offences under the Housing Act 2004 up to a maximum of £30,000. This action does not replace formal enforcement action such as prosecution or service of legal notices. The principle piece of legislation is the Housing and Planning Act 2016 which amends the [(Housing Act 2004) 'new schedule 13A'- *procedures to follow before imposing a financial penalty*] to allow civil penalties, up to a maximum of £30,000, to be imposed.

This Policy has been written taking into account the statutory guidance 'Civil Penalties under the Housing and Planning Act 2016: 'Guidance for Local Authorities' issued under section 23(10) and Schedules 1 and 9 of the Housing and Planning Act 2016 which Local Housing Authorities must have regard to in the exercise of their functions in respect of civil penalties.

2.2 However, there are circumstances where other pieces of legislation may be more appropriate in dealing with an identified problem. Officers will be expected to use judgement to determine the most appropriate course of action. When exercising its powers the Council must have regard to; previous harms; the confidence in the management of the dwelling and the degree of culpability.

#### 2.3 Which housing offences are covered?

The Safer Neighbourhood Service will be able to impose a civil penalty as an alternative to prosecution for the following offences:

a) under the Housing Act 2004:

- Failure to comply with an Improvement Notice – (section 30);
- Offences relating to licensing of Houses in Multiple Occupation (section 72);
- Offences in relation to licensing of houses under Part 3 of the Act (section 95);
- Offences of contravention of an overcrowding notice (section 139)
- Failure to comply with management regulations in respect of Houses in Multiple Occupation (HMO) (section 234)

See appendix 2. For other relevant offences.

b) under the Housing and Planning Act 2016

- Breach of a banning order (section 21)

#### 2.4 Who are Civil Penalties aimed at?

These penalties are aimed at landlords<sup>1</sup> who are in breach of one or more of the sections of the Housing Act 2004 listed above. A civil penalty can only be imposed as an **alternative** to prosecution. The Council cannot impose a civil penalty in respect of the same offence for which a landlord has been convicted of or being prosecuted for and vice versa.

### 3.0 Policy approach and decision making

3.1 In line with the existing Enforcement Policy and guidance relating to the Housing and Planning Act, prosecution may be the most appropriate option where an offence is particularly serious or where the offender has previously committed similar offences in the past. A civil penalty of up to £30,000 can be imposed where a serious offence has been committed, or where the Council decide that a significant financial penalty (or penalties if there have been several breaches) rather than prosecution, is the most appropriate and effective course of action. A minimum starting level for fines has been set .

3.2 Civil penalties will not be publicised in the public arena, unlike prosecution. Therefore, it is unlikely that civil penalties will offer a deterrent from peers or members of the public. However, they will offer a financial deterrent. Therefore deriding the landlord of any financial gain by not undertaking works required.

3.3 The final decision to use civil penalty powers or to seek prosecution will be made by the Service Director Stronger, Safer and Healthier Communities be authorised to implement the policy and to undertake relevant enforcement under it, including the issuing and enforcement of Civil Penalty Notices in conjunction with Legal services after reviewing the evidence presented.

3.4 Each case will be considered on a case by case basis, by determining the following:

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<sup>1</sup> Landlord refers to anyone who has financial control of the property or is responsible to undertake repairs and ensure the health, safety and welfare of the occupants in accordance with the HHSRS.

- Severity of the offence - is prosecution a better option based on the significance of the offence and the harm impact upon the tenants?
- The type of property and the types and numbers of occupiers affected.

*See appendix 1 for lists of vulnerable people and section 8.0 for guidance relating to the levels of fines set and the rationale and methodology for those fines. This is a baseline guide and each case should be considered individually with a rationale for implementation.*

#### **4.0 Burden of proof.**

4.1 The same criminal standard of proof is required for a civil penalty as for prosecution. Therefore, prior to formal action, the Council must satisfy itself that if pursued, an appeal made by the appellant to the First Tier tribunal against the civil penalty, the Council could demonstrate beyond a reasonable doubt that the offence had been committed.

#### **5.0 Outline procedure to impose a Civil Penalty.**

5.1 The procedure is followed in accordance with Schedule 13A of the Housing Act 2004. The Council must give the person a notice of its proposal ('notice of intent') to impose a financial penalty:

- The notice must set out:
  - The reasons for proposing to impose the penalty;
  - The amount of the proposed financial penalty; and
  - Information about the right of the landlord to make representations.

5.2 The notice of intent must be given no later than 6 months after the local housing authority has sufficient evidence of the conduct to which the penalty relates, or at any time when the conduct is continuing.

5.3 A person who is given a notice of intent may make written representation to the Council about their intention to impose a financial penalty. This must be made within 28 days from when the notice was given. After the 28 day period of representation, the council must decide whether to impose the financial penalty and, if so, the amount of the penalty. It must therefore give the person a notice ('final notice') requiring the penalty to be paid within 28 days.

5.4 The final notice must set out:

- The amount of financial penalty;
- The reasons for imposing the penalty;
- Information about how to pay the penalty;
- The period for payment of the penalty (28 days)
- Information regarding the rights of appeal; and
- The consequences of failure to comply with the notice.

## **6.0 Right of Appeal**

6.1 The person served with the notice has the right to appeal to the First Tier Property Tribunal against:

- ° The decision to impose a penalty; or
- ° The amount of the penalty.

6.2 If a person appeals, the final notice is suspended until the appeal is determined or withdrawn.

6.3 An appeal will involve a re-hearing of the local housing authority's decision to impose a civil penalty. It may also have regard to matters of which the local housing authority was unaware when the decision to impose a civil penalty was made.

6.4 The First-tier Tribunal has the power to confirm, vary (increase or reduce) the size of the civil penalty imposed by the local housing authority, or to cancel the civil penalty. If the First-tier Tribunal decides to increase the penalty, it may only do so up to a maximum of £30,000. It further has the power to dismiss an appeal if it is satisfied that the appeal is frivolous, vexatious or an abuse of process, or has no reasonable prospect of success.

## **7.0 Enforcement or other consequences.**

7.1 Where a landlord or agent fails to pay a civil penalty, the council should refer the case to the county court for an order of that court. If necessary the council should use county court bailiffs to enforce the order and recover the debt.

7.2 The Councils powers to carry out works in default under the Housing Act 2004 are unaffected by the civil penalty provisions. This should be pursued in accordance with the enforcement tools available and register the debt as a local land charge, under the specific Act.

7.3 If a landlord receives a civil penalty, this can be taken into account when considering fit and proper person status to be licenced for a HMO or another other property which requires a licence.

7.4 Where a landlord receives 2 or more civil penalties over a period of 12 months, the Council will include that persons details on the government database of rogue landlords and property agents.

## **8.0 Setting the Civil Penalty**

8.1 High level of culpability: A person is deemed to be highly culpable where the council is satisfied that the landlord intentionally or recklessly breached or wilfully disregarded the law. Factors that may lead to the conclusion include the following.

- A history of non-compliance.
- Severity of the offence
- Conduct/ obstructive as part of the investigation.
- Deliberate/ intentional breach or flagrant disregard for the law.
- Are they an experienced landlord / agent with a portfolio of properties who would be expected to know or have failed to fully comply with all scheduled items or their responsibilities.
- Serious and/or systematic failure to comply with their legal duties.

8.2 Medium Level of culpability: Where a landlord commits an offence through an act or omission which we consider a person exercising reasonable care would not commit. Factors which may lead to that conclusion are as follows:

- First offence – with no high level culpability criteria being met
- Landlord / agent had systems in place to manage risk or comply with their legal duties but they were not sufficient or complied with on this occasion.

8.3 Low level of culpability: Where a person fails to comply, or commits an offence where;

- The breaches are minor
- The offence is an isolated occurrence
- A significant effort has been made to comply but was inadequate in achieving compliance E.g. some fault on the landlords part but there are other mitigating circumstances. For example: Obstruction by the tenant not allowing the contractors access or damage caused by tenant negligence.

## 9.00 Determining the level of fine in respect of the likelihood of Harm.

### **Category 1– High likelihood of Harm.**

- Serious and substantial effects of harm to individuals and having wide spread impact.
- High risk of an adverse effect on an individual/s – including where those persons are vulnerable. Examples of risks: electrical hazards, CO2, structural collapse, asbestos.

### **Category 2 – Medium likelihood of Harm.**

- Medium risk of an adverse effect on individual(s) [ Not amounting to a Category 1 Harm level ]
- The Council and /or legitimate landlords or agents substantially undermined by offenders activities .
- Where the Councils work as a regulator is inhibited by the offender.

- Consumer/ tenant is misled.

**Category 3 – Minor likelihood of Harm.**

- Low risk of injury or disease to the occupier resulting in treatment at the doctors. E.g. management issues which could lead to a risk to the occupier. Damp, mould and hygiene issues.

The table below gives the minimum starting points and maximum financial penalties for each harm category and level of culpability.

| Outline Definitions of Culpability.  | Range                     | Starting point | Min starting point (with mitigating circumstances) | Max financial penalty.                | Aggravating Factors.   |
|--|---------------------------|----------------|--|---------------------------------------|--|
| Breaches are minor; Significant effort made to comply; The offence is an isolated occurrence.  | <b>Low Culpability</b>    |                |  |                                       | <b>Previous convictions</b><br><b>Nature of offence</b><br><b>Time elapsed since previous conviction.</b><br><b>Motivated by financial gain.</b><br><b>Deliberate concealment</b><br><b>Wider community impact.</b><br><b>Record of proving sub-standard accommodation.</b><br><b>Record of poor management / not meeting legal standard.</b><br><b>Refusal of free advice.</b><br><b>Member of an accreditation scheme.</b> |
|  | Harm Cat 3                | £500           | £450   | £750                                  |  |
|  | Harm Cat 2                | £1,250         | £750   | £1,500                                |  |
|  | Harm Cat 1                | £2,500         | £1,500   | £4,000                                |  |
| A landlord exercising reasonable care would not commit such an offence; Had systems been in place but were not complied with; First offence.       | <b>Medium Culpability</b> |                |  |                                       |  |
|  | Harm Cat 3                | £1,500         | £1,000   | £2,500                                |  |
|  | Harm Cat 2                | £3,000         | £1,500   | £5,000                                |  |
|  | Harm Cat 1                | £5,500         | £4,000   | £9,000                                |  |
| Intentionally reckless; Conduct obstructive; Wilful disregard for the law; Symptomatic failure of their legal duties; A history of non-compliance. | <b>High Culpability</b>   |                |  |                                       |  |
|  | Harm Cat 3                | £6,000         | £5,000   | £7,500                                |  |
|  | Harm Cat 2                | £10,000        | £7,500   | £15,000                               |  |
|  | Harm Cat 1                | £15,000        | £10,500  | £28,000 (plus costs to a max of £30K) |  |

| Harm Cat 3  | Harm Cat 2   | Harm Cat 1  |
|---|--|---|
| Low risk of injury or disease to the occupier resulting in treatment at the doctor. Management issues which could lead to a risk to the occupier. E.g. Damp, Mould or hygiene issues. | Medium risk of an adverse impact on individuals not amounting to a Cat 1. The council and landlords/ agents substantially undermined by offenders activities; Or<br>Where the Councils work as a regulator is inhibited by the offender. | Serious and substantial effects of harm to individuals and having widespread impact.<br>High risk of an adverse effect on an individual(s) including where those persons are vulnerable |

To offer context to the charging structure. These can be adjusted upwards from the minimum within the culpability and the ranges of harms depending upon factual elements; For example: relevant recent convictions are likely to result in substantial upward adjustment.

### 9.1 Factors which increase seriousness

#### Statutory aggravating factors:

- Previous convictions having regard to
  - a) the nature of the offence to which the conviction relates and its relevance to the current offence;
  - and
  - b) the time that has elapsed since the conviction.



Other aggravating factors include:

- Motivated by financial gain.
- Deliberate concealment of illegal nature and activity.
- Established evidence of wider/community impact.
- Obstruction of justice
- Record of providing substandard accommodation.
- Record of poor management and not meeting legal requirements.
- Record of free advice and training.
- Member of an Accreditation scheme.

#### 9.2 Factors which reduce the seriousness or reflecting personal mitigation down to the minimum.

- No recent convictions or no relevant recent conditions
- Voluntary steps taken to remedy the problem.
- High level of cooperation with the investigation, beyond that which will always be expected.
- Good record of maintaining property
- Self-reporting, cooperation and acceptance of responsibility
- Good character and exemplary conduct.
- Mental disorder or learning disability, where linked to the commission of the offence.
- Serious medical conditions requiring urgent, intensive or long term treatment.
- Age and / lack of maturity where it affects the responsibility of the offender.
- Sole or primary carer for dependant relatives.

#### 9.3 General Principles and a Review of any financial penalty.

- Check whether the level of fine is proportionate to the overall means of the offender. The council may increase or reduce the proposed fine reached to more than the stated threshold set provided that..... Where multiple offences are being pursued. Consideration should be given to offences taken into account in totality.
- The fine should reflect the seriousness of the offence and the financial circumstances of the offender.
- The level of fine should reflect the level at which the offender fell below the required standard.
- It should not be cheaper to offend than to take the appropriate precautions.

The council has concluded that the cost of serving a Community Protection Notice. (CPN) is £100 (accurate as 18.06.2018). Therefore in setting a minimum penalty it should reflect other options available and court charges associated with non-compliance. This figure may be varied upwards from the minimum figure of £500 dependent upon how the case is conducted.

Any quantifiable economic benefits derived from the offence, including those through avoided costs of operating savings, should normally be added to the total financial penalty. The rationale for this is to

ensure that no financial gain should be made from the harm caused by the lack of conduct of the landlord. The council may draw upon information available from other enforcing authorities regarding general costs of operating within the law.

#### 10.0 Additional actions

In all cases the council may consider additional further action. This may include works in default, Interim Management Orders or Rent repayment orders. The Council cannot take a prosecution for the same conduct as is the subject of a financial penalty Notice. They must choose at the outset which route they follow. Eg prosecution or civil penalty.

#### 11.0 Recording the decision.

The officer making the decision shall be accountable to outline the rationale for imposing the penalty , giving reasons for coming to the amount of financial penalty which is to be imposed.

#### 12.0 Appendix 1 – Non exhaustive list of vulnerable people.

- Young adults and Children
- Disabled persons
- People on low income
- Persons with Drug and alcohol addiction.
- Victims of domestic abuse.
- Looked after children.
- People with complex health conditions
- People exploited where English is not their first language.
- Victims of sexual abuse and trafficking.
- Refugees/ asylum seekers
- People at risk of harassment or eviction.
- People at risk of Homelessness.

#### 12.1 Appendix 2 - Relevant offences (this list in non-exhaustive)

Offences under:

- The Public Health Act of 1936 and 1961
- The Building Act 1984
- The Environmental Protection Act 1990
- The Town and Country Planning Act 1990
- The Prevention of Damage by Pests Act 1949
- The Protection from Eviction Act 1977
- The Local Government ( Miscellaneous Provisions) Act of 1982 and 1976
- The Housing Act 2004
- The Local Government and Housing Act 1989.

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## BARNSLEY METROPOLITAN BOROUGH COUNCIL

This matter is a Key Decision within the Council's definition and has been included in the relevant Forward Plan

Report of the Executive Director  
Place

### **Approval to Re-procure Utilities Contracts (Gas, Electricity, Water & Wastewater and Associated Services)**

#### **1. Purpose of Report**

- 1.1 The Council has an ongoing and inevitable requirement for the supply of gas, electricity, water and wastewater. Expenditure for the 2018/2019 financial year is expected to be in the region of £6,500,000 (ex VAT). Final spend for the current financial year will not be known until June 2019 at the earliest due to the nature of the billing periods
- 1.2 This report seeks Cabinet approval to re-procure its current contracts for utilities through the use of a Public Buying Organisation (PBO), the Yorkshire Purchasing Organisation (YPO) framework agreements for the provision of gas, electricity, water and wastewater and associated services

#### **2. Recommendations**

- 2.1 **That Cabinet approve the intention to re-procure its current gas, electricity, water and wastewater and associated services using the Yorkshire Purchasing Organisation (YPO) framework agreements**

#### **3. Introduction**

- 3.1 The Council has an ongoing and inevitable requirement for the supply of gas, electricity, water and wastewater. Expenditure for the 2018/2019 financial year is expected to be in the region of £6,500,000 (ex VAT). Final spend for the current financial year will not be known until June 2019 at the earliest due to the nature of the billing periods
- 3.2 The size of the expenditure means that the Council must demonstrate an OJEU compliant competition process when identifying a supplier and awarding a contract to comply with the Public Contract Regulations
- 3.3 The Council also procures gas, electricity, water and wastewater and associated services on behalf of Berneslai Homes, local authority maintained schools, and some academies and voluntary aided schools and other third parties

- 3.4 Barnsley Metropolitan Borough Council is a founder member of a Public Buying Organisation (PBO), the Yorkshire Purchasing Organisation (YPO), and as a founder member benefits from a profit share dividend payment
- 3.5 The Council has used the YPO framework agreements to contract gas and electricity suppliers previously and has leveraged savings via this route to help to minimise the value of what is inevitable expenditure for these utilities
- 3.6 Current contracts procured using the YPO framework agreement are:
- Electricity – Supplier is Npower and contract is from April 2015 to March 2019
  - Gas – Supplier is Corona Energy and contract is from April 2017 to March 2021

The current contract in place for electricity requires renewal in the next 6 months

- 3.7 The deregulation of the water industry in the last 12 months presents an opportunity for the Council to look to go to the market for pricing and ensure a demonstration of best value via a competitive exercise

#### **4. Proposal and Justification**

- 4.1 YPO provides a compliant route to market for the provision of gas, electricity, water and wastewater and associated services through their framework agreements
- 4.2 Through the use of the YPO route to market the Council is able to combine our requirements with those of other member organisations so that we go to market with a larger overall contract value and are able to use our combined value commitment to leverage best value
- 4.3 YPO conduct a competition on behalf of all organisations signed up to participate to identify a preferred supplier
- 4.4 The YPO tender process also evaluates the quality of the supplier's tender submission and they are able to provide expertise in this evaluation process
- 4.5 The quality of the service we receive from suppliers is very important, a good quality provider allows us to manage our energy and water contracts with the minimum of resource
- 4.6 The Framework Agreement then offers a standard form of contract for the Council to execute with the appointed provider to ensure robust terms and conditions linked to industry standards and requirements
- 4.6 The use of the YPO framework agreement, as well as ensuring compliance, provides assurance of value for money in the following ways:
- Economy of Scale; going to market for a larger volume gives us access to the lowest possible rates
  - Competition; YPO conduct a tender process on our behalf

- Profit Share; as a founder member of the YPO we benefit from a profit share and have an interest in the continued success of the organisation

4.7 There is no charge to the Council for the use of the Framework Agreements

## **5. Consideration of Alternative Approaches**

5.1 Other PBOs offer a compliant route to market using the same framework agreement approach and the Council could access these. However, these framework agreements would incur a cost to use as we are not a member of other PBOs, and we would not benefit from a profit share dividend from them

5.2 The Council could conduct its own tender process to identify a supplier for each utility. However, this option would require considerable officer resource, time and cost to facilitate this process and we would not be able to leverage the value of the commitment of other authority spend making the contract less attractive to suppliers. Also, the utilities markets are very complex and the Council does not have the internal expertise and experience in contracting directly for these

5.3 The Council could also look to trade directly for gas and electricity (YPO undertake in contract trading on our behalf to take advantage of market volatility to keep prices as low as possible). However this would require recruitment of a suitably qualified and experienced individual to support this process as this is not resource which is available in the current Energy Team structure.

## **6. Implications for Local People / Service Users**

6.1 Any savings realised through the procurement of gas, electricity, water and wastewater and associated services can be used in provision of front-line services with direct benefit to local people and service users.

## **7. Financial Implications**

7.1 Expenditure on gas, electricity, water and wastewater and associated services is considerable and therefore costs managed through a formal multi-year contract will allow continued visibility to allow accurate forecasting in this area of inevitable spend

7.2 Current gas contract costs per annum are approximately £1.2 million broken down as follows:

- Core Council                      £557,230.67
- Berneslai Homes                £195,628.59
- Schools                              £360,256.07
- Third parties                      £33,848.82

7.3 Current electricity costs per annum are approximately £4.5 million broken down as follows:

- Core Council                      £3,759,783.10

- Berneslai Homes £44,825.13
- Schools £665,737.17
- Third parties £41,567.54

7.4 Current water and wastewater costs per annum are approximately £0.6 million broken down as follows:

- Core Council £443,829.54
- Berneslai Homes £44,825.13
- Schools £145,081.34
- Third parties £2,855.27

7.5 Energy prices are typically volatile, being linked to weather conditions, supply chain issues, storage issues, and national and international government policy so contracts for all utilities will mitigate the impact of these potential market changes

7.6 Efficient procurement of gas, electricity, water and wastewater and associated services is just part of the solution. With contracts in place the Council also need to carefully manage the usage of energy and water in our buildings and operations to ensure any expenditure is necessary and unavoidable

## 8. **Employee Implications**

8.1 1.5 FTE are engaged with the direct management of the relationship with our energy and water providers, there is potential for disruption to processes when appointing new providers

8.2 Re-procuring these contracts is not expected to impact these employees in their roles

## 9. **Communications Implications**

9.1 The Council also procure on behalf of Berneslai Homes; local authority maintained schools, and a number of academies and voluntary aided schools and third parties

9.2 It is necessary whenever contracts need to be renewed to communicate details to all parties procuring through the Council's corporate portfolio so they are aware of the appointed suppliers, the expected costs and the contract duration

## 10. **Consultations**

10.1 A list of stakeholders consulted during the preparation of this report includes:

Core Services - Procurement  
 Core Services - Finance  
 Berneslai Homes

## 11. **The Corporate Plan and the Council's Performance Management Framework**

11.1 The contracts implemented will ensure the Council has robust and sufficient data in terms of utility spend to inform performance returns for government



**12. Risk Management Issues**


- 12.1 There is a risk that not implementing new contracts for utilities could result in the Council operating without the protection of a formal agreement with its suppliers and being subject to out of contract rates which are typically much higher than contract rates
- 12.2 There is a risk that continuing to purchase our utilities via existing contracts which have not been re-procured via competition could introduce a risk of challenge from other suppliers in the market
- 12.3 There is a risk that continuation with our existing suppliers without competition could result in uncontrolled price changes being enforced on the Council which could result in increased costs and uncertainty and inability to forecast

**13. Glossary**

- 13.1 None applicable

**14. Background Papers**

- 15.1 Correspondence regarding this matter is held on the files in Asset Management – not available for inspection contains exempt information

|  |
|--|
| Financial Implications/  |
|                                 |
| Consultation<br>.....<br><i>(to be signed by senior Financial Services Officer where no financial implications</i> |

**Office Contact: Tim Hartley**

**Date: 22 February 2019**

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## BARNSELY METROPOLITAN BOROUGH COUNCIL

This matter is not a Key Decision within the Council's definition and has not been included in the relevant Forward Plan.

REPORT OF THE DIRECTOR OF CORE SERVICES  
TO CABINET ON 6<sup>th</sup> March 2019

### CORPORATE PLAN PERFORMANCE REPORT QUARTER 3 OCTOBER TO DECEMBER 2018

#### 1. PURPOSE OF REPORT

- 1.1 The purpose of this report is to introduce and provide an overview of the council's latest Corporate Plan Performance Report, drawing upon information available for Quarter 3 (Q3), and illustrate progress achieved in delivering the priorities and outcomes of the Corporate Plan 2017-2020.

#### 2. RECOMMENDATIONS

It is recommended that:

- 2.1 **Cabinet review, challenge and scrutinise the contents of the report in relation to the delivery of the Corporate Plan priorities and outcomes.**
- 2.2 **Cabinet note that there are no suggested areas for improvement or achievement for follow up at the end of Q3. Initiatives are already in progress to address areas of concern.**
- 2.3 **Note the inclusion of the Stronger Communities quarterly narrative report which details the contribution of Area Council's and Ward Alliances to the Corporate Plan priorities and outcomes.**
- 2.4 **This report is shared with the Overview and Scrutiny Committee to inform and support their ongoing work programme.**

#### 3. INTRODUCTION/BACKGROUND

- 3.1 The Corporate Plan contains three priorities, supported by 12 outcomes. These are reflected in the 2020 Outcomes Framework and outline what the council has committed to undertake in order to deliver the priorities. It is also recognised that the council is not solely accountable for delivering these outcomes, as it works in partnership with other organisations.
- 3.2 The framework identifies what the council is seeking to achieve for the people of Barnsley, as defined in our key strategies and plans, and a series of objectives which focus on specific areas of service delivery and support for the borough and its residents. Progress against the 2020 Outcomes Framework will be managed and communicated through the Corporate Performance Report indicators and narrative.

#### 4. Corporate Plan Scorecard



|   |   |   |
|---|---|---|
| 1. Create more and better jobs and good business growth | 6. Every child attends a good school and is successful in learning and work | 10. People volunteering and contributing towards stronger communities |
| 2. Increase skills to get more people working           | 7. Reducing demand through improving access to early help                   | 11. Protecting the borough for future generations                     |
| 3. Develop a vibrant town centre                        | 8. Children and adults are safe from harm                                   | 12. Customers can contact us easily and use more services online      |
| 4. Strengthen our visitor economy                       | 9. People are healthier, happier, independent and active                    |   |
| 5. Create more and better housing                       |   |   |

**Key** – The ratings are based upon the performance indicators that relate to each Corporate Plan outcome and 2020 Outcome Framework achievement to provide a rounded picture of performance, including financial performance.

- R** Performance against majority of indicators is below target for this point of the year
- A** Performance is mixed, some indicators will be on track to achieve targets and others will require improvement to achieve targets
- G** Performance against majority of indicators is in line with targets for this point of the year

#### 5. Progress against Priorities and Performance Measures

5.1 This section provides a headline overview of the Q3 position for each priority area, based on the data and narrative provided in the performance report. The Q3 Corporate Performance data table can be accessed via this link:  
<https://app.powerbi.com/view?r=eyJrIjojODk5ODQwYTUyYjE3ZC00YjBkLWJjYzAtMDc3YTE2M2FkMzAzliwidCI6ImJhNmEyNDcxLTMzNDAtNDMxNC1hOTY5LTQ4ZDhjZGM0YzRmOCIsImMiOiJh9>

##### Changes in RAG Ratings for Q3

One outcome has changed from amber in Q2 to green in Q3.

**Outcome 8 – Children and adults are safe from harm.** The proportion of children in care in family fostering placements (PE95) has improved from amber to green, as has the proportion of Safer Neighbourhood Service demand dealt with using informal intervention (PE96). The proportion of children’s social care assessments completed within 20 days (PE94) has improved from red to amber. Positive annual data has been released in Q3 for: the proportion of people using adult social care services who say those services made them feel safe and secure (PE87 – green); and the age standardised mortality rate for suicide (PE68 – green). The volume of anti-social behaviour incidents dealt with (PE27) declined from green to amber. In addition, repeat referrals to children’s social care (PE84) declined from amber to red. Finally, annual data on adoption timeliness (PE33) showed improvement but our target was not met and is rated red.

## 5.2 **Area Council and Ward Alliance Contribution to Corporate Priorities**

For some time we have considered how we ensure that the contributions from the work of Area Councils and Ward Alliances can be factored into the corporate performance report. We have included in this report pack the Stronger Communities quarterly narrative report which describes how their work aligns to the corporate priorities.

### **Priority: Thriving and Vibrant Economy**

- 5.3 We have developed a long-term plan to grow the economy for the borough. Working with the private sector, supporting them to create better conditions and infrastructure, helping to safeguard existing jobs and businesses and stimulate the growth of more and better jobs and homes. We want to make sure there are more job opportunities for Barnsley residents to help the local economy, provide positive role models for young people, and reduce the extent of worklessness and poverty across the borough.

#### **Examples of performance trends and achievements**

- 255 businesses were supported to grow since April, which exceeds our annual target.
- 34 companies have chosen to locate their business in Barnsley since April 2018.
- The Adult Skills and Community Learning Service has now been rated 'Good' by Ofsted.
- Employment opportunities for those with learning disabilities maintained at 3.2%.
- 116 apprenticeships started with the council and our maintained schools between April and December 2018. This equates to 2.16% of our workforce. We are now on track to achieve the government target of 2.3% by 31st March.
- The number of dispersal instructions issued in the town centre Public Spaces Protection Order (PSPO) area rose to 10 in Q3, but remains well below our target. This is due to proactive policing and improved partnership working. There were 0 repeat instructions in Q3.
- Over 960,000 people have visited our attractions since April 2018, contributing an estimated £20.13 million to the local economy.
- 96.1% of housing stock meets Barnsley Decent Homes Standard.
- Berneslai Homes average property void time was 18.4 days in Q3.
- Berneslai Homes rental collection rate was 97.3% in Q3.
- By the end of Q3, 840 homes had been built in Barnsley, which means we have already achieved 94% of our annual target.
- Our work with property owners and partners has returned 171 empty properties back to use since April 2018. Our annual target of 93 has therefore been significantly exceeded.

#### **Areas for Improvement**

- Our work with the private sector has created 906 jobs for the borough in the last nine months, this is 67% of the 1,350 jobs we are aiming for by the end of the year.
- 59.6% of care leavers were in education, training or employment at the end of Q3. Whilst this is a decrease from the previous period, our performance remains above national, regional and statistical comparators.

### **Priority: People Achieving Their Potential**

- 5.4 It is important for the future of the borough that we help children, young people and families to achieve their potential and have the right skills and qualifications to access better education, employment or training. We also want to encourage young people to make a positive contribution in their communities. We have a crucial role in protecting and safeguarding the most vulnerable and at risk of harm. We will continue to challenge and raise our standards whilst looking at how we can manage and reduce demand for our services more effectively. For people to achieve their potential we need to create a healthier, happier, independent and more active population.

#### **Examples of performance trends and achievements**

- Final Key Stage 2 results for Barnsley pupils reaching expected standard in English, writing and mathematics improved to 65%, from 63.9% reported earlier this year.

- 50% of disadvantaged pupils in Barnsley achieved the expected standard at KS2, narrowing the gap to the national average for non-disadvantaged pupils.
- 97% of Barnsley's early years and childcare settings are rated good or outstanding by Ofsted, this is above national and regional comparators.
- In Q3, 237 claims were made to the Ministry of Housing, Communities and Local Government for families on this programme who have made 'Significant and Sustained Improvement'. This year, the total claims are 373 against the annual target of 150.
- The proportion of adult social care clients in receipt of direct payments increased to 51.4% in Q3. In comparison, the average for our statistical neighbours in 2017/18 was just 28.1%.
- 63.2% of people accessing reablement in Q3 completed it with no long term needs. This brings year to date performance to 55.7%.
- The proportion of children subject to a child protection plan for a second time fell to 6% in Q3, on track to achieve our target of 10% or less.
- 81.4% of children were placed in family fostering placements in Q3; an improvement from Q2 and on track to achieve our target if performance improves again in Q4.
- 33.2% of Safer Neighbourhood Service cases dealt with using informal early intervention.
- We have 100% positive victim focused customer feedback received in relation to Anti-Social Behaviour (ASB).
- 266 people aged 65+ have been permanently admitted to residential and nursing care this financial year, a reduction of 18% on this time last year. 13 adults aged between 18 and 64 have been admitted by the end of Q3, a 43% reduction on last year.
- 94.8% of people who access services said those services helped them to feel safe and secure in 2017/18. This places Barnsley as the third best performing area nationally.
- 6.1% of the smoking population are currently undergoing treatment to stop smoking. Our target is 4%. 63% of smokers receiving treatment with a 'quit date' quit within 4 weeks. Our target is 55%.
- Men, at birth, in Barnsley could expect to live 59.7 years in "good" health. The gap for men between Barnsley and England has decreased by 1.8 years between 2009-2011 and 2015-2017. This is an improvement; however, we still have a long way to go to fully close the gap.
- Women, at birth, in Barnsley could expect to live 61 years in "good" health. The gap for women between Barnsley and England has decreased by 3.6 years between 2009-2011 and 2015-2017. As with the performance for the male healthy life expectancy it continues to be positive but with significant work still to do.
- The Age standardised mortality rate for suicide and injury of undetermined intent per 100,000 population – all persons – decreased in 2015-17; continuing the positive trend over the last three annual results.

#### **Areas for improvement**

- The proportion of pupils attending schools judged Good or Outstanding by Ofsted was 69.7% at the end of Q3.
- We completed 65.5% of Education, Health and Care plans within 20 weeks without exceptions in Q3, bringing our year to date total to 74.4%.
- The referral rate for children's social care fell for a second quarter to 111.4 per 10,000 under 18 year olds. Our year to date figure at the end of Q3 was 380 per 10,000.
- 20.9% of referrals in to Children's social Care in Q3 were repeat referrals, against our target of 17.9%
- It takes on average 438 days between children entering care to moving in with their adoptive families. This is an improvement on previous years, but above our target of 415 days.

#### **Priority: Strong and Resilient Communities**

- 5.5 We need to ensure better use of the physical assets, skills and knowledge that are in every community in Barnsley so that we can utilise these resources more efficiently. Working together with the community, customers and partners becomes more important as we try to reduce the dependency on council services by creating stronger communities and designing innovative and different services.

## **Examples of performance trends and achievements**

- 2,410 people volunteered in their communities, of which 491 were new volunteers, with a cashable value of volunteer hours of £290,563. The total number of people volunteering decreased in Q3, but is still within the expected range due to seasonal variations and has pushed the total number for the year well over the annual target of 7,000.
- 97.7% of household waste was diverted from landfill in Q3
- 56 properties benefitted from energy efficiency works during Q3, bringing the total so far to 149, which has exceeded our annual target.
- Nitrogen dioxide levels at our air quality monitoring station measured 33 microgrammes per cubic metre in Q3, well below our target of less than 40.
- We fixed 96% of signal faults (traffic lights) within 24 hours, and repaired 98% of category 1 pot holes within 24 hours.
- 63.6% of contacts with the council were made online already exceeding this year's target of 60%.
- Take up of superfast broadband was 47% in Q3, above our target of 20%. Coverage increased to 96.8%, but further improvement is needed if we are to achieve our target of 98.7%.

## **Areas for further improvement**

- By the end of Q3, there had been 2,515 reports of flytipping. We are therefore not expecting to achieve our target of 3,000 reports or fewer.
- The average duration for works on principal and major roads was 4.32 days, above our target of 4 days for the third quarter in a row.

## **6. Implications for Local People / Service Users**

- 6.1 The report includes a number of performance issues and implications for local people and service users across the three priorities set out in the Corporate Plan. In addition, the Strong and Resilient Communities section of the report includes specific indicators measuring levels of complaints and our responsiveness to them, and trends in how customers contact the council.

## **7. Financial Implications**

- 7.1 There are no direct financial implications arising from this report, however there are likely to be resource implications arising from any required improvement activity. The content of the performance report makes reference to the links between performance and the financial context of this performance, highlighting those areas where there is significant over or under spend compared to the budget, and the reason for these. More in depth information can be found in the Finance cabinet report being presented alongside this report.

## **8. Employee Implications**

- 8.1 All employees are key enablers in the delivery of the council's priorities and outcomes and contribute to this success through their daily activities.

## **9. Communications Implications**

- 9.1 The report has a number of potential communication implications both externally and internally.
- 9.2 The quarterly and year end narrative report documents are made available on the council's website, in line with transparency requirements for publication of information about the council's performance, along with a press release highlighting some headline points from the report.
- 9.3 To further enhance awareness of the work of the council, we promote a link to the Corporate Plan Performance Report on social media at various intervals via our Communications and Marketing team. Short animations which reflect our performance are being posted on social media.

9.4 The corporate hashtags are being used in order to streamline messages posted on social media to better communicate how the council is achieving the priorities. It will also enable us to monitor coverage by priority. Communications and Marketing will add these hashtags to any social media communications that relates to a priority outcome.

## **10. Consultations**

10.1 Consultations have taken place with a number of officers from all Directorates within the council who have contributed to the report and its content.

10.2 Consultation has also taken place with all members of the Senior Management Team who have collectively reviewed the report.

## **11. Risk Management Issues**

11.1 The report identifies a number of performance issues and risks as an underlying consideration throughout the report under each of the outcomes.

If you would like to inspect background papers for this report, please email [governance@barnsley.gov.uk](mailto:governance@barnsley.gov.uk) so that appropriate arrangements can be made.



OUR VISION  
WORKING TOGETHER FOR  
A BRIGHTER FUTURE  
A BETTER BARNSLEY

# Corporate Plan Performance Report

THRIVING &  
VIBRANT ECONOMY

PEOPLE ACHIEVING  
THEIR  
POTENTIAL

STRONG &  
RESILIENT COMMUNITIES



Quarter 3

October - December 2018

## Welcome to Our Corporate Plan Performance Report

The council's [Corporate Plan for 2017-20](#) sets out what we aim to achieve over the next three years to improve outcomes for our customers and the community. It explains what we want to do, how we plan to do it, and how we'll measure whether we're on track to achieve it. We feel that specific areas warrant greater attention, emphasis, and possibly resources, to influence other areas of activity and make the greatest impact overall, so this is where we'll focus our performance management and reporting arrangements to keep a closer eye on how well we're doing.

Our three main priorities are:



Each priority is broken down into outcomes, which are long term and sustainable benefits that support the overall success of the priority. For each outcome there are performance indicators (PIs) which are the activities that we measure to understand whether we're on track to achieve it.

This report provides an overview on how we are performing for the quarter. It should be read in partnership with the accompanying performance Data table (a link to which is available on the last page of this report).

Throughout the document you will see that some of the figures are coloured differently. This “RAG Rating” indicates how we are performing against our targets and is explained below, where figures are not coloured, there are no targets set but we still want to monitor our performance



*Performance is more than 10% below target for this point of the year*

*Performance has been satisfactory and within 10% of the target for this point of the year*

*Performance against indicator is in line with targets or better for this point of the year*

# Corporate Plan Score Card October – December 2018 (Quarter 3)



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|   |   |   |
|---|---|---|
| 1. Create more and better jobs and good business growth | 6. Every child attends a good school and is successful in learning and work | 10. People volunteering and contributing towards stronger communities |
| 2. Increase skills to get more people working           | 7. Reducing demand through improving access to early help                   | 11. Protecting the borough for future generations                     |
| 3. Develop a vibrant town centre                        | 8. Children and adults are safe from harm                                   | 12. Customers can contact us easily and use more services online      |
| 4. Strengthen our visitor economy                       | 9. People are healthier, happier, independent and active                    |   |
| 5. Create more and better housing                       |   |   |

The ratings are based upon the performance indicators that relate to each Corporate Plan outcome to provide a rounded picture of performance, including financial performance.

- R** Performance against majority of indicators is below target for this point of the year
- A** Performance is mixed, some indicators will be on track to achieve targets and others will require improvement to achieve targets
- G** Performance against majority of indicators is in line with targets for this point of the year

## Outcome 1 - Create more & better jobs & good business growth

We've helped **104** new businesses to start trading in the last nine months, which is equal to 72% of our annual target. **255** businesses were supported to grow since April which exceeds our annual target.

Our work with the private sector has created **906** jobs for the borough in the last nine months, this is just 67% of the 1,350 jobs we hope for by the end of the year.

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Since April 2018, **34** companies have chosen to relocate to Barnsley. The 11 companies we welcomed in Q3 created 63 new jobs and secured £3.1million of private sector investment for the area.

### Business Productivity and Inclusive Growth Programme



An application has been submitted to support a further Small Medium Enterprise growth enhancement programme. This Barnsley project will focus upon supporting companies to boost their productivity and champion inclusive growth principles by promoting supply chain development, supporting the delivery of jobs that pay above living wage and helping businesses to access local procurement channels.

### Internet of Things (IoT) Tribe North



We are investing in the second IoT Tribe North accelerator programme which will build on the 2018 activity and bring 10 innovative start-up businesses to the Digital Media Centre (DMC).

There will be a range of events where the start-ups will pitch their businesses. The 2018 programme saw nine start-ups from across the globe move to Barnsley for 12 weeks; one of the start-ups now has a local office and a live pilot with a regional firm and one has raised £250,000 from Innovate UK. A further start-up has located at the DMC as a result of the programme.

### Tech Revolution Transfer Network



Following our recognition as an area of good practice by EU programme URBACT in 2017, we have secured funding to lead a Transfer Network that will promote and share the good practice of Enterprising Barnsley and the DMC with partners from six EU cities through to December 2020.

The cities will attend a three day bootcamp in Barnsley in January 2019. The Tech Revolution Transfer Network will help Barnsley to maintain the successful TechTown local group which will be a stakeholder in the development of the Digital Campus plans.

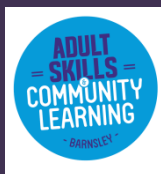


## Outcome 2 – Increase skills to get more people working

The percentage of care leavers who are in education, training or employment at the end of December is **59.6%**. Whilst this is a drop from the previous period, Barnsley remains above national, regional and statistical comparators. Actions to develop provision for this group have been incorporated into plans developed following our recent Ofsted Inspection.

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### Adult Skills and Community Learning Ofsted



The Adult Skills and Community Learning service are pleased to report a positive outcome following an Ofsted inspection in November.

Inspectors graded the service as 'good' in all five categories and recognised the significant progress it has made since the judgment of "Requires Improvement" received at its last inspection in December 2016. The inspection report highlights how the service is committed to supporting adults to gain the skills and experience they need to be successful and recognises the strong relationships the service has with local partners in helping learners into employment or further training.

### Apprenticeships

116 apprenticeships have started in Barnsley Council and maintained schools between April 2018 and Dec 2018. This equates to **2.16%** of our workforce. We are now on track to achieve the government target of 2.3% by 31<sup>st</sup> March.

### More and Better Jobs Employer Engagement Network



The network aims to maximise the impact of employer interventions and promote the Employer Promise; which encourages local businesses to provide opportunities for people to Get Ready for Work, Get in to Work and supports progression through work. Our More and Better Jobs taskforce have launched a dedicated website. <https://www.barnsley.gov.uk/services/business-information/employer-promise-for-more-and-better-jobs/>

### 2018/19 I Know I Can (IKIC) Barnsley Big Challenge



Teams in Primary and Secondary schools across Barnsley are setting up business for a competition that will see them; come up with an idea, market it, sell it and develop their venture, before hopefully making it through to a 'Dragons Den' style final to decide on the winner. The competition provides an opportunity for young people to experience what it is like to set up a business and to develop key skills which will be valuable to them in the future.

### Employment opportunities for those with learning disabilities maintained at **3.2%**.

Work has taken place to agree 14 job placements. A job matching panel, involving Mencap and key partners, is considering work ready candidates for these placements to ensure a good match. In the next quarter we expect the number of people in employment to rise. We are also working on volunteering placements that offer an opportunity to gain skills and take steps toward being work ready.

## Outcome 3 – Develop a vibrant town centre

### Barnsley Market

The new Market opened on 3 November and the event attracted **13,500** visitors. Footfall was 10% higher during the Christmas week than in the same week in 2017. The market Food Hall reported record levels of sales over Christmas. Veggie, our Market Mascot was unveiled at the opening event and has proved a real hit with the shoppers. Veggie will attend events across the borough to promote the markets.

Thanks to votes from the public, we have made the final 10 for the Britain's Favourite Market competition. Results will be announced early in 2019. Our partners, ShopAppy, have been promoting our click and collect scheme and the products available in the town centre.



### Barnsley Bright Nights

The Bright Nights event featured a digital projection onto our historic town hall that showcased Barnsley's past, present and future. The state-of-the-art projection wowed nearly 10,000 people over the four day festival. The light projections and installations in The Cooper Gallery, St Mary's Church and Mandela Gardens showcased more of our town centre and a light parade led by the Spark LED Drummers rounded off the festive extravaganza.

### Multi Agency Action Group (MAAG)

Monthly MAAG meetings with our partners and town centre businesses take place to help deal with specific or emerging problems. For example, the Severe Weather Emergency Provision was set up following the rough sleeper count in November and operation Dark Nights took place over October and November when incidents would normally be higher.

A number of events including pop up stalls featuring topics such as safeguarding and hate crime awareness have also taken place.

### Operation Duxford

Enquiries in to anti-social behaviour and traffic issues led to the police and trading standards, seizing a large quantity of counterfeit cigarettes from premises on Sheffield Road. A Barnsley man, who was fronting the illegal activity, has been jailed for 7 years.



The number of dispersal instructions issued in the Town Centre **Public Spaces Protection Order (PSPO)** area has risen

slightly this quarter to **10** but still well under the annual target due to proactive policing and better partnership working. There have been **0** repeat instructions in this period.

### Barnsley Remembers



A series of events were organised to commemorate the centenary of the end of the World War One (WW1).

The 1918 Great War Ends exhibition included lectures from a leading WW1 broadcaster offering a unique insight into conflict.

The last episode of Blackadder Goes Forth was shown in Council Chamber and an expert panel explored the role of satire in the cultural expression of war.

Visitors at Experience Barnsley made felt poppies for wreaths and these were presented at the Cenotaph by children descended from WW1 soldiers.

We ran Hear My Voice war poetry workshops and a pop-up museum in Mandela Gardens.

### BARNLSLEY MUSEUMS

- Visitors to Cannon Hall were 3% lower than the same period last year; however this is due to the Parks for People works limiting access to some areas and a particularly poor October. However, the Christmas offer was exceptionally good, resulting in an upturn in visitors in December.
- Visitors to the Cooper Gallery increased by 2% compared to the same period last year.
- Worsborough Mill has performed above expectations. with an 8% increase from the same period last year as a strong Christmas offer attracted local audiences.
- There was an 8% decrease in visitors to Elsecar Heritage Centre despite good attendance at the Elsecar by the Sea and Flavours Food Festival Events. The festive offer needs to improve in light of local competition from Wentworth Woodhouse and Wentworth Garden Centre.
- Experience Barnsley had fewer visitors in Q3 than the same period last year; this is in part due to our inability to attract the same numbers to the Bricks exhibition as to the hugely successful Egypt exhibition that was running at the same time last year.
- Our Archives continue to perform strongly and exceed all other Archive Services in South Yorkshire. The new café, which opens in February, will enhance the visitor offer at this site.

Over **935,000** people have visited our attractions since April 2018, contributing an estimated **£20.13 million** to the local economy



## Outcome 5 – Create more & better housing

**84**

affordable  
homes  
completed  
since April  
2018

**96.1%**

of housing stock  
meets Barnsley  
Decent Homes  
Standard

**20.1 days**

Berneslai Homes  
average property  
void time

**97.1%**

Berneslai Homes  
rental collection  
rate

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In the year to date **840** homes have been built in the borough which means 94% of our annual target has already been achieved.

The first three homes on our first flagship housing development, Blenheim View, on Longcar Lane, have been sold and the rest of the properties are reserved. We are hoping to start on site on a second scheme later in 2019.

### Empty Homes Returned to Use

Our work with property owners and partners has returned **171** empty properties back to use since April 2018. The success is a result of direct intervention, enforcement, advice and support. Our annual target of 93 has been significantly exceeded.

We are also supporting Thurnscoe Tenants Housing Association and Goldthorpe Big Local to bring four of their empty properties back into use as good quality, affordable housing.



## Outcome 6 – Every child attends a good school and is successful in learning & work

### Attainment at Key stage 2 and Key stage 4

Final KS2 results for pupils reaching expected standard in English, writing and mathematics improved to **65%**, from 63.9% reported earlier this year.

**50%** of disadvantaged pupils in Barnsley achieved the expected standard at KS2, narrowing the gap to the national average for non-disadvantaged pupils

Provisional data shows the gap between disadvantaged pupils in Barnsley and non-disadvantaged pupils nationally has widened. The average attainment 8 score for disadvantaged pupils was **33.7**, widening the gap by 3.2 points 2017/18

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### Ofsted Ratings – Education



**97%** of our early years and childcare settings received ratings of good or outstanding from Ofsted, this is above national and regional comparators. The proportion of pupils attending schools judged Good or Outstanding by Ofsted was **69.7%** at the end of December. 70 schools are now rated good or outstanding, an increase of two. The changes relate to improved ratings for primary schools.

### Education, Health and Care Plans

**65.5%** of plans were completed within 20 weeks without exceptions in Q3, bringing the year to date total to **74.4%**

### Barnsley's young people give their all in the Takeover Challenge



The challenge took place on Friday, 23 November, when we opened our doors to children and young people and put them in to real-life roles and decision-making positions.

This gave them valuable experience of a workplace and we benefited from a fresh perspective on our work.

The day saw children and young people across Barnsley experiencing a variety of roles including working alongside the police, on Barnsley Hospital's children's ward, in animal care and in the council's legal services, IT support and building control departments.

Tyler Littlewood, 14, who attends Horizon Community College, spent the day with Barnsley Council's legal services team. He said: "I learnt about how the law applies to various sectors at the council. It's something I'd be interested in pursuing as a career and I've been offered the opportunity to return in the Easter holidays for more work experience."

## Outcome 7 – Reducing demand through improving access to early help

### Investing in our children and their families helps keep them out of the criminal justice system

The most recent data published (relating to June 2017 to July 2018) shows a slight increase in the rate of first time entrants to the youth justice system (aged 10 to 17), but we are still on track to achieve our target.

Our Early Intervention and Prevention team works with young people who are referred by the police to assess their suitability for a diversion intervention as an alternative to court action. We work with the young person and their family to ensure the right support is put in place to prevent getting into trouble with the police again.

Examples of interventions include: **Victims and Consequences work**, handling conflict, peer pressure, supporting parents, ensuring attendance at school or college/training. The **Youth Caution** is for serious first offences or if the young person has previously had an intervention and re-offended.

**Youth Conditional Caution** is an agreed plan of work lasting up to three months. This is an enforceable intervention where the young person has to sign and agree to the recommended conditions, for example non association or curfews. This is for more serious offences or if there is a higher risk of re-offending.



### Troubled Families Programme

In Q3 **237** claims were made to the Ministry of Housing, Communities and Local Government for families on this programme who have made 'Significant and Sustained Improvement'. This year the total claims are **373** against the annual target of 150.

### Direct Payments

The proportion of adult social care clients in receipt of direct payments increased to **51.4%** in Q3. In comparison, the average for our statistical neighbours in 2017/18 was just 28.1%

### Referral rate in to Children's Social Care

The referral rate for children's social care fell for a second quarter to **111.4** per 10,000 under 18 year olds. Our year to date figure at the end of Q3 was **380** per 10,000.

### Reablement

**63.2%** of people accessing reablement in Q3 completed it with no long term needs. This brings year to date performance to 55.7%

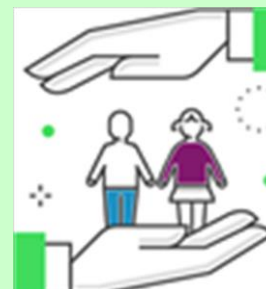
## Outcome 8 – Children & adults are safe from harm

### Children’s Services welcome “Good” rating from Ofsted



The latest Children’s Social Care Services Ofsted inspection concluded that services for children in Barnsley are Good. This is thanks to effective and principled leadership and a skilled and motivated workforce who deliver good quality services to children and families across the borough.

Leadership, the experiences and progress of children who need help and protection and the experiences and progress of children in care and care leavers were all judged to be Good, as well as the overall effectiveness of services. The report highlights the fact that children are at the heart of strategic thinking, decision making, and operational practice.



The focus on improving outcomes for children is shared across the partnership and underpinned by political commitment, financial investment and a self-evaluation that shows that leaders know their services well.

### Children in care and care leavers celebrated

Young people from across Barnsley celebrated at this year’s Children in Care and Care Leavers Celebration Event held in November. The event recognised personal achievement and helps to raise young people’s aspirations.

227 nominations for young people were submitted from workers, foster carers, residential staff, and independent reviewing officers.

**17.9%** of referrals in to Children’s social Care in Q3 were repeat referrals against our target of 17.9%

**6%** of children were subject to a child protection plan for a second time in Q3, this is better than Q2.

**81.4%** of children were placed in family fostering placements in Q3; which is a significant improvement from Q2.

It takes on average **438** days between children entering care to moving in with their adoptive families, which is more than our target of 415.

**33.2%** of Safer Neighbourhood Service cases dealt with using informal early intervention.

We have **100%** positive victim focused customer feedback received in relation to Anti-Social Behaviour (ASB).

**266** people aged 65+ have been permanently admitted to residential and nursing care this financial year.

There has been a **43%** reduction in people aged between 18 and 64 being permanently admitted to residential and nursing care this year.

In 2017/18, **94.8%** of people who access services said those services helped them to feel safe and secure. This places Barnsley as the third best performing area nationally.

## Outcome 9 – People are healthier, happier, independent and active

### Healthy life expectancy at birth

Men, at birth, in Barnsley could expect to live 59.7 years in “good” health This is 3.7 years **less** than men in England overall but an **increase** of 2.1 years from the 2012-2014 rate for Barnsley. The regional rate has increased by 0.4 years and the national rate has remained static. The gap for males between Barnsley and England has **decreased** by 1.8 years during the period 2009-2011 to 2015-2017. Barnsley’s 2015-2017 rate is **higher** than the rates in Rotherham and Wakefield.

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Women, at birth, in Barnsley could expect to live 61.0 years in “good” health This is 2.8 years **less** than women in England overall, and an **increase** of 4.6 years from the 2012-2014 rate.

Regional and national rates have decreased by 0.3 and 0.1 years respectively. The gap women between Barnsley and England has **decreased** by 3.6 years during the period 2009-2011 to 2015-2017. Barnsley’s 2015-2017 rate is **higher** than Sheffield, Rotherham and Wakefield.

- **6.1%** of the smoking population are currently undergoing treatment to stop smoking. Our target is 4%
- **63%** of smokers receiving treatment with a 'quit date' quit within 4 weeks. The target is 55%



### Suicide Rate

Age standardised mortality rate for suicide and injury of undetermined intent per 100,000 population – all persons. The rate in 2014-16 of 10.8 has decreased a little to **10.1** for 2015-17; whilst not a significant improvement, the trend over the last three annual results has been positive.



### Men's Mental Health Event

In the light of statistics showing that men are three times more likely than women to take their own life, the public health nursing team organised an event at Barnsley Football Club to provide information and support around men's mental health. Following a successful social media campaign, men of all ages attended the event itself, and shared their own experiences and concerns, as well as those affecting friends and family members.

Topics discussed included: recognising signs and symptoms; barriers relating to referrals and accessing support; the need for better acknowledgement of men's mental health as an important issue; and the importance of further promotion to increase awareness.

Positive feedback was received about the event, with many men engaging in conversations about the issues and receiving information about support services.

## Outcome 10 – People volunteering and contributing towards stronger communities

**2,410** people volunteered in their communities, of which **491** were new volunteers.

**£290,563** cashable value equivalent of volunteer hours in Q3. This figure continues to increase quarter by quarter, which shows that on average each volunteer is contributing more hours than previously.

The annual target for this year has already been exceeded by nearly £250,000.

### Love Where You Live - numbers of people engaged in volunteering in communities

This figure has declined slightly since Q2 but is still within the expected range as a result of seasonal fluctuations. Cumulative volunteer numbers at the end of Q3 are already above the annual target.

### Number of new volunteers

There has been another rise in new volunteers again, partly because of the Christmas events which often involve new and different volunteers. The cumulative figures for Q1-3 are now only 49 volunteers short of the year-end target of 1,500.

### Dearne Area Team and Railway Embankment Group

The embankment group was developed a couple of year ago with the main purpose of turning a disused railway site, which had suffered from years of fly-tipping, into a place for the community to enjoy.

The Dearne Area Team has coordinated the project sourcing funding, local knowledge and encouraging participation from a wide variety of organisations and volunteers in a great example of partnership working. The project has involved Goldthorpe Primary School, Dearne Valley Landscape Partnership, Sheffield University, Henry Boot, local groups and residents, and the Local Environment Service and Housing Officer. Elected Members have also been involved in each of the clear-ups.

The project has been successful in reducing fly-tipping, creating a beautiful space for all the community to enjoy and bringing people together. One thing learnt from this project is that the more partners that are involved, the more successful it will become. The group are still clearing the area and plan to do more planting early in the year which will enable the group to have an open day in the summer. They also hope to recruit more local volunteers in order to for them to become key holders on the site.



## Outcome 11 – Protecting our borough for future generations

The average duration for works on principal and major roads was **4.32** days.

The works with the longest durations relate to multi-utility works for housing development on High Street, Royston, Northern Powergrid laying cable on Barugh Green Road and our own excavation works on Church Street.

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funding bid for £21,500 has been submitted to the East Peak Innovation Partnership to improve the Folly Lane section of the Trans Pennine Trail.

**97.7%** of household waste was diverted from landfill in Q3

### Fly tipping

Last year we significantly reduced our target for the number of reported fly tipping incidents from 3,600 to less than 3,000. As a result of Dumpit and Scarper campaign and work undertaken by our enforcement teams, the number of reports of fly tipping on council land have reduced in comparison with previous years and the national picture.

So far this year there have been **2,515** reports which may make achieving our ambitious target difficult based upon past performance trends.

**DUMPIT & SCARPER**

### Better Homes Barnsley

A further **56** properties have benefitted from energy efficiency works during Q3, bringing the total so far to **149**, which has exceeded the annual target. This has been aided by additional Energy Company Obligation (ECO) funding being secured leading to 70 properties benefitting from free cavity wall or loft insulation during Q3. This offer will be further extended during Q4.

The scheme continues to be promoted through events, social media and training of front line staff on fuel poverty awareness. We have secured a contractor to deliver underfloor insulation which will commence being rolled out in Q4. Access to N-Power's Health Through Warmth funding to support heating repairs and replacements should also be in place for Q4.

Air quality nitrogen dioxide levels (microgrammes per cubic metre) were measured at **33** in Q3, well below the annual target of 40.

**96%** of signal faults (traffic lights) fixed within 24 hours

**98%** of category 1 pot holes were repaired within 24 hours

## Outcome 12 – Customers can contact us easily and use more services online

### Digital Champions

The council's Digital Champions continue to run regular sessions in community venues such as libraries or job centres, to help people gain the skills and confidence to access services and information online.

**1,080** People, **198** sessions,  
**634** hours training

Attendees by session type Q3



**47%** take up of superfast broadband  
**96.8%** coverage of superfast broadband  
across South Yorkshire



### Local Digital Declaration

We've made a commitment to the Local Digital Declaration and its five principles. Through our Digital First programme we will build better digital services for our residents. Find out more here: <https://localdigital.gov.uk/declaration/>

### Pin on a Map Technology

By introducing 'pin on a map' functionality, we've made it easier to report fly tipping online. The new feature also helps us to track data and set up CCTV to cover hot spot areas.

<https://wwwapplications.barnsley.gov.uk/RoadsMVC/ReportFlyTipping/LocateFlytipping>



### GovMetric Ratings Q3

Govmetric measures customer satisfaction and gathers informal customer feedback which can be used to inform service improvement and deliver customer excellence.

**Overall Good Rating = 56.4%**

Face to Face = 100%  
Web = 30.2%  
E-forms = 69.3%



# ONE COUNCIL

Our “One Council” Priority includes the things that we want to achieve to ensure that we are running our council as efficiently as we can, enabling us to provide the best possible outcomes for our district and its residents.

## Achieve it

Helping you realise your potential

## Develop it

Helping businesses to thrive

## Live it

Looking after yourself and others

## Protect it

Protecting our wonderful borough

## Imagine it

Creating a brighter future

## Engage it

Having your say on things that matter



## Customer Service Excellence - Planning and Building Control Service



Planning and Building Control have successfully retained the Customer Services Excellence accreditation following an external assessment last month. Not only have the service areas retained the accreditation, but were awarded the ‘Compliance Plus’ standard.

This demonstrates the services’ excellence in corporate commitment to putting the customer at the heart of service delivery, protecting customers’ privacy, individual and team commitment, improvement in the range, content and quality of information, evaluating how customers interact with the organisation and using this information to identify service improvements, and partnership working to offer and supply coordinated services which benefit customers.

## Spotlight

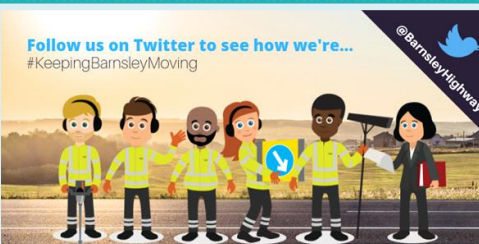
Our fantastic new [Spotlight on Digital](#) site is now live. The site provides a range of videos on different digital skills that can help you in work and at home, supporting our overall Digital First programme.

The site is still under development, but there are already some great videos, providing easy tutorials, tips and advice. Check these out under the ‘What Can I Learn?’ section.

## Digital First at Smithies!

Six employees from Depot Services and Highways have completed a 12 week accredited IT course delivered by Adult Skills. The course started in Sept. 2018 and employees attended half a day per week.

*“I enjoyed every moment”, “learnt a lot, so well worth attending”, “the tutor made it interesting”, “would definitely recommend it to others”.*



## Highways Twitter sets off on a new journey

## Compliments linked to our values in quarter 3







## Finance Data - Spend Per Outcome

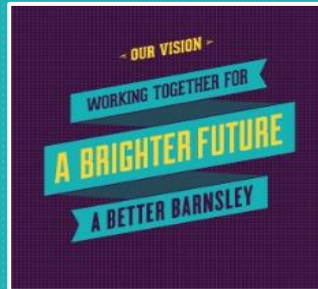
| Outcome    | Budget     | Out-turn   | Variance    | % variance | Commentary   |
|------------|------------|------------|-------------|------------|--|
| Outcome 1  | 1,472,565  | 1,540,960  | 68,395      | 5%         | Reduction in Planning fee income   |
| Outcome 2  | 1,329,673  | 1,332,235  | 2,561       | 0%         | Balanced position as per Q3  |
| Outcome 3  | 682,754    | 665,773    | (16,981)    | -2%        |  |
| Outcome 4  | 857,777    | 829,243    | (28,534)    | -3%        | Commercial Income Shortfall, partly offset by staff savings                            |
| Outcome 5  | 1,264,344  | 1,052,197  | (212,148)   | -17%       | Staff Savings in Planning & Building Control Support                                   |
| Outcome 6  | 3,958,481  | 4,540,485  | 582,003     | 15%        | Increased requirement for Home to School Transport                                     |
| Outcome 7  | 6,527,193  | 6,413,734  | (113,458)   | -2%        | Vacancies  |
| Outcome 8  | 72,620,916 | 70,589,914 | (2,031,001) | -3%        | Vacancy savings, combined with realignment of services and increased income            |
| Outcome 9  | 3,569,555  | 3,516,634  | (52,922)    | -1%        | Vacancies in Parks Services  |
| Outcome 10 | 4,630,731  | 4,557,221  | (73,510)    | -2%        | Part Year vacancies on Localities (Area Council's & Ward Alliances)                    |
| Outcome 11 | 27,276,991 | 27,012,598 | (264,393)   | -1%        | Waste Disposal costs, partly offset by savings on Construction Services, Highways etc. |
| Outcome 12 | 3,348,559  | 3,348,562  | 3           | 0%         | Balanced position as per Q3  |

# Contact us

If you have any additional questions about our corporate performance, please contact us at:  
[BusinessImprovement&Intelligence@barnsley.gov.uk](mailto:BusinessImprovement&Intelligence@barnsley.gov.uk)

In addition to this report, we have published a data table [here](#) which provides the detail around all of our corporate performance indicators. These are the activities that we measure to understand whether we're on track to achieve against our overall outcomes and priorities.

