



Rutland County Council

Catmose, Oakham, Rutland, LE15 6HP.
Telephone 01572 722577 Email governance@rutland.gov.uk

Ladies and Gentlemen,

A meeting of the **CABINET** will be held via Zoom <https://zoom.us/j/93555388232> commencing at 10am when it is hoped you will be able to attend.

Yours faithfully

Mark Andrews
Interim Chief Executive

Meeting: **CABINET**

Date and Time: **Tuesday, 16 February 2021 at 10.00 am**

Venue: <https://zoom.us/j/93555388232>

Governance Officer to contact: **Emma Powley 01572 720991**
email: governance@rutland.gov.uk

A G E N D A

- 1) APOLOGIES FOR ABSENCE**
- 2) ANNOUNCEMENTS FROM THE CHAIRMAN AND/OR HEAD OF THE PAID SERVICE**
- 3) DECLARATIONS OF INTEREST**

In accordance with the Regulations, Members are required to declare any personal or prejudicial interests they may have and the nature of those interests in respect of items on this Agenda and/or indicate if Section 106 of the Local Government Finance Act 1992 applies to them.

4) RECORD OF DECISIONS

To confirm the Record of Decisions made at the meeting of the Cabinet held on 12th January 2021.

5) ITEMS RAISED BY SCRUTINY

To receive items raised by members of scrutiny which have been submitted to the Leader and Chief Executive.

6) EMERGENCY POWERS - COVID 19

Report no: 28/2021
(Pages 5 - 8)

7) PUBLIC BUS SERVICE CONTRACT AWARD

Report no: 25/2021
(Key Decision)
(Pages 9 - 20)

8) INTEGRATED TRANSPORT CAPITAL PROGRAMME

Report no: 25/2021
(Key decision)
(Pages 21 - 30)

9) HOME TO SCHOOL TRANSPORT AWARD

Report no: 26/2021
(Key decision)
(Pages 31 - 46)

10) QUARTER 3 - FINANCE REPORT

Report no: 27/2021
(Pages 47 - 76)

11) UPDATE ON CHILDREN'S SERVICES IMPROVEMENT PLAN

Report no: 29/2021
(Pages 77 - 94)

12) CLEANING SERVICES CONTRACT FOR COUNCIL PROPERTIES

Report no: 31/2020
(Key decision)
(Pages 95 - 98)

13) ENVIRONMENTAL SERVICES RE-PROCUREMENT PROJECT

Report no: 33/2021
(Key decision)
(Pages 99 - 122)

14) FINAL BUDGET 2021/21

Report no: 34/2021

(Key decision)
(Pages 123 - 170)

15) SCHOOL CAPITAL PROGRAMME

Report no: 35/2021
(Key decision)
(Pages 171 - 292)

16) ANY ITEMS OF URGENT BUSINESS

To receive items of urgent business which have previously been notified to the person presiding.

---oOo---

MEMBERS OF THE CABINET: Mr O Hemsley Chairman
Mr G Brown
Mrs L Stephenson
Mr A Walters
Mr D Wilby

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CABINET

16th February 2021

COVID 19 UPDATE AND APPROACH TO CONTINUED USE OF EMERGENCY POWERS

Report of the Interim Chief Executive

| | | |
|--------------------------------|--|---|
| Strategic Aim: | All | |
| Key Decision: No | Forward Plan Reference: FP/170420 | |
| Exempt Information | No | |
| Cabinet Member(s) Responsible: | Mr O Hemsley, Leader and Portfolio Holder for Rutland One Public Estate & Growth, Tourism & Economic Development, Resources (other than Finance) | |
| Contact Officer(s): | Phillip Horsfield – Deputy Director Corporate Governance (Monitoring Officer) | 01572 758154 phorsfield@rutland.gov.uk |
| Ward Councillors | All | |

DECISION RECOMMENDATIONS

That Cabinet:

1. Notes the present position in Rutland in respect of COVID 19
2. Notes the continued applicability of the Civil Emergency Delegation.

1 PURPOSE OF THE REPORT

- 1.1 At the Cabinet meeting held on the 21st April 2020, it was agreed that Cabinet would keep under review the use of Emergency Powers.
- 1.2 At the meeting held on 15th September 2020 Cabinet requested continued reports to provide updates on the present COVID position.

2 BACKGROUND AND MAIN CONSIDERATIONS - COVID POSITION

- 2.1 A further national lockdown was put in place from 6th January 2021. This was verbally reported to Cabinet at the meeting on 12th January 2021.
- 2.2 The key message is to stay at home as much as possible, and only go out for the following reasons:

- 2.2.1 Shopping for necessities.
- 2.2.2 Going to work or to volunteer or provide charitable services if you can't work from home.
- 2.2.3 Exercising with your household (or support bubble) or one other person, once a day and within your local area.
- 2.2.4 To meet support or people in the childcare bubble (only if you're legally able to form one).
- 2.2.5 To seek medical assistance (like going to your GP surgery or to a pharmacy).
- 2.2.6 To avoid injury, illness or risk of harm (such as domestic violence).
- 2.2.7 To go to school or other education or childcare settings (if eligible).
- 2.3 People who are extremely clinically vulnerable to COVID-19 have been instructed (once again) to shield to protect themselves. This includes anyone classed as clinically extremely vulnerable by their GP, or anyone with certain health conditions which increase their vulnerability to COVID 19.
- 2.4 People in this group should minimise time spent outdoors, only going out for medical appointments or exercise. Wherever possible, other tasks like shopping should be carried out on their behalf, to minimise the risk of a vulnerable person catching coronavirus.
- 2.5 Throughout January and at the time of writing there is significant pressure on the health care system. For this reason the Prime Minister announced that there should be no expectation that restrictions will be changed until 8th March. It was also made clear that any changes from this date will be gradual with priority being given to education provision. Again the changes to the rules in relation to education are expected to be phased in slowly.
- 2.6 At the time of writing cases in Rutland stand at 185 per 100,000 of Population.
- 2.7 Most importantly there continues to be a significant pressure on the health care system. While nationally and in Rutland there has been a fall in the number of cases this will take some significant time to translate in to fewer cases in hospitals including those that serve Rutland.
- 2.8 As in previous reports a small number of decisions continue to be made under emergency powers to enable a timely response. These relate predominantly to business grants, the vaccination centre and more recently the asymptomatic testing centre. The vast majority of decisions are being made through the Council's democratic decision making structures. The Decision Log is regularly made available to all Councillors to ensure accountability and transparency in the use of the emergency powers.
- 2.9 The Council continues working closely with partners to ensure that we support the delivery of the vaccination programme.
- 2.10 In addition to the vaccination centre the Council is now also working to provide an asymptomatic testing centre to enable the provision of targeted testing to people

who cannot work from home during lockdown.

3 CONSULTATION

3.1 Through the Member briefings all Councillors have been kept abreast of the position in relation to the Pandemic.

3.2 Parish Council briefings were also activated weekly once again through the period of national lockdown and are now being delivered every 2 weeks.

4 ALTERNATIVE OPTIONS

4.1 The report provides an update on information regarding the actions taken and the Constitutional position.

5 FINANCIAL IMPLICATIONS

5.1 There are no direct financial implications arising from this report.

6 LEGAL AND GOVERNANCE CONSIDERATIONS

6.1 These are contained in the Report

7 DATA PROTECTION IMPLICATIONS

7.1 None arising from the report.

8 EQUALITY IMPACT ASSESSMENT

8.1 An Equality Impact Questionnaire is not required for this report.

9 COMMUNITY SAFETY IMPLICATIONS

9.1 There are no community safety implications arising from this report.

10 HEALTH AND WELLBEING IMPLICATIONS

10.1 There are no health and wellbeing implications arising from this report.

11 CONCLUSION AND SUMMARY OF REASONS FOR THE RECOMMENDATIONS

11.1 That Cabinet note the current present position in Rutland regarding COVID 19 and the continued use of the Civil Emergency Delegation.

12 BACKGROUND PAPERS

12.1 There are no background papers for the report.

13 APPENDICES

13.1 None

A Large Print or Braille Version of this Report is available upon request – Contact 01572 722577.

CABINET

16th February 2021

LOCAL BUS SERVICE CONTRACT AWARD

Report of the Strategic Director for places

| | | |
|--------------------------------|---|--|
| Strategic Aim: | All | |
| Key Decision: Yes | Forward Plan Reference: FP/250920 | |
| Exempt Information | N/A | |
| Cabinet Member(s) Responsible: | Mrs L Stephenson, Portfolio Holder for Culture & Leisure, Highways & Transportation and Road Safety | |
| Contact Officer(s): | Emma Odabas, Transport Operations Manager | 01572 720923 eodabas@rutland.gov.uk |
| Ward Councillors | All | |

DECISION RECOMMENDATIONS

That Cabinet:

1. Approves the procurement model and criteria for the award of public bus service contracts 12 & 47.
2. Delegates authority to the Strategic Director for Places, in consultation with the Cabinet Member with portfolio for Culture & Leisure, Highways & Transportation and Road Safety, to award the contract resulting from this procurement.

1 PURPOSE OF THE REPORT

- 1.1 This report sets out the process and proposed award criteria for the procurement of local bus service contracts 12 & 47, along with recommendations for approval and delegation of final award.

2 BACKGROUND AND MAIN CONSIDERATIONS

- 2.1 The service 12 bus service is a 2-hourly bus service which operates Monday-Saturday between 7am – 7pm, to the timetable below:

| SERVICE 12 | | | | | | | | |
|---------------------------|-------|------|------|------|------|-----------|----------|------|
| Monday - Saturday | | | | | | | | |
| S Saturday only | | | | | | MF | S | |
| Stamford College | - | - | - | - | - | 1645* | - | - |
| Stamford Bus Station | 0735 | 0930 | 1130 | 1330 | 1530 | 1655 | 1640 | 1740 |
| Tinwell, Church | 0739 | 0933 | 1133 | 1333 | 1533 | 1658 | 1643 | 1743 |
| Ketton, The Fountain | 0743 | 0938 | 1138 | 1338 | 1538 | 1703 | 1648 | 1748 |
| Edith Weston, Manton Rd | 0752 | 0947 | 1147 | 1347 | 1547 | 1712 | 1657 | 1757 |
| North Luffenham, Digby Dr | 0757 | 0953 | 1153 | 1353 | 1553 | 1718 | 1703 | 1803 |
| South Luffenham | 0800 | 0957 | 1157 | 1357 | 1557 | 1722 | 1707 | 1807 |
| Barrowden, Village Green | 0803 | 1001 | 1201 | 1401 | 1601 | 1726 | 1711 | 1810 |
| Morcott | 0807 | 1004 | 1204 | 1404 | 1604 | 1729 | 1714 | 1812 |
| Glaston, Bus Stop | 0811 | 1008 | 1208 | 1408 | 1608 | 1733 | 1718 | 1815 |
| Uppingham North St East | 0815 | 1015 | 1215 | 1415 | 1615 | 1740 | 1725 | 1820 |
| Uppingham Comm College | 0820* | | | | | | | |
| Uppingham Comm Coll | - | - | - | - | - | 1535* | - | |
| Uppingham NSE | 0740 | 0835 | 1030 | 1230 | 1430 | 1540 | 1650 | |
| Glaston, Bus Shelter | 0745 | 0840 | 1035 | 1235 | 1435 | 1545 | 1655 | |
| Morcott | 0749 | 0844 | 1039 | 1239 | 1439 | 1549 | 1659 | |
| Barrowden, Village Grn | 0753 | 0848 | 1043 | 1243 | 1443 | 1553 | 1703 | |
| South Luffenham | 0757 | 0852 | 1047 | 1247 | 1447 | 1557 | 1707 | |
| North Luffenham | 0800 | 0855 | 1050 | 1250 | 1450 | 1600 | 1710 | |
| Edith Weston | 0806 | 0901 | 1056 | 1256 | 1456 | 1606 | 1716 | |
| Ketton, Village Shop | 0816 | 0911 | 1106 | 1306 | 1506 | 1616 | 1724 | |
| Tinwell, Church | 0822 | 0917 | 1112 | 1312 | 1512 | 1622 | 1730 | |
| Stamford, Bus Station | 0829 | 0924 | 1119 | 1319 | 1519 | 1629 | 1735 | |
| Stamford College | 0839* | - | - | - | - | - | - | |

Service 47 is a 1 return journey service which transport fare-paying non-entitled students to Peterborough and offers an early employment link to residents.

| SERVICE 47 | | | |
|--------------------------|------|--------------------------------------|-------|
| Monday - Friday | | | |
| Whissendine, Oakham Road | 0625 | Peterborough, The Kings School | 1600* |
| Langham, Melton Road | 0629 | Peterborough, Queensgate Bus Station | 1605 |

| | | | |
|---------------------------------------|-------|---|------|
| Oakham, John Street Bus Station | 0635 | Thorpe Road, The Session House | 1611 |
| Preston | 0643 | Longthorpe, Fox & Hounds | 1615 |
| Belton | 0650 | Castor, Royal Oak | 1619 |
| Wardley, A47 Lay-By | 0653 | Ailsworth, Wheatsheaf | 1621 |
| Uppingham, Leicester Rd/Shepherds Way | 0701 | Wansford, Old North Road Bus Shelter | 1627 |
| Uppingham, North Street East (arr) | 0703 | Duddington | 1633 |
| Uppingham, North Street East (dep) | 0705 | Barrowden, Main Street/Kings Lane | 1640 |
| Glaston | 0709 | South Luffenham, Stamford Road | 1643 |
| Morcott | 0713 | Morcott | 1647 |
| South Luffenham, Stamford Road | 0717 | Glaston | 1651 |
| Barrowden, Main Street/Kings Lane | 0721 | Uppingham, North Street East | 1656 |
| Duddington | 0727 | Uppingham, Leicester Road/Shepherds Way | 1659 |
| Wansford, Old North Road Bus Shelter | 0733 | Wardley, A47 Lay-By | 1706 |
| Ailsworth, Wheatsheaf | 0741 | Belton | 1709 |
| Castor, Royal Oak | 0743 | Preston | 1717 |
| Longthorpe, Fox & Hounds | 0750 | Manton | 1720 |
| Thorpe Road, The Session House | 0757 | Oakham, John Street Bus Station | 1728 |
| Peterborough, Queensgate Bus Station | 0800 | Langham, Melton Road | 1733 |
| Peterborough, The Kings School | 0805* | Whissendine, Oakham Road | 1738 |
| | | | |
| * Schooldays Only | | | |

- 2.2 Rutland Council first introduced both service 12 and service 47 bus services in 2001 after receiving grant funding awarded by the Department for Transport for rural bus kick-start projects. The services were set up and subsidised fully via the grant funding for a period of 3 years.
- 2.3 For the period covering 2004 – 2019, the routes have been re-tendered 3 times and service 12 has continued to operate without timetable reductions whereas service 47 was reduced due to lack of passenger usage in 2011. The current contracted operator of both services is Centrebus Ltd.
- 2.4 The services are 100% subsidised by Rutland Council's public transport budget.
- 2.5 The annual passenger usage on these bus services are approximately:
- Service 12 – 29,600 passenger journeys per annum of which 7,660 journeys made by concessionaires.
- Service 47 – 10,600 passenger journeys per annum with zero use by concessionary pass holders.
- 2.6 The current fixed annual subsidy of service 12 is £127,712. The average annual concessionary travel reimbursement cost is £9,600. This works out as a per trip subsidy of £4.64.
- The current fixed annual subsidy of service 47 is £38,147. The average annual concessionary travel reimbursement cost is £0.00. This works out as a per trip

subsidy of £3.60.

- 2.7 As Rutland County Council no longer supports entitled transport on denominational grounds, there are no scholar movements on the service for which the authority has a responsibility for despite 99.5% of the usage being made by students travelling to the Kings School in Peterborough by parental choice.
- 2.8 The service 12 contract is due to expire in August 2021 and service 47 is due to expire in September 2021.
- 2.9 These services are to be reviewed, along with all subsidised bus services as part of Passenger Transport Strategy project where service provision and best value will be investigated in detail.
- 2.10 A procurement exercise must take place in spring 2021 with contract award completed by June 2021 in case alternatives are not approved in that time frame.
- 2.11 A minimum period of 45 days is required for the Traffic Commissioners registration process and therefore last minute alterations are not an option.
- 2.12 Contracts would be offered for a period of 5 years to encourage interest from bidders but be subject to our standard local bus service contract notice of termination by either party of 3 months to ensure the best price if the service/s remain.

3 CONTRACT REQUIREMENTS

What is being procured?

- 3.1 The service 12 and service 47 bus services – as outlined in 2.1. The service timetables will not be amended at this point to avoid making changes to the service twice in close succession (as a result of the retendering and as a result of the Passenger Transport Strategy implementation). Therefore we are looking to procure a like for like service at this time to ensure continuity for passengers.

Contract length

- 3.2 Local bus contracts tend to be offered for a period of 5 years wherever possible as this attracts more interest and more reasonable subsidy prices from operators, but routes can be offered anywhere between 1 year up to 5 years dependant on the purpose and/or funding available for the route.
- 3.3 In this instance, due to the pending review of passenger transport service support, service 12 & 47 will be offered for a period of 5 years each and be subject to the standard local bus contract notice of termination by either party of 3 months. The contract will be offered on a minimum subsidy basis only which ensures fixed payments with the operator retaining on-board revenue.