<https://www.barnsley.gov.uk/services/our-council/our-performance/how-we-measure-our-performance/>



# Stronger Communities Service 2018/19 Quarter 3 Narrative Report



## **Introduction**

Welcome to the Stronger Communities Service 2018/19 Quarter 3 Narrative Report.

The following pages highlight, through case studies, the extensive work of the service in contributing to community development across the borough. There are many and varied examples of the types of initiatives that have increased community engagement and cohesion, intergenerational working, volunteering, lifelong learning and environmental improvements. All of the following are coordinated by the service and encourage involvement from organisations and the residents of Barnsley.

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## CENTRAL Area

### Central Ward

#### *Bluebell Bank – Overcoming local objections through community engagement*

**PEOPLE ACHIEVING THEIR POTENTIAL**

**Outcome 9:** People are healthier, happier, independent and active

**STRONG & RESILIENT COMMUNITIES**

**Outcome 10:** People volunteering and contributing towards stronger communities

**Changeit**

Having your say on things that matter

**Imagineit**

Creating a brighter future

**Liveit**

Looking after yourself and others

**Loveit**

Having pride in where you live

The engagement project involved working with local residents in the Bluebell Bank area to develop a community group. It was initially designed to overcome local objections to the play area and bring residents together as a community. The project intended to tackle the hostility by some residents to the installation of a play area, which was also divisive for the neighbourhood.

This project encourages people to be happier and healthier through community engagement events, which have encouraged local people to volunteer and identify a way forward, including the Incredible Edible community garden which involves all ages and promotes healthy eating, outdoor activity and sustainable lifestyles.



Local residents, including children, took part in several activities including choosing new play equipment at the first event. Then local residents took part in fun activities and games with their children. The purpose of both of these events was to overcome hostility shown towards the Council by some residents, and generate community spirit and a new residents group.

The Area Team led this project with the involvement of residents, and played an important role in bringing residents together. Engagement activity focussed on the community working together, future possibilities for community events such as a summer gala on the park area and a community garden.

The project achieved two good community engagement events. These were followed up with meetings and the subsequent formation of a local community group. This project promoted working with communities directly, starting with one or two residents, and then leafleting the entire estate to promote a small scale engagement event and encourage people to come along in order to engage with them face to face. This direct approach worked in terms of addressing issues and getting people to engage in order to move forward as a community.

What is happening next is another community meeting, followed by a clean-up event in March, as part of the Great British Spring Clean initiative.



One learning point from the project is the need to keep the timescales tight between events and activities. This is not always possible but sometimes the momentum can be lost.

Some feedback received was:

“Thank you so much for arranging all of this.” (About the community engagement event.)

“Thank you very much for your time it was greatly appreciated” (Following the community meeting.)

“Thank you for all that you are doing in helping to establish a group and getting things moving.” (Following the community meeting.)

## Stairfoot Ward

### *“Waltzing in a Winter Wonderland” Tea Dance* *Benefits of Intergenerational Working*

#### PEOPLE ACHIEVING THEIR POTENTIAL

**Outcome 6:** Every child attends a good school and is successful in learning and work

**Outcome 9:** People are healthier, happier, independent and active

#### STRONG & RESILIENT COMMUNITIES

**Outcome 10:** People volunteering and contributing towards stronger communities

#### **Achieveit**

Helping you realise your potential

#### **Imagineit**

Creating a brighter future

#### **Liveit**

Looking after yourself and others

#### **Loveit**

Having pride in where you live

The Stairfoot Ward Alliance and Barnsley Academy worked in partnership to deliver an afternoon tea dance for older residents of the ward. The school students and staff prepared and served an afternoon tea to over 70 local residents and other students performed a show dance for the audience. The school students also created all the marketing material for the event and made beautiful gifts to give out as small presents.



The Area Team had identified the importance of developing intergenerational projects. It was agreed that we would jointly deliver a Tea Dance that would have the joint benefit of bringing the community into the school and giving the school students an opportunity to develop and show case their skills.

The Ward Alliance funded the food, and used their local contacts to encourage people to attend. Berneslai Homes also contributed to funding small gifts and helped promote the event.

The three main aims of the project were to:

- Break down some of the barriers that exist between the school and the local community, and build better relationships.
- Allow hospitality students to put into practice the skills they were learning, and to showcase the talents of the performing arts students.
- Give an opportunity for older residents to come out and meet with others, thus alleviating social isolation.



The event was a huge success. The opportunities created by this project, for school students and local residents alike, have potential benefits which include: more engagement and people leading happier, healthier, independent and active lives; local volunteers promoting their group, contributing to developing volunteering and making the community stronger.

An unintended but fortunate spin-off from the event was that the school did a Shoe Box Appeal and asked the area team if they had any links with local charities. We were able to link them to the Churches Drop-in Project and the school made up over 100 boxes for local homeless and isolated people to enjoy over the Christmas holiday.

We have agreed to continue to work together on mutually beneficial projects. A local craft group who attended the event have agreed to come into the school to deliver some craft sessions in the new year. The school performance department have also agreed to do a performance at the Central Area Celebration event. And we are currently working on two joint projects, one to develop sports activities and one to develop environmental activities.



All the local residents gave glowing comments about the school's staff and students, they were all made to feel really special and enjoyed the event immensely. The school staff and students were really pleased that the event was so well attended and successful.



## Worsbrough Ward

### Christmas Workshops

PEOPLE ACHIEVING  
THEIR  
POTENTIAL

**Outcome 9:** People are healthier, happier, independent and active

STRONG &  
RESILIENT COMMUNITIES

**Outcome 10:** People volunteering and contributing towards stronger communities

**Imagineit**

Creating a brighter future

**Liveit**

Looking after yourself and others

**Loveit**

Having pride in where you live



A series of craft workshops were delivered over a 5 week period in the run up to Christmas, utilising the skills of volunteers that were initially engaged during the Tour de Yorkshire. The purpose of the workshops was to engage residents in the ward who were not already taking part in community activity, and might be lonely and isolated.

We also wanted to use the workshops as an opportunity to promote the venue, the Ward Green Baptist Church, and the existing activities already taking place to encourage local residents to attend. The Ward Alliance's priorities include both supporting community facilities, and older people.

The workshops gave local residents somewhere to go, something to do and also allowed them to learn new skills. Attendees of the sessions expressed an interest in getting involved in other community activity and some are now populating the activities run by the Church, independent of the area team and ward alliance.

A meeting with the attendees is set to take place early in the New Year to look at what other activities could be developed and how they can contribute to making the activities engaging and sustainable.



The workshops were delivered every Monday 10 – 12 over a 5 week period between November and December 2018. The sessions were attended by adults living in the Ward with 5 of these being of pensionable age. Each week attendees made a different Christmas themed craft such as cards, stockings, crocheted baubles etc. The activities were used as a hook to encourage people to attend so that the Ward Alliance and area team could engage with these residents and encourage them to take part in other social action projects in the future.



The Ward Alliance funded the workshops and used its networks to promote them including the use of Facebook, notice boards, leaflet delivery and promotion via Central council contracted providers RVS and other organisations working in the Ward. The CDO managed the project overall.

Five existing volunteers were brought together to use their individual skills to deliver elements of the project – all of whom are keen to help develop and deliver other activities across the Ward. Two new volunteers have been identified and project ideas are now being developed. The venue is in talks with the local school to jointly deliver an intergenerational event in the summer with the help of the Ward Alliance.

The project helped to develop the relationship between the CDO/ Ward Alliance and the volunteers at the venue which has resulted in the venue looking at other projects they can deliver in partnership with the Ward Alliance and the school.

All the attendees gave positive feedback about the workshops. Attendees enjoyed learning new skills and meeting new people as well as expressing an interest in becoming involved in other community activity including social action projects. The Ward Alliance / CDO will continue to work with the venue to deliver other community activity including an intergenerational activity in the summer in partnership with the local school.



# DEARNE Area

## Dearne Area Team and Railway Embankment Group

### *Progression of the Embankment Group*

|  |   |  |
|--|---|--|
| <b>THRIVING &amp;<br/>VIBRANT ECONOMY</b>        | <b>PEOPLE ACHIEVING<br/>THEIR<br/>POTENTIAL</b>                         | <b>STRONG &amp;<br/>RESILIENT COMMUNITIES</b>  |
| <b>Outcome 4:</b> Strengthen our visitor economy | <b>Outcome 9:</b> People are healthier, happier, independent and active | <b>Outcome 10:</b> People volunteering and contributing towards stronger communities |

**Buildit**

Building a better Barnsley

**Developit**

Helping businesses to thrive

**Imagineit**

Creating a brighter future

**Loveit**

Having pride in where you live

**Protectit**

Protecting our wonderful borough

The embankment group was developed a couple of year ago with the main purpose of turning a disused railway site, which had suffered from years of fly-tipping, into a place for the community to enjoy. The project was developed in order to bring life back into the disused embankment by clearing away the decades of litter and refuse.

As the site has developed it has become a beautiful space which, when finished, will be open to people across the borough in the hope of strengthening the Dearne’s visitor economy. Local residents have been involved in the project which has created a buzz around the area. The Dearne Area Team were instrumental in the co-ordination of this project, using local knowledge and identifying funding opportunities for the group.



The embankment project consists of members of the Dearne Area Team, Goldthorpe Primary School, Dearne Valley Landscape Partnership, local groups and residents, and the Local Environment Service and Housing Officer.

Each brought their own specialist knowledge in order to tackle the issues that have surrounded the area for decades. This included installing a water tank, and targeting the houses nearby in order to eliminate fly-tipping. Elected Members have also been involved in the clear-ups, and have

liaised with the community to increase local involvement.

The project has been successful in the reduction of fly-tipping and has creating a space for all of the community to enjoy. It was successful in bringing people together:

- Sheffield University were recruited to do a consultation exercise with residents of the Dearne.
- Henry Boot came on site to complete their annual ESV day.
- Staff from the Highways team also had an input by way of designing the pathway on to site.
- Dearne Valley Landscape Partnership have provided funds and their specialist knowledge around biodiversity and planting on the site.
- Goldthorpe Primary School have also been a key player in making this happen, and pupils who are part of the eco group have attended to plant the orchard.



On the site, two young brothers lost their lives whilst picking for coal during the miners' strike, so the group decided that they would like to do a memorial for them on site. The Dearne Area Team liaised with the family and brought in the current poet laureate, Ian McMillian, to write a piece for the memorial stone. The family have been consulted throughout the process and are thrilled with the memorial.

*"My mum cannot thank the group enough for all of the hard work they have put in to make this happen."*

Other residents have also volunteered their time and donated trees to put on the site.

One thing learnt from this project is that the more partners that are on board with the project, the more successful the project will become. We also learned that when starting on this journey, it took more time to get the project off the ground than originally expected.

The group are still clearing the area and plan to do more planting early in the year. This will enable the group to have an open day in the summer, and invite everyone that has been part of the project to date. We hope to recruit more local volunteers in order to for them to become key holders on the site.



PEOPLE ACHIEVING THEIR POTENTIAL

**Outcome 9:** People are healthier, happier, independent and active

**Achieveit**

Helping you realise your potential

**Buildit**

Building a better Barnsley

**Imagineit**

Creating a brighter future

**Loveit**

Having pride in where you live

**Liveit**

Looking after yourself and others

The Second Space Art project was about giving young people skills in theatre, script writing, and dance. It involved setting up a space for young people to showcase their new found skills. The project was designed to get young people involved in extra-curricular activities and bring life back to an unused space on the High Street.



Evidence suggests that young people who are involved in activities outside of the classroom are far healthier, independent and active. In an area where people are on low incomes, it is more difficult for families to prioritise finances to allow their children to participate in such activities. Therefore this project assisted in the development of young people.

Aimed at young people, families and communities, the project gave the skills and experience needed to succeed. The project requires regular activities to help raise their confidence and aspirations, and took place from April – October 2018. Thirty young people from the Dearne area participated in the activities and twenty six sessions were delivered over a six month period.



The Area Team assisted in brokering conversations between the other theatrical groups in the area, as well as assisting in their application to the Dearne Development Fund. The project worked closely with the Dearne Playhouse and collaborated with the wider community. The Co-Op, who own the building, granted the project a community licence which enabled the group to use the building free of charge.

The project received a very positive response, one main reason being that the biggest building on the High Street now has a new purpose. One of the learning points to come out of the project was that young people in the area are restricted from inclusion in activities due to lack of finances.

## Dearne Area

### First Aid in the Community

#### THRIVING & VIBRANT ECONOMY

**Outcome 2:** Increase skills to get more people working

#### PEOPLE ACHIEVING THEIR POTENTIAL

**Outcome 9:** People are healthier, happier, independent and active

#### STRONG & RESILIENT COMMUNITIES

**Outcome 10:** People volunteering and contributing towards stronger communities

#### Achieveit

Helping you realise your potential

#### Imagineit

Creating a brighter future

#### Liveit

Looking after yourself and others

#### Loveit

Having pride in where you live

The project provided First Aid training to local people to assist in volunteering at events, and to help care for other individuals in their own families. The Dearne Ward Alliance action plan highlighted First Aid Training as a priority to help local people with their training needs. After completing Food Hygiene, First Aid was the most required in the Dearne community. The Dearne area has sustainable groups who are delivering events all year; the project helped to make them even more sustainable as they were able to provide their own First Aid instead of buying the service direct.

Having further qualifications in First Aid also helped with upskilling the Dearne volunteers, which increased their confidence and has taught them to be more safety conscious within the community. They can share their experiences and assist in any accidents or injuries by knowing how to apply First Aid, and be the first contact on site should any accidents occur.



The Dearne Area Team's aim is to raise aspirations for a safer and better educated community. Raising volunteer aspirations and their confidence will help to develop enterprising behaviour which is the foundations for tackling health, deprivation and social concerns.

This training assisted the local volunteers in the Dearne area to support each other and get to know like-minded people in similar situations to themselves. The training helped individuals to learn new skills which would benefit them and people in the community. They now have the confidence to assist a patient until emergency services arrive if necessary.

There were 11 individuals who enrolled on a three day training course, all had different

understandings of what first aid was and how to address certain situations. The trainees learned how to perform CPR, use an automated external defibrillator, bandage injuries, and control blood flow; also knowledge of what's in a first aid kit, and how to use the contents.

The Dearne Area Team was significant in the delivery of this project, with the Adult Education Training Officer, Sally Dobbs, delivering the training itself. The Dearne Area Team Community Development Officer (CDO) took responsibility for co-ordinating the project by booking the venue, ensuring the catering was completed and delivered on time, helping to set up and clear up at the end of each session, and supporting the trainees each day with any concerns they had.



In addition, the Dearne North & Dearne South Ward Alliance provided the funding for the room, the training to help the students with the course work and refreshments for the full three days. A local business in Bolton on Dearne provided the catering each day (keeping the money locally spent), and also had the room given for free as it was more local to people attending.

The training was a huge success, and all the trainees passed. This will help any events in the community with First Aiders, saving money on outsourcing. Over the three days, the learners worked effectively together in pairs and small groups. They all contributed well in discussions and gained confidence. They supported each other and were thorough in their answers to questions. They showed respect to each other as well as the residents within the complex.



The course itself is highly regarded within the workplace – the skills involved are not only how to recognise that a casualty is ill or injured, but also how to treat that casualty safely. The qualification will be useful if anyone needs to be treated by a qualified first aider, either when they are volunteering, or at any other time. This qualification can also be useful if any of the volunteers continue to work/offer their services within the Council out in the community.

The Dearne Area Team CDO supported and encouraged attendees to be present and enrolled the trainer, who engaged effectively with her students and helped them feel comfortable and secure in their workload. The residents of Heather Court were happy to let us use their facilities as this was good for keeping it local and providing easy access. The Dearne Area Team published a Facebook article asking for attendees. There was no charge for the course, as upskilling local people helped the Ward Alliance meet the Town Spirit #AchieveIt and #LiveIt objectives.

Overall, the learners thoroughly enjoyed the course and said that they had 'gained confidence' and would be 'happy to carry out first aid' when it was needed. They also commented on how 'relaxed' they felt on the course and that it was delivered in a 'friendly and relaxed atmosphere'. Comments also were made on how it was assessed, such as *"I like how it was assessed as it was not as intimidating as it used to be"*. They also mentioned that they 'enjoyed the buffet' which was an added bonus but I do feel that providing refreshments encouraged some learners to attend!



The main learning points were to make sure the location is suitable (which in this case it was spot on), that the students feel comfortable, and that you get the right trainer. Some training can be difficult to endure for three full days, however with the right person leading and training it can be made interesting and enjoyable, and that's exactly what feedback came back. This also ensures that any future training will be a success with people coming back for more.



## NORTH Area

### Darton East Ward

#### *Darton Primary School Eco Council*



The Area Team were invited by Darton Primary School to meet with the teacher, Mrs Beth Smith, who is in charge of the school's Eco Council. The Eco Council is made up of two representatives from each year group, who meet regularly to plan projects within the school and local community, totalling twelve pupils from Reception Class to Year 6, and a teacher.

The Eco Council had identified some outside areas of the school where they would like to create raised beds, planters and a pond/wildlife area. Beth was keen to do something within the local community, so we arranged for the Eco Council to join the Twiggs North Area Clean and Tidy team on a litter pick in the local area. This was designed to educate the Eco Council on littering and the impact it has on the environment and local community. It also helped build and strengthen the working relationship between the area team and the school.

On the day of the litter pick, the Eco Council cleared up four streets around the school. The pupils were extremely keen and thoroughly enjoyed doing something for their local community. Even though the litter pick happened during school hours, the pupils volunteered to give up some of their school day to go out litter picking. By working with the Eco Council and educating the young people about volunteering, it is hoped that it will encourage them to go out volunteering in their local communities with their families. The Eco Council is very active and by getting out in the fresh air doing projects, it is encouraging them and helping them get healthier and more active.

The initial contact and meeting with the school and the Eco Council was done by the Area Team. This meant that advice and support could be offered about volunteering activities that the school could get involved in within the local community.

The pupils really enjoyed their time litter picking and felt extremely proud of what they achieved.

Following on from the litter pick, I have put a local community group in touch with the school, and the Eco Council have been out bulb planting in the local park with the community group.

Overall, the project has formed a new working relationship with Darton Primary School. Darton Primary School is aware of the North Area Team, what we do and the support and advice we can offer. They are also aware of the Ward Alliance and that there is funding available to support them with their projects.



Both Darton Primary School and Twiggs have commented how much they enjoyed the litter pick and that they would like to do more projects in the future together.

It is hoped that we will work together on more projects within the local community and school as the Eco Council have lots of great ideas. The Area Team will also be providing support about applying for Ward Alliance funding.

## Darton West Ward

### *Local Volunteer Saves Christmas!*



Each year the Voice for Darton hold a Christmas Event in the Parish Hall. This involves a craft fair, serving hot drinks and singing Christmas carols. However, this year forces were against them and they were unable to hold their usual event. A number of the members were disappointed with this and therefore decided not to hold a Christmas event this year.

Local volunteer Paul felt frustrated with people's lack of enthusiasm so decided to find a way of hosting a Christmas event for the local community. Paul is extremely passionate about making Darton a better community to live, work and visit. He enjoys bringing the community together.

Father John allowed Paul to use Darton Church for the event. He also helped to curate the event. The Voice for Darton group were instrumental on the evening, handing out programmes, and serving tea and mince pies.

The Darton College school choir gave a number of performances on the evening, and Darton Primary School Glee Club gave a performance on the evening. Outreach Christian Centre also did a performance. Local volunteers read poems on the evening and also one volunteered to be Santa, and Darton Co-op kindly donated the mince pies for the event.

## St. Helen's Ward

### Healthy Holidays Project

#### THRIVING & VIBRANT ECONOMY

**Outcome 4:** Strengthen our visitor economy

#### PEOPLE ACHIEVING THEIR POTENTIAL

**Outcome 7:** Reducing demand through improving access to early help

**Outcome 9:** People are healthier, happier, independent and active

#### STRONG & RESILIENT COMMUNITIES

**Outcome 10:** People volunteering and contributing towards stronger communities

#### Developit

Helping businesses to thrive

#### Imagineit

Creating a brighter future

#### Liveit

Looking after yourself and others

#### Loveit

Having pride in where you live



This Healthy Holidays project was a borough-wide initiative that formed part of a government pilot. The project was aimed at providing fun activities and healthy food to children in the St Helen's Ward who are in receipt of full school dinners.

The Healthy Holidays project was set up to address the issue of ensuring that children in low income families, and in receipt of free school meals, would continue to receive meals, rather than going without over the extended summer holidays. The project was delivered entirely by volunteers and was run in a record four venues across the Ward.

The project worked with Fare Share Yorkshire, a company which receives surplus food donated from businesses and helps to distribute it to where it does the most good. Their involvement helped to raise awareness and allow more businesses and organisations to both contribute to and benefit from the network.

The Healthy Holidays project was as much about preventing issues as it was about addressing current ones. By young people participating in the project, they learned to try new, healthier foods, potentially changing some of their eating habits as well as ensuring they had good quality meals throughout the holidays. These might not have happened without this project.



In addition to healthier eating, the project also introduced a range of activities for the children to take part in. Some of them were learning based, some were all about having fun and socialising. The events helped to draw more families together and forge links with organisations and each other.



The project could not have taken place if not for the overwhelming amount of volunteers who showed up to run the sessions, cook the food and facilitate the overall project. The volunteers were involved in planning the sessions, coordinating the delivery of the food, and arranging the activities, including gathering the materials needed. In addition, they had to keep accurate records at the end of each session to pass on to the Government to evaluate the success of this project.

The North Area Team were significant in the delivery of this project, with the Area Manager taking responsibility for coordinating the delivery plans between the various venues and gathering in each of the evaluation reports that give a bigger picture of the projects success. In addition, the St Helen's Ward Alliance provided a small amount of funding to help with the delivery of some activities.



The project was an overwhelming success in all but one venue. One venue in particular was so successful that it pulled more families into the activities than any other venue in the Borough. It was also selected from all the venues to feature on Regional TV and came across as very positive.

The project as it was delivered in St Helen's was firmly planted in the new way of working, with the actual delivery of the project activities. Each venue was organised and delivered by volunteers and partner organisations. The Ward Alliance provided the funding, but volunteers made it a reality. The Area Teams only facilitated the delivery plans and helped collate the figures.

Feedback from the joint meeting was incredible. As noted above, the Borough provided the biggest success from all of the pilot areas, and at least one of the St Helen's locations held the biggest successes out of the Borough.



The biggest learning point to come out of the project was that monitoring needs to be more organised. The evaluation requirements were very extensive, and ended up being quite daunting to complete. A significant amount of time needed to be spent to rectify statistics.

However, the overall outcome of this pilot project has convinced the Government that it is worth investing in for the future and is expected to run again in 2019, possibly in wider areas of the UK.

## Old Town Ward

### YMCA Fleets Orchard



The YMCA worked with Yorkshire Wildlife Trust and Barnsley College to empower young people to design, plant, and maintain a third community orchard in Barnsley. The project was designed to complement the Fruitful Communities Project – a national initiative with Learning Through Landscapes and YMCA.

The Fleets area is in the middle of talks to have a huge transformation into a natural habitat and become a key feature in Old Town. One of the major challenges is the engagement of the local community, and inspiring them to work and nurture that area, a current source of anti-social behaviour and dog-fouling.

The planting of the Fleets Orchard was the first step in changing how people see and use that area, not only by planting and maintaining these trees, but by having them as functional fruit trees that the local community can use once established.

The project's aim was to equip young people with the skills and confidence needed to transform green spaces and help improve their own health and wellbeing. It was also designed to help young people engage with the local community and encourage them to assist in improving the local environment and living a healthier life. By the provision of fruit trees in the area, and subsequent

work to encourage the community to use them, it is envisaged that people will start to eat a little bit healthier and make changes in their lifestyle that will help people to live a great life and avoid unnecessary illnesses brought on due to poor diets.

The factor above also feeds into the 'happier and healthier lives' priority, but in addition, the young people involved in this project reported feeling more engaged with and accepted by the local community. The community and the young people from Barnsley College gained important knowledge and skills, hopefully inspiring them to go on and do more for their community.

The young people involved learned about growing fruit and the value of orchards, they visited Cannon Hall's walled garden to see a local orchard in action, researched fruit growing and garden design and planned the orchards in detail. They then planted the trees and have identified a key schedule of maintenance and care for them to ensure they continue to thrive for years to come. Members of the community were also encouraged to give some assistance whether it was to supply water to the trees or getting more hands on!

Given that the YMCA have undertaken significant youth work as a commissioned service in the North Area, the Area Manager had a keen interest in the development and delivery of this project. The Community Development Officer for Old Town also attended the final phase of this project to help support volunteers and publicise the outcome of the project as a means to lend credence with future development of the Fleets area.

Nationally, 6,000 young people from YMCAs gained new horticultural/arboriculture skills, and will demonstrate a heightened awareness of the role of trees and forests in relation to climate change, livelihoods, biodiversity and sustainable global development. Approximately 12 of those were young people from the Barnsley area. The project placed the young people at the very core of the activities surrounding the project. Without them, the entire project would not have been realised. It will also form a significant leverage to drawing in money to transform the Fleets area into a local nature habitat.

The Area Team indirectly helped with the project as it was part of a commissioned service delivery, and they assisted in the promotion of the finalised project as part of a portfolio for future development work of the area.

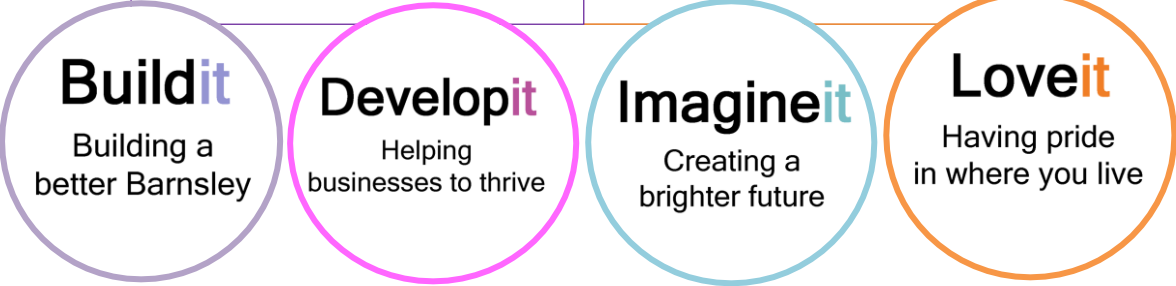
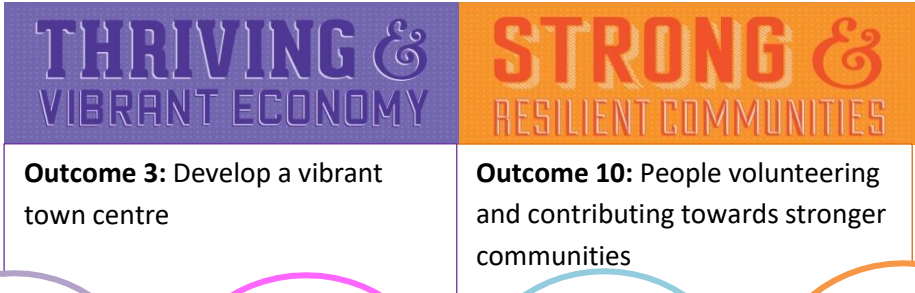
The overall feedback received has been positive. The young people from YMCA felt more engaged with and accepted by the local community, and Dan Jarvis MP was delighted with the project, as it assists his goal of developing more forests in the North. He attended the completion of the project and lent his support to the project.

One of the key learning points was for future projects to feature frequent and effective communication between the agencies to ensure everyone knows the status of the project at every stage. Another key factor is that future work with Barnsley College students will need to feature early discussions with staff to smooth out any obstacles to their participation. Finally, the simple fact that the project was started later in the year meant that the orchards were planted in unpleasant conditions. Future work would be worth considering being undertaken in spring and/or summer.

**NORTH-EAST Area**

**North East**

*Cudworth's Spectacular New Christmas Lights*



Last year the Cudworth Christmas lights came to the end of their lifespan. They became very dim and in some cases unusable; so last year it was decided that the lights would go up for the very last time. However, Cudworth Businesses and Community Together agreed with the Cudworth Ward Alliance to raise funds for new ones with the Ward Alliance offering a grant to help install the new lights. The cost to replace them of around £12,000 was beyond the funding available, unless the community could raise the funds needed. Increasingly Councils can only provide essential services, meaning that communities need to step in to become more self-sufficient, with local businesses at the fore.



Cudworth Businesses and Community Together worked hard over the summer months to raise the money needed. Their ambition and drive have helped them to raise over £17,000. This has meant that they were able to purchase thirty-two new motifs which were erected in time for the Cudworth Christmas Fayre on Saturday 24 November. Cudworth Businesses & Community Together was formed to make improvements to the village in a bid to entice more shoppers and visitors onto the village's wonderful high street, to promote local clubs and groups and to most of all raise community spirit.

Chris Fox, Chair of the Cudworth Businesses & Community Together group said:  
*"We stood with our collection tubs in the local Co-op, running raffles, had smaller tubs in our high*



*street's independent shops and had stalls at events like the Cudworth Tea in the Park. We even did a charity 'pub crawl' dressed up as Santas and a giant rabbit."*

Sponsorship packages were offered to local businesses and families:

**Package 1: £100** company logo will appear on the Visit Cudworth website

**Package 2: £500** bought one Christmas motif with the sponsor's name on a plaque

**Package 3: £1000** bought two Christmas motifs with the sponsor's name on a plaque

As part of their fundraising campaign, Cudworth Businesses and Community Together also launched a successful Crowdfunder campaign which raised £4,500 towards the lights and also included £2,000 from the Barnsley Boost, which is supported by Barnsley Council and Berneslai Homes. Local members also encouraged sponsorship from local companies raising a further £3,500.

The North East Area team played a crucial role in making connections, supporting Cudworth Businesses and Communities Together, the local councillors, the community and public agencies to work together – encouraging them to share ideas, issues and solutions, directing members to relevant support and guidance and spending time and effort to bring them all on board.

The Area Team had the following main areas of focus:

- To act as a point of contact for all aspects of community development
- Brokering and bringing together stakeholders
- Sign posting
- Spotting opportunities to help move the project forward
- Involving and encouraging the Councillors in their roles as Community Champions
- Helping to sort out problems and potential barriers
- Challenge where required

The Area Teams intervention enables Community Groups to thrive and grow, ultimately becoming self-sustainable.

The challenges were sustainability, critical and negative views of the project, brokering and bringing together stakeholders, and timescales.

Looking at the challenges, we believe that there are a number of key actions:

- The Area Team's role should be one of community oversight and regular contact with the neighbourhood leaders creating a positive environment.
- Volunteers should feel free to share ideas and experiences, encouraging them to own the project in future.
- Generating income and achieving financial sustainability is of great concern. Build reserves and don't over stretch the project.
- Accurate time estimation is an essential skill, list of all the tasks that you must achieve to complete the project then you can begin to estimate how long each will take.
- Don't reward negative actions with attention.

Benefits included community building, where the process, is as important as the results. The project brought different sections of the community together who wouldn't normally work together building healthier communities, and addressing what matters to them. During the Christmas period festive lights can make a contribution to the economic wellbeing of the town, it provides a significant feel good factor and is a tool in the marketing and promotion to increase visitor numbers, allowing the town to offer that additional attraction and compete more effectively against out of town competitors. This supports many small businesses, providing additional income to sustain them through into the following year. The Cudworth Business and Communities Together

group were active in a tangible project which will in time encourage the local community to be proud of their local area and achievements and to love where they live.

North East

Royston Pavilion – Volunteer It Yourself (VIY)



VIY worked alongside local volunteers and businesses to renovate and modernise a community facility, Royston Pavilion and Band Stand in Royston Park. This is an underutilised community asset. The aim of this project was to modernise a community building and develop it into a multi-use space for the whole community to access and utilise.

The old layout of the building was not user-friendly, resulting in the building only being used by a local sports club. The building needs modernising to generate a multi-purpose space to better meet the needs of the community and ensure it is used more frequently.

Volunteers working alongside VIY mentors have learnt new trade skills, with a number of young volunteers gaining an accredited award in painting and decorating which will assist them in seeking employment in the future. Partnership working with schools ensuring young people had the opportunity to participate in this project and learn new practical skills. People have volunteered in a local project taking pride in their surroundings. The development of this site will ensure this community space can be multi use and attract more members of the community to use it.

A total of 38 volunteers, young and old, took part in this project. The volunteers, under the guidance of the VIY mentors, took part in a variety of works including demolition, removing concrete benches, cladding internal walls, general labouring and painting & decorating.

The Area Team played an integral part in the success of this project. Not only was the team involved with the general overall management of the project, they were key to bringing people together. Brokering meetings between VIY and partners, managing the project's finances, ensuring all paperwork and monitoring was accurate and up to date, engaging and recruiting volunteers for the project, gathering quotes and photographs along the way.

This translates to an average of 14.6 volunteer hours committed to the project per person, with an overall total of 555 volunteer hours. 21 young people from two local secondary schools volunteered their time to learn new skills and give back to the community. 11 of these students also earned their way to a City & Guilds Entry Level 3 painting and decorating accreditation, which will go on their CV to boost their chances of finding work when they leave school.

The project brought together the local Mayor; the Wickes store manager, 21 students from two different schools and a range of other individuals all for the purpose of making a positive impact and creating a new and exciting community space.

Some of the feedback received included:

*"The staff from VIY were great with the students, they were patient and had fun with them. Providing opportunities for young people, whilst improving areas of the local community is so worthwhile, I wouldn't hesitate to recommend the team".*

*"The project was so much fun. It was great being taught skills by the mentors like how to prepare an area before you paint it. I also really enjoyed meeting the mayor, and it was nice to see him come down to support".*

*"I made closer friends with the other volunteers on the project as we were working with other students who aren't normally in our class. It was also brilliant getting a qualification to go on my CV for the future".*

*"I struggle in school sometimes; I get bored easily and can't concentrate. My teacher asked me if I would be interested in trying something new and getting involved in this project. I thought it sounded a good idea so wanted to give it a go. It has helped me to socialise and make new friends working alongside people I have never worked with before".*

The community group are continuing to make improvements to the building. They need to acquire new furniture and fittings to complete the renovation. Moving forward the community group want to utilise this community asset. Deliver more community engagement events and hire the space out to other community groups within the Royston Area.

## North East Ward

### ESV Elf Duties at Grimethorpe Community Farm

#### THRIVING & VIBRANT ECONOMY

**Outcome 3:** Develop a vibrant town centre

**Outcome 4:** Strengthen our visitor economy

#### PEOPLE ACHIEVING THEIR POTENTIAL

**Outcome 8:** Children and adults are safe from harm

**Outcome 9:** People are healthier, happier, independent and active

#### STRONG & RESILIENT COMMUNITIES

**Outcome 10:** People volunteering and contributing towards stronger communities

#### Imagineit

Creating a brighter future

#### Liveit

Looking after yourself and others

#### Loveit

Having pride in where you live



Grimethorpe Community Farm hosted a series of events during the festive period. One of the events was breakfast with Santa, providing vulnerable children and parents with the opportunity to meet Santa in the run up to Christmas. This is something that can be very expensive for low income families. Santa needed help from his elves to run the sessions.

The overall aim of the project was to encourage community cohesion and engagement with the farm. Volunteers who run the farm ensure that local children and adults have the opportunity to learn about animals and care for them, protecting this community asset for future generations. The farm provides a safe community space for all, ensuring they are safe from harm. Participating in the activities provided can help local people to be happier, healthier and more active.

Regular volunteers who run and maintain the farm planned these festive events and advertised for additional help for the role of elves to support Santa in his duties on the day. The role of Santa was also a volunteer. The event was advertised locally targeting those families most in need.

The North East Area Team used some of their employer supported volunteering hours to support this great community project. The team dressed up as elves and served breakfast to local children

and their parents. Part of our elf duties meant we helped Santa during the session, ensuring all children had fun and were able to tell him what they wanted for Christmas. We also supported the ground keepers in taking the children on a tour of the farm and meeting all the animals.

This not only was a great opportunity to support a local volunteer project, it allowed the team to engage with the community in Grimethorpe. It was also a great team building exercise, and allowed us to work together in a fun and interactive way whilst helping others.

The project provided local families with a fun festive activity in the run up to Christmas, giving participants a sense of community and Christmas spirit. Children were able to see Santa and tell him what they wanted for Christmas and receive a present, with no cost to families who may already be struggling financially. In total, 12 children benefited from the opportunity.

Another outcome was the positive impact on the North East Area Team. Our photographs and social media posts were a great platform for raising the area team's profile within the community and wider council. It was an innovative way of promoting local community activities, encouraging participation through seasonal activities to engage people into the farm during quieter times.



All the children and families had a lovely experience seeing Santa at Christmas time. The North East team received praise on social media and the wider council on what a great use of our ESV time it was. *“What good sports we were for dressing up and getting stuck in”*. Local volunteers will continue to develop innovative and exciting events in engage the community in the farm all year round.

# SOUTH Area

## Darfield Ward Alliance

### *Darfield Slipper Swaps*

PEOPLE ACHIEVING THEIR POTENTIAL

**Outcome 7:** Reducing demand through improving access to early help

**Outcome 9:** People are healthier, happier, independent and active

STRONG & RESILIENT COMMUNITIES

**Outcome 10:** People volunteering and contributing towards stronger communities

Imagineit

Creating a brighter future

Liveit

Looking after yourself and others

Loveit

Having pride in where you live

The Darfield Slipper Swaps was a project to exchange old, unsafe slippers for new ones, and provide advice and information from various service providers around keeping safe and well at home. A slipper exchange is also an opportunity for residents to have a cuppa and a chat.

The project aimed to address slips, trips and falls at home which are known contributors towards A& E admissions. It also tackled social isolation by encouraging people to stay and find out more about the activities on offer at the various community venues used for the project.



Providing a free pair of sturdy, well fitted slippers to prevent future accidents supports early help and reduces future demand on services. By providing advice and information, and encouraging people to attend local activities, this project contributes towards people remaining happier, healthier and independent and be more active. This project is a great example of asset based community development, enabling

Providing a free pair of sturdy, well fitted slippers to prevent future accidents supports early help and reduces future demand on services. By providing advice and information, and encouraging people to attend local activities, this project contributes towards people remaining happier, healthier and independent and be more active. This project is a great example of asset based community development, enabling



community organisations and volunteers to work together to deliver a very worthwhile successful project.

Darfield Ward Alliance worked in partnership with an external organisation called Edlington Community Organisation (ECO), which was brought in to fund a launch event back in April 2018. ECO is an organisation based in Doncaster that had been successful in securing funding to deliver slipper swaps within Doncaster and surrounding areas and were keen to move into Barnsley. ECO has provided ongoing support to the Darfield Ward Alliance, with the delivery of their satellite sessions including the provision of signage and winter wellbeing packs.



Using Ward Alliance Funding, Darfield Ward Alliance complemented the launch event with the delivery of smaller satellite sessions during August and September 2018, with a final session taking place in January 2019. The satellite sessions were in all parts of Darfield and helped address the Ward Alliance priority of health and wellbeing. Representatives from the Ward Alliance supported the planning and delivery of the events, carrying out their Community Champion roles.

Volunteer support played a huge part in the success of this project. The sessions were fully supported by a number of community groups who provided volunteers and, in some cases, rooms free of charge, and by borough-wide service providers who attended the larger events with stalls to provide information and advice.

The Community Development Officer (CDO) negotiated links with ECO and brokered a meeting between them and Darfield Ward Alliance. This allowed over £600 to be brought into Darfield as ECO fully funded the launch event. The CDO offered support and direction for the Ward Alliance working group with the planning and delivery of this project and acted as overall project manager, as well as a point of contact for the community groups and service providers, co-ordinating attendance at the events as well as volunteer support.

A total of 5 satellite sessions have taken place to date with a total of 97 pairs of slippers issued. This project was also able to support the South Area Council Health Event delivered in November, providing the slippers and winter wellbeing packs. Here an additional 27 pairs of slippers were issued and 20 winter wellbeing packs distributed.

The sessions were supported by 17 volunteers (of which 7 were new volunteers taking on new or additional activities) providing a total of 64.5 volunteer hours. There were also 10 services providers offering advice locally on a whole host of issues.

This project is the best to date delivered by the Darfield Ward Alliance, with its success being largely down to the level of support from the Darfield Community Network. It is an excellent example of asset based community development, using the resources available to us locally to deliver something which addresses a real need. Support from the groups and their volunteers has been fabulous. The project has helped promote the work of Darfield Ward Alliance, build relationships amongst community groups, promote activities taking place within the community

buildings helping them to become more self-sustaining, and delivered a real localised solution to address a number of priorities.



Some of the positive feedback received from service providers includes:

*"I have been able to broaden my network of contacts to do future events in 2019."*

**Debbie Abrames**  
Natwest Community Banker

*"I was able to take referrals from people who had no alarms in their property at all."*

**Phil Carr**  
South Yorkshire Fire & Rescue Community Safety Unit

*"I was able to meet the venue hosts and find out what other groups and activities are held in their venues and promote them."*

**Claire Beecroft**  
Live Well Barnsley



The final session will be taking place in January 2019, after which a closure meeting will take place to consider learning points. This project has provided both the required encouragement and enthusiasm for the Ward Alliance to go on and develop further projects.

## South Area Team

### *Hoyland Remembers*

# STRONG & RESILIENT COMMUNITIES

**Outcome 10:** People volunteering and contributing towards stronger communities

**Imagineit**

Creating a brighter future

**Loveit**

Having pride in where you live

Several community groups including Woolley Wednesday, Owd Martha's Yard, Springwood Ladies, and businesses Snippers Hair Salon and The Allotment Deli, joined forces to commemorate the ending of the First World War by making 250 large poppies out of netting to attach to lamp posts. They asked residents to join in and help them make poppies that would include the names of the fallen, and hoped to make enough poppies to start at the Cenotaph and start spreading out towards the town.

Led by volunteer tutors, the group held fortnightly workshops for volunteers to attend to help make the poppies, which attracted members of community groups who attended together, and individual residents. The workshops were held from August through to the beginning of November 2018.

The crafting sessions engaged 12 new volunteers; their tasks included helping to demonstrate making poppies, setting up workshops, promoting workshops, and sourcing materials. The project was an innovative and new way of involving people of all ages in the Hoyland community and brought together community groups, businesses and individuals.



Groups got together to make poppies at their own meeting, for example Sparkles, the local brownie Groups, Mates of Milton, primary schools. Volunteers attended all of these groups to help cut netting, provide instructions and tuition.

The CDO helped the group to complete a Ward Alliance Application form and the group secured £208 to purchase materials. The area team helped to set up and promote the workshops by using social media and all of their contacts. The CDO provided the group with guidance on best practice and how to manage the project.

The project encouraged residents to get involved and also raised awareness of what is on offer in the area. Some groups have also engaged with new members. It encouraged social interaction

and sharing of skills. The project encouraged 12 new volunteers to get involved in leading and organising workshops, sourcing materials, and installing the poppies, including people would not get involved in traditional volunteering. The project also provided local history lessons.

The project encouraged members of local business, community groups and residents to help form stronger and more resilient relationships, and brought about a feeling of community cohesion and pride. The whole community came together to make this project work, various groups and businesses donated money to purchase materials in addition to the Ward Alliance funding.

*"I am loving coordinating community projects and my mind is already cooking up projects for the future. I can finally see the cohesion and collaboration coming together in Hoyland which was one of the things we found lacking in the Tour De Yorkshire in May".*

Ward Alliance members have participated in poppy making workshops and really enjoyed them. Laurice Wootton - was very proud when she saw this on her way to work.

*"Well done to everyone involved, was a privilege to be part of it."* – A comment taken from Facebook.

*"After such a wonderful meeting today, so many volunteers came together for this amazing community project. It's so humbling to be part of such a memorable and truly wonderful mark of respect for our lost soldiers."*

The project was successful as it achieved everything it set out to, but could have engaged more people if some of the workshops had been held in the evening or 'twilight sessions'.

This was a one off project but if it was to happen again, more forward planning would be helpful with regards to (for example) funding and installation.



## Jump Environmental Group

### *Christmas in Jump*

## STRONG & RESILIENT COMMUNITIES

**Outcome 10:** People volunteering and contributing towards stronger communities

### Imagineit

Creating a brighter future

### Loveit

Having pride in where you live

The project was to promote the work of the Jump Environmental Group and encourage more participation from the community. The group wanted a new and innovative way to showcase their work and recruit more volunteers. They held a Christmas event called 'Carols round the Tree', and with the help of Community Equality Funding (£171), they hired Barnsley Metropolitan Brass Band to play carols outside the Children's Centre in Jump Village.

Jump Environmental Group is a small group of volunteers supported by the South Area Team and a local elected member. The group have taken part in regular litter picks and some small projects, but they now want to develop as a group and increase their numbers, bring residents together, and instil some local pride. The project allowed the group to promote their work and generated a lot of interest from the community, including the recruitment of a new volunteer.



All parts of the community came together to make the event happen. The club allows the group to meet monthly free of charge and lent chairs for the band. The Children's Centre bought the lights for the very first Christmas tree the village has ever had, as well as allowing them to place the tree on the Centre's grounds and use the grounds free of charge.

Barnsley Metropolitan Brass Band appeared at a reduced rate, negotiated by the CDO, and helped to obtain the necessary licences. St George's Church provided free refreshments and villagers donated tea, coffee, milk and mince pies. The group raised money to purchase the Christmas tree, and secured a discount by linking in with other community groups to bulk buy and split the overall

cost. The South Area Tidy Team helped three group members to install and decorate the tree.

The Area Team's role was to help the group to promote their event, and access funding through Barnsley Council's Community Equality Grant. The CDO acted as a broker for them to liaise with other community groups to obtain a discounted Christmas tree by allowing them to bulk buy.

The CDO assisted with project management and supporting volunteers to develop a plan for the event. The CDO helped the group to allocate tasks according to skillset and identify potential partners to help them deliver their project. They also brokered some meetings with partners which allowed the group to build up their own contacts and develop their skills so that they should be able to host a similar event in the future without too much intervention from the CDO.

The project allowed the group to speak to residents they may not have otherwise engaged with as they were able to promote the work they do in the village. One new volunteer was recruited who has promised to join the next meeting, and many residents have shown interest in the group and the work they do.

The project supported new ways of working with teams across the council, partners, and communities. The group have formed links with different organisations within Jump village. This is a great example of a small community group pulling a whole community together.

A band member stated that there was a *"great atmosphere and they would love to replicate the event next year."*

Some other feedback included:

*"I think for our first event it went really well- many people told me that it was lovely".*

*"It was really lovely to be part of this in the village last night thank you to everyone who made it possible."*

*"What a brilliant achievement by Jump Community Environmental Group".*

The group need to have contingency plans in place, the weather was horrendous and the group had to find solutions very late in the day. A contingency plan needs to be properly thought out and considered. The residents have asked for some similar activities to take place, so the group need to reconvene and make plans for the year ahead. They are now confident that they can hold very successful events.

## Wombwell Dam Community Angling Club

### Wombwell Woods Clean Ups

**PEOPLE** ACHIEVING  
**POTENTIAL** THEIR

**Outcome 9:** People are healthier, happier, independent and active

**STRONG &**  
**RESILIENT COMMUNITIES**

**Outcome 10:** People volunteering and contributing towards stronger communities

**Imagineit**

Creating a brighter future

**Protectit**

Protecting our wonderful borough

**Loveit**

Having pride in where you live



Wombwell Dam is a fishing pond situated in Wombwell Woods. Over the years it had become neglected and overgrown. Once a beauty spot, it was blighted with rubbish and was a local hot spot for all manner of anti-social behaviour. The intended initiative was to do regular monthly clean ups in the woods, but eight months into the clean-ups, a volunteer who is also a keen angler spoke to the CDO about the possibility of forming a community group with a view to opening up the ponds to fishing again.

The project aim was to form a Community Angling Club made up of local people who had a keen interest in angling, and who wanted to restore and protect the wildlife and fish at Wombwell Dam and promote the sport at all levels. The community group would maintain the banks and keep the surrounding area litter free. A regular presence by the volunteers would also deter anti-social behaviour. A licence has been granted to the Community Angling Club by the Forestry Commission who manage the ponds, and the fishing of the ponds can now start up again.

The project provides the opportunity for people to get out and about and enjoy this local beauty spot. Over the past few months there has been an increased number of visitors to the site who have remarked on the improvement to the area. During the coming months, there will be organised family activities in the woods and family fishing days on the ponds.

A number of the volunteers are retired and being involved in this project has enabled them to keep active and enjoy the social interaction of being a member of a group. This project wouldn't have gone ahead without the volunteers taking ownership of the ponds, setting up a management committee, and organising clean-up days. Having a regular presence in the area has reduced the incidents of anti-social behaviour.

Twelve volunteers have formed a management committee, officers have been elected and a bank account has been opened in the group's name. Five volunteer water bailiffs have been appointed from the committee. The water bailiffs will be the main point of contact for members of the public. They will be responsible for taking fees from anglers. The volunteer water bailiffs are to shortly receive training from the Angling Trust.



A start up grant has been received from Ward Alliance funds to pay for signage around the ponds and tools, and a constitution has been adopted. The Management Committee have set up the rules of the club and set membership fees for the anglers at a very affordable rate. Public Liability insurance has been sourced from the Angling Trust.

The role of the CDO was to make contact with the Environment Agency to seek advice on how to set up an Angling Club, and to set up an initial meeting with the Forestry Commission and interested volunteers. The CDO also liaised with the Angling Trust on best practice, guidance for volunteer water bailiffs and public liability insurance. They worked with volunteers on setting up a committee, forming a constitution and continue to support the twelve volunteers in their roles, with more volunteers helping out on clean up days. Support was also given by the CDO to apply for a "start-up" grant from the Ward Alliance Fund. Future development includes supporting the group with planning a launch event in the spring. Links have been made with the Dearne Valley Landscape Partnership to seek advice about ensuring the safety of wildlife habitats in the future.



Setting up a community angling club was the result of regular clean ups in Wombwell Woods, involving volunteers and supported by the South Area Tidy Team. The project has promoted effective partnership working and enabled volunteers to take ownership of the project. This project promoted new ways of working with external partners eg. the Forestry Commission and the Angling Trust. The latter will continue to offer this support, signposting the group to relevant support agencies.

Comments from a dog walker:

*"I had stopped going round the ponds because it had become such a disgrace. The ponds are now looking fantastic I really enjoy walking round them now. The guys (volunteers) are doing a marvellous job!"*

*"I can't wait for the warmer months when all the fishing pegs are full." – A volunteer.*

This project provided valuable learning for the CDO. When a volunteer presents a project idea, the question is often "where do I start with this", and the journey isn't always an easy one. Volunteers are very eager and often want things done yesterday, so a CDO has to explain how the process works, while keeping them enthused in the idea and staying on course.

Issues regarding illegal dumping will continue to be monitored, and a launch event of the Wombwell Community Angling Club is being planned for March or April. Other plans include introducing fees for fishing, which would allow the group to become sustainable in the future, and

will help to self-fund improvements, such as additional fishing pegs and restocking of the ponds.

## PENISTONE Area

### Penistone Area Council

#### *Bumping Spaces*



Penistone Bumping Spaces was established in 2016, and aims to create an inclusive environment for people to get support. The group run a community lunch every week as well as a number of special events, including a Christmas Day Lunch. When their initial funding ended their aim was to become a sustainable independent group.



The group provide an inclusive space for people to support each other regardless of age or disability. Bringing people together also provides an opportunity for service providers to support the group. Bumping Spaces regularly have 30 people attending their community lunches and are supported by Tesco and Penistone Round Table. The group was established thanks to funding from the Penistone Area Council, as part of a Doncaster based project called the People Focussed Group. When this funding ended, the Penistone Area Team then advised the group on options for becoming independent and sustainable. Once the group had been formally constituted and secured their own bank account they successfully applied to the Penistone Ward Alliance to support the delivery of the Christmas Day Community Lunch.

The group are now successfully functioning on a volunteer model with financial support as and when needed for special projects from different sources. The Christmas Day Community Lunch was attended and delivered by 30 volunteers contributing 90 hours volunteer time (equivalent of £1,215.90). The Penistone Ward Alliance provided £278.04 funding. The project has established a



new independent group able to work with different partners, organisations and funders. It is hoped the group will continue to grow and deliver exciting inclusive projects for the Penistone community.

Penistone Area Council

Wortley Community Hub

PEOPLE ACHIEVING  
THEIR  
POTENTIAL

**Outcome 9:** People are healthier, happier, independent and active

STRONG &  
RESILIENT COMMUNITIES

**Outcome 10:** People volunteering and contributing towards stronger communities

**Imagineit**

Creating a brighter future

**Liveit**

Looking after yourself and others

**Loveit**

Having pride in where you live



St Leonard's Church in Wortley has ambitious plans to become a community hub for the village. Volunteers from the PCC and local groups have been working hard to develop plans and deliver changes to the building and churchyard. Wortley doesn't have a school, library, community centre or village hall, so options for local groups to meet and develop has been a problem for the village. The PCC carried out a community consultation in 2017 which identified a community space as a priority for the village.

The project is a great example of local people highlighting a local problem and developing practical and realistic solutions. Volunteers are coming together to both plan and deliver the necessary changes with support from the Penistone Area Council and Penistone Ward Alliance. The project has been led by the PCC but new groups such as a 'friends of' group have been established to support the project. So far plans have been submitted to and approved by the Diocese of Sheffield to create space within the church and improve accessibility and facilities.

Outside the church, 'Len's Friends' have been working on the history of the churchyard and clearing overgrown areas. Len's Friends have also been supported by the Penistone Area Council commissioned 'clean and tidy' service.



The Penistone Area Team were able to advise strategically in the early stages of the project then assist with funding advice, some of which was provided by the Penistone Ward Alliance. The Area Team have also established links with other projects such as Penistone Arts Week, for which St Leonard's will be a venue hosting a children's art exhibition and live music events.

This is an ongoing project which is being completed in phases as grants and fundraising progress. The first phases of interior works, part funded by the Penistone Ward Alliance, will be completed in early 2019. This involves moving pews and installing a projector and drop-down screen.

The project provided a new opportunity for Twiggs - Penistone Clean and Tidy Team to work with volunteers in Wortley. The next stages are continued physical work inside and outside the church, alongside the development of new groups to use the facilities. These include groups for art, local history and a coffee morning.



## BARNSELEY METROPOLITAN BOROUGH COUNCIL

This matter is not a Key Decision within the Council's definition and has not been included in the relevant Forward Plan

Report of the Executive Director – Core Services &  
Service Director – Finance (Section 151)

### CORPORATE FINANCIAL PERFORMANCE QUARTER ENDING 31<sup>st</sup> December 2018

#### 1. Purpose of Report

1.1 To consider the financial performance of the Authority during the third quarter ended December 2018 and assess the implications against the Council's Medium Term Financial Strategy (MTFS). The key headlines are:

- The position for Council services is a projected operational underspend of £2.418M in 2018/19;
- The position on Corporate Budgets shows an operational underspend of £2.530M;
- Although quarter 3 is reporting a positive position, the Council still has some significant savings to deliver over the next 3 years within a financial climate that remains both uncertain and challenging.

#### 2. Recommendations

2.1 It is recommended that Cabinet:

- Requests that Executive Directors for Place reviews the plans in place within Environment & Transport to ensure a balance position and sustainable budget in 21019/20 and beyond.;
- requests that the Executive Director of People brings forward a further report on the specific interventions planned in relation to Special Educational Needs outlining the impacts that these are projected to have on both the outcomes for children and the associated cost profile'
- Approves the earmarking of £4M of the projected underspend for SEN on the basis that this is a known commitment.
- Note the anticipated slippage in expenditure/transfer to reserves required to fund known expenditure commitments in 2019/20 as shown in Appendix 2 Column 7;
- Approve the write off totalling £1.549M of historic debt (£1.423M General Fund/ £0.126M HRA) as shown at para 5.11 of this report;
- Approve the budget virements at Appendix 1;
- Note the challenging financial environment facing the Council despite the positive quarter 3 position;

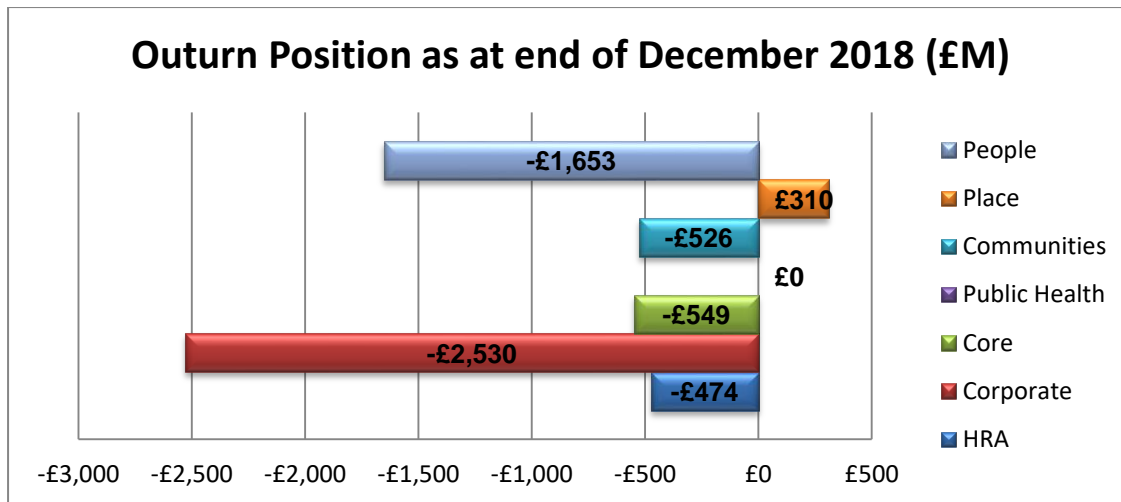
### Overall Position to the Quarter Ending December 2018

There is a projected underspend on Directorate budgets of £2.418M in 2018/19. Corporate Budgets are currently reporting an underspend of £2.530M in an overall Council underspend of £4.948M. As at September the reported position showed an underspend of £2.760M which has subsequently been reflected in the Council's updated Reserves Strategy. However, since that time there has been a further deterioration in relation to the SEN budget position that will result in the need to earmark £4M of the overall underspend, and consequently reduce the BREXIT contingency approved in the budget papers by £1.8M.

The table below provides the monitoring position for the Council as at the end of December 2018 broken down between the 'in year' operational position for 2018/19 and the FYE 2019/20 position. This takes into account one-off funding and non-recurrent savings dropping out, as well as the assumptions that have already been factored into the Council's 2017-2020 Medium Term Strategy. As at Quarter 3, there is no expected impact on the 2019/20 position.

| DIRECTORATE                      | Approved<br>Net Budget<br>2018/19 | Projected<br>Net<br>Outturn<br>2018/19 | Forecast<br>Deficit /<br>(Surplus) | Adjustment<br>for<br>Slippage &<br>Transfer to<br>reserves | Operational<br>Deficit /<br>(Surplus) | FYE<br>(19/20) |
|----------------------------------|-----------------------------------|--|------------------------------------|--|---------------------------------------|----------------|
|                                  | £'000                             | £'000                                  | £'000                              | £'000  | £'000                                 | £'000          |
| <b>People</b>                    | 72,792                            | 69,244                                 | (3,548)                            | 1,895  | (1,653)                               | -              |
| <b>Place</b>                     | 40,760                            | 38,950                                 | (1,809)                            | 2,120  | 310                                   | -              |
| <b>Communities</b>               | 21,447                            | 18,711                                 | (2,736)                            | 2,210  | (526)                                 | -              |
| <b>Public Health</b>             | 4,190                             | 2,171                                  | (2,019)                            | 2,019  | -                                     | -              |
| <b>Core Services</b>             | 15,964                            | 13,835                                 | (2,129)                            | 1,580  | (549)                                 | -              |
| Service Totals                   | <b>155,153</b>                    | <b>142,912</b>                         | <b>(12,241)</b>                    | <b>9,823</b>   | <b>(2,418)</b>                        | -              |
| <b>Corporate / General items</b> | 13,835                            | 7,513                                  | (6,322)                            | 3,792  | <b>(2,530)</b>                        | -              |
| Sub Total – Council              | <b>168,988</b>                    | <b>150,425</b>                         | <b>(18,563)</b>                    | <b>13,615</b>  | <b>(4,948)</b>                        | -              |
| <b>HRA</b>                       | <b>52,067</b>                     | <b>45,507</b>                          | <b>(6,560)</b>                     | <b>6,087</b>   | <b>(474)</b>                          | -              |

- 3.1 The chart below provides an overview of the overall position which breaks down the Deficit/Surplus (-) position across Council Directorates.



#### 4. Delivery of 2018/19 Future Council Savings Proposals

- 4.1 The Q3 position is forecasting a 100% delivery rate against the target for 2018/19 of £4.404M.
- 4.2 The Councils 2018/19 budget is dependent on the delivery of our efficiency savings. These targets are reviewed on a regular basis with Budget Managers and any issues are highlighted early so that recovery plans can be put in place where necessary.



#### 5. Corporate Resources

##### Collection Rates

- 5.1 The Council's major sources of discretionary income are Business Rates and Council Tax. The Council's ongoing financial health is therefore almost completely reliant upon the collection of both these major sources of income. The table below shows the estimated collection rates for Quarter 3 compared to the stretch targets set at the start of 2018/19:

| 2017/18 | 2018/19 | Quarter 3 | Variance |
|---------|---------|-----------|----------|
|---------|---------|-----------|----------|

|                                     | Actual | Stretch Target |        | Q3 to Target |
|-------------------------------------|--------|----------------|--------|--------------|
| <b>Council Tax</b>                  | 96.07% | 96.1%          | 96.05% | -0.05%       |
| <b>Business Rates (local share)</b> | 98.36% | 97.6%          | 97.54% | -0.06%       |

- 5.2 The current Council Tax collection rates are forecast slightly to be slightly below the current stretch target by 0.05% (equivalent to £57k in income) in 2018/19. Every effort will be made during the final quarter to ensure that this shortfall is collected to try and ensure that the stretch target is achieved by the end of quarter 4.
- 5.3 The current Business Rate collection rate is also slightly below the stretch target set for 2018/19 by 0.06% (equivalent to £33k). As the budget is set on a more prudent basis this shortfall does not present a major concern at this stage. The reasons for the reduced collection rate reflect a number of factors including the following:-
- Appeals - Following a successful appeal to the Valuation Office Agency (VOA) a particular hereditament was split into 1889 individually rated 'pods'. This has resulted in the rating assessments becoming more difficult to determine. A number of the accounts have been placed on hold until ratings assessments have been completed by the VOA, meaning 0.15% of the net business rate debit is awaiting collection.
  - Payment Delays – Expected payments in December from a number of businesses have yet to be received (0.26% of net collectable debit). We expect the payment owed for December to be paid in January along with the January instalment. If received, the collection rate would be higher than the stretch target set although there is no guarantee at this stage that this will be the case.
- 5.4 However, it is important to understand that business rate income remains extremely volatile. To counter this, there are monitoring and collection processes in place to ensure that external pressures and any potential risks are considered throughout the financial year.
- 5.5 The Council's 2020 capital investment plans, to accelerate growth in jobs and businesses are expected to provide an increased business rate yield over the period of the MTFS.
- 5.6 There is also an enhanced framework in place of joint working across Council Departments and other agencies/partners to ensure the plans and investment are effective. This is particularly relevant since under the current Business Rate Retention scheme, the Council is able to retain 50% of business rates collected from within the area but Chancellor has since announced that this will rise to 75% by 2020. This increases the significance of the business rate base and subsequent collection rates.
- 5.7 It seems likely that the final deal (including the 'no deal' option) on Brexit will have a major impact on the economy. Until the deal is agreed, it is still very difficult to determine what the exact impact will be but economists continue to indicate that it could create a negative impact on economic growth over the medium term.

Arrears Position

5.8 A summary of the current debt position is shown in the table below. The opening balance of debt at the beginning of the year stood at £26.9M with the current balance at the end of December 2018 being £23.8M. This shows a reduction of £3.1M from the opening balance.

| Type of Debt   | Pre-18/19 Arrears £M | 2018/19 Arrears £M | TOTAL Arrears £M | Bad Debt Provision £M | Write Offs For Approval £M |
|--|----------------------|--------------------|------------------|-----------------------|----------------------------|
| Opening 2018/19 Position (position as at 31.03.2018) | 26.945               | n/a                | 26.945           | 14.752                | -                          |
| Total as at end of September                         | 15.530               | 8.344              | 23.874           | 15.952                | -                          |
| Total as at end of December                          | 13.413               | 10.367             | 23.780           | 14.326                | 1.512                      |
| <b>MOVEMENT September to</b>                         |                      |                    |                  |                       |                            |
| <b>December</b>                                      | (2.117)              | <b>2.023</b>       | <b>(0.094)</b>   | <b>(1.626)</b>        | <b>1.512</b>               |

5.9 The table above also showed an opening bad debt provision balance at the beginning of the year of £14.752M. The current provision as at the end of December stands at £14.326M, a reduction of £0.426M.

5.10 Historic debt is traditionally much more difficult to collect so the position on pre-2018/19 debt is particularly encouraging. The service has already collected 50% of pre 2018/19 debt at the end of quarter 3. A reduction of this size indicates that the measures being taken to improve debt recovery are having a positive effect although it remains good financial management to provide for non-recovery of some of these debts

5.11 The Service Director Finance (Section 151 Officer) is now also seeking approval to write off debt amounting to £1.549M which has become uneconomical to pursue. This is summarised in the table below:

| Type of Dept                                 | Value of Write off (£M) |
|--|-------------------------|
| Council Tax                                  | 1.095                   |
| Business Rates                               | 0.252                   |
| Trade Debt General Fund                      | 0.025                   |
| Trade Debt HRA                               | 0.089                   |
| Housing Benefit Overpayment                  | 0.051                   |
| <b>Total (Collected by BMBC)</b>             | <b>1.512</b>            |
| Former Tenant Rent Arrears- HRA              | 0.037                   |
| <b>Total (Including Tenant Rent Arrears)</b> | <b>1.549</b>            |

### **Impact on MTFS/Reserves**

- 6.1 An updated 2019-22 MTFS forecast will be presented into Cabinet in February 2019 for approval. This reflects a number of pressures and mitigations and will show a balanced position for the period 2019-2021 with a modest deficit remaining for 2021/22.
- 6.2 This position does make some provision for future demands on services but largely assumes that the current service pressures, outlined in this report, will be contained prior to 2019/20. To the extent that these are not fully contained by services there will be a corresponding adverse impact on the updated MTFS position.
- 6.3 An updated reserves position/ strategy will also be included in the 2019/20 budget papers and this position will be continually monitored particularly when the final 2018/19 outturn is known.
- 6.4 It should be noted that the current underspend reported at Q3 is predominantly as a result of one-off funding received for Adult Social Care, as explained in more detail in Section 1 below. This underspend position is not sustainable moving forwards with the funding for Adult Social Care being uncertain MTFS reflects where possible any future pressures in relation to Adults Social Care.

|   | <b>2019/20</b> | <b>2020/21</b> | <b>2021/22</b> |
|---|----------------|----------------|----------------|
| <b>Revised MTFS at December 2018 pre efficiencies</b> | <b>£-M</b>     | <b>£0.028M</b> | <b>£4.857M</b> |

- 6.4 Full plans are in place to deliver the approved 2019/20 KLOE's and detailed delivery plans are currently being worked up for the 2020/21 KLOE's (subject to final approval) to ensure a balanced position over these two years. An approach to deliver the remaining shortfall in 2021/22 of £4.9M will be identified in due course.
- 6.5 It is anticipated that the current forecast underspend in 2018/19 is one-off in nature. The underspend position as at end of September (£2.7M) has been included within the Council's 2019-2022 Reserves Strategy. However, since this time the underlying budget pressures on SEN have worsened. It is now recommended that £4M of the underspend position highlighted within this report (£5M) is earmarked for to offset this pressure. This means the BREXIT contingency set aside within the Reserves Strategy will reduce by £1.7M.

### **Background Papers**

- Service and Financial Planning 2018/19 – Revenue Budget, Capital Programme and Council Tax (Cab.7.2.2018/6)
- The Council's Medium Term Financial Strategy -2019/20 (Cab.6.2.2019/6)



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## SECTION 1 - Executive Director's Summary for People

### Highlights

The latest 2018-19 approved budget envelope for the People Directorate is **£72.792M** and includes schools related budgets of -£2.334M (schools balances and DSG deficit). An underspend is reported against the approved budget before earmarking's of £3.548M. It is proposed to earmark £1.895M, resulting in a net operational underspend of **£1.653M** in the current financial year.

### **Quarter 3 position to the end of the quarter ending December 2018**

| DIRECTORATE                                    | Approved Net Budget 2018/19 (after Virement) | Projected Net Outturn 2018/19 | Forecast Deficit / (Surplus) | Adjustment for Slippage, Grant balances & Transfer to reserves | Operational Deficit / (Surplus) | FYE (19/20) |
|--|--|-------------------------------|------------------------------|--|---------------------------------|-------------|
|  | £'000  | £'000                         | £'000                        | £'000  | £'000                           | £'000       |
| <b>Education, Early start &amp; Prevention</b> | 8,544  | 8,169                         | (375)                        | 114  | (261)                           | -           |
| <b>Adult Social Care &amp; Health</b>          | 41,525                                       | 37,884                        | (3,641)                      | 1,781  | (1,859)                         | -           |
| <b>Children Social Care &amp; Safeguarding</b> | 25,057                                       | 25,525                        | 468                          | -  | 468                             | -           |
| Sub-Total                                      | <b>75,126</b>                                | <b>71,578</b>                 | <b>(3,548)</b>               | <b>1,895</b>   | <b>(1,653)</b>                  | -           |
| <b>Schools</b>                                 | (2,334)                                      | (2,334)                       | -                            | -  | -                               | -           |
| <b>Total - People</b>                          | <b>72,792</b>                                | <b>69,244</b>                 | <b>(3,548)</b>               | <b>1,895</b>   | <b>(1,653)</b>                  | -           |

### Key Variances

**Education, Early Start & Prevention** – a net underspend of (£0.261M) after proposed earmarkings of £0.114M. The increased underspend of £0.011M when compared to Q2 is due to an improved financial performance in Targeted Youth and Education Welfare services. An explanation of the key variances for the year are detailed below:

#### Education Welfare underspend (£0.075M)

- An improved financial position is currently reported for the Service compared to Q2 due to continuing staff vacancies and turnover in the service.

#### School Sufficiency Services underspend (£0.073M)

- The reported underspend relates to staff savings from the early implementation of the Early Start Services staffing review KLOE for 2019/20.

#### Targeted Support Services underspend (£0.112M)

- The reported underspend compares favorably to the Q2 position (-£0.018M) and is attributable to staff vacancies and turnover within Youth Services as well as reduced operating costs (ICT spend) within the Youth Offending Team (YOT).

**Adult Social Care & Health** – A balance of resources (£1.859M) is currently reported for ASC after allowing for a proposed earmarking of £1.781M. The latest position represents a significant change (£1.5M) from that reported in Q2, and is mainly attributable to the impact / use of non-recurrent one-off Government funding such as the Improved Better Care Fund (IBCF), Adult Social Care support grant and the Winter Pressures funding. The use of one-off funding by the Government (in advance of the ASC Green Paper) is not sustainable moving forward and makes it difficult to plan effectively for the long term (i.e. managing significant future risks relating to demographic and cost of care).

Whilst the use of one-off grant funding has had a significant impact on the reported position for the Older People and Working Age Adult client groups, there has also been a noticeable reduction in care provision costs as well as increased health funding / client contributions in the current year. The following explains the key variances for the year:

Older People aged 65+ underspend (£0.946M)

- Staff vacancies and turnover savings of £0.096M – across the various social care locality teams;
- Reduction in care provision costs (residential & nursing care) for the year. The number of clients in receipt of supported care has fallen, with lower rate of admission into residential / nursing care homes since the beginning of the year (16% reduction by Q3 compared to 2017/18). Residential / nursing care home admissions are expected to be below target for 2018/19.
- Higher than expected (£1.6M) contributions from clients, health funding (e.g. continuing health care) as well as funding clawed back from direct payments managed accounts. The increased income is a result of: positive outcome from a number of financial assessments of clients recently undertaken; full year impact of the removal of the £150 weekly fee cap on non-residential care and continuing challenge of the level of health contributions to care packages.
- Proposed earmarking's of (£0.723M) to cover the estimated cost of the uplift of the weekly residential care fee (yet to be formally agreed).

Working Aged Adults aged <65 underspend (£0.831M)

- Staff vacancies and turnover savings of £0.123M – across the Learning Disabilities and Mental Health specialist locality teams;
- An increase in the level of funding contributions from health for joint funded care packages (particularly s117 funding) and increasing level of funding clawed back for direct payments managed accounts.

Joint Commissioning Unit underspend (£0.112M)

- The forecast underspend has arisen mainly from staff turnover / vacancies and minor savings on commissioned contracts.

**Children's Social Care & Safeguarding** – an overspend of £0.468M is forecast for Q3 for the Children Social Care & Safeguarding Business Unit and is mainly attributable to increased children in care (placement) costs.

Children in Care overspend (£0.563M)

- An increase in the number of looked after children (LAC) and associated costs of £0.2M since Q2, mainly attributable to higher external residential care costs offset by reduced spend on fostering and other placement costs over the same period.
- Barnsley's overall LAC population at the end of Q3 is 317, which represents an increase of 31 since Q2. The LAC sufficiency strategy assumes numbers during the year would be managed around the guideline target of 300.  
It should be noted that Barnsley's 2018 LAC numbers (62 per 10k population aged <18) still compares favorably to its statistical neighbours (98) and national average (64).
- Whilst the number of residential care placements has remained stable over the quarter, the overall cost continues to exert pressure on the budget, with 16 residential placements including 2 secure welfare and 8 semi-independent placements for young people requiring housing placed at the end of Q3. Included in the above are a number of Unaccompanied Asylum Seekers Children (UASC) recently taken into care by the Authority in the last quarter. It should be noted that UASC grant funding and contribution from health has been secured to mitigate placement costs where possible.

Safeguarding & Quality Assurance underspend (£0.065M)

- The above forecast underspend is mainly due to staff vacancies and higher than anticipated training income.

Other Variances underspend (£0.030M)

A net underspend is reported across a number of service budgets including: Assessment & Care (staff vacancies offset by LIFT accommodation / staff travel costs); Leaving Care (staff vacancy savings); and Short Break (cost pressures relating to childminding / direct payments spend).

**Schools DSG** - The latest Dedicated Schools Grant (DSG) budget for 2018/19 totals £99.5M, comprising of £79.3M delegated to schools / academies and £20.2M retained centrally by the Council. The DSG budget includes the recently announced additional high needs funding of £0.528M. The following outline the forecast position for schools' budgets:

Delegated DSG budgets underspend (£1.2M)

- Comprises of elements allocated to schools through the local schools funding formula, as well as high needs and early years funding. The latest reported schools balances position showed a projected net surplus of £1.2M for the current financial year.
- The position includes 3 schools (Hoylandswaine primary, Penistone Grammar school, and Springvale primary) with reported deficit positions for the year. Recovery plans or actions have been agreed with these schools to address or manage down these deficits over set timeframes.

Centrally retained schools DSG budget overspend £8.4M

- A DSG overspend of £8.4M is currently forecast across all the centrally retained budgets and includes the additional high needs funding allocated by the Government of £0.5M. The reported position represents a worsening position when compared to the £7.3M

deficit reported for Q2 position (a change of £1.5M after adjusting for the additional Government funding). The increase in the forecast deficit is attributable to increased external SEN placements in the 2018 autumn term (new academic year), plus assumed underspend in the early years block was less than the level forecast in Q2.

- The above net overspend, which mainly relates to the high needs block, is made up of £5.2M carried forward from 2017/18 plus an in-year net pressure of £3.2M (mitigated by underspends in the early years funding block). The pressures faced in the high needs block are mainly due to the following: out of borough SEN placements costs; increased termly adjustments and exceptional funding allocations to schools/academies – due to rise in pupils with EHC plans);
- Also, the planned reduction in Out of Borough SEN costs as outlined in the approved SEND Strategy/Financial Plan has not been realised in the current year.

### **Approved Savings Position**

The approved 2018/19 savings target for the PEOPLE Directorate totals £2.187M, analysed across the respective business units as follows:

- £0.985M - BU1 Education, Early Start & Prevention;
- £1.202M - BU2 Adult Social and Health care.

All 2018/19 approved savings proposals are on track and expected to be fully delivered in the current year.

### **Current Actions and Future Risks**

The following outline the **key actions** being undertaken by the Directorate to address the identified pressures in Children Social Care & Safeguarding:

- Continue to manage placements in an effective and safe manner and ensure that costs are managed down through the following: tracking of placements by the Placement Oversight Resource Panel; implementing the action plan from the review of the fostering service; and continuation of the targeted recruitment campaign to attract in-house foster carers.

The main **risks in 2019/20** relate to demand-driven pressures in children services, adult social care as well as the escalating cost of SEN placements in external provision. The following summarises the key risks facing the Directorate :

- BU1: Education, Early Start, & Prevention  
The business unit will continue to face pressures from reductions in external funding e.g. Youth Justice Board (YJB) grant, SEN implementation grant and trading income from schools (Education Psychology, Education Welfare and Schools Governor services).
- BU1: Schools Budgets (High Needs)

An in-year net budgetary pressure of £3.2M (excluding the carry forward deficit) is currently forecast against the high needs budget in 2018-19. Whilst this in-year pressure is expected to reduce over the coming years (due to the impact of the implemented actions in the SEN strategy), there is still an ongoing sustainability issue with projected deficits forecast in future years. There is a DfE requirement for LAs to put in place a 3 year recovery plan to address sustainability issues. This would be very challenging for Barnsley to deliver a sustainable plan within 3 years given the cost pressures in the high needs budget. As a longer timescale would be required to turn things around following recent investments and implementation of agreed actions.

- BU2: Adult Social Care & Health

Pressures from care providers for fee increases to meet national living wage commitments, cost of care (to address market sustainability) and our need to improve the quality of care provision will pose the greatest challenge to the Council in 2019/20. This is in addition to significant demand risks that might arise from projected growth in the adult population, particularly in the 65+ age group. The delay of the Government's Adult Social Care Green Paper and the continued use of non-recurrent and one-off funding (e.g. IBCF, Winter Pressures funding) makes long term planning difficult.

- BU3: Children social care & safeguarding

The increasing forecast LAC cost, particularly in relation to residential placements reflects some of the challenges facing the Council in finding suitable / appropriate placements, such as: increasing competition for limited placements both locally and within the region (a catalyst for driving up costs) and difficulty in placing older children (with challenging needs) with foster carers.

The required actions / measures to manage LAC numbers over the medium term are set out in the recently refreshed LAC Sufficiency Strategy, however rising unit cost of placements is beginning to exert pressure on budgets. The ongoing work to track / plan LAC placements would ensure the stability of Barnsley's LAC numbers around the 300 mark and maintain costs within affordable limits

## SECTION 2 – Executive Director’s Summary for Place

### Highlights

The latest revised 2018/19 approved budget envelope for the Place Directorate is **£40.760M**. Based on current projections, there is an under-spend against the approved budget before earmarking’s of (£1.809M). Of this, £2.119M is proposed for ear marking resulting in a net operational overspend of **£0.310M** in the current financial year. This represents an improvement of (£0.199M) on the position reported at the end of Quarter 2.

### **Quarter 3 position to the end of the quarter ending December 2018**

| DIRECTORATE                         | Approved Net Budget 2018/19 (after Virement) | Projected Net Outturn 2018/19 | Forecast Deficit / (Surplus) | Adjustment for Slippage, Grant balances & Transfer to reserves | Operational Deficit / (Surplus) | FYE (19/20) |
|-------------------------------------|--|-------------------------------|------------------------------|--|---------------------------------|-------------|
|                                     | £'000  | £'000                         | £'000                        | £'000  | £'000                           | £'000       |
| <b>*Regeneration &amp; Property</b> | 10,514                                       | 8,276                         | (2,238)                      | 2,120  | (119)                           | -           |
| <b>Culture &amp; Housing</b>        | 1,095  | 1,039                         | (56)                         | -  | (56)                            | -           |
| <b>Environment &amp; Transport</b>  | 29,151                                       | 29,636                        | 485                          | -  | 485                             | -           |
| <b>Total – Place</b>                | <b>40,760</b>                                | <b>38,950</b>                 | <b>(1,809)</b>               | <b>2,120</b>   | <b>310</b>                      | -           |
| <b>Housing Revenue A/C</b>          | 52,067                                       | 45,507                        | (6,560)                      | 6,087  | (474)                           | -           |

*\*Includes schools BSF/PFI net budgets of (£1,283) ring-fenced from the Directorate*

### Key Variances

There are a number of contributing factors that have resulted in this position. The key variances by Business Unit are set out below:

**Regeneration & Property** – underspend of (£0.119M) is forecast at quarter 3 after proposed earmarking’s of £2.120M, an increase of (£0.082M) from quarter 2. Predominately as a result of increases in vacancies across the structure.

The main variances contributing to the forecast underspend are:

- Staff vacancies Planning & Building Control (£0.157M);
- Undeliverable Planning Fee Income £0.127M;
- Delays in progressing the Strategic Transport Feasibility study (£0.160M);
- (£0.309M) savings across the Authority’s Asset portfolio as a result of lower than anticipated utilities due to a change of supplier; NNDR savings relating to the town centre redevelopment and a more prudent approach to repairs and maintenance across the estate to ensure maximization of the planned maintenance resource envelope.
- After earmarking’s of £1.670M associated with the PFI whole life cost models, a further £0.450M is proposed to be earmarked to mitigate in year pressures identified in 2019/20 as a result of under occupancy across the estate whilst the town centre is under development and the wider buildings rationalisation review is completed.

**Culture & Housing** – an underspend of (£0.056M)

- A forecast shortfall in commercial income £0.056M;
- Staff savings across the service (£0.068M).
- Bereavement Fee Income (£0.050M).
- Contributions & Overheads £0.006M.

**Environment & Transport** – An overspend of £0.485M is forecast for Quarter 3, an improvement of £0.098M from quarter 2 as a result of savings against fleet vehicle leasing.

The key variances are detailed below:

Operations, Recycling, Neighbourhoods & Transport £0.083M overspend

- Transport £0.401M – Continued significant rise in demand for Home to School transport together with the increased cost of out of borough placements and a rising demand for the use of escorts (provision made in 2019/20 MTFS for increased costs);
- £0.225M undelivered KLOE from previous periods – mitigation below.
- Neighbourhood Services (£0.207M) – primarily relates to staff vacancies within the team and the part year effect of the restructure of the service to be implemented from February 2019;
- Fleet (£0.052M) – The under-spend relates to the additional cost of repairs to the authorities fleet of vehicles being offset by savings on operational leasing rents;
- Waste Collection (£0.230M) – The under-spend relates to delays in filling the new staffing structure, forecast savings on contract hire charges and fuel following the purchase of new refuse collection vehicles in 2017/18.
- Staff Vacancies and other savings (£0.041M).

Highways, Engineering & Transportation Services (£0.823M)

- Construction Services (£0.378M) – delays in appointing to management posts within the service, a continuation of the same productivity levels as in 2017/18;
- Highways / Engineers / Highways Maintenance (£0.463M) – underspend relates primarily to staffing costs (£0.289M) and a non-recurring increase in fee income (£0.135M).

Commercial & Operational Services £1.228M

- Contracts Management / TLS (Waste Disposal) £1.288M – overspend relates to the delay in delivery of mitigating actions (see below) to offset previous undelivered efficiencies from the waste PFI contract (£0.600M) and a continuation of the problems encountered by the service due to the fall in the market price of recyclates (£0.814M).

**Approved Savings Position**

2018/19 Efficiency Savings

The planned efficiency savings for 2018/19 totaling £1.215M from across the directorate have all been delivered.



### Mitigation from prior years (£1.844M total target)

£1.034M of efficiencies has been delivered. The target for 2018/19 is £0.810M with the following proposals still to be delivered for 2019/20:

| <b>Efficiency Saving</b>   | <b>£M</b>     |
|----------------------------|---------------|
| Transfer Loading Station * | 0.300M        |
| Travel Training**          | 0.075M        |
| Highways Materials ***     | 0.075M        |
| Contract Procurement       | 0.250M        |
| <b>TOTAL</b>               | <b>0.700M</b> |

\* The TLS is currently forecast to be delivered in April 2019

\*\* Travel Training is delivered in conjunction with the People Directorate

\*\*\* The cold mix pilot has been terminated following evaluation

### Housing Revenue Account (-£0.474M)

- The Housing Revenue Account is currently forecasting an operational underspend at the end of December of (£0.474M). This anticipated position is after adjusting for slippage on the capital programme and service earmarking's. See Appendix 5 for a detailed HRA position.
- There are minor adverse variances forecasted across a number of areas of both income and expenditure totalling £0.156M, which represents an overall pressure on the HRA budget. These individual elements will be monitored accordingly during the remainder of the financial year.
- The above is offset by an increase in dwellings rent of (£0.372M) compared to the budgeted position as a result of lower RTB sales and fewer void properties than anticipated. Although the number of voids has started rise in the past month, the current forecast remains prudent as this includes a tolerance for further increases to void rates.
- There is also an expected underspend on the provision for bad debts (£0.258M) due to lower than forecasted arrears, as a result of the delay in rolling out Universal Credit within the Borough. Interest costs are also expected to be lower (£0.200M) as a result of debt maturing within the HRA portfolio.
- The repairs and maintenance budget is currently forecasted to breakeven. Trend analysis and detailed monitoring reports from the PRIP Finance Task Team shows an overspend could materialise. Corrective actions are currently being undertaken to ensure a balanced position is maintained. However, there is no provision in the budget to cover the impact of a severe winter and possible increased required maintenance. The forecasted position includes proposals to earmark £0.295M for the Electrical Testing and Legionella programmes not expected to complete in 2018/19.
- It is proposed to earmark £0.200M to fund the impact of the Homelessness Act over the two year period 2018/19 through 2019/20.
- Finally, £6.087M of the planned revenue contribution to capital is forecasted to be rolled - forward in the HRA working balance to fund commitments on the 5 year approved programme, mainly due to re-phasing of capital schemes with RCCO funding sources.

### **Current Actions and Future Risks**

As highlighted above, a number of mitigating actions have been put forward. Some progress has already been made in delivering on this. Further action will continue to be progressed with a view to delivering a balanced budget by 2020 and beyond, however there remains a number of ongoing pressures:

- The Home to School Transport is highlighted as a key area for concern and has received additional budget provision through the MTFS this year. However, since the start of the September term there has been a rise in transport provision and costs by much more than was originally predicted. This has impacted most on the average cost per day of transporting children to outer borough locations which now includes a number of looked after children, a cohort that has not previously been identified as a pressure. A report will therefore be submitted to update Cabinet on the latest forecast position for 2019/20 and considered as part of 2019/20 Service and Financial Planning.
- Household Waste & Recycling levels will continue to be monitored and address where possible. Whilst recycling remains encouraging with the current position being 2.1% higher than last year's levels, the income associated with this has fallen due to volatile, competitive markets.
- Markets Income there is an anticipated shortfall in markets rental income in 2019/20 due to the ongoing construction programme of the new development, resulting in unoccupied stalls. Market stall lettings will continue to be actively progressed. The £0.150M earmarking proposed above will contribute to alleviate this pressure.
- Council Buildings programme the rationalisation of Council buildings programme is expected to deliver significant savings following the closure and hand back of buildings to contribute towards mitigating future funding gaps. However, there remains the risk of significant cost pressures, potentially giving rise to an overspend within Property services should the programme not happen or delays occur. In addition potential unknown costs relating to the ongoing property maintenance across the estate continues to be a concern, this continues to be monitored and managed as far as possible. Finally a review unoccupied spaces across the asset portfolio will continue, particularly in relation to the Lift Buildings and Business Centres, to ensure we are maximising the use of our assets.

The directorate continues to work hard to bring forward necessary mitigations for all of the above pressures and concerns. A plan is currently in place to achieve a balanced budget by 2020. Progress against the plan will be carefully monitored with any ongoing issues being reported to Cabinet as required.

## SECTION 3 - Executive Director's Summary for Communities

### Highlights

The total net budget for the Directorate is **£21.447M**. Total forecast net expenditure is £18.711M, resulting in a forecast underspend before earmarking's of £2.736M. Of this sum £2.210M is proposed for earmarking (*primarily relating to multi-year grant allocations and Commissioning and Ward Alliance budgets*) resulting in an operational underspend for the year of **£0.526M**.

### **Quarter 3 position to the end of the quarter ending December 2018**

| DIRECTORATE                           | Approved Net Budget<br>2018/19 (after<br>Virement) | Projected Net<br>Outturn<br>2018/19 | Forecast<br>Deficit /<br>(Surplus) | Adjustment<br>for Slippage<br>& Transfer to<br>reserves | Operational<br>Deficit /<br>(Surplus) | FYE<br>(19/20) |
|---------------------------------------|--|-------------------------------------|------------------------------------|---|---------------------------------------|----------------|
|                                       | £'000  | £'000                               | £'000                              | £'000   | £'000                                 | £'000          |
| <b>Customer Services</b>              | 2,953  | 2,205                               | (748)                              | 103   | (645)                                 | -              |
| <b>Safer, Stronger,<br/>Healthier</b> | 8,885  | 6,663                               | (2,222)                            | 2,107   | (115)                                 | -              |
| <b>IT</b>                             | 9,609  | 9,843                               | 234                                | -   | 234                                   | -              |
| <b>Total – Communities</b>            | <b>21,447</b>                                      | <b>18,711</b>                       | <b>(2,736)</b>                     | <b>2,210</b>  | <b>(526)</b>                          | -              |

### Key Variances

The overall forecast overspend for the Communities Directorate has improved by £0.290M since the reported position at quarter 2, this is predominately as a result of reduced contract costs and careful vacancy management. Key variances are summarized below.

**Customer Services** are currently projecting an operational underspend (£0.645M) for the year. The key contributors to this position are:

- Day Opportunities (underspend £0.332M) – the recent closure of the Keresforth Centre and vacancy retention across the service are key contributors to the expected outturn position.

*It should be noted that £0.120M of the underspend has been transferred to Adult Social Care - (People Directorate) and has been reflected in their Q3 reporting figures.*

- ALT & Reablement (underspend £0.303M) – the underspend expected is as a result of increased income following the recent price increase for Assisted Living Technology services along with vacancy retention within ALT (£0.040M) and Reablement (£0.082M).

**Safer, Stronger & Healthier Communities (SSH)** (underspend £0.115M) – the underspend expected is as a result of vacancy retention.

**IT Services** are currently projecting an over spend for the year of £0.234M, the reasons for this are as follows:

- Software License and Equipment Costs - (£0.482M overspend), a £0.124m reduction in the estimated outturn when compared to quarter 2. This is as a result of a review of contract costs and cost projections. Factors such as an increase in license costs and changes in contracting arrangements offered by external providers continue to cause significant challenges for the service. Software License and Equipment costs will continue to be reviewed as part of the future service redesign and the overarching implementation of the Digital First strategy.
- Vacancy Retention (£0.248M underspend) – it is important to note that £0.342M in salary and vacancy related savings were transferred in Q2 and earmarked to support the delivery to the Digital First programme, these are reflected in the Corporate budget monitoring report

### **Approved Savings Position**

The Directorate has total approved savings of £0.241M to deliver in 2018/19.

The total savings target will be achieved in year however the Selective Licensing KLOE has now been withdrawn. As an interim measure in 2018/19 all savings attributable to Selective Licensing in 2018/19 will be met from a planned earmarking brought forward from 2017/18. From 2019/20 onwards savings will accrue from three new replacement KLOE's.

### **Current Actions and Future Risks**

Several service reviews will be ongoing during 2018/19 across Communities to ensure Business Units continue to provide economic, efficient and effective services and are fully prepared to meet the extensive (£1.7m) in KLOE savings that are due for delivery in 2019/20.

Reviews include:

- Remodeling of Customer Services which notably includes the Library Review.
- Leading the Council's Digital First Strategy.
- Provider Services reviews including Day Opportunities, Reablement and Assisted Living Technology.

Within Safer Communities the requirement to deal with the additional burdens of the latest Homelessness Reduction Act. Holden House and the provision of support services for young people are all expected to bring some significant challenges.

From an IT perspective uncertainty remains regarding software license cost increases along with changes in contracting arrangements from external suppliers - work is ongoing to monitor these arrangements with a view to mitigating these pressures and drive out value for money wherever possible.

Excepting the above, there are considered to be no immediate issues within the Directorate that will impact adversely on Communities ability to operate within its budgetary envelope during 2018/19.

## SECTION 4 - Director's Summary for Public Health & Regulation

### Highlights

The total net budget for the Directorate is **£4.190M**. Based on financial performance to date and forecast activity for the remainder of the year, an operational under-spend of (**£2.018M**) has been estimate, of which is proposed to be earmarked.

This underspend largely comprises of a planned underspend of £1.553M to be earmarked to support future year Public Health Commitments (as per the PH 4

### **Quarter 3 position to the end of the quarter ending December 2018**

| DIRECTORATE                                  | Approved Net Budget 2018/19 (after Virement) | Projected Net Outturn 2018/19 | Forecast Deficit / (Surplus) | Adjustment for Slippage & Transfer to reserves | Operational Deficit / (Surplus) | FYE (19/20) |
|--|--|-------------------------------|------------------------------|--|---------------------------------|-------------|
|  | £'000  | £'000                         | £'000                        | £'000  | £'000                           | £'000       |
| <b>BU10 – Public Health &amp; Regulation</b> | <b>4,190</b>                                 | <b>2,172</b>                  | <b>(2,018)</b>               | <b>2,018</b>                                   | <b>-</b>                        | <b>-</b>    |

### Key Variances

The forecast underspend of £2.018M for the current year largely comprises:

- **The Planned Underspend against the 4 Year Plan Commitments (£1.553M)** – this is intrinsic to the fulfilment of the Public Health 4 year plan – the intention being to carry forward the underspend into future years to meet identified commitments.
- **Contract Slippage (£0.127M)** – slippage on planned contract spend has resulted in a requests for earmarking in respect of a number of contracts including Suicide Prevention, Flu Vaccination, Plus Me and Food Inspections.
- **Staff Vacancies (£0.165M)** – this largely relates to the 0-19 service where an underspend in the region of £0.135m is expected due to staff leaving the service and subsequent vacancies.
- **Budget Re-profiling/Early Achievement of KOE Savings (£0.128m)** – representing the preparatory work undertaken to support the effective delivery of future KLOE savings and includes the early achievement of targets.

### Approved Savings Position

The Directorate had total approved savings of £0.255M to deliver in 2018/19. All savings have either been delivered in full or are on target to be delivered by the end of 2018/19.

**Current Actions and Future Risks**

Over the entire four year plan period (to 2020/21), the Council's MTFS includes additional provision to enable the service to mitigate the impact of planned reductions in Public Health Grant.

It is envisaged that the provision of additional funding from the Council, use of earmarkings and delivery of identified savings will enable the service to continue to maintain a modest surplus position to 2020/21.

## SECTION 5 - Executive Director's Statement For Core

### Highlights

The latest approved budget for 2018/19 for the Core Directorate is £15.964M. Based on current projections the Directorate is forecasting an outturn of £13.836M as at the end of Quarter 3, resulting in an under-spend, before earmarking's of £2.130M. Of this £1.579M is proposed for earmarking resulting in an overall estimated operational under-spend of **£0.549M** for 2018/19.

### **Quarter 3 Position to the end of the quarter ending December 2018**

| DIRECTORATE                     | Approved Net Budget 2018/19 (after Virement) | Projected Net Outturn 2018/19 | Forecast Deficit / (Surplus) | Adjustment for Slippage & Transfer to reserves | Operational Deficit / (Surplus) | FYE (19/20) |
|---------------------------------|--|-------------------------------|------------------------------|--|---------------------------------|-------------|
|                                 | £'000  | £.000                         | £'000                        | £'000  | £'000                           | £'000       |
| <b>Finance</b>                  | 5,474  | 4,367                         | (1,107)                      | 750  | (356)                           | -           |
| <b>HR</b>                       | 2,005  | 1,683                         | (322)                        | 322  | 0                               | -           |
| <b>Business Imp &amp; Comms</b> | 3,398  | 2,964                         | (434)                        | 405  | (29)                            | -           |
| <b>Legal Services</b>           | 770  | 683                           | (87)                         | 0  | (87)                            | -           |
| <b>Elections</b>                | 688  | 633                           | (55)                         | 55   | -                               | -           |
| <b>Council Governance</b>       | 1,675  | 1,640                         | (35)                         | 0  | (35)                            | -           |
| <b>Joint Authorities</b>        | 1,954  | 1,865                         | (89)                         | 47   | (42)                            | -           |
| <b>Total – Core</b>             | <b>15,964</b>                                | <b>13,835</b>                 | <b>(2,129)</b>               | <b>1,580</b>                                   | <b>(549)</b>                    | <b>-</b>    |

### Key Variances

An under-spend of £0.549M is forecast for 2018/19, a slight decrease from the underspend reported at quarter 2 by £0.105M. This is largely as a result of the increase in ear marking requests across the Directorate.

#### **Finance – underspend of (£0.356M) after proposed earmarkings of £0.750M:**

- A combination of staff turnover and vacant posts as a result of the new staffing structure implemented in October 2018, along with the early delivery of 2019/20 efficiency savings.
- Unspent earmarking's as a result of ongoing projects to further enhance financial systems and other digital technologies to support delivery of the business unit objectives – requested to be carried forward into 2019/20.
- Additional earmarking request of £0.250M to support Council wide business case proposals via the Commercial Investment Fund.

#### **HR– breakeven position after proposed earmarkings of (0.322M)**

- High levels of staff turnover and vacant posts pending a wider restructure, along with unspent earmarking's due to delays in the implementation of digital solutions;
- £0.322M earmarking proposed to continue to fund temporary staffing provision to 2020 and ongoing delivery of technological enhancements.

**Performance, Business Improvement & Communications – underspend (£0.029M) after proposed earmarkings of £0.405M:**

- Staff turnover and vacant posts pending a restructure to support the Business Unit's plans and delivery of 2020 efficiency targets and underspend of Corporate Training;
- £0.405M earmarking requested to continue to fund temporary staffing provision and technological enhancements.

**Legal Services – underspend of (£0.087M):**

- (£0.144M) additional income received through entertainment licences and court fees as a result of an increase in the number of enforcements;
- (£0.024M) general under-spending of supplies & services;
- £0.041M unforeseen cost pressures associated with a complex legal case;
- £0.040M high levels of a printing due to the delays in implementing the new electronic case management system.

**Elections – breakeven position after proposed earmarkings of (£0.055M):**

- Reinvestment of the income received from the Sheffield City Region Mayoral election to purchase new polling booths.
- £0.055M proposed to be ear marked to contribute towards costs associated with the 2019/20 Local Election.

**Council Governance - underspend of (£0.035M):**

- Part year vacant post netted off against early introduction of new post that will be funded by reinvestment in 2019/20 as part of the wider KLOE Core restructure.

**Joint Authorities - underspend of (£0.042M) after proposed earmarkings of £0.047M:**

- Vacancy factor of the Business Support team which transferred to the service in October 2018;
- £0.047M proposed to be ear marked to continue to fund relief posts.

**Approved Savings Position**

The Directorate had total approved savings of £0.505M to deliver in 2018/19. All savings have either been delivered in full or are on target to be delivered by the end of 2018/19.

**Current Actions and Future Risks**

- Technology -There is a common risk across the Core Directorate where there is reliance on technology to support delivery of future year KLOE's, that IT will not be able to provide the required support or the technology does not provide the solutions anticipated presenting a risk to both the quality of service provision as well as the achievement of anticipated savings. This risk cannot be mitigated by the Directorate alone and will be predicated around the re-design of IT services and the ongoing work in support of the Digital First Strategy.
- Capacity and staff turnover continues to be a problem in particular within the Finance and Legal Business Units. Legal are in the process of implementing a minor restructure to increase capacity within the key demand areas Commercial, Planning and Safeguarding to ensure the service is equipped to support the Council effectively.
- The Finance Business Unit has under taken a major re-design of the functions it delivers, with a new structure operational from October 2018. This will allow delivery of 2020 efficiency targets and ensure the service is equipped to continue to support our Future



Council and contribute towards setting a sustainable landscape for the future.

- The Joint Authorities Service are reviewing their income streams to ensure current grant funded schemes are maximised and exploring opportunities for new income streams.
- The transfer of Housing Benefits to the DWP will be further delayed; however funding has been earmarked in 2018/19 and may need to be requested again in 2019/20 to continue to support this transition.
- A major re-design of the Core Directorate is planned to be implemented over the next 2 years commencing April 2019 impacting on BU14 HR and BU19 Council Governance. The changes will ensure that we maintain a 'Strong and Lean Core' to support our Future Council.

## SECTION 6 - Commentary on Corporate Budgets

### Highlights

The latest 2018-19 approved corporate budget is **£13.835M**. Corporate budgets include for example, Capital Financing, Pension costs, Insurance, Levy's etc. A underspend of **£2.530M** is currently forecast (after earmarkings).

### **Quarter 3 position to the end of the quarter ending December 2018**

| Corporate Area                      | Approved Net Budget 2018/19 (after Virement) | Projected Net Outturn 2018/19 | Forecast Deficit / (Surplus) | Adjustment for Slippage, Grant balances & Transfer to reserves | Operational Deficit / (Surplus) | FYE (19/20) |
|-------------------------------------|--|-------------------------------|------------------------------|--|---------------------------------|-------------|
|                                     | £'000  | £'000                         | £'000                        | £'000  | £'000                           | £'000       |
| <b>Capital Financing</b>            | 16,264                                       | 14,764                        | (1,500)                      | -  | (1,500)                         | -           |
| <b>CDC</b>                          | 789  | 789                           | -                            | -  | -                               | -           |
| <b>Levies</b>                       | 1,730  | 1,730                         | -                            | -  | -                               | -           |
| <b>Corporate Items</b>              | (2,529)                                      | (2,529)                       | -                            | -  | -                               | -           |
| <b>Provisions</b>                   | 17,684                                       | 12,862                        | (4,822)                      | 3,792  | (1,030)                         | -           |
| <b>Provisions – Pension Deficit</b> | 7,068  | 7,068                         | -                            | -  | -                               | -           |
| <b>Contributions from Balances</b>  | (27,171)                                     | (27,171)                      | -                            | -  | -                               | -           |
| <b>Total – Corporate</b>            | <b>13,835</b>                                | <b>7,513</b>                  | <b>(6,322)</b>               | <b>3,792</b>   | <b>(2,530)</b>                  | <b>-</b>    |

### Key Variances

- As reported at Quarter 2 the capital financing budget is expected to underspend by £1.500M due to taking advantage of low interest rates. Such savings will reduce as the Council fixes more of its debt in line with its Treasury Management Strategy.
- A £4.822M underspend is currently forecast against the Corporate Provision budget. As reported at Q2 this includes a forecasted £1.2m underspend against a provision that was set aside for reinvestment into Adult Social Care to meet potential additional demographic pressures. A further £3.6M had also been provisionally earmarked within the budget in relation to general spending pressures across the social care service. Since this assumption was made additional specific government grants have been confirmed, meaning that this sum will not be required in the current financial year.
- However, a number of commitments / investment priorities have already been made against this underspend including:
  - Tour De Yorkshire 2019;
  - Pressures within Special Educational Needs;
  - Town Spirt;
  - Town Centre Anti-Social Behaviour;
  - Assets Rationalisation programme;
  - CPO land at Carlton;
  - Funding previously earmarked for Digital First

## Other Items

### External Trading - BMBC Services Ltd

- BMBC Services is forecasting a 'profit after tax' of approximately £0.150M which will be used to support the Digital First programme.

### £3.5 Million Invest to Grow Fund

- A total of £1.875M is estimated to be spent during 2018/19, with a further £0.202M in 2019/20, and £0.088M in 2020/21;
- £0.633M (34%) has been incurred to date during 2018/19 with a further £0.433M (23%) committed and expected to be spent in the final quarter of this financial year. The remaining £0.809M (mainly relating to new schemes approved in August), is expected to slip into 2019/20.

| Invest to grow fund        | Total        | 2016/17      | 2017/18      | 2018/19      | 2019/20      | 2020/21      |
|----------------------------|--------------|--------------|--------------|--------------|--------------|--------------|
|                            | £M           | £M           | £M           | £M           | £M           | £M           |
| <b>Fund allocated</b>      | 3.000        | 0.305        | 2.199        | 0.457        | 0.039        | 0.088        |
| <b>Carry Forward</b>       |              |              | (1.009)      | 0.788        |              |              |
| <b>Re-allocated</b>        |              |              |              | 0.221        |              |              |
| <b>New Allocation</b>      | 0.660        |              |              | 0.409        | 0.163        | 0.088        |
| <b>Total Allocation Q3</b> | <b>3.660</b> | <b>0.305</b> | <b>1.190</b> | <b>1.875</b> | <b>0.202</b> | <b>0.088</b> |

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## CORPORATE BUDGET MONITORING AS AT 31ST DECEMBER 2018

|   | <u>(col 1)</u>         | <u>(col 2)</u>       | <u>(col 3)</u>    |
|---|------------------------|----------------------|-------------------|
|   | <u>Transfers From:</u> | <u>Transfers To:</u> | <u>Net Effect</u> |
|   | <u>£</u>               | <u>£</u>             | <u>£</u>          |
| <b><u>SECTION A - VIREMENTS FOR APPROVAL (DECEMBER):</u></b>                |                        |                      |                   |
| sub-total: Virements for approval   | -                      | -                    | -                 |
| <b><u>SECTION B - VIREMENTS ALREADY APPROVED BY CABINET (DECEMBER):</u></b> |                        |                      |                   |
| Transfer of Business Support Function from BU14                             | - 1,940,702            | -                    | 1,940,702         |
| Transfer of Business Support Function to Joint Authorities                  |                        | 1,940,702            | 1,940,702         |
| sub-total: Virements already approved by Cabinet                            | -                      | -                    | -                 |
| <b><u>SECTION C - VIREMENTS WITHIN DELEGATED POWERS (DECEMBER):</u></b>     |                        |                      |                   |
| Transfer of Multi Storey Car Park NNDR Budget from BU4                      | - 39,907               | -                    | 39,907            |
| Transfer of Multi Storey Car Park NNDR Budget to BU6                        |                        | 39,907               | 39,907            |
| BU2 - Lift Building recharge  | - 75,000               | -                    | 75,000            |
| BU3 - Lift Building recharge  |                        | 75000                | 75,000            |
| Transfer of budget for post from Customer Services (BU7)                    | - 28,535               | -                    | 28,535            |
| Transfer of budget for post to IT (BU12) -                                  |                        | 28535                | 28,535            |
| Contribution to Dementia project to (BU8)                                   | - 1,500                | -                    | 1,500             |
| Contribution to Dementia project from Corporate Budgets                     |                        | 1500                 | 1,500             |
| <b><u>Sub-total: Virements within powers</u></b>                            | -                      | -                    | -                 |
| <b><u>GRAND TOTAL - ALL VIREMENTS</u></b>                                   | -                      | -                    | -                 |

| <b>DIRECTORATE / DIVISION OF SERVICE BUDGET VARIANCES</b> |  | (col 1)                             | (col 2)   | col 3                                    | latest<br>(col 4)          | (col 5)                           | (col 6)             | (col 7)  | (col 8)                               |
|---|--|-------------------------------------|---|--|----------------------------|-----------------------------------|---------------------|--|---------------------------------------|
|   |  | Original Net<br>2018-19 Budget<br>£ | Cumulative<br>Approved<br>Variations<br>/Earmarkings<br>April - Sept<br>£ | Approved<br>Variations Oct -<br>Dec<br>£ | Revised Net<br>Budget<br>£ | Forecast Outturn<br>December<br>£ | Variation<br>£      | Adjustment for<br>Slippage &<br>Transfer to<br>Reserves Dec<br>2018<br>£ | Operational<br>Deficit /<br>(Surplus) |
| <b>DIRECTORATE</b>  |  |                                     |   |  |                            |                                   |                     |  |                                       |
| <b>PEOPLE</b>   |  |                                     |   |  |                            |                                   |                     |  |                                       |
| BU1   | Education and Early Start Prevention (Inc. Schools)                | 8,350,976                           | (2,141,011)   | -  | 6,209,965                  | 5,834,737                         | (375,228)           | 113,786  | (261,442)                             |
| BU2   | Adult Assessment and Care Management                               | 39,307,322                          | 2,292,503   | (75,000)                                 | 41,524,825                 | 37,883,927                        | (3,640,898)         | 1,781,207  | (1,859,691)                           |
| BU3   | Children Assessment and Care Management                            | 24,962,963                          | 19,142  | 75,000                                   | 25,057,105                 | 25,525,231                        | 468,126             | -  | 468,126                               |
|   | <b>sub-total People</b>  | <b>72,621,261</b>                   | <b>170,634</b>  | <b>-</b>                                 | <b>72,791,895</b>          | <b>69,243,895</b>                 | <b>(3,548,000)</b>  | <b>1,894,993</b>   | <b>(1,653,007)</b>                    |
| <b>PLACE</b>  |  |                                     |   |  |                            |                                   |                     |  |                                       |
| BU4   | Regeneration & Property  | 8,060,042                           | 2,494,314   | (39,907)                                 | 10,514,449                 | 8,276,022                         | (2,238,427)         | 2,119,638  | (118,789)                             |
| BU5   | Culture, Housing and Regulation                                    | 1,353,824                           | (259,214)   | -  | 1,094,610                  | 1,038,610                         | (56,000)            | -  | (56,000)                              |
| BU6   | Environment and Transport  | 27,372,033                          | 1,738,650   | 39,907                                   | 29,150,590                 | 29,635,590                        | 485,000             | -  | 485,000                               |
|   | <b>sub-total Place</b>   | <b>36,785,899</b>                   | <b>3,973,750</b>  | <b>-</b>                                 | <b>40,759,649</b>          | <b>38,950,222</b>                 | <b>(1,809,427)</b>  | <b>2,119,638</b>   | <b>310,211</b>                        |
| <b>COMMUNITIES</b>  |  |                                     |   |  |                            |                                   |                     |  |                                       |
| BU7   | Customer Services  | 2,963,008                           | 18,095  | (28,535)                                 | 2,952,568                  | 2,205,292                         | (747,276)           | 103,436  | (643,840)                             |
| BU8   | Safer Stronger & Healthier Communities                             | 5,079,582                           | 3,803,466   | 1,500                                    | 8,884,548                  | 6,663,336                         | (2,221,212)         | 2,106,682  | (114,530)                             |
| BU12  | IT   | 9,570,566                           | 10,703  | 28,535                                   | 9,609,804                  | 9,842,509                         | 232,705             | -  | 232,705                               |
|   | <b>sub-total Communities</b>                                       | <b>17,613,156</b>                   | <b>3,832,264</b>  | <b>1,500</b>                             | <b>21,446,920</b>          | <b>18,711,137</b>                 | <b>(2,735,783)</b>  | <b>2,210,118</b>   | <b>(525,665)</b>                      |
| <b>PUBLIC HEALTH</b>                                      |  |                                     |   |  |                            |                                   |                     |  |                                       |
| BU10  | Public Health & Regulation   | 1,698,519                           | 2,491,492   | -  | 4,190,011                  | 2,171,426                         | (2,018,585)         | 2,018,585  | -                                     |
|   | <b>sub-total Public Health</b>                                     | <b>1,698,519</b>                    | <b>2,491,492</b>  | <b>-</b>                                 | <b>4,190,011</b>           | <b>2,171,426</b>                  | <b>(2,018,585)</b>  | <b>2,018,585</b>   | <b>-</b>                              |
| <b>CORE</b>   |  |                                     |   |  |                            |                                   |                     |  |                                       |
| BU13  | Finance  | 4,774,095                           | 699,586   | -  | 5,473,681                  | 4,367,681                         | (1,106,000)         | 750,000  | (356,000)                             |
| BU14  | HR   | 3,557,959                           | 388,068   | (1,940,702)                              | 2,005,325                  | 1,682,778                         | (322,547)           | 322,547  | -                                     |
| BU15  | Performance, Business Improvement & Comms                          | 2,955,314                           | 443,203   | -  | 3,398,517                  | 2,963,746                         | (434,771)           | 405,197  | (29,574)                              |
| BU17  | Legal Services   | 885,083                             | (115,146)   | -  | 769,937                    | 683,028                           | (86,909)            | -  | (86,909)                              |
| BU18  | Elections  | 687,650                             | -   | -  | 687,650                    | 632,744                           | (54,906)            | 54,906   | -                                     |
| BU19  | Council Governance   | 1,674,855                           | -   | -  | 1,674,855                  | 1,640,314                         | (34,541)            | -  | (34,541)                              |
|   | Joint Authorities  | 13,497                              | -   | 1,940,702                                | 1,954,199                  | 1,864,921                         | (89,278)            | 47,000   | (42,278)                              |
|   | <b>sub-total Core</b>  | <b>14,548,453</b>                   | <b>1,415,711</b>  | <b>-</b>                                 | <b>15,964,164</b>          | <b>13,835,212</b>                 | <b>(2,128,952)</b>  | <b>1,579,650</b>   | <b>(549,302)</b>                      |
| <b>OVERALL SERVICE TOTALS</b>                             |  |                                     |   |  |                            |                                   |                     |  |                                       |
|   |  | <b>143,267,288</b>                  | <b>11,883,851</b>   | <b>1,500</b>                             | <b>155,152,639</b>         | <b>142,911,892</b>                | <b>(12,240,747)</b> | <b>9,822,984</b>   | <b>(2,417,763)</b>                    |
| <b>Other Non Service Items</b>                            |  |                                     |   |  |                            |                                   |                     |  |                                       |
|   | <b>Capital Financing Costs</b>                                     | 13,907,540                          | 2,356,201   | -  | 16,263,741                 | 14,763,741                        | (1,500,000)         | -  | (1,500,000)                           |
|   | <b>Corporate &amp; Democratic Core &amp; Non Distributed Costs</b> | 765,650                             | 25,000  | (1,500)                                  | 789,150                    | 789,150                           | -                   | -  | -                                     |
|   | <b>Levies</b>  | 1,120,529                           | 610,078   | -  | 1,730,607                  | 1,730,607                         | -                   | -  | -                                     |
|   | <b>Corporate Items</b>   | (2,600,000)                         | 70,831  | -  | (2,529,169)                | (2,529,169)                       | -                   | -  | -                                     |
|   | <b>Provisions</b>  | 5,458,977                           | 12,225,525  | -  | 17,684,502                 | 12,862,021                        | (4,822,481)         | 3,792,137  | (1,030,344)                           |
|   | <b>Provisions - Pension Deficit</b>                                | 7,068,043                           | -   | -  | 7,068,043                  | 7,068,043                         | -                   | -  | -                                     |
|   | <b>Contribution From Reserves / Balances</b>                       | -                                   | (27,171,486)  | -  | (27,171,486)               | (27,171,486)                      | -                   | -  | -                                     |
|   | <b>sub-total Corporate Budgets</b>                                 | <b>25,720,739</b>                   | <b>(11,883,851)</b>   | <b>(1,500)</b>                           | <b>13,835,388</b>          | <b>7,512,907</b>                  | <b>(6,322,481)</b>  | <b>3,792,137</b>   | <b>(2,530,344)</b>                    |
| <b>OVERALL AUTHORITY BUDGET</b>                           |  |                                     |   |  |                            |                                   |                     |  |                                       |
|   |  | <b>168,988,027</b>                  | <b>-</b>  | <b>-</b>                                 | <b>168,988,027</b>         | <b>150,424,799</b>                | <b>(18,563,228)</b> | <b>13,615,121</b>  | <b>(4,948,107)</b>                    |