Notice of termination

- 3.4 This contract may be terminated by either party providing that they give a 3-month notice period. This should give some assurance that the contract can be ended within the 5-year period.

Contract value

- 3.5 The estimated contract value over the lifetime of the contracts estimated is £829,295. This value represents 5 years of fixed minimum subsidy contract costs combined.

4 PROCUREMENT MODEL

- 4.1 The procurement will follow the OJEU process in line with the Council's Contract Procedure Rules as the value of the contract combined is above the EU threshold.

- 4.1.1 The timetable for the process is set out in Appendix A and the award criteria are set out in Appendix B.

5 AWARD CRITERIA

Initial screening/ qualifying criteria

- 5.1 Companies must meet quality criteria (initial screening) in order to be eligible to tender. These have been developed with support from the Welland procurement unit and are shown in Appendix A. To obtain and retain a PSV operator's license (O' License) involves meeting criteria relating to operator financial standing, good repute and strict operational standards. Compliance checks are carried out by both the DVSA and the relevant Traffic Commission in the form of initial screening and on-going checks and therefore quality standard checks to hold an O' licence are in place externally. This removes the requirement for RCC to further stipulate localised quality standards for tendering other than the pass/fail criteria of holding the correct license/s. Further information on the criteria for obtaining transport licensing is available online: <https://www.gov.uk/government/publications/psv-operator-licensing-a-guide-for-operators-psv437>

Basis of award

- 5.2 Contracts will be awarded on the basis of cost. The contract specification will therefore state that contract will be awarded to the lowest priced bidder that is able to deliver the contract having met all the qualifying criteria.

6 CONSULTATION

- 6.1 Developed in conjunction with portfolio holder. No public consultation required at this point as no changes to service levels. Full public consultation on any potential changes to public bus services will be undertaken as part of the passenger transport review.

7 ALTERNATIVE OPTIONS

- 7.1 The contract awards could be brought back to Cabinet for approval rather than delegated to the Portfolio Holder and Strategic Director for Places. However the award will be made in line with the criteria within this report and therefore the outcome should not differ. This approach would delay the award and may lead to a gap in service provision.
- 7.2 Not approving procurement and award – this would result in a loss of available

public transport services to residents until an alternative could be agreed, procured and put in place.

8 FINANCIAL IMPLICATIONS

8.1 The contract to be awarded will be funded via the existing public transport budgets with no requirement for additional resource.

9 LEGAL AND GOVERNANCE CONSIDERATIONS

9.1 The Local Bus Service procurement process has been drawn up with the Welland Procurement Unit, in line with the requirements of the Public Contracts Regulations 2015 and the Council's Contract Procedure Rules.

10 EQUALITY IMPACT ASSESSMENT

10.1 An EIA screening form has been completed and a full assessment is not required.

11 COMMUNITY SAFETY IMPLICATIONS

11.1 The Council is required by Section 17 of the Crime & Disorder Act 1998 to take into account community safety implications. No implications have been found.

12 HEALTH AND WELLBEING IMPLICATIONS

12.1 None.

13 ORGANISATIONAL IMPLICATIONS

13.1 None.

14 DATA PROTECTION IMPLICATIONS

14.1 A data protection impact assessment has not been completed as there are no data protection implications.

15 SOCIAL VALUE IMPLICATIONS

The nature and scale of the contract means that local and national operators are will be able to submit a tender price.

16 ENVIRONMENTAL IMPLICATIONS

16.1 Having a bus service in place gives people an alternative to driving via private car which may have environmental benefits. Enabling people to choose to use the car over the bus is therefore likely to have a positive impact on climate change.

17 CONCLUSION AND SUMMARY OF REASONS FOR THE RECOMMENDATIONS

17.1 In order for the procurement process to commence, the award criteria needs to be approved by Cabinet. The criteria have been carefully considered to ensure that providers successful in the process are capable of meeting the requirements and can deliver appropriate quality services in Rutland.

17.2 It is recommended that power to award the contract is delegated to the Strategic Director for Places in consultation with the Portfolio Holder for Culture & Leisure, Highways & Transportation and Road Safety. This will speed up the process and decisions will be made in line with criteria in this report.

18 BACKGROUND PAPERS

18.1 There are no background papers relevant to this report.

19 APPENDICES

19.1 Appendix A – Procurement Timetable

19.2 Appendix B – Award Criteria

A Large Print or Braille Version of this Report is available upon request – Contact 01572 722577.

Appendix A. Procurement Timetable

Local Bus Service Contracts 2021

| Action | By When |
|---|--------------------------------|
| Cabinet Approval for Award Criteria | 16 th February 2020 |
| [OJEU Notice published /PIN published] | |
| Invitation to Tender published | |
| Deadline for questions from bidders | |
| Deadline for responses to questions | |
| Tender submissions deadline | |
| Evaluation of Tenders | |
| Clarification meetings (if required) | |
| Approval of Contract Awards | |
| Notification of award/start of standstill | |
| End of standstill | |
| Contract award | |
| Contract start date | |

Appendix B. Award Criteria

| Criteria | Weighting |
|-----------|-----------|
| 1.Price | 100% |
| 2 Quality | PASS/FAIL |

1. Price – Best value annual subsidy price. Based on daily rate x 305 operational days per annum.

CRITERIA FOR ASSESSING QUALITY (Selection questions)

| Question No. | Section Headings and Sub-Headings | Maximum Available Section Score | Weighting Within Sub-Heading |
|---|--|---------------------------------|------------------------------|
| 1.1 1.1 (a) 1.1 (b) (i) 1.1 (b) (ii) 1.1 (c) 1.1 (d) 1.1 (e) 1.1 (f) 1.1 (g) 1.1 (h) 1.1 (i) (i) 1.1 (i) (ii) 1.1 (j) (i) 1.1 (j) (ii) 1.1 (k) 1.1 (m) 1.1 (n) 1.1 (o) 1.1 (p) | Potential Supplier Information Full name Registered office Registered website address Trading status Date of registration Company registration number Charity registration number Head Office DUNS number Registered VAT number Appropriate professional/trade registration If yes, details Legal required for professional/trade registration If yes, details Relevant classifications SME Persons of Significant Control Details of immediate parent company Details of ultimate parent company | 0% | 0% |
| 1.2 1.2 (a) (i) 1.2 (a) (ii) 1.3 (a) (iii) 1.2 (b) (i) 1.2 (b) (ii) | Bidding Model Bidding as lead contact for a group of economic operators Name of group of economic operators Proposed legal structure Use of Sub-Contractors Sub-Contractor details | 0% | 0% |

| Question No. | Section Headings and Sub-Headings | Maximum Available Section Score | Weighting Within Sub-Heading |
|---------------------|---|--|-------------------------------------|
| Question No. | Section Headings and Sub-Headings | Maximum Available Section Score | Weighting Within Sub-Heading |
| 4 and 5 | Economic and Financial Standing | | |
| 4.1 | Audited accounts or alternative means of demonstrating financial status | | |
| 4.2 | Minimal financial threshold | Pass/Fail | Pass/Fail |
| 5.1 | Parent company accounts | | |
| 5.2 | Parent company guarantee | | |
| 5.3 | Bank guarantee | | |
| 6 | Technical and Professional Ability | | |
| 6.1 | Details of up to three contracts Evidence of healthy supply chains maintained with sub-contractors | 0% | 0% |
| 6.2 | Sub contract supply chain management | | |
| 7 | Requirements under Modern Slavery Act 2015 | | |
| 7.1 | Relevant commercial organisation | Pass/Fail | Pass/Fail |
| 7.2 | Compliant with annual reporting requirements | | |
| 8 | Additional Questions: | | |
| 8.1 | Insurance | Pass / Fail | Pass/Fail |

CRITERIA FOR ASSESSING TENDER RESPONSES

Only those Bidders which pass the Selection Questions will have their tenders evaluated using this scheme.

| Section Headings and Sub-Headings | Maximum Score Available | Weighting Within Sub-Heading |
|--|--------------------------------|-------------------------------------|
| Quality | | |
| Company vehicle compliance | 0% | Pass/Fail |
| Employee licensing | | Pass/Fail |
| * Price (exclusive of VAT) | | |
| Route pricing | 100% | 100% |
| Total | 100% | |

Pricing should be shown day or operation. Unit rates and prices must be quoted in pounds and decimals of a pound. Such decimals need to be restricted to two decimal places.

For the purpose of giving feedback to bidders at the end of the process, pricing will be converted to a percentage score using the following formula:

$$\frac{\text{Lowest price for this route}}{\text{Bidder's price for this route}} \times 100\%$$

Bidder's price for this route

So if the lowest price offered for a given route is from Bidder A at £20.00, and the price offered by Bidder B is £40.00:

$$\text{Then Bidder A will score } \frac{\text{£20.00}}{\text{£20.00}} \times 100\% = 100\% \text{ Contract awarded}$$

$$\text{And Bidder B will score } \frac{\text{£20.00}}{\text{£40.00}} \times 100\% = 50\%$$

CABINET

16 February 2021

INTEGRATED TRANSPORT CAPITAL PROGRAMME

Report of the Strategic Director for Places

| | | |
|--------------------------------|--|--|
| Strategic Aim: | All | |
| Key Decision: Yes | Forward Plan Reference: FP/091020 | |
| Exempt Information | No | |
| Cabinet Member(s) Responsible: | Mrs L Stephenson, Portfolio Holder for Culture & Leisure, Highways, Transportation & Road Safety and Environment | |
| Contact Officer(s): | Emma Odabas, Transport Operations Manager and Interim Senior Transport Manager | 01572 720923 eodabas@rutland.gov.uk |
| Ward Councillors | All | |

DECISION RECOMMENDATIONS

That Cabinet:

1. Note the current programme of work and timeframe for updating the programme.
2. Approve the request to allocate £900,000 towards the 2021/22 Integrated Transport Capital Programme.
3. Approve the decision making proposals and requested delegated powers.

1 PURPOSE OF THE REPORT

- 1.1 This report sets out:
- 1.2 The current Integrated Transport Capital Programme (ITCP) of work and timeframe for updating the programme,
- 1.3 The current and proposed funding allocated to the ITCP, and
- 1.4 The decision making process and delegated powers relating to the Integrated Transport Block funding.

2 BACKGROUND AND MAIN CONSIDERATIONS

- 2.1 This report follows on from a report taken to Cabinet on 12th January 2021 (Cabinet report number 134/2020) which set out revisions to the Highway and Transport Concern Process, along with clarifications surrounding timeframes and distinctions between:
- 2.2 The Highway and Transport Concern Process (HTCP) – a mechanism for our communities to highlight any concerns they may have regarding traffic management, walking and cycling infrastructure, parking provision or public transport infrastructure. This is a responsive process: analyzing concerns and (where possible and reasonable) offering engineering solutions to address them.
- 2.3 The Highway and Transport Working Group - a sounding board to discuss any contentious or complex highway or transport matters.
- 2.4 The Integrated Transport Capital Programme - the name given to the programme of works delivered through funding received from the Department for Transport under the Integrated Transport Block.

3 PROGRAMME OF WORKS

SCOPE

- 3.1 For transparency purposes, an ITCP of work will be published on our website – identifying schemes due to be taken forward to construction or delivery and funded via the Integrated Transport Block (discussed in section 5).
- 3.2 The ITCP will include capital schemes emanating from the following sources:
- 3.3 Community concerns raised through the HTCP.
- 3.4 Safety schemes resulting from the identification and review of:
 - Accident cluster sites
 - Fatal and serious accident sites
 - Pro-active road safety engineering programmes
- 3.5 Strategically identified schemes, relating to Member priorities and within the remit

of Highways and Transport services, including but not limited to:

- Highway safety schemes (for example speeding and standardised traffic calming programmes)
- Integrated transport schemes (including sustainable travel infrastructure),
- Parking schemes,
- Passenger transport infrastructure,
- In-house fleet,
- Public rights of way schemes and
- Accessibility schemes.

PUBLISHING FREQUENCY

3.6 Schemes identified through the HTCP are demand / response led initiatives requiring feasibility work to ascertain the matters that can be addressed with engineering solutions. As such, schemes are not 'off the shelf' and have to be reviewed before being programmed in for delivery (if appropriate). Therefore the Integrated Transport Capital Programme of works is constantly updating.

3.7 To ensure officer time and funding is prioritised where it is most needed, it is proposed that the programme of works be updated on a quarterly basis (and reviewed at quarterly HTWG meetings), as per the schedule below:

2020/2021

3.8 Period 4: by 31st March 2021 – in Cabinet report (identifying key areas of focus for the year 2021/2022 (appendix A)).

2021/2022

3.9 Period 1: by 30th June 2021

3.10 Period 2: by 30th September 2021

3.11 Period 3: by 31st December 2021

3.12 Period 4: by 31st March 2022 – in Cabinet report (identifying key areas of focus for the year 2022/2023).

COMMUNITY CONCERNS

3.13 Within the January 2021 report to Cabinet, a categorisation process was approved as follows, enabling funding to be directed towards those schemes most in need.

3.14 Through the initial assessment, works to address community concerns will be classified as one of the four categories below:

- 3.15 Essential – a scheme that must be delivered as soon as possible to address actual harm to persons i.e. serious injuries
- 3.16 Necessary – works that are required to address sites that historically have injury or maintenance harm but are not currently occurring, but may occur again if not acted upon.
- 3.17 Beneficial – works that would provide benefit to the current situation but are not addressing a recorded history of harm. These will be schemes where the concerns or perception relating to a location feeling unsafe can be addressed.
- 3.18 Amenity – works that would provide amenity opportunities only.
- 3.19 When preparing the ITCP, community concern schemes identified as ‘essential’ or ‘necessary’ will be prioritised over those identified as ‘beneficial’ or ‘amenity’. Indeed, community concern schemes identified as ‘beneficial’ or ‘amenity’ are unlikely to receive funding through the Integrated Transport Block, but will be kept on a list for consideration should grant funding or developer contributions become available in the future.
- 3.20 Alternatively, within any given financial year where all essential and necessary community concerns, safety schemes and strategically identified schemes have been, or are being addressed and there is an underspend then a list of ‘beneficial’ or ‘amenity’ community concern schemes will be technically assessed by officers. Officers will report their recommendations to the HTWG, and approval to add schemes to the ITCP will be sought via the decision making protocols and delegations outlined in sections 5 and 6.

4 FUNDING ALLOCATIONS

- 4.1 In recent years funding allocations have been split across a number of areas, each with a budget limit and relevant approval delegations.
- 4.2 As time has progressed, the number of ‘pots’ from which schemes are approved has increased – making it harder to keep track of available funding and efficiently use the budget available.
- 4.3 To simplify matters and ensure funding is spent where it has most benefit, it is proposed that moving forward, Highway and Transport schemes are funded from one pot (the remit and scope of which is outlined in section 3). It is requested that during 2021/22 this pot consists of £900,000 – to be taken from the current remaining balance of £1,109,493 (table 1).
- 4.4 Up to the end of this current financial year, schemes will be funded and approved utilising the existing delegations in place as set out in Cabinet report 120/2019. At the end of the financial year, any outstanding approved capital projects will be closed down (approved capital projects currently stand at £944,700). Funds left over from these budgets will go back into the central pot, with approval to spend these sought in next year’s report to Cabinet.
- 4.5 Each year, any underspend will be rolled forward.

Table 1 – Current IT budget (as of January 2021)

| | |
|--|-------------------|
| Opening balance as at 1 st April 2020 | £1,596,193 |
| Confirmed grant income 2020/21 | £458,000 |
| Capital projects already approved | (£944,700) |
| Grant award 2021/22 | Currently unknown |
| Remaining balance | £1,109,493 |
| Requested for use during 2021/22 | £900,000 |

5 DECISION MAKING

- 5.1 To simplify and speed up scheme delivery, it is requested that the following decision-making protocols be agreed in relation to the ITCP:
- 5.2 Under £10,000: Schemes up to a value of £10,000 per scheme, up to a total value of £300,000, to be approved by the budget manager for the ITCP (currently the Senior Highway Manager).
- 5.3 Between £10,001 and £200,000: £600,000 to be allocated to schemes with a value between £10,001 and £200,000. Schemes to be approved via the delegated approvals requested in section 6. For clarification, this would cover the need for an additional £80,000 to deliver the second phase of our in house fleet replacement programme, as identified in Cabinet paper 120/2019 and secure circa £50,000 for consultancy support to complete our Local cycling and walking infrastructure plan (which will be used to identify future walking and cycling infrastructure priorities).
- 5.4 Larger projects with an estimated value over £200,000 will be brought to Cabinet (and Council where required) separately for consideration.
- 5.5 It should be noted that the HTWG is not a decision making body. Schemes and concerns may be highlighted to the Group for consideration, however they do not have authority to approve schemes.