## DETAILED SERVICE VARIANCES @ 31st December 2018

| SERVICE / BUDGET HEAD   | ONGOING            | NON           | TOTAL - ALL        | Adjustment       | Operational       | ONGOING            | NON           | TOTAL - ALL        | Adjustment       | Operational        |
|---|--------------------|---------------|--------------------|------------------|-------------------|--------------------|---------------|--------------------|------------------|--------------------|
|   | BASE BUDGET        | ACHIEVEMENT   | BUDGETARY          | for Slippage     | Deficit/(Surplus) | BASE BUDGET        | ACHIEVEMENT   | BUDGETARY          | for Slippage     | Deficit/(Surplus)  |
|   | ISSUES             | OF EFFICIENCY | ISSUES             | & Transfer to    | Sept              | ISSUES             | OF EFFICIENCY | ISSUES             | & Transfer to    | December           |
|   |                    | ISSUES        |                    | Reserves         | Sept              |                    | ISSUES        |                    | Reserves         | December           |
|   | Sept               | Sept          | Sept               | Sept             | Sept              | December           | December      | December           | December         | December           |
| <b>PEOPLE - KEY FINANCIAL RISKS FOR 2018/19</b>   |                    |               |                    |                  |                   |                    |               |                    |                  |                    |
| ED People   |                    |               |                    |                  |                   |                    |               |                    |                  |                    |
| Pay and other strategic management costs  |                    |               |                    |                  |                   | 28,507             |               | 28,507             |                  | 28,507             |
| BU1   |                    |               |                    |                  |                   |                    |               |                    |                  |                    |
| Service Director - additional pay supplement and business support costs                       | 23,052             |               | 23,052             |                  | 23,052            | 21,562             |               | 21,562             |                  | 21,562             |
| Commissioning - contract savings offset by unachieved Schools Clerking income                 | (39,112)           |               | (39,112)           |                  | (39,112)          | (15,540)           |               | (15,540)           |                  | (15,540)           |
| Early Start & Family Services - staff vacancies on Childcare Services & reduced running costs | (37,537)           |               | (37,537)           |                  | (37,537)          | (35,854)           |               | (35,854)           | 35,000           | (854)              |
| Inclusion Services - agency / Ed Psych locum costs offset by investment funding               | 35,798             |               | 35,798             |                  | 35,798            | (71,764)           |               | (71,764)           | 65,786           | (5,978)            |
| Sufficiency - early delivery of Staffing savings (KLOE)                                       | (75,000)           |               | (75,000)           |                  | (75,000)          | (72,802)           |               | (72,802)           |                  | (72,802)           |
| Education Welfare - staffing restructuring savings / think family funding                     |                    |               |                    |                  |                   | (83,412)           |               | (83,412)           | 13,000           | (70,412)           |
| Targeted Youth Support - vacancy savings  | (17,558)           |               | (17,558)           |                  | (17,558)          | (112,513)          |               | (112,513)          |                  | (112,513)          |
| Other Minor Variances   | (642)              |               | (642)              |                  | (642)             | (4,905)            |               | (4,905)            |                  | (4,905)            |
| BU2   |                    |               |                    |                  |                   |                    |               |                    |                  |                    |
| SD Management-C/wfd iBCF funding  | (853,877)          |               | (853,877)          | 853,877          | -                 | (813,207)          |               | (813,207)          | 813,207          | -                  |
| Care provision cost   | (281,333)          |               | (281,333)          |                  | (281,333)         | -                  |               | -                  |                  | -                  |
| Older People - staffing vacancies / turnover  |                    |               |                    |                  |                   | (96,000)           |               | (96,000)           |                  | (96,000)           |
| Older People - slippage on resi care uplift, increased health funding & DP clawback           |                    |               |                    |                  |                   | (1,698,025)        |               | (1,698,025)        | 848,000          | (850,025)          |
| Working Age Adults - staffing vacancies / turnover  |                    |               |                    |                  |                   | (123,000)          |               | (123,000)          |                  | (123,000)          |
| Working Age Adults - increase health funding & direct payment clawback                        |                    |               |                    |                  |                   | (707,631)          |               | (707,631)          |                  | (707,631)          |
| Commissioning - Staffing vacancies & contract savings   | (107,842)          |               | (107,842)          |                  | (107,842)         | (111,542)          |               | (111,542)          |                  | (111,542)          |
| Day Service - Keresforth savings  | (120,000)          |               | (120,000)          | 120,000          | -                 | (120,000)          |               | (120,000)          | 120,000          | -                  |
| BU3   |                    |               |                    |                  |                   |                    |               |                    |                  |                    |
| SD Management - spend slippage  |                    |               |                    |                  |                   | (33,851)           |               | (33,851)           |                  | (33,851)           |
| Assessment & Care - LIFT accommodation & Staff travel/Mileage costs                           | 33,364             |               | 33,364             |                  | 33,364            | (32,135)           |               | (32,135)           |                  | (32,135)           |
| Children in Care - LAC external residential care costs  | 422,724            |               | 422,724            |                  | 422,724           | 821,858            |               | 821,858            |                  | 821,858            |
| Children in Care - LAC fostering & other placement costs                                      | (36,543)           |               | (36,543)           |                  | (36,543)          | (173,219)          |               | (173,219)          |                  | (173,219)          |
| Children in Care - Other costs (CIC, fostering, adoptions teams)                              | (40,322)           |               | (40,322)           |                  | (40,322)          | (85,435)           |               | (85,435)           |                  | (85,435)           |
| Safeguarding & QA - training income & staff vacancies   | (30,913)           |               | (30,913)           |                  | (30,913)          | (65,078)           |               | (65,078)           |                  | (65,078)           |
| Childrens Disability and Short Breaks   | 24,306             |               | 24,306             |                  | 24,306            | 80,238             |               | 80,238             |                  | 80,238             |
| Other minor variances   | 11,922             |               | 11,922             |                  | 11,922            | (44,252)           |               | (44,252)           |                  | (44,252)           |
| <b>Total - PEOPLE</b>   | <b>(1,089,513)</b> | <b>-</b>      | <b>(1,089,513)</b> | <b>973,877</b>   | <b>(115,636)</b>  | <b>(3,548,000)</b> | <b>-</b>      | <b>(3,548,000)</b> | <b>1,894,993</b> | <b>(1,653,007)</b> |
| <b>PLACE - KEY FINANCIAL RISKS FOR 2018/19</b>  |                    |               |                    |                  |                   |                    |               |                    |                  |                    |
| BU4   |                    |               |                    |                  |                   |                    |               |                    |                  |                    |
| Employment & Skills - Clawback of SFA Grant/Running costs of Resource Centres                 | 134,000            |               | 134,000            |                  | 134,000           | 80,000             |               | 80,000             |                  | 80,000             |
| Employment & Skills - Vacancy Management/additional income                                    | (134,000)          |               | (134,000)          |                  | (134,000)         | (80,000)           |               | (80,000)           |                  | (80,000)           |
| Planning & Building Control - Staffing Costs  | (136,000)          |               | (136,000)          |                  | (136,000)         | (157,000)          |               | (157,000)          |                  | (157,000)          |
| Planning Fee Income   | 99,000             |               | 99,000             |                  | 99,000            | 127,000            |               | 127,000            |                  | 127,000            |
| Building Control Fee Income   |                    |               |                    |                  |                   | (32,000)           |               | (32,000)           |                  | (32,000)           |
| Other Miscellaneous   |                    |               |                    |                  |                   | (38,000)           |               | (38,000)           |                  | (38,000)           |
| Strategic Transport - Feasibility Fees  |                    |               |                    |                  |                   | (160,000)          |               | (160,000)          | 150,000          | (10,000)           |
| Building Services - Under occupation of Lift Buildings  | 185,000            |               | 185,000            |                  | 185,000           | 185,000            |               | 185,000            |                  | 185,000            |
| Building Services - Overachievement of income   | (112,060)          |               | (112,060)          |                  | (112,060)         | (166,613)          |               | (166,613)          | 56,905           | (109,708)          |
| Building Services - Over estimation of Dilapidations (Temp House & McIntocks)                 | (105,400)          |               | (105,400)          |                  | (105,400)         | (5,400)            |               | (5,400)            |                  | (5,400)            |
| Building Services - NNDR Underspend   |                    |               |                    |                  |                   | (189,306)          |               | (189,306)          |                  | (189,306)          |
| Building Services - Utilities Underspend  |                    |               |                    |                  |                   | (243,095)          |               | (243,095)          | 243,095          | -                  |
| Building Services - Repairs & Maintenance   | 102,827            |               | 102,827            |                  | 102,827           | 179,748            |               | 179,748            |                  | 179,748            |
| BSF Model   | (1,464,849)        |               | (1,464,849)        | 1,464,849        | -                 | (1,421,010)        |               | (1,421,010)        | 1,421,010        | -                  |
| PFI Model   | (245,603)          |               | (245,603)          | 245,603          | -                 | (248,628)          |               | (248,628)          | 248,628          | -                  |
| FM/NPS - CCTV & General underspends R&M   | (47,157)           |               | (47,157)           |                  | (47,157)          | (3,714)            |               | (3,714)            |                  | (3,714)            |
| School Asset Support - Staffing   | (12,540)           |               | (12,540)           |                  | (12,540)          | (12,979)           |               | (12,979)           |                  | (12,979)           |
| Shared Services - Staffing/Overachievement of Income  | (48,740)           |               | (48,740)           |                  | (48,740)          | (53,832)           |               | (53,832)           |                  | (53,832)           |
| Strategic Assets - Underachievement of Income   | 84,495             |               | 84,495             |                  | 84,495            | 5,335              |               | 5,335              |                  | 5,335              |
| Strategic Assets - Staffing & General Service Underspends                                     | (111,425)          |               | (111,425)          |                  | (111,425)         | (68,933)           |               | (68,933)           |                  | (68,933)           |
| Strategic Assets - Consultancy Costs  | 65,000             |               | 65,000             |                  | 65,000            | 65,000             |               | 65,000             |                  | 65,000             |
| BU5   |                    |               |                    |                  |                   |                    |               |                    |                  |                    |
| Commercial Income - Culture   | 64,000             |               | 64,000             |                  | 64,000            | 56,000             |               | 56,000             |                  | 56,000             |
| Culture - Contributions & Overheads   | 29,000             |               | 29,000             |                  | 29,000            | -                  |               | -                  |                  | -                  |
| Culture - Staffing  | (53,000)           |               | (53,000)           |                  | (53,000)          | (29,000)           |               | (29,000)           |                  | (29,000)           |
| Bereavement Fee Income  | (40,000)           |               | (40,000)           |                  | (40,000)          | (50,000)           |               | (50,000)           |                  | (50,000)           |
| Housing - Recharge Income to Capital Projects   | 15,000             |               | 15,000             |                  | 15,000            | -                  |               | -                  |                  | -                  |
| Housing - Staff Savings   | (19,000)           |               | (19,000)           |                  | (19,000)          | (39,000)           |               | (39,000)           |                  | (39,000)           |
| Housing - Other Overheads   | 4,000              |               | 4,000              |                  | 4,000             | 6,000              |               | 6,000              |                  | 6,000              |
| BU6   |                    |               |                    |                  |                   |                    |               |                    |                  |                    |
| Contracts Management - Waste Disposal Costs   | 1,180,000          |               | 1,180,000          |                  | 1,180,000         | 1,124,000          |               | 1,124,000          |                  | 1,124,000          |
| Transfer Loading Station  | 164,000            |               | 164,000            |                  | 164,000           | 164,000            |               | 164,000            |                  | 164,000            |
| Bulky Waste/Bin Deliveries  | 47,000             |               | 47,000             |                  | 47,000            | 50,000             |               | 50,000             |                  | 50,000             |
| Car Parking - Fee Income  | (72,000)           |               | (72,000)           |                  | (72,000)          | (89,000)           |               | (89,000)           |                  | (89,000)           |
| Construction Services   | (277,000)          |               | (277,000)          |                  | (277,000)         | (378,000)          |               | (378,000)          |                  | (378,000)          |
| Highways Maintenance - Electricity Costs  | (7,000)            |               | (7,000)            |                  | (7,000)           | (35,000)           |               | (35,000)           |                  | (35,000)           |
| Highways, Engineering & Transportation - Staff Savings  | (305,000)          |               | (305,000)          |                  | (305,000)         | (289,000)          |               | (289,000)          |                  | (289,000)          |
| Highways Fee Income increase  | (181,000)          |               | (181,000)          |                  | (181,000)         | (135,000)          |               | (135,000)          |                  | (135,000)          |
| Fleet - Vehicle Repairs   | 76,000             |               | 76,000             |                  | 76,000            | 137,000            |               | 137,000            |                  | 137,000            |
| Fleet - Leasing of Vehicles   |                    |               |                    |                  |                   | (170,000)          |               | (170,000)          |                  | (170,000)          |
| Home to School Transport  | 452,000            |               | 452,000            |                  | 452,000           | 401,000            |               | 401,000            |                  | 401,000            |
| Travel Training shortfall   |                    |               |                    |                  |                   | 225,000            |               | 225,000            |                  | 225,000            |
| Neighbourhood Services - Staffing   | (108,000)          |               | (108,000)          |                  | (108,000)         | (84,000)           |               | (84,000)           |                  | (84,000)           |
| Neighbourhood Services - Running Costs  | (73,000)           |               | (73,000)           |                  | (73,000)          | (73,000)           |               | (73,000)           |                  | (73,000)           |
| Public Rights of Way Fee Income   | (36,000)           |               | (36,000)           |                  | (36,000)          | (50,000)           |               | (50,000)           |                  | (50,000)           |
| Waste Collection (Staffing/Vehicle Costs)   | (191,000)          |               | (191,000)          |                  | (191,000)         | (230,000)          |               | (230,000)          |                  | (230,000)          |
| Operations - Staff savings  | (37,000)           |               | (37,000)           |                  | (37,000)          | (41,000)           |               | (41,000)           |                  | (41,000)           |
| Other Miscellaneous   | (49,000)           |               | (49,000)           |                  | (49,000)          | (42,000)           |               | (42,000)           |                  | (42,000)           |
| <b>Total - PLACE</b>  | <b>(1,164,452)</b> | <b>-</b>      | <b>(1,164,452)</b> | <b>1,710,452</b> | <b>546,000</b>    | <b>(1,809,427)</b> | <b>-</b>      | <b>(1,809,427)</b> | <b>2,119,638</b> | <b>310,211</b>     |
| <b>COMMUNITIES - KEY FINANCIAL RISKS FOR 2018/19</b>  |                    |               |                    |                  |                   |                    |               |                    |                  |                    |
| BU7   |                    |               |                    |                  |                   |                    |               |                    |                  |                    |
| Day Services - Keresforth closure   | (102,000)          |               | (102,000)          |                  | (102,000)         | (100,000)          |               | (100,000)          |                  | (100,000)          |
| Day Services - Transport  | (88,000)           |               | (88,000)           |                  | (88,000)          | (87,000)           |               | (87,000)           |                  | (87,000)           |
| Day Services - Vacancies  | (152,000)          |               | (152,000)          |                  | (152,000)         | (145,000)          |               | (145,000)          |                  | (145,000)          |
| Provider Services - Management - vacancies  | (50,758)           |               | (50,758)           |                  | (50,758)          | -                  |               | -                  |                  | -                  |
| ALT - Vacancies   | (40,000)           |               | (40,000)           |                  | (40,000)          | (40,000)           |               | (40,000)           |                  | (40,000)           |
| ALT - Increased Income  | (165,000)          |               | (165,000)          |                  | (165,000)         | (180,000)          |               | (180,000)          |                  | (180,000)          |
| Reablement Vacancies  |                    |               |                    |                  |                   | (82,000)           |               | (82,000)           |                  | (82,000)           |
| Catering  |                    |               |                    |                  |                   | (41,500)           |               | (41,500)           | 41,500           | -                  |
| Other <£50k each  |                    |               |                    |                  |                   | (9,840)            |               | (9,840)            |                  | (9,840)            |
| Transformation (ED)   | (65,000)           |               | (65,000)           | 65,000           | -                 | (61,936)           |               | (61,936)           | 61,936           | -                  |
| BU8   |                    |               |                    |                  |                   |                    |               |                    |                  |                    |
| Think Family - Planned Underspend - Earmark to 2018/19  | (462,481)          |               | (462,481)          | 462,481          | -                 | (514,620)          |               | (514,620)          | 514,620          | -                  |
| Healthier Contracts   |                    |               |                    |                  |                   | (40,055)           |               | (40,055)           | 40,055           | -                  |
| Local Welfare Assistance Scheme - Planned Underspend - Earmark to 2018/19                     | (279,232)          |               | (279,232)          | 279,232          | -                 | (309,435)          |               | (309,435)          | 309,435          | -                  |
| Migration Funding   | (232,029)          |               | (232,029)          | 232,029          | -                 | (240,164)          |               | (240,164)          | 240,164          | -                  |
| Stronger Communities - Anticipated carry forward balances on Commissioning & Ward             | (897,511)          |               | (897,511)          | 787,834          | (109,677)         | (1,100,116)        |               | (1,100,116)        | 1,002,408        | (97,708)           |
| Alliance Budgets  |                    |               |                    |                  |                   |                    |               |                    |                  |                    |
| Other <£50k each  | 4,366              |               | 4,366              | -                | 4,366             | (16,801)           |               | (16,801)           |                  | (16,801)           |
| BU12  |                    |               |                    |                  |                   |                    |               |                    |                  |                    |
| Vacancies   | (189,895)          |               | (189,895)          |                  | (189,895)         | (249,000)          |               | (249,000)          |                  | (249,000)          |
| Computer Projects & Licences  | 506,000            |               | 506,000            |                  | 506,000           | 481,000            |               | 481,000            |                  | 481,000            |
| Income  | 159,000            |               | 159,000            |                  | 159,000           | -                  |               | -                  |                  | -                  |
| Other <£50k each  | (8,036)            |               | (8,036)            |                  | (8,036)           | 684                |               | 684                |                  | 684                |
| <b>Total - COMMUNITIES</b>  | <b>(2,062,576)</b> | <b>-</b>      | <b>(2,062,576)</b> | <b>1,826,576</b> | <b>(236,000)</b>  | <b>(2,735,783)</b> | <b>-</b>      | <b>(2,735,783)</b> | <b>2,210,118</b> | <b>(525,665)</b>   |
| <b>PUBLIC HEALTH - KEY FINANCIAL RISKS FOR 2018/19</b>  |                    |               |                    |                  |                   |                    |               |                    |                  |                    |
| BU10  |                    |               |                    |                  |                   |                    |               |                    |                  |                    |
| Planned unallocated resources per 4 year plan - To meet future year costs                     | (1,553,103)        |               | (1,553,103)        | 1,553,103        | -                 | (1,553,103)        |               | (1,553,103)        | 1,553,103        | -                  |
| SD Staffing Underspend  |                    |               |                    |                  |                   | (105,286)          |               | (1                 |                  |                    |

## DETAILED SERVICE VARIANCES @ 31st December 2018

| SERVICE / BUDGET HEAD                           | ONGOING            | NON           | TOTAL - ALL        | Adjustment       | Operational       | ONGOING             | NON           | TOTAL - ALL         | Adjustment       | Operational        |
|---|--------------------|---------------|--------------------|------------------|-------------------|---------------------|---------------|---------------------|------------------|--------------------|
|   | BASE BUDGET        | ACHIEVEMENT   | BUDGETARY          | for Slippage     | Deficit/(Surplus) | BASE BUDGET         | ACHIEVEMENT   | BUDGETARY           | for Slippage     | Deficit/(Surplus)  |
|   | ISSUES             | OF EFFICIENCY | ISSUES             | & Transfer to    |                   | ISSUES              | OF EFFICIENCY | ISSUES              | & Transfer to    |                    |
|   | Sept               | Sept          | Sept               | Reserves         | Sept              | December            | December      | December            | Reserves         | December           |
| Unspent Ear Markings                            |                    |               |                    |                  |                   | (214,113)           |               | (214,113)           | 210,347          | (3,766)            |
| BU17  |                    |               |                    |                  |                   |                     |               |                     |                  |                    |
| Staffing (Market Forces)                        | 34,715             |               | 34,715             |                  | 34,715            | 2,131               |               | 2,131               |                  | 2,131              |
| General Supplies & Services                     | (36,506)           |               | (36,506)           |                  | (36,506)          | (27,310)            |               | (27,310)            |                  | (27,310)           |
| Legal Fees                                      | 39,683             |               | 39,683             |                  | 39,683            | 41,612              |               | 41,612              |                  | 41,612             |
| Printing  | 39,759             |               | 39,759             |                  | 39,759            | 40,402              |               | 40,402              |                  | 40,402             |
| Overachievement of income (Ent Licencing/fines) | (132,344)          |               | (132,344)          |                  | (132,344)         | (143,744)           |               | (143,744)           |                  | (143,744)          |
| BU18  |                    |               |                    |                  |                   |                     |               |                     |                  |                    |
| Sheffield City Mayoral Election Funding         | (152,019)          |               | (152,019)          |                  | (152,019)         | (154,558)           |               | (154,558)           | 56,571           | (97,987)           |
| Polling Booths                                  | 97,987             |               | 97,987             |                  | 97,987            | 97,987              |               | 97,987              |                  | 97,987             |
| BU19  |                    |               |                    |                  |                   |                     |               |                     |                  |                    |
| Vacancies                                       | (17,403)           |               | (17,403)           |                  | (17,403)          | (34,541)            |               | (34,541)            |                  | (34,541)           |
| Various Supplies & Services                     | -                  |               | -                  |                  | -                 | -                   |               | -                   |                  | -                  |
| Printing  | -                  |               | -                  |                  | -                 | -                   |               | -                   |                  | -                  |
| PCC Members Allowance Reimbursement             | -                  |               | -                  |                  | -                 | -                   |               | -                   |                  | -                  |
| Joint Authorities                               |                    |               |                    |                  |                   |                     |               |                     |                  |                    |
| Vacancies                                       |                    |               |                    |                  |                   | (101,404)           |               | (101,404)           | 47,000           | (54,404)           |
| Unfunded Activities via SLA                     | 12,206             |               | 12,206             |                  | 12,206            | 12,206              |               | 12,206              |                  | 12,206             |
| <b>Total - Core Services</b>                    | <b>(672,159)</b>   | <b>-</b>      | <b>(672,159)</b>   | <b>18,274</b>    | <b>(653,885)</b>  | <b>(2,130,537)</b>  | <b>-</b>      | <b>(2,130,537)</b>  | <b>1,581,315</b> | <b>(549,222)</b>   |
| <b>Grand Total</b>                              | <b>(6,999,531)</b> | <b>-</b>      | <b>(6,999,531)</b> | <b>6,540,010</b> | <b>(459,521)</b>  | <b>(12,241,358)</b> | <b>-</b>      | <b>(12,241,358)</b> | <b>9,823,675</b> | <b>(2,417,683)</b> |



**KEY LINES OF ENQUIRY - VARIANCES AGAINST APPROVED BUDGET**

|  | £<br>Target      | £<br>Outturn     | £<br>Variance |
|--|------------------|------------------|---------------|
| <b>PEOPLE</b>  |                  |                  |               |
| <b><u>BU1 - Education &amp; Early Start Prevention</u></b> |                  |                  |               |
| BU1 E3   | 30,000           | 30,000           | -             |
| BU1 E4   | 10,000           | 10,000           | -             |
| BU1 E11  | 155,000          | 155,000          | -             |
| BU1 E13  | 40,000           | 40,000           | -             |
| BU1 E14  | 1,000,000        | 1,000,000        | -             |
| BU1 E15  | (250,000)        | (250,000)        | -             |
|  | <b>985,000</b>   | <b>985,000</b>   | -             |
| <b><u>BU2 - Adult Assessment &amp; Care Management</u></b> |                  |                  |               |
| BU2 E1   | 552,000          | 552,000          | -             |
| BU2 E4   | 400,000          | 400,000          | -             |
| BU2 E5   | 50,000           | 50,000           | -             |
| BU2 E6   | 200,000          | 200,000          | -             |
|  | <b>1,202,000</b> | <b>1,202,000</b> | -             |
|  | <b>2,187,000</b> | <b>2,187,000</b> | -             |

| <b>PEOPLE DIRECTORATE SUMMARY</b> |                  |                  |   |
|-----------------------------------|------------------|------------------|---|
| <i>KLOE's on target</i>           | 2,187,000        | 2,187,000        | - |
| <i>KLOE's delay in Delivery</i>   | -                | -                | - |
| <i>KLOE's not on target</i>       | -                | -                | - |
| <b>TOTAL PEOPLE KLOE's</b>        | <b>2,187,000</b> | <b>2,187,000</b> | - |

|                   | £<br>Target      | £<br>Outturn     | £<br>Variance |
|-------------------|------------------|------------------|---------------|
| <b>PLACE</b>      |                  |                  |               |
| <b><u>BU4</u></b> |                  |                  |               |
| BU4 - E1          | 20,000           | 20,000           | -             |
| BU4 - E2          | 50,000           | 50,000           | -             |
| BU4 - E3          | 30,000           | 30,000           | -             |
| BU4 - E8          | 50,000           | 50,000           | -             |
| BU4 - E9          | 10,000           | 10,000           | -             |
|                   | <b>160,000</b>   | <b>160,000</b>   | -             |
| <b><u>BU5</u></b> |                  |                  |               |
| BU5 - E1          | 50,000           | 50,000           | -             |
| BU5 - E2          | 115,000          | 115,000          | -             |
|                   | <b>165,000</b>   | <b>165,000</b>   | -             |
| <b><u>BU6</u></b> |                  |                  |               |
| BU6 - E1          | 175,000          | 175,000          | -             |
| BU6 - E2          | 400,000          | 400,000          | -             |
| BU6 - E3          | 75,000           | 75,000           | -             |
| BU6 - E7          | 240,000          | 240,000          | -             |
|                   | <b>890,000</b>   | <b>890,000</b>   | -             |
|                   | <b>1,215,000</b> | <b>1,215,000</b> | -             |

| <b>PLACE DIRECTORATE SUMMARY</b> |                  |                  |   |
|----------------------------------|------------------|------------------|---|
| <i>KLOE's on target</i>          | 1,215,000        | 1,215,000        | - |
| <i>KLOE's delay in Delivery</i>  | -                | -                | - |
| <i>KLOE's not on target</i>      | -                | -                | - |
| <b>TOTAL PLACE KLOE's</b>        | <b>1,215,000</b> | <b>1,215,000</b> | - |

|                    | £<br>Target    | £<br>Outturn   | £<br>Variance |
|--------------------|----------------|----------------|---------------|
| <b>COMMUNITIES</b> |                |                |               |
| <b><u>BU7</u></b>  |                |                |               |
| BU7 E9             | 49,167         | 49,167         | -             |
| BU7 E11            | 6,000          | 6,000          | -             |
| BU7 E14            | 21,239         | 21,239         | -             |
|                    | <b>76,406</b>  | <b>76,406</b>  | -             |
| <b><u>BU8</u></b>  |                |                |               |
| BU8 E1             | 105,000        | 105,000        | -             |
| BU8 E9             | 60,000         | 60,000         | -             |
|                    | <b>165,000</b> | <b>165,000</b> | -             |
|                    | <b>241,406</b> | <b>241,406</b> | -             |

| <b>COMMUNITIES DIRECTORATE SUMMARY</b> |                |                |   |
|--|----------------|----------------|---|
| <i>KLOE's on target</i>                | 241,406        | 241,406        | - |
| <i>KLOE's with Delays</i>              | -              | -              | - |
| <i>KLOE's not on target</i>            | -              | -              | - |
| <b>TOTAL COMMUNITIES KLOE's</b>        | <b>241,406</b> | <b>241,406</b> | - |

|  | £<br>Target      | £<br>Outturn     | £<br>Variance    |
|--|------------------|------------------|------------------|
| <b>PUBLIC HEALTH</b>                                     |                  |                  |                  |
| <b>BU10</b>  |                  |                  |                  |
| PH E2  | 163,000          | 163,000          | -                |
| PH E3  | 20,000           | 20,000           | -                |
| PH E4  | 10,000           | 10,000           | -                |
| PH E5  | 62,000           | 62,000           | -                |
|  | <b>255,000</b>   | <b>255,000</b>   | <b>-</b>         |
| <b>PUBLIC HEALTH DIRECTORATE SUMMARY</b>                 |                  |                  |                  |
| <i>KLOE's on target</i>                                  | 255,000          | 255,000          | -                |
| <i>KLOE's with Delays</i>                                | -                | -                | -                |
| <i>KLOE's not on target</i>                              | -                | -                | -                |
| <b>TOTAL PUBLIC HEALTH KLOE's</b>                        | <b>255,000</b>   | <b>255,000</b>   | <b>-</b>         |
|  | £<br>Target      | £<br>Outturn     | £<br>Variance    |
| <b>CORE SERVICES</b>                                     |                  |                  |                  |
| <b>BU11 - BU18</b>                                       |                  |                  |                  |
| BU11 E1  | 14,000           | 14,000           | -                |
| BU13 E1  | 374,000          | 374,000          | -                |
| BU14 E1  | 73,978           | 73,978           | -                |
| BU18 E5  | 15,000           | 15,000           | -                |
| BU18 E6  | 28,278           | 28,278           | -                |
| BU18 E7  | -                | -                | -                |
|  | <b>505,256</b>   | <b>505,256</b>   | <b>-</b>         |
| <b>CORE SERVICES SUMMARY</b>                             |                  |                  |                  |
| <i>KLOE's on target</i>                                  | 505,256          | 505,256          | -                |
| <i>KLOE's with Delays</i>                                | -                | -                | -                |
| <i>KLOE's not on target</i>                              | -                | -                | -                |
| <b>TOTAL CORE SERVICES KLOE'S</b>                        | <b>505,256</b>   | <b>505,256</b>   | <b>-</b>         |
| <b>OVERALL KLOE SUMMARY 2018/19</b>                      |                  |                  |                  |
| <i>KLOE's on target</i>                                  | 4,403,662        | 4,403,662        | -                |
| <i>KLOE's with Delays</i>                                | -                | -                | -                |
| <i>KLOE's not on target</i>                              | -                | -                | -                |
|  | <b>4,403,662</b> | <b>4,403,662</b> | <b>-</b>         |
|  |                  | 100.0%           | 0.0%             |
|  | £<br>Target      | £<br>Outturn     | £<br>Variance    |
| <b>Mitigations from prior years</b>                      |                  |                  |                  |
| <b>BU6</b>   |                  |                  |                  |
| Income Generation - CSS (Ebay etc)                       | 10,000           | 10,000           | -                |
| Transfer Loading Station                                 | 300,000          | -                | (300,000)        |
| Highways Materials change to cold mix                    | 75,000           | -                | (75,000)         |
| Travel Training - Train 50 children                      | 75,000           | -                | (75,000)         |
| Waste PFI - Direct Delivery to Manvers                   | 100,000          | 100,000          | -                |
| Contract Procurement                                     | 250,000          | -                | (250,000)        |
|  | <b>810,000</b>   | <b>110,000</b>   | <b>(700,000)</b> |
|  |                  | 14%              | 86%              |
| <b>PLACE DIRECTORATE SUMMARY 2015 - 2019 Mitigations</b> |                  |                  |                  |
| <i>KLOE's on target</i>                                  | 110,000          | 110,000          | -                |
| <i>KLOE's delay in Delivery</i>                          | 700,000          | -                | 700,000          |
| <i>KLOE's not on target</i>                              | -                | -                | -                |
| <b>TOTAL PLACE KLOE's</b>                                | <b>810,000</b>   | <b>110,000</b>   | <b>700,000</b>   |
| <b>OVERALL KLOE TOTAL</b>                                |                  |                  |                  |
| <i>KLOE's on target</i>                                  | 4,513,662        | 4,513,662        | -                |
| <i>KLOE's with Delays</i>                                | 700,000          | -                | 700,000          |
| <i>KLOE's not on target</i>                              | -                | -                | -                |
|  | <b>5,213,662</b> | <b>4,513,662</b> | <b>700,000</b>   |

## BARNSELY METROPOLITAN BOROUGH COUNCIL

This matter is not a Key Decision within the Council’s definition and has not been included in the relevant Forward Plan

Report of the Executive Director – Core Services &  
Service Director – Finance (Section 151 Officer)

### CAPITAL PROGRAMME PERFORMANCE – QUARTER ENDING 31 DECEMBER 2018

#### 1. Purpose of the Report

1.1. To consider the financial performance of the Council’s Capital Programme to the quarter ended December 2018 and assess the implications against the Council’s Medium Term Financial Strategy (MTFS). The key headlines are:-

- The position of the Council’s Capital Programme for the 2018/19 financial year is currently projected to be an overall lower than anticipated expenditure of **£6.939M**; and
- The position of the Council’s Capital Programme over the five year period to 2022/23 is currently projected to be an overall lower than anticipated expenditure of **£0.566M**.

#### 2. Recommendations

2.1. **It is recommended that Cabinet:**

- **Note both the 2018/19 and overall five year Capital Programme positions;**
- **Approve the 2018/19 scheme slippage totalling £5.102M and re-phasing totalling £1.530M (paragraphs 5.4, 5.5 and Appendix B refer);**
- **Approve the total net decrease in scheme costs in 2018/19 of £0.307M, (paragraph 5.6 and Appendix B refer);**
- **Approve the net decrease in scheme costs in future years totalling £0.259M (paragraph 5.7 and Appendix B refer); and**
- **Approve the reprioritisation of schemes within the quarter (paragraph 5.8 refers).**

#### 3. Capital Programme & Funding Position

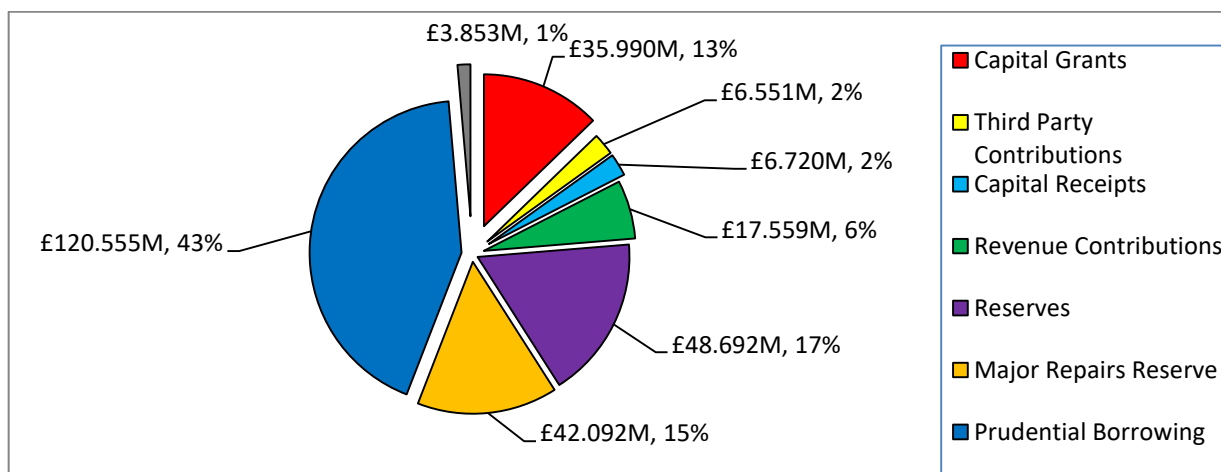
3.1. The Council’s capital programme is planned over the five year period 2018/19 through 2022/23 inclusive. Appendix A shows detailed plans per scheme under each respective Directorate.

| <u>Directorate</u>      | <b>2018/19<br/>Capital<br/>Programme<br/>£M</b> | <b>Later Years’<br/>Capital<br/>Programme<br/>£M</b> | <b>Total<br/>Capital<br/>Programme<br/>£M</b> |
|-------------------------|---|--|---|
| People                  | 2.635   | 1.320  | 3.955   |
| Place                   | 77.777  | 131.854  | 209.631                                       |
| Communities             | 5.499   | 3.656  | 9.155   |
| Housing Revenue Account | 28.804  | 30.467   | 59.271  |
| <b>Total</b>            | <b>114.715</b>                                  | <b>167.297</b>                                       | <b>282.012</b>                                |

3.2. The Council's capital programme is funded from a range of sources. The table below shows the resources allocated to capital plans for the Council's five year capital programme. It should be noted that this funding only relates to direct Council expenditure (or where the Council acts as the Accountable Body). A number of schemes also lever in private and public sector match funding but this is not reflected below unless the Council incurs spend.

| <u>Funding Source</u>                 | <b>2018/19<br/>Planned<br/>Resources<br/>£M</b> | <b>Later Years<br/>Planned<br/>Resources<br/>£M</b> | <b>Total<br/>Planned<br/>Resources<br/>£M</b> |
|---------------------------------------|---|---|---|
| Capital Grants                        | 16.399  | 19.591  | 35.990  |
| Third Party Contributions (Inc. S106) | 4.265   | 2.286   | 6.551   |
| Capital Receipts                      | 3.369   | 3.351   | 6.720   |
| Revenue Contributions                 | 13.962  | 3.597   | 17.559  |
| Reserves                              | 40.400  | 8.292   | 48.692  |
| Major Repairs Reserve                 | 15.565  | 26.527  | 42.092  |
| Prudential Borrowing                  | 17.502  | 103.053   | 120.555                                       |
| Leasing                               | 3.253   | 0.600   | 3.853   |
| <b>Total</b>                          | <b>114.715</b>                                  | <b>167.297</b>                                      | <b>282.012</b>                                |

3.3. The pie chart below is a graphical representation of the table above.



#### 4. Approved Schemes During Quarter 3

During the third quarter, a number of schemes were approved by Cabinet and are therefore included in the reported capital programme in section 3 above. The table below provides a reconciliation between the approved quarter 2 position and the opening quarter 3 position, with significant schemes shown separately:

| <u>Reconciliation Between Quarter 2 and Quarter 3 Positions</u> | <b>Directorate</b> | <b>Approval / Cab Ref</b> | <b>Capital Programme £M</b> |
|---|--------------------|---------------------------|-----------------------------|
| <b>Quarter 2 Approved Position</b>                              |                    |                           | <b>277.033</b>              |
| <i>Approved Schemes During Quarter 3:</i>                       |                    |                           |                             |
| Additional Approval - Penistone Grammar School Enlargement      | Place              | Cab.12.12.2018/7          | 2.215                       |
| Affordable Housing – Barnsley Community Build                   | Place              | Cab 15.10.2018            | 1.088                       |
| Acquisition of the Core Building                                | Place              | Cab 11.7.2018/10          | 1.200                       |
| Other   | Various            | Various                   | 0.476                       |
| <b>Total New Schemes</b>  |                    |                           | <b>4.979</b>                |
| <b>Quarter 3 Opening Position</b>                               |                    |                           | <b>282.012</b>              |

## 5. Capital Programme Monitoring Position – By Directorate

5.1. The table below shows both the 2018/19 capital programme position and the overall, five year programme position as at 31<sup>st</sup> December. Appendix A shows detailed plans / outturn per scheme under each respective Directorate.

| <u>Directorate</u>      | <b>2018/19<br/>Capital<br/>Programme<br/>£M</b> | <b>2018/19<br/>Actuals<br/>£M</b> | <b>2018/19<br/>Projected<br/>Outturn<br/>£M</b> | <b>2018/19<br/>Variance<br/>£M</b> | <b>Total<br/>Capital<br/>Programme<br/>£M</b> | <b>Total<br/>Projected<br/>Outturn<br/>£M</b> | <b>Total<br/>Variance<br/>£M</b> |
|-------------------------|---|-----------------------------------|---|------------------------------------|---|---|----------------------------------|
| People                  | 2.635   | 1.988                             | 2.607   | (0.028)                            | 3.955   | 3.927   | (0.028)                          |
| Place                   | 77.777  | 39.404                            | 72.061  | (5.716)                            | 209.631                                       | 209.497                                       | (0.134)                          |
| Communities             | 5.499   | 1.742                             | 4.616   | (0.883)                            | 9.155   | 9.155   | -                                |
| Housing Revenue Account | 28.804  | 14.277                            | 28.491  | (0.312)                            | 59.271  | 58.857  | (0.404)                          |
| <b>Total</b>            | <b>114.715</b>                                  | <b>57.411</b>                     | <b>107.775</b>                                  | <b>(6.939)</b>                     | <b>282.012</b>                                | <b>281.446</b>                                | <b>(0.566)</b>                   |

5.2. The explanations for the 2018/19 variance of **-£6.939M** and the overall net variance of **-£0.566M** is shown in the table below and in more detail at paragraphs 5.3 - 5.6 (2018/19 only) and paragraph 5.7 (overall capital programme).

|   | <b>2018/19<br/>£M</b> | <b>Later Years<br/>£M</b> | <b>Total<br/>£M</b> |
|---|-----------------------|---------------------------|---------------------|
| <b>Reported Variance as at 31st December</b>            |                       |                           |                     |
| <b>As a result of:</b>                                  |                       |                           |                     |
| <b><u>Slippage:</u></b>                                 |                       |                           |                     |
| Place   | (3.701)               | 3.701                     | -                   |
| Communities   | (0.883)               | 0.883                     | -                   |
| Housing Revenue Account                                 | (0.518)               | 0.518                     | -                   |
| <b>Sub-Total</b>  | <b>(5.102)</b>        | <b>5.102</b>              | <b>-</b>            |
| <b><u>Re-phasing:</u></b>                               |                       |                           |                     |
| Place   | (1.880)               | 1.880                     | -                   |
| Housing Revenue Account                                 | 0.350                 | (0.350)                   | -                   |
| <b>Sub-Total</b>  | <b>(1.530)</b>        | <b>1.530</b>              | <b>-</b>            |
| <b><u>Funded Increases*/(Decreases**) in Scheme</u></b> |                       |                           |                     |
| <b><u>Costs:</u></b>                                    |                       |                           |                     |
| People  | (0.028)               | -                         | <b>(0.028)</b>      |
| Place   | (0.135)               | -                         | <b>(0.135)</b>      |
| Housing Revenue Account                                 | (0.144)               | (0.259)                   | <b>(0.403)</b>      |
| <b>Sub-Total</b>  | <b>(0.307)</b>        | <b>(0.259)</b>            | <b>(0.566)</b>      |
| <b>Total</b>  | <b>(6.939)</b>        | <b>6.373</b>              | <b>(0.566)</b>      |

\* The overall increases in costs are to be contained within resources yet to be allocated to specific schemes, either that have yet to be planned or residual 'surplus' resources from completed schemes, within the same area / programme. Paragraph 6.2 refers.

\*\* The resources made available from these reductions in cost are restricted to specific areas / programmes by virtue of their conditions. The reprioritisation of these resources will be determined by that specific area / programme in due course. Paragraph 6.2 refers.

### 2018/19 Position

5.3. Overall, the 2018/19 position is currently projected as a lower than planned expenditure totalling **-£6.939M**, predominately as a result of scheme slippage across various schemes.

#### 5.4. **2018/19 Slippage**

Of the variation in expenditure against approved plans, -£5.102M relates to scheme slippage, where expenditure plans are expected to be utilised in a future year rather than the current year, due to events out of the control of the respective project managers. There are no financial implications in terms of the overall capital programme. The schemes that have been significantly slipped are detailed below:

##### Place: Affordable Housing – Billingley View (-£1.088M)

There is reported slippage totalling £1.088M on the Billingley View Affordable Housing scheme.

This scheme relates to a site on the boundary of a large employment site which is subject to a masterplan framework, which the Council is leading on. The masterplan works are expected to complete in January / February 2019, which is later than originally anticipated. Following completion of the masterplan works, the Council will have a clear plan which identifies how much land at Billingley View will be available to deliver Affordable Housing. It is likely that no costs will be incurred until next financial year (2019/20) as a result of the delay in finalising the masterplan works.

There is no anticipated effect on the overall scheme cost.

##### Place: Cannon Hall Parks for People (-£0.590M)

There is reported slippage totalling £0.590M on the Cannon Hall Parks for People scheme.

The Cannon Hall Parks for People scheme at Cawthorne has seen an alteration in the programme of works as a result of amendments requested by the funding body, in respect of the final landscape and build contracts. As a result, this amendment has caused an unexpected delay to an element of the works, with the expectation that they will now be completed in 2019/20.

There is no anticipated effect on the overall scheme cost.

##### Place: Wentworth Castle and Stainborough Park (-£0.550M)

There is reported slippage totalling £0.550M on the Wentworth Castle & Stainborough Park scheme.

The Wentworth Castle and Stainborough Park scheme intends to ensure the sustainable future of the castle gardens and park. The final pre-opening financial package has now been finalised and agreed with the National Trust, allowing a more firm financial forecast and profile to be given. Within the initial estimate of profiled expenditure on the scheme, the expectation was that works would commence in the earlier part of 2018/19 but due to a delay in agreeing the final terms of the contract, it's anticipated that those works will take place in 2019/20.

There is no anticipated effect on the overall scheme cost.

##### HRA: Meadstead New Build (-£0.518M)

There is reported slippage totalling £0.518M on the Meadstead New Build scheme.

The Meadstead scheme is designed to build 13 x 2 bed bungalows and 1 x 3 bed bungalow on 4 sites across the Meadstead Estate at Royston and was approved by Cabinet on 25<sup>th</sup> July 2018. Following the tender process, a Letter of Intent was issued to the successful tenderer, to enable mobilisation work with an expected start date of September 2018. Due to the

contractor's other existing commitments, the start date was delayed until October 2018, which has resulted in an overall delay in anticipated completion.

There is no anticipated effect on the overall scheme cost.

#### Various: Others

Also during Quarter 3, a number of individual schemes have reported minor slippage (i.e. less than £0.5M) in 2018/19 amounting to -£2.356M in total. Appendix B identifies these schemes individually.

- **Recommendation 2 of this report is to formally approve the slippage of plans into later years within the capital programme as outlined above.**

#### 5.5. **2018/19 Re-phasing**

An amount totalling -£1.530M relates to net scheme re-phasing (where schemes are now due to complete in a different financial year to the year in which it was originally planned due to actions of project leads). There are no financial implications in terms of the overall capital programme. The schemes that have been significantly re-phased are detailed below:

##### Place: Principal Roads / Enhanced Highways Programme (-£1.580M)

There is reported re-phasing totalling £1.580M into 2019/20 from 2018/19 on the principal roads highways schemes.

The schemes relate to a programme of works that has been devised to address maintenance issues on the Borough's Principal Roads Network (A Roads) which totalled £3.5M for 2018/19. This programme sits across both the Principal Roads and Enhanced Highways Programme projects. Following a reprioritisation of priorities in respect of highways issues, resources have been diverted to emerging, more critical schemes. This prioritisation process took longer than first anticipated which means certain elements of the schemes will now take place in 2019/20.

However, by deferring these schemes, it means that they can be carried out in more favourable weather conditions / temperatures. Furthermore, the Service is also recruiting to all available front line vacancies to accelerate the delivery of the 2019/20 maintenance programme.

There is no anticipated effect on the overall scheme cost.

##### Place: Planned Patching Programme (Highways) (-£0.300M)

There is reported re-phasing totalling £0.300M into 2019/20 from 2018/19 on the Planned Patching Programme.

The Council provided additional resources totalling £2M to deliver planned patching and skid resistance programmes, to address exceptional winter damage caused to the highway network in early 2018. The original anticipated split was initially £1.4M for planned patching in 2018/19 and £0.600M for skid resistance in 2019/20. A number of the sites identified within the planned patching programme cannot be delivered in 2018/19 due to being weather sensitive sites. Therefore, £0.300M has been re-phased into 2019/20 and the works will be undertaken early in 2019/20 once the weather starts to improve.

There is no anticipated effect on the overall scheme cost.

#### HRA: Single Property Acquisition (+£0.310M)

There is reported re-phasing totalling £0.310M into 2018/19 from future years on the single property acquisition scheme.

This scheme is designed to replenish the Authority's housing stock through single property acquisitions, replacing sales of stock through the Government's Right to Buy (RTB) programme.

During the third quarter, four properties were acquired with a further eight properties approved for acquisition. Of these twelve properties, seven were long term empty contributing to the Council target of reducing empty homes with the remaining five contributing to the expenditure eligible to allow use of one for one capital receipts. These acquisitions represent an acceleration against previously anticipated plans for acquisitions, with 5 more purchases expected to complete than anticipated as at Quarter 2. Therefore, budgetary provision is required to fund these purchases in 2018/19.

There is no anticipated effect on the overall scheme cost.

#### Various: Others

Also during Quarter 3, a number of individual schemes have reported minor re-phasing (i.e. less than £0.1M) in 2018/19 amounting to +£0.040M in total. Appendix B identifies these schemes individually.

- **Recommendation 2 of this report is to formally approve the re-phasing of plans into later years within the capital programme as outlined above.**

#### 5.6. 2018/19 Variation in Costs

An amount totalling -£0.307M relates to an estimated net decrease in expenditure across a large number of schemes as a result of cost variations / scheme completion. There were a number of schemes that have reported a variation in cost of less than £0.2M individually in 2018/19.

Where the funding is restricted in terms of what it can be used for, these resources fall back to specific directorate unallocated resources for utilisation in future periods. The resources relating to the reported net decrease of £0.307M relate entirely to restricted resources, which paragraphs 6.2 refers.

Appendix B identifies these schemes individually.

- **Recommendation 3 of this report is to formally approve the variation of plans within the capital programme due to cost variations as outlined above.**

#### Overall Capital Programme Position

- 5.7. In terms of the capital programme in future years, there's an anticipated decrease in scheme costs totalling -£0.259M in addition to the issues outlined within the 2018/19 position in paragraphs 5.4 through paragraph 5.6. There are no significant cost variations (above £0.1M): Appendix B identifies these schemes individually.

Therefore, the total variation on the programme equates to a net decrease of **£0.566M**. The specific schemes and variation amounts are highlighted in Appendix B to this report.

- **Recommendation 4 of this report is to formally approve the variation of plans within the capital programme due to cost variations as outlined above.**



## 5.8. Reprioritisation of Schemes

As the financial year develops, emerging priorities for both the Council and within specific Council services can present themselves. Given the finite resources available in respect of funding the capital programme, it is therefore necessary to undertake a prioritisation exercise to align resources to the revised priorities. Ordinarily, this applies to service specific work packages within the capital programme, typically utilising the same funding package.

In respect of quarter 3, a number of key priorities have been identified by services as higher priority than some current schemes, which are a combination of new schemes and additional funding for existing schemes. The table below shows the reprioritisation of the capital programme which is to be approved as part of this capital programme monitoring update, with narrative around the rationale given in the subsequent paragraphs.

| <u>Service Work Package</u>           | <u>Scheme</u>                                | <u>Current Capital Plan</u><br>£M | <u>Variation</u><br>£M |
|---------------------------------------|--|-----------------------------------|------------------------|
| <b>Highways - Bridges</b>             | Dodworth River Bridge No.2                   | 0.300                             | (0.200)                |
|                                       | Elsecar Green / River Dearne Bridge Painting | 0.200                             | (0.200)                |
|                                       | Safety Barriers (PRN)                        | 0.050                             | (0.040)                |
|                                       | Bradbury Balk Lane River Bridge              | 0.020                             | (0.020)                |
|                                       | <b>Total Deprioritised</b>                   |                                   | <b>(0.460)</b>         |
|                                       | Structures Planned Maintenance               | 0.521                             | 0.212                  |
|                                       | Assessment Programme                         | 0.052                             | 0.082                  |
|                                       | West Moor Dyke Culvert                       | -                                 | 0.070                  |
|                                       | Principal Inspections                        | 0.060                             | 0.040                  |
|                                       | Retaining Walls General                      | 0.044                             | 0.036                  |
|                                       | Oaks Lane Retaining Wall                     | 0.300                             | 0.020                  |
|                                       | <b>Total Prioritised</b>                     |                                   | <b>0.460</b>           |
| <b>Highways – Planned Maintenance</b> | Carriageways Planned Maintenance             | 2.673                             | (0.105)                |
|                                       | Drainage Planned Maintenance                 | 0.608                             | (0.050)                |
|                                       | <b>Total Deprioritised</b>                   |                                   | <b>(0.155)</b>         |
|                                       | Footways Planned Maintenance                 | 0.745                             | 0.105                  |
|                                       | Street Lighting Planned Maintenance          | 0.400                             | 0.050                  |
| <b>Total Prioritised</b>              |  | <b>0.155</b>                      |                        |

### Highways – Bridges - £0.460M

Following a restructure of the Bridges and Structures Team during 2018/19 there has been a change of focus. The new team are now more focussed on inspecting and assessing the condition of the Borough's bridges and structures assets, in order to inform future year's programmes/priorities. This has resulted in some schemes being deprioritised in 2018/19 so that they can be assessed alongside other emerging priorities arising from the bridges and structures assets review. However, during the year, as safety issues have been identified these have been addressed through the Structures Planned Maintenance budget.

### Highways – Planned Maintenance - £0.155M

The Local Roads carriageways programme 2018/19 (Carriageways planned maintenance) has been delivered at a cost lower than originally estimated and conversely, in delivering the local roads footways programme (Footways planned maintenance) some additional work has been required. It is the nature of these schemes that the conditions on site dictate the work that is required and occasionally these works differ to those that were planned. In order to address the over spend on the footways planned maintenance budget, funds will be transferred from the underspending carriageways planned maintenance budget.

The street lighting planned maintenance programme is largely informed by faults and reports from the public. More faults have been reported than allowed for in the original budget. This

additional cost is being addressed by diverting budget from the Drainage Planned Maintenance programme, some drainage works are being deferred until 2019/20, due to resources being deployed on other priorities (e.g. the planned patching programme).

- **Recommendation 5 of this report is to formally approve the reprioritisation of schemes within the capital programme due to emerging priorities as outlined above.**

5.9. Following approval of this report, the capital programme will be amended accordingly to take account of the variations as highlighted throughout. The table below shows the revised capital programme:

| <b>Directorate</b>      | <b>2018/19 Q3 Capital Programme<br/>£M</b> | <b>Approved Changes by Q3 Report<br/>£M</b> | <b>2018/19 Revised Capital Programme<br/>£M</b> | <b>Total Q3 Capital Programme<br/>£M</b> | <b>Approved Changes by Q3 Report<br/>£M</b> | <b>Total Revised Capital Programme<br/>£M</b> |
|-------------------------|--|---|---|--|---|---|
| People                  | 2.635                                      | (0.028)                                     | 2.607   | 3.955                                    | (0.028)                                     | 3.927   |
| Place                   | 77.777                                     | (5.716)                                     | 72.061  | 209.631                                  | (0.134)                                     | 209.497                                       |
| Communities             | 5.499                                      | (0.883)                                     | 4.616   | 9.155                                    | -   | 9.155   |
| Housing Revenue Account | 28.804                                     | (0.312)                                     | 28.491  | 59.271                                   | (0.404)                                     | 58.857  |
| <b>Total</b>            | <b>114.715</b>                             | <b>(6.939)</b>                              | <b>107.775</b>                                  | <b>282.012</b>                           | <b>(0.566)</b>                              | <b>281.446</b>                                |

## 6. Unallocated Resources

- 6.1. There is a balance of available but not yet allocated resources at the end of quarter 3 in 2018/19 totalling £9.439M as well as estimated resources expected to be available in future periods of £89.358M. This is over and above the funding identified at Table 3.2, all of which is ring-fenced as to how it can be spent.

Members should note the distinction between resources ‘in the bank’ in 2018/19 and indicative allocations that haven’t yet been aligned to specific schemes. These allocations are due to be received in future years but are indicatively built into the programme, which are subject to change.

- 6.2. The unallocated resources position is analysed in the table below which shows the funding that is restricted / earmarked to a specific area / activity. There are no unallocated resources that are unrestricted at this time.

| <u>Restricted / Earmarked Funding</u>  |         | <b>2018/19<br/>£M</b> | <b>Later Years<br/>(Indicative)<br/>£M</b> | <b>Total<br/>£M</b> |
|--|---------|-----------------------|--|---------------------|
| HRA  | HRA     | 1.041                 | 82.496                                     | <b>83.537</b>       |
| Highways Funding   | Place   | 0.442                 | 4.727                                      | <b>5.169</b>        |
| Section 106 Monies   | Place   | 4.712                 | -  | <b>4.712</b>        |
| Schools Grants   | People  | 1.029                 | 0.521                                      | <b>1.550</b>        |
| Other  | Various | 2.215                 | 1.614                                      | <b>3.829</b>        |
| <b>Opening Resources Unallocated to Schemes</b>                              |         | <b>9.439</b>          | <b>89.358</b>                              | <b>98.797</b>       |
| Net Resources to be made available as per this Report (Paragraphs 5.6 / 5.7) |         | 0.307                 | 0.259                                      | <b>0.566</b>        |
| <b>Increase / (Decrease) in Available Resources</b>                          |         | <b>0.307</b>          | <b>0.259</b>                               | <b>0.566</b>        |
|  |         |                       |  |                     |
| <b>Revised <u>Restricted</u> Resources Unallocated to Schemes</b>            |         | <b>9.746</b>          | <b>89.617</b>                              | <b>99.363</b>       |

- 6.3. Following the approval of this Cabinet Report, restricted unallocated resources will increase by £0.566M due to scheme variations across the capital programme, as referred to in paragraphs 5.6 and 5.7.
- 6.4. Ongoing reviews of existing resources/ unallocated balances will be carried out by the Capital ‘Oversight’ Board. Any unrestricted resources will be considered as part of the update on the strategic reserves strategy.
- 6.5. It should be noted that the 2019/20 budget papers, for both the general fund (Cab.6.2.2019/6 refers) and the housing revenue account (Cab.9.1.2019/11) respectively, both recently approved by Cabinet, draw some of these future years’ unallocated resources.

## 7. Capital Programme Monitoring Position – By Corporate Priority / Outcome

7.1. The table below provides an analysis of the capital plans within the Council's five year capital programme, identifying the capital resources that are aligned to achieving the Council's 3 main Corporate Priorities and the 12 front facing outcomes. Any performance issues arising from the capital schemes assigned to each Corporate Priority are discussed within each relevant outcome section with material items referenced in the Corporate Performance Report. Appendix A shows detailed plans / outturn per scheme aligned to each Corporate Outcome.

| <u>Corporate Priorities</u>                   | <u>Corporate Outcomes</u>  | <u>2018/19 Capital Programme<br/>£M</u> | <u>2018/19 Actuals<br/>£M</u> | <u>2018/19 Projected Outturn<br/>£M</u> | <u>2018/19 Variance<br/>£M</u> | <u>Total Capital Programme<br/>£M</u> | <u>Total Projected Outturn<br/>£M</u> | <u>Total Variance<br/>£M</u> |
|---|--|---|-------------------------------|---|--------------------------------|---------------------------------------|---------------------------------------|------------------------------|
| <b>THRIVING &amp;<br/>VIBRANT ECONOMY</b>     | (1) Create More & Better Jobs & Good Business Growth                 | 4.264                                   | 1.757                         | 3.325                                   | (0.939)                        | 17.179                                | 17.179                                | -                            |
|   | (2) Increase Skills To Get More People Working                       | -                                       | -                             | -                                       | -                              | -                                     | -                                     | -                            |
|   | (3) Develop A Vibrant Town Centre                                    | 40.604                                  | 23.175                        | 40.604                                  | -                              | 145.168                               | 145.168                               | -                            |
|   | (4) Strengthen Our Visitor Economy                                   | 3.575                                   | 1.307                         | 2.206                                   | (1.369)                        | 8.628                                 | 8.565                                 | (0.063)                      |
|   | (5) Create More & Better Housing                                     | 38.100                                  | 18.520                        | 36.280                                  | (1.820)                        | 71.519                                | 71.115                                | (0.404)                      |
|   | <b>Sub Total</b>   | <b>86.543</b>                           | <b>44.759</b>                 | <b>82.415</b>                           | <b>(4.128)</b>                 | <b>242.494</b>                        | <b>242.027</b>                        | <b>(0.467)</b>               |
| <b>PEOPLE ACHIEVING<br/>THEIR POTENTIAL</b>   | (6) Every Child Attends a Good School                                | 4.610                                   | 2.996                         | 4.432                                   | (0.178)                        | 8.145                                 | 8.117                                 | (0.028)                      |
|   | (7) Early, Targeted Support For Those That Need It                   | -                                       | -                             | -                                       | -                              | -                                     | -                                     | -                            |
|   | (8) Children & Adults Are Safe From Harm                             | 0.231                                   | 0.127                         | 0.231                                   | -                              | 0.231                                 | 0.231                                 | -                            |
|   | (9) People Are Healthier, Happier, Independent & Active              | 1.717                                   | 0.915                         | 1.430                                   | (0.286)                        | 1.747                                 | 1.697                                 | (0.050)                      |
|   | <b>Sub Total</b>   | <b>6.558</b>                            | <b>4.038</b>                  | <b>6.093</b>                            | <b>(0.464)</b>                 | <b>10.123</b>                         | <b>10.045</b>                         | <b>(0.078)</b>               |
| <b>STRONG &amp;<br/>RESILIENT COMMUNITIES</b> | (10) People Volunteering & Contributing Towards Stronger Communities | -                                       | -                             | -                                       | -                              | -                                     | -                                     | -                            |
|   | (11) Protecting The Borough For Future Generations                   | 21.096                                  | 8.501                         | 18.749                                  | (2.347)                        | 28.865                                | 28.844                                | (0.021)                      |
|   | (12) Customers Can Contact Us Easily & Use More Services Online      | 0.518                                   | 0.112                         | 0.518                                   | -                              | 0.530                                 | 0.530                                 | -                            |
|   | <b>Sub Total</b>   | <b>21.614</b>                           | <b>8.613</b>                  | <b>19.267</b>                           | <b>(2.347)</b>                 | <b>29.395</b>                         | <b>29.374</b>                         | <b>(0.021)</b>               |
|   |  |   |                               |   |                                |                                       |                                       |                              |
|   | <b>Total</b>   | <b>114.715</b>                          | <b>57.410</b>                 | <b>107.775</b>                          | <b>(6.939)</b>                 | <b>282.012</b>                        | <b>281.446</b>                        | <b>(0.566)</b>               |

## **8. Capital Programme 'Oversight' Board**

- 8.1. The Capital Programme 'Oversight' Board has been set up to have oversight for the performance management of the Council's capital programme including Sheffield City Region schemes where the Council is the lead Authority.
- 8.2. The Oversight Board is particularly important in addressing the Council's capital priorities over the planning period to 2022, particularly as future funding reduces/ changes. This is especially the case in relation to capital resources that will be re-directed to City Regions as a result of local Devolution Deals and changing Government policies/ priorities.
- 8.3. Currently, the oversight board are considering a number of detailed business cases relating to the 2019 - 2022 capital programme as part of the budget setting process for capital, which relate to a wide range of capital investment. Subsequent cabinet reports will be presented to formally approve these schemes in due course.
- 8.4. A further update of the Authority's Reserves Strategy is being pulled together, including an analysis of both existing and future resources. The strategy considers prioritising Housing Revenue Account reserves and the use of Berneslai Homes' company surplus against a range of emerging capital priorities. Members will be updated in due course.