6 DELEGATIONS

- 6.1 To help speed up approval of schemes, it is requested that Cabinet approve the following requests for delegated power:
- 6.2 Delegate authority to the Strategic Director for Places in consultation with the **Portfolio Holder for Culture and Leisure, Environment, Highways & Transportation & Road Safety** to:
- Approve the design, construction/ implementation and spend of/ on ITCP schemes with a value between £10,001 and £200,000.
 - Create or modify traffic regulation orders in order to deliver schemes or works associated with the Highway and Transport teams (and sub areas – including but not limited to parking), subject to the Traffic Regulation

Order (TRO) complying with DfT guidance.

7 CONSULTATION

- 7.1 This report has been developed in consultation with the Strategic Director for Places and the **Portfolio Holder for Culture and Leisure, Environment, Highways & Transportation & Road Safety**, along with senior officers from transport and highways.
- 7.2 Consultation and communications associated with the HTCP can be found in cabinet report 134/2020.

8 ALTERNATIVE OPTIONS

- 8.1 A - Move to a programme of work that is approved yearly – this approach was historically utilised but steered away from due to the impact it had on delivery timescales.
- 8.2 B – Do not allocate any of the funding to the ITCP. The funding would be available to allocate to another council project. This option would inhibit us from undertaking our statutory duties outlined in section 10.
- 8.3 C – Roll all funds over to 2022/23 – this would delay the implementation of schemes that have been identified as Highways concerns by local communities.

9 FINANCIAL IMPLICATIONS

- 9.1 Approved schemes identified on the ITCP will be funded through the Integrated Transport Capital Block grant, which is provided to highway authorities by the Department for Transport (DfT) to enable them to:
- 9.2 Deliver the programme of works and policies set down within the Local Transport Plan (Transport Act 2000); and
- 9.3 Carry out studies into accidents arising out of the use of vehicles on the highway and take appropriate measures to prevent such accidents (Road Traffic Act 1988).
- 9.4 Although this funding is not ring fenced this report proposes using it to fulfil these purposes.
- 9.5 It should be noted that no indication has currently been received regarding future funding allocations from 2021/22 onwards.
- 9.6 Use of the budget may lead to revenue savings as a result of implementing traffic calming and road safety schemes that reduce the number of accidents on our roads, and in turn, reduce damage to highway furniture - thus saving on maintenance costs.

10 LEGAL AND GOVERNANCE CONSIDERATIONS

- 10.1 Cabinet approval is sought regarding the decision making process and delegated

powers outlined in sections 5 and 6 respectively.

- 10.2 The DfT states that Integrated transport (IT) funding is provided to enable the Council to fulfil the following statutory duties:
- 10.3 Deliver the programme of works and policies set down within the local transport plan (Transport Act 2000); and
- 10.4 Carry out studies into accidents arising out of the use of vehicles on the highway and take appropriate measures to prevent such accidents (Road Traffic Act 1988).

11 DATA PROTECTION IMPLICATIONS

- 11.1 A Data Protection Impact Assessments (DPIA) has not been undertaken for this report as one was previously completed for Cabinet report 134/2020 (relating to the process).

12 EQUALITY IMPACT ASSESSMENT

- 12.1 An Equality Impact Assessment (EqIA) has not been completed as a screening Equality Impact Questionnaire was completed for Cabinet report 134/2020 (relating to the process) and no adverse or other significant issues were found that required a full Equality Impact Assessment to be carried out.

13 COMMUNITY SAFETY IMPLICATIONS

- 13.1 Road Safety is one of the Safer Rutland Partnership's key priorities, particularly combating speeding and anti-social driving in the County's villages and market towns. Linked to this the Road Safety Partnership promotes a number of initiatives and campaigns to improve road safety including community speed watch.
- 13.2 The Council and its partners also investigate KSI (killed or seriously injured) accident sites to identify if there is scope to undertake improvements that may reduce the number of accidents at these sites.
- 13.3 Some schemes may result in road safety improvements.

14 HEALTH AND WELLBEING IMPLICATIONS

- 14.1 Some schemes emanating from the ITCP may encourage walking and cycling, which in turn has the potential to improve health.
- 14.2 A number of the schemes being considered could improve wellbeing due to improvements that tackle both perceived and actual speeding and traffic problems.

15 ORGANISATIONAL IMPLICATIONS

- 15.1 Environmental implications

- 15.2 Where engineering works take place, consideration will be given to the impact on the environment and climate. In larger schemes, where necessary, the need for an environmental assessment and/ or habitat regulation assessments will be considered.
- 15.3 Human Resource implications
- 15.4 Should the number of concerns continue to increase, additional resourcing may be required.

16 CONCLUSION AND SUMMARY OF REASONS FOR THE RECOMMENDATIONS

- 16.1 The recommendations are put forward with a view to:
- 16.2 Providing funding to enable us to fulfil our statutory duties,
- 16.3 Enable us to continue delivering schemes that have the potential to improve perceived and actual road safety.
- 16.4 Speeding up the process and ensuring a more responsive service, and
- 16.5 Ensure the most efficient use of funding.

17 BACKGROUND PAPERS

- 17.1 Cabinet report: 120/2019
- 17.2 Cabinet report: 134/2020

18 APPENDICES

- 18.1 Appendix A: Integrated Transport Capital Programme of work (2020/21 – period 4)

A Large Print or Braille Version of this Report is available upon request – Contact 01572 722577.

Appendix A: Integrated transport capital programme of works (quarter 4 - as of January 2021)

| Community concern schemes (those below relate to schemes agreed prior to process change) | | | | | |
|--|--|------------|---|----------------|----------------|
| Reference | Location | Category | Concern | Funding commit | Estimated cost |
| ITCP/2017/13 | Lyndon Top, Manton | Beneficial | Lack of dedicated cycle route | Y | £45,000 |
| ITCP/2018/01 | Northern footway on the A6121, Ketton - approximately between Chater Lodge and | Beneficial | Safety concerns for cyclists and pedestrians | N | £5,000 |
| ITCP/2018/03 | the A6121 (Main Street) and Casterton Lane, Tinwell | Beneficial | Speeding vehicles causing concern for safety | Y | £3,000 |
| ITCP/2018/04 | Church Road and Empingham Road, Ketton | Beneficial | Traffic management and civil enforcement review | N | £5,000 |
| ITCP/2019/07 | Manor Road, Stocken Hall Road and Clipsham Road, Stretton | Beneficial | Speeding traffic | Y | £21,000 |
| ITCP-2019-31 | Road between Toll Bar towards Little Casterton, Little Casterton | Necessary | Speeding traffic | Y | £5,000 |
| ITCP-2019-32 | Village entrances on A6121 from Bourne and Stamford, Ryhall | Necessary | Speeding traffic | Y | £4,000 |
| ITCP-2019-45 | 40mph buffer zones on the A606, Empingham | Necessary | Speeding Traffic and pedestrian safety | Y | £3,500 |
| ITCP-2019-46 | Various locations within Edith Weston | Beneficial | Speeding traffic and inconsiderate / dangerous | Y | £6,200 |
| ITCP-2020-02 | Junction of Woodside and Cottesmore Road, Ashwell | Beneficial | Junction visibility - road safety concern | Y | £1,000 |
| ITCP-2020-05 | Main Street outside village shop/village green, Greetham | Beneficial | Safety concerns over chicane priority sign | N | £5,000 |
| ITCP-2020-06 | Geeston settlement carriageway | Beneficial | Road Safety - lack of footway | N | £10,000 |
| ITCP-2020-17 | North side of Rogues Lane, opposite the recently installed bus stop/shelter, Cottesm | Beneficial | Accessibility - lack of dropped kerb | N | £2,000 |
| Road safety schemes | | | | | |
| Reference | Location | | Concern | Funding commit | Estimated cost |
| ITCP-2020-26 | A6003, eastern village entrance, Caldecott | N/A | Road safety | N | £20,000 |
| Strategically identified schemes | | | | | |
| Reference | Location | | Concern | Funding commit | Estimated cost |
| NA | NA | N/A | Fleet replacement programme cost | N | £80,000 |
| NA | Rutland - various | N/A | Consultancy support to complete RCC's Local cycling and walking infrastructure plan | N | £50,000 |

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CABINET

16th February 2021

HOME TO SCHOOL TRANSPORT CONTRACT AWARD

Report of the Strategic Director for Places

| | | |
|--------------------------------|--|--|
| Strategic Aim: | All | |
| Key Decision: Yes | Forward Plan Reference: FP/250920 | |
| Exempt Information | No | |
| Cabinet Member(s) Responsible: | Cllr L Stephenson, Portfolio Holder for Culture & Leisure, Highways & Transportation and Road Safety | |
| Contact Officer(s): | Emma Odabas, Transport Operations Manager | 01572 720923 eodabas@rutland.gov.uk |
| Ward Councillors | All | |

DECISION RECOMMENDATIONS

That Cabinet:

1. Approves the procurement model (section 4 and appendix C) and criteria for the award of home to school transport (section 5 and appendix D) contracts for academic year 21/22.
2. Delegates authority to the Strategic Director for Places in consultation with the Portfolio Holder for Culture & Leisure, Highways & Transportation and Road Safety to award the contracts resulting from this procurement.

1 PURPOSE OF THE REPORT

- 1.1 This report sets out the process and proposed award criteria for the procurement of home to school transport contracts, along with recommendations for approval and delegation of final award.

2 BACKGROUND AND MAIN CONSIDERATIONS

- 2.1 Rutland County Council provides a range of transport services including: home to school transport; transport for children with special educational needs; transport for children looked after; post-16 education transport; and public transport services in line with statute and Council policy.
- 2.2 Alongside provision through the Council's in-house commissioned transport fleet, this transport is also provided by a number of external organisations (bus, minibus and taxi) via a range of long term, short term and emergency contracts.
- 2.3 Service requirements are reviewed each year alongside contract expiration dates. This takes place each year because contract requirements change on an annual basis. Some contracts (particularly those for SEND transport and children looked after where needs can change very regularly) are only awarded for 1 year, whilst others are awarded for up to 5. The contract review takes into account any changes to student distribution, school location, start or finish times, and school holidays.
- 2.4 The transport team uses admissions data to ascertain which students will be likely to require transport for the next academic year, and their destination. This data is used to decide whether existing routes are appropriate, or whether efficiencies can be realised via route changes and alterations to vehicles. Furthermore, the need for lone transport and passenger assistants on SEND routes is also reviewed to ensure the services specified are what is actually required. This helps to reduce legacy arrangements when service user needs have changed over time and transport can now be delivered in a more economically advantageous way whilst still meeting the needs of service users.
- 2.5 All potential contracts are sent out to tender, including those that will probably be operated by the Council's in house-fleet. This enables the transport team to compare costs of providing the services in-house versus outsourcing and ensures the in-house fleet continues to offer good value for money.
- 2.6 Although transport contracts are subject to continual review throughout the year to ensure best use of resources, the main review of requirements for the next academic year takes place between February and June. Additions and amendments to existing transport contracts are usually lower in cost than introducing a new contract/route so this is considered first for new applicants. For students with SEND and enhanced needs cases are dealt with on a case by case basis. An outline of the steps taken in allocating transport is provided in Appendix A.

3 CONTRACT REQUIREMENTS

What is being procured?

3.1 Three types of service are being procured – broken down into procurement lots, as follows:

- Lot 1 (school bus contracts)
- Lot 2 (specialist transport taxis/minibuses)
- Lot 3 (pence per mile taxis & buses)

Contract length

3.2 Each individual route has its own contract length based on the requirements of the students.

3.3 Mainstream school bus contracts tend to be offered for a period of 5 years wherever possible as this attracts more interest from operators, but routes with fewer students can be offered anywhere between 1 year up to 5 years dependant on the future transport needs of the students concerned.

3.4 Contracts are offered for the longest period possible to secure the best price. However sometimes this is only one year as funding is only secured for one year, or the student's placement may be changing after one year. Offering contracts for longer than necessary could increase costs and the administrative burden as each contract would still need reviewing year on year, and we are likely to end up paying operators during their notice periods when we may not be using the transport.

3.5 Notice to terminate by both parties is 1 calendar month for all home to school transport contracts.

Contract value

3.6 The estimated contract value (over the lifetime of all contracts included in the 3 lots) is £795,840. The breakdown is shown in appendix B. Only 2 of the contracts are of a value that would usually require cabinet approval, however details of all contracts that may require re-tendering this year are provided for context. The total value of these contracts is £302,100.

3.7 Previous years advertised costs were:

- 2018/19 - £1,286,115.00
- 2019/20 - £1,122,500.00
- 2020/21 - £1,258,461.00

3.8 A low number of school bus contracts are due to expire in 2021 which in turn lowers the overall estimated contract value. This value is estimated because the contracts tendered may change during the review process, and prices are based on previous tender prices and as such are subject to change during the tender process.

4 PROCUREMENT MODEL

- 4.1 Following the annual review of transport requirements an invitation to tender is issued in adherence with the OJEU process, with support from the Welland Procurement Unit. The procurement process will follow the OJEU process in line with the Council's Contract Procedure Rules. The value of the contracts combined is above the EU threshold.
- 4.2 Services usually operated by the Council's in-house fleet are also advertised to provide assurance that in-house operation of those services demonstrates best value for money.
- 4.3 The OJEU process also collects "pence per mile" quotes from operators in order that requests for quotations can be sent out to the bidders that are likely to provide the service at the lowest price for new or revised service requirements that occur during the course of the academic year.
- 4.4 The timetable for the process for the academic year 2021/2022 is set out in Appendix C and the award criteria are set out in Appendix D.

5 AWARD CRITERIA

Initial screening/ quality criteria

- 5.1 Companies must meet quality criteria (initial screening) in order to be eligible to tender. These have been developed with support from the Welland Procurement Unit. The majority of them are fixed, however section 8 of the table in Appendix D allows for additional quality criteria that can be changed on a contract by contract basis depending on any specific contract requirements. Examples of this might include: being able to meet necessary specific insurance levels; being able to demonstrate vehicles are adequately maintained; and /or having passenger assistants with an appropriate level of training. To obtain and retain a PSV operator's license (O' License) involves meeting criteria relating to operator financial standing, good repute and strict operational standards. Compliance checks are carried out by both the DVSA and the relevant Traffic Commission in the form of initial screening and on-going checks and therefore quality standard checks to hold an O' licence are in place externally. This removes the requirement for RCC to further stipulate localised quality standards for tendering other than the pass/fail criteria of holding the correct license/s. Further information on the criteria for obtaining transport licensing is available online:
<https://www.gov.uk/government/publications/psv-operator-licensing-a-guide-for-operators-psv437>

Basis of award

- 5.2 Contracts will be awarded on the basis of cost to a bidder who meets the quality criteria. Contract specifications will therefore state that contracts will be awarded to the lowest priced bidder that is able to deliver the contract.

Power to award contracts

- 5.3 Cabinet approval is sought to delegate authority to the Strategic Director for

Places in consultation with the Portfolio Holder for Culture & Leisure, Highways & Transportation and Road Safety to award the contracts resulting from this procurement.

6 CONSULTATION

6.1 This report has been developed in consultation with the portfolio holder.

7 ALTERNATIVE OPTIONS

7.1 The contract award could be brought back to Cabinet for approval rather than delegated to the Portfolio Holder and Strategic Director for Places. However this approach would delay the award and may impact the Council's ability to deliver its statutory obligations.

8 FINANCIAL IMPLICATIONS

8.1 The contracts to be awarded will be funded via the existing budget allocations for transportation of mainstream, special educational needs, post-16 and children looked after and will not require additional resource allocation.

8.2 However most years special educational needs transport and children looked after transport report budget pressures due to overspend. This is due to increasing demand and/or complexity of cases year on year in a demand led statutory service area.

9 LEGAL AND GOVERNANCE CONSIDERATIONS

9.1 The Home to School Transport procurement process has been drawn up with the Welland Procurement Unit, in line with the requirements of the Public Contracts Regulations 2015 and the Council's Contract Procedure Rules.

9.2 Contained within the award process are 31 separate contracts. Many of these contracts would ordinarily fall within the delegated powers to award the lower value contracts. Officers, in consultation with the Portfolio Holder, have chosen not to exercise those powers in this case to ensure that Cabinet is able to fully consider matters and have a full picture when considering whether to authorise delegation of award or not.

10 EQUALITY IMPACT ASSESSMENT

10.1 An EIA screening form has been completed and a full assessment is not required.

11 COMMUNITY SAFETY IMPLICATIONS

11.1 The Council is required by Section 17 of the Crime & Disorder Act 1998 to take into account community safety implications. No implications found.

12 HEALTH AND WELLBEING IMPLICATIONS

12.1 None.

13 DATA PROTECTION IMPLICATIONS

13.1 A data protection impact assessment has not been completed as there are no data

protection implications.

14 ORGANISATIONAL IMPLICATIONS

- 14.1 TUPE (Transfer of Undertakings (Protection of Employment) Regulations 2006) and subsequent amendments will not apply to the Home to School Transport procurement.

15 SOCIAL VALUE IMPLICATIONS

- 15.1 Many of the operators who bid for tenders are local companies meaning that income generated through the contracts is fed back into local communities. By letting each contract as a separate contract smaller operators are not excluded from the process meaning that SMEs can fully participate in bidding for work.

16 ENVIRONMENTAL IMPLICATIONS

- 16.1 Children travelling on school buses are likely to have less of an environmental impact than those being driven to school. Where possible, children are placed on public service vehicles hence their transport does not increase emissions because the vehicle is already traveling. As such school bus provision is likely to have a positive impact on climate change.

17 CONCLUSION AND SUMMARY OF REASONS FOR THE RECOMMENDATIONS

- 17.1 All potential alternative options to deliver these statutory services have been considered, and the recommendation below to tender and award contracts represents the best option to enable us to deliver statutory services.
- 17.2 Therefore in order for the procurement process to commence the award criteria (appendix D) needs to be approved by Cabinet. The criteria have been carefully considered to ensure that providers successful in the process are capable of meeting the necessary requirements and can deliver appropriate quality services in Rutland.
- 17.3 It is recommended that power to award the contract is delegated to the Strategic Director for Places in consultation with the Portfolio Holder for Culture & Leisure, Highways & Transportation and Road Safety. This will speed up the process and decisions will be made in line with criteria in this report.

18 BACKGROUND PAPERS

Transport Contract Award Criteria (33/2018), 20th February 2018.

Home to school transport tenders (95/2019), 16th July 2019.

19 APPENDICES

- 19.1 Appendix A – Transport allocation process
- 19.2 Appendix B – Contract Value
- 19.3 Appendix C – Timetable

A Large Print or Braille Version of this Report is available upon request – Contact 01572 722577.

Appendix A. Transport allocation process

Mainstream Transport – No enhanced need

Stage 1:

Is students home address within walking distance of an existing school bus contract or local bus service or could the route of an existing contract be amended to incorporate a new pick up point for the student? Journey length and suitability of route to be investigated for compliance.

Stage 2:

If no existing bus transport, is there any availability to add student to an in-house run or to an existing taxi contract if revisions were possible? Contractual considerations and journey length would need to be investigated.

Stage 3:

If there is more than one option available for the student and the transport requirements, a comparison of costs takes place to compare the subsidy per student on for each option and provided the transport meets need, the transport option with the lowest subsidy for the student would be implemented.

Enhanced need & SEND

Stage 1:

Can the student travel with others? Does the student require any assistive equipment? Does the student require a passenger assistant?

Stage 2:

As with mainstream students, the existing transport provision is looked at in detail to establish whether anything is in place which meets the transport requirement and student need and if more than 1 option available, a comparison of subsidy would take place.

Stage 3:

All new transport requirements that do not fit with existing provision are sent out to quotation/tender and price submissions are then compared against a price to operate with our in-house resource. This could include the recruitment of new staff, utilising staff car scheme vehicles either end of the day to achieve low operation costs or short term lease of an additional vehicle if it represents best value compared to external tender prices.

In some cases, the investment of staff resource and funds into travel training can widen transport options and potentially reduce cost going forwards and the allocation of a personal travel budget will be considered with the approval of parents/guardians if this represents best value and the parent / guardian is willing to provide transport.

Appendix B. – Estimated Contracts List – expiring July 2021

| Contract | Route | Current 20/21 contract cost per annum | Overall contract cost | Contract length |
|-----------------|----------------------------------|--|------------------------------|------------------------|
| SN2 | Harington School | £12,350 | £12,350 | 1 Yr |
| SN4 | Isebrooke College | £14,456 | £72,280 | 5 Yrs |
| SN10 | Brooksby Melton College | £7,841 | £7,841 | 1 Yr |
| SN11 | Sustainable Land Trust | £15,077 | £15,077 | 1 Yr |
| SN12 | Red Kite School | £14,300 | £14,300 | 1 Yr |
| SN13 | Brooksby Melton College | £3,876 | £3,876 | 1 Yr |
| SN14 | Catmose College | £20,800 | £20,800 | 1 Yr |
| SN16 | Cambian School | £19,791 | £17,971 | 1 Yr |
| SN18 | Kingswood Academy | £6,350 | £6,350 | 1 Yr |
| SN19 | Wilds Lodge | £15,834 | £15,834 | 1 Yr |
| SN23 | Millgate School | £9,085 | £9,085 | 1 Yr |
| SN24 | Willowbank | £14,280 | £14,280 | 1 Yr |
| SN25 | Sketchley School | £13,650 | £13,650 | 1 Yr |
| SN27 | The Garth School | £11,781 | £11,781 | 1 Yr |
| SN33 | North Luffenham Primary | £14,577 | £14,577 | 1 Yr |
| SN34 | Willowbank School | £16,172 | £16,172 | 1 Yr |
| SN37 | Uppingham Community College | £8,763 | £8,763 | 1 Yr |
| SN40 | Longfield Acad/John Ferneley Sch | £18,995 | £18,955 | 1 Yr |
| SN42 | Casterton College | £10,400 | £10,400 | 1 Yr |
| SN43 | New College Stamford | £3,600 | £3,600 | 1 Yr |
| SN56 | Catmose College | £6,500 | £6,500 | 1 Yr |
| SN61 | Uppingham Community College | £3,048 | £3,048 | 1 Yr |

| Contract | Route | Current 20/21 contract cost per annum | Overall contract cost | Contract length |
|-----------------|-----------------------------|--|------------------------------|------------------------|
| MS361 | Uppingham Community College | £23,736 | £118,680 | 5 Yrs |
| MS368 | Uppingham Community College | £19,780 | £98,900 | 5 Yrs |
| MS340 | Casterton College | £36,684 | £183,420 | 5 Yrs |
| MS400 | Catmose College | £39,000 | £39,000 | 1 Yr |
| MS401 | Catmose College | £38,350 | £38,350 | 1 Yr |

Appendix C. Procurement Timetable

| Action | By When |
|---|--------------------------------|
| Cabinet Approval for Award Criteria | 16 th February 2021 |
| [OJEU Notice published /PIN published] | |
| Invitation to Tender published | |
| Deadline for questions from bidders | |
| Deadline for responses to questions | |
| Tender submissions deadline | |
| Evaluation of Tenders | |
| Clarification meetings (if required) | |
| Approval of Contract Awards | |
| Notification of award/start of standstill | |
| End of standstill | |
| Contract award | |
| Contract start date | |

Appendix D. Award Criteria

| Criteria | Weighting |
|-----------|-----------|
| 1.Price | 100% |
| 2 Quality | PASS/FAIL |

Pricing based on price per day of operation.

CRITERIA FOR ASSESSING QUALITY (selection questions)

| Question No. | Section Headings and Sub-Headings | Maximum Available Section Score | Weighting Within Sub-Heading |
|---------------|---|---------------------------------|------------------------------|
| 1.1 | Potential Supplier Information | | |
| 1.1 (a) | Full name | | |
| 1.1 (b) (i) | Registered office | | |
| 1.1 (b) (ii) | Registered website address | | |
| 1.1 (c) | Trading status | | |
| 1.1 (d) | Date of registration | | |
| 1.1 (e) | Company registration number | | |
| 1.1 (f) | Charity registration number | | |
| 1.1 (g) | Head Office DUNS number | | |
| 1.1 (h) | Registered VAT number | | |
| 1.1 (i) (i) | Appropriate professional/trade registration | 0% | 0% |
| 1.1 (i) (ii) | If yes, details | | |
| 1.1 (j) (i) | Legal required for professional/trade registration | | |
| | If yes, details | | |
| 1.1 (j) (ii) | Relevant classifications | | |
| 1.1 (k) | SME | | |
| 1.1 (m) | Persons of Significant Control | | |
| 1.1 (n) | Details of immediate parent company | | |
| 1.1 (o) | Details of ultimate parent company | | |
| 1.1 (p) | | | |
| 1.2 | Bidding Model | | |
| 1.2 (a) (i) | Bidding as lead contact for a group of economic operators | | |
| 1.2 (a) (ii) | Name of group of economic operators | 0% | 0% |
| 1.3 (a) (iii) | Proposed legal structure | | |
| 1.2 (b) (i) | Use of Sub-Contractors | | |
| 1.2 (b) (ii) | Sub-Contractor details | | |
| 1.3 | Contact Details and Declaration | 0% | 0% |

| Question No. | Section Headings and Sub-Headings | Maximum Available Section Score | Weighting Within Sub-Heading |
|---|--|--|-------------------------------------|
| 1.3 (a)-(h) | Details completed | | |
| 2 2.1 (a) | Grounds for Mandatory Exclusion Regulations 57(1) and (2): Criminal organisation Corruption Fraud Terrorist offences Money laundering Child labour/human trafficking Breach of environmental obligations Breach of social obligations Breach of labour obligations Bankrupt/insolvency or winding-up proceedings Grave professional misconduct Agreements with other economic operators to distort competition Conflict of interest Preparation of procurement procedure Early termination of contract /damages/comparable sanctions In breach of obligations re: tax/social security contributions | Pass/Fail | Pass/Fail |
| 2.1 (b) | Measures taken | | |
| 2.2 | Self-cleaning measures | Pass/Fail | Pass/Fail |
| 2.3 (a) | Breach of tax/social security obligations | Pass/Fail | Pass/Fail |
| 2.3 (b) | If yes, further details | | |
| 3 3.1 (a) 3.1 (b) 3.1 (c) 3.1 (d) 3.1 (e) 3.1 (f) 3.1 (g) 3.1 (h) 3.1 (i) 3.1 (j) 3.2 | Grounds for Discretionary Exclusion Regulation 57 (8) Breach of environmental obligations Breach of social obligations Breach of labour obligations Financial administration Guilty of grave professional misconduct Distorting competition Conflict of interest Involved in preparation of procurement Significant or persistent deficiencies Statement response If yes, self-cleaning | Pass/Fail | Pass/Fail |
| Question No. | Section Headings and Sub-Headings | Maximum Available Section Score | Weighting Within Sub-Heading |

| Question No. | Section Headings and Sub-Headings | Maximum Available Section Score | Weighting Within Sub-Heading |
|---------------------|---|--|-------------------------------------|
| 4 and 5 | Economic and Financial Standing | | |
| 4.1 | Audited accounts or alternative means of demonstrating financial status | | |
| 4.2 | Minimal financial threshold | Pass/Fail | Pass/Fail |
| 5.1 | Parent company accounts | | |
| 5.2 | Parent company guarantee | | |
| 5.3 | Bank guarantee | | |
| 6 | Technical and Professional Ability | | |
| 6.1 | Details of up to three contracts Evidence of healthy supply chains maintained with sub-contractors | 0% | 0% |
| 6.2 | Sub contract supply chain management | | |
| 7 | Requirements under Modern Slavery Act 2015 | | |
| 7.1 | Relevant commercial organisation | Pass/Fail | Pass/Fail |
| 7.2 | Compliant with annual reporting requirements | | |
| 8 | Additional Questions: | | |
| 8.1 | Insurance | Pass / Fail | Pass/Fail |

CRITERIA FOR ASSESSING TENDER RESPONSES

Only those Bidders which pass the Selection Questions will have their tenders evaluated using this scheme.

| Section Headings and Sub-Headings | Maximum Score Available | Weighting Within Sub-Heading |
|--|--------------------------------|-------------------------------------|
| Quality | | |
| Company vehicle compliance | 0% | Pass/Fail |
| Employee licensing | | Pass/Fail |
| * Price (exclusive of VAT) | | |
| Route pricing | 100% | 100% |
| Total | 100% | |

Pricing should be shown per day of operation. Unit rates and prices must be quoted in pounds and decimals of a pound. Such decimals need to be restricted to two decimal places.

For the purpose of giving feedback to bidders at the end of the process, pricing will be converted to a percentage score using the following formula:

Lowest price for this route x 100%

Bidder's price for this route

So if the lowest price offered for a given route is from Bidder A at £20.00, and

the price offered by Bidder B is £40.00,

Then Bidder A will score $\frac{\pounds 20.00}{\pounds 20.00} \times 100\% = 100\%$ Contract awarded

And Bidder B will score $\frac{\pounds 20.00}{\pounds 40.00} \times 100\% = 50\%$

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CABINET

16th February 2021

QUARTER 3 FINANCE MANAGEMENT REPORT

Report of the Strategic Director for Resources

| | | |
|--------------------------------|---|--|
| Strategic Aim: | All | |
| Key Decision: No | Forward Plan Reference: FP/100920 | |
| Exempt Information | No | |
| Cabinet Member(s) Responsible: | Mr G Brown, Deputy Leader and Portfolio Holder for Planning and Finance | |
| Contact Officer(s): | Saverio Della Rocca, Strategic Director for Resources (s.151 Officer) | 01572 758159 sdrocca@rutland.gov.uk |
| | Andrew Merry, Finance Manager | 01572 758152 amerry@rutland.gov.uk |
| Ward Councillors | N/A | |

DECISION RECOMMENDATIONS

That Cabinet:

- a) Notes the projected revenue outturn for 20/21 and the uncertainty that remains;
- b) Notes the financial impact of COVID-19 on the Council's finances and the risks that remain.

1 PURPOSE OF THE REPORT

- 1.1 To inform Cabinet and all Members of the projected outturn for 20/21 including the impact of COVID-19 on the Councils finances and the Medium Term Financial Plan.
- 1.2 In November, the Council reported on the Quarter 2 finance position. This report brings Members up-to-date with the current financial position at Quarter 3.

2 2020/21 REVENUE OUTTURN

2.1 Background

- 2.1.1 The purpose of this section is to give an update on the performance against the revenue budget and in doing so to present the financial impacts of COVID-19.
- 2.1.2 Figures shown in this report include a combination of **actual costs incurred** and **estimates** based on our knowledge as at the end of December. As reported at Quarter 2, forecasting likely expenditure during the pandemic is proving challenging. New duties and requirements emerge weekly, issues can change very quickly and new funding is being received. The above factors added to local issues (e.g. health and capacity of the workforce) mean that the position is variable.
- 2.1.3 The Government originally committed to meet extra costs arising and to cushion the impact of the pandemic. The Government has continued to make funding available that support these intentions. This position has not changed.
- 2.1.4 Whilst there remains concern that there will not be sufficient funding to cover all impacts beyond 20/21 (e.g. income losses and the impact of additional costs in certain sectors such as Leisure) the Government has promised additional funding for 21/22 which has been highlighted in the Budget for 21/22 (17/2021).
- 2.1.5 The impact described in this report in respect of 20/21 covers:
- a) One off costs;
 - b) Additional service costs which will increase as the crisis continues, and may end as we return to normal;
 - c) Lost income from fees and charges; and
 - d) The effect of new grants awarded.

2.2 Overall position against budget

- 2.2.1 The Council approved a budget in February 2020 which has been updated at Quarter 3. All approved changes since Quarter 2 are detailed in Appendix A.
- 2.2.2 In overall terms, the Council is coming in under budget compared to the budget position. This is a very strong position compared to many other local authorities who are reporting significant over spends. Section 2.3 covers the position and movement in more detail.
- 2.2.3 The table below summarises the position against the Council's revised budget.

| | Revised Budget | Q2 Forecast Outturn | Q3 Forecast Outturn | COVID variance | Non COVID variance |
|----------------------------------|-----------------------|----------------------------|----------------------------|-----------------------|---------------------------|
| | £000 | £000 | £000 | £000 | £000 |
| People | 19,139 | 19,031 | 19,058 | 351 | (432) |
| Places | 13,407 | 14,573 | 14,540 | 1,211 | (78) |
| Resources | 7,504 | 7,439 | 7,471 | 240 | (273) |
| Directorate Totals | 40,050 | 41,043 | 41,069 | 1,802 | (783) |
| COVID costs | 4,223 | 2,676 | 2,118 | (2,105) | 0 |
| COVID grants | (4,223) | (3,708) | (4,223) | 0 | 0 |
| Pay Inflation | 98 | 0 | 0 | 0 | (98) |
| Needs management | 130 | 0 | 0 | 0 | (130) |
| Net Cost of Services | 40,278 | 40,011 | 38,964 | (303) | (1,011) |
| Depreciation | (2,344) | (2,344) | (2,344) | 0 | 0 |
| Capital Financing | 1,647 | 1,647 | 1,647 | 0 | 0 |
| Interest Receivable | (300) | (247) | (254) | 46 | 0 |
| Net Operating Expenditure | 39,281 | 39,067 | 38,013 | (257) | (1,011) |
| Financing | (38,619) | (38,554) | (38,660) | 0 | (41) |
| Transfers to/(from) reserves | (716) | (553) | (385) | 0 | 331 |
| Revenue Contribution to Capital | 44 | 0 | 44 | 0 | 0 |
| (Surplus)/Deficit | (10) | (40) | (988) | (257) | (721) |
| General Fund 1 April 20 | (9,171) | (9,171) | (9,171) | | |
| General Fund 31 March 21 | (9,181) | (9,211) | (10,159) | | |

2.3 Key messages

2.3.1 The Directorate forecasts are detailed in Appendix B. Over and underspends have been split, where possible, according to whether they are COVID-19 related. Where there are other risks that are causing overspends outside of COVID-19, these are discussed in Appendix C. The forecast is largely in line with the position reported at Q2.

2.3.2 Within the Covid forecast there has been a number of changes. A full analysis of the changes to forecasts are shown in appendix E. The main changes within the forecast, from Quarter 2, is a £400k reduction across Adult and Children social care. It was expected that we would see an increase in the need for help towards the back end of the year but this has not materialised. It is very likely that the impact of additional need will be soon in 21/22 as restrictions are relaxed and we return to “normal”. The overall Covid-19 budget is underspent but the Council has

still been able to maintain an appropriate response to the pandemic.