## **9. Background Papers**

- Service and Financial Planning 2018/19 – Revenue Budget, Capital Programme and Council Tax (Cab.7.2.2018/6)

# Quarter 3 Capital Programme By Outcome



## OUTCOME 1 - CREATE MORE & BETTER JOBS & GOOD BUSINESS GROWTH

|                                    |   |                               |   |                                |   |   |                                |
|------------------------------------|---|-------------------------------|---|--------------------------------|---|---|--------------------------------|
| <b>Overall Financial Position:</b> | <p>The financial position for Outcome 1, for both current year and overall is shown below.<br/> <b>This outcome is currently forecasting an overall balanced position.</b><br/>                 A full list of schemes at outcome level is provided at Appendix A with the variance analysis shown in Appendix B.</p> |                               |   |                                |   |   |                                |
| <b>Directorate(s)</b>              | <b>2018/19 Capital Programme<br/>£M</b>   | <b>2018/19 Actuals<br/>£M</b> | <b>Projected Outturn<br/>2018/19<br/>£M</b> | <b>2018/19 Variance<br/>£M</b> | <b>Overall Capital Programme<br/>£M</b> | <b>Overall Projected Outturn<br/>£M</b> | <b>Overall Variance<br/>£M</b> |
| PLACE / CORE                       | 4.264   | 1.757                         | 3.325                                       | (0.939)                        | 17.179                                  | 17.179                                  | -                              |

### OUTCOME 1 – SIGNIFICANT SCHEMES / PROGRAMMES

The most significant schemes / programmes for Outcome 1, in terms of value, are shown below, in respect of the financial position together with a commentary on progress during the quarter.

|   |   |                               |   |                                |   |   |                                |
|---|---|-------------------------------|---|--------------------------------|---|---|--------------------------------|
| <b>Scheme / Programme:</b>                            | <b>Barnsley Property Investment Fund Phase 2</b>  |                               |   |                                |   |   |                                |
| <b>Overview:</b>                                      | The second phase of the property investment fund scheme is aimed at accelerating inward investment and indigenous business economic growth. Specifically to move forward with the procurement activity relating to a relaunch of the fund, technical assessment of applications and identification of preferred schemes.  |                               |   |                                |   |   |                                |
| <b>Directorate:</b>                                   | PLACE   |                               |   |                                |   |   |                                |
| <b>Financials:</b>                                    | <b>2018/19 Capital Programme<br/>£M</b>   | <b>2018/19 Actuals<br/>£M</b> | <b>Projected Outturn<br/>2018/19<br/>£M</b> | <b>2018/19 Variance<br/>£M</b> | <b>Overall Capital Programme<br/>£M</b> | <b>Overall Projected Outturn<br/>£M</b> | <b>Overall Variance<br/>£M</b> |
| <b>Key:</b>   |   |                               |   |                                |   |   |                                |
| On Track / Underspend                                 | 1.217   | 1.147                         | 1.217                                       | -                              | 3.160                                   | 3.160                                   | -                              |
| Minor Variance / Slippage                             | Actual expenditure up to December 2018 on this scheme totals £1.147M against approved scheme plans of £1.217M. This scheme is currently forecasting an overall balanced position.   |                               |   |                                |   |   |                                |
| Major Overspend                                       |   |                               |   |                                |   |   |                                |
| <b>Total Scheme Budget (inc previous years spend)</b> | £3.250M   |                               |   |                                |   |   |                                |
| <b>Operational Activity This Quarter:</b>             | <p>This quarter, progress has been made with the first two approved PIF 2 Schemes</p> <ul style="list-style-type: none"> <li><b>Capitol Park</b> The largest unit comprising of 23,900 sq ft has been successfully let to Solarframe Holdings on a 10 year lease with a rental value of £5.75 per sq ft. There has been considerable interest in second unit and overall the site has the potential to deliver 500 jobs within Barnsley.</li> <li><b>Everill Gate Lane</b> legals are now complete and the planning application for the site was submitted in September with an expected decision date of March 2019.</li> </ul> <p><b>Enterprise 36</b> is now progressing through legal</p> |                               |   |                                |   |   |                                |

| Scheme / Programme:                                   | Strategic Business Parks  |                            |  |                             |  |  |                             |
|---|---|----------------------------|--|-----------------------------|--|--|-----------------------------|
| <b>Overview:</b>                                      | <p>The proposed employment sites at M1 J36 Hoyland; M1 J37 Barugh Green and Goldthorpe will be allocated as part of the emerging draft Local Plan 2014-2033, which is currently undergoing the Examination in Public, and we are awaiting the Planning Inspectors report.</p> <p>The overall delivery of the employment sites will be funded by Sheffield City Region Investment Fund (SCRIF) and Barnsley's Jobs and Business Plan together with private sector investment in to the sites. These projects will contribute significantly to the Council's aspiration of creating 17,500 new jobs over the next 20 years.</p>   |                            |  |                             |  |  |                             |
| <b>Directorate:</b>                                   | PLACE   |                            |  |                             |  |  |                             |
| <b>Financials:</b>                                    | <b>2018/19<br/>Capital<br/>Programme</b>  | <b>2018/19<br/>Actuals</b> | <b>Projected<br/>Outturn<br/>2018/19</b> | <b>2018/19<br/>Variance</b> | <b>Overall<br/>Capital<br/>Programme</b> | <b>Overall<br/>Projected<br/>Outturn</b> | <b>Overall<br/>Variance</b> |
| <b>Key:</b>   | £M  | £M                         | £M                                       | £M                          | £M                                       | £M                                       | £M                          |
| On Track / Underspend                                 | 0.608   | 0.372                      | 0.560                                    | (0.048)                     | 1.036                                    | 1.036                                    | -                           |
| Minor Variance / Slippage                             | Actual expenditure up to December 2018 on this scheme totals £0.372M against approved scheme plans of £0.608M. This scheme is currently forecasting an overall balanced position with £0.048M slippage from 2018/19 to 2019/20.   |                            |  |                             |  |  |                             |
| Major Overspend                                       |   |                            |  |                             |  |  |                             |
| <b>Total Scheme Budget (inc previous years spend)</b> | £4.398M   |                            |  |                             |  |  |                             |
| <b>Operational Activity This Quarter:</b>             | <p>M1 J36 Hoyland – Assisting with the facilitation of master planning North, South and West Hoyland employment sites with various developers over the next few months, with a view for the developers to consult with the masterplan in 2019.</p> <p>M1 J36 Goldthorpe – Cross departmental working with Highways to design mitigations to be delivered to ease current congestion and plan for future development whilst being funded externally via SCRIF. SCRIF funding business case approved by SCR – providing resources to fund the scheme.</p> <p>M1 J37 Barugh Green - Cross departmental working with Highways to design mitigations to be delivered to ease current congestion and plan for future development whilst being funded externally via SCRIF. Full Business Case currently in preparation.</p> |                            |  |                             |  |  |                             |

| Scheme / Programme:                                   | M1 Junction 36 Phase 1 Hoyland  |                            |  |                             |  |  |                             |
|---|---|----------------------------|--|-----------------------------|--|--|-----------------------------|
| <b>Overview:</b>                                      | <p>The Local Plan, adopted by full council on 3rd January 2019 CAB 12.12.2018/8 allocates 297ha of land for employment purposes, including 110ha at Junction 36 Hoyland, which can be developed upto 2033 to assist with the delivery of the overall Local Plan employment target of 28,840 jobs including around 16,920 net additional jobs. The overall delivery of the employment sites will be funded by Sheffield City Region Investment Fund and the Jobs and Business Plan together with private investment in the sites..</p> |                            |  |                             |  |  |                             |
| <b>Directorate:</b>                                   | PLACE   |                            |  |                             |  |  |                             |
| <b>Financials:</b>                                    | <b>2018/19<br/>Capital<br/>Programme</b>  | <b>2018/19<br/>Actuals</b> | <b>Projected<br/>Outturn<br/>2018/19</b> | <b>2018/19<br/>Variance</b> | <b>Overall<br/>Capital<br/>Programme</b> | <b>Overall<br/>Projected<br/>Outturn</b> | <b>Overall<br/>Variance</b> |
| <b>Key:</b>   | £M  | £M                         | £M                                       | £M                          | £M                                       | £M                                       | £M                          |
| On Track / Underspend                                 | 0.300   | 0.031                      | 0.150                                    | (0.150)                     | 9.896                                    | 9.896                                    | -                           |
| Minor Variance / Slippage                             | Actual expenditure up to December 2018 on this scheme totals £0.031M against approved scheme plans of £0.300M. This scheme is currently forecasting an overall balanced position with £0.150M slippage from 2018/19 to 2019/20.   |                            |  |                             |  |  |                             |
| Major Overspend                                       |   |                            |  |                             |  |  |                             |
| <b>Total Scheme Budget (inc previous years spend)</b> | £17.101M  |                            |  |                             |  |  |                             |
| <b>Operational Activity This Quarter:</b>             | <p>M1 J36 Hoyland – Assisting with the facilitation of master planning North, South and West Hoyland employment sites with various developers over the next few months, with a view for the developers to consult with the masterplan in 2019.</p>  |                            |  |                             |  |  |                             |

## OUTCOME 3 – DEVELOP A VIBRANT TOWN CENTRE

|                                    |   |                           |                                     |                            |                                     |                                     |                            |
|------------------------------------|---|---------------------------|-------------------------------------|----------------------------|-------------------------------------|-------------------------------------|----------------------------|
| <b>Overall Financial Position:</b> | <p>The financial position for Outcome 3, for both current year and overall is shown below.</p> <p style="text-align: center;"><b>This outcome is currently forecasting an overall balanced position.</b></p> <p>A full list of schemes at outcome level is provided at Appendix A with the variance analysis shown in Appendix B.</p> |                           |                                     |                            |                                     |                                     |                            |
| <b>Directorate(s)</b>              | <b>2018/19 Capital Programme £M</b>   | <b>2018/19 Actuals £M</b> | <b>Projected Outturn 2018/19 £M</b> | <b>2018/19 Variance £M</b> | <b>Overall Capital Programme £M</b> | <b>Overall Projected Outturn £M</b> | <b>Overall Variance £M</b> |
| PLACE / CORE                       | 40.604  | 23.175                    | 40.604                              | -                          | 145.168                             | 145.168                             | -                          |

### OUTCOME 3 – SIGNIFICANT SCHEMES / PROGRAMMES

The most significant schemes / programmes for Outcome 3, in terms of value, are shown below, in respect of the financial position together with a commentary on progress during the quarter.

| Scheme / Programme:                                   | Glassworks Development Phase 1   |                           |                                     |                            |                                     |                                     |                            |
|---|--|---------------------------|-------------------------------------|----------------------------|-------------------------------------|-------------------------------------|----------------------------|
| <b>Overview:</b>                                      | <p>Phase 1 of the Glassworks scheme is focussed on the redevelopment of the BMBC owned assets and land in Barnsley town centre. The investment to date has seen us complete the demolition of derelict and underused assets, the creation of two temporary markets to house the market traders. Significant progress has been made by the main contractor Henry Boot (appointed in February 2016). In train during the reporting period is the completion of the refurbishment of the Metropolitan Centre and construction of the Library@the Lightbox. The construction of new public realm works on Cheapside is complete and design work continues for a new landscaped public open space (the Glass Works Square) and wider public realm improvements across the town centre due to additional allocation of resources to increase the area of the scheme. High quality car parking has been provided on the former CEAG site. These ambitious plans will boost regeneration, acting as a catalyst for further investment in the town.</p> |                           |                                     |                            |                                     |                                     |                            |
| <b>Directorate:</b>                                   | CORE   |                           |                                     |                            |                                     |                                     |                            |
| <b>Financials:</b>                                    | <b>2018/19 Capital Programme £M</b>  | <b>2018/19 Actuals £M</b> | <b>Projected Outturn 2018/19 £M</b> | <b>2018/19 Variance £M</b> | <b>Overall Capital Programme £M</b> | <b>Overall Projected Outturn £M</b> | <b>Overall Variance £M</b> |
| <b>Key:</b>   |  |                           |                                     |                            |                                     |                                     |                            |
| On Track / Underspend                                 | 35.389   | 20.515                    | 35.389                              | -                          | 35.389                              | 35.389                              | -                          |
| Minor Variance / Slippage                             | Actual expenditure up to December 2018 on this scheme totals £20.515M against approved scheme plans of £35.389M. This scheme is currently forecasting an overall balanced position.  |                           |                                     |                            |                                     |                                     |                            |
| Major Overspend                                       |  |                           |                                     |                            |                                     |                                     |                            |
| <b>Total Scheme Budget (inc previous years spend)</b> | £65.887M   |                           |                                     |                            |                                     |                                     |                            |
| <b>Operational Activity This Quarter:</b>             | <p>Overall the Glass Works phase 1 is making good progress, with real physical changes to the town centre visible above the hoardings.</p> <p><b>Library@the Lightbox</b><br/>Works this quarter have continued to the walls, slabs and columns on the library and adjacent retail unit. The curtain walling is being installed on the exterior of the building in preparation for the glazing works to commence in January. The procurement for the internal fit out of the building has been completed. The contractor will complete the construction in March which will be followed by a period of client fit out prior to the building opening.</p> <p><b>Metropolitan Centre</b><br/>Significant progress has been made to the external finishes of the building with the installation of the GRC columns, brick slips and curtain walling completed on Cheapside. The completion of the May Day Green façade was unforeseeably delayed, however this did not impact on the opening of</p>   |                           |                                     |                            |                                     |                                     |                            |



|  |   |
|--|---|
|  | <p>the building in November. The internal fit out of the Market is complete and the market opened to trade on the 2.11.18. In the basement the trader stores and prep areas are complete. The food hall has been completed and opened for trade on the 31.08.18. Half of the Market Kitchen area is now open to enable the market cafes to trade. Work will be ongoing next quarter to complete the remaining area and to install new furniture. The far end of the Metropolitan Centre has been demolished and work to build the new façade will be complete at the end of April 2019.</p> <p><b>Public Realm</b><br/>Works to Cheapside and part of May Day Green were completed by December 2018. This includes new paving, seating, street lighting, and trees. Detailed design work is ongoing for the rest of the public realm which will be delivered in a phased basis with the remainder of May Day Green in front of the new library starting construction in January 2019.</p> <p><b>It should be noted that Henry Boots' contractual key performance indicator targets for social value have not only been achieved but they have exceeded them in several areas.</b></p> <p><b>Demolition</b><br/>The ramps, box store and service road to the rear of the multi-storey car park have been demolished in preparation for the explosive demolition of the main structure and chimney at the end of January 2019. All services have been disconnected and the substation under the car park has been decommissioned. The Market Parade slab has been removed and the former markets offices, pram ramp and stair tower have been demolished.</p> |
|--|---|

| Scheme / Programme:                                   | Glassworks Development Phase 2   |                            |  |                             |  |  |                             |
|---|--|----------------------------|--|-----------------------------|--|--|-----------------------------|
| <b>Overview:</b>                                      | <p>The Council has engaged with a private sector development management company to bring forward Phase 2 of the Glassworks scheme. This will include working with the Council to provide:</p> <ul style="list-style-type: none"> <li>Fully tendered construction contract with a fixed price;</li> <li>Pre-lets of the whole scheme,</li> <li>A detailed financial model and cost plan</li> <li>Management of the construction contract</li> <li>Advice and guidance in respect of future Facilities and Asset Management arrangements of the Glass Works.</li> </ul> <p>The completed Phase 2 Glass Works scheme will deliver :</p> <ul style="list-style-type: none"> <li>26 new retail units</li> <li>4 leisure units including a 13 screen Cineworld and a Super bowl Laser quest facility</li> <li>7 restaurants</li> <li>A 500 space car park</li> </ul> <p>These phase 2 elements will sit alongside</p> <ul style="list-style-type: none"> <li>A new library &amp; community facility (Library @ the Lightbox)</li> <li>A new refurbished Market Hall and associated Food Hall</li> <li>A new Market Kitchen food court</li> <li>A comprehensive programme of public realm for the scheme and wider town centre</li> </ul> |                            |  |                             |  |  |                             |
| <b>Directorate:</b>                                   | PLACE  |                            |  |                             |  |  |                             |
| <b>Financials:</b>                                    | <b>2018/19<br/>Capital<br/>Programme</b>   | <b>2018/19<br/>Actuals</b> | <b>Projected<br/>Outturn<br/>2018/19</b> | <b>2018/19<br/>Variance</b> | <b>Overall<br/>Capital<br/>Programme</b> | <b>Overall<br/>Projected<br/>Outturn</b> | <b>Overall<br/>Variance</b> |
| <b>Key:</b>   | £M   | £M                         | £M                                       | £M                          | £M                                       | £M                                       | £M                          |
| On Track / Underspend                                 | 3.267  | 2.412                      | 3.267                                    | -                           | 101.449                                  | 101.449                                  | -                           |
| Minor Variance / Slippage                             | Actual expenditure up to December 2018 on this scheme totals £2.412M against approved scheme plans of £3.267M. This scheme is currently forecasting an overall balanced position.  |                            |  |                             |  |  |                             |
| Major Overspend                                       |  |                            |  |                             |  |  |                             |
| <b>Total Scheme Budget (inc previous years spend)</b> | £105.923M  |                            |  |                             |  |  |                             |
| <b>Operational Activity<br/>This Quarter:</b>         | Pre-construction activity has continued in this quarter. Demolition work has recommenced to prepare the site for phase 2. Procurement work has also been ongoing to secure a contractor to build phase 2. Alongside this, leasing activity has continued with the signing of 4 new operators to the scheme. The markets have been officially opened in their newly refurbished home in the Metropolitan Centre as well as the first element of Market Kitchen with the relocation and opening of the existing 3 market cafes. Construction work on the Library @ the Light Box is ongoing, and public realm improvements along Cheapside have been completed.  |                            |  |                             |  |  |                             |

## OUTCOME 4 – STRENGTHEN OUR VISITOR ECONOMY

|                                    |   |                               |   |                                |   |   |                                |
|------------------------------------|---|-------------------------------|---|--------------------------------|---|---|--------------------------------|
| <b>Overall Financial Position:</b> | <p>The financial position for Outcome 4, for both current year and overall is shown below.<br/> <b>This outcome is currently forecasting an overall decrease in costs of £0.063M. These resources are restricted as to what it can be used on and therefore falls back into directorate unallocated resources.</b></p> <p>A full list of schemes at outcome level is provided at Appendix A with the variance analysis shown in Appendix B.</p> |                               |   |                                |   |   |                                |
| <b>Directorate(s)</b>              | <b>2018/19 Capital Programme<br/>£M</b>   | <b>2018/19 Actuals<br/>£M</b> | <b>Projected Outturn 2018/19<br/>£M</b> | <b>2018/19 Variance<br/>£M</b> | <b>Overall Capital Programme<br/>£M</b> | <b>Overall Projected Outturn<br/>£M</b> | <b>Overall Variance<br/>£M</b> |
| PLACE                              | 3.575   | 1.307                         | 2.206                                   | (1.369)                        | 8.628                                   | 8.565                                   | (0.063)                        |

### OUTCOME 4 – SIGNIFICANT SCHEMES / PROGRAMMES

The most significant schemes / programmes for Outcome 4, in terms of value, are shown below, in respect of the financial position together with a commentary on progress during the quarter.

| Scheme / Programme:                                   | Cannon Hall – Parks for People   |                               |   |                                |   |   |                                |
|---|--|-------------------------------|---|--------------------------------|---|---|--------------------------------|
| <b>Overview:</b>                                      | £3.2million Capital improvement scheme mainly funded by Heritage Lottery Fund of £2.9million, to renovate the lakes, external buildings and structures and to improve the landscaping with planting and infrastructure access and utilities – Activities and events scheduled to run throughout the scheme duration to improve visitor number and participation -Anticipated completion September 2020   |                               |   |                                |   |   |                                |
| <b>Directorate:</b>                                   | PLACE  |                               |   |                                |   |   |                                |
| <b>Financials:</b>                                    | <b>2018/19 Capital Programme<br/>£M</b>  | <b>2018/19 Actuals<br/>£M</b> | <b>Projected Outturn 2018/19<br/>£M</b> | <b>2018/19 Variance<br/>£M</b> | <b>Overall Capital Programme<br/>£M</b> | <b>Overall Projected Outturn<br/>£M</b> | <b>Overall Variance<br/>£M</b> |
| <b>Key:</b>   |  |                               |   |                                |   |   |                                |
| On Track / Underspend                                 | 1.500  | 0.877                         | 0.910                                   | (0.590)                        | 3.202                                   | 3.202                                   | -                              |
| Minor Variance / Slippage                             | Actual expenditure up to December 2018 on this scheme totals £0.877M against approved scheme plans of £1.500M. This scheme is currently forecasting an overall balanced position with £0.590M slipping into future years.  |                               |   |                                |   |   |                                |
| Major Overspend                                       |  |                               |   |                                |   |   |                                |
| <b>Total Scheme Budget (inc previous years spend)</b> | £3.330M  |                               |   |                                |   |   |                                |
| <b>Operational Activity This Quarter:</b>             | £3.2million Capital improvement scheme mainly funded by Heritage Lottery Fund of £2.9million, the lakes renovation has been completed, the specifications for the renovation of the buildings and landscape work has been developed ready for going out to tender in January 2019 – Activities and events are scheduled to run throughout the scheme duration to improve visitor number and participation -Anticipated completion September 2020 |                               |   |                                |   |   |                                |

| Scheme / Programme:                                   | Replacement of Boilers - Metrodome  |                            |  |                             |  |  |                             |
|---|---|----------------------------|--|-----------------------------|--|--|-----------------------------|
| <b>Overview:</b>                                      | Deliver the replacement of the heating system at the Metrodome utilising the EU compliant Re:fit Framework, work to be carried out spring 2019.   |                            |  |                             |  |  |                             |
| <b>Directorate:</b>                                   | PLACE   |                            |  |                             |  |  |                             |
| <b>Financials:</b>                                    | <b>2018/19<br/>Capital<br/>Programme</b>  | <b>2018/19<br/>Actuals</b> | <b>Projected<br/>Outturn<br/>2018/19</b> | <b>2018/19<br/>Variance</b> | <b>Overall<br/>Capital<br/>Programme</b> | <b>Overall<br/>Projected<br/>Outturn</b> | <b>Overall<br/>Variance</b> |
| <b>Key:</b>   | <b>£M</b>   | <b>£M</b>                  | <b>£M</b>                                | <b>£M</b>                   | <b>£M</b>                                | <b>£M</b>                                | <b>£M</b>                   |
| On Track / Underspend                                 | 0.200   | 0.022                      | 0.070                                    | (0.130)                     | 1.200                                    | 1.200                                    | -                           |
| Minor Variance / Slippage                             | Actual expenditure up to December 2018 on this scheme totals £0.022M against approved scheme plans of £0.200M. This scheme is currently forecasting an overall balanced position with slippage of £0.130M into future years.  |                            |  |                             |  |  |                             |
| Major Overspend                                       |   |                            |  |                             |  |  |                             |
| <b>Total Scheme Budget (inc previous years spend)</b> | £1.200M   |                            |  |                             |  |  |                             |
| <b>Operational Activity<br/>This Quarter:</b>         | <p>The Metrodome project has slipped as a result of the difficulty in developing a proper understanding of the current heating and ventilation system at the facility. This information is a vital component of the ITT as the tender requires the supplier to design install and maintain a new CHP boiler system. Currently maintenance of the boiler and ventilation system is split between NPS Asset Management and BPL. The Project Manager responsible for this project has had to assemble information from these different bodies and has found that this information is often incomplete and on many occasions non-existent. There have also been delays in reviewing and approving the standard contract information provided by our consultant Local Partnerships.</p> <p>We have now tendered the project and the preferred supplier is in the process of developing a high level proposal before preparation of an Investment Level Proposal.</p> |                            |  |                             |  |  |                             |

## OUTCOME 5 – CREATE MORE AND BETTER HOUSING

|                                    |  |                               |   |                                |   |   |                                |
|------------------------------------|--|-------------------------------|---|--------------------------------|---|---|--------------------------------|
| <b>Overall Financial Position:</b> | <p>The financial position for Outcome 5, for both current year and overall is shown below. <b>This outcome is currently forecasting an overall decrease in costs of £0.404M. These resources are restricted as to what it can be used on and therefore falls back into directorate unallocated resources.</b></p> <p>A full list of schemes at outcome level is provided at Appendix A with the variance analysis shown in Appendix B.</p> |                               |   |                                |   |   |                                |
| <b>Directorate(s)</b>              | <b>2018/19 Capital Programme<br/>£M</b>  | <b>2018/19 Actuals<br/>£M</b> | <b>Projected Outturn 2018/19<br/>£M</b> | <b>2018/19 Variance<br/>£M</b> | <b>Overall Capital Programme<br/>£M</b> | <b>Overall Projected Outturn<br/>£M</b> | <b>Overall Variance<br/>£M</b> |
| HRA / PLACE / COMMUNITES           | 28.804   | 13.125                        | 28.491                                  | (0.313)                        | 59.271                                  | 58.867                                  | (0.404)                        |

### OUTCOME 5 – SIGNIFICANT SCHEMES / PROGRAMMES

The most significant schemes / programmes for Outcome 5, in terms of value, are shown below, in respect of the financial position together with a commentary on progress during the quarter.

| Scheme / Programme:                       | Barnsley Homes Standard / Decent Homes Programme  |                               |   |                                |   |   |                                |
|---|---|-------------------------------|---|--------------------------------|---|---|--------------------------------|
| <b>Overview:</b>                          | Barneslai Homes fulfilled its Decent Homes target by achieving full decency of HRA housing stock in December 2010. As the Decency Standard is essentially a time based elemental standard, when a number of elements in a property require replacement, because they are old and because of their condition, the property is said to be ‘non-decent’. It then requires improvement. The Barnsley Homes Standard (BHS) Programme improves these properties in planned improvement programmes, based on a whole house approach or elemental basis as appropriate. |                               |   |                                |   |   |                                |
| <b>Directorate:</b>                       | HRA   |                               |   |                                |   |   |                                |
| <b>Financials:</b>                        | <b>2018/19 Capital Programme<br/>£M</b>   | <b>2018/19 Actuals<br/>£M</b> | <b>Projected Outturn 2018/19<br/>£M</b> | <b>2018/19 Variance<br/>£M</b> | <b>Overall Capital Programme<br/>£M</b> | <b>Overall Projected Outturn<br/>£M</b> | <b>Overall Variance<br/>£M</b> |
| <b>Key:</b>                               |   |                               |   |                                |   |   |                                |
| On Track / Underspend                     | 10.470  | 3.389                         | 10.316                                  | (0.154)                        | 12.956                                  | 12.503                                  | (0.453)                        |
| Minor Variance / Slippage                 | Actual expenditure to December 2018 on the programme totals £3.389M, against approved 2018/19 plans of £10.470M. An overall decrease of £0.453M is currently forecast against the schemes and is reported as part of this report. The decrease in scheme costs can be transferred to the restricted HRA unallocated BHS funds, so there are no implications against the Council’s resources.  |                               |   |                                |   |   |                                |
| Major Overspend                           |   |                               |   |                                |   |   |                                |
| <b>Operational Activity This Quarter:</b> | Of the 15 schemes identified for the 2018/19 BHS programme, at the end of Quarter 3, 8 schemes are complete with 7 schemes are currently on site and due to complete before 31 <sup>st</sup> March 2019   |                               |   |                                |   |   |                                |

| Scheme / Programme: | Non Barnsley Homes Standard Programme   |
|---------------------|---|
| <b>Overview:</b>    | <p>The Non BHS schemes incorporated within the PRIP contact include:-</p> <ul style="list-style-type: none"> <li>• <b>The Major Adaptations budget</b> which assists people with specific identified needs within the Borough, allowing them to continue to live as independently as possible in the home of their choice.</li> <li>• <b>The Replacement Items budget</b> comprising items which are reported by tenants and subsequently on inspection deemed beyond repair. These are placed into a planned rolling programme of work throughout the year. Properties where BHS works are planned are excluded except in very urgent or emergency cases.</li> <li>• <b>The Structural Extensive / Void Replacement Programme</b> which allows for structural and</li> </ul> |

|   |   |                        |                                  |                         |                                  |                                  |                         |
|---|---|------------------------|----------------------------------|-------------------------|----------------------------------|----------------------------------|-------------------------|
|   | replacement items in both tenanted and void properties where the existing property elements are beyond repair or dangerous. The budget allows for extensive works to single properties which do not lend themselves to ongoing or imminent programmed works.  |                        |                                  |                         |                                  |                                  |                         |
| <b>Directorate:</b>                       | HRA   |                        |                                  |                         |                                  |                                  |                         |
| <b>Financials:</b>                        | <b>2018/19 Capital Programme</b>  | <b>2018/19 Actuals</b> | <b>Projected Outturn 2018/19</b> | <b>2018/19 Variance</b> | <b>Overall Capital Programme</b> | <b>Overall Projected Outturn</b> | <b>Overall Variance</b> |
| <b>Key:</b>                               | £M  | £M                     | £M                               | £M                      | £M                               | £M                               | £M                      |
| On Track / Underspend                     | 9.567   | 5.281                  | 9.621                            | 0.054                   | 35.327                           | 35.381                           | 0.054                   |
| Minor Variance / Slippage                 | Projected expenditure for 2018/19 on these demand led schemes totals £9.621M (against approved plans of £9.567M), giving an in-year variance of £0.054M.  |                        |                                  |                         |                                  |                                  |                         |
| Major Overspend                           |   |                        |                                  |                         |                                  |                                  |                         |
| <b>Operational Activity This Quarter:</b> | Progress against these budget heads is on programme with regular releases of work to partner contractors. All work is meeting time key performance indicators and costs expenditure is being monitored on a monthly basis. Some pressure is being experienced with a rise in demand for major home adaptations and this is being monitored. |                        |                                  |                         |                                  |                                  |                         |

|   |  |                        |                                  |                         |                                  |                                  |                         |
|---|--|------------------------|----------------------------------|-------------------------|----------------------------------|----------------------------------|-------------------------|
| <b>Scheme / Programme:</b>                | <b>Housing Growth Programme</b>  |                        |                                  |                         |                                  |                                  |                         |
| <b>Overview:</b>                          | BMBC is committed to the delivery of both new build housing direct development, new build acquisitions and second hand property acquisitions to increase the availability of affordable housing in the borough and replenish some units sold via RTB. Funding has also been identified to support the Council's strategic housing objectives in the public and private sector over a five year period to stimulate housing growth, make best use of our council land and assets and contribute to our aspirational growth targets.   |                        |                                  |                         |                                  |                                  |                         |
| <b>Directorate:</b>                       | HRA  |                        |                                  |                         |                                  |                                  |                         |
| <b>Financials:</b>                        | <b>2018/19 Capital Programme</b>   | <b>2018/19 Actuals</b> | <b>Projected Outturn 2018/19</b> | <b>2018/19 Variance</b> | <b>Overall Capital Programme</b> | <b>Overall Projected Outturn</b> | <b>Overall Variance</b> |
| <b>Key:</b>                               | £M   | £M                     | £M                               | £M                      | £M                               | £M                               | £M                      |
| On Track / Underspend                     | 8.767  | 4.455                  | 8.554                            | (0.213)                 | 10.988                           | 10.983                           | (0.005)                 |
| Minor Variance / Slippage                 | Actual expenditure incurred to date is £4.455M for 2018/19 against schemes currently approved in the housing growth programme. Forecasted outturn is projected to be £8.554M (against plans of £8.767M), giving an in-year variance of (£0.213M).  |                        |                                  |                         |                                  |                                  |                         |
| Major Overspend                           |  |                        |                                  |                         |                                  |                                  |                         |
| <b>Operational Activity This Quarter:</b> | <p>Q3 Affordable Completions include: 12x Housing Association units delivered by Together Housing at Snape Hill, Darfield (with nominations from the Council's Housing Waiting List) , 4x acquisitions and 2x new build bungalow acquisitions = 84/150 target (56%) completed as a Q3. Slightly behind target due to the delayed completion of a Housing Association Scheme in Hoyland (30 units at King Street) now due to complete in March 2019, but we are still confident in meeting the overall target of 150 by year end. Q4 completions should include: Hill End, Mapplewell (25 units); King Street (30 units), Beaver Street (Council Build 8x units), Lundwood Bungalows (10 additional units), plus a number of individual acquisitions. Also:</p> <ul style="list-style-type: none"> <li>• Good progress made on Council Build schemes at Beaver Street and Meadstead. Baden Street progressing but behind schedule. Plans to swap the Homes England funding from this scheme.</li> <li>• First 3 sales completed at Blenheim View – completion now May 2019.</li> <li>• Investment Plan approved at Cabinet – good progress on new schemes – 2 additional schemes progressing approvals (40 units). Overall New Build Completions = 803 at Q3 – on track for 1000 unit year-end target. Local Plan now adopted.</li> </ul> |                        |                                  |                         |                                  |                                  |                         |

## OUTCOME 6 – EVERY CHILD ATTENDS A GOOD SCHOOL

|                                    |   |                               |   |                                |   |   |                                |
|------------------------------------|---|-------------------------------|---|--------------------------------|---|---|--------------------------------|
| <b>Overall Financial Position:</b> | <p>The financial position for Outcome 6, for both current year and overall is shown below.<br/> <b>This outcome is currently forecasting an overall decrease in costs of £0.028M. These resources are restricted as to what it can be used on and therefore falls back into directorate unallocated resources.</b><br/> A full list of schemes at outcome level is provided at Appendix A with the variance analysis shown in Appendix B.</p> |                               |   |                                |   |   |                                |
| <b>Directorate(s)</b>              | <b>2018/19 Capital Programme<br/>£M</b>   | <b>2018/19 Actuals<br/>£M</b> | <b>Projected Outturn 2018/19<br/>£M</b> | <b>2018/19 Variance<br/>£M</b> | <b>Overall Capital Programme<br/>£M</b> | <b>Overall Projected Outturn<br/>£M</b> | <b>Overall Variance<br/>£M</b> |
| HRA / PLACE / COMMUNITES           | 4.610   | 2.996                         | 4.432                                   | (0.178)                        | 8.145                                   | 8.117                                   | (0.028)                        |

### OUTCOME 6 – SIGNIFICANT SCHEMES / PROGRAMMES

The most significant schemes / programmes for Outcome 6, in terms of value, are shown below, in respect of the financial position together with a commentary on progress during the quarter.

| Scheme / Programme:                       | School Condition  |                               |   |                                |   |   |                                |
|---|---|-------------------------------|---|--------------------------------|---|---|--------------------------------|
| <b>Overview:</b>                          | The school condition programme (funded from DfE capital grant) comprises of a number of schools schemes that relates to, and addresses, the major defective building elements that have been identified as requiring urgent attention on Council Maintained schools. The schemes will ensure that pupils are taught in safe, dry, warm and bright environments. |                               |   |                                |   |   |                                |
| <b>Directorate:</b>                       | PEOPLE  |                               |   |                                |   |   |                                |
| <b>Financials:</b>                        | <b>2018/19 Capital Programme<br/>£M</b>   | <b>2018/19 Actuals<br/>£M</b> | <b>Projected Outturn 2018/19<br/>£M</b> | <b>2018/19 Variance<br/>£M</b> | <b>Overall Capital Programme<br/>£M</b> | <b>Overall Projected Outturn<br/>£M</b> | <b>Overall Variance<br/>£M</b> |
| <b>Key:</b>                               |   |                               |   |                                |   |   |                                |
| On Track / Underspend                     | 1.895   | 1.671                         | 1.880                                   | (0.015)                        | 1.940                                   | 1.926                                   | (0.015)                        |
| Minor Variance / Slippage                 | Actual expenditure up to December 2018 on these schemes totals £1.671M against approved scheme plans of £1.895M. These schemes are currently forecasting an overall decrease in cost of £0.015M which will fall back into the directorate unallocated resources.  |                               |   |                                |   |   |                                |
| Major Overspend                           |   |                               |   |                                |   |   |                                |
| <b>Operational Activity This Quarter:</b> | All schemes are now finished and Final Accounts are in the process of being agreed. Client satisfaction/closedown meetings have taken place for the schemes. All schemes will continue to be monitored throughout the defects period and any problems will be raised with the relevant contractor for rectification.  |                               |   |                                |   |   |                                |

| Scheme / Programme:       | Additional Pupil Places   |                               |   |                                |   |   |                                |
|---------------------------|---|-------------------------------|---|--------------------------------|---|---|--------------------------------|
| <b>Overview:</b>          | The Authority has a statutory duty to ensure there are sufficient school places in the borough to provide appropriate education for its pupils. The Pupil Places programme comprised a number of capital schemes aimed at increasing the number of primary school places to meet increased demand. This is mainly achieved by providing additional classroom space in specific schools in areas of greatest need. |                               |   |                                |   |   |                                |
| <b>Directorate:</b>       | PEOPLE  |                               |   |                                |   |   |                                |
| <b>Financials:</b>        | <b>2018/19 Capital Programme<br/>£M</b>   | <b>2018/19 Actuals<br/>£M</b> | <b>Projected Outturn 2018/19<br/>£M</b> | <b>2018/19 Variance<br/>£M</b> | <b>Overall Capital Programme<br/>£M</b> | <b>Overall Projected Outturn<br/>£M</b> | <b>Overall Variance<br/>£M</b> |
| <b>Key:</b>               |   |                               |   |                                |   |   |                                |
| On Track / Underspend     | 0.574   | 0.222                         | 0.561                                   | (0.013)                        | 1.850                                   | 1.836                                   | (0.013)                        |
| Minor Variance / Slippage | Actual expenditure up to December 2018 on these schemes totals £0.222M against approved   |                               |   |                                |   |   |                                |

|   |  |
|---|--|
| <b>Major Overspend</b>                    | scheme plans of £0.574M. These schemes are currently forecasting an overall decrease in cost of £0.013M which will fall back into the directorate unallocated resources.   |
| <b>Operational Activity This Quarter:</b> | Tender documents for the Phase 4 works at Penistone St. Johns Primary were sent out to the shortlisted contractors for pricing. Upon receipt, the costs were in excess of the budget and an exercise took place to reduce the scope of works. This was subsequently put out to tender again and revised prices were received which were in line with the funding available. Tender reports are in the process of being prepared. This has delayed the programme slightly, but it is still hopeful that works will be complete for the start of the new term in September 2019. Planning approval was received for the new car park, although this element of works was removed from the scheme as part of the exercise to make scheme savings. |

| Scheme / Programme:                                   | Penistone Grammar Extension  |                                   |   |                                    |   |   |                                    |
|---|--|-----------------------------------|---|------------------------------------|---|---|------------------------------------|
| <b>Overview:</b>                                      | <p>Approval has been given for the publication of a Statutory Notice to enlarge the premises of Penistone Grammar School from a net capacity of 1,400 to 1,650 pupils with effect from September 2018. This increase in capacity relates to Years 7 to 11 only and will allow for an increase in pupils from 270 to 320, in the Year 7 intake from 2018 onwards.</p> <p>The scheme has been split into 2 phases:<br/>           Phase 1 is internal re-modelling primarily to enable the School to accommodate the 50 additional pupils in September 2018 and as part of the long term plan. Construction works are underway.<br/>           Phase 2 is an extension with a link corridor to the existing building to accommodate 50 additional pupils each year from September 2019 to September 2022. The detailed design has been submitted to the Authority and dialogue with planning has commenced.</p>  |                                   |   |                                    |   |   |                                    |
| <b>Directorate:</b>                                   | <b>Place</b>   |                                   |   |                                    |   |   |                                    |
| <b>Financials:</b>                                    | <b>2018/19<br/>Capital<br/>Programme<br/>£M</b>  | <b>2018/19<br/>Actuals<br/>£M</b> | <b>Projected<br/>Outturn<br/>2018/19<br/>£M</b> | <b>2018/19<br/>Variance<br/>£M</b> | <b>Overall<br/>Capital<br/>Programme<br/>£M</b> | <b>Overall<br/>Projected<br/>Outturn<br/>£M</b> | <b>Overall<br/>Variance<br/>£M</b> |
| <b>Key:</b>   | £M   | £M                                | £M  | £M                                 | £M  | £M  | £M                                 |
| On Track / Underspend                                 | 1.990  | 1.095                             | 1.990   | -                                  | 4.205   | 4.205   | -                                  |
| Minor Variance / Slippage                             | Actual expenditure up to December 2018 on these schemes totals £1.095M against approved scheme plans of £1.990M. These schemes are currently forecasting an overall balanced position.   |                                   |   |                                    |   |   |                                    |
| Major Overspend                                       |  |                                   |   |                                    |   |   |                                    |
| <b>Total Scheme Budget (inc previous years spend)</b> | £4.226M  |                                   |   |                                    |   |   |                                    |
| <b>Operational Activity This Quarter:</b>             | <p><b>Phase 1</b><br/>           As the Deed of Variation to the SPV One Project Agreement is still being negotiated between the various legal parties it proved necessary to get an Early Works Deed Engrossment to the value of £250,000 agreed to allow the contractor to commence on site and minimise any delays in the delivery of the programme. A LGCA certificate and formalities certificate were also requested from the Authority. The phase 1 work commenced on site 26/27<sup>th</sup> July 2018 and in view of the later start, it proved necessary to review the programme of works.<br/>           Sectional completion dates have been agreed as outlined below:</p> <ol style="list-style-type: none"> <li>1. Completion of amphitheatre, ICT room and modifications to doors/circulation routes 31 August 2018.</li> <li>2. Completion of level 4 classrooms, further ICT room and dining area 7 September 2018.</li> <li>3. Completion of 2 new science laboratories and additional locker banks 28 September 2018.</li> </ol> <p><b>Phase 2</b><br/>           The Deed of Variation to the SPV One Project Agreement has yet to be drafted. The RIBA stage 2 Developed Design has been submitted to the Authority and site investigation surveys are underway with a planned submission date of the RIBA stage 3 report to the Authority by 20 September 2018. Planning application to be submitted 25 September 2018 to allow planning determination period of 8 week allowance only which has been identified as a RISK with the Planning Committee date that is scheduled for 20 November 2018. Building Control Application to be submitted 21 September 2018 with approval expected by 19 October 2018. Tender documents to be issued w/c 2 November to 8 November 2018 linking to planning dates, tender closing date 20 December 2018 and appraisal and appointment by 3 January 2019. Preparation and execution of building contract 4 January to 31 January 2019. Mobilisation to commence 4 January 2019 with construction period 1 February 2019 to 24 October 2019. It should be noted that the completion date is later than originally planned as a result of time loss from concentration on phase 1 works</p> |                                   |   |                                    |   |   |                                    |

and aligning with Planning Committee dates set. The revised programme and implications from a later completion date is to be discussed with the school on 20 August 2018.



## OUTCOME 9 – PEOPLE ARE HEALTHIER, HAPPIER, INDEPENDENT & ACTIVE

| <b>Overall Financial Position:</b> | <p>The financial position for Outcome 9, for both current year and overall is shown below.<br/> <b>This outcome is currently forecasting an overall decrease in costs of £0.050M. These resources are restricted as to what it can be used on and therefore falls back into directorate unallocated resources.</b><br/>                 A full list of schemes at outcome level is provided at Appendix A with the variance analysis shown in Appendix B.</p> |                       |                                 |                        |                                 |                                 |                        |
|------------------------------------|---|-----------------------|---------------------------------|------------------------|---------------------------------|---------------------------------|------------------------|
| Directorate(s)                     | 2018/19 Capital Programme<br>£M   | 2018/19 Actuals<br>£M | Projected Outturn 2018/19<br>£M | 2018/19 Variance<br>£M | Overall Capital Programme<br>£M | Overall Projected Outturn<br>£M | Overall Variance<br>£M |
| PLACE / COMMUNITES                 | 1.717   | 0.915                 | 1.430                           | (0.286)                | 1.747                           | 1.697                           | (0.050)                |

### OUTCOME 9 – SIGNIFICANT SCHEMES / PROGRAMMES

The most significant schemes / programmes for Outcome 9, in terms of value, are shown below, in respect of the financial position together with a commentary on progress during the quarter.

| Scheme / Programme:                       | SECTION 106 PROGRAMME   |                       |                                 |                        |                                 |                                 |                        |
|---|---|-----------------------|---------------------------------|------------------------|---------------------------------|---------------------------------|------------------------|
| <b>Overview:</b>                          | <p>Section 106 (S106) Agreements are legal agreements between Local Authorities and developers; these are linked to planning permissions when it is considered that a development will have significant impacts on the local area that cannot be moderated by means of conditions attached to a planning decision.<br/>                 The agreements will vary depending on the nature of the development and based on the needs of the district. The most common obligations include:-</p> <ul style="list-style-type: none"> <li>• Public Open Space</li> <li>• Affordable Housing</li> <li>• Education</li> <li>• Highways</li> </ul> <p>Monies received from S106 agreements are then allocated to schemes, which mitigate the impacts made by the development by making improvements to the local areas.</p> |                       |                                 |                        |                                 |                                 |                        |
| <b>Directorate:</b>                       | PLACE   |                       |                                 |                        |                                 |                                 |                        |
| <b>Financials:</b>                        | 2018/19 Capital Programme<br>£M   | 2018/19 Actuals<br>£M | Projected Outturn 2018/19<br>£M | 2018/19 Variance<br>£M | Overall Capital Programme<br>£M | Overall Projected Outturn<br>£M | Overall Variance<br>£M |
| <b>Key:</b>                               |   |                       |                                 |                        |                                 |                                 |                        |
| On Track / Underspend                     | 3.841   | 0.955                 | 1.954                           | (1.887)                | 3.841                           | 3.728                           | (0.113)                |
| Minor Variance / Slippage                 | Actual expenditure up to December 2018 on these schemes totals £0.955M against approved scheme plans of £3.841M. These schemes are currently forecasting an overall decrease in costs of £0.113M which will fall back into the directorate unallocated resources.   |                       |                                 |                        |                                 |                                 |                        |
| Major Overspend                           |   |                       |                                 |                        |                                 |                                 |                        |
| <b>Operational Activity This Quarter:</b> | <p>Four schemes, valued at £241k, completed during the 3<sup>rd</sup> Qtr 2018/19, including the completion of projects in Goldthorpe, Mapplewell, Royston and Penistone.<br/>                 Eight schemes, valued at £400k, approved by the Panel in Qtr 3, including £133k towards a Principal Towns scheme for Darton Park and a £150k contribution towards a new pavilion at Dearne &amp; District Welfare.<br/>                 All other schemes progressing according to plan.</p>   |                       |                                 |                        |                                 |                                 |                        |



## OUTCOME 11 – PROTECTING THE BOROUGH FOR FUTURE GENERATIONS

|                                    |  |                               |   |                                |   |   |                                |
|------------------------------------|--|-------------------------------|---|--------------------------------|---|---|--------------------------------|
| <b>Overall Financial Position:</b> | <p>The financial position for Outcome 11, for both current year and overall is shown below.<br/> <b>This outcome is currently forecasting an overall decrease in costs of £0.021M. These resources are restricted as to what it can be used on and therefore falls back into directorate unallocated resources.</b></p> <p>A full list of schemes at outcome level is provided at Appendix A with the variance analysis shown in Appendix B.</p> |                               |   |                                |   |   |                                |
| <b>Directorate(s)</b>              | <b>2018/19 Capital Programme<br/>£M</b>  | <b>2018/19 Actuals<br/>£M</b> | <b>Projected Outturn<br/>2018/19<br/>£M</b> | <b>2018/19 Variance<br/>£M</b> | <b>Overall Capital Programme<br/>£M</b> | <b>Overall Projected Outturn<br/>£M</b> | <b>Overall Variance<br/>£M</b> |
| PLACE / CORE/ COMMUNITES           | 21.096   | 8.501                         | 18.749                                      | (2.347)                        | 28.865                                  | 28.844                                  | (0.021)                        |

### OUTCOME 11 – SIGNIFICANT SCHEMES / PROGRAMMES

The most significant schemes / programmes for Outcome 11, in terms of value, are shown below, in respect of the financial position together with a commentary on progress during the quarter.

| Scheme / Programme:                       | HIGHWAYS PROGRAMME   |                               |   |                                |   |   |                                |
|---|--|-------------------------------|---|--------------------------------|---|---|--------------------------------|
| <b>Overview:</b>                          | Highways Maintenance schemes cover a number of different infrastructure asset types including carriageways (local and principal roads), footways, structures (bridges/retaining walls etc.), town centre projects, drainage, street lighting, traffic signals and signs. These schemes maintain and improve these infrastructure assets. These schemes are funded from the Council’s highways maintenance capital allocation and the Local Transport (DfT) Capital Maintenance Block grant, which are annual allocations. An additional £4M capital resource has been made available to enhance the existing core programme over the next two years and work is ongoing to identify the specific areas for investment. |                               |   |                                |   |   |                                |
| <b>Directorate:</b>                       | PLACE  |                               |   |                                |   |   |                                |
| <b>Financials:</b>                        | <b>2018/19 Capital Programme<br/>£M</b>  | <b>2018/19 Actuals<br/>£M</b> | <b>Projected Outturn<br/>2018/19<br/>£M</b> | <b>2018/19 Variance<br/>£M</b> | <b>Overall Capital Programme<br/>£M</b> | <b>Overall Projected Outturn<br/>£M</b> | <b>Overall Variance<br/>£M</b> |
| <b>Key:</b>                               |  |                               |   |                                |   |   |                                |
| On Track / Underspend                     | 13.908   | 7.050                         | 12.007                                      | (1.901)                        | 20.269                                  | 20.248                                  | (0.021)                        |
| Minor Variance / Slippage                 | Actual expenditure up to December 2018 on these schemes totals £7.050M against approved scheme plans of £13.908M. These schemes are currently forecasting an overall decrease in costs of £0.021M which will fall back into the directorates unallocated resources.  |                               |   |                                |   |   |                                |
| Major Overspend                           |  |                               |   |                                |   |   |                                |
| <b>Operational Activity This Quarter:</b> | Quarter 3 saw the substantial completion of Local Roads Carriageways and Footways planned maintenance programmes. Work continues on the planned patching programme and works on the Principal Road Network are due to start next quarter. Drainage and Street Lighting programmes remain on track.   |                               |   |                                |   |   |                                |

| Scheme / Programme:                           | VEHICLE REPLACEMENT PROGRAMME   |                            |  |                             |  |  |                             |
|---|---|----------------------------|--|-----------------------------|--|--|-----------------------------|
| <b>Overview:</b>                              | This scheme allows the replacement of 77 vehicles and ground maintenance equipment to be used by Waste, Neighbourhoods and Bereavement Services, Berneslai Homes and Norfolk Property Services for the period 1 <sup>st</sup> April 2018 to 31 <sup>st</sup> March 2019.  |                            |  |                             |  |  |                             |
| <b>Directorate:</b>                           | PLACE   |                            |  |                             |  |  |                             |
| <b>Financials:</b>                            | <b>2018/19<br/>Capital<br/>Programme</b>  | <b>2018/19<br/>Actuals</b> | <b>Projected<br/>Outturn<br/>2018/19</b> | <b>2018/19<br/>Variance</b> | <b>Overall<br/>Capital<br/>Programme</b> | <b>Overall<br/>Projected<br/>Outturn</b> | <b>Overall<br/>Variance</b> |
| <b>Key:</b>                                   | <b>£M</b>   | <b>£M</b>                  | <b>£M</b>                                | <b>£M</b>                   | <b>£M</b>                                | <b>£M</b>                                | <b>£M</b>                   |
| On Track / Underspend                         | 2.953   | -                          | 2.953                                    | -                           | 2.953                                    | 2.953                                    | -                           |
| Minor Variance / Slippage                     | Actual expenditure up to December 2018 on these schemes totals £0M against approved scheme plans of £2.953M. These schemes are currently forecasting an overall balanced position.  |                            |  |                             |  |  |                             |
| Major Overspend                               |   |                            |  |                             |  |  |                             |
| <b>Operational Activity<br/>This Quarter:</b> | An order for 21 vehicles with a total cost of £348,532.38 (Not including racking) has been placed – these vehicles are replacements for the Berneslai Homes vehicles due for replacement. The NPS vehicles are currently on hold due to NPS requesting a quote to be made on different contract terms and conditions. A Tender to procure eleven refuse collection vehicles has been written and will be going out with the intension of delivery starting December 2018. Grounds Maintenance equipment to replace the current neighbourhoods services equipment has been put on hold by the department because of the low usage it has seen this year due to the weather. All other vehicles listed for replacement will be procured within the timeframe. |                            |  |                             |  |  |                             |

Appendix A - Plan vs Forecast Per Corporate Priority

|   | 2018/19 Plan      | 2018/19 Actuals   | 2018/19 Forecast  | 2018/19 Variance  | Overall Budget     | Overall Forecast   | Overall Variance |
|---|-------------------|-------------------|-------------------|-------------------|--------------------|--------------------|------------------|
| <b>(1) Create more and better jobs and good business growth</b>       |                   |                   |                   |                   |                    |                    |                  |
| Replacement of Citrix Servers   | 9,077             |                   | 9,077             | 0                 | 9,077              | 9,077              | 0                |
| Virtual Server Host Replacement                                       | 108,596           |                   | 108,596           | 0                 | 108,596            | 108,596            | 0                |
| Cyber Security  | 249,000           | 68,013            | 69,980            | -179,020          | 287,000            | 287,000            | 0                |
| SAP Success Factors   | 258,500           |                   |                   | -258,500          | 258,500            | 258,500            | 0                |
| Enabling Digital Mobility   | 539,023           |                   | 539,023           | 0                 | 539,023            | 539,023            | 0                |
| <b>Communities Total</b>  | <b>1,164,196</b>  | <b>68,013</b>     | <b>726,676</b>    | <b>-437,520</b>   | <b>1,202,196</b>   | <b>1,202,196</b>   | <b>0</b>         |
| Penistone Market  | 900               |                   | 900               | 0                 | 900                | 900                | 0                |
| Goldthorpe Master Plan- Eco Plan                                      | 119,612           | 81,137            | 119,612           | 0                 | 119,612            | 119,612            | 0                |
| Digital Bamsley   | 44,397            |                   | 44,397            | 0                 | 44,397             | 44,397             | 0                |
| Strategic Business Parks Eco Plan                                     | 607,901           | 372,349           | 560,000           | -47,901           | 1,035,741          | 1,035,741          | 0                |
| M1 Junction 36 Phase 1 Hoyland  | 300,000           | 30,667            | 150,000           | -150,000          | 9,896,130          | 9,896,130          | -0               |
| J36 HCA Land Rockingham   | 304,991           |                   | 60,000            | -244,991          | 304,991            | 304,991            | 0                |
| Bamsley Property Investment Fund Phase 2                              | 1,217,396         | 1,147,058         | 1,217,396         | 0                 | 3,160,333          | 3,160,333          | 0                |
| Courthouse Car Park Procurement                                       | 184,780           | 57,451            | 126,251           | -58,529           | 184,780            | 184,780            | -0               |
| Project Management Costs  | 300,000           |                   | 300,000           | 0                 | 600,000            | 600,000            | 0                |
| Superfast Broadband Phase 2   |                   |                   |                   | 0                 | 610,000            | 610,000            | 0                |
| Wombwell Library Extension  | 20,246            |                   | 20,246            | 0                 | 20,246             | 20,246             | 0                |
| <b>Place Total</b>  | <b>3,100,223</b>  | <b>1,688,662</b>  | <b>2,598,802</b>  | <b>-501,421</b>   | <b>15,977,130</b>  | <b>15,977,130</b>  | <b>-0</b>        |
| <b>(1) Create more and better jobs and good business growth Total</b> | <b>4,264,419</b>  | <b>1,756,676</b>  | <b>3,325,478</b>  | <b>-938,941</b>   | <b>17,179,326</b>  | <b>17,179,326</b>  | <b>-0</b>        |
| <b>(3) Develop a vibrant Town Centre</b>                              |                   |                   |                   |                   |                    |                    |                  |
| Digital Media Centre  | 10,000            |                   | 10,000            | 0                 | 10,000             | 10,000             | 0                |
| Glass Works Development Phase 2                                       | 3,266,858         | 2,411,910         | 3,266,858         | -0                | 101,449,378        | 101,449,378        | -0               |
| Acquisition of the Core Building                                      | 1,200,000         |                   | 1,200,000         | 0                 | 1,200,000          | 1,200,000          | 0                |
| Glass Works Development Phase 1                                       | 35,388,735        | 20,515,124        | 35,388,735        | -0                | 35,388,735         | 35,388,735         | -0               |
| Market Gate Bridge  | 588,000           | 247,388           | 588,000           | 0                 | 6,970,000          | 6,970,000          | 0                |
| Refurbishment of the Core Building                                    | 150,000           | 850               | 150,000           | 0                 | 150,000            | 150,000            | 0                |
| <b>Place Total</b>  | <b>40,603,593</b> | <b>23,175,271</b> | <b>40,603,593</b> | <b>-0</b>         | <b>145,168,113</b> | <b>145,168,113</b> | <b>-0</b>        |
| <b>(3) Develop a vibrant Town Centre Total</b>                        | <b>40,603,593</b> | <b>23,175,271</b> | <b>40,603,593</b> | <b>-0</b>         | <b>145,168,113</b> | <b>145,168,113</b> | <b>-0</b>        |
| <b>(4) Strengthen our visitor economy</b>                             |                   |                   |                   |                   |                    |                    |                  |
| Pulic Art Strategy Cooper Gallery                                     | 38,884            | 2,999             | 38,884            | 0                 | 38,884             | 38,884             | 0                |
| Public Art Strategy Brassed Off                                       | 11,000            |                   | 11,000            | 0                 | 11,000             | 11,000             | 0                |
| Bamsley Main  | 145,000           |                   | 145,000           | 0                 | 145,000            | 145,000            | 0                |
| 54 Affordable Homes - Athersley                                       | 50,000            |                   | 50,000            | 0                 | 50,000             | 50,000             | 0                |
| RSPB Old Moor   | 25,000            |                   | 25,000            | 0                 | 25,000             | 25,000             | 0                |
| 54 Affordable Homes - Mapplewell                                      | 45,000            | 45,000            | 45,000            | 0                 | 45,000             | 45,000             | 0                |
| Bamsley College - Artifical Pitch                                     | 62,972            |                   |                   | -62,972           | 62,972             | 0                  | -62,972          |
| Visitor Economy Attraction  | 100,059           | 81,640            | 100,059           | 0                 | 100,059            | 100,059            | 0                |
| Elsecar Master Plan   | 90,093            | 34,562            | 90,093            | 0                 | 340,093            | 340,093            | 0                |
| Cannon Hall Parks for People  | 1,500,000         | 876,644           | 910,151           | -589,849          | 3,202,497          | 3,202,497          | 0                |
| Pet Crematorium   | 168,769           | 156,490           | 164,269           | -4,500            | 168,769            | 168,769            | 0                |
| Dorothy Hyman Football Pitch Refurb                                   | 38,534            | 6,964             | 6,964             | -31,570           | 38,534             | 38,534             | 0                |
| Wentworth Castle & Stainborough Park                                  | 1,100,000         | 81,283            | 550,000           | -550,000          | 3,200,000          | 3,200,000          | -0               |
| Replacement Of Boilers At Metrodome                                   | 200,000           | 21,789            | 70,000            | -130,000          | 1,200,000          | 1,200,000          | -0               |
| <b>Place Total</b>  | <b>3,575,311</b>  | <b>1,307,371</b>  | <b>2,206,420</b>  | <b>-1,368,891</b> | <b>8,627,808</b>   | <b>8,564,836</b>   | <b>-62,972</b>   |
| <b>(4) Strengthen our visitor economy Total</b>                       | <b>3,575,311</b>  | <b>1,307,371</b>  | <b>2,206,420</b>  | <b>-1,368,891</b> | <b>8,627,808</b>   | <b>8,564,836</b>   | <b>-62,972</b>   |
| <b>(5) Create more and better housing</b>                             |                   |                   |                   |                   |                    |                    |                  |
| Disabled Facilities Grant   | 2,741,464         | 1,386,954         | 2,741,464         | -0                | 5,508,837          | 5,508,837          | -0               |
| <b>Communities Total</b>  | <b>2,741,464</b>  | <b>1,386,954</b>  | <b>2,741,464</b>  | <b>-0</b>         | <b>5,508,837</b>   | <b>5,508,837</b>   | <b>-0</b>        |
| BHS New Starts  | 29,783            | 91,416            | 29,783            | 0                 | 29,783             | 29,783             | 0                |
| 16/17 BHS Cudworth / Shafton  |                   | 424               | 0                 | 0                 | 0                  | 0                  | 0                |
| 16/17 BHS Dodworth  | 1,617             | 841               | 1,617             | -0                | 1,617              | 1,617              | -0               |
| 16/17 BHS Gilroyd   |                   | 537               | -0                | -0                | 0                  | -0                 | -0               |
| 16/17 BHS Kendray / Monk Bretton                                      | 2,365             | 32                | 2,365             | -0                | 2,365              | 2,365              | -0               |
| 16/17 BHS Staincross  | 3,487             | 481               | 3,487             | 0                 | 3,487              | 3,487              | 0                |

Appendix A - Plan vs Forecast Per Corporate Priority

|                                     | 2018/19 Plan | 2018/19 Actuals | 2018/19 Forecast | 2018/19 Variance | Overall Budget | Overall Forecast | Overall Variance |
|-------------------------------------|--------------|-----------------|------------------|------------------|----------------|------------------|------------------|
| 17/18 BHS Athersley South CS        | 6,959        | 2,735           | 6,959            | 0                | 6,959          | 6,959            | 0                |
| 17/18 BHS Barugh Green Trad CS      | 76,188       | 63,407          | 76,188           | -0               | 76,188         | 76,188           | -0               |
| 17/18 Hemmingfield Kier             |              | -32,613         | -0               | -0               | 0              | -0               | -0               |
| 17/18 BHS Cudworth CS               | 21,913       | 17,628          | 21,913           | 0                | 21,913         | 21,913           | 0                |
| 17/18 BHS Burton Grange CS          | 13,676       | 9,399           | 13,676           | -0               | 13,676         | 13,676           | -0               |
| 17/18 Barugh Green Cornish CS       | 5,700        | 626             | 5,700            | 0                | 5,700          | 5,700            | 0                |
| 17/18 BHS Elsecar/Hoyland Kier      |              | 103,914         | 20,000           | 20,000           | 0              | 20,000           | 20,000           |
| 17/18 BHS Carlton CS                | 219,575      | 214,977         | 219,575          | 0                | 219,575        | 219,575          | 0                |
| 17/18 BHS Shafton CS                | 4,000        | -18,876         | 4,000            | -0               | 4,000          | 4,000            | -0               |
| 17/18 Platts Common/Jump Kier       |              | -93,827         | -0               | -0               | 0              | -0               | -0               |
| 17/18 BHS Wombwell Kier             |              | -193,368        | 0                | 0                | 0              | 0                | 0                |
| 17/18 BHS Hoyland Common Kier       |              | -106,060        | -0               | -0               | 0              | -0               | -0               |
| 18/19 BHS Ardsley Kier              | 461,235      | 31,116          | 461,235          | 0                | 577,035        | 577,035          | 0                |
| 18/19 BHS Athersley South CS        | 1,082,997    | 291,614         | 1,082,997        | 0                | 1,357,057      | 1,357,057        | 0                |
| 18/19 BHS Bolton-On-Deame Kier      | 748,750      | 207,782         | 748,750          | -0               | 935,960        | 935,960          | -0               |
| 18/19 BHS Brierley CS               | 239,258      | 183,821         | 186,056          | -53,202          | 301,018        | 186,056          | -114,962         |
| 18/19 BHS Burton Grange CS          | 1,264,163    | 540,404         | 1,264,163        | -0               | 1,584,543      | 1,584,543        | -0               |
| 18/19 BHS Darfield Kier             | 761,460      | 378,741         | 761,460          | -0               | 952,530        | 952,530          | -0               |
| 18/19 BHS Goldthorpe Kier           | 538,974      | 557,689         | 558,974          | 20,000           | 676,004        | 676,004          | -0               |
| 18/19 BHS Great Houghton Kier       | 424,448      | 19,818          | 424,448          | 0                | 530,598        | 530,598          | 0                |
| 18/19 BHS Grimethorpe CS            | 1,153,120    | 359,690         | 1,153,120        | 0                | 1,444,550      | 1,444,550        | 0                |
| 18/19 BHS Monk Bretton CS           | 1,029,442    | 292,805         | 1,029,442        | 0                | 1,288,062      | 1,288,062        | 0                |
| 18/19 BHS Redbrook CS               | 276,428      | 181,495         | 178,108          | -98,320          | 347,838        | 178,108          | -169,730         |
| 18/19 BHS Smithies CS               | 254,360      | 186,917         | 192,171          | -62,189          | 319,980        | 192,171          | -127,809         |
| 18/19 BHS Town CS                   | 1,254,263    | 366,150         | 1,254,263        | -0               | 1,568,853      | 1,568,853        | -0               |
| 18/19 BHS Wombwell Kier             | 348,834      | 364,785         | 368,834          | 20,000           | 439,544        | 378,983          | -60,561          |
| Structural Extensive / Void Repl    | 1,823,498    | 1,055,557       | 1,823,498        | 0                | 8,845,385      | 8,845,385        | 0                |
| Community Centre Rewires            | 72,955       | 24,417          | 72,955           | 0                | 344,097        | 344,097          | 0                |
| Central Heating                     | 463,877      | 388,198         | 463,877          | -0               | 2,435,790      | 2,435,790        | -0               |
| Major AdaptationsBMBC_D-00279       | 2,039,214    | 1,594,724       | 2,039,214        | 0                | 10,485,651     | 10,485,651       | 0                |
| BMBC_D-00310                        | 3,300        | 1,850           | 3,300            | -0               | 3,300          | 3,300            | -0               |
| Replacement Items                   | 1,468,629    | 928,144         | 1,468,629        | 0                | 7,900,256      | 7,900,256        | 0                |
| 50 Hope Avenue                      | 61,343       | 58,721          | 61,343           | 0                | 61,343         | 61,343           | 0                |
| Major Adaptations 79 Beeston Sq     | 99,757       | 66,786          | 99,757           | -0               | 99,757         | 99,757           | -0               |
| District Heating G6 Meters          |              | 253             | -0               | -0               | 0              | -0               | -0               |
| District Heating Pollyfox           | 485          | 485             | 485              | 0                | 485            | 485              | 0                |
| District Heating                    |              | 108,414         | 54,225           | 54,225           | 0              | 54,225           | 54,225           |
| District Heating Elm & Maltas Court | 30,000       | 2,817           | 30,000           | -1               | 30,000         | 30,000           | -1               |
| District Heating Honeywell CC       | 7,000        | 620             | 7,000            | -0               | 7,000          | 7,000            | -0               |
| District Heating Shipcroft CC       |              | -6,090          | -0               | -0               | 0              | -0               | -0               |
| Single Property Acquisition         | 1,153,105    | 903,950         | 1,463,105        | 310,000          | 1,653,105      | 1,653,105        | 0                |
| New Build - General                 | 4,947        | 0               | 0                | -4,947           | 4,947          | 0                | -4,947           |
| New Build - Saville Road            | 379          | 379             | 379              | -0               | 379            | 379              | -0               |
| New Build - Roy Kilner Road         | 59,107       | 2,352           | 59,107           | -0               | 59,107         | 59,107           | -0               |
| New Build - 18 Locksley Gardens     | 674,527      | 667,955         | 674,527          | 0                | 1,230,833      | 1,230,833        | 0                |
| New Build - Meadow View Hoyland     | 35           |                 | 35               | 0                | 35             | 35               | 0                |
| New Build - 39 Huddersfield Road    | 7,388        | 7,388           | 7,388            | 0                | 7,388          | 7,388            | 0                |
| New Build - Green Street            | 11,278       | 11,196          | 11,278           | 0                | 11,278         | 11,278           | 0                |
| New Build Acq 14 Dw Carr Lane       | 405,953      | 405,867         | 405,953          | -0               | 405,953        | 405,953          | -0               |
| New Build Bungalows                 |              | 750             | 0                | 0                | 0              | 0                | 0                |
| Carlton Street Acq 22 Props         | 403,665      | 92              | 403,665          | -0               | 403,665        | 403,665          | -0               |
| Baden Street                        | 1,043,666    | 482,527         | 1,043,666        | -0               | 1,043,666      | 1,043,666        | -0               |
| Bellbrooke New Build Bungalows      | 255,794      | 268,537         | 255,794          | -0               | 255,794        | 255,794          | -0               |
| Lundwood Acquisitions               | 618,000      | 246,168         | 618,000          | 0                | 1,236,000      | 1,236,000        | 0                |
| Pilley Acquisitions                 | 228,660      | 22,200          | 228,660          | 0                | 228,660        | 228,660          | 0                |