- 2.3.3 The Council have also been allocated £400k from the Contain Outbreak Management Fund, and expects a further c£600k if current restrictions are funded as they have been in the past. A large proportion of this response has been delivered via existing resources. The Council are still working on the exact costs to be allocated against this funding. As a result the costs are still shown in either the directorates or Covid, but no forecast has been assumed for this expenditure to avoid double counting the expenditure.
- 2.3.4 Lost income - Lost income arising from closedown of services is shown in Directorate budgets but has been itemised separately in Appendix F. The Council has submitted a claim from Government for lost income.
- Places Directorate £790k– the key areas that have lost income as a result of the pandemic are Parking Services £437k, Highways £127k, Registration Services £85k, Libraries, Museum and Castle £22k, Planning £70k and Leisure Service £39k.
 - Resources Directorate £30k – Court Fee Income.
- 2.3.5 In summary, the underspend position is positive. It is possible that this underspend will increase further by the year end but this will depend on the work Council needs to undertake as part of its pandemic response. Notwithstanding the comment, any underspend at the year-end will either boost the Council's General Fund reserves or will be used to support the Council's pandemic response (including funding the continued use of agency staff in some areas and responding to any further pressures that may emerge in 21/22 not budgeted for).

2.4 Use of COVID funding

- 2.4.1 The Total amount COVID grants received is £4.898m of which general COVID grants make up £2.310m including £874k received in late 19/20, of which £848k was unused as at 31st March and transferred to an Earmarked Reserve. This reserve will be drawn down in 2021/22 as per Budget Report (17/2021). On top of the general funding, there has been specific funding for various initiatives. A full breakdown is given in Appendix D;
- 2.4.2 Costs associated with COVID-19 are shown in a separate cost centre but some are also shown in Directorate budgets. Appendix E gives more information on additional costs already incurred and a forecast for the remainder of the financial year.
- 2.4.3 The overall position shows that the grants from Government (including £848k held with reserves from the allocation received in 19/20) are likely to be sufficient to cover all 20/21 costs based on current forecasts. A summary of the COVID impact is given below.

| | £000 | Notes |
|--|--------------|--|
| Additional costs | | |
| Directorates | 952 | Generally covers additional costs within existing contracts (see 2.3.3, review of existing costs to be allocated against Contain grant is likely to increase this figure). |
| Covid cost centre (see Appendix E) | 2,118 | Covid specific expenditure including ringfenced grants e.g. infection control fund. |
| Lost income | 849 | Impact of the council having to close venues and the decision made to reduce car parking fees. |
| Total costs | 3,919 | |
| Grants | 4,223 | Includes anticipated grant income for lost income |
| Total 20/21 net impact | (304) | Any surplus grant for 20/21 will go towards future losses |

2.5 MTFP update

2.5.1 The Council has updated its MTFP as part of the annual budget process. The draft budget was presented to cabinet on 12th January 2021 (Report 08/2021). There are no updates to those presented as part of the draft budget report. The Final Budget Report (17/2021) will update the MTFP further.

3 OTHER UPDATES

3.1 Capital programme

3.1.1 The approved capital programme was £28.695m as set out in Report 141/2020. Further to various approvals the net change to the capital programme is £673k, therefore giving a revised capital programme of £29.369m. The detailed position for each project is shown in Appendix G.

| Portfolio | Project | Amount | Amount |
|--|---|--------|---------------|
| | | £000 | £000 |
| Approved Capital Programme (Q2 141/2020) | | | 28,695 |
| Approval since Q2 Monitoring Report | | | |
| Asset Management Requirements | School Capacity & Feasibility Study (Delegation) | 17 | |
| Asset Management Requirements | Emergency Active Travel Project (Ring Fenced - Tranche 2) | 29 | |
| Strategic Aims and Priorities | Disabled Facilities Grant (Ring Fenced) | 32 | |
| Strategic Aims and Priorities | Affordable Housing (Report 03/2021) | 650 | |
| | | | 728 |
| Reprofiling since Q2 Monitoring Report | | | |
| Strategic Aims and Priorities | Duplicate Project (S106 Delegation) | (43) | |
| Strategic Aims and Priorities | Empingham GP (Emergency Delegation & cabinet paper) | (8) | |
| Asset Management Requirements | Barleythorpe Road Car Park (Closed) | (3) | |
| Total Approved since September Update | | | 673 |
| Revised Capital Programme 2020/21 (At Q3) | | | 29,369 |

3.2 Schools Funding

3.2.1 Schools are funded from ring fenced grants, the most notable of which is the Dedicated Schools Grant (DSG). This funding cannot be used for any other Council function, and essentially schools operate within their own fund with any under or over expenditure being taken forward into future years.

3.2.2 The table below shows the forecasted outturn on the DSG.

| | Schools £000 | High Needs £000 | Early Years £000 | Central Schools £000 | Total £000 |
|--|-----------------|-----------------------|------------------------|----------------------------|----------------|
| Surplus/(Deficit) Carry Forwards from 2019/20 | 19 | (458) | 135 | 37 | (267) |
| DSG Allocations | 25,261 | 4,224 | 1,833 | 166 | 31,484 |
| Transfer between blocks | (126) | 126 | | | 0 |
| Academy Recoupment | (23,288) | (234) | | | (23,522) |
| Expenditure in Year | (1,847) | (4,636) | (1,825) | (159) | (8,330) |
| Under/(Over) spends in 2020/21 | 0 | (520) | 8 | 7 | (367) |
| Surplus/(Deficit) Carried Forward to 2021/22 | 19 | (978) | 143 | 44 | (634) |
| Percentage of DSG | 0.06% | 3.11% | 0.45% | 0.14% | |

3.2.3 As reported consistently, the main area for concern is around the High Needs element of the DSG. At Q3 there were 259 Education, Health and Care plans, this is a 10% increase on the beginning of the financial year. The recovery plan is currently being updated in line with the projects progress and considering the impact of Covid-19. The surplus of £19k on the Schools Block is being allocated to schools via the 2021/22 funding process.

3.2.4 The Early Years Block expenditure forecast has decreased from Q2; however, this area is high risk area due to potential changes with the Covid-19 pandemic. The Early Years settings are paid based on actual hours during the month, with the fluctuations we see during lockdowns the actual amount paid to settings will be estimated. The Funding for the Early Year block is also unknown as the funding will be based on January 2020 Census (9/12) and January 2021 (3/12). With the census being completed at the start of the lockdown period numbers are difficult to predict. The Council have been liaising with settings regularly to ensure settings record all children correctly on the census.

4 CONSULTATION

4.1 Formal consultation is not required for any decisions being sought in this report. Internal consultation has been undertaken with all officers regarding forecasts.

5 ALTERNATIVE OPTIONS

5.1 The report is for noting. At this stage, there are no alternative options.

6 FINANCIAL IMPLICATIONS

6.1 The report highlights the impact on the MTFP for 20/21 and future years.

7 LEGAL AND GOVERNANCE CONSIDERATIONS

7.1 There are no legal implications arising from this report.

8 EQUALITY IMPACT ASSESSMENT

8.1 An Equality Impact Assessment (EqIA) has not been completed because there are no service, policy or organisational changes being proposed.

9 DATA PROTECTION IMPLICATIONS

9.1 A data protection impact assessment has not been completed as there are no data protection implications.

10 COMMUNITY SAFETY IMPLICATIONS

10.1 There are no community safety implications.

11 HEALTH AND WELLBEING IMPLICATIONS

11.1 There are no health and wellbeing implications.

12 CONCLUSION AND SUMMARY OF REASONS FOR THE RECOMMENDATIONS

12.1 To inform Cabinet and all members of the projected outturn for 20/21 including the impact of COVID-19 on the Councils finances and the Medium Term Financial Plan. The Council will need to address the funding gap in due course.

13 BACKGROUND PAPERS

13.1 None

14 APPENDICES

Appendix A: Approved Budget Changes 20/21

Appendix B: Directorate forecasts

Appendix C: Functions > £25k overspent

Appendix D: COVID funding

Appendix E: COVID additional costs

Appendix F: Lost income

Appendix G: Capital programme

A Large Print or Braille Version of this Report is available upon request – Contact 01572 722577.

Appendix A - Approved Budget Changes

This Appendix shows changes to functional budgets and other budget changes. In accordance with FPR's, Cabinet can approve virements in any functional budget of up to £250k in any one year to a cumulative value of £500k across all functions. Changes above £500k must be approved by Council on a recommendation from Cabinet. In approving requests, Cabinet or Council may agree the use of earmarked reserves (ER), use the General Fund (GF) or make virements between directorates. For the purposes of the rules, Cabinet is allowed to use earmarked reserves (approved by Council) in an unlimited way as long as they are used for their intended purpose and is allowed to carry forward unused budget from one period to the next so use of these reserves are not counted against the delegated limit for functional budget changes and shown as "Cabinet Other".

| Description | Net Cost of Services £000 | Capital Financing £000 | Funding £000 | Transfer to/(from) Reserves £000 | Spend on Capital £'000 | (Surplus)/ Deficit £000 | Cabinet* £500k Limit £000 | Cabinet Other £000 | Council £000 | Ch Exec. s151 Officer £000 |
|-------------------------------|------------------------------|---------------------------|-----------------|-------------------------------------|---------------------------|----------------------------|---------------------------------|-----------------------|-----------------|-------------------------------|
| Q2 Budget (141/2020) | 40,228 | (997) | (38,619) | (716) | 0 | (104) | 0 | 285 | 0 | (101) |
| (i) Waste Procurement Project | 50 | 0 | 0 | 0 | 0 | 50 | 0 | 0 | 50 | 0 |
| (ii) Additional Covid Grant | (515) | | | | | (316) | | | | (316) |
| (iii) Additional Covid Budget | 515 | | | | | 316 | | | | 316 |
| Approved Budget at Q3 | 40,278 | (997) | (38,619) | (716) | 0 | (54) | 0 | 285 | 50 | (101) |

- (i) Additional Budget approved by Council to support the re-procurement of the Waste Contract (143/2020)
- (ii) & (iii) new Covid-19 budgets funded by grants received in Quarter 3 (see Appendix D).

Appendix B1 - People Budget Monitoring Summary

| Function | Outturn 2019/20 | Approved Budget | Revised Budget | Q2 Forecast | Q3 Forecast | Q3 Forecast variance to current budget | Q3 Forecast Variance Covid-19 Related | Q3 Forecast Variance Other |
|---|------------------|------------------|------------------|------------------|------------------|--|---------------------------------------|----------------------------|
| Directorate Management | 1,886,462 | 1,700,800 | 1,688,800 | 1,835,600 | 1,829,200 | 140,400 | 51,000 | 89,400 |
| Business Intelligence | 151,138 | 148,300 | 147,900 | 138,300 | 147,700 | (200) | | (200) |
| Total Directorate Costs | 2,037,600 | 1,849,100 | 1,836,700 | 1,973,900 | 1,976,900 | 140,200 | 51,000 | 89,200 |
| Public Health | 8,938 | 101,500 | 101,500 | 80,500 | 34,500 | (67,000) | | (67,000) |
| BCF Programme Support | 82,034 | 92,600 | 96,000 | 90,900 | 93,200 | (2,800) | | (2,800) |
| BCF Unified Prevention | 339,606 | 363,300 | 394,000 | 384,500 | 346,600 | (47,400) | | (47,400) |
| BCF Holistic Management of Health & Wellbeing | 840,468 | 721,300 | 956,000 | 899,800 | 944,000 | (12,000) | | (12,000) |
| BCF Hospital Flows | 1,017,718 | 1,010,300 | 999,000 | 978,000 | 978,800 | (20,200) | | (20,200) |
| Adults and Health (Ringfenced) | 2,288,764 | 2,289,000 | 2,546,500 | 2,433,700 | 2,397,100 | (149,400) | 0 | (149,400) |
| Non BCF Contract & Procurement | 456,257 | 473,200 | 469,700 | 439,300 | 434,300 | (35,400) | | (35,400) |
| ASC Community Inclusion | 1,151,670 | 1,031,200 | 1,004,100 | 1,066,000 | 1,144,000 | 139,900 | 139,900 | 0 |
| ASC Prevention & Safeguarding | 125,782 | 183,300 | 176,100 | 92,100 | 25,100 | (151,000) | | (151,000) |
| ASC Prevention & Safeguarding - Staffing | 261,680 | 269,500 | 267,600 | 269,300 | 271,300 | 3,700 | | 3,700 |
| ASC Housing | 72,074 | 165,500 | 163,700 | 140,700 | 145,400 | (18,300) | 12,500 | (30,800) |

| Function | Outturn 2019/20 | Approved Budget | Revised Budget | Q2 Forecast | Q3 Forecast | Q3 Forecast variance to current budget | Q3 Forecast Variance Covid-19 Related | Q3 Forecast Variance Other |
|---|--------------------|--------------------|-------------------|------------------|------------------|---|--|-------------------------------------|
| ASC Support & Review - Daycare | 193,425 | 218,400 | 199,100 | 198,700 | 16,400 | (182,700) | | (182,700) |
| ASC Support & Review - Direct Payments | 866,368 | 860,400 | 806,100 | 925,600 | 936,300 | 130,200 | | 130,200 |
| ASC Support & Review - Homecare | 1,747,710 | 1,949,100 | 1,919,700 | 1,733,300 | 1,805,100 | (114,600) | | (114,600) |
| ASC Community Income | (414,740) | (371,300) | (323,700) | (353,400) | (393,900) | (70,200) | | (70,200) |
| ASC Support & Review - Other | 364,930 | 438,100 | 441,500 | 445,300 | 416,900 | (24,600) | | (24,600) |
| ASC Support & Review - Residential & Nursing | 3,237,793 | 3,401,000 | 3,445,900 | 3,444,300 | 3,527,300 | 81,400 | | 81,400 |
| ASC Support & Review - Staffing | 497,644 | 562,900 | 515,500 | 497,700 | 497,300 | (18,200) | | (18,200) |
| ASC Hospital & Reablement | 284,464 | 390,100 | 439,400 | 441,500 | 466,900 | 27,500 | | 27,500 |
| Adults and Health (Non Ringfenced) | 8,845,056 | 9,571,400 | 9,524,700 | 9,340,400 | 9,292,400 | (232,300) | 152,400 | (384,700) |
| Safeguarding | 229,072 | 350,500 | 348,700 | 329,600 | 330,600 | (18,100) | | (18,100) |
| Referral, Assessment and Intervention Service | 225,379 | 231,200 | 222,800 | 288,800 | 308,200 | 85,400 | 66,000 | 19,400 |
| Permanency and Protection Service | 543,085 | 518,500 | 514,000 | 680,900 | 655,900 | 141,900 | 82,000 | 59,900 |

| Function | Outturn 2019/20 | Approved Budget | Revised Budget | Q2 Forecast | Q3 Forecast | Q3 Forecast variance to current budget | Q3 Forecast Variance Covid-19 Related | Q3 Forecast Variance Other |
|---|--------------------|--------------------|-------------------|-------------------|-------------------|---|--|-------------------------------------|
| Fostering, Adoption and Care Leaver Service | 1,845,492 | 1,921,400 | 1,918,800 | 1,935,800 | 2,124,700 | 205,900 | | 205,900 |
| Early Intervention - Targeted Intervention | 1,099,301 | 1,183,200 | 1,286,000 | 1,058,200 | 1,099,000 | (187,000) | | (187,000) |
| Early Intervention - SEND & Inclusion | 260,571 | 386,900 | 393,600 | 393,700 | 394,800 | 1,200 | | 1,200 |
| Early Intervention - Universal and Partnership | 430,260 | 490,200 | 326,600 | 354,300 | 252,900 | (73,700) | | (73,700) |
| Childrens | 4,633,160 | 5,081,900 | 5,010,500 | 5,041,300 | 5,166,100 | 155,600 | 148,000 | 7,600 |
| Schools & Early Years | 330,454 | 199,000 | 221,500 | 245,000 | 180,700 | (40,800) | | (40,800) |
| Rutland Adult Learning & Skills Service (RALSS) | (49,118) | (28,300) | (1,400) | (3,000) | 45,000 | 46,400 | | 46,400 |
| Learning and Skills | 281,336 | 170,700 | 220,100 | 242,000 | 225,700 | 5,600 | 0 | 5,600 |
| Total People - GF (Ringfenced) | 2,288,764 | 2,289,000 | 2,546,500 | 2,433,700 | 2,397,100 | (149,400) | 0 | (149,400) |
| Total People - GF (Non Ringfenced) | 15,797,152 | 16,673,100 | 16,592,000 | 16,597,600 | 16,661,100 | 69,100 | 351,400 | (282,300) |
| Total People (Excluding DSG) | 18,085,915 | 18,962,100 | 19,138,500 | 19,031,300 | 19,058,200 | (80,300) | 351,400 | (431,700) |