Appendix A - Plan vs Forecast Per Corporate Priority

|   | 2018/19 Plan      | 2018/19 Actuals   | 2018/19 Forecast  | 2018/19 Variance  | Overall Budget    | Overall Forecast  | Overall Variance |
|---|-------------------|-------------------|-------------------|-------------------|-------------------|-------------------|------------------|
| Acquisition of Jubilee Gardens                  | 3,500             | 6,986             | 3,500             | 0                 | 3,500             | 3,500             | 0                |
| Kings Road Acquisition                          | 208,575           | 83,025            | 208,575           | 0                 | 208,575           | 208,575           | 0                |
| Beevor Street Redevelopment (HRA)               | 1,214,667         | 496,145           | 1,214,667         | -0                | 1,264,667         | 1,264,667         | -0               |
| Meadstead New Build                             | 1,441,020         | 213,029           | 923,214           | -517,806          | 1,538,690         | 1,538,690         | 0                |
| Keresforth Acquisition & Conversion             | 1,032,000         | 671,523           | 1,032,000         | -0                | 1,432,000         | 1,432,000         | -0               |
| Community Buildings - General                   |                   | 2,121             |                   | -0                | 0                 |                   | -0               |
| Community Buildings - Hudson Haven              | 7,004             |                   | 7,004             | 0                 | 7,004             | 7,004             | 0                |
| Community Buildings - Saville Court             | 3,130             | 764               | 3,130             | 0                 | 3,130             | 3,130             | 0                |
| 15/16 Lift Replacements Sheff Rd Flats          | 14,647            | 15,070            | 14,647            | -0                | 14,647            | 14,647            | -0               |
| Environmental Imps                              | 108,904           | 73,701            | 108,904           | 0                 | 108,904           | 108,904           | 0                |
| CAPITALISED SALARIES                            | 173,954           |                   | 173,954           | 0                 | 913,425           | 913,425           | 0                |
| 11/12 Asset Management Database                 | 13,383            | 1,050             | 13,383            | 0                 | 13,383            | 13,383            | 0                |
| 16/17 Insurance 13 Pembroke CT Royston          |                   | 264               | 0                 | 0                 | 0                 | 0                 | 0                |
| 16/17 Insurance 36 Cobcar Lane Elsecar          |                   | -8                | -0                | -0                | 0                 | -0                | -0               |
| 15/16 Solar Panel Meter Upgrade & Loft W        |                   | 0                 | 0                 | 0                 | 0                 | 0                 | 0                |
| Environmental Works Pearson Crescent            | 9,140             | 201               | 9,140             | -0                | 9,140             | 9,140             | -0               |
| Conversion 26-32 Rufford Av                     | 97,669            | 87,076            | 97,669            | -0                | 97,669            | 97,669            | -0               |
| CRS   | 187,150           | 3,899             | 187,150           | -0                | 973,932           | 973,932           | -0               |
| WORSBROUGH REGENERATION                         | 40,000            |                   | 40,000            | 0                 | 40,000            | 40,000            | 0                |
| 16/17 Central Heating Prog Repl                 | 37,699            | 1,133             | 37,699            | -0                | 37,699            | 37,699            | -0               |
| Central Htg Prog 17/18                          | 497,000           | 490,621           | 497,000           | -0                | 497,000           | 497,000           | -0               |
| Sprinklers Independent Living Schemes           | 471,422           | 385,452           | 471,422           | 0                 | 499,305           | 499,305           | 0                |
| 8a & 8b Park Road Thurnscoe                     | 99,044            | 23,088            | 99,044            | 0                 | 99,044            | 99,044            | 0                |
| 18/19 Central Heating Replacements              | 809,965           | 218,820           | 809,965           | -0                | 821,345           | 821,345           | -0               |
| Woodhall Flats Conversion                       | 72,946            | 79,673            | 72,946            | -0                | 72,946            | 72,946            | -0               |
| Fire Safety Works Sheffield Rd Flats            | 37,233            | 28,157            | 37,233            | 0                 | 37,233            | 37,233            | 0                |
| Conversion 20 Morrison Road                     | 18,000            | 580               | 18,000            | -0                | 18,000            | 18,000            | -0               |
| External Works Carlton Acq 47 Props             | 247,122           | 67,307            | 247,122           | 0                 | 247,122           | 247,122           | 0                |
| Central Htg Prog 18/19 PH2                      | 799,000           | 58,659            | 799,000           | -0                | 850,000           | 850,000           | -0               |
| <b>Housing Revenue Account Total</b>            | <b>28,803,731</b> | <b>14,277,092</b> | <b>28,491,489</b> | <b>-312,242</b>   | <b>59,271,069</b> | <b>58,867,282</b> | <b>-403,787</b>  |
| Affordable Housing - Hawshaw Lane, Hoyland      | 125,000           |                   | 125,000           | 0                 | 125,000           | 125,000           | 0                |
| Affordable Housing - Lundwood Hotel Bungalows   | 100,000           |                   | 100,000           | 0                 | 100,000           | 100,000           | 0                |
| Affordable Housing - Barnsley Community Build   | 300,000           |                   |                   | -300,000          | 300,000           | 300,000           | 0                |
| Affordable Housing - Billingley View            | 1,087,753         |                   |                   | -1,087,753        | 1,087,753         | 1,087,753         | 0                |
| Affordable Housing Enabling                     | 3,380             | -26,735           | 3,380             | -0                | 3,380             | 3,380             | -0               |
| Goldthorpe Clusters (Empty Homes)               | 68,606            | 219,967           | 49,000            | -19,606           | 68,606            | 49,000            | -19,606          |
| LAIP - COALFIELDS/ELSECAR                       | 79,726            |                   | 79,726            | 0                 | 79,726            | 79,726            | 0                |
| ACCREDITED LANDLORD SCHEME                      | 3,748             | 1,500             | 8,748             | 5,000             | 3,748             | 8,748             | 5,000            |
| HCA PROGRAMME                                   | 13,951            | 631               | 28,557            | 14,606            | 13,951            | 28,557            | 14,606           |
| Better Homes Barnsley                           | 74,308            | 25,010            | 59,308            | -15,000           | 74,308            | 74,308            | -0               |
| Local Growth Fund - Better Homes                | 264,768           | 159,892           | 159,892           | -104,876          | 264,768           | 264,768           | 0                |
| Warm Homes - Healthy People Project             | 35,802            | 10,802            | 35,802            | 0                 | 35,802            | 35,802            | 0                |
| Longcar PDC Housing Development                 | 4,207,002         | 2,451,299         | 4,207,002         | 0                 | 4,207,002         | 4,207,002         | 0                |
| Empty Homes                                     | 191,000           | 14,049            | 191,000           | 0                 | 375,000           | 375,000           | 0                |
| <b>Place Total</b>                              | <b>6,555,044</b>  | <b>2,856,415</b>  | <b>5,047,415</b>  | <b>-1,507,629</b> | <b>6,739,044</b>  | <b>6,739,044</b>  | <b>-0</b>        |
| <b>(5) Create more and better housing Total</b> | <b>38,100,239</b> | <b>18,520,460</b> | <b>36,280,368</b> | <b>-1,819,871</b> | <b>71,518,950</b> | <b>71,115,163</b> | <b>-403,787</b>  |
| <b>(6) Every child attends a good school</b>    |                   |                   |                   |                   |                   |                   |                  |
| DFC - ALL SCHOOLS                               | 148,920           | 217,115           | 148,920           | 0                 | 148,920           | 148,920           | 0                |
| SCHOOL ACCESS WORKS                             | 12,308            |                   | 3,176             | -9,132            | 12,308            | 3,176             | -9,132           |
| HEALTH & SAFETY REACTIVE WORKS                  | 250,000           | 196,178           | 250,000           | 0                 | 253,460           | 253,460           | 0                |
| Hunningley - Increase Admission Number t        | 10,786            | 9,215             | 10,786            | 0                 | 10,786            | 10,786            | 0                |
| Wombwell Park Street - Increase Admissio        | 6,072             |                   |                   | -6,072            | 6,072             | 0                 | -6,072           |
| Thurstone Primary - Increase Admission          | 18,850            | 13,073            | 16,767            | -2,083            | 18,850            | 16,767            | -2,083           |
| Milefield - Increase Admission Number to        | 88,367            | 20,570            | 88,367            | 0                 | 88,367            | 88,367            | 0                |
| Churchfields - Increase Admission Number        | 23,963            | 17,267            | 18,852            | -5,111            | 23,963            | 18,852            | -5,111           |

Appendix A - Plan vs Forecast Per Corporate Priority

|   | 2018/19 Plan     | 2018/19 Actuals  | 2018/19 Forecast | 2018/19 Variance | Overall Budget   | Overall Forecast | Overall Variance |
|---|------------------|------------------|------------------|------------------|------------------|------------------|------------------|
| Wiltorpe Primary Roof/Building Repairs                      | 300              | 27               | 300              | 0                | 300              | 300              | 0                |
| Barugh Green Primary Install New Fire Alarm                 | 1,100            | 1,100            | 1,100            | 0                | 1,100            | 1,100            | 0                |
| Athersley South Re-Roofing Works Phase 1                    | 174              | 174              | 174              | -0               | 174              | 174              | -0               |
| Shawlands - Holy Rood Replace Heating Boiler                | 229              | 229              | 229              | -0               | 229              | 229              | -0               |
| Penistone St Johns - Increase Ad - P2                       | 3,529            |                  | 3,529            | 0                | 3,529            | 3,529            | 0                |
| Penistone St Johns - Increase Ad - P2A                      | 9,159            | 1,120            | 9,014            | -145             | 9,159            | 9,014            | -145             |
| Penistone St Johns - Increase Admissions - P3               | 385,000          | 132,303          | 385,000          | -0               | 1,660,250        | 1,660,250        | -0               |
| Burton Road Primary - Increase Admission                    | 1,164            | 568              | 568              | -596             | 1,164            | 568              | -596             |
| The Forest Academy - Alterations to Bulg                    | 164              | 164              | 164              | 0                | 164              | 164              | 0                |
| Hunningley - Increase Admission - P2                        | 27,541           | 28,215           | 28,215           | 674              | 27,541           | 28,215           | 674              |
| Hoyland Greenfield - Drainage Repairs                       | 1,323            | 372              | 1,323            | 0                | 1,323            | 1,323            | 0                |
| Worsbrough Common - Convert Quas to Classroom               | 15,763           | 10,384           | 17,225           | 1,462            | 15,763           | 17,225           | 1,462            |
| Shawlands - Remodel Entr/Office                             | 5,067            | 731              | 4,619            | -448             | 5,067            | 4,619            | -448             |
| Lacewood Primary - Prov of Mod Classroom                    | 8,313            |                  |                  | -8,313           | 8,313            | 0                | -8,313           |
| Ladywood - Roofing  | 3,070            | 591              | 3,070            | 0                | 3,070            | 3,070            | 0                |
| Millhouse - Emergency Lighting                              | 2,165            | 983              | 2,165            | 0                | 2,165            | 2,165            | 0                |
| Gawber Primary - Rewire                                     | 3,250            | 3,394            | 3,250            | 0                | 3,250            | 3,250            | 0                |
| Wiltorpe Infants - Boilers                                  | 3,290            | 3,275            | 3,290            | -0               | 3,290            | 3,290            | -0               |
| Churchfield - Heating to Hall                               | 1,367            | 1,367            | 1,367            | -0               | 1,367            | 1,367            | -0               |
| Silkstone Common - Kitchen/Hall Floor                       | 60               | 29               | 60               | 0                | 60               | 60               | 0                |
| Hoylandswaine - Drainage/Resur/Wind/Doors                   | 927              | 155              | 927              | -0               | 927              | 927              | -0               |
| Millhouse - Playground Repairs/Replace                      | 7,954            | 6,625            | 7,954            | -0               | 7,954            | 7,954            | -0               |
| Oxpring - Boundry Walls                                     | 101              | 101              | 101              | -0               | 101              | 101              | -0               |
| Keresforth - Windows/Doors Nursery                          | 605              | 165              | 605              | -0               | 605              | 605              | -0               |
| Keresforth - Resurface Playground                           | 1,068            | 212              | 1,068            | -0               | 1,068            | 1,068            | -0               |
| Barugh Green/Cudworth Primary - Flood                       | 38,000           | 19,326           | 38,000           | 0                | 40,000           | 40,000           | 0                |
| Jump Primary - Replace Light/Ceilings P1                    | 103,765          | 97,203           | 103,000          | -765             | 107,104          | 106,339          | -765             |
| Oxspring Primary - Replace Fire Alarm                       | 28,648           | 26,419           | 32,888           | 4,240            | 29,531           | 33,771           | 4,240            |
| Athersley South Primary - Boiler Replace                    | 105,731          | 95,876           | 103,786          | -1,945           | 109,269          | 107,324          | -1,945           |
| Churchfield Primary - Boiler Replace                        | 74,490           | 69,800           | 72,706           | -1,784           | 76,982           | 75,198           | -1,784           |
| Wiltorpe Primary - Boiler Replace                           | 105,008          | 95,630           | 102,391          | -2,617           | 108,507          | 105,890          | -2,617           |
| Barugh Green Primary - Roof                                 | 125,051          | 117,597          | 119,832          | -5,219           | 129,148          | 123,929          | -5,219           |
| Burton Road Primary - Roof                                  | 120,905          | 107,751          | 117,181          | -3,724           | 124,921          | 121,197          | -3,724           |
| Gawber Primary - Roof                                       | 132,343          | 133,131          | 134,225          | 1,882            | 136,742          | 138,624          | 1,882            |
| Milefield Primary - Roofing Works                           | 7,077            | 7,077            | 7,077            | 0                | 9,905            | 9,905            | 0                |
| Millhouse Primary - Roof - KS1                              | 58,054           | 63,218           | 63,784           | 5,730            | 59,820           | 65,550           | 5,730            |
| Summer Lane Primary - Roofing Works                         | 35,277           | 26,931           | 27,953           | -7,324           | 36,376           | 29,052           | -7,324           |
| Barugh Green Primary - Fencing                              | 47,994           | 52,260           | 56,154           | 8,160            | 49,755           | 57,915           | 8,160            |
| Milefield Primary - Playground/MUGA                         | 143,248          | 149,246          | 148,951          | 5,703            | 147,833          | 153,536          | 5,703            |
| Keresforth Primary - Replace Cladding                       | 17,419           | 16,888           | 16,888           | -531             | 17,985           | 17,454           | -531             |
| Jump Primary - Nursery Toilet Refurb                        | 24,171           | 24,152           | 24,152           | -19              | 24,960           | 24,941           | -19              |
| SEN Capital Provision Fund                                  | 260,425          | 125,214          | 260,425          | 0                | 260,425          | 260,425          | 0                |
| <b>People Total</b>   | <b>2,469,555</b> | <b>1,893,422</b> | <b>2,441,579</b> | <b>-27,976</b>   | <b>3,789,922</b> | <b>3,761,946</b> | <b>-27,976</b>   |
| Keresforth Primary School                                   | 150,000          |                  |                  | -150,000         | 150,000          | 150,000          | 0                |
| BSF Capital Contribution Variations                         |                  | 7,647            | 0                | 0                | 0                | 0                | 0                |
| Penistone Grammar Extension                                 | 1,989,945        | 1,094,720        | 1,989,945        | -0               | 4,204,945        | 4,204,945        | -0               |
| <b>Place Total</b>  | <b>2,139,945</b> | <b>1,102,366</b> | <b>1,989,945</b> | <b>-150,000</b>  | <b>4,354,945</b> | <b>4,354,945</b> | <b>0</b>         |
| <b>(6) Every child attends a good school Total</b>          | <b>4,609,500</b> | <b>2,995,788</b> | <b>4,431,524</b> | <b>-177,976</b>  | <b>8,144,867</b> | <b>8,116,891</b> | <b>-27,976</b>   |
| <b>(8) Children and adults are safe from harm</b>           |                  |                  |                  |                  |                  |                  |                  |
| Integrated Learning Disability Day Servi                    | 881              |                  | 881              | 0                | 881              | 881              | 0                |
| SNS Vehicle   | 65,000           | 31,906           | 65,000           | -0               | 65,000           | 65,000           | -0               |
| <b>Communities Total</b>                                    | <b>65,881</b>    | <b>31,906</b>    | <b>65,881</b>    | <b>-0</b>        | <b>65,881</b>    | <b>65,881</b>    | <b>-0</b>        |
| Better Care Fund - Market Place/Mob Working/NHS Num/Contact | 162,960          | 94,805           | 162,960          | -0               | 162,960          | 162,960          | -0               |
| Autism Innovation   | 1,999            |                  | 1,999            | 0                | 1,999            | 1,999            | 0                |
| <b>People Total</b>   | <b>164,959</b>   | <b>94,805</b>    | <b>164,959</b>   | <b>-0</b>        | <b>164,959</b>   | <b>164,959</b>   | <b>-0</b>        |

Appendix A - Plan vs Forecast Per Corporate Priority

|  | 2018/19 Plan     | 2018/19 Actuals | 2018/19 Forecast | 2018/19 Variance | Overall Budget   | Overall Forecast | Overall Variance |
|--|------------------|-----------------|------------------|------------------|------------------|------------------|------------------|
| <b>(8) Children and adults are safe from harm Total</b>                | <b>230,840</b>   | <b>126,711</b>  | <b>230,840</b>   | <b>-0</b>        | <b>230,840</b>   | <b>230,840</b>   | <b>-0</b>        |
| <b>(9) People are healthier, happier, independent and active</b>       |                  |                 |                  |                  |                  |                  |                  |
| Assisted Living Technology   | 16,505           | 8,107           | 16,505           | -0               | 46,539           | 46,539           | -0               |
| <b>Communities Total</b>   | <b>16,505</b>    | <b>8,107</b>    | <b>16,505</b>    | <b>-0</b>        | <b>46,539</b>    | <b>46,539</b>    | <b>-0</b>        |
| Goldthorpe Recreation Ground MUGA                                      | 30,210           | 20,737          | 30,210           | -0               | 30,210           | 30,210           | -0               |
| Provision of MUGA Grimethorpe  | 7,500            |                 | 7,500            | 0                | 7,500            | 7,500            | 0                |
| Dodworth Road Recreation Ground  | 3,679            | 3,679           | 3,679            | -0               | 3,679            | 3,679            | -0               |
| Former Yorkshire Traction Site Sheffield Road MUGA                     | 83,069           | 13,918          | 83,069           | 0                | 83,069           | 83,069           | 0                |
| Former Yorkshire Traction Site Sheffield Road Public ROW Lin           | 107,518          |                 |                  | -107,518         | 107,518          | 107,518          | 0                |
| West Haigh Wood Grimethorpe  |                  | 1,600           | 1,600            | 1,600            | 0                | 1,600            | 1,600            |
| Royston Park Play Equip & Skate Park Refurb                            | 45,902           | 44,900          | 45,902           | 0                | 45,902           | 45,902           | 0                |
| Grimethorpe Hall   | 5,400            |                 | 5,400            | 0                | 5,400            | 5,400            | 0                |
| Adwick Wash - Biodiversity & Access Improvements                       | 8,771            |                 | 8,771            | 0                | 8,771            | 8,771            | 0                |
| Barnsley Boundary Footpath Improvements                                | 10,000           |                 |                  | -10,000          | 10,000           | 10,000           | 0                |
| The Mullins Anti-Vehicle Protection                                    | 7,427            |                 |                  | -7,427           | 7,427            | 7,427            | 0                |
| Thunscoe Park Infrastructure Improvements                              | 4,753            | 1,099           | 3,848            | -905             | 4,753            | 3,848            | -905             |
| Thunscoe Park Play Refurbishment                                       | 49,850           | 49,850          | 49,850           | 0                | 49,850           | 49,850           | 0                |
| Mapplewell Park  | 1,320            |                 |                  | -1,320           | 1,320            | 0                | -1,320           |
| Station Road Footpath - Royston  | 7,651            |                 |                  | -7,651           | 7,651            | 7,651            | 0                |
| High Street Footpath repairs Royston                                   | 15,000           |                 |                  | -15,000          | 15,000           | 15,000           | 0                |
| TPT Resurfacing Royston North  | 23,000           |                 |                  | -23,000          | 23,000           | 23,000           | 0                |
| Royston Pavillion  | 20,000           | 9,012           | 20,000           | -0               | 20,000           | 20,000           | -0               |
| Misc POS Royston - Comm Orch & Comm Gdns                               | 1,570            | 1,570           | 1,570            | 0                | 1,570            | 1,570            | 0                |
| Additional Allotments - Royston  | 5,000            |                 |                  | -5,000           | 5,000            | 0                | -5,000           |
| Monk Bretton Park Improvements   | 3,274            | 2,610           | 3,274            | 0                | 3,274            | 3,274            | 0                |
| Millhouse Green Bowling Club   | 1,810            | 1,810           | 1,810            | 0                | 1,810            | 1,810            | 0                |
| Countryside Sites & POS  | 54,766           | 19,966          | 54,766           | -0               | 54,766           | 54,766           | -0               |
| Play Development 2017  | 268,426          | 137,110         | 202,684          | -65,742          | 268,426          | 268,426          | -0               |
| Grimethorpe Sports Ground  | 30,000           | 22,500          | 30,000           | 0                | 30,000           | 30,000           | 0                |
| Mapplewell Park Tennis Court   | 66,904           | 68,249          | 68,249           | 1,345            | 66,904           | 68,249           | 1,345            |
| Penistone Managed Workspace P3   | 174,000          | 90,150          | 174,000          | 0                | 174,000          | 174,000          | 0                |
| Playing Pitch Improvements   | 211,720          | 147,675         | 211,720          | 0                | 211,720          | 211,720          | 0                |
| TPT Wombwell to Worsbrough   | 148,388          | 143,824         | 148,388          | -0               | 148,388          | 148,388          | -0               |
| Penistone Cricket Club Carpark   | 50,743           | 49,814          | 50,743           | -0               | 50,743           | 50,743           | -0               |
| MUGA - Thurgoland Welfare  | 23,000           | 23,000          | 23,000           | 0                | 23,000           | 23,000           | 0                |
| MUGA - Darton Park   | 10,643           |                 | 10,643           | 0                | 10,643           | 10,643           | 0                |
| Pilley/Jubilee/Lidgett Rec Ground                                      | 75,000           | 900             | 29,069           | -45,931          | 75,000           | 29,069           | -45,931          |
| Penistone Footpath Improvements  | 53,000           | 34,772          | 53,000           | 0                | 53,000           | 53,000           | 0                |
| Wilthorpe Park Gates   | 4,000            | 4,139           | 4,139            | 139              | 4,000            | 4,139            | 139              |
| Brierley Playmates   | 11,400           | 11,400          | 11,400           | 0                | 11,400           | 11,400           | 0                |
| Darfield Bowling Club  | 3,000            | 3,000           | 3,000            | 0                | 3,000            | 3,000            | 0                |
| Footpath/Drainage - Vicarage/Park Lane                                 | 15,500           |                 | 15,500           | 0                | 15,500           | 15,500           | 0                |
| Sugdens Recreation Ground Car Park                                     | 32,000           |                 | 32,000           | 0                | 32,000           | 32,000           | 0                |
| Mapplewell Park MUGA & Gym Equipment                                   | 25,000           |                 | 25,000           | 0                | 25,000           | 25,000           | 0                |
| <b>Place Total</b>   | <b>1,700,194</b> | <b>907,283</b>  | <b>1,413,784</b> | <b>-286,410</b>  | <b>1,700,194</b> | <b>1,650,122</b> | <b>-50,072</b>   |
| <b>(9) People are healthier, happier, independent and active Total</b> | <b>1,716,699</b> | <b>915,391</b>  | <b>1,430,289</b> | <b>-286,410</b>  | <b>1,746,733</b> | <b>1,696,661</b> | <b>-50,072</b>   |
| <b>(11) Protecting the Borough for future generations</b>              |                  |                 |                  |                  |                  |                  |                  |
| Principal Towns  | 901,407          | 87,210          | 500,000          | -401,407         | 1,709,480        | 1,709,480        | 0                |
| Hoyland Nether Public Hall   | 4,322            | 750             | 750              | -3,572           | 4,322            | 4,322            | 0                |
| Worsbrough Dale Pavillion  | 15,752           | 1,833           | 1,833            | -13,919          | 15,752           | 15,752           | -0               |
| Pocket Peace Garden Cudworth Park                                      | 879              | 330             | 879              | -0               | 879              | 879              | -0               |
| Goose Acre Allotments  | 8,400            | 8,400           | 8,400            | 0                | 8,400            | 8,400            | 0                |
| King Street Allotments   | 7,900            | 7,900           | 7,900            | 0                | 7,900            | 7,900            | 0                |
| Dearne Road Allotments   | 9,550            | 9,550           | 9,550            | 0                | 9,550            | 9,550            | 0                |
| Carlton Park House   | 45,219           | 18,472          | 18,472           | -26,747          | 45,219           | 45,219           | 0                |

Appendix A - Plan vs Forecast Per Corporate Priority

|  | 2018/19 Plan      | 2018/19 Actuals  | 2018/19 Forecast  | 2018/19 Variance  | Overall Budget    | Overall Forecast  | Overall Variance |
|--|-------------------|------------------|-------------------|-------------------|-------------------|-------------------|------------------|
| <b>Communities Total</b>   | <b>993,429</b>    | <b>134,446</b>   | <b>547,785</b>    | <b>-445,644</b>   | <b>1,801,502</b>  | <b>1,801,503</b>  | <b>1</b>         |
| Planned Maintenance  | 2,051,000         | 1,010,197        | 2,051,000         | 0                 | 2,051,000         | 2,051,000         | 0                |
| Hoyland Town Centre Regeneration   |                   | 2,513            | 0                 | 0                 | 0                 | 0                 | 0                |
| Road Safety / Danger Reduction   | 144,000           | 16,805           | 80,000            | -64,000           | 144,000           | 80,000            | -64,000          |
| Social Inclusion   | 5,000             | 2,558            | 4,913             | -87               | 5,000             | 4,913             | -87              |
| Aids To Pedestrian Movements   | 1,000             | 1,827            | 1,830             | 830               | 1,000             | 1,830             | 830              |
| New Footways   | 375,636           | 177,182          | 375,690           | 54                | 375,636           | 375,690           | 54               |
| Cycling Facilities   | 2,000             | 9,882            | 10,000            | 8,000             | 2,000             | 10,000            | 8,000            |
| Traffic Signals  | 499,257           | 310,900          | 630,000           | 130,743           | 499,257           | 630,000           | 130,743          |
| Residual Exp On Completed Schemes  | 100               | 100              | 100               | 0                 | 100               | 100               | 0                |
| Fees For Future Schemes  | 190,000           | 73,881           | 190,000           | 0                 | 190,000           | 190,000           | 0                |
| Condition Surveys  | 120,000           | 89,414           | 120,000           | -0                | 120,000           | 120,000           | -0               |
| Assessment Programme   | 52,140            | 83,630           | 52,140            | 0                 | 52,140            | 52,140            | 0                |
| Retaining Walls General  | 43,678            | 46,790           | 43,678            | 0                 | 43,678            | 43,678            | 0                |
| Barnsley Hotspot Programme   | 50,000            | 34,672           | 50,000            | 0                 | 50,000            | 50,000            | 0                |
| Carriageways Planned Maintenance   | 2,673,000         | 2,246,771        | 2,673,000         | 0                 | 2,673,000         | 2,673,000         | 0                |
| Footways Planned Maintenance   | 745,000           | 813,796          | 745,000           | 0                 | 745,000           | 745,000           | 0                |
| Street Lighting Planned Maintenance                                      | 400,000           | 422,171          | 400,000           | 0                 | 400,000           | 400,000           | 0                |
| Structures Planned Maintenance   | 520,778           | 656,012          | 520,778           | 0                 | 520,778           | 520,778           | 0                |
| Drainage Planned Maintenance   | 608,000           | 452,560          | 608,000           | 0                 | 608,000           | 608,000           | 0                |
| Traffic Signs & SNP Planned Maintenance                                  | 395,220           | 280,091          | 395,220           | -0                | 395,220           | 395,220           | -0               |
| Little Don Cycle Route   | 250               | 250              | 250               | 0                 | 250               | 250               | 0                |
| Key Route Barnsley to Doncaster North                                    | 36,386            | 41,011           | 41,011            | 4,625             | 36,386            | 41,011            | 4,625            |
| Key Route Barnsley to Wakefield  | 990               | 1,538            | 1,538             | 548               | 990               | 1,538             | 548              |
| LED Street Lighting Replacements   |                   | 70,921           | 0                 | 0                 | 0                 | 0                 | 0                |
| Mandela Gardens  | 3,430             | 3,430            | 3,430             | 0                 | 3,430             | 3,430             | 0                |
| DFT Pothole Fund Scheme  | 709,784           | 460,706          | 709,784           | 0                 | 709,784           | 709,784           | 0                |
| West Moor Dyke Culvert   |                   | 984              | 0                 | 0                 | 0                 | 0                 | 0                |
| Safety Barriers (PRN)  | 50,000            | 984              | 50,000            | 0                 | 50,000            | 50,000            | 0                |
| Shafton Bypass r/about-visibility  | 23,808            | 29,511           | 29,511            | 5,703             | 23,808            | 29,511            | 5,703            |
| Peel Sq TM   | 112               | 112              | 0                 | -112              | 112               | 0                 | -112             |
| Traffic MGT - Server Upgrade   | 631               | 1,094            | 0                 | -631              | 631               | 0                 | -631             |
| Cundy Cross Signalisation  | 427,370           | 400,866          | 400,866           | -26,504           | 427,370           | 400,866           | -26,504          |
| Principal Roads  | 1,080,000         | 136,009          | -0                | -1,080,000        | 1,080,000         | 1,080,000         | -0               |
| A628 Barnsley Rd, Noblethorpe  | 4,404             | 4,404            | 4,404             | -0                | 4,404             | 4,404             | -0               |
| Burton Road to Cundy Cross Cycleway                                      | 16,000            |                  |                   | -16,000           | 16,000            | 0                 | -16,000          |
| Gilroyd to Broadway cycleway signage                                     | 30,000            | 6,478            | 7,000             | -23,000           | 30,000            | 7,000             | -23,000          |
| Keresforth Hill Rd to Keresforth Hall Rd Cycleway Signage                | 30,000            | 9,868            | 10,000            | -20,000           | 30,000            | 10,000            | -20,000          |
| Pogmoor Road to Barnsley Town Centre cycleway signage                    | 26,000            | 4,352            | 4,500             | -21,500           | 26,000            | 4,500             | -21,500          |
| Bradbury Balk Lane River bridge (B6.002)                                 | 20,000            |                  | 20,000            | 0                 | 20,000            | 20,000            | 0                |
| Dodworth River Bridge No.2 (B4.119)                                      | 300,000           |                  | 300,000           | 0                 | 300,000           | 300,000           | 0                |
| Oaks Lane Retaining Wall   |                   | 1,642            | 0                 | 0                 | 0                 | 0                 | 0                |
| Principal Inspections  | 60,000            | 5,582            | 60,000            | 0                 | 60,000            | 60,000            | 0                |
| Car Parking (MSCP) Mitigations   | 53,000            | 37,813           | 53,000            | -0                | 53,000            | 53,000            | -0               |
| Skid Resistance Programme  |                   |                  |                   | 0                 | 600,000           | 600,000           | 0                |
| Planned Patching Programme   | 1,400,000         | 113,261          | 1,100,000         | -300,000          | 1,400,000         | 1,400,000         | 0                |
| Aldham River Bridge TrialHoles   | 20,000            |                  | 20,000            | 0                 | 20,000            | 20,000            | 0                |
| Eisecar Green/Riv Deame Bridge Painting                                  | 200,000           |                  | 200,000           | 0                 | 200,000           | 200,000           | 0                |
| Enhanced Highways Programme  | 2,000,000         |                  | 1,500,000         | -500,000          | 4,000,000         | 4,000,000         | 0                |
| M1 J37 Phase 1   | 591,118           |                  | 591,118           | 0                 | 4,352,138         | 4,352,138         | 0                |
| BIN REPLACEMENT PROGRAMME  | 300,000           | 227,922          | 300,000           | -0                | 900,000           | 900,000           | -0               |
| Vehicle Replacement Programme  | 2,953,100         |                  | 2,953,100         | 0                 | 2,953,100         | 2,953,100         | 0                |
| Transfer Loading Station   | 890,565           | 76,526           | 890,565           | 0                 | 890,565           | 890,565           | 0                |
| <b>Place Total</b>   | <b>20,102,757</b> | <b>8,367,017</b> | <b>18,201,426</b> | <b>-1,901,331</b> | <b>27,063,777</b> | <b>27,042,446</b> | <b>-21,331</b>   |
| <b>(11) Protecting the Borough for future generations Total</b>          | <b>21,096,186</b> | <b>8,501,462</b> | <b>18,749,211</b> | <b>-2,346,975</b> | <b>28,865,279</b> | <b>28,843,949</b> | <b>-21,330</b>   |
| <b>(12) Customers can contact us easily and use more services online</b> |                   |                  |                   |                   |                   |                   |                  |
| Libraries Mgmt Information System - LMS                                  | 76,113            | 453              | 76,113            | 0                 | 76,113            | 76,113            | 0                |



Appendix A - Plan vs Forecast Per Corporate Priority

|  | 2018/19 Plan       | 2018/19 Actuals   | 2018/19 Forecast   | 2018/19 Variance  | Overall Budget     | Overall Forecast   | Overall Variance |
|--|--------------------|-------------------|--------------------|-------------------|--------------------|--------------------|------------------|
| Replacement Programme for People's Netwo                                       | 33,865             |                   | 33,865             | 0                 | 33,865             | 33,865             | 0                |
| Customer Services Project  | 364,586            | 86,445            | 364,587            | 1                 | 376,841            | 376,842            | 1                |
| Central Library PM   | 43,375             | 25,213            | 43,375             | -0                | 43,375             | 43,375             | -0               |
| <b>Communities Total</b>   | <b>517,939</b>     | <b>112,111</b>    | <b>517,940</b>     | <b>1</b>          | <b>530,194</b>     | <b>530,195</b>     | <b>1</b>         |
| <b>(12) Customers can contact us easily and use more services online Total</b> | <b>517,939</b>     | <b>112,111</b>    | <b>517,940</b>     | <b>1</b>          | <b>530,194</b>     | <b>530,195</b>     | <b>1</b>         |
| <b>Grand Total</b>   | <b>114,714,726</b> | <b>57,411,239</b> | <b>107,775,661</b> | <b>-6,939,065</b> | <b>282,012,110</b> | <b>281,445,972</b> | <b>-566,138</b>  |

Appendix B - Variance Analysis Per Scheme

| Project Description   | 2018/19 Variance  | 2018/19 Slippage  | 2018/19 Re-phasing | 2018/19 Variation in Scheme Costs | Overall Variance | Overall Slippage | Overall Re-phasing | Overall Variation in Scheme Costs |
|---|-------------------|-------------------|--------------------|-----------------------------------|------------------|------------------|--------------------|-----------------------------------|
| <b>(1) Create more and better jobs and good business growth</b>       |                   |                   |                    |                                   |                  |                  |                    |                                   |
| SAP Success Factors   | -258,500          | -258,500          | 0                  | 0                                 | 0                | 0                | 0                  | 0                                 |
| Cyber Security  | -179,020          | -179,020          | 0                  | 0                                 | 0                | 0                | 0                  | 0                                 |
| <b>Communities Total</b>  | <b>-437,520</b>   | <b>-437,520</b>   | <b>0</b>           | <b>0</b>                          | <b>0</b>         | <b>0</b>         | <b>0</b>           | <b>0</b>                          |
| J36 HCA Land Rockingham   | -244,991          | -244,991          | 0                  | 0                                 | 0                | 0                | 0                  | 0                                 |
| M1 Junction 36 Phase 1 Hoyland  | -150,000          | -150,000          | 0                  | 0                                 | -0               | 0                | 0                  | -0                                |
| Courthouse Car Park Procurement                                       | -58,529           | -58,529           | 0                  | 0                                 | -0               | 0                | 0                  | -0                                |
| Strategic Business Parks Eco Plan                                     | -47,901           | -47,901           | 0                  | 0                                 | 0                | 0                | 0                  | 0                                 |
| <b>Place Total</b>  | <b>-501,421</b>   | <b>-501,421</b>   | <b>0</b>           | <b>0</b>                          | <b>-0</b>        | <b>0</b>         | <b>0</b>           | <b>-0</b>                         |
| <b>(1) Create more and better jobs and good business growth Total</b> | <b>-938,941</b>   | <b>-938,941</b>   | <b>0</b>           | <b>0</b>                          | <b>-0</b>        | <b>0</b>         | <b>0</b>           | <b>-0</b>                         |
| <b>(4) Strengthen our visitor economy</b>                             |                   |                   |                    |                                   |                  |                  |                    |                                   |
| Cannon Hall Parks for People  | -589,849          | -589,849          | 0                  | 0                                 | 0                | 0                | 0                  | 0                                 |
| Wentworth Castle & Stainborough Park                                  | -550,000          | -550,000          | 0                  | 0                                 | -0               | 0                | 0                  | -0                                |
| Replacement Of Boilers At Metrodome                                   | -130,000          | -130,000          | 0                  | 0                                 | -0               | 0                | 0                  | -0                                |
| Dorothy Hyman Football Pitch Refurb                                   | -31,570           | -31,570           | 0                  | 0                                 | 0                | 0                | 0                  | 0                                 |
| Pet Crematorium   | -4,500            | -4,500            | 0                  | 0                                 | 0                | 0                | 0                  | 0                                 |
| Barnsley College - Artificial Pitch                                   | -62,972           | 0                 | 0                  | -62,972                           | -62,972          | 0                | 0                  | -62,972                           |
| <b>Place Total</b>  | <b>-1,368,891</b> | <b>-1,305,919</b> | <b>0</b>           | <b>-62,972</b>                    | <b>-62,972</b>   | <b>0</b>         | <b>0</b>           | <b>-62,972</b>                    |
| <b>(4) Strengthen our visitor economy Total</b>                       | <b>-1,368,891</b> | <b>-1,305,919</b> | <b>0</b>           | <b>-62,972</b>                    | <b>-62,972</b>   | <b>0</b>         | <b>0</b>           | <b>-62,972</b>                    |
| <b>(5) Create more and better housing</b>                             |                   |                   |                    |                                   |                  |                  |                    |                                   |
| Meadstead New Build   | -517,806          | -517,806          | 0                  | 0                                 | 0                | 0                | 0                  | 0                                 |
| 18/19 BHS Goldthorpe Kier   | 20,000            | 0                 | 20,000             | 0                                 | -0               | 0                | 0                  | -0                                |
| 18/19 BHS Wombwell Kier   | 20,000            | 0                 | 20,000             | 0                                 | -60,561          | 0                | 0                  | -60,561                           |
| Single Property Acquisition   | 310,000           | 0                 | 310,000            | 0                                 | 0                | 0                | 0                  | 0                                 |
| 18/19 BHS Redbrook CS   | -98,320           | 0                 | 0                  | -98,320                           | -169,730         | 0                | 0                  | -169,730                          |
| 18/19 BHS Smithies CS   | -62,189           | 0                 | 0                  | -62,189                           | -127,809         | 0                | 0                  | -127,809                          |
| 18/19 BHS Brierley CS   | -53,202           | 0                 | 0                  | -53,202                           | -114,962         | 0                | 0                  | -114,962                          |
| New Build - General   | -4,947            | 0                 | 0                  | -4,947                            | -4,947           | 0                | 0                  | -4,947                            |
| District Heating Elm & Maltas Court                                   | -1                | 0                 | 0                  | 0                                 | -1               | 0                | 0                  | -1                                |
| 17/18 BHS Elsecar/Hoyland Kier  | 20,000            | 0                 | 0                  | 20,000                            | 20,000           | 0                | 0                  | 20,000                            |
| District Heating  | 54,225            | 0                 | 0                  | 54,225                            | 54,225           | 0                | 0                  | 54,225                            |
| <b>Housing Revenue Account Total</b>                                  | <b>-312,240</b>   | <b>-517,806</b>   | <b>350,000</b>     | <b>-144,433</b>                   | <b>-403,785</b>  | <b>0</b>         | <b>0</b>           | <b>-403,785</b>                   |
| Affordable Housing - Billingley View                                  | -1,087,753        | -1,087,753        | 0                  | 0                                 | 0                | 0                | 0                  | 0                                 |
| Affordable Housing - Barnsley Community Build                         | -300,000          | -300,000          | 0                  | 0                                 | 0                | 0                | 0                  | 0                                 |
| Local Growth Fund - Better Homes                                      | -104,876          | -104,876          | 0                  | 0                                 | 0                | 0                | 0                  | 0                                 |
| Better Homes Barnsley   | -15,000           | -15,000           | 0                  | 0                                 | -0               | 0                | 0                  | -0                                |
| Goldthorpe Clusters (Empty Homes)                                     | -19,606           | 0                 | 0                  | -19,606                           | -19,606          | 0                | 0                  | -19,606                           |
| ACCREDITED LANDLORD SCHEME  | 5,000             | 0                 | 0                  | 5,000                             | 5,000            | 0                | 0                  | 5,000                             |
| HCA PROGRAMME   | 14,606            | 0                 | 0                  | 14,606                            | 14,606           | 0                | 0                  | 14,606                            |
| <b>Place Total</b>  | <b>-1,507,630</b> | <b>-1,507,629</b> | <b>0</b>           | <b>-0</b>                         | <b>-1</b>        | <b>0</b>         | <b>0</b>           | <b>-1</b>                         |
| <b>(5) Create more and better housing Total</b>                       | <b>-1,819,869</b> | <b>-2,025,435</b> | <b>350,000</b>     | <b>-144,433</b>                   | <b>-403,785</b>  | <b>0</b>         | <b>0</b>           | <b>-403,785</b>                   |
| <b>(6) Every child attends a good school</b>                          |                   |                   |                    |                                   |                  |                  |                    |                                   |
| SCHOOL ACCESS WORKS   | -9,132            | 0                 | 0                  | -9,132                            | -9,132           | 0                | 0                  | -9,132                            |
| Lacewood Primary - Prov of Mod Classroom                              | -8,313            | 0                 | 0                  | -8,313                            | -8,313           | 0                | 0                  | -8,313                            |
| Summer Lane Primary - Roofing Works                                   | -7,324            | 0                 | 0                  | -7,324                            | -7,324           | 0                | 0                  | -7,324                            |
| Wombwell Park Street - Increase Admissio                              | -6,072            | 0                 | 0                  | -6,072                            | -6,072           | 0                | 0                  | -6,072                            |
| Barugh Green Primary - Roof   | -5,219            | 0                 | 0                  | -5,219                            | -5,219           | 0                | 0                  | -5,219                            |

Appendix B - Variance Analysis Per Scheme

| Project Description  | 2018/19 Variance | 2018/19 Slippage | 2018/19 Re-phasing | 2018/19 Variation in Scheme Costs | Overall Variance | Overall Slippage | Overall Re-phasing | Overall Variation in Scheme Costs |
|--|------------------|------------------|--------------------|-----------------------------------|------------------|------------------|--------------------|-----------------------------------|
| Churchfields - Increase Admission Number                               | -5,111           | 0                | 0                  | -5,111                            | -5,111           | 0                | 0                  | -5,111                            |
| Burton Road Primary - Roof   | -3,724           | 0                | 0                  | -3,724                            | -3,724           | 0                | 0                  | -3,724                            |
| Wilthorpe Primary - Boiler Replace                                     | -2,617           | 0                | 0                  | -2,617                            | -2,617           | 0                | 0                  | -2,617                            |
| Thurstone Primary - Increase Admission                                 | -2,083           | 0                | 0                  | -2,083                            | -2,083           | 0                | 0                  | -2,083                            |
| Athersley South Primary - Boiler Replace                               | -1,945           | 0                | 0                  | -1,945                            | -1,945           | 0                | 0                  | -1,945                            |
| Churchfield Primary - Boiler Replace                                   | -1,784           | 0                | 0                  | -1,784                            | -1,784           | 0                | 0                  | -1,784                            |
| Jump Primary - Replace Light/Ceilings P1                               | -765             | 0                | 0                  | -765                              | -765             | 0                | 0                  | -765                              |
| Burton Road Primary - Increase Admission                               | -596             | 0                | 0                  | -596                              | -596             | 0                | 0                  | -596                              |
| Keresforth Primary - Replace Cladding                                  | -531             | 0                | 0                  | -531                              | -531             | 0                | 0                  | -531                              |
| Shawlands - Remodel Entr/Office  | -448             | 0                | 0                  | -448                              | -448             | 0                | 0                  | -448                              |
| Penistone St Johns - Increase Ad - P2A                                 | -145             | 0                | 0                  | -145                              | -145             | 0                | 0                  | -145                              |
| Jump Primary - Nursery Toilet Refurb                                   | -19              | 0                | 0                  | -19                               | -19              | 0                | 0                  | -19                               |
| Hunningley - Increase Admission - P2                                   | 674              | 0                | 0                  | 674                               | 674              | 0                | 0                  | 674                               |
| Worsbrough Common - Convert Quas to Classroom                          | 1,462            | 0                | 0                  | 1,462                             | 1,462            | 0                | 0                  | 1,462                             |
| Gawber Primary - Roof  | 1,882            | 0                | 0                  | 1,882                             | 1,882            | 0                | 0                  | 1,882                             |
| Oxspring Primary - Replace Fire Alarm                                  | 4,240            | 0                | 0                  | 4,240                             | 4,240            | 0                | 0                  | 4,240                             |
| Milefield Primary - Playground/MUGA                                    | 5,703            | 0                | 0                  | 5,703                             | 5,703            | 0                | 0                  | 5,703                             |
| Millhouse Primary - Roof - KS1   | 5,730            | 0                | 0                  | 5,730                             | 5,730            | 0                | 0                  | 5,730                             |
| Barugh Green Primary - Fencing   | 8,160            | 0                | 0                  | 8,160                             | 8,160            | 0                | 0                  | 8,160                             |
| <b>People Total</b>  | <b>-27,977</b>   | <b>0</b>         | <b>0</b>           | <b>-27,977</b>                    | <b>-27,977</b>   | <b>0</b>         | <b>0</b>           | <b>-27,977</b>                    |
| Keresforth Primary School  | -150,000         | -150,000         | 0                  | 0                                 | 0                | 0                | 0                  | 0                                 |
| <b>Place Total</b>   | <b>-150,000</b>  | <b>-150,000</b>  | <b>0</b>           | <b>0</b>                          | <b>0</b>         | <b>0</b>         | <b>0</b>           | <b>0</b>                          |
| <b>(6) Every child attends a good school Total</b>                     | <b>-177,977</b>  | <b>-150,000</b>  | <b>0</b>           | <b>-27,977</b>                    | <b>-27,977</b>   | <b>0</b>         | <b>0</b>           | <b>-27,977</b>                    |
| <b>(9) People are healthier, happier, independent and active</b>       |                  |                  |                    |                                   |                  |                  |                    |                                   |
| Former Yorkshire Traction Site Sheffield Road Public ROW Lin           | -107,518         | -107,518         | 0                  | 0                                 | 0                | 0                | 0                  | 0                                 |
| Play Development 2017  | -65,742          | -65,742          | 0                  | 0                                 | -0               | 0                | 0                  | -0                                |
| TPT Resurfacing Royston North  | -23,000          | -23,000          | 0                  | 0                                 | 0                | 0                | 0                  | 0                                 |
| High Street Footpath repairs Royston                                   | -15,000          | -15,000          | 0                  | 0                                 | 0                | 0                | 0                  | 0                                 |
| Barnsley Boundary Footpath Improvements                                | -10,000          | -10,000          | 0                  | 0                                 | 0                | 0                | 0                  | 0                                 |
| Station Road Footpath - Royston  | -7,651           | -7,651           | 0                  | 0                                 | 0                | 0                | 0                  | 0                                 |
| The Mullins Anti-Vehicle Protection                                    | -7,427           | -7,427           | 0                  | 0                                 | 0                | 0                | 0                  | 0                                 |
| Pilley/Jubilee/Lidgett Rec Ground                                      | -45,931          | 0                | 0                  | -45,931                           | -45,931          | 0                | 0                  | -45,931                           |
| Additional Allotments - Royston  | -5,000           | 0                | 0                  | -5,000                            | -5,000           | 0                | 0                  | -5,000                            |
| Mapplewell Park  | -1,320           | 0                | 0                  | -1,320                            | -1,320           | 0                | 0                  | -1,320                            |
| Thurnscoe Park Infrastructure Improvements                             | -905             | 0                | 0                  | -905                              | -905             | 0                | 0                  | -905                              |
| Wilthorpe Park Gates   | 139              | 0                | 0                  | 139                               | 139              | 0                | 0                  | 139                               |
| Mapplewell Park Tennis Court   | 1,345            | 0                | 0                  | 1,345                             | 1,345            | 0                | 0                  | 1,345                             |
| West Haigh Wood Grimethorpe  | 1,600            | 0                | 0                  | 1,600                             | 1,600            | 0                | 0                  | 1,600                             |
| <b>Place Total</b>   | <b>-286,410</b>  | <b>-236,338</b>  | <b>0</b>           | <b>-50,072</b>                    | <b>-50,072</b>   | <b>0</b>         | <b>0</b>           | <b>-50,072</b>                    |
| <b>(9) People are healthier, happier, independent and active Total</b> | <b>-286,410</b>  | <b>-236,338</b>  | <b>0</b>           | <b>-50,072</b>                    | <b>-50,072</b>   | <b>0</b>         | <b>0</b>           | <b>-50,072</b>                    |
| <b>(11) Protecting the Borough for future generations</b>              |                  |                  |                    |                                   |                  |                  |                    |                                   |
| Principal Towns  | -401,407         | -401,407         | 0                  | 0                                 | 0                | 0                | 0                  | 0                                 |
| Carlton Park House   | -26,747          | -26,747          | 0                  | 0                                 | 0                | 0                | 0                  | 0                                 |
| Worsbrough Dale Pavillion  | -13,919          | -13,919          | 0                  | 0                                 | -0               | 0                | 0                  | -0                                |
| Hoyland Nether Public Hall   | -3,572           | -3,572           | 0                  | 0                                 | 0                | 0                | 0                  | 0                                 |
| <b>Communities Total</b>   | <b>-445,644</b>  | <b>-445,644</b>  | <b>0</b>           | <b>0</b>                          | <b>1</b>         | <b>0</b>         | <b>0</b>           | <b>1</b>                          |
| Principal Roads  | -1,080,000       | 0                | -1,080,000         | 0                                 | -0               | 0                | 0                  | -0                                |

Appendix B - Variance Analysis Per Scheme

| Project Description   | 2018/19 Variance  | 2018/19 Slippage  | 2018/19 Re-phasing | 2018/19 Variation in Scheme Costs | Overall Variance | Overall Slippage | Overall Re-phasing | Overall Variation in Scheme Costs |
|---|-------------------|-------------------|--------------------|-----------------------------------|------------------|------------------|--------------------|-----------------------------------|
| Enhanced Highways Programme                                     | -500,000          | 0                 | -500,000           | 0                                 | 0                | 0                | 0                  | 0                                 |
| Planned Patching Programme                                      | -300,000          | 0                 | -300,000           | 0                                 | 0                | 0                | 0                  | 0                                 |
| Road Safety / Danger Reduction                                  | -64,000           | 0                 | 0                  | -64,000                           | -64,000          | 0                | 0                  | -64,000                           |
| Cundy Cross Signalisation                                       | -26,504           | 0                 | 0                  | -26,504                           | -26,504          | 0                | 0                  | -26,504                           |
| Gilroyd to Broadway cycleway signage                            | -23,000           | 0                 | 0                  | -23,000                           | -23,000          | 0                | 0                  | -23,000                           |
| Pogmoor Road to Barnsley Town Centre cycleway signage           | -21,500           | 0                 | 0                  | -21,500                           | -21,500          | 0                | 0                  | -21,500                           |
| Keresforth Hill Rd to Keresforth Hall Rd Cycleway Signage       | -20,000           | 0                 | 0                  | -20,000                           | -20,000          | 0                | 0                  | -20,000                           |
| Burton Road to Cundy Cross Cycleway                             | -16,000           | 0                 | 0                  | -16,000                           | -16,000          | 0                | 0                  | -16,000                           |
| Traffic MGT - Server Upgrade                                    | -631              | 0                 | 0                  | -631                              | -631             | 0                | 0                  | -631                              |
| Peel Sq TM  | -112              | 0                 | 0                  | -112                              | -112             | 0                | 0                  | -112                              |
| Social Inclusion  | -87               | 0                 | 0                  | -87                               | -87              | 0                | 0                  | -87                               |
| New Footways  | 54                | 0                 | 0                  | 54                                | 54               | 0                | 0                  | 54                                |
| Key Route Barnsley to Wakefield                                 | 548               | 0                 | 0                  | 548                               | 548              | 0                | 0                  | 548                               |
| Aids To Pedestrian Movements                                    | 830               | 0                 | 0                  | 830                               | 830              | 0                | 0                  | 830                               |
| Key Route Barnsley to Doncaster North                           | 4,625             | 0                 | 0                  | 4,625                             | 4,625            | 0                | 0                  | 4,625                             |
| Shafton Bypass r/about-visibility                               | 5,703             | 0                 | 0                  | 5,703                             | 5,703            | 0                | 0                  | 5,703                             |
| Cycling Facilities  | 8,000             | 0                 | 0                  | 8,000                             | 8,000            | 0                | 0                  | 8,000                             |
| Traffic Signals   | 130,743           | 0                 | 0                  | 130,743                           | 130,743          | 0                | 0                  | 130,743                           |
| <b>Place Total</b>  | <b>-1,901,332</b> | <b>0</b>          | <b>-1,880,000</b>  | <b>-21,331</b>                    | <b>-21,332</b>   | <b>0</b>         | <b>0</b>           | <b>-21,332</b>                    |
| <b>(11) Protecting the Borough for future generations Total</b> | <b>-2,346,976</b> | <b>-445,644</b>   | <b>-1,880,000</b>  | <b>-21,331</b>                    | <b>-21,331</b>   | <b>0</b>         | <b>0</b>           | <b>-21,331</b>                    |
| <b>Grand Total</b>  | <b>-6,939,064</b> | <b>-5,102,278</b> | <b>-1,530,001</b>  | <b>-306,785</b>                   | <b>-566,137</b>  | <b>0</b>         | <b>0</b>           | <b>-566,137</b>                   |

**BARNSELY METROPOLITAN BOROUGH COUNCIL**

**This matter is not a Key Decision within the Council's definition and has not been included in the relevant Forward Plan**

**Report of the Executive Director, Core Services  
and Service Director, Finance (S151 Officer)**

**TREASURY MANAGEMENT ACTIVITIES REVIEW - QUARTER ENDED 31<sup>st</sup>  
DECEMBER 2018**

**1. Purpose of Report**

- 1.1 This document reviews the Council's treasury management activities carried out during quarter 3 in accordance with statutory guidance.
- 1.2 In broad terms it covers the following:
- The agreed Treasury Management Strategy for 2018/19;
  - Economic summary;
  - The Council's borrowing activity;
  - The Council's investment activity; and
  - Prudential and Treasury Indicators for 2018/19.

**2. Recommendations**

- 2.1 It is recommended that members note:
- **The borrowing and investment activities carried out during the quarter; and**
  - **The Prudential and Treasury Indicators set out in Appendix 1.**

**3. The Agreed Strategy for 2018/19**

- 3.1 The Treasury Management Strategy identifies the key risks associated with the Council's borrowing and investment activities and sets out how those risks will be managed.
- 3.2 The focus of the borrowing strategy is to reduce the Council's exposure to interest rate and refinancing risk, whilst being mindful of the impact on its capital financing costs.
- 3.3 The purpose of the investment strategy is to invest any temporary cash balances prudently and to ensure this cash is available when needed. The Council is not dependent on the investment income earned; as such the pursuit of higher returns is a secondary priority.
- 3.4 The Council approved several changes to its investment counterparty limits in November to ensure that it can securely accommodate increased cash balances that have / will derive from the Glassworks project.

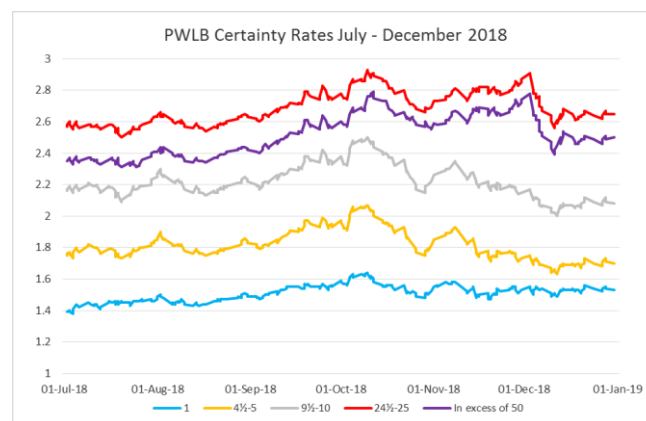
#### 4. Economic Summary

Highlights (see Appendix 2 for more details):

- *The base rate remained unchanged at 0.75% due to ongoing uncertainty around Brexit;*
- *As a result, interest rates eased off towards the end of the quarter (paragraph 4.2 refers);*
- *There is still an expectation that rates will increase over the short to medium term, on the belief that some form of agreement will be reached on Brexit;*
- *The Monetary Policy Committee (MPC) reaffirmed that the base rate would rise “at a gradual pace”.*

4.1 Since the base rate increase in August 2018 (from 0.5% to 0.75%), the MPC appears to be refraining from further action until the uncertainty around Brexit clears, voting unanimously to keep policy unchanged in November and December.

4.2 As a result, interest rates eased off towards the end of the quarter (as illustrated below):



4.3 There is still an expectation that rates will increase over the short to medium term, on the belief that some form of agreement will be reached on Brexit. Should this materialise the view from our advisors is that the base rate could be increased as soon as May 2019 (see appendix 2 for more details). The MPC have reaffirmed however that the base rate would rise “at a gradual pace”.

4.4 In the event of a no deal or disorderly Brexit, there is an expectation that the base rate may be reduced, however the Commons appear to be against any form of non-agreement exit therefore the chance of this happening is believed to be low.

## 5. Borrowing Activity

### Highlights:

- *The Council's gross debt increased by £89M during the quarter, as officers sought to mitigate its interest rate risk exposure;*
- *By the end of 2018/19, the Council's Capital Financing Requirement (CFR) is expected to reach £960M - down £7M from the original estimate;*
- *Based on current projections, the Council may need to borrow a further £180M over the next 2 years;*
- *Officers will monitor this position closely over the coming months in order to respond to any sudden changes in interest rates.*

### Movement on Gross Debt

5.1 As outlined below, the Council's gross debt increased by £89M during the quarter, as officers sought to mitigate its interest rate risk exposure:

| Source                      | Balance on 30/09/2018 (£M) | New Debt (£M)  | Debt Repaid (£M) | Balance on 31/12/2018 (£M) | Net Increase / (Decrease) |
|-----------------------------|----------------------------|----------------|------------------|----------------------------|---------------------------|
| PWLB Borrowing              | 448.417                    | 120.000        | (0.941)          | 567.476                    | 119.059                   |
| Other Long Term Loans       | 63.000                     | -              | (8.000)          | 55.000                     | (8.000)                   |
| Temporary Borrowing         | 36.003                     | -              | (22.000)         | 14.003                     | (22.000)                  |
| Long Term LA Loans          | 31.598                     | -              | -                | 31.598                     | -                         |
| <b>Total Borrowing</b>      | <b>579.018</b>             | <b>120.000</b> | <b>(30.941)</b>  | <b>668.077</b>             | <b>89.059</b>             |
| Other Long Term Liabilities | 222.587                    | -              | -                | 222.587                    | -                         |
| <b>Total Debt</b>           | <b>801.605</b>             | <b>120.000</b> | <b>(30.941)</b>  | <b>890.664</b>             | <b>89.059</b>             |

5.2 The Council borrowed a total of £120M during the quarter from the PWLB (including the £70M reported in November), bringing the total to date for 2018/19 to £160M. A breakdown of the remaining £50M is provided below:

| Date         | Loan Type | Principal (£M) | Interest Rate (%) | Term (Y)          |
|--------------|-----------|----------------|-------------------|-------------------|
| 30/10/2018   | PWLB      | 10             | 2.58              | 46                |
| 02/11/2018   | PWLB      | 10             | 2.56              | 46                |
| 14/11/2018   | PWLB      | 10             | 2.60              | 46                |
| 26/11/2018   | PWLB      | 10             | 2.64              | 44                |
| 14/12/2018   | PWLB      | 8              | 2.56              | 31                |
| 18/12/2018   | PWLB      | 2              | 2.56              | 36                |
| <b>Total</b> |           | <b>50</b>      | <b>2.59 (avg)</b> | <b>42.8 (avg)</b> |

5.3 The Council repaid a total of £31M during the quarter including £22M of temporary borrowing. Other notable repayments include an £8M LOBO (Lender Option, Borrower Option) loan, following an opportunity to repay this early. As a result the Council has reduced its exposure to interest rate risk whilst making a small annual saving on its capital financing costs.

## Movement on the Capital Financing Requirement (CFR)

5.4 The CFR is essentially a measure of the Council's need to borrow to finance its capital expenditure. The Council monitors its CFR in relation to gross debt to determine the extent to which it is under (or over) borrowed.

5.5 The table below outlines the movement in CFR expected during 2018/19 and how this compares to the agreed strategy. The £7M variance primarily relates to slippage / re-phasing within the approved capital programme:

|  | <b>2018/19 Strategy<br/>(£M)</b> | <b>2018/19 Latest<br/>(£M)</b> | <b>Variance<br/>(£M)</b> |
|--|----------------------------------|--------------------------------|--------------------------|
| <b>Opening CFR</b>                       | <b>945.549</b>                   | <b>949.904</b>                 | <b>4.355</b>             |
| Increase from in-year capital investment | 32.192                           | 19.296                         | (12.896)                 |
| Amounts set aside to repay debt          | (10.465)                         | (9.417)                        | 1.048                    |
| <b>Net Movement in CFR</b>               | <b>21.727</b>                    | <b>9.879</b>                   | <b>(11.848)</b>          |
| <b>Closing CFR</b>                       | <b>967.276</b>                   | <b>959.783</b>                 | <b>(7.493)</b>           |
| General Fund                             | 701.237                          | 691.967                        | (9.270)                  |
| HRA                                      | 266.039                          | 267.816                        | 1.777                    |

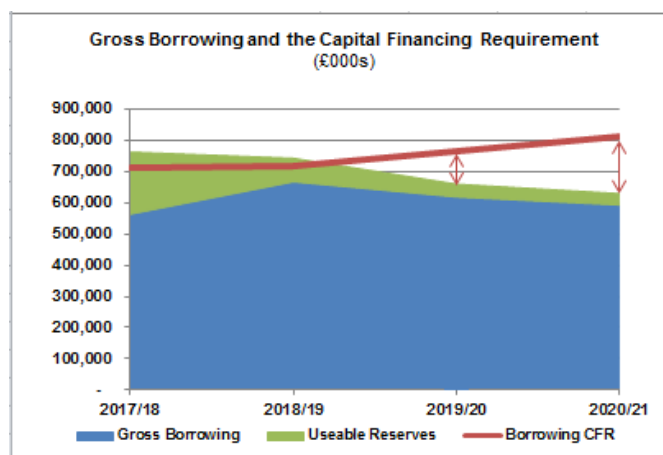
5.6 The following table shows the expected under-borrowed position at the end of the year and how this compares to the agreed strategy. The £109M variance primarily relates to the long term borrowing secured since January 2018, in response to a shift in interest rate expectations:

|  | <b>2018/19 Strategy<br/>(£M)</b> | <b>2018/19 Latest<br/>(£M)</b> | <b>Variance<br/>(£M)</b> |
|--|----------------------------------|--------------------------------|--------------------------|
| Closing CFR (From Table Above)           | 967.276                          | 959.783                        | (7.493)                  |
| <b>Less PFI Schemes / Finance Leases</b> | <b>(236.348)</b>                 | <b>(240.676)</b>               | <b>(4.328)</b>           |
| <b>Borrowing CFR</b>                     | <b>730.928</b>                   | <b>719.107</b>                 | <b>(11.821)</b>          |
| Gross Borrowing                          | (569.813)                        | (666.815)                      | (97.002)                 |
| <b>Under / (Over) Borrowed Position</b>  | <b>161.115</b>                   | <b>52.292</b>                  | <b>(108.823)</b>         |
| General Fund                             | 152.134                          | 42.677                         | (109.457)                |
| HRA                                      | 8.981                            | 9.615                          | 0.634                    |



## Future Outlook

5.7 The chart below shows the expected movements on gross borrowing, useable reserves and the borrowing CFR between 2017/18 and 2020/21. As the chart illustrates the Council was significantly under-borrowed in 2017/18, however this position was supported by useable reserves. The Council will ultimately need to borrow as these reserves are utilised:



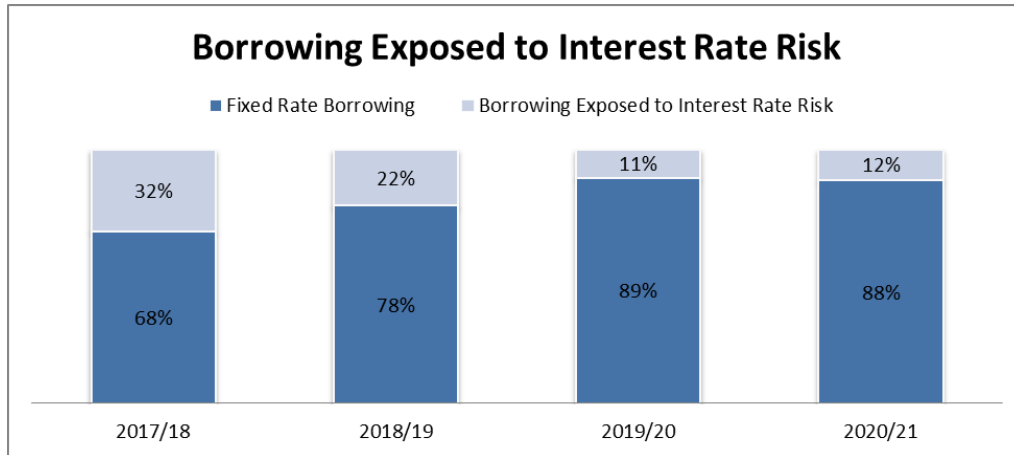
|   | 2017/18<br>Actual (£M) | 2018/19<br>Estimate (£M) | 2019/20<br>Estimate (£M) | 2020/21<br>Estimate (£M) |
|---|------------------------|--------------------------|--------------------------|--------------------------|
| Borrowing CFR                           | 710.250                | 719.107                  | 762.022                  | 809.236                  |
| Gross Borrowing                         | (563.213)              | (666.815)                | (618.478)                | (592.576)                |
| <b>Under / (Over) Borrowed Position</b> | <b>147.037</b>         | <b>52.292</b>            | <b>143.544</b>           | <b>216.660</b>           |
| Support from Useable Reserves           | (147.037)              | (52.292)                 | (40.606)                 | (36.226)                 |
| <b>External Borrowing Requirement</b>   | -                      | -                        | <b>102.938</b>           | <b>180.434</b>           |

5.8 Based on current projections, the Council may need to borrow a further £180M over the next 2 years, which is a combination of planned capital investment (to be funded from borrowing), maturing loans and use of reserves. A breakdown of which is provided below:

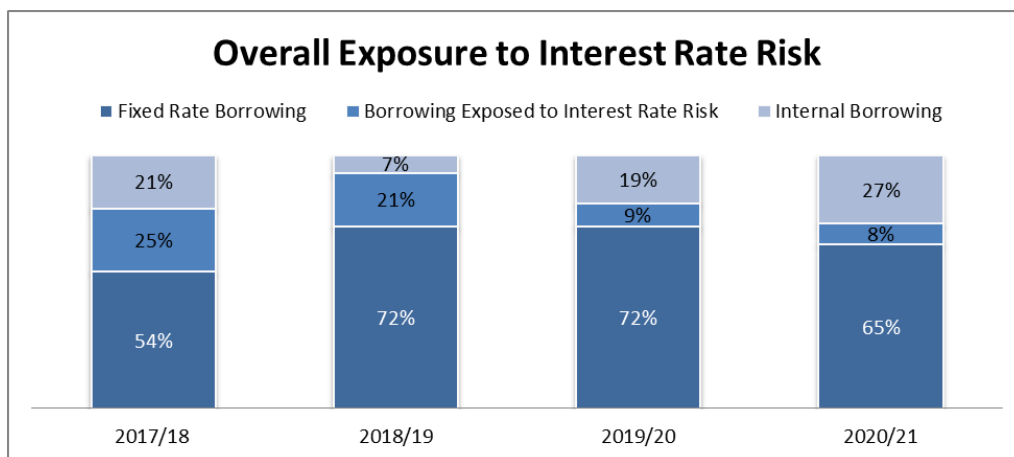
|   | Estimate (£M)  |
|---|----------------|
| Planned Capital Investment (Net of Amounts Set Aside to Repay Debt) | 98.986         |
| Maturing Loans  | 150.637        |
| Use of Reserves   | 110.811        |
| Loans Secured In Year / Yet to be Drawn Down                        | (180.000)      |
| <b>External Borrowing Requirement</b>                               | <b>180.434</b> |

5.9 This table excludes loans with an uncertain maturity date (for instance the Council's LOBOs) which amount to £59M. If interest rates were to increase suddenly, replacing this debt would come at an additional cost, although the likelihood of these loans being recalled is considered to be fairly low.

5.10 The chart below shows the Council’s projected interest rate risk exposure between 2017/18 and 2020/21, assessed against its variable rate PWLB loans, temporary borrowing and LOBOs. This is already within the target set of 25% and is expected to reduce further in 2019/20 as the Council’s variable rate PWLB loans mature:



5.11 The chart below shows the Council’s projected interest rate risk exposure including any internal borrowing. This is currently within the target set of 35% however is expected to increase from 2019/20 in line with the Council’s future financing requirement and maturing loans:



5.12 The Council’s Borrowing Strategy is based on de-risking the Council’s position in relation to interest rate risk. In order to continue this approach, the Council’s 2019/20 Borrowing Strategy has lowered the targets for the above two indicators to the following:-

- Borrowing exposed to interest rate risk <15%
- Overall exposure to interest rate risk <30%

5.14 The Council's borrowing strategy considers several options to address its risk exposure including the following:

- **Fixed-rate borrowing from the PWLB** - whilst rates are still relatively low this continues to be a suitable option for the Council to consider. The Council has borrowed £140M from the PWLB during the year to date at an average rate of 2.60%.
- **Further deferred loans** - these allow the Council to borrow at a fixed rate - typically 0.15-0.20% above PWLB - and draw down the cash up to 4 years in advance, thus protecting the Council from any sudden interest rate rises whilst reducing cost of carry and counterparty risk. The Council has secured £40M to date and will continue to work with its advisors in order to identify any other potential lenders.
- **Loans from other local authorities** - the Council could look to replace some maturing debt with longer-term loans from other local authorities, which would help to spread refinancing risk.

5.15 Other options being considered in support of the borrowing strategy include:

- **LOBO refinancing** - Officers have recently taken an opportunity to refinance one of its LOBOs which has reduced the Council's exposure to interest rate risk whilst resulting in a small annual saving on its capital financing costs. Officers will continue to explore any opportunities to repay / re-negotiate its remaining LOBOs.
- **BSF refinancing** – the Council continues to refinance the Building Schools for the Future PFI programme in conjunction with the Local Education Partnership. This process will create additional savings for the Council as well as key partners which have already been factored into the Council's MTFs. Refinancing has already been completed for phases 1 and 2 and it was envisaged that phase 3 would be complete by the end of this financial year. However the process has been delayed because the LEP do not consider it has been the optimum time to achieve the desired level of savings mainly because of the impact of Brexit negotiations. A revised timeline will be established as soon as the position on Brexit has been clarified.

## 6. Investment Activity

### Highlights:

- *The Council's investments increased by £77M during the quarter, predominantly a result of the borrowing undertaken from the PWLB;*
- *Officers continued to prioritise security and liquidity in line with the approved strategy, however the majority of new investments were short term deposits;*
- *Officers continued to take advantage of the competitive rates offered by other local authorities.*

### Movement on Investments

6.1 As outlined below, the Council's investments increased by £77M during the quarter, predominantly a result of the borrowing undertaken from the PWLB:

| Source                                       | Balance on 30/09/2018 (£M) | New Investments (£M) | Redeemed Investments (£M) | Balance on 31/12/2018 (£M) | Net Increase / (Decrease) (£M) |
|--|----------------------------|----------------------|---------------------------|----------------------------|--------------------------------|
| Short Term Investments                       | 68.000                     | 157.500              | (66.000)                  | 159.500                    | 91.500                         |
| Money Market Funds / Instant Access Accounts | 35.500                     | 146.900              | (161.900)                 | 20.500                     | (15.000)                       |
| <b>Total Investments</b>                     | <b>103.500</b>             | <b>304.400</b>       | <b>(227.900)</b>          | <b>180.000</b>             | <b>76.500</b>                  |

6.2 Officers continued to prioritise security and liquidity in line with the approved strategy, however the majority of new investments were short term deposits, recognising that the borrowing undertaken from the PWLB will not be expended immediately.

6.3 Officers continued to take advantage of the competitive rates offered by other local authorities, which helps to boost returns whilst preserving the capital invested.

### Future Investment Strategy

6.4 As referred to in section 5, the Council has recently fixed out a large portion of its external borrowing requirement - specifically to de-risk the Glassworks Development - and plans to reduce this requirement further in light of the increasing interest rate volatility. Cash balances are therefore expected to reach £200M before ultimately being spent on planned capital investment.

6.5 The current strategy was unsuitable for managing this scale of investment and therefore on the advice of officers, the Council approved several changes to its counterparty limits in November to ensure that it can securely accommodate increased cash balances going forwards. The Council will continue to invest its funds prudently in line with Government and CIPFA guidance. As such the increase in limits has been restricted to the securest products and institutions.

6.6 These changes have also been considered in view of several impending policy / regulatory changes, namely:-

**European Money Market Fund Reform** - this will see the Council's existing (non-government) Money Market Funds convert to a new LVNAV structure (Low Volatility Net Asset Value) by March 2019. The advice officers have received is that the changes will give investors added protection (compared to the existing funds in operation). As such, it is recommended that the organisation continues to invest in LVNAV funds and monitor the performance of these funds on a regular basis.

**IFRS9 Financial Instruments** - introduces a number of accounting changes that will apply to the 2018/19 accounts. As a result any potential losses on investment will need to be recognised in the Council's general fund, however based on the Council's existing portfolio, officers are not expecting the impact to be significant.

## **7. Performance Measurement / Compliance with Prudential and Treasury Limits**

7.1 The Council's Capital Financing budget is expected to underspend by around £1.5M in year through postponing borrowing and taking advantage of low cost temporary loans. However, as set out in the body of this report, the Authority is increasingly fixing out its borrowing in light of the anticipated interest rate rises, therefore these savings are one-off in nature.

7.2 During the quarter, the Council has operated within the prudential and treasury indicators set out in the agreed strategy and in compliance with its Management Practices (see Appendix 1 for more details).

## **8. Background Papers**

- Treasury Management Strategy and Policy Statement (Cab.7.2.2018/7)

**APPENDIX 1 - PRUDENTIAL AND TREASURY INDICATORS AS AT 31/12/2018**

| <b>Prudential Indicators</b>                         | <b>Limit for 2018/19 (£M)</b> | <b>Quarter 3 Actual (£M)</b> | <b>Compliance with Indicator?</b> |
|--|-------------------------------|------------------------------|-----------------------------------|
| <b>Average Debt to Operational Boundary</b>          | 967.276                       | 881.164                      | Yes                               |
| <b>Maximum Debt to Authorised Limit</b>              | 997.276                       | 910.663                      | Yes                               |
| <b>Capital Financing Requirement to HRA Debt Cap</b> | 301.000                       | 277.096                      | Yes                               |

| <b>Maturity structure of GF borrowing</b> | <b>Lower Limit (%)</b> | <b>Upper Limit (%)</b> | <b>Quarter 3 Actual (£M)</b> | <b>Quarter 3 Actual (%)</b> | <b>Compliance with Indicator?</b> |
|---|------------------------|------------------------|------------------------------|-----------------------------|-----------------------------------|
| <b>Under 12 months</b>                    | 0                      | 50                     | 39.492                       | 10                          | Yes                               |
| <b>12 months to 2 years</b>               | 0                      | 25                     | 36.033                       | 9                           | Yes                               |
| <b>2 years to 5 years</b>                 | 0                      | 25                     | 30.962                       | 7                           | Yes                               |
| <b>5 years to 10 years</b>                | 0                      | 25                     | 14.075                       | 3                           | Yes                               |
| <b>10 years to 20 years</b>               | 0                      | 75                     | 10.611                       | 3                           | Yes                               |
| <b>20 years to 30 years</b>               | 0                      | 75                     | 23.808                       | 6                           | Yes                               |
| <b>30 years to 40 years</b>               | 0                      | 75                     | 88.180                       | 21                          | Yes                               |
| <b>40 years to 50 years</b>               | 0                      | 75                     | 171.715                      | 41                          | Yes                               |

| <b>Maturity structure of HRA borrowing</b> | <b>Lower Limit (%)</b> | <b>Upper Limit (%)</b> | <b>Quarter 3 Actual (£M)</b> | <b>Quarter 3 Actual (%)</b> | <b>Compliance with Indicator?</b> |
|--|------------------------|------------------------|------------------------------|-----------------------------|-----------------------------------|
| <b>Under 12 months</b>                     | 0                      | 25                     | 31.945                       | 13                          | Yes                               |
| <b>12 months to 2 years</b>                | 0                      | 25                     | 19.338                       | 8                           | Yes                               |
| <b>2 years to 5 years</b>                  | 0                      | 25                     | 14.564                       | 6                           | Yes                               |
| <b>5 years to 10 years</b>                 | 0                      | 25                     | 18.536                       | 7                           | Yes                               |
| <b>10 years to 20 years</b>                | 0                      | 75                     | 8.571                        | 3                           | Yes                               |
| <b>20 years to 30 years</b>                | 0                      | 75                     | 31.712                       | 12                          | Yes                               |
| <b>30 years to 40 years</b>                | 0                      | 75                     | 104.220                      | 41                          | Yes                               |
| <b>40 years to 50 years</b>                | 0                      | 75                     | 24.315                       | 10                          | Yes                               |

| Treasury Indicators  | Limit for 2018/19 (%)  | Quarter 3 Actual (%)  | Compliance with Indicator? |
|--|------------------------|-----------------------|----------------------------|
| <b>GF</b>  |                        |                       |                            |
| Upper limit of fixed interest rates based on gross debt    | 90                     | 88                    | Yes                        |
| Upper limit of variable interest rates based on gross debt | 25                     | 12                    | Yes                        |
| <b>HRA</b>   |                        |                       |                            |
| Upper limit of fixed interest rates based on gross debt    | 100                    | 82                    | Yes                        |
| Upper limit of variable interest rates based on gross debt | 25                     | 18                    | Yes                        |
| <b>Investment Indicators</b>                               |                        |                       |                            |
|  | Limit for 2018/19 (£M) | Quarter 3 Actual (£M) | Compliance with Indicator? |
| Upper limit for principal sums invested over 365 days      | 20.000                 | -                     | Yes                        |

## APPENDIX 2 - ECONOMIC COMMENTARY FROM LINK ASSET SERVICES

The Council's treasury advisors, Link Asset Services have provided the following commentary on the economic:

| Link Asset Services Interest Rate View |        |        |        |        |        |        |        |        |        |        |        |        |        |
|--|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|
|  | Mar-19 | Jun-19 | Sep-19 | Dec-19 | Mar-20 | Jun-20 | Sep-20 | Dec-20 | Mar-21 | Jun-21 | Sep-21 | Dec-21 | Mar-22 |
| Bank Rate View                         | 0.75%  | 1.00%  | 1.00%  | 1.00%  | 1.25%  | 1.25%  | 1.25%  | 1.50%  | 1.50%  | 1.75%  | 1.75%  | 1.75%  | 2.00%  |
| 3 Month LIBID                          | 0.90%  | 1.00%  | 1.10%  | 1.20%  | 1.30%  | 1.40%  | 1.50%  | 1.50%  | 1.60%  | 1.70%  | 1.80%  | 1.90%  | 2.00%  |
| 6 Month LIBID                          | 1.00%  | 1.20%  | 1.30%  | 1.40%  | 1.50%  | 1.60%  | 1.70%  | 1.70%  | 1.80%  | 1.90%  | 2.00%  | 2.10%  | 2.20%  |
| 12 Month LIBID                         | 1.20%  | 1.30%  | 1.40%  | 1.50%  | 1.60%  | 1.70%  | 1.80%  | 1.90%  | 2.00%  | 2.10%  | 2.20%  | 2.30%  | 2.40%  |
| 5yr PWLB Rate                          | 2.10%  | 2.20%  | 2.20%  | 2.30%  | 2.30%  | 2.40%  | 2.50%  | 2.50%  | 2.60%  | 2.60%  | 2.70%  | 2.80%  | 2.80%  |
| 10yr PWLB Rate                         | 2.50%  | 2.60%  | 2.60%  | 2.70%  | 2.80%  | 2.90%  | 2.90%  | 3.00%  | 3.00%  | 3.10%  | 3.10%  | 3.20%  | 3.20%  |
| 25yr PWLB Rate                         | 2.90%  | 3.00%  | 3.10%  | 3.10%  | 3.20%  | 3.30%  | 3.30%  | 3.40%  | 3.40%  | 3.50%  | 3.50%  | 3.60%  | 3.60%  |
| 50yr PWLB Rate                         | 2.70%  | 2.80%  | 2.90%  | 2.90%  | 3.00%  | 3.10%  | 3.10%  | 3.20%  | 3.20%  | 3.30%  | 3.30%  | 3.40%  | 3.40%  |

The flow of generally positive economic statistics after the quarter ended 30 June 2018 meant that it came as no surprise that the MPC came to a decision on 2 August to make the first increase in Bank Rate above 0.5% since the financial crash, from 0.5% to 0.75%. Growth became increasingly strong during 2018 until slowing significantly during the last quarter.

At their November quarterly Inflation Report meeting, the MPC left Bank Rate unchanged, but expressed some concern at the Chancellor's fiscal stimulus in his Budget, which could increase inflationary pressures. However, it is unlikely that the MPC would increase Bank Rate in February 2019, ahead of the deadline in March for Brexit. On a major assumption that Parliament and the EU agree a Brexit deal in the first quarter of 2019, then the next increase in Bank Rate is forecast to be in May 2019, followed by increases in February and November 2020, before ending up at 2.0% in February 2022.

The overall longer run future trend is for gilt yields, and consequently PWLB rates, to rise, albeit gently. However, over about the last 25 years, we have been through a period of falling bond yields as inflation subsided to, and then stabilised at, much lower levels than before, and supported by central banks implementing substantial quantitative easing purchases of government and other debt after the financial crash of 2008.

Quantitative easing, conversely, also caused a rise in equity values as investors searched for higher returns and purchased riskier assets. In 2016, we saw the start of a reversal of this trend with a sharp rise in bond yields after the US Presidential election in November 2016, with yields then rising further as a result of the big increase in the US government deficit aimed at stimulating even stronger economic growth.



That policy change also created concerns around a significant rise in inflationary pressures in an economy which was already running at remarkably low levels of unemployment. Unsurprisingly, the Fed has continued on its series of robust responses to combat its perception of rising inflationary pressures by repeatedly increasing the Fed rate to reach 2.25 – 2.50% in December 2018. It has also continued its policy of not fully reinvesting proceeds from bonds that it holds as a result of quantitative easing, when they mature.

We therefore saw US 10 year bond Treasury yields rise above 3.2% during October 2018 and also investors causing a sharp fall in equity prices as they sold out of holding riskier assets. However, by early January 2019, US 10 year bond yields had fallen back considerably on fears that the Fed was being too aggressive in raising interest rates and was going to cause a recession. Equity prices have been very volatile on alternating good and bad news during this period.

From time to time, gilt yields, and therefore PWLB rates, can be subject to exceptional levels of volatility due to geo-political, sovereign debt crisis, emerging market developments and sharp changes in investor sentiment. Such volatility could occur at any time during the forecast period.

Economic and interest rate forecasting remains difficult with so many external influences weighing on the UK. The above forecasts, (and MPC decisions), will be liable to further amendment depending on how economic data and developments in financial markets transpire over the next year. Geopolitical developments, especially in the EU, could also have a major impact. Forecasts for average investment earnings beyond the three-year time horizon will be heavily dependent on economic and political developments.

### **Investment and borrowing rates**

- Investment returns are likely to remain low during 2019/20 but to be on a gently rising trend over the next few year;
- Borrowing interest rates have been volatile so far in 2018-19 and while they were on a rising trend during the first half of the year, they have backtracked since then until early January. The policy of avoiding new borrowing by running down spare cash balances has served well over the last few years. However, this needs to be carefully reviewed to avoid incurring higher borrowing costs in the future when authorities may not be able to avoid new borrowing to finance capital expenditure and/or the refinancing of maturing debt;
- There will remain a cost of carry, (the difference between higher borrowing costs and lower investment returns), to any new long-term borrowing that causes a temporary increase in cash balances as this position will, most likely, incur a revenue cost.

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**BARNSELEY METROPOLITAN BOROUGH COUNCIL**

**This matter is not a Key Decision within the Council's definition and has not been included in the relevant Forward Plan**

**REPORT OF THE EXECUTIVE DIRECTOR CORE SERVICES**

**REVISION TO THE DISCIPLINARY PROCEDURE**

**1. PURPOSE OF REPORT**

1.1 The purpose of this report is to seek approval to implement revisions to the existing Disciplinary Procedure.

**2. RECOMMENDATIONS**

**2.1 It is recommended that Cabinet approve the revised Disciplinary Procedure.**

**3. INTRODUCTION**

3.1 When an employer disciplines or dismisses an employee, they are legally required to follow established disciplinary and dismissal procedures which are fair and consistent.

3.2 The Council currently has in place a Disciplinary Procedure but it is intermittently updated as a result of factors such as guidance from ACAS, lessons learned during the disciplinary process and case law in respect of decisions made at Employment Tribunals.

**4. PROPOSAL AND JUSTIFICATION**

4.1 It is proposed to implement the revised Disciplinary Procedure with immediate effect.

4.2 The main revisions to the procedure are:-

- The procedure now provides a Link to investigation guidance (which is provided to investigating officers/managers and covers all types of investigations).
- The role of investigator and manager has been clarified.
- For the panel conducting the disciplinary meeting – the need for a senior manager to be a Head of Service/Service Director or Executive Director has been replaced with “Appropriate Manager”. The only exception to this is where dismissal is a potential outcome or the allegations are of a complex nature.

4.3 Agreement to this report will assist and support managers, employees and trade unions to deal with disciplinary matters in a lawful, fair, consistent and timely manner, therefore minimising any negative impact on the Council and potential employment tribunal claims.

## **5. CONSIDERATION OF ALTERNATIVE APPROACHES**

5.1 The alternative to the implementation of this revised procedure is to continue with the current Disciplinary procedure, which could prevent disciplinary issues being dealt with in a fair and timely manner.

## **6. IMPLICATIONS FOR LOCAL PEOPLE/SERVICE USERS**

6.1 The implementation of this revised procedure provides the framework to ensure that the Council deals with disciplinary matters, therefore assisting the Council to function efficiently and effectively.

## **7. FINANCIAL IMPLICATIONS**

7.1 There are no direct financial implications arising from this report.

## **8. EMPLOYEE IMPLICATIONS**

8.1 By implementing the revised procedure employees will be dealt in a lawful, fair, consistent and timely manner.

## **9. LEGAL IMPLICATIONS**

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

## **10. CUSTOMER AND DIGITAL IMPLICATIONS**

10.1 There are no direct implications arising from this report.

## **11. COMMUNICATIONS IMPLICATIONS**

11.1 The procedure will be displayed on the HR Intranet and the changes will be detailed in an article in Straight Talk.

11.2 For employees who do not have access to e-mail / intranet facilities, managers will be responsible for communicating this information to their teams.

11.3 Human Resources Business Partners and Advisors will be available to provide advice to employees / managers / head teachers / members.

11.4 The existing POD course will be updated and a bitesize training / briefing session developed to ensure managers / head teachers are aware of the policy and to ensure it is implemented fairly and consistently.

## **12. CONSULTATIONS**

- 12.1 The trade unions have been consulted and are in agreement to the proposed changes.
- 12.2 HR and Legal colleagues have also been consulted and had their input into the proposed changes.

## **13. THE CORPORATE PLAN AND THE COUNCIL'S PERFORMANCE MANAGEMENT FRAMEWORK**

- 13.1 No direct implications arising from this report.

## **14. PROMOTING EQUALITY, DIVERSITY AND SOCIAL INCLUSION**

- 14.1 The implications for employees as a result of this revised procedure have been considered and all employees will be equally affected by the implementation of this policy.

## **15. RISK MANAGEMENT ISSUES**

- 15.1 The risk of employment claims being made against the Council through the Employment Tribunal system will be minimised by the introduction of this revised procedure.

## **16. HEALTH, SAFETY AND EMERGENCY RESILIENCE ISSUES**

- 16.1 Risks to the Council are minimised as employees and managers have a procedure they can refer to and follow to ensure disciplinary issues are dealt with appropriately.

## **17. COMPATIBILITY WITH THE EUROPEAN CONVENTION ON HUMAN RIGHTS**

- 17.1 This procedure is compatible with the European Convention on Human Rights.

## **18. LIST OF APPENDICES**

Appendix 1 –Disciplinary Procedure

**Report author:** Alison Brown, Service Director – Human Resources

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**DISCIPLINARY PROCEDURE**

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1.0 **PURPOSE AND SCOPE**

- 1.1 This procedure is designed to help and encourage all employees to achieve and maintain acceptable standards of conduct. The aim is to ensure consistent and fair treatment for all. This procedure applies to all BMBC employees including those employed in locally managed schools where the Governing Body has adopted the policy.
- 1.2 The procedure should only be used in connection with the potential misconduct of employees. It should not be used for issues relating to performance in employment, general probationary period issues, or short or long term attendance (which are covered by separate provisions).
- 1.3 The Managers Guidance Pack contains a suite of model letters and is best practice guidance for illustrative purposes to support managers through the process.
- 

2.0 **KEY PRINCIPLES**

- 2.1 All disciplinary investigations and meetings should be carried out as quickly as possible in order to avoid unnecessary delay. Please see Appendix B - Disciplinary Procedure FAQ's and Appendix C - Disciplinary Flowchart for guidance on the disciplinary process.
- 2.2 An employee is entitled to be accompanied throughout the process at each formal meeting by a work colleague or designated Trade Union/Professional Association Official. However, this right does not extend to friends/family or professional persons such as solicitors and barristers.
- 2.3 The procedure may also apply to conduct outside of the workplace, including but not limited to criminal charges, cautions or convictions where the conduct may have a bearing on the individual's employment. Reference should be made to Section 3 of the [Council's Code of Conduct](#).
- 2.4 If the employee concerned is a Trade Union representative the case should be discussed with the Trade Union's full time Convenor after obtaining the employees agreement. In the case of a Convenor the matter should be discussed with a Regional Officer.
- 2.5 All safeguarding incidents will be investigated. If an employee resigns / retires during the investigation then as a minimum the investigation will be concluded. Advice should be sought from the HR Business Partner regarding any safeguarding allegations.
- 

3.0 **SCHOOL BASED EMPLOYEES – THE ROLE OF THE GOVERNING BODY (SCHOOL STAFFING (ENGLAND) REGULATIONS 2009)**

- 3.1 The Governing Body has overall responsibility for staff dismissals in its school. With the exception of the dismissal of the Headteacher, where different arrangements apply, it may in accordance with the Staffing Regulations 2009, delegate these responsibilities to the Headteacher, an individual Governor, or a group of Governors with or without the Headteacher. It should be noted however, that any Governor or Headteacher hearing the case must have had no previous involvement in the process.
- 3.2 In the case of potential misconduct of the Headteacher, the Chair of Governors takes on the role of Manager as referred to throughout the procedure. The decision to dismiss a Headteacher should be taken at a disciplinary meeting of at least 3 Governors unless there are not enough Governors who have not formally been involved in any process. In this case



2 Governors may hold a disciplinary meeting and issue an appropriate disciplinary penalty which could include dismissal.

3.3 The Governing Body should ensure that all employees have the right to appeal at any of the formal stages to a panel of at least 3 Governors who have not been involved in any previous action or decision connected with the Disciplinary Procedure. Where there are not enough Governors available the appeal may be heard by 2 Governors. Where applicable there should be an equal number of Governors on disciplinary meetings and appeal meetings.

3.4 The absolute requirement under the staffing regulations is for the dismissal determinations to be delegated to the Headteacher or 1 or more Governors, but appeals against an initial determination should be delegated to at least 2 Governors as provided above.

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### 4.0 **DISCIPLINARY PROCEEDINGS IN RELATION TO STATUTORY OFFICERS**

4.1 The Local Government Act 2000 established statutory protections for the three statutory posts of Head of Paid Service, Chief Finance Officer (often referred to as the Section 151 Officer) and Monitoring Officer. The following process would need to be followed in the event of disciplinary proceedings in relation to the above three Officers:-

- Appointment of an investigator to undertake an investigation and report to the Panel; (due to the relationship between the Council and those Officer, to ensure fairness and an independent investigation it may be appropriate to appoint an external person to carry out the investigation);
- Establishment of Disciplinary Panel including at least two Independent Persons, who will act as advisors and who are defined as persons appointed under section 28(7) of the Localism Act 2011;
- Consideration by the Panel of any views of the External Independent Investigator
- In the event that the proposed course of action would be dismissal a further recommendations to full Council to that effect;
- Consideration by Full Council. The dismissal would have to be approved by way of a vote.

4.2 Consideration by Full Council would represent an appeal against dismissal and would address the procedural requirements under the ACAS Code of Practice.

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### 5.0 **ASSESSMENT OF THE INITIAL ALLEGATION**

5.1 When the initial allegation arises, and the Manager/Headteacher considers that the employee's conduct may justify disciplinary proceedings, it is recommended that they obtain an overview of the situation promptly so that a decision can be made on whether to proceed to a formal investigation or deal with the matter informally. This may involve:

- Speaking to the employee concerned.
- Speaking to any witnesses.
- Ensuring vital corroborative evidence is secured e.g. computer evidence, statements, documentary evidence etc wherever possible.

5.2 Following this initial investigation the Manager/Headteacher should determine the appropriate course of action which could include:-

- The allegation is unfounded and no further action is required.
- The allegation is minor and as such should be dealt with through Informal Action, as outlined at Section 6.
- An investigation, as outlined in the Formal Action Section 8.
- The allegation is vexatious or malicious and requires further investigation which may

result in disciplinary action against the complainant.

5.3 The Manager/Headteacher may determine that the alleged misconduct relates to safeguarding of children or involves vulnerable adults. In such cases:

- The relevant guidance for dealing with such matters must be followed e.g. *Protection of Vulnerable Adults*, Child Safeguarding Procedures and immediate referrals made.
- Issues relating to child safety must be discussed with a Senior Manager/Headteacher and the Local Authority Designated Officer in accordance with 'Barnsley Safeguarding Children's Board Procedures and the DfE's Dealing with Allegations of Abuse against Teachers and other Staff - Guidance for Local Authorities, Headteachers, School Staff, Governing Bodies and Proprietors of Independent Schools.
- All issues related to Adult Safeguarding must be referred to the designated Service Manager.

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## 6.0 **INFORMAL ACTION**

6.1 In the majority of cases an informal conversation between the Manager/Headteacher and the employee maybe all that is needed. The employee has the right to be accompanied (see Section 2.2 for guidance). The employee will need to be advised that if misconduct is repeated, formal action will be instigated. This meeting must be minuted and a copy of the notes kept on the employee's personal file. It is recommended that a letter should be sent to the employee including the agreed action points where appropriate, details of any support/training required, the standards of behaviour and improvements expected and the consequences of a repetition of the behaviour. Informal action should not be substituted for an employee accepting a formal sanction (or vice versa).

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## 7.0 **MEDIATION**

7.1 In some cases the Manager/Headteacher may consider that mediation is an appropriate tool to assist in resolving minor disciplinary issues. Mediation is a voluntary process where the independent mediator helps two or more people in dispute to reach an agreement.

7.2 Mediation can be particularly effective when used to deal with allegations of minor misconduct that are being dealt with at the informal action stage or before matters escalate.

7.3 Further guidance about the mediation process and how it can be accessed can be found in the Council's [Mediation Policy](#).

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## 8.0 **FORMAL ACTION**

8.1 Following the initial assessment the Manager/Headteacher may determine that the allegation is of a more serious nature or potential gross misconduct and that progression to formal action is required. In such cases it is recommended that an immediate investigation is undertaken to establish the circumstances and facts surrounding the alleged misconduct. In cases where there is potential gross misconduct, suspension should be considered. Further information regarding what constitutes misconduct/gross misconduct can be found at Appendix A.

8.2 Where external agencies are involved in the investigation the Investigator should ensure that appropriate timescales are agreed at the onset of the investigation.

8.3 If the allegation is of a serious nature it may be necessary to suspend the employee/s from work. Suspension of an employee should only be in exceptional cases where there is

evidence that there is a real risk the employee will interfere with the investigation or there is a real risk the employee's presence during the investigation will damage the Council's business interests (Guidance for managers regarding the Suspension process can be found in the Managers Guidance Pack).

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### 9.0 **INVESTIGATION**

- 9.1 It is important that the investigation is carried out without delay. An Investigator will be appointed to undertake the investigation and he/she should be of an appropriate managerial level and have had no prior involvement in the case. The Investigator must not be an individual who is named in the allegation. The remit of the manager undertaking the investigation is to ascertain the appropriate evidence whilst maintaining an unbiased position. This usually requires the holding of investigatory meetings with the employee and where appropriate witnesses. Further guidance on how to undertake an independent investigation can be found in the Investigations Guidance.
- 9.2 At the conclusion of the investigation the Investigator should carry out an assessment of the evidence obtained and assess whether it does support the allegations and that a breach of the Council's Disciplinary Procedures has potentially occurred.
- 9.3 If it is determined that the facts of the case do evidence a potential breach of the Council's procedures and the matter cannot be dealt with informally then a formal disciplinary meeting should be arranged (Section 13).
- 

### 10.0 **SICKNESS ABSENCE**

- 10.1 If the employee becomes unfit for work during the disciplinary process it is recommended that the Manager and/or Investigator refers the employee immediately to the Occupational Health Service to ascertain their fitness to participate in both the investigation process and if appropriate a disciplinary meeting,
- 10.2 If the employee is deemed unfit to participate in the disciplinary process for a prolonged period (defined as 4 weeks or more or is expected to be absence for more than 4 weeks) or if the employee fails to attend Occupational Health and they are unable to confirm their fitness to participate in the process, a disciplinary meeting may go ahead in their absence and a decision made on the basis of the available evidence. Each case should be judged on its own merits. The employee will still retain the right to be represented at the meeting and would be provided with an opportunity to submit their written representation.
- 10.3 If the employee is unhappy with the outcome of the disciplinary meeting they will have the opportunity to address this perceived inequality at a Disciplinary Appeal Meeting.
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### 11.0 **RAISING A GRIEVANCE DURING THE DISCIPLINARY PROCESS**

- 11.1 During the course of a disciplinary process an employee may raise a grievance. Where the grievance is related to the disciplinary case then it is appropriate that both matters are dealt with at the same time i.e. at one meeting. However it is advisable that another manager is allocated responsibility for investigating the grievance aspects of the case.
- 11.2 In instances where the grievance has no relationship to the disciplinary matter then both procedures may be dealt with concurrently.
-

- 12.0 **DISCIPLINARY ACTION OUTSIDE OF THE FORMAL DISCIPLINARY MEETING – HOLDING OF A DISCIPLINARY SANCTION MEETING AS AN ALTERNATIVE TO FULL DISCIPLINARY MEETING**
- 12.1 In circumstances where an employee admits to the alleged misconduct during the Manager’s initial fact finding investigation (Section 5) the manager can inform the employee of the option of accepting a **Written Warning** (for a period of between 6 and 12 months as outlined in Section 15) as an alternative to proceeding to a formal Disciplinary Meeting (Section 14). This acceptance of a sanction is then confirmed in a **Disciplinary Sanction Meeting**. The Investigator may also recommend this process to the Manager and should the Manager agree, he/she can adopt this alternative process.
- 12.2 The acceptance of the Written Warning under Section 12 of this policy will negate the requirement for a full investigation (Section 9) and full disciplinary meeting (Section 14) which can save a considerable amount of time and stress for all parties concerned.
- 12.3 The holding of a Disciplinary Sanction Meeting is NOT appropriate if the type of misconduct (See Appendix A for examples of misconduct) if proven, is of such a serious nature that it could likely result in a Final Written Warning or the employees Dismissal. Should this be the case, a formal Disciplinary Meeting must be convened in line with Sections 13 and 14 of this policy
- 12.4 The holding of a Disciplinary Sanction Meeting is therefore only appropriate where:-
- The allegation(s) is serious enough to be dealt with under Formal Action (Section 8) but is not considered to be Gross Misconduct (Dismissal) or misconduct that could result in a Final Written Warning **AND**
  - The employee admits to the alleged disciplinary offence during the fact finding investigation **AND**
  - The employee is prepared to accept a formal sanction of a Written Warning as an alternative to progressing the case to a full disciplinary meeting (Section 14).
- 12.5 Where the employee **does not admit** to the alleged offence during the fact finding investigation and the full investigation (Section 9), the matter must progress onto a full Disciplinary Meeting (Section 14) in the usual manner.
- 12.6 Where the employee does admit to the alleged offence during the fact finding investigation (Section 5) and is prepared to accept the Written Warning then arrangements must be made to hold a Disciplinary Sanction Meeting without undue delay.
- 12.7 The Manager will be required to organise the Disciplinary Sanction Meeting and formally invite (in writing) the employee to attend and will be expected to present a summary of the findings and recommendations (eg any training needs identified) to the assembled parties.
- 12.8 The notification to attend a Disciplinary Sanction Meeting must contain sufficient information about the alleged misconduct and acknowledge the employee’s admittance to the disciplinary offence which is being dealt with under Section 12; the suggested timescale for the Written Warning (6 – 12 months); the date/time of the meeting; who will be in attendance and a reminder about the right to representation.
- 12.9 The Disciplinary Sanction Meeting will include the fact finding Manager and/or the Investigator who will present their findings, the Service Manager (or Service Director) the employee concerned and their representative (if applicable).
- 12.10 During the Disciplinary Sanction Meeting, once the fact finding Manager and/or the Investigator has presented a summary of their findings, the employee/employee’s

representative will be given the opportunity to comment/question any facts with regard to what has been presented.

- 12.11 The Service Manager (or Service Director), after hearing the particulars of the case will confirm the Disciplinary Sanction and timescale attached to the Written Warning at the conclusion of the meeting.

The outcome must also be confirmed in writing by the Service Manager (or Service Director) within 5 working days. NB Where there is agreement at the Disciplinary Sanction Meeting by all parties involved, the outcome letter can be compiled/issued by the fact finding manager.

- 12.12 The outcome letter must include; the date of the meeting; those present, and in what capacity; the facts of the case/information presented; the process that was followed; the acceptance by the employee of the disciplinary misconduct; and details relating to the disciplinary sanction (including timescales of the Written Warning) along with any recommendations that were discussed at the meeting e.g. training.

- 12.13 The employee concerned will be required to sign and return a copy of the outcome letter to the fact finding Manager/Service Manager (as appropriate) to record their acceptance of the Written Warning including any recommendations e.g. training that were discussed at the Disciplinary Sanction Meeting.

- 12.14 A copy of the outcome letter must be retained on the employee's personal file and the Policy Monitoring Form completed/submitted by the fact finding manager to enable the disciplinary sanction to be recorded against the employee's SAP record.

- 12.15 Once the disciplinary sanction has been served, it will be disregarded for disciplinary purposes after the stipulated timescale; however, it will remain on the employee's personal file as detailed in the Council's Personal File – retention schedule, as a record of events/employment history.

- 12.16 It should be noted that there will be **no right of appeal** against a disciplinary sanction of a Written Warning issued as a result of following Section 12 of the Councils Disciplinary Procedure.

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### 13.0 **INITIATING THE DISCIPLINARY MEETING**

- 13.1 If there is evidence that there is a disciplinary case to answer the Manager and/or Investigator must:

- Notify the employee in writing, this notification should contain sufficient information about the alleged misconduct and its possible consequences to enable the employee to prepare to answer the case at a disciplinary meeting.
- Send the employee all the documentation they intend to refer to during the meeting, along with an overview of the case. These will be provided to the employee/representative not less than 10 working days in advance of the date of the meeting.

- 13.2 The employee/representative must also provide the Manager and/or Investigator and panel members with copies of all the documents which the employee intends to rely on together with an overview of their case no less than 5 working days in advance of the date of the meeting. In exceptional cases i.e. where the case is complex and requires detailed analysis of evidence then a maximum of 10 days, however this should be agreed in advance and dates of any subsequent meetings take account of this extended timescale.

- 13.3 If the employee's representative is unable to attend on the specified date, the employee may request that the meeting be postponed. They may then offer a reasonable alternative date usually within 5 working days of the original date. This will only be accommodated once.

In normal circumstances the Panel conducting the Disciplinary Meeting should consist of:

- 13.4
- An appropriate Manager. For meetings where dismissal is a potential outcome or the allegations are of a complex nature this should be Head of Service or above and a Human Resources Advisor should also be available to advise the panel.
  - Schools - The Headteacher or appropriate Panel Governors who have been delegated this function in accordance with the School Staffing Regulations 2009 (refer to Section 3).

- 13.5 The panel must consist of individuals who have not been involved in the investigation and are impartial to the process.
- 

#### 14.0 **THE DISCIPLINARY MEETING**

- 14.1 A recommended protocol for use at the disciplinary meeting is at Appendix E (i).

- 14.2 It is expected that all internal witnesses attend the meeting to be questioned. However, in some circumstances it may be impracticable or unacceptable for the witness to be present at the meeting and in which case a copy of the signed written statement may be provided. Where witnesses are unable to attend the disciplinary meeting the circumstances for their non attendance should be assessed and other methods may be utilised to ensure their evidence is heard i.e. written questions, video links etc. These alternative methods should be discussed on a case by case basis with the HR Business Partner/HR Provider. Witnesses can be accompanied but not represented by a Trade Union representative or Professional Association Representative or work colleague.

- 14.3 Where either internal or external witnesses do not attend for whatever reason, it is for the panel to determine the weight placed on the evidence presented in the witness statement.

- 14.4 It is expected that the Panel will fully consider the evidence and decide, on the balance of probabilities i.e. it is more probable than less probable that the employee committed the alleged misconduct, what disciplinary action, if any, will be taken. Section 15 provides guidance on the levels of penalties. However, it should be noted that the list of examples is not exhaustive and that the level of the penalty should be determined on an individual basis taking account of all the circumstances of the case including but not limited to the severity, circumstances, corroborative evidence, mitigation, etc.

- 14.5 The decision should normally be given verbally to the employee at the conclusion of the meeting and confirmed in writing, within 5 working days. However in exceptional circumstances it may be necessary to communicate the outcome in writing rather than verbally. All parties should be advised of any changes to the method of communication and extension to timescales at the closure of the meeting.
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#### 15.0 **LEVELS OF DISCIPLINARY PENALTIES**

- 15.1 If after all the evidence has been presented at the Disciplinary Meeting and following deliberations the Panel is satisfied that an employee's conduct is unsatisfactory; it should determine within the range of available penalties the appropriate action to be taken in the circumstances taking account of any mitigating circumstances and corroborative evidence.

- 15.2 Please note that no employee should be dismissed for a first breach of discipline except in
-

the case of Gross Misconduct.

15.3 The possible penalties that the Panel could consider at the conclusion of the meeting are:

***No Action***

In cases where it is concluded that misconduct has not occurred or where there is insufficient evidence on the balance of probabilities to conclude that misconduct has occurred.

***Written Warning***

Written Warnings are normally issued as a result of minor acts of misconduct or where there has been a repetition of an issue that has previously been dealt with under Informal Action. Depending upon the circumstances of the case the suggested length of the written warning should be a minimum of 6 months and no more than 12 months from the date of the meeting.

***Final Written Warning***

Where there has been a recurrence of misconduct which is subject to a Written Warning; an employee's conduct has not improved following a Written Warning; an employee subject to a Written Warning has committed a further unrelated act of misconduct or the misconduct is of a more serious nature, the employee may be issued with a Final Written Warning. Depending upon the circumstances of the case the suggested length of the final written warning should be a minimum of 12 months and no more than 24 months from the date of the meeting.

**Where an employee is in receipt of a current Final Written Warning and commits a further act of misconduct this may result in the dismissal of the employee on cumulative grounds (see below).**

Other possible penalties that could be considered are shown below; please note this list is not exhaustive.

***Downgrading/Transfers***

The disciplinary penalty of downgrading/transfer should only be considered where the Panel concludes that in the circumstances the dismissal of the employee is appropriate but there are mitigating factors which would support the downgrading/transfer of that employee as an alternative to dismissal. In addition to the employee being downgraded/transferred the panel should also consider issuing a Final Written Warning and where appropriate suggest training. In these circumstances the employee will then be paid the appropriate salary for the alternative post, the Protection of Earnings Policy or Teachers Safeguarding will not apply.

If the Panel wishes to consider this form of penalty then the meeting should be adjourned whilst advice is sort regarding the availability of an alternative post. If the employee has a permanent contract then only posts that are available and are on an established structure should be considered.

The meeting should be re-convened no more than 10 working days from the date of the original disciplinary meeting after the adjournment to confirm the penalty. The employee will be afforded the right of appeal against this penalty.

***Cumulative Dismissal***

Dismissal with notice may be considered in circumstances where the panel has determined that:

- there has been a recurrence of misconduct which is subject to a current Final Written Warning, or;
- an employee's conduct has not improved following the issuing of a Final Written Warning, or;
- an employee subject to a Written or Final Written Warning has committed a further unrelated act of misconduct,

The employee will be served with notice based on their contractual entitlement up to a maximum of 12 weeks. A payment in lieu of notice can be given and therefore the termination date would be from the date of the disciplinary outcome letter.

### ***Summary Dismissal***

Summary Dismissal is the dismissal of an employee without notice. This is appropriate in cases of gross misconduct or where the reputation of the Council/School will be severely compromised.

15.4

Copies of penalties, even when expired should be kept on the employee's personal file. It will be disregarded for disciplinary purposes after the stipulated timescale, however; it should remain on file as a record of events/employment history (as detailed in the Council's Personal File – Retention Schedule).

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## 16.0 **RIGHT OF APPEAL**

16.1 An employee who wishes to appeal against a disciplinary decision should inform the appropriate Chair of the Disciplinary Panel, setting out in writing the grounds for their appeal within 10 working days of receipt of the letter notifying them of the decision of the disciplinary panel. Arrangements should then be made for the Appeal Meeting.

16.2 For Non Schools employees, an appeal against a penalty, with the exception of Informal Action where there is no right of appeal, will be to the next level of Management. The only exception being a sanction issued by an Executive Director. In such cases the Executive Director of another Directorate/ Department should hear the appeal.

16.3 For Schools employees, the rights of the employee and the procedure for the convening the hearing of an appeal shall be the same as for the initial Disciplinary Meeting. Section 3 details the responsibilities of the Headteacher/Governors in respect of Appeal Meetings.

16.4 All employees shall have the right of appeal against a conduct dismissal, which shall be exercisable in accordance with the criteria set out in the procedure. All such appeals shall be heard by a panel of Officers consisting of the Executive Director – Core Services; Service Director - Human Resources & Business Support together with an Executive Director who has had no prior involvement with the appeal being considered. If this is not possible, another Officer (s) from the Barnsley Leadership Team will be appointed to the panel.

16.5 The Appeal will be conducted as a review of the first instance decision, having regard to matters set out in the grounds for appeal and any new evidence (if applicable) that has become available following the outcome of the original meeting. Both parties should address the panel summarising the key aspects of their case. The panel will have received and considered the statement of case and all witness statements from both parties submitted prior to the meeting. Witnesses will not normally be required to present evidence but should be available to be questioned should this be required.

The appeal shall normally be conducted in one day except in exceptional circumstances.



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- 16.6 It is recommended that the Manager and/or Investigator should make arrangements for the Appeal Meeting and inform the employee in writing, giving 10 working days notice, of the  
16.7 requirement to attend the Appeal Meeting.

A recommended protocol for use at the Appeal Meeting can be found at Appendix E (ii).

- 16.8 Where possible the decision will normally be given verbally to the employee at the  
16.9 conclusion of the meeting and confirmed in writing, within 5 working days. However it may be necessary to communicate the outcome in writing. All parties should be advised of any changes to the method of communication and extension to timescales at the closure of the meeting.

The Appeal Panel has authority to confirm, reduce, increase or revoke the original outcome.

16.10

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### 17.0 **MONITORING**

- 17.1 The relevant Cabinet Spokesperson should be provided with a quarterly report detailing the number of Officer Appeals, reasons for the appeal and outcomes.
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### 18.0 **COMPLETING THE DISCIPLINARY PROCESS**

On conclusion of the case:

- The Disciplinary Procedure Action Plan should be completed where appropriate in respect of all allegations of misconduct that are investigated. A template can be found at Appendix D
  - A copy of the Plan, when the actions are complete, should be placed on the employee personal file and a copy kept securely within the Service.
  - A [Policy Implementation Monitoring Form](#) should be completed and submitted to the Policy Monitoring (HR) Inbox. [Guidance notes](#) for completing the form are available.
  - The Manager and/or Investigator must ensure that all documents/evidence relating to the investigation is placed in a sealed envelope marked 'to be opened by Human Resources only' and should indicate that the contents relate to a disciplinary investigation and should be placed on the employee's personal file. Notify Professional Body e.g. HCPCC, where applicable.
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### 19.0 **EQUALITY AND DIVERSITY**

- 19.1 This policy has been impact assessed by Human Resources, if on reading this policy you feel there are any equality and diversity issues, please contact your Directorate Human Business Partner who will if necessary ensure the policy is reviewed.
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### 20.0 **INCOME TAX AND NATIONAL INSURANCE CONTRIBUTIONS**

- 20.1 There are no tax and National Insurance implications arising from this procedure.
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## HUMAN RESOURCES

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### Document Control

|                         |   |
|-------------------------|---|
| Implementation Date     | February 2019   |
| Author                  | Business Advisory Service AKB/ DN – legal services  |
| Revised/Updated         | January 2019  |
| Brief Reason for Change | Updated in line with changes to investigation guidance and ACAS guidance re suspensions. Removal of need for disciplinary meetings to be held by HOS and above. |
| Version Control         | Final 01 February 2019  |

### Appendix A

#### EXAMPLES OF MISCONDUCT

Barnsley Metropolitan Borough Council Policies and Procedures are designed to support the business and provide guidance to everyone working for the Council as to the standards and behaviour required. The following table gives examples of the type of conduct which **may** lead to dismissal (gross misconduct) and the types of conduct which **may** lead to disciplinary action (misconduct). However, it should be noted that this is not an exhaustive list and that the level of penalty will be determined on an individual basis taking account of the severity, circumstances and mitigating evidence.

| <b>Behaviour</b>   |   |
|--|---|
| <b>Gross Misconduct</b>  | <b>Misconduct</b>   |
| <ul style="list-style-type: none"> <li>Physical violence or bullying</li> <li>Incapacity brought on by alcohol, illegal drugs or misuse of prescription drugs (refer to Substance Misuse Policy)</li> <li>Substantial abuse of position and power</li> <li>Serious breach of the Dignity at Work Procedure</li> <li>Unlawful discrimination or harassment</li> <li>Bringing the Council into disrepute</li> </ul>  | <ul style="list-style-type: none"> <li>Failure to comply with a reasonable request</li> <li>Abusive, objectionable or insulting behaviour</li> <li>Foul or abusive language</li> <li>Disorderly conduct</li> <li>Unauthorised sleeping on the premises whilst on duty</li> <li>Unauthorised absence from place of work</li> <li>Displaying or circulating offensive material</li> <li>Abuse of position and power</li> <li>Breach of the Dignity at Work Procedure</li> </ul>   |
| <b>General Conduct at Work</b>   |   |
| <b>Gross Misconduct</b>  | <b>Misconduct</b>   |
| <ul style="list-style-type: none"> <li>Theft or fraud</li> <li>Deliberate or serious damage to Council property, facilities, equipment or products</li> <li>Deliberately accessing and circulating illegal, pornographic, offensive or obscene material.</li> <li>Serious breach of the Council's Code of Conduct</li> <li>Serious breach of the Council's Child Protection/Protection of Vulnerable Adult Procedures</li> <li>Cause loss, damage or injury through serious negligence</li> <li>Serious insubordination</li> <li>Serious breach of confidence</li> <li>Serious breach of the Information Security and Computer Usage Policy *</li> </ul> | <ul style="list-style-type: none"> <li>Allowing visitors on the premises without authorisation</li> <li>Unauthorised distribution of written or electronic material *</li> <li>Failure to return tools or equipment provided by the Council</li> <li>Deliberately accessing and storing illegal documents/ information</li> <li>Failure to comply with rules regarding use of Council vehicles</li> <li>Negligence, carelessness or recklessness which could result in damage or misuse of Council property, facilities, equipment or products *</li> <li>Undertaking work in conflict with the Council</li> <li>Breach of the Council's Code of Conduct</li> <li>Breach of the Information Security and Computer Usage Policy *</li> </ul> |
| <b>Health and Safety</b>   |   |
| <b>Gross Misconduct</b>  | <b>Misconduct</b>   |
| <ul style="list-style-type: none"> <li>A serious breach of Health and Safety rules</li> </ul>  | <ul style="list-style-type: none"> <li>Failure to observe health and safety</li> </ul>  |

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|   |  |
|---|--|
| <ul style="list-style-type: none"> <li>• Failure to disclose a medical condition either on appointment or upon diagnosis which may affect ability to undertake duties of the post resulting in a serious incident.</li> </ul> | <p>requirements</p> <ul style="list-style-type: none"> <li>• Neglect of safety standards</li> <li>• Failure to wear essential protective equipment</li> <li>• Failure to disclose a medical condition either on appointment or upon diagnosis which may affect ability to undertake the duties of the post.</li> </ul>   |
| <b>Absence and Timekeeping</b>  |  |
| Gross Misconduct  | Misconduct   |
| <ul style="list-style-type: none"> <li>• Deliberate falsification of records in an attempt to defraud the Council</li> <li>• Abuse of the Managing Attendance Procedure</li> </ul>  | <ul style="list-style-type: none"> <li>• Absence without authorisation</li> <li>• Failure to keep management informed of reasons for absence from work whether due to ill health or other reasons</li> <li>• Failure to submit medical certificates in accordance with the Council's Absence due to sickness' scheme</li> <li>• Regularly or persistently late for work</li> <li>• Failure to comply with the Managing Attendance Procedure</li> <li>• Leaving early without permission</li> </ul> |

- \* Refer to Information Security Incident Reporting Policy and Procedures.

**Appendix B**

**DISCIPLINARY PROCEDURE FAQ'S**

**In which situations should the Disciplinary Procedure be used?**

The procedure should only be used in cases of employee misconduct. Please see Appendix A of this document for examples of misconduct/gross misconduct.

**Would the Disciplinary Procedure be used for sickness absence or performance issues?**

No, these issues are covered by separate policies and procedures which can be found on the HR Intranet site.

**Can employees be dismissed for a first offence?**

Yes, but only in circumstances where the act of misconduct is so serious it could be deemed as gross misconduct. Examples of the types of conduct which may lead to dismissal can be found in Appendix A.

**Who should carry out the independent investigation?**

It is advised where possible that the Investigator should be at an appropriate managerial level and must not be an individual who is named in the allegation.

**As a Manager what do I do when I become aware of a potential disciplinary issue?**

It is recommended that you carry out an assessment of the allegations and obtain an overview of the situation in order to be able to determine if a formal investigation is required. (Please see the Disciplinary Procedure for further guidance).

**What happens if an employee has become involved with an incident that takes place outside the work place?**

If the allegation relates to a potential criminal act, or potentially affects the reputation of the Council i.e. a potential breach of the Council's Code of Conduct the matter may require that the disciplinary process is undertaken.

**How do I conduct an independent investigation?**

Please refer to the Conducting an Investigation Procedure.

**As a Manager do I need to meet with the employee concerned?**

Yes, as part of the initial assessment you will need to meet with the employee concerned. It is advised that notes of any such meeting are taken and copies should be provided to the employee.

**Does the employee have the right to bring anyone to the investigation/disciplinary meeting?**

The employee is entitled to be accompanied or represented throughout the process at each formal meeting by a work colleague, or designated TU/Professional Association Official. This right does not extend to friends/family or professional persons such as solicitors and barristers. Please see the Disciplinary Procedure for further guidance.

**What do I need to do if I need to suspend an employee?**

Suspension of an employee should only be in exceptional cases where there is evidence that there is a real risk the employee will interfere with the investigation or there is a real risk the employee's presence during the investigation will damage the Council's business interests. Guidance Notes on the Suspension of an Employee can be found in the Guidance Pack [[insert hyperlink](#)].

### **When do you need to involve other services in the investigation?**

There may be occasions when you must involve other services in your investigation, examples are:-

Fraud/Theft/Corruption investigations – Internal Audit  
Child Protection Issues – Local Authority Designated Officer  
Vulnerable Adults - Designated Service Manager  
Information Security / Data Protection breaches – Information Governance

The involvement of other services is to assist the Manager and Investigator in collating and understanding the evidence during their respective investigations. It is the Manager and Investigator's responsibility to conduct their respective investigations and obtain the evidence first hand to enable the Manager and Investigator to reach his/her own findings.

### **Who should arrange the disciplinary meeting?**

Ordinarily, the Manager and/or Investigator would make the arrangements for a disciplinary and disciplinary appeal meeting.

### **What if it's impractical or unacceptable for witnesses to attend a meeting?**

It is expected that internal witnesses attend the disciplinary meeting to be questioned however in some circumstances it may be impracticable or unacceptable for a witness to be present. The Investigator should seek to reach agreement with the employee's representative regarding the non attendance of the witness and the utilisation of written submissions etc. in order for their evidence to be considered.

Where external witnesses do not attend for whatever reason, it is for the panel to determine the weight placed on the evidence presented in the witness statement.

### **What if agreement cannot be reached regarding the attendance of witnesses?**

The employee/ representative may wish to submit a series of questions that they wish the witness to provide a written response to prior to the Meeting. Alternatively, consideration should be given to another suitable method to allow the witness to respond to questions during the Meeting. In instances where the witness refuses to participate, their statement can still be included. But the panel has to determine a proportionate amount of weight to attach to the statement given the witness is unable or refuses to attend the disciplinary meeting.

### **What happens if an employee raises a grievance during the Disciplinary Process?**

If the grievance relates to the disciplinary case then it is appropriate for both matters to be dealt with at the same time but the grievance should be investigated by a manager not involved in the disciplinary investigation. Where the grievance has no relationship to the disciplinary matter then both procedures are dealt with concurrently.

### **What happens if the employee is sick during the Disciplinary Process?**

The Manager and/or Investigator will immediately refer the employee to the Occupational Health Unit. This referral should include information about the disciplinary matter and should seek medical advice in relation to the employee's fitness to participate in an investigation and attend a disciplinary meeting/appeal. On receipt of advice from Occupational Health, the Investigator may determine that the investigation/disciplinary meeting will take place in the employee's absence.

### **Who maintains contact with the employee under investigation?**

It is recommended that the Investigator should keep the employee up to date with the progress of the investigation. If the employee has been suspended then the suspension should be reviewed on a regular basis and the outcome communicated to the employee.

**Can witnesses be accompanied to a disciplinary meeting?**

Yes by either a work colleague or a Trade Union representative but the employee must make these arrangements.

**What happens if an employee who has received a disciplinary penalty goes off sick during the penalty period?**

If the employee is absent for two consecutive weeks or more this will not count as time spent towards the penalty. Consequently the expiry of the penalty will be adjusted accordingly.

**What Penalties can be given if the misconduct is proven?**

Details of the penalties can be found at Section 15 of the disciplinary procedure.

**Are penalties removed from personal files once they have expired?**

No the details are not removed from an employee's personal file as they form part of that employee's employment record.

**If an employee has not been suspended from work can they still be dismissed at a disciplinary meeting?**

Yes if the allegation is of such a serious nature that if proven could constitute gross misconduct or is a cumulative dismissal. See section 15 of the Disciplinary Procedure.

## HUMAN RESOURCES

When initial allegation arises and the Manager/Headteacher considers the employee's conduct may justify disciplinary proceedings, it is recommended they obtain an overview of the situation promptly and establish the facts of the case.

It is then advisable for the Manager/Headteacher to determine the appropriate course of action.

The allegation is unfounded and no further action required.

The employee admits to the disciplinary offence so a Disciplinary Sanction Meeting should be arranged.

The allegation is minor and should be dealt with through Informal Action.

An investigation should be undertaken in line with Formal Action and if determined necessary the employee suspended.

The allegation is vexatious or malicious and requires further investigation against the perpetrator.

Formal Action – It is recommended that the Investigator will write to the employee to advise them of the allegations against them. The employee will either be required to attend an Investigatory Meeting or will be invited to attend a Disciplinary Meeting to discuss the allegations.

Initiating the Disciplinary Meeting – it is recommended the Manager and/or Investigator should:

- Send the employee all documentation they intend to refer to during the meeting along with a brief statement of case.
- See section 13.0 of the procedure for further details.

The Disciplinary Meeting – It is recommended that:

- The Panel conducting the meeting should consist of an appropriate Manager. For meetings where the dismissal is a potential outcome or of a complex nature this should be Head of Service or above and a HR Advisor should also be available to advise the panel. A recommended protocol for use at the meeting is included at Appendix E (i).
- The employee is notified of their entitlement to be accompanied by a Trade Union Representative/Work Colleague at the Meeting if they wish.
- The employee is notified of the Panel's decision verbally at the meeting and this is then confirmed in writing within 5 working days or in exceptional cases the outcome is confirmed in writing.
- The employee must be notified of his right of appeal.

- Right of Appeal – It is advised that if an employee wishes to appeal against a Written/Final Written Warning and/or Downgrading/Transfers they should inform the appropriate Chair of the Panel in writing within 10 working days of receipt of the letter notifying them of the decision and the grounds for their appeal.
- The Manager and/or Investigator should make arrangements for the Appeal Meeting and inform the employee in writing. Please refer to section 16.0 of the Procedure for further information.
- A recommended protocol for use at an Appeal Meeting is included at Appendix E (ii)
- The employee is notified of the Panel's decision verbally at the Meeting and this is then confirmed in writing within 5 working days or in exceptional cases the outcome is confirmed in writing.
- Right of Appeal Against Dismissal will be heard by a panel of Officers consisting of the Executive Director – Core Services; the Service Director – Human Resources and Business Support together with an Executive Director who has had no prior involvement with the appeal being considered. If this is not possible another Officer(s) from the Barnsley Leadership Team will be appointed to the panel. The Employee should follow the above procedure if they wish to appeal and the Manager and/or Investigator should contact their HR Business Partner for further advice.

### Appendix D





**Disciplinary Procedure – Action Plan**

The table below should normally be completed by the Chair of the Panel following the Disciplinary Meeting detailing identified actions in respect of employee and/or service related issues that require addressing. The pro-forma must also be utilised when the Investigator has determined no action or, informal action is required and has identified the need for employee and/or service issues to be addressed. In such instances the Investigator should complete the table below.