Appendix B2 - Places Budget Monitoring Summary

58

| Function | Outturn 2019/20 | Approved Budget | Revised Budget | Q2 Forecast | Q3 Forecast | Q3 Forecast Variance to Budget | Q3 Forecast Variance Covid-19 Related | Q3 Forecast Variance Other |
|---|--------------------|--------------------|-------------------|----------------|----------------|---|--|-------------------------------------|
| Directorate Management | 263,208 | 227,100 | 224,700 | 224,700 | 122,700 | (102,000) | 0 | (102,000) |
| Directorate Management Costs | 263,208 | 227,100 | 224,700 | 224,700 | 122,700 | (102,000) | 0 | (102,000) |
| Development Control | (18,148) | 199,900 | 195,300 | 313,700 | 273,800 | 78,500 | 94,200 | (15,700) |
| Drainage & Structures | 181,861 | 210,700 | 210,700 | 209,500 | 210,000 | (700) | 0 | (700) |
| Emergency Planning | 33,475 | 35,200 | 35,200 | 35,200 | 33,500 | (1,700) | 0 | (1,700) |
| Crime Prevention | 173,364 | 146,800 | 145,800 | 110,700 | 115,700 | (30,100) | 0 | (30,100) |
| Environmental Maintenance | 1,177,766 | 1,168,000 | 1,165,000 | 1,397,600 | 1,400,400 | 235,400 | 0 | 235,400 |
| Forestry Maintenance | 116,215 | 103,400 | 103,400 | 116,800 | 110,000 | 6,600 | 0 | 6,600 |
| Highways Capital Charges | 1,613,500 | 1,720,200 | 1,720,200 | 1,720,200 | 1,720,200 | 0 | 0 | 0 |
| Highways Management | 240,210 | 171,600 | 191,900 | 350,100 | 346,100 | 154,200 | 149,500 | 4,700 |
| Commissioned Transport | 1,959,012 | 1,803,700 | 1,800,900 | 1,885,100 | 1,877,200 | 76,300 | 93,500 | (17,200) |
| Lights Barriers Traffic Signals | 124,956 | 134,300 | 134,300 | 128,300 | 128,700 | (5,600) | 0 | (5,600) |
| Parking | (299,838) | (305,100) | (307,300) | 15,000 | 129,500 | 436,800 | 436,800 | 0 |
| Pool Cars & Car Hire | 106,965 | 111,400 | 111,400 | 113,800 | 95,500 | (15,900) | | (15,900) |

| Function | Outturn 2019/20 | Approved Budget | Revised Budget | Q2 Forecast | Q3 Forecast | Q3 Forecast Variance to Budget | Q3 Forecast Variance Covid-19 Related | Q3 Forecast Variance Other |
|--|--------------------|--------------------|-------------------|-------------------|-------------------|---|--|-------------------------------------|
| Public Protection | 382,455 | 387,800 | 387,800 | 404,600 | 403,400 | 15,600 | 10,000 | 5,600 |
| Public Rights of Way | 62,659 | 94,600 | 94,600 | 92,500 | 66,900 | (27,700) | 0 | (27,700) |
| Public Transport | 818,828 | 859,500 | 859,500 | 775,600 | 754,300 | (105,200) | | (105,200) |
| Road Maintenance | 302,382 | 414,100 | 414,100 | 325,700 | 326,000 | (88,100) | 0 | (88,100) |
| Transport Management | 284,515 | 364,100 | 387,600 | 403,500 | 403,600 | 16,000 | 49,000 | (33,000) |
| Waste Management | 2,435,278 | 2,429,500 | 2,479,100 | 2,587,100 | 2,640,500 | 161,400 | | 161,400 |
| Winter Maintenance | 205,201 | 268,700 | 268,700 | 268,700 | 268,700 | 0 | 0 | 0 |
| Environment, Planning and Transport | 9,900,657 | 10,318,400 | 10,398,200 | 11,253,700 | 11,304,000 | 905,800 | 833,000 | 72,800 |
| Planning Policy | 484,671 | 516,600 | 598,900 | 628,400 | 657,500 | 58,600 | 58,600 | 0 |
| Tourism | 2,859 | 15,800 | 16,200 | 16,200 | 16,200 | 0 | 0 | 0 |
| Health & Safety | 39,651 | 70,000 | 70,000 | 40,700 | 40,900 | (29,100) | | (29,100) |
| Property Services | 1,135,063 | 1,149,600 | 1,145,100 | 1,101,500 | 1,037,600 | (107,500) | | (107,500) |
| Building Control | (30,187) | (38,100) | (38,100) | (36,400) | (36,400) | 1,700 | 1,700 | 0 |
| Commercial & Industrial Properties | (99,631) | (270,100) | (271,000) | (165,700) | (135,700) | 135,300 | | 135,300 |
| Economic Development | 131,197 | 168,600 | 166,700 | 118,400 | 111,800 | (54,900) | | (54,900) |
| Culture & Registration Services | 109,126 | 117,600 | 115,800 | 205,600 | 204,800 | 89,000 | 85,500 | 3,500 |
| Libraries | 453,504 | 486,600 | 483,700 | 472,800 | 477,700 | (6,000) | 0 | (6,000) |
| Museum Services | 392,246 | 409,100 | 406,800 | 444,500 | 449,900 | 43,100 | 32,200 | 10,900 |

| Function | Outturn 2019/20 | Approved Budget | Revised Budget | Q2 Forecast | Q3 Forecast | Q3 Forecast Variance to Budget | Q3 Forecast Variance Covid-19 Related | Q3 Forecast Variance Other |
|------------------------------------|----------------------------|----------------------------|---------------------------|------------------------|------------------------|---|--|---|
| Sports & Leisure Services | 51,057 | 66,600 | 89,500 | 268,700 | 289,400 | 199,900 | 199,900 | 0 |
| Development and Economy | 2,669,558 | 2,692,300 | 2,783,600 | 3,094,700 | 3,113,700 | 330,100 | 377,900 | (47,800) |
| Total Places | 12,833,423 | 13,237,800 | 13,406,500 | 14,573,100 | 14,540,400 | 1,133,900 | 1,210,900 | (77,000) |

Appendix B3 - Resources Budget Monitoring Summary

| Function | Outturn 2019/20 | Approved Budget | Revised Budget | Q2 Forecast | Q3 Forecast | Q3 Forecast variance to current budget | Q3 Forecast Variance Covid-19 Related | Q3 Forecast Variance Other |
|------------------------------------|------------------|------------------|------------------|------------------|------------------|--|---------------------------------------|----------------------------|
| Chief Executives Office | 177,281 | 206,000 | 253,200 | 272,220 | 281,800 | 28,600 | 0 | 28,600 |
| Directorate Management | 289,741 | 309,600 | 306,400 | 305,800 | 304,800 | (1,600) | 0 | (1,600) |
| Communications | 224,348 | 224,300 | 297,300 | 273,260 | 310,300 | 13,000 | 16,300 | (3,300) |
| Corporate Costs | 149,137 | 157,000 | 157,000 | 150,800 | 151,500 | (5,500) | 0 | (5,500) |
| Pensions | 210,576 | 200,000 | 796,200 | 791,200 | 791,200 | (5,000) | 0 | (5,000) |
| Audit Services | 155,832 | 157,300 | 157,300 | 160,700 | 180,900 | 23,600 | 23,600 | 0 |
| Insurance | 248,902 | 263,800 | 263,800 | 257,700 | 257,700 | (6,100) | 0 | (6,100) |
| Accountancy & Finance | 634,623 | 636,600 | 631,500 | 573,300 | 612,000 | (19,500) | 20,000 | (39,500) |
| Information Technology | 1,409,519 | 1,492,500 | 1,491,800 | 1,482,000 | 1,609,800 | 118,000 | 126,700 | (8,700) |
| Business Support Services | 792,676 | 899,900 | 817,100 | 755,000 | 718,400 | (98,700) | | (98,700) |
| Members Services | 189,349 | 223,000 | 270,200 | 265,500 | 260,400 | (9,800) | | (9,800) |
| Customer Services Team | 288,224 | 332,700 | 407,000 | 374,970 | 255,400 | (151,600) | 0 | (151,600) |
| Elections | 100,815 | 123,500 | 123,400 | 126,500 | 126,500 | 3,100 | 0 | 3,100 |
| Legal & Governance | 707,692 | 584,200 | 580,700 | 758,920 | 729,200 | 148,500 | 13,000 | 135,500 |
| Human Resources | 545,306 | 514,300 | 510,300 | 469,640 | 466,800 | (43,500) | 11,000 | (54,500) |
| Revenues & Benefits | 266,439 | 407,500 | 401,200 | 386,230 | 379,100 | (22,100) | 29,300 | (51,400) |
| Financial Support | 39,866 | 40,000 | 40,000 | 35,000 | 35,000 | (5,000) | 0 | (5,000) |
| Total Resources Directorate | 6,430,326 | 6,772,200 | 7,504,400 | 7,438,740 | 7,470,800 | (33,600) | 239,900 | (273,500) |

Appendix C – Variances against budget >£25k (Non COVID related)

| Ref | Function | Reason for Overspend |
|-----|---|---|
| 1 | Directorate Management Costs | Underspend in Adult Social Care due to the Director being appointed to the interim Chief Executive position (£45k). Overspend in Childrens due to Agency managers with Covid-19 (£51k), Ofsted work support and in Q3 staff changes within management (£89k). Forecast allocations updated from Q2 following a review of all Children's Service agency staff. |
| | Budget £1,688k | |
| | Forecast £1,829k | |
| 2 | Fostering, Adoption and Care Leaver Service | Whilst the increase in the number of children in Foster care and independent agencies has only increased by 2 the forecast costs have increased by £65k on Q2 placement costs. There has also been a further increase in accommodation forecast for supported accommodation of £170k. This will be closely monitored. It is expected this will be a short-term measure. |
| | Budget £1,921k | |
| | Forecast £2,124k | |
| 3 | Referral, Assessment and Intervention Service | Overspend on Contact and Referral Team due to use of agency workers covering posts. Of the forecast overspend £66k relates to Covid-19 agency posts and £19k non Covid-19 agency. |
| | Budget £223k | |
| | Forecast £298k | |
| 4 | Permanency and Protection Service | Overspend in staffing due to agency workers covering posts accounts for £111k of the variance, of which £82k is Covid-19 related. Unaccompanied Asylum Seekers forecast a current overspend of 25k, however a review is underway to ensure UASC placements are allocations are updated between Care Leavers and Over- 18. |
| | Budget £514k | |
| | Forecast £656k | |
| 5 | ASC Support & Review Residential and Nursing | Overspend due to fewer service users being assessed as being able to fund their residential care |
| | Budget £3,446k | |
| | Forecast £3,527 | |

| Ref | Function | Reason for Overspend |
|-----|---|---|
| 6 | ASC Support & Review – Direct Payments | Increased demand for direct payments as service users opt for different methods for the delivery of their packages of care. As a result there has been a decrease in expenditure to offset this overspend, within the Homecare budget. |
| | Budget £806k | |
| | Forecast £936k | |
| 7 | ASC Hospital and Reablement | Overspend due to use of agency staff to cover for long term sickness and maternity leave |
| | Budget £439k | |
| | Forecast £467k | |
| 8 | Environmental Maintenance | Grounds maintenance contract adjusted to incorporate rural grass verge cutting, depot and admin costs and has created a pressure of c£149k. The remainder of the variance is related to Interim Cover for the Head of Environmental Services £86k. |
| | Budget £1,165k | |
| | Forecast £1,400k | |
| 9 | Waste Management | The variance includes £50k under spend in respect of waste retendering consultancy costs. The over spend of £211k predominantly relates to increased residual waste tonnages and increased Dry Mixed Recycling (DMR) gate fees being experienced. |
| | Budget £2,429 | |
| | Forecast £2,641 | |
| 10 | Commercial Properties | The variance is partly due to the mothballing of Unit 5 at Oakham Enterprise Park due to building compliance issues and additional costs in relation relocating existing tenants and the loss of income from the unit c£43k, and the balance is due to vacant units, Covid-19 being the key factor. |
| | Budget (£273k) | |
| | Forecast (£215k) | |
| 11 | Legal & Governance | The forecast on this budget is volatile and costs associated with Adult Social Care cases, SEN tribunal claims, Children’s social care cases and Planning Litigation are increasing. In particular some complex Children’s social care cases have incurred high costs. Q3 showed a reduction in the use of external Solicitors following a service review with the new Solicitor in post. |
| | Budget £581k | |
| | Forecast £729k | |

Appendix D - COVID-19 Funding received

The table below shows the funding the Council has received in relation to Covid-19 (this excludes business grants). Grants awarded in quarter are either new grants (not included at Quarter 2) or revisions to estimates of grants expected as at Quarter 2.

| Funding | Allocation | Summary of Use | Grant Awarded in Quarter | RCC End Recipient |
|--------------------------------------|----------------|---|--------------------------|-------------------|
| Grants Received 2019/20 | | | | |
| Covid 19 Emergency Funding | 873,497 | To support Local Government response to Covid. £848k is held in an earmarked reserve and will be drawn down when required, likely to be in 2021/22 | | Yes |
| Total Paid 2019/20 | 873,497 | | | |
| Grants received 2020/21 | | | | |
| Emergency support for rough sleepers | - | Claimed through North West Leicestershire | | No |
| Covid 19 Emergency Funding** | £1,436,761 | General funding to support Local Government response to Covid. Allocations are £1.106m, £0.231m and £0.1m. The Council received the same allocations as small district Councils in the last allocation of funding. | | Yes |
| Infection Control Fund | £458,233 | Each care home should receive an amount per CQC registered bed, representing 75% of the funding. The remaining 25% must be used for infection control measures based on need. This may involve support for domiciliary care workforce measures. | | No |
| Bus Services Support Grant | £94,239 | Paid over to Bus Operators for loss of income | | No |

| Funding | Allocation | Summary of Use | Grant Awarded in Quarter | RCC End Recipient |
|---|-------------------|--|---------------------------------|--------------------------|
| Early Discharge | £0 | CCGs have received funding to reimburse costs in relation to early discharges. Additional costs are being reclaimed from the CCG, zero shown as additional expenditure not included in forecast. | | Yes |
| Reopening High Streets Safely Fund guidance | £35,627 | Funds to allow local authorities in England to put in place additional measures to establish a safe trading environment for businesses and customers, particularly in high streets, through measures that extend to the end of March 2021. | | Yes |
| Test, Track and Trace Funding | £120,148 | Provide support towards expenditure lawfully incurred or to be incurred in relation to the mitigation against and management of local outbreaks of COVID-19 | | Yes |
| New Burdens – Business Grants | £209,000 | To recompense local authorities for administering the various Business Grant Schemes | | Yes |
| Emergency Assistance Grant | £23,000 | To use to support people who are struggling to afford food and other essentials due to COVID-19 | | Yes |
| Loss of Income | £467,917 | Estimated grant for loss of income due to COVID-19. | | Yes |
| Local Authority Compliance and Enforcement | £13,000 | The funding made available is ringfenced for any activity which will support compliance and enforcement of measures to control the spread of COVID-19 across individuals, businesses and in the community. | | Yes |
| Cultural Recovery Fund** | £132,100 | To Support cultural organisations that were financially stable before Covid-19. | | Yes |
| Contain Funding* | £399,270 | See para 2.3.3 | £95,270 | Yes |

| Funding | Allocation | Summary of Use | Grant Awarded in Quarter | RCC End Recipient |
|--|-------------------|---|---------------------------------|--------------------------|
| New Burdens - Local Authority Discretionary Grants | £79,000 | To recompense local authorities for administering the Local Authority Discretionary Grant Scheme | £69,000 | Yes |
| New Burdens NNDR Discount & Council tax hardship | £18,231 | To recompense local authorities for administering the various grant assistance schemes | £18,231 | Yes |
| Clinical Extremely Vulnerable Support | £17,577 | Payments to support the Clinically Extremely Vulnerable | £17,577 | Yes |
| Test and Trace Support Payments** | £44,125 | To be used for the implementation of the Test and Trace Support for those self-isolating £21k for cost of payments to applicants (demand Led will have to repay if not spent in full) £20k for cost of administering the scheme £3k Discretionary Payment (Demand Led) | | Partially |
| Infection Control Fund Round 2** | £438,774 | See comments above. Further allocation of grant received in early lockdown. | | No |
| Covid Winter Grant | £63,022 | Support for the Vulnerable during winter months | £63,022 | Yes |
| Self-Isolation Payments | £50,577 | Payments to those self-isolating | £50,577 | No |
| Workforce Capacity Fund | £67,860 | Boost staffing levels within the Care Sector | £67,860 | No |

| Funding | Allocation | Summary of Use | Grant Awarded in Quarter | RCC End Recipient |
|--------------------------------------|-------------------|---|--------------------------|-------------------|
| Adult Social Care Rapid Testing Fund | £133,141 | Support the social care sector, including care homes and domiciliary care providers, by increasing workforce capacity and increasing testing. | £133,141 | No |
| Grants 2020/21 | £4,223,202 | | £514,678 | |

*Estimated

Other Grants paid to Rutland County Council not reflected directly in the Councils MTFP

| | | |
|--|-----------|---|
| Council Tax - Covid-19 Hardship Fund | 121,611 | The hardship fund was used to provide council tax relief, alongside existing local council tax support schemes. This is payable to the Council Tax Collection fund. |
| Business Support (Additional Restrictions Grant) | 1,153,214 | Billing authorities will receive £20 per head "to enable councils to support businesses over the coming months more broadly". Allocations will use the 2019 mid-year population estimates. Funding is intended to be used to provide discretionary support to local businesses. Funding allocated was in two tranches £798k November 2020 and £355k January 2021. |
| Business Grants for closed business | 786,276 | Billing authorities will administer the mandatory grants payable to closed businesses. The amounts payable to businesses are set out below. <ul style="list-style-type: none"> • For properties with a rateable value of £15k or under, grants to be £1,334 per month, or £667 per two weeks; • For properties with a rateable value of between £15k-£51k grants to be £2,000 per month, or £1,000 per two weeks; • For properties with a rateable value of £51k or over grants to be £3,000 per month, or £1,500 per two weeks. |
| Christmas Support for Wet Led Pubs | £32,000 | Support for Wet Led Pubs |

Appendix E - COVID cost breakdown (includes costs shown in Directorate budgets)

| | Full Year Impact | Forecast within Directorate | Forecast within Covid | Amount Spent/Lost to Date | | Q2 Position | Change | Comments on movement |
|---|------------------|-----------------------------|-----------------------|---------------------------|---|-------------|----------|--|
| Adult Social Care – additional demand for care packages | 0 | 0 | 0 | 0 | | 300,000 | -300,000 | Although significant demand is expected, further restrictions and shielding mean demand may be deferred until 21/22. |
| Adult Social Care – supporting the market | 1,203,033 | 0 | 1,203,033 | 702,878 | Tranche 2 of Infection Control received but not yet Paid Over in full - Expected to be paid over by 31 March in line with Grant Conditions. New funding awarded for Lateral Flow Testing and supporting the Workforce. | 1,002,032 | 201,001 | Change relates to new funding for testing and supporting the workforce. The funding will be passported to providers when the grant conditions are confirmed. |
| Adult Social Care – workforce pressures | 137,000 | 112,000 | 25,000 | 112,000 | Will be required to keep to a preventative model. | 85,000 | 52,000 | With hospital capacity stretched, social care teams working on early discharge from hospitals. |
| Adult Social Care - Personal protective equipment (PPE) | 80,000 | 0 | 80,000 | 53,532 | | 100,000 | -20,000 | Reflecting the current expenditure and expectation that the level of expenditure will continue |

| | Full Year Impact | Forecast within Directorate | Forecast within Covid | Amount Spent/Lost to Date | | Q2 Position | Change | Comments on movement |
|--|------------------|-----------------------------|-----------------------|---------------------------|--|-------------|----------|--|
| Children's Social Care – workforce pressures | 199,000 | 199,000 | 0 | 106,720 | Agency staff in post | 156,000 | 43,000 | Agency workers continued |
| Children's Social Care Demand | 0 | 0 | 0 | 0 | Demand not yet come through, still expecting to see some increase | 100,000 | -100,000 | Although additional “need” is expected, further restrictions mean this is not materialising at this stage. |
| Education - Home to school transport | 88,000 | 88,000 | 0 | 44,000 | Additional expenditure from September to adhere to government guidance to keep school children off public transport and additional pressures from existing providers | 85,000 | 3,000 | Costs now known as services are running. |
| Public Health - Testing, contact tracing and outbreak planning | 120,148 | 0 | 120,148 | 2,200 | Current forecast matched to grant award in relation to the mitigation against and management of local outbreaks. | 120,148 | 0 | Forecast not changed as work ongoing in setting up lateral flow testing and some recharges confirmed from Public Health. |
| Housing | 52,500 | 12,500 | 40,000 | 31,107 | | 40,000 | 12,500 | Expectation to continue support to rough sleepers |
| Environment & regulatory - | 40,000 | 0 | 40,000 | 40,000 | Cost to re-open CA Site | 40,000 | 0 | Additional costs in relation to demands |

| | Full Year Impact | Forecast within Directorate | Forecast within Covid | Amount Spent/Lost to Date | | Q2 Position | Change | Comments on movement |
|----------------------------|------------------|-----------------------------|-----------------------|---------------------------|--|-------------|--------|---|
| waste management | | | | | | | | from suppliers not materialised |
| IT, Remote Working | 133,900 | 126,700 | 7,200 | 114,895 | Cost of remote working | 100,000 | 33,900 | Revised based on review of expenditure incurred |
| Shielding | 175,000 | 0 | 175,000 | 150,420 | Provide essentials to the most vulnerable – cost of delivering food boxes prior to Government scheme being fully implemented | 175,000 | 0 | Support for second wave if needed |
| Bus Operators | 94,239 | 0 | 94,239 | 94,239 | Paid to bus operators from grant award to reflect loss of income. | 94,239 | 0 | |
| Emergency Assistance Grant | 23,000 | 0 | 23,000 | 18,000 | Spend on a contribution towards the work of the Food Bank and CAB and some funds set aside to support the most vulnerable | 23,000 | 0 | |
| Catmose Sports | 170,000 | 170,000 | 0 | 123,000 | Contractor has indicated additional support required to maintain service delivery. | 170,000 | 0 | |
| Local Plan | 58,600 | 58,600 | 0 | 15,000 | Covid delayed local plan timeline, so additional costs expected | 30,000 | 28,600 | Reassessed implications and revised timeline |
| Safety Partnership | 40,000 | 40,000 | 0 | 0 | Additional funding request from the road safety partnership | 40,000 | 0 | |

| | Full Year Impact | Forecast within Directorate | Forecast within Covid | Amount Spent/Lost to Date | | Q2 Position | Change | Comments on movement |
|---------------------------|------------------|-----------------------------|-----------------------|---------------------------|---|-------------|----------|--|
| Records Office | 10,000 | 10,000 | 0 | 10,000 | Additional fee agreed with LCC for the provision of the records office | 10,000 | 0 | |
| Other Staff Costs | 135,210 | 90,210 | 45,000 | 45,038 | | 100,000 | 35,210 | Reflection of moving into the second wave response |
| Readying Council Services | 60,000 | 0 | 60,000 | 50,772 | Ensuring Council Services are Covid Compliant. Majority of spend relates to Premises Costs | 40,000 | 20,000 | Costs of readying council services to re-open/operate in a different way |
| Contain Funding | 0 | 0 | 0 | 0 | To support local test, trace and contain activities as well as wider measures to protect public health and local economies. | 304,000 | -304,000 | The Councils response to Covid has largely been redeploying existing resource. The expenditure in relation to this is currently shown within the directorates with work ongoing to identify the exact recharge that will be required |
| Additional Audit Costs | 23,600 | 23,600 | 0 | 23,600 | Additional costs to complete the Councils statutory Audit of the accounts. | 0 | 0 | |
| Covid Marshalls | 21,500 | 5,500 | 16,000 | 9,644 | Ensuring Compliance to Government Guidelines | 0 | 21,500 | Additional support required when the tiering system was introduced |

| | Full Year Impact | Forecast within Directorate | Forecast within Covid | Amount Spent/Lost to Date | | Q2 Position | Change | Comments on movement |
|-------------------------------------|------------------|-----------------------------|-----------------------|---------------------------|--|------------------|-----------------|--|
| Cultural Recovery Fund | 132,100 | 0 | 132,100 | 0 | To Support Cultural Organisations that were financially stable before Covid-19. | 132,100 | 0 | New funding awarded |
| Test and Support Payment | 24,000 | 0 | 24,000 | 11,500 | Payments to those who qualify if they are instructed to self isolate. | 0 | 24,000 | New Funding awarded |
| Communications | 50,000 | 16,300 | 33,700 | 25,443 | Additional communication campaigns during pandemic and key communications around council services. | 50,000 | 0 | Communications will continue to be crucial as we move into the second wave |
| Total Additional Expenditure | 3,070,830 | 952,410 | 2,118,420 | 1,862,652 | | 3,296,519 | -249,289 | |

Appendix F – Lost Income

| | Full Year Budget | Full Year Impact | Amount Lost to Date | Details |
|-----------------------------------|------------------|------------------|---------------------|--|
| Parking services losses | 615,800 | 436,800 | 226,600 | The position reflects the period where the Car Parks were free to park and assumption made about car park usage while additional restrictions are still in place. Trends will be monitored and this may change. Losses to date are to the end of November. |
| Highways and Transport losses | 247,300 | 126,600 | 82,900 | Traffic Regulation Orders, licencing and New Roads and Street Works, Section 38 |
| Licensing | 66,000 | 10,000 | 10,000 | Compared to this point in 2019/20 income is £10k lower |
| Registration Services | 165,700 | 85,000 | 78,500 | Fees taken over summer months (2019/20 64% of income was in by period 4) |
| Museum & Castle | 36,700 | 22,200 | 20,000 | Full Year impact – with no income planned at the Castle for the year. |
| Active Rutland Hub | 46,000 | 20,000 | 12,000 | Licenses for clubs being drawn up, majority of income already lost |
| Building Control | 38,100 | 2,000 | 0 | |
| Schools Sports Service | 28,700 | 9,900 | 9,000 | |
| Planning Income losses | 408,800 | 70,000 | 0 | The expected loss is predicted over the full financial year, the profiling of income is difficult to predict and varies each year based on demand. The Council would have incurred some of the losses already, but this is difficult to quantify. |
| Court Fee Income - Rev's and Bens | 47,300 | 29,300 | 20,000 | |
| Day Opportunities | 112,000 | 28,000 | 21,000 | Lost income as a result of the service being closed |
| Bikeability | 13,500 | 9,000 | 9,000 | |
| Total Income Losses | 1,825,900 | 848,800 | 489,000 | |

The Government have announced a scheme where Councils can reclaim some lost income. The Council submitted a claim at the end of November for £401k covering the period 1st April – 30th November. Final Claim and reconciliation April 2021 (Data Return 1st December – 31st March).

Appendix G: Capital Programme

| Project Description | Approved Budget at Q2 | New Projects approved | Total Project Budget | Prior Year Outturn | Estimated 2020/21 Outturn | Estimated Project Outturn | Project Over / (Under) Spend |
|--|-----------------------|-----------------------|----------------------|--------------------|---------------------------|---------------------------|------------------------------|
| | £000 | £000 | £000 | £000 | £000 | £000 | £000 |
| Oakham Enterprise Park | 270 | 0 | 270 | 66 | 204 | 270 | 0 |
| Investment Properties (ON HOLD) | 10,000 | 0 | 10,000 | 0 | 0 | 0 | (10,000) |
| Invest to Save (ON HOLD) | 200 | 0 | 200 | 0 | 0 | 0 | (200) |
| Total Commercialisation Capital Programme | 10,470 | 0 | 10,470 | 66 | 204 | 270 | (10,200) |
| School Maintenance | 36 | 0 | 36 | 16 | 20 | 36 | 0 |
| School Capacity & Feasibility | 36 | 17 | 53 | 0 | 53 | 53 | 0 |
| Increase School Places (ON HOLD) | 3,001 | 0 | 3,001 | 34 | 0 | 34 | (2,967) |
| Highways Capital Projects | 3,252 | 0 | 3,252 | 0 | 3,252 | 3,252 | 0 |
| Integrated Transport Block | 1,082 | 0 | 1,082 | 137 | 945 | 1,082 | 0 |
| Emergency Active Travel | 2 | 29 | 31 | 0 | 2 | 2 | 0 |
| Schofield Road Culvert Works | 86 | 0 | 86 | 0 | 86 | 86 | 0 |
| Barleythorpe Road Car Park | 6 | (3) | 3 | 3 | 3 | 6 | 0 |
| Oakham Town Centre (ON HOLD) | 428 | 0 | 428 | 342 | 0 | 342 | (86) |
| Museum Roof | 102 | 0 | 102 | 90 | 12 | 102 | 0 |
| Future Maintenance Requirements | 85 | 0 | 85 | 0 | 85 | 85 | 0 |
| Total Asset Management Requirements Capital Programme | 8,116 | 43 | 8,159 | 622 | 4,484 | 5,106 | (3,053) |
| Devolved Formula Capital | 11 | 0 | 11 | 0 | 11 | 11 | 0 |
| Remote Learning Programme | 3 | 0 | 3 | 0 | 3 | 3 | 0 |
| Disabled Facilities Grant | 486 | 32 | 518 | 176 | 342 | 518 | 0 |
| Empingham GP Surgery | 112 | (9) | 103 | 0 | 104 | 104 | 0 |
| SEND | 1,049 | 0 | 1,049 | 381 | 668 | 1,049 | 0 |
| Sports Grants (ON HOLD) | 500 | 0 | 500 | 343 | 0 | 343 | (157) |

| Project Description | Approved Budget at Q2 | New Projects approved | Total Project Budget | Prior Year Outturn | Estimated 2020/21 Outturn | Estimated Project Outturn | Project Over / (Under) Spend |
|--|-----------------------|-----------------------|----------------------|--------------------|---------------------------|---------------------------|------------------------------|
| | £000 | £000 | £000 | £000 | £000 | £000 | £000 |
| Oakham Castle Restoration | 2,400 | 0 | 2,400 | 2,306 | 94 | 2,400 | 0 |
| Digital Rutland | 5,066 | 0 | 5,066 | 2,230 | 2,836 | 5,066 | 0 |
| S106 – Third Part Payment | 85 | (43) | 42 | 22 | 21 | 43 | 0 |
| Gt Casterton C of E Primary S106 | 43 | 0 | 43 | 0 | 43 | 43 | 0 |
| Ketton Centre (Library & Hub) | 7 | 0 | 7 | 0 | 7 | 7 | 0 |
| North Luffenham Recycling Centre | 23 | 0 | 23 | 0 | 23 | 23 | 0 |
| Cashless Car Parking | 29 | 0 | 29 | 0 | 29 | 29 | 0 |
| Affordable Housing | 0 | 650 | 650 | 0 | 650 | 650 | 0 |
| 9 Buckingham Road – Extension | 225 | 0 | 225 | 169 | 56 | 225 | 0 |
| IT Projects | 70 | 0 | 70 | 0 | 70 | 70 | 0 |
| Total Strategic Aims and Priorities Capital Programme | 10,110 | 630 | 10,740 | 5,627 | 4,957 | 10,584 | (157) |
| Total Capital Programme | 28,696 | 673 | 29,369 | 6,315 | 9,645 | 15,960 | (13,410) |

CABINET

16th February 2021

UPDATE ON CHILDREN'S SERVICES IMPROVEMENT PLAN

Report of the Director for Children's Services

| | | |
|--------------------------------|--|---|
| Strategic Aim: | Protecting the vulnerable | |
| Key Decision: No | Forward Plan Reference: FP/021020 | |
| Exempt Information | No | |
| Cabinet Member(s) Responsible: | Mr D Wilby, Portfolio Holder for Lifelong Learning, Early Years, SEND, Inclusion, Safeguarding Children & Young People | |
| Contact Officer(s): | Dawn Godfrey, Interim Director of Children's Services | 01572 758358 dgodfrey@rutland.gov.uk |
| | Emma Sweeny, Head of Children's Social Care | 01572 722577 esweeny@rutland.gov.uk |
| Ward Councillors | | |

DECISION RECOMMENDATIONS

That Cabinet:

1. Notes the update on the Children's Services Improvement Plan and offers comment on any areas where they feel progress is slower than expected.

1 PURPOSE OF THE REPORT

- 1.1 The purpose of the report is to inform Cabinet on the actions taken and progress made in response to the areas for improvement identified by Ofsted.
- 1.2 Further, the Cabinet is invited to share their views on any areas where they feel progress is slower than expected and any further action they believe is required.

2 BACKGROUND AND MAIN CONSIDERATIONS (MANDATORY)

- 2.1 The strategic improvement plan was submitted to Ofsted in June 2020, who confirmed that they had reviewed the action plan and agreed "that it demonstrates an accurate understanding of the findings of the inspection."
- 2.2 A new approach to the governance of improvement was put in place immediately following the Ofsted inspection. The Children's Services Improvement Board

reports directly to Cabinet on progress, reviewing and challenging practice quality in key areas identified by Ofsted. The Board is chaired by the portfolio holder for children's services and includes the member champion for children in care and care leavers, and also the Deputy Director, Legal and Governance, to add an additional level of independent scrutiny and challenge.

2.3 The Children's Improvement Board have continued to meet monthly since the end of March 2020, and this is supplemented by the monthly Children's Practice Oversight Group which informs the Board monitoring of the improvement plan. This complements the existing performance management and quality assurance frameworks.

2.4 The governance structure is available at Appendix A.

3 PROGRESS OF IMPROVEMENT PLAN

3.1 The most recent improvement plan tracker is attached at Appendix B.

MANAGEMENT OVERSIGHT AND DECISION-MAKING TO ENSURE THAT CHILDREN'S CASES ARE COMPREHENSIVELY OVERSEEN AND THAT THEIR PROGRESS IS CLOSELY REVIEWED.

3.2 Management oversight remains a key focus for the service. Robust management oversight and direction underpins all good practice and is a key element of all improvement actions.

3.3 Recent practice reviews undertaken show an improvement in management oversight and robustness in child protection and child looked after cases and evidence follow up of actions and tracking of progress which is positive. We also commissioned an independent report from Ingson Consultancy to look at our progress which found that there has been some progress across the board but that improvements are still required.