**Section A - To be Completed in Respect of Employee Related Issues**

Name: \_\_\_\_\_  
Chair of the Panel/Investigator

Date: \_\_\_\_\_

| Immediate Actions                     | Responsible Officer | Date Implemented |
|---------------------------------------|---------------------|------------------|
|                                       |                     |                  |
| Medium Term (3 - 6 months)            | Responsible Officer | Date Implemented |
|                                       |                     |                  |
| Longer Term (6 - 12 months or beyond) | Responsible Officer | Date Implemented |
|                                       |                     |                  |

**Section B to be completed in Respect of Service Related Issues:**

| Immediate Actions                     | Responsible Officer | Date Implemented |
|---------------------------------------|---------------------|------------------|
|                                       |                     |                  |
| Medium Term (3 - 6 months)            | Responsible Officer | Date Implemented |
|                                       |                     |                  |
| Longer Term (6 - 12 months or beyond) | Responsible Officer | Date Implemented |
|                                       |                     |                  |

On completion of all of the above identified actions the form should be signed off by:

Employee \_\_\_\_\_  
Manager \_\_\_\_\_

Date \_\_\_\_\_  
Date \_\_\_\_\_

**Appendix E (i)**

---

**SUGGESTED PROTOCOL AT A DISCIPLINARY MEETING**

- i) The Chair of the Panel will perform introductions, clarify roles, and outline the procedure that will be followed.
- ii) Management will present their case making reference to any supporting evidence and calling witnesses should this be required. The Investigator will present his/her findings as part of the Management's case. At the conclusion of Management's case the Panel should be made aware of any current penalties.
- iii) The employee and/or representative may question management and any witnesses should this be required.
- iv) The Panel including the Advisor may question management and any witnesses should this be required.
- v) The employee shall respond to the Management's case making reference to any supporting evidence and calling witnesses should this be required.
- vi) Management may question the employee and/or their representative and any witnesses should this be required.
- vii) The Panel including the Advisor may question the employee and/or representative and any witnesses should this be required.
- viii) Prior to the summing up either side shall have a right to request an adjournment of the proceedings in the event of new allegations being presented.
- ix) Management will summarise their case
- x) The employee or their representative will summarise their case.
- xi) Once the meeting is complete, both parties will then withdraw. If the Panel members require further information on the evidence presented, both sides must be recalled to allow clarification to be sought. Before a decision is reached the Advisor to the Panel may be required to withdraw. A decision shall then be reached by the Panel based on an unbiased consideration of the evidence as to whether on the balance of probabilities the potential misconduct is proven and the decision of the Panel confirmed.
- xii) Both parties shall be recalled and the outcome of the meeting conveyed. This will be confirmed in writing, normally within 5 working days, with details of the nature of the misconduct and the implications. All parties will be advised of any changes to the method of communication and extension to timescales at the closure of the meeting.

**Appendix E (ii)**

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**SUGGESTED PROTOCOL AT A DISCIPLINARY APPEAL MEETING**

- i) The Chair of the Panel will perform introductions, clarify roles, and outline the procedure that will be followed.
- ii) The employee/and or representative will present their case making reference to the grounds for appeal and any supporting evidence\*.
- iii) Management may question the employee/and or their representative.
- iv) The Panel may question the employee/and or their representative.
- v) Management shall respond to the employee's case making reference to any supporting evidence\*. At the conclusion of which the Panel should be made aware of any current penalties.
- vi) The employee/and or their representative may question management.
- vii) The Panel may question management.
- viii) The employee/and or their representative will summarise their case.
- ix) Management will summarise their case.
- x) Once the meeting is complete, both parties will then withdraw. If the panel members require further information on the evidence presented both sides must be recalled to allow clarification to be sought.
- xi) A decision shall then be reached by the Panel based on an unbiased consideration of the evidence as to whether on the balance of probabilities the potential misconduct is proven and the decision of the Panel confirmed.
- xii) Both parties shall be recalled and the outcome of the meeting conveyed. This will be confirmed in writing within 5 working days, with details of the nature of the misconduct and the implications. In exceptional circumstances it may be necessary for the outcome to be communicated in writing. All parties will be advised of any changes to the method of communication and extension to timescales at the closure of the meeting.

\* including any new evidence that has become available following the outcome of the original meeting.

## **1.0 PURPOSE AND SCOPE**

- 1.1 All employees are required to ensure the integrity and security of Council information in accordance with the Council's Information Security and Computer Usage Policy, associated policies, protocols, guidance and relevant legislation.
- 1.2 The Policy and associated policies, protocols and guidance set out in detail the responsibilities and operational issues to be adhered to by all who handle and/or have access to information and computer related equipment provided by the Council including:
  - familiarisation and compliance with the Policy and associated policies, protocols and guidance
  - security of all information which is written, spoken, electronic, sent across networks and/or visual
  - security of computers, mobile devices and computer information
  - notification procedures relating to perceived or actual breaches of the Policy.
- 1.3 The Policy provides a framework within which all those accessing information can do so safely in fulfilling their role within the Council. Additionally, the Policy sets out the arrangements that the Council will utilise with regard to the monitoring of the Policy.

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## **2.0 NON COMPLIANCE WITH THE INFORMATION SECURITY AND COMPUTER USAGE POLICY**

- 2.1 All breaches of the Information Security and Computer Usage Policy will be treated with utmost concern and, in respect of employees, investigated as an allegation of potential misconduct/gross misconduct in accordance with the Council's Disciplinary Procedure.
- 2.2 Investigations in respect of a breach of the Policy by a contractor, agency worker, supplier or partnership organisation will be investigated in accordance with the conditions of the individual service contract.
- 2.3 Members of the Council will be subject to the provisions of the Member Code of Conduct and jurisdiction of the local Standards Committee and the National Standards Board for England.

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## **3.0 DISCIPLINARY IMPLICATIONS**

- 3.1 A deliberate and knowing breach of the Policy, where an information loss occurs which may potentially affect the reputation of the Council, confidence of the public in the Council to manage information securely or potentially cause financial loss, or where the user is found to be abusing information/data systems may constitute gross misconduct which may lead to dismissal. In the case of agency staff or contractors this will lead to the termination of the contract.
- 3.2 A deliberate and knowing breach of the Policy which results in criminal charges against the Council and/or Officers of the Council may be deemed gross misconduct within the terms of the Council's Disciplinary Procedure.
- 3.3 Other cases of misuse or non compliance will be reviewed within the context of the policy and the extent of the effect on the provision of Council services and reputation.



**Disciplinary Procedure – Action Plan**

The table below should normally be completed by the Chair of the Panel following the Disciplinary Meeting detailing identified actions in respect of employee and/or service related issues that require addressing. The pro-forma must also be utilised when the Investigator has determined no action or, informal action is required and has identified the need for employee and/or service issues to be addressed. In such instances the Investigator should complete the table below.

**Section A - To be Completed in Respect of Employee Related Issues**

Name: \_\_\_\_\_  
Chair of the Panel/Investigator

Date: \_\_\_\_\_

| Immediate Actions                     | Responsible Officer | Date Implemented |
|---------------------------------------|---------------------|------------------|
|                                       |                     |                  |
| Medium Term (3 - 6 months)            | Responsible Officer | Date Implemented |
|                                       |                     |                  |
| Longer Term (6 - 12 months or beyond) | Responsible Officer | Date Implemented |
|                                       |                     |                  |

**Section B to be completed in Respect of Service Related Issues:**

| Immediate Actions                     | Responsible Officer | Date Implemented |
|---------------------------------------|---------------------|------------------|
|                                       |                     |                  |
| Medium Term (3 - 6 months)            | Responsible Officer | Date Implemented |
|                                       |                     |                  |
| Longer Term (6 - 12 months or beyond) | Responsible Officer | Date Implemented |
|                                       |                     |                  |

On completion of all of the above identified actions the form should be signed off by:

Employee \_\_\_\_\_ Date \_\_\_\_\_

Manager \_\_\_\_\_ Date \_\_\_\_\_

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## GUIDANCE PACK FOR THE DISCIPLINARY PROCEDURE

This pack contains a suite of model letters and best practice guidance notes for illustrative purposes to support managers through the process.

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## **GUIDANCE NOTES ON THE SUSPENSION OF AN EMPLOYEE**

### **Purpose and Scope**

The Council's Disciplinary Procedure provides for employees to be suspended from duty, on contractual pay. It should be made clear to an employee that their suspension is not a disciplinary penalty.

As a general rule, employees should only be suspended in exceptional cases where there is evidence that there is a real risk the employee will interfere with the investigation or there is a real risk the employee's presence during the investigation will damage the Council's business interests.

Alternatives to suspension should be considered including temporary transfer to other duties/location and adjustment in working hours or working under supervision should be considered.

During normal working hours any suspension should be carried out by an appropriate Manager after obtaining agreement from an appropriate Senior Manager/Officer and consulting with the Services Human Resources Business Partner.

There may be circumstances e.g. shift working/out of hours where a Senior Manager is not available on site. Managers should be provided with a named Senior Officer contact to enable a decision to be made regarding any suspensions. In circumstances where it is not possible to discuss the situation with a Senior Manager before a decision to suspend is taken an employee may be deployed to an alternative location as an immediate alternative or sent home on paid leave pending a decision.

In the case of Schools, Headteachers may wish to seek advice from their Human Resources Provider prior to the suspension of an employee. Additionally, where an allegation of potential misconduct is made against a Headteacher the Chair of Governors should be consulted regarding the suspension.

### **Representation**

Where possible, arrangements should be made for the employee to be represented at the initial meeting. The employee should be given a reasonable period of time to obtain such representation. However, this should not cause undue delay to the proceedings.

Where the allegation relates to a recognised Trade Union representative, the individual should not be suspended until a full-time official of the Union has been consulted. In the case of a Shop Steward a Convenor should be consulted and for a Convenor the matter should be discussed with a Regional Officer.

Managers undertaking a disciplinary investigation have the right to seek assistance from a more Senior Manager and advice from Human Resources as necessary.

### **The Initial Meeting**

It is recommended at the meeting the Manager/Headteacher should:



- Explain the nature of the concern/allegations and give the employee the opportunity to respond to the concern;
- Give consideration to any response from the employee which may mean that suspension is not appropriate;
- Consider whether measures could be put in place which would mitigate the need to suspend the employee
- Consider fully the rationale to suspend the employee if it is deemed necessary

It is also recommended that the Manager/Headteacher covers the following points at the initial meeting if suspending the employee:

- Inform the employee of the suspension and the full rationale why it is deemed necessary;
- Advise the employee that a full investigation will take place and identify who the Investigator will be where possible;
- During the suspension the employee will receive contractual pay;
- If at any time during the investigation the Investigator considers the complaint to be unsubstantiated, the suspension will be revoked and they will be asked to resume duties;
- Whilst on suspension, the employee must make themselves available for any Management Investigation Meetings;
- The employee should not enter into discussions with colleagues or other people involved in the investigation as this may prejudice the investigation;
- The employee is entitled to request a statement from any colleague or other witness of the alleged misconduct and arrange for their attendance at any disciplinary meeting however; the colleagues and witnesses are not obliged to comply with such requests. Employees should advise the Investigator if they intend to make such a request;
- During the suspension, the employee must not enter his/her normal place of work or other associated work sites. Where an employee lives on site, then access to the residential quarters is permitted however, the employee must not enter into or venture onto the remainder of the property;
- The employee should hand over any Council property, e.g. keys, mobile phone, computer equipment, etc and the Manager may need to suspend access to computer systems that can be accessed remotely e.g. homeworking accounts etc;
- The suspension will be confirmed in writing within 5 working days including details of the reason for the suspension.
- The suspension will initially be reviewed in 14 days and thereafter at monthly intervals;
- The employee may wish to contact his/her Trade Union or Professional Association representative;
- The employee should be advised that confidential and impartial support is available from the Occupational Health Provider;
- If the employee falls ill during the suspension period, the absence notification procedure should be followed and medical certificates should be submitted in the normal manner.
- If the employee wishes to take annual leave during the period of suspension, approval should be obtained from their Manager in the normal manner.

If suspension is deemed necessary, an employee should be provided with a suspension letter (templates below) confirming the suspension.

The letter should include:

- The decision to suspended together with the Manager's rationale and how long the suspension is expected to last
- Their rights and obligations during the suspension. For example, that they should be contactable during normal working hours
- A point of contact (such as a manager or HR) and their contact details for the employee during their suspension

### **Following the initial Meeting**

An appropriate Investigator should be appointed to carry out the investigations. They should:

- Advise witnesses/relevant parties to write down their recollection of events;
- Remove and secure any items that are required as evidence for safekeeping;
- Make notes of the issue and of any advice/conversation that took place; ensure that the relevant Head of Service/Service Director and Human Resources are informed of the allegation and the suspension at the earliest opportunity.

## SUSPENSION LETTER

(reference)  
(contact name)  
(contact telephone number)  
(date)

(address)

Dear

### SUSPENSION FROM DUTY

With reference to the meeting with *(Name, job, title)* and *(Name, job, title)* on *(date)*, I wish to confirm your suspension from duty with effect from *(date)*. During your suspension from work you will continue to receive contractual pay.

The suspension is in accordance with the Council's/School's Disciplinary Procedure. It is deemed necessary to suspend you because [manager's reasons due to the particular facts] which represents [a real risk that you will interfere with the investigation or a real risk that your presence during the investigation will damage the Council's business interests]. The management investigation concerns allegations relating to:

- *(Insert full details of specific allegation/s. This may include dates, times etc).*

If upheld, these allegations would constitute gross misconduct and could therefore lead to dismissal. *(use in potential gross misconduct cases only)*

Enclosed is a copy of the Disciplinary Procedure for your information.

The suspension will be reviewed in 14 days and then at regular intervals. During the suspension it may be necessary for you to attend an investigatory interview and/or a disciplinary meeting at which you are entitled to be accompanied by your Trade Union/Professional Association Representative/ Work Colleague.

Alternatively, if it is decided that no further action is necessary you will be informed of this and arrangements will be made for your return to work.

I wish to confirm that you are not to enter your place of work *(state other premises also if relevant)* without prior agreement with the Investigator. You should not enter into discussions with colleagues or other people involved in the investigation as this may prejudice the investigation. However, you are entitled to request a statement of facts in respect of the allegation from any witnesses and you should inform the Investigator prior to commencement of this. It should be noted that colleagues are not obliged to comply with your request.

You may also wish to seek confidential help and advice from the Occupational Health Unit who can be contacted on 01226 772292 (for schools using external HR providers please insert relevant telephone number of external OHU).

If you fall ill whilst on suspension, normal sickness reporting procedures will apply. You must notify your line manager or appropriate supervisor on the first day of your illness. You will then be deemed to be on sick leave pending your return to fitness.

The Investigator will refer you to the Council's Occupational Health Service for the Doctor to ascertain your fitness to participate in both the investigation process and if appropriate a disciplinary meeting,

If you are deemed unfit to participate in the disciplinary process for a prolonged period or if you fail to attend Occupational Health and the Doctor is unable to confirm your fitness to participate in the process, a disciplinary meeting may go ahead in your absence as the Council is unable to wait indefinitely. You will be given the opportunity to present written submissions to the Panel.

During your suspension if you wish to take annual leave, approval must be obtained from (line manager) in the normal manner.

If you have any queries relating to this matter, please contact (*insert name, job title*) on (*insert telephone number*)

Yours sincerely

Encs

## **SUSPENSION REVIEW LETTER**

(reference)  
(contact name)  
(contact telephone number)  
(date)

(address)

Dear

### **SUSPENSION REVIEW**

I refer to my recent letter, confirming your suspension from duty on *(insert date)* under the Council's/School's Disciplinary Procedure.

I am writing to inform you that your suspension has been reviewed and will remain in place. A further review will be undertaken one month from the date of this letter or sooner dependent upon the progress of the investigation. Your ongoing suspension is due to the belief that there is [a real risk that you will interfere with the investigation *or* a real risk that your presence during the investigation will damage the Council's business interests]. The extension to the suspension is necessary due to *(give explanation i.e. the investigation not being concluded)*.

May I remind you that whilst on suspension, you must not attempt to enter *(insert location)* without the specific authority of *(insert name, title)* and that you should not hold discussions with colleagues or other people connected with the allegation. However, this does not preclude you from requesting a statement of fact from any witnesses to the alleged misconduct *and you should inform (name of Investigator) prior to commencement of this.*

Yours sincerely

## REVOKE SUSPENSION LETTER

(reference)  
(contact name)  
(contact telephone number)  
(date)

(address)

Dear

### SUSPENSION FROM DUTY

With reference to your suspension from work following allegations of *(insert allegations)*. A Management Investigation has been conducted into this matter and it has been determined that *(insert details)*.

(Insert one of the following paragraphs)

Either:

Consequently, it has been concluded that there is no case to answer and no formal action will be taken against you. Accordingly, your suspension from work will be revoked with immediate effect.

You should report for work on *(insert date & time)*. *(Insert name)* will meet with you to facilitate your reintegration in to the workplace.

Or

Consequently, it has been concluded that suspension is no longer deemed necessary and will be revoked with immediate effect. However, the allegations still constitute misconduct and require investigation which may lead to disciplinary action.

You should report for work on *(insert date & time)*. *(Insert name)* will meet with you to facilitate your reintegration in to the workplace.

Or

Consequently, it has been concluded that suspension is no longer deemed necessary and will be revoked with immediate effect. However, misconduct has occurred but the matter will be dealt with informally under the Council's Disciplinary Procedure.

You should report for work on *(insert date & time)*. *(Insert name)* will meet with you to facilitate your reintegration in to the workplace.

Yours sincerely

## INVITE TO MANAGEMENT INVESTIGATION LETTER

(reference)  
(contact name)  
(contact telephone number)  
(date)

(address)

Dear

### MANAGEMENT INVESTIGATION

Further to your suspension from work with effect from *(inset date)*/Further to the alleged *(detail incident)* on *(date)*, I wish to confirm the arrangements for a management investigation meeting. The meeting will take place on *(insert date)* at *(insert time)*. The meeting will be held at *(insert location)*. Please report to reception on your arrival and ask for *(insert name)*.

The investigation will be conducted by *(insert name, title)* and *(insert name, title, if applicable)*.

In accordance with the Council's/School's Disciplinary Procedure you are entitled to have your Trade Union Representative, Professional Association Representative or fellow employee of your choice present in an advisory and supportive capacity. However, this right does not extend to family/friends and professional persons such as solicitors and barristers. If you wish your representative to attend it is your responsibility to make the necessary arrangements.

A copy of this letter is attached for you to forward to your representative.

If you have any queries regarding this matter please contact *(insert name)* on the above number.

Yours sincerely

Encs

## **INVITE TO MANAGEMENT INVESTIGATION FOR WITNESSES**

(reference)  
(contact name)  
(contact telephone number)  
(date)

(address)

Dear

### **MANAGEMENT INVESTIGATION**

I am writing to confirm that a management investigation is currently taking place in accordance with the Council's/Schools Disciplinary Procedure. I have been given your name as an independent witness who may be able to assist with the investigation into *(insert brief details)*.

You are requested to attend a Management Investigation Meeting. The meeting will take place on *(insert date)* at *(insert time)*. The meeting will be held at *(insert location)*. Please report to reception on your arrival and ask for *(insert name)*.

The investigation will be conducted by *(insert name, title)* and *(insert name, title, if applicable)*.

In accordance with the Council's/Schools Disciplinary Procedure you are entitled to have your Trade Union Representative, Professional Association Representative or fellow employee of your choice present in an advisory and supportive capacity. However, this right does not extend to family/friends and professional persons such as solicitors and barristers. If you wish your representative to attend it is your responsibility to make the necessary arrangements.

A copy of this letter is attached for you to forward to your representative.

In order to maintain confidentiality in respect of the allegation(s), I wish to advise you that you should not enter into discussions with anyone other than the Investigator(s). However, the employee(s) for whom the allegation(s) is made or their representative may request that you provide them with a statement of events and/or attendance at any potential disciplinary meeting. Such requests are permissible.

You may also wish to seek confidential help and advice from the Occupational Health Unit who can be contacted on 01226 772292. *(Schools using an external HR provider please insert the relevant telephone number for the external OHU)*.

If you have any queries regarding this matter please contact *(insert name)* on the above number.

Yours sincerely

Encs



## INVITE TO A DISCIPLINARY MEETING LETTER

(reference)  
(contact name)  
(contact telephone number)  
(date)

(address)

Dear

### DISCIPLINARY MEETING

I write to inform you that you are required to attend a disciplinary meeting at (location) on (date) at (time). At the meeting the specific allegations, outlined below, will be presented and you will be given an opportunity to respond to them:

- (details of allegation/s)

(If these allegations are on balance proven they may be deemed gross misconduct and therefore lead to your dismissal –add this paragraph if this a potential gross misconduct case)

(If you are currently subject to a written/final written warning the Panel will be made aware of this during the meeting - add this paragraph if there is a written/final written warning in place)

(If these allegations are on balance proven they may be deemed misconduct and therefore lead to your dismissal –add this paragraph if there is a final written warning in place).

The Disciplinary Panel hearing the case will be (name and designation) advised by a Human Resources Advisor (only for potential dismissal cases). (For Schools – attendance will be in accordance with your SLA). The management case will be presented by (name and designation). The meeting will be conducted in accordance with the Council's/School's Disciplinary Procedure (a copy of which is enclosed for your information).

You have the right to be accompanied at the meeting by a Trade Union Representative, Professional Association Representative or a work colleague. However, this right does not extend to family/friends and professional persons such as solicitors and barristers. It is your responsibility to make your own arrangements for their attendance.

Please find enclosed copies of documents which will be presented by management at the meeting including a brief overview of the case. You also have the right to submit documentary evidence and to call witnesses. If you intend to produce your own documents you should submit them along with a brief overview of your case to me at least five working days prior to the date of this meeting. Failure to do so may result in the meeting being delayed. Additionally if you intend to call witnesses you should submit details of who these are and make arrangements for them to attend.

*Either:*

Management will be calling the following witnesses to give evidence at the Meeting:

*Or:*

It is not management's intention to call witnesses on this occasion.

You must make yourself available for this disciplinary meeting. If you fail to attend without reasonable cause, then the meeting may go ahead in your absence.

Yours sincerely

Encs

## WRITTEN/FINAL WRITTEN WARNING LETTER

(reference)  
(contact name)  
(contact telephone number)  
(date)

(address)

Dear

### DISCIPLINARY PROCEDURE – WRITTEN/FINAL WRITTEN WARNING

I am writing to confirm the outcome of the Disciplinary Meeting held on *(date)*. The meeting was conducted by *(insert name and title including details of advisor if appropriate)*. *(Name)* presented the management case *(assisted by if appropriate)*. *(Name)* represented you at the meeting.

The purpose of the meeting was to consider the allegation(s) that:  
*(insert details)*

*(Name)* presented the management case and provided evidence in relation to the allegation.  
*(Summarise management's case)*

In response you/your representative stated *(summarise case)*.

The panel considered all of the evidence presented by both parties and determined that your action(s) did constitute misconduct/gross misconduct. The reasons for the panel's decision are as follows:  
*(summarise main points)*

As a consequence of such action I now confirm the decision to issue you with a written/final written warning.

This penalty will remain effective for a period of *(insert time period)* months from *(dates)*. Periods of sickness absence of two consecutive weeks or more will not count as time spent towards your sanction. Consequently the expiry of the penalty will be adjusted accordingly.

*(Where appropriate give details of improvements of behaviour expected and support that will be put in place)*.

I must point out that any further misconduct may lead to further disciplinary action under the Council's/School's Disciplinary Procedure which could ultimately lead to your dismissal.

You have a right of appeal against this decision. If you wish to appeal you should do so in writing to *(name, title)*, within 10 working days of receiving this written warning.

Yours sincerely

## MODIFICATION OF DUTIES LETTER

(reference)  
(contact name)  
(contact telephone number)  
(date)

(address)

Dear

### DISCIPLINARY PROCEDURE – MODIFICATION OF DUTIES - DOWNGRADE OF POST/TRANSFER TO ANOTHER SECTION

I am writing to confirm the outcome of the Disciplinary Meeting held on *(date)*. The meeting was conducted by *(insert name and title including details of advisor if appropriate)*. *(Name)* presented the management case *(assisted by if appropriate)*. *(Name)* represented you at the meeting.

The purpose of the meeting was to consider the allegation(s) that:  
*(insert details)*

*(Name)* presented the management case and provided evidence in relation to the allegation.  
*(Summarise management's case)*

In response you/your representative stated *(summarise case)*.

The panel considered all of the evidence presented by both parties and determined that your action(s) did constitute [misconduct/gross misconduct] and that dismissal would be appropriate in the circumstances. The reasons for the panel's decision are as follows:  
*(summarise main points)*

However, the Panel recognised the evidence you presented and the mitigating factors put forward and believe in the circumstances that a downgrade OR transfer to another section is an appropriate alternative to your dismissal. You will be downgraded on a permanent basis and/or transferred to another section. If the position your are transferred to is at a lower grade you will not receive pay protection.

In addition to this you will also receive a final written warning which will remain effective for a period of *(insert time period)* months from *(dates)*. Periods of sickness absence of two consecutive weeks or more will not count as time spent towards your sanction. Consequently the expiry of the penalty will be adjusted accordingly.

*(Where appropriate give details of improvements of behaviour expected and support that will be put in place)*.

I must point out that any further misconduct may lead to further disciplinary action under the Council's/School's Disciplinary Procedure which could ultimately lead to your dismissal.

You have a right of appeal against this decision. If you wish to appeal you should do so in writing to *(name, title)*, within 10 working days of receiving this written warning.

Yours sincerely

## **DISMISSAL FOR CUMULATIVE MISCONDUCT LETTER**

(reference)  
(contact name)  
(contact telephone number)  
(date)  
(address)

Dear

### **DISMISSAL FOR CUMULATIVE MISCONDUCT**

I am writing to confirm the outcome of the Disciplinary meeting held on *(date)*. The meeting was conducted by *(insert name and title including details of advisor if appropriate)*. *(Name)* presented the management case *(assisted by if appropriate)*. *(Name)* represented you at the meeting.

The purpose of the meeting was to consider the allegation(s) that:  
*(insert details)*

*(Name)* presented the management case and provided evidence in relation to the allegation.  
*(Summarise management's case)*.

In response you/your representative stated *(summarise case)*.

The panel considered all of the evidence presented by both parties and determined that your action(s) did constitute misconduct. The reasons for the panel's decision are as follows:  
*(summarise main points)*

At the time of your hearing you were subject to *(enter details of previous warnings still in effect)*, The Panel considered the appropriate penalties and determined in the circumstances that dismissal was appropriate. I now confirm the decision to dismiss you on the grounds of cumulative misconduct.

You are entitled to *(number)* weeks notice and you will receive a payment in lieu of this notice. Your employment will therefore be terminated on *(date of disciplinary meeting)*..

You have the right of appeal against this decision. If you wish to appeal you should do so in writing to *(Name)*, within 10 working days of receiving this letter.

Upon termination of your employment if you are a member of South Yorkshire Pensions Authority, your accrued pension benefits become 'preserved', that is they will not be released until you reach the scheme retirement age. Details of the amount of your preserved benefits and the date they will be brought into payment will be sent to you by South Yorkshire Pensions Authority as soon as possible.

Yours sincerely

## **DISMISSAL FOR GROSS MISCONDUCT LETTER**

(reference)  
(contact name)  
(contact telephone number)  
(date)

(address)

Dear

### **DISMISSAL FOR GROSS MISCONDUCT**

I am writing to confirm the outcome of the disciplinary meeting held on *(date)*. The meeting was conducted by *(insert name and title including details of advisor)*. *(Name)* presented the management case *(assisted by if appropriate)*. *(Name)* represented you at the meeting.

The purpose of the meeting was to consider the allegation(s) that:  
*(insert details)*

*(Name)* presented the management case and provided evidence in relation to the allegation.  
*(summarise management's case)*

In response you/your representative stated *(summarise case)*.

The panel considered all of the evidence presented by both parties and determined that your action(s) constitute gross misconduct. The reasons for the panel's decision are as follows:  
*(summarise main points)*

Having found your actions constituted gross misconduct the Panel considered the available penalties and determined that summary dismissal was the appropriate. I now confirm the decision to summarily dismiss you from your employment. This dismissal is without notice and effective immediately, your last day of employment with the Council being *(date of meeting)*.

You have the right of appeal against this decision. If you wish to appeal you should do so in writing to *(name)* within 10 working days of receiving this letter indicating the grounds for your appeal and, where appropriate, the name of your representative.

Upon termination of your employment if you are a member of South Yorkshire Pensions Authority, your accrued pension benefits become 'preserved', that is they will not be released until you reach the scheme retirement age. Details of the amount of your preserved benefits and the date they will be brought into payment will be sent to you by South Yorkshire Pensions Authority as soon as possible.

Yours sincere

## **DISCIPLINARY SANCTION MEETING OUTCOME LETTER**

### **PRIVATE AND CONFIDENTIAL**

Address

Date

Dear

### **DISCIPLINARY PROCEDURE – WRITTEN WARNING**

I am writing to confirm the outcome of the Disciplinary Sanction Meeting held on (date). The meeting was conducted by *(insert name and title including details of advisor if appropriate)* (*name*) presented the management case. You were represented by (*name*) / You chose not to be represented at the meeting and were happy to proceed with the meeting (delete as appropriate).

The purpose of the meeting was to consider the allegation that:

- 

(*name*) presented the management case and provided evidence in relation to the allegation.

In response, you agreed with the evidence and stated that .....

I considered all of the evidence presented by both parties and determined that your actions did constitute misconduct as you had .....

As a consequence of such action I now confirm the decision to issue you with a written warning.

This penalty will remain effective for a period of 6 / 12 (*Delete as appropriate*) months from (*date of meeting*). Periods of sickness absence of two consecutive weeks or more will not count as time spent towards your sanction. Consequently the expiry of the penalty will be adjusted accordingly.

I must point out that any further misconduct may lead to further disciplinary action under the Council's Disciplinary Procedure which could ultimately lead to your dismissal.

In accordance with the policy you do not have a right of appeal against this decision.

Yours sincerely

## INVITE TO AN APPEAL MEETING LETTER

(reference)  
(contact name)  
(contact telephone number)  
(date)

(address)

Dear

### DISCIPLINARY APPEAL MEETING

With reference to your appeal against the (*insert details of penalty as a result of x misconduct*). I write to inform you that a disciplinary appeal meeting has been arranged and will take place at (location) on (date) at (time). At the meeting you will be given an opportunity to present your case and for Management to respond.

The Disciplinary Panel hearing the case will be (name and designation) advised by (insert name and title of Human Resources Advisor - only applicable where the appeal does not relate to a dismissal). (For Schools – attendance will be in accordance with your SLA). The management case will be presented by (name and designation). The meeting will be conducted in accordance with the Council's/School's Disciplinary Appeal Procedure (a copy of which is enclosed for your information).

You have the right to be accompanied at the appeal meeting by a Trade Union Representative, Professional Association Representative or a work colleague. However, this right does not extend to family/friends and professional persons such as solicitors and barristers. It is your responsibility to make your own arrangements for their attendance.

Please find enclosed copies of documents which will be presented by management at the meeting including a brief overview of the case. You also have the right to submit documentary evidence. If you intend to produce your own documents you should submit them along with a brief overview of your case to me at least 5 working days prior to the date of this meeting. Failure to do so may result in the meeting being delayed.

You must make yourself available for this disciplinary appeal meeting. If you fail to attend without reasonable cause, then the appeal meeting will go ahead in your absence.

Yours sincerely

Encs



## **DISCIPLINARY APPEAL OUTCOME LETTER**

(reference)  
(contact name)  
(contact telephone number)  
(date)

(address)

Dear

### **DISCIPLINARY APPEAL OUTCOME**

(I am writing to confirm the outcome of the Disciplinary Appeal Meeting held on *(date)*. The Appeal Meeting was conducted by *(insert name and title including details of advisor if appropriate)*. *(Name)* presented the management case *(assisted by if appropriate)*. *(Name)* represented you at the meeting.

The purpose of the meeting was to consider the allegation(s) that:  
*(insert details)*

*(Name)* presented the management case and provided evidence in relation to the allegation.  
*(Summarise management's case)*

In response you/your representative stated *(summarise case)*.

The panel considered all of the evidence presented by both parties and determined that *(insert details)*. The reasons for the panel's decision are as follows:  
*(summarise main points)*

*(If penalty is upheld insert the following paragraphs)* As a consequence of such action I now confirm the decision be upheld. *(insert appropriate penalty)* will remain effective for a period of *(insert time period)* months from *(dates)*. Please note periods of sickness absence of two consecutive weeks or more will not count as time spent towards your penalty. Consequently the expiry of the sanction will be adjusted accordingly.

*(Where appropriate give details of improvements of behaviour expected and support that will be put in place).*

I must point out that any further misconduct may lead to further disciplinary action under the Council's/School's Disciplinary Procedure which could ultimately lead to your dismissal.

*(In the case of appeals against a dismissal insert the following paragraph)*  
As a consequence of such action the decision to terminate your employment on the grounds of ....has been upheld.

You have no further right of appeal.

Yours sincerely

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**BARNSELY METROPOLITAN BOROUGH COUNCIL**

**This matter is not a Key Decision within the Council's definition and has not been included in the relevant Forward Plan**

**REPORT OF THE EXECUTIVE DIRECTOR  
CORE SERVICES**

**REVISION TO THE GRIEVANCE PROCEDURE**

**1. PURPOSE OF REPORT**

1.1 The purpose of this report is to seek approval to implement revisions to the existing Grievance procedure.

**2. RECOMMENDATIONS**

**2.1 It is recommended that Cabinet approve the revised Grievance procedure.**

**3. INTRODUCTION**

3.1 By law, employers must set out a Grievance procedure and share it in writing with all employees. The purpose of the Grievance procedure is to give employees a way to raise concerns, problems or complaints with the employer about their terms and conditions of employment, working environment or work relationships.

3.2 The Council currently has in place a Grievance procedure but it is intermittently updated as a result of factors such as guidance from ACAS, lessons learned during the grievance process and through recommendations made at formal grievance meetings.

**4. PROPOSAL AND JUSTIFICATION**

4.1 It is proposed to implement the revised Grievance Procedure with immediate effect.

4.2 The main revisions to the procedure are:-

- When assessing the initial grievance concerns it has been added that the complaint can be shared with the alleged transgressor(s) to obtain their view;
- It has been made clearer that the Investigator should be sufficiently senior to carry out the investigation and reference is also now made to the management investigation guidance to assist the investigating officer when carrying out an investigation into a grievance.
- Where an alleged transgressor feel sufficiently justified they may now request to be in attendance for the full Grievance Meeting, which was previously not permitted. However it will be for the Panel to determine the outcome of this request at the

commencement of the meeting. The Panel will consult with the Executive Director, Core Services or Service Director, Human Resources before confirming its decision and reasoning to the interested party and the employee bringing the grievance.

- The Panel can now consist of an 'appropriate level of officer', therefore depending on the complexity the case, the Panel does not necessarily have to be at a Head of Service level or above.

4.3 Agreement to this report will assist and support managers, employees and trade unions to deal with grievances in a lawful, fair, consistent and timely manner, therefore minimising any negative impact on the Council and potential employment tribunal claims.

## **5. CONSIDERATION OF ALTERNATIVE APPROACHES**

5.1 The alternative to the implementation of this revised procedure is to continue with the current Grievance procedure, which could prevent grievances being dealt with in a fair and timely manner.

## **6. IMPLICATIONS FOR LOCAL PEOPLE/SERVICE USERS**

6.1 The implementation of this revised procedure provides the framework to ensure that the Council deals with employee related concerns, problems and complaints, therefore assisting the Council to function efficiently and effectively.

## **7. FINANCIAL IMPLICATIONS**

7.1 There are no direct financial implications arising from this report.

## **8. EMPLOYEE IMPLICATIONS**

8.1 By implementing the revised procedure employees who wish to raise a grievance either informally or formally have a fair, consistent and timely process in place to enable them to do so.

## **9. LEGAL IMPLICATIONS**

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

## **10. CUSTOMER AND DIGITAL IMPLICATIONS**

10.1 There are no direct implications arising from this report.

## **11. COMMUNICATIONS IMPLICATIONS**

11.1 The procedure will be displayed on the HR Intranet and the changes will be detailed in an article in StraightTalk.

11.2 For employees who do not have access to e-mail / intranet facilities, managers will be responsible for communicating this information to their teams.

- 11.3 Human Resources Business Partners and Advisors will be available to provide advice to employees / managers / head teachers / members.
- 11.4 The existing POD course will be updated and a bitesize training / briefing session developed to ensure managers / head teachers are aware of the policy and to ensure it is implemented fairly and consistently.

## **12. CONSULTATIONS**

- 12.1 The trade unions have been consulted and are in agreement to the proposed changes.
- 12.2 HR and Legal colleagues have also been consulted and had their input into the proposed changes.

## **13. THE CORPORATE PLAN AND THE COUNCIL'S PERFORMANCE MANAGEMENT FRAMEWORK**

- 13.1 No direct implications arising from this report.

## **14. PROMOTING EQUALITY, DIVERSITY AND SOCIAL INCLUSION**

- 14.1 The implications for employees as a result of this revised procedure have been considered and all employees will be equally affected by the implementation of this policy.

## **15. RISK MANAGEMENT ISSUES**

- 15.1 Implementing revisions to this procedure will contribute towards ensuring that any problems or concerns an employee may have about their work, working conditions or relationships is addressed and where possible resolved. The risk of employment claims being made against the Council through the Employment Tribunal system will be minimised by the introduction of this revised procedure.

## **16. HEALTH, SAFETY AND EMERGENCY RESILIENCE ISSUES**

- 16.1 Risks to the Council are minimised as employees and managers have a procedure they can refer to and follow to ensure work place disputes are dealt with appropriately.

## **17. COMPATIBILITY WITH THE EUROPEAN CONVENTION ON HUMAN RIGHTS**

- 17.1 This procedure is compatible with the European Convention on Human Rights.

## **18. LIST OF APPENDICES**

Appendix 1 – Grievance Procedure

**Report author:** Karen Mann, HR Business Partner

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**GRIEVANCE PROCEDURE**

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1.0 **PURPOSE AND SCOPE**

- 1.1. The purpose of the procedure is to enable a problem or concern an employee may have about their work, working conditions or relationship with colleagues to be addressed and where possible resolved. The procedure applies to all BMBC employees including those employed in locally managed schools where the Governing Body have adopted the policy/procedure.
- 1.2. Employees should aim to settle most grievances informally with their line manager with many issues resolved during the course of the working relationship. However where issues/concerns are unable to be resolved in this way an employee should use this procedure. At the informal grievance stage employees have the right to inform their Trade Union (if relevant) in case the matter proceeds to a formal grievance.
- 1.3. Employees should utilise this procedure where they are unhappy about the treatment they have received and consider the Council/School has failed to adequately apply their rights.
- 1.4. The Managers Guidance Pack contains a suit of model letters and is best practice guidance for illustrative purposes to support Managers through the process.
- 

2.0 **KEY PRINCIPLES**

- 2.1. Grievances should be raised by an employee(s) within **3 months** of the incident/issue taking place.
- 2.2. An appropriate manager, who is not subject to the grievance, should deal with the grievance promptly considering where appropriate the need to allow an investigation of the facts (in such cases reference should be made to the Investigation Guidance and appropriate HR advice should be sought from the Human Resources Business Partner for the Service/School. See Appendix A – Grievance Flow Chart and Appendix B -FAQ's for guidance on the grievance process.
- 2.3. There will be matters outside of the control of the Council and the scope of the procedure that cannot be addressed via the Grievance Procedure:
- Statutory adjustments to pay and allowances (e.g. National Insurance, Income Tax, Pension Scheme). These must be discussed with Business Support Services, Pay Services.
  - Personal matters not directly related to employment. Employees may wish to discuss these with their Line Manager/Headteacher or Occupational Health Counsellor.
- 2.4. There are some issues which the procedure is unable to deal with and other Human Resources procedures should be utilised;
- Disciplinary Procedure,
  - Performance in Employment (Capability) Procedure,
  - Long Term Ill Health and Managing & Supporting Attendance Procedures,
  - Job Evaluation Scheme,
  - Dignity at Work Procedure however; this will follow the grievance process in relation to any formal investigations carried out.
  - Right to Request Flexible Working
  - Recruitment and Selection



- 2.5 An employee may during the course of a disciplinary process, raise a grievance. Where the grievance is related to the disciplinary case then it is appropriate that both matters are dealt with at the same time i.e. at one meeting. However it is advisable that another Manager is allocated responsibility for investigating the disciplinary aspect of the case. In instances where the grievance has no relationship to the disciplinary matter then both procedures may be dealt with concurrently.
- 2.6 An employee is entitled to be accompanied throughout the process at each meeting by a work colleague or designated Trade Union/Professional Association Official. However, this right does not extend to friends/family or professional persons such as solicitors and barristers.
- 2.7 Collective Grievances - Where two or more employees raise an identical grievance the employees may agree to have them addressed in the same grievance process. The employees may be represented throughout this process by a Trade Union Representative, one of the nominated employees or address the meeting individually. Collective grievances will follow the same process as an individual employee grievance.

---

### 3.0 **SCHOOL BASED EMPLOYEES**

- 3.1 The Governing Body has overall responsibility for the staff within the school. The Governing Body may delegate these responsibilities to the Headteacher, an individual Governor, or a group of Governors with or without the Headteacher. It should be noted however, that any Governor or Headteacher hearing the case must have had no previous involvement in the grievance process.
- 3.2 In the case of a grievance against the Headteacher, the Chair of Governors takes on the role of Manager as referred to throughout the procedure.
- 3.3 The Governing Body should ensure that all employees have the right to appeal at any of the formal stages to a panel of at least 3 Governors who have not been involved in the case or decision connected with the Grievance Procedure. Where there are not enough Governors available the appeal may be heard by 2 Governors. Where applicable there should be an equal number of Governors on the panel for the Grievance Meetings and Appeal Meetings.
- 3.4 The Investigator appointed to undertake the investigation should be of an appropriate managerial level/appropriate Governor and has had no prior involvement in the case and must not be an individual who is named in the grievance.

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### 4.0 **MEDIATION**

- 4.1 The Manager/Headteacher should encourage mediation as a first resort to assist in resolving issues, concerns or misunderstandings that are being dealt with at the informal action stage or before matters escalate
- 4.2 Mediation is a voluntary and confidential process where the mediator helps two or more people in dispute to attempt to reach an agreement.
- 4.3 Further guidance about the mediation process and how it can be accessed is found in the [Council's Mediation Policy](#)

## 5.0 **ASSESSMENT OF THE INITIAL ISSUE/CONCERN**

When the issue/concern is raised with an appropriate manager, it is recommended that the appropriate manager obtains an overview of the situation promptly so that a decision can be made on whether they can address the issues/concerns or they need to forward the grievance to an Investigator at an appropriate level of management for consideration. A Grievance Flow Chart is attached at Appendix A to assist with the process.

This may involve:

- Speaking to the employee concerned.
- Speaking to any witnesses
- Ensuring other evidence is considered e.g. documentary evidence etc.
- Sharing the grievance with an alleged transgressor to obtain their views

5.1 Following this initial investigation it is advisable that the Manager/Headteacher provides a summary of their findings and agrees with the individual submitting the grievance the appropriate course of action:

- The issues/concerned can be dealt with by a discussion with the Manager. This would negate the need for a formal Grievance Meeting. Should the employee be dissatisfied with the findings they would have the right to a formal Appeal Meeting.
- Mediation is appropriate should all parties agree.
- Enough information is available to proceed immediately to a formal Grievance Meeting.
- An investigation, as outlined in the Investigations Guidance is necessary to establish facts before presenting these at a formal Grievance Meeting.

---

## 6.0 **FORMAL GRIEVANCE**

6.1 Where the grievance is of such a serious nature that an informal process **cannot** be followed the employee is required to submit their issues/concerns in writing to their Head of Service/Headteacher by completing a [Grievance Notification Form \(GN1\)](#). This should include as much detail as possible about the issues/concerns raised and the outcome the employee is seeking as remedy of the situation.

6.2 On receipt of a grievance the Manager should confirm receipt and where necessary an Investigator identified. The Investigator should be sufficiently senior to enable them to carry out a thorough assessment of the situation and make recommendations to any Grievance Panel on their findings. Account should be taken of the level of the officer bringing the complaint and any other parties involved to allow appropriate questioning. It is recommended that the Investigator refers to the Investigation Guidance and/or seeks advice from their HR Business Partner.

6.3 It is important that the investigation is carried out without unreasonable delay. The Investigator appointed to undertake the investigation should be of an appropriate managerial level/appropriate Governor and has had no prior involvement in the case and must not be an individual who is named in the grievance. The remit of the manager undertaking the investigation is to ascertain the appropriate evidence whilst maintaining an unbiased position. This usually requires the holding of investigatory meetings with the employee and where appropriate witnesses. Further guidance on how to undertake a investigation can be found in the Investigations Guidance.

- 6.4 Following completion of the investigation the Investigator should arrange a formal Grievance Meeting.

---

7.0 **INITIATING THE FORMAL GRIEVANCE MEETING**

- 7.1 If the employee submits a formal grievance - GN1 Form and wished to proceed to a formal Grievance Meeting the Investigator should:

- Notify the employee in writing of date, time and location of the formal Meeting and details of panel members.
- Send the employee all documentation they intend to refer to during the Meeting, along with an overview of the case. These will be provided to the employee/representative not less than 10 working days in advance of the date of the Meeting.
- Where the grievance relates to a colleague(s), advise them on the route being undertaken. If the alleged transgressor(s) feel sufficiently justified they may request to be in attendance for the full Meeting. **NB** It will be for the Panel to determine the outcome of this request at the commencement of the Meeting.

- 7.2 The employee/representative must also provide the Investigator and panel members with copies of all documents which the employee intends to rely on together with an overview of their case no less than 5 working days in advance of the date of the Meeting.

- 7.3 If the employee's representative is unable to attend on the specified date, the employee may request that the Meeting be postponed. They may then offer a reasonable alternative date without unreasonable delay. This will only be accommodated once. Where the employee is unable to attend the rescheduled Meeting without a justifiable reason then the Investigator will assume the employee no longer wishes to progress their grievance.

In normal circumstances the Panel conducting the Grievance Meeting should consist of:

- 7.4 **Non Schools** - an appropriate Manager. For meetings where the issues/concerns are of a complex nature this should be a Head of Service or above and a Human Resources Advisor should also be available to advise the panel.

**Schools** - The Headteacher or appropriate Panel of Governors who have been delegated this function in accordance with the School Staffing Regulations 2009 (refer to Section 3 and point 10.3) and who have not been involved in the investigation and are impartial to the process.

7.5 **The role of the Panel**

At the outset of the Grievance Meeting the Panel will need to consider whether to grant any request made by an interested party, which may include an alleged transgressor(s) or witness, to attend for the duration of the Grievance Meeting. Each request should be considered on its own merits and in particular the circumstances of the grievance, which would include the allegations being made, the employee bringing the grievance, the position of the alleged transgressor(s) and any other relevant consideration. The Panel, having consulted with either the Executive Director, Core Services or Service Director, Human Resources will then confirm its decision and reasoning to the interested party and the employee bringing the grievance.

The Panel should also consider whether any reasonable adjustments are necessary for the attendees.

- 7.6 The Panel will consider the evidence presented and make a determination of the issues based on the evidence. The Panel shall make recommendations it believes are appropriate.

---

8.0 **GRIEVANCE MEETING**

- 8.1 A recommended protocol for use when an employee wishes to attend a Grievance Meeting can be found at Appendix C.

- 8.2 It is expected that all witnesses attend the Meeting to be questioned. However, in some circumstances it may be impracticable or unacceptable for the witness to be present at the Meeting and in which case a copy of the signed written statement may be provided. Where witnesses are unable to attend the circumstances for their non attendance should be assessed and other methods may be utilised to ensure their evidence is considered i.e. written questions, video links etc. These alternative methods should be discussed on a case by case basis with the HR Business Partner/HR Provider. Witnesses can be accompanied but not represented by a Trade Union representative or Professional Association Representative or work colleague.

- 8.3 The Panel will fully consider the evidence and decide whether to uphold none/some/all elements of the grievance and then consider and make any necessary recommendations. These should be noted on the Grievance Procedure Action Plan (Appendix D)

- 8.4 The decision should normally be given verbally to the employee at the conclusion of the Meeting and confirmed in writing, within 5 working days. However, in some circumstances it may be necessary to communicate the outcome in writing rather than verbally. All parties should be advised of any changes to the method of communication and extension to timescales at the closure of the Meeting.

Where external witnesses do not attend for whatever reason, it is for the panel to determine the weight placed on the evidence presented in the witness statement.

---

9.0 **RIGHT OF APPEAL**

- 9.1 An employee who wishes to appeal against the decision following a Grievance Meeting should inform the appropriate Chair of the Grievance Panel, setting out in writing, the grounds for their appeal and the resolution the employee wishes to achieve. This should be submitted within 10 working days of receipt of the letter notifying them of the decision of the grievance panel. Arrangements should then be made for the Appeal Meeting.

- 9.2 **For Non Schools employees**, an appeal will be to the next level of Management. The only exception being a decision issued by an Executive Director. In such cases the Executive Director of another Directorate/ Department should hear the appeal. The Panel will include a Trade Union representative and Human Resources Business Partner who has had no previous involvement in the case.

- 9.3 **For Schools based employees**, the rights of the employee and the procedure for the convening an appeal shall be the same as for the initial Grievance Meeting. Section 3 details the responsibilities of the Headteacher/Governors in respect of the Grievance

Process.

- 9.4 The Appeal shall consider the matters and may include new evidence applicable to the issues/concerns raised but NOT relating to any new issues/concerns.
- 9.5 It is recommended that the Investigator should make arrangements for the Grievance Meeting and inform the employee in writing, giving 10 working days notice, of the requirement to attend the Appeal Meeting. The Investigator should inform any interested party of the appeal to enable the interested party to make a request to attend the Appeal Meeting. The Appeal Panel should give the same considerations to such a request as at paragraph 7.5.
- 9.6 A recommended protocol for use at the Appeal Meeting can be found in the Guidance pack.
- 9.7 The decision should normally be given verbally to the employee at the conclusion of the Meeting and confirmed in writing, within 5 working days. However in some circumstances it may be necessary to communicate the outcome in writing rather than verbally. All parties should be advised of any changes to the method of communication and extension to timescales at the closure of the Meeting.
- 9.8 The Appeal Panel may confirm or revoke the original outcome or substitute its own decisions and recommendations.

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10.0 **GRIEVANCES RECEIVED IMMEDIATELY PRIOR TO EMPLOYMENT TERMINATING**

- 10.1 An employee may submit a formal grievance immediately prior to termination of their employment. The grievance must be in writing and could relate to issue(s) relating to their employment possibly detailed within their resignation letter. Pre termination grievances should be dealt with in accordance with the formal grievance procedure above.
- 10.2 It is recommended a grievance investigation is undertaken and the employee offered either a written response or formal Meeting to be held where possible before the employees last date of employment.

---

11.0 **GRIEVANCES AFTER EMPLOYMENT HAS ENDED**

- 11.1 If an employee raises a formal grievance within 14 days of leaving their employment it is recommended the Senior Manager/Headteacher investigates the issues raised and provides a written response to the former employee as soon as practicably possible.

---

12.0 **COMPLETING THE GRIEVANCE PROCESS**

- 12.1 On conclusion of the case:
- The Grievance Procedure Action Plan should be completed where appropriate identifying any recommendations.
  - A copy of the Plan, when the actions are complete, should be placed on the employee personal file and a copy kept securely within the Service.
  - A Policy Implementation Monitoring Form should be completed and submitted to the Policy Monitoring (HR) Inbox. [Guidance notes](#) for completing the form are available.

- The Investigator must ensure that all documents/evidence relating to the investigation is placed in a sealed envelope marked 'to be opened by Human Resources only' and should indicate that the contents relate to a grievance investigation and should be placed on the employee's personal file.

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13.0 **EQUALITY AND DIVERSITY**

- 13.1 This policy has been impact assessed by Human Resources, if on reading this policy you feel there are any equality and diversity issues, please contact your Directorate Human Business Partner who will if necessary ensure the policy is reviewed.

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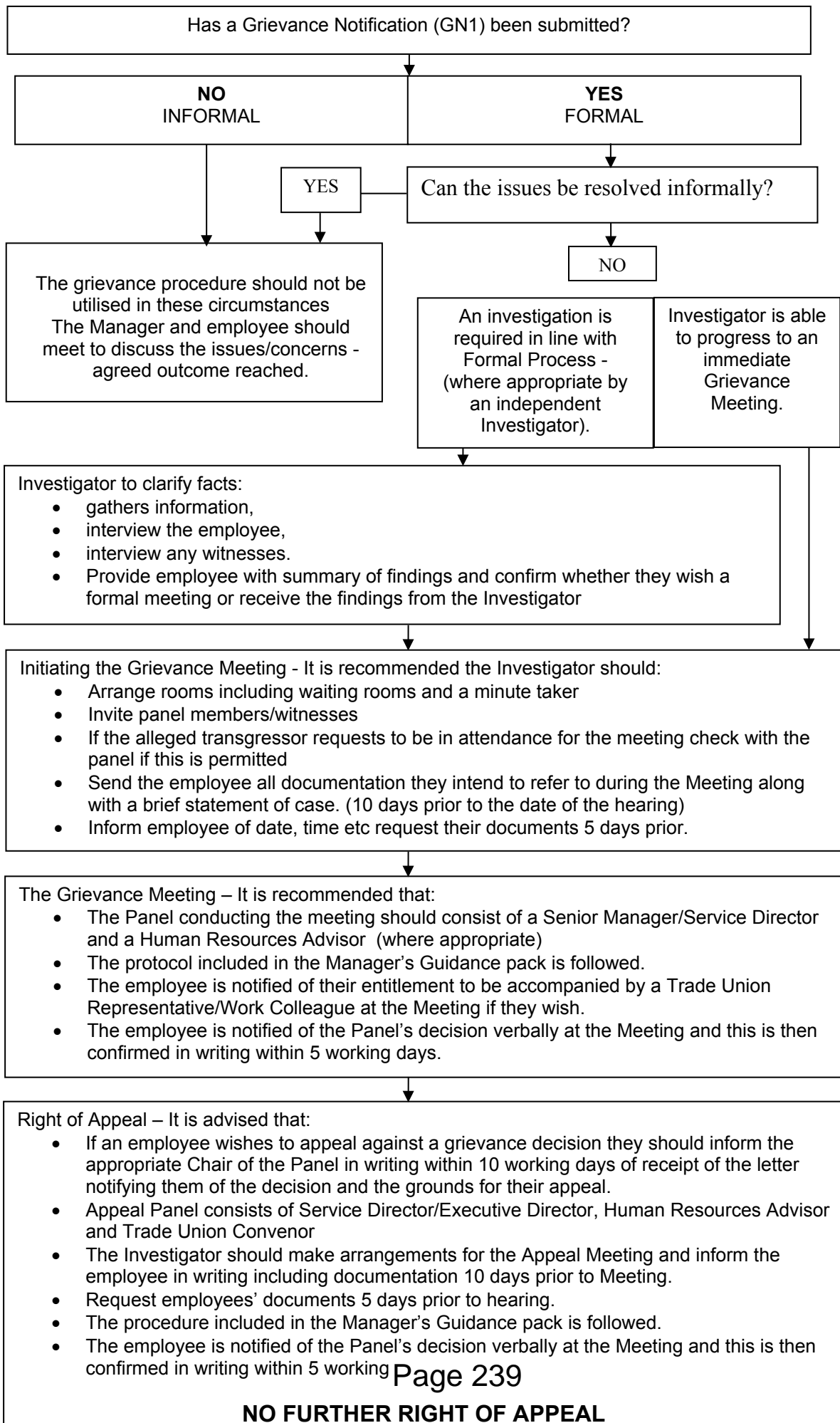
14.0 **INCOME TAX AND NATIONAL INSURANCE CONTRIBUTIONS**

- 14.1 There are no income tax or national insurance contribution implications arising as a result of the Grievance Procedure.
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**FORMAL GRIEVANCE PROCEDURE FLOW CHART**



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**FORMAL GRIEVANCE PROCEDURE**

**Frequently Asked Questions**

**In what situations should the Grievance Procedure be used?**

The Policy should only be used in where an employee is raising issues or concerns which cannot be addressed informally by a discussion with an appropriate manager in relation to:

- Terms and Conditions of Employment.
- Health and Safety
- Work Relations
- New Working Practices
- Working Environment
- Organisational Change
- Discrimination

Most grievances should be able to be dealt with informally by a discussion with the appropriate manager.

**Can employees be disciplined for submitting a grievance?**

No, unless it was found that the grievance was vexatious. The Investigator could recommend a disciplinary meeting is convened.

**Who should carry out the management investigation?**

It is advised where possible that the investigator should be at an appropriate managerial level and must not be an individual named in the grievance.

**What happens if an employee submits a grievance following an incident between employees outside the work place (e.g.in a private setting)?**

If the incident relates to a criminal act, a disciplinary investigation may need to take place.

If it is not of a criminal nature and it is a personal issue then it will not be appropriate to follow the internal grievance process and external private remedies should be sourced.

**As a Manager do I need to meet with the employee submitting the Grievance Notification Form (GN1)?**

Yes, as part of the initial assessment it is recommended that you will need to meet with the employee concerned. It is advised that notes of any such meeting must be taken and copies should be provided to the employee.

**Does the employee have the right to bring anyone to the meetings?**

Yes, the employee is entitled to be accompanied or represented throughout the process at each formal meeting by a work colleague, or designated TU/Professional Association Official. This right does not extend to friends/family or professional persons such as solicitors and barristers.

**Can an employee have copies of any witness statements?**

Yes, all statements should be shared with the employee raising the grievance where the information is key to the grievance meeting. There may be circumstances where this is not appropriate e.g. to protect witness. You should seek advice from your HR Business Partner/ Schools HR Provider in these circumstances.

**What is a Grievance meeting?**

A grievance meeting is a formal meeting where the employee is given the opportunity to state how they feel the Council has breached their 'duty of care' and allows management to respond.

**Who would minute any Investigation/Grievance Meetings?**

Ordinarily the Investigator should arrange a minute taker for any formal meetings.

**Who should arrange the Grievance Meeting?**

The Investigator would make the arrangements for a Grievance and Grievance Appeal meeting.

**Do we have to consider any reasonable adjustments at the Grievance meeting?**

Yes, where either the employee, their representative, the panel or any witnesses have any disability e.g. hearing loop, wheelchair accessible etc.

**What if it's impractical or unacceptable for witnesses to attend a Meeting?**

The Investigator should seek to reach agreement with the employee's representative regarding the non attendance of the witness and the utilisation of a written submission.

**What if agreement cannot be reached in relation to the attendance of witnesses?**

The employee/ representative/ Manager may wish to submit a series of questions that they wish the witness to provide a written response to prior to the Meeting. Alternatively, consideration should be given to the use of other suitable methods to allow the witness to respond to questions during the Meeting. The panel has to determine a proportionate amount of weight to attach to the statement given that the witness is unable to attend.

**What happens if an employee raises a grievance whilst they are subject to an investigation under the Disciplinary Procedure?**

Where an employee raises a grievance during a disciplinary process and the grievance relates to the disciplinary case then it is appropriate for both matters to be dealt with at the same time. The grievance should be investigated by a manager not involved in the disciplinary investigation. Where no relationship, then both procedures should be dealt with concurrently.

**What happens if the employee is sick during the Grievance Process?**

If the absence appears likely to continue for more than two weeks, it is advisable that the Investigator should refer the employee to the Occupational Health Unit. This referral should include information about the grievance investigation and should seek medical advice in relation to the employee's fitness to participate in any investigation and subsequent

meeting/appeal. On receipt of advice from Occupational Health, the Investigator may determine that the investigation will take place prior to the employees return to work.

**What if the employee refuses to attend the Meeting?**

The meeting has been arranged to consider the employees issues/concerns therefore it is in the employees interest to attend. If they refuse to attend or send a Representative to present their case, the Grievance Meeting can be cancelled and the employee informed accordingly.

**Who maintains contact with the employee under investigation?**

It is recommended that the Investigator should keep the employee up to date with the progress of the investigation.

**Can witnesses be accompanied to a meeting?**

Yes, by either a work colleague or a Trade Union representative but the employee must make these arrangements. The representative can only provide a support to the witness and cannot respond to questions on behalf of the witness.

**Can an employee bring a family member to the Meetings if they are not in a Union?**

No, the right to be accompanied only extends to a work colleague, Trade Union representative or an official employed by a Trade Union.

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**SUGGESTED PROTOCOL AT A GRIEVANCE AND APPEAL MEETING**

- i) The Chair of the Panel will perform introductions, clarify roles, and outline the procedure that will be followed.
- ii) Employee and/or representative will present their case making reference to any supporting evidence and calling witnesses as required.
- iii) The Management may question the employee and any witnesses as required.
- iv) The Panel may question the employee and any witnesses as required.
- v) The Management shall respond to the employee's case making reference to any supporting evidence and calling witnesses as required.
- vi) The employee and/or representative may question Management and/or their representative and any witnesses as required.
- vii) The Panel may question Management and any witnesses as required.
- viii) Prior to the summing up either side shall have a right to request an adjournment of the proceedings in the event of new allegations and/or evidence being presented.
- ix) The employee or their representative will summarise their case.
- x) Management will summarise their case.
- xi) Once the meeting is complete, both parties will then withdraw. If the panel members require further information on the evidence presented both sides must be recalled to allow clarification to be sought. Before a decision is reached the Advisor to the panel may be required to withdraw. A decision shall then be reached by the Panel based on an unbiased consideration of the evidence which shall have regard to any mitigating circumstances.
- xii) Both parties shall be recalled and the outcome of the meeting conveyed. This will be confirmed in writing, normally within 5 working days. All parties will be advised of any changes to the method of communication and extension to timescales at the closure of the meeting.

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**Formal Grievance Procedure – Action Plan**

The table below must normally be completed by the Chair of the Panel following the Grievance Meeting detailing identified actions in respect of any employee(s) and/or service related issues that require addressing.

**Section A - To be Completed in Respect of any Employee Related Issues**

Name of Employee : \_\_\_\_\_

Name \_\_\_\_\_  
Chair of the Panel/Investigator

Date \_\_\_\_\_

| Immediate Actions                              | Responsible Officer | Date Implemented |
|--|---------------------|------------------|
|  |                     |                  |
| Medium Term Actions (3 to 6 months)            | Responsible Officer | Date Implemented |
|  |                     |                  |
| Longer Term Actions (6 to 12 months or beyond) | Responsible Officer | Date Implemented |
|  |                     |                  |

On completion of all of the above identified actions the form should be signed off by:

Employee \_\_\_\_\_ Date \_\_\_\_\_

Manager \_\_\_\_\_ Date \_\_\_\_\_

**Section B - To be Completed in Respect of Service Related Issues**

Name \_\_\_\_\_  
Chair of the Panel/Investigator

Date \_\_\_\_\_

| Immediate Actions                              | Responsible Officer | Date Implemented |
|--|---------------------|------------------|
|  |                     |                  |
| Medium Term Actions (3 to 6 months)            | Responsible Officer | Date Implemented |
|  |                     |                  |
| Longer Term Actions (6 to 12 months or beyond) | Responsible Officer | Date Implemented |
|  |                     |                  |

On completion of all of the above identified actions the form should be signed off by the Service Director.

Signed \_\_\_\_\_  
 \_\_\_\_\_

Date

**When the actions are complete a copy should be placed on the employee personal file and a copy held securely within the Service.**



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

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