3.4 To embed further the changes all team managers will be offered a coaching and mentoring programme to uplift and embed their management skills. Due to the current national lockdown this will now take place in March 2021.

3.5 A key focus is for supervision to be evidenced on all case files. This is a recurring theme, and this is being closely monitored by the Service Manager and Head of Service through monthly dip sampling of cases. Recommendation is for supervision to be included in Children's Social Care performance data so this can be monitored robustly.

3.6 We are introducing a Through Care Team focussing on our looked after children and care leavers to allow for more robust management oversight and to give managers the capacity to give clear oversight and be able to track and follow up actions to make sure plans for young people are achieved. Introducing the Through Care Team will make the workload within the current permanence and protection team to be more manageable and will allow our improvement journey to progress further. These changes have been achieved through a re-distribution of existing resources.

3.7 We have re-focussed our quality assurance activity and the Head of Service moderates this activity to ensure compliance and quality of audit is embedded. This

is now a feature of the monthly performance meetings with the focus on identifying themes arising and working with the Principal Social Worker to share learning with staff. Our quality assurance framework has been reviewed and we will be using a dynamic approach using our data to analyse trends and areas for quality assurance analysis. An example of this was an audit of our low number of Child Protection Plans. Having identified this issue we completed an audit of our Child in Need cases to ensure that we were applying thresholds correctly, once satisfied in relation to this we then analysed our threshold decision making at the front door and found that there were some instances of over optimism where we should have progressed as child protection. We have taken this learning and the Team Manager and Service Manager continue to monitor and analyse decision making to ensure this is robust and appropriate.

- 3.8 Feedback from parents/carers and children needs to become better embedded in this learning loop and the participation and engagement lead is working with social care to embed this. We have recently implemented the MyView App for our children in our care and allows them to communicate in alternative ways with our service and offer feedback. We are looking at how this can be utilised more fully across our work with all children and families and how we can develop this to gain feedback to our work completed.

THE QUALITY OF ASSESSMENTS AND PLANS TO ENSURE THAT THEY IDENTIFY NEEDS AND LEAD TO IMPROVEMENTS IN CHILDREN'S WELL-BEING.

- 3.9 We have taken a back-to-basics approach with our staff to revisit essential skills and re-emphasise good quality practice in relation to assessments and planning. Moving from a focus purely on timeliness, we have implemented a series of workshops, led by the Principal Social Worker and Service Manager, starting with writing and using chronologies in assessments. This gives a clear focus to social workers in considering past and current events and how this fuller picture has impacted on the families they are working with.
- 3.10 In the last year we have made progress in relation to assessments and plans, and this is reflected in our performance data. An example of this is the significant improvement in pathway plans being reviewed on time which last year was 25% and this year has risen to 95%. We have also ensured that our assessments have become more timely, while 93% were completed within the 45 days statutory timescales the majority of these were completed at day 44. This year, 96% have been completed within this time frame with 51% of assessments completed in under 40 days, which had led to more focussed and timely intervention for families.
- 3.11 Quality of assessments require ongoing work however we share good practice with staff as case exemplars to encourage peer support and help others with examples of what good looks like. We are role modelling to staff that we require a quality of practice that is also timely, and this is a key focus for us. We are utilising our Signs of Safety¹ training to ensure that our assessments and plans are clear and use family friendly language. When we know that there have been deficits in our practice, we take the opportunity to look at what we could have done differently and put actions in place to ensure that this does not happen in the future. An example of this is

¹ Signs of Safety is a strength based, safety focused approach to working with children and families. It is the preferred model of practice in Rutland.

when a concern was raised regarding how robust an assessment was in relation to a family member who wanted to care for their nephew. We reviewed the assessment and the processes we had in place and identified that as well as ensuring robust supervision was in place, we would ensure that a mid-way meeting was held between all professionals involved to ensure that any areas of concern were being addressed and that we were putting the correct support in place, if needed, at an early stage. This approach has led to more robust assessments which has been commented upon positively within the court arena.

- 3.12 A key focus is to embed the philosophy of 'doing the basics well' and progress from compliance to quality in the work we undertake. Professional curiosity is key to this and how we evidence that practitioners are having challenging discussions with families; evidence of transparent and honest conversations where practitioners are voicing their concerns and what needs to change; and what will happen if concerns continue. The voice of the child needs to be more visible on casefiles and evidence creative direct work with the child, capturing the words of the child without paraphrasing.

COMMISSIONING AND CONTRACT MONITORING ARRANGEMENTS, TO INCREASE THE SUFFICIENCY AND QUALITY OF COMMISSIONED SERVICES, INCLUDING PLACEMENT MATCHING FOR DISABLED CHILDREN AND THOSE WITH COMPLEX NEEDS.

- 3.13 Contract monitoring meetings are taking place monthly with, Lincolnshire County Council (Adoption), Peterborough City Council (Legal Services) and Leicestershire County Council (Out of Hours Service).
- 3.14 We have a much-improved relationship and communication with the out of hours service and have provided training in relation to recording of contacts. There is weekly contact between Service Manager and Team Managers across Rutland and Leicestershire to ensure progress is maintained.
- 3.15 There is good communication between Rutland and Lincolnshire, and Rutland benefits from the high-quality adoption services Lincolnshire offer. The issue raised by Ofsted in relation to the Agency Decision Maker (ADM) role has been addressed and from October 2020 the role of ADM has returned to Rutland.
- 3.16 The legal services contract works well for Rutland. The head of children's legal services and head of children's social care meet monthly and there has been constructive challenge on both sides regarding the quality of work. The current service level agreement has been expanded to include legal advice for Rutland Agency Decision Maker regarding adoption cases as this was identified as a gap.
- 3.17 The children's commissioning group meets six weekly, chaired by the Interim Director of Children's Services. This group has reviewed and simplified the operating protocol for the commissioning of placements (including children with complex needs and disabled children) and clarified the role of the commissioning team, social care and SEND panel. Work is ongoing with Leicestershire about the quality assurance of placement providers on the Framework, and Rutland have identified a manager who will be the Rutland link to this work.

THE HOUSING OFFER FOR VULNERABLE YOUNG PEOPLE AND CARE LEAVERS, INCLUDING ADDRESSING THE USE OF BED AND BREAKFAST

ACCOMMODATION.

- 3.18 We are clear that bed and breakfast accommodation is not an option for our young people. There is a new housing protocol for homeless 16/17-year-olds in place and being adhered to. There is now clarity about the offer to vulnerable young people about their housing options and management sign off on this decision. The service manager completes a quarterly audit to ensure that the housing protocol is being adhered to.
- 3.19 At the time of the Ofsted inspection, there was one young person living in bed and breakfast accommodation. This young person has been supported into his own flat in an area of his choice, he has secure employment and is thriving in his environment. His Personal Advisor has worked hard to build a positive working relationship with him and enable this change in circumstance. Currently all of our Care Leavers are appropriately housed, and we continue to closely monitor this to ensure that they have the support needed to ensure they can maintain their tenancies.
- 3.20 We want to increase the number of children who benefit from 'Staying Put'² arrangements with their foster carers and have updated our staying put policy to make this offer clearer to all involved. We are already looking at 2 more staying put arrangements this year and with a number of young people reaching 18 we are being proactive in having these discussions with carers around this. A key focus for us is the need to recruit more local foster carers to achieve this. COVID-19 has impacted on our recruitment campaign planning. We now have a plan in place to commission a campaign and ensure this is launched by 10th May 2021 to coincide with foster carer fortnight.
- 3.21 We are looking at how Rutland responds to the local issue of housing and linking in with work in the local plan regarding affordable, single occupancy housing for our young people leaving care and in need of housing support. This work initially stalled due to the response to Covid-19 being a priority but is progressing now.

THE USE OF THE PRE-PROCEEDINGS PHASE OF THE PUBLIC LAW OUTLINE, TO ENSURE THAT PARENTS CAN MAKE CHANGES WITHIN A LEGAL FRAMEWORK AND THAT CHILDREN COME INTO CARE WHEN THEY NEED TO.

- 3.22 When a social worker is concerned about the welfare of a child, they may invite parents to a Public Law Outline Meeting (PLO)³ or a pre-proceedings meeting. These meetings are called if the Local Authority and the Social Worker are concerned about the care that a child is receiving and they may make an application to the Court to see if the Court will make orders to protect the child.
- 3.23 Ofsted identified that the use of these pre-proceedings' meetings were not consistent or always timely enough. Since Ofsted, all previous cases in PLO have stepped down from PLO, and we currently have no cases within a PLO arena.

² 'Staying Put' refers to an arrangement where young people remain with their foster carers following their 18th birthday. They are not 'looked after' by the Local Authority but remain with their foster carers on a supported living basis.

³ The Public Law Outline (PLO) sets out the duties local authorities have when thinking about taking a case to court to ask for a Care Order to take a child into care or for a Supervision Order to be made.

- 3.24 We have discussed with legal the learning from the last year in relation to our care proceedings cases and are looking at some learning events regarding threshold for care proceedings. In addition to this our new managers have more robust management challenge and scrutiny in relation to legal planning.
- 3.25 We have reduced the number of care proceedings we have had this year and of the care proceedings we have had the care planning has been focused. It is positive that despite the Covid-19 pandemic, the timeliness of our care proceedings has been good.

Case Example – Child B was a child who came into the care of the Local Authority following his mother being very unwell and no longer able to care for him and his father stating he did not want to care for him. Despite Covid-19 our social workers were able to work closely with the family to secure a long-term family placement for him with a special guardianship order being made to his aunt. In her judgement in concluding the care proceedings the judge noted the robust assessment and approach of the Local Authority and the positive outcome achieved for B.

EARLY PERMANENCE PLANNING FOR CHILDREN.

- 3.26 Permanence planning meetings have been taking place monthly and have allowed the service manager to have robust oversight of cases and plans. A permanence tracker is used to ensure no child is allowed to 'drift' in care. This is updated weekly, and the head of service has oversight of this. We continue to work hard to ensure that we have good long-term plans in place for a looked after children who have been in our care for some time and are working towards ensuring all have permanent homes. The Service Manager meets weekly with the Team Manger to support progress on priority cases and ensure that action plans are clear and management rationale is on file regarding the progress.
- 3.27 We have revised the role of the 'children in care/ at risk of care' panel, chaired by the head of service, and this panel follows up all new or potential placements to ensure there is no delay in planning for permanency, and that children are appropriately matched with carers.
- 3.28 We have concluded a number of care proceedings and have reunified children into parental or family care. There is robust oversight of the plans for children in our care and progress is being made with securing permanency. We are ensuring that our care proceedings conclude with clear plans in place for our children. We have secured adoption for one child this year with a second placed with adopters. We have also had care plans of adoption for 4 more children to be placed before the court - this is a significant change for Rutland who have had limited numbers of adoptions historically.

THE TIMELINESS OF FOSTER CARER ANNUAL REVIEWS.

- 3.29 All foster carer reviews are completed within timescales and the Fostering Panel has robust oversight of these. Foster carers are invited to attend Panel for their reviews and the Panel offers constructive challenge to ensure quality of fostering assessments and reviews remains good. We have ensured that our panel have had appraisals this year and we continue to develop the robust approach of our panel.

4 CONSULTATION

4.1 This report is for information only.

5 ALTERNATIVE OPTIONS

5.1 No Applicable

6 FINANCIAL IMPLICATIONS

6.1 None identified- the plan is delivered within the children's services budget.

7 LEGAL AND GOVERNANCE CONSIDERATIONS

7.1 There are no legal or governance considerations.

8 DATA PROTECTION IMPLICATIONS

8.1 A Data Protection Impact Assessments (DPIA) has not been completed.

9 EQUALITY IMPACT ASSESSMENT

9.1 An Equality Impact Assessment has not been completed as it is not deemed relevant to this report.

10 COMMUNITY SAFETY IMPLICATIONS

10.1 None Identified

11 HEALTH AND WELLBEING IMPLICATIONS

11.1 None Identified

12 CONCLUSION AND SUMMARY OF REASONS FOR THE RECOMMENDATIONS

12.1 There has been much progress made since the Ofsted inspection in March. It is acknowledged that children's services are not yet consistently good and there remains a challenge in continuing to improve and sustain those improvements.

12.2 Workforce planning is central to our improvement and is a key risk to sustaining improvement. Whilst we have recruited to our vacancies during the Covid pandemic, virtual recruitment has been challenging and has not always led to the right people being in post. We have taken swift action to address this and while our social work stability has improved this is still a key area of focus for us, particularly at management level. Working remotely is a challenge in terms of building a supportive team culture and environment and helping staff to feel secure around taking steps to improve practice and, more importantly, offering stability and consistency to children, young people and their families.

12.3 Recruitment to the remaining vacant posts is ongoing; we currently have one agency Social Worker in the service, which is an improved position for us, but we want to

move to a position with no agency workers in the service. Our Frontline⁴ students are now in post and have integrated well into the team. They will be qualified social workers in our service from September 2021 which will give us stability and resilience in terms of social work staffing. In joining the Frontline programme and employing some newly qualified social workers we are growing our own social workers who are clear on the service expectations in Rutland and the standards that are expected.

- 12.4 It is clear that the pandemic has impacted upon our rate of progress and hindered plans at different times throughout the last 10 months. We are however proud of the work our social workers have undertaken and how they have adapted to a challenging working environment. We have ensured that our vulnerable children and young people have continued to be seen, face to face and receive a service from us to ensure their safety and wellbeing.
- 12.5 We have used external challenge from Ingson Consultancy and our regional peer challenge conversations, to test ourselves, to inform our self-assessment, and to test that our own analysis is accurate. We are confident that we are making progress and that we know the areas that require attention to improve.
- 12.6 Our Ofsted Annual Engagement Meeting took place on 21st January 2021 during this meeting we were able to highlight the areas we have improved upon this year and areas that require further improvement. Ofsted are likely to undertake a focussed visit to Rutland in April/May 2021 and we will be able to evidence further our improvement. Following our meeting with Ofsted we will be refreshing the improvement plan to focus down on stubborn areas of practice which require improvement as well as quality assurance.
- 12.7 The challenge moving forward is to build a strong and stable management team who can lead and inspire our social workers to improve practice and to maintain this. The support programmes in place will assist our managers in this task as well as clear role modelling by senior management.
- 12.8 While we still require improvement to be good, we have made good progress in our improvement journey. We know that there is still work to do to continue to improve and sustain improvement, and we have a sharp focus on improving the quality of practice and robust management support.
- 12.9 It is recommended that the Cabinet notes the actions taken in response to the areas for improvement identified by Ofsted and offers comment on any areas where they feel progress is slower than expected.

13 BACKGROUND PAPERS

- 13.1 There are no additional papers to the report.

⁴ The Frontline programme is a nationally recognised programme for high potential university leavers and career changers to qualify as Social workers. The two-year programme offers a route into a career in children's social work.

14 APPENDICES

14.1 Appendix A – Improvement Governance Arrangements

14.2 Appendix B – Children’s Services Improvement Plan Tracker

A Large Print or Braille Version of this Report is available upon request – Contact 01572 722577.

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Children's Services Improvement Board

Terms of Reference

Underpinning Principles

Understanding where the key risks and issues are across the whole system of support and protection for children.

Understand the journey of a Rutland child from the first point they need help, care and protection, and through all the different stages after that.

Understanding what difference we are making and focusing our improvements where we can have most impact.

Aims and Purpose

To address the findings from the Ofsted inspection of Children's Services and to ensure delivery of improvements against those findings.

To achieve this aim, the Board will:

1. Ensure services for children and families in Rutland are fit for purpose and subject to continuous improvement to ensure that children and young people are safe, healthy, aspiring and achieving.
2. Take ownership of the Improvement Plan with clear accountability, scrutiny and reporting lines.
3. Challenge the delivery and direction of the actions contained within the Improvement Plan to ensure that improvements are timely and sustainable.
4. Monitor the delivery of the Improvement Plan to agreed quality standards and timescales.
5. Give assurance that improvements can be evidenced and monitored to maintain high standards of performance across all agencies.
6. Give assurance that the culture of improvement is embedded across all those agencies beyond the life and work of the Improvement Plan. Closely monitor the Improvement Plan.
7. Report progress against the Improvement Plan to Cabinet, Chief Executive and the Children and Young People Scrutiny Committee.

8. Engage frontline staff, children, young people and families in developing and monitoring improvement activity to ensure that children and young people's voices are heard.
9. Work within the existing strategic governance, accountability and challenge framework, including the Safeguarding Children Partnership, Health and Wellbeing Board, Children and Young People's Partnership, Corporate Parenting Board and relevant Scrutiny Committee(s), and seek to complement and enhance the work done by these bodies.

Membership

Chair: Portfolio Holder for Lifelong Learning, Early Years, SEND, Inclusion, Safeguarding Children & Young People

The membership of the Board will be:

- Elected Member - Children in Care and Care Leavers Champion
- Strategic Director for People and Deputy Chief Executive
- Deputy Director of Children's Services
- Deputy Director, Resources
- Head of Service, Children's Social Care

Other Matters

Quorum: There will be no quorum for the meeting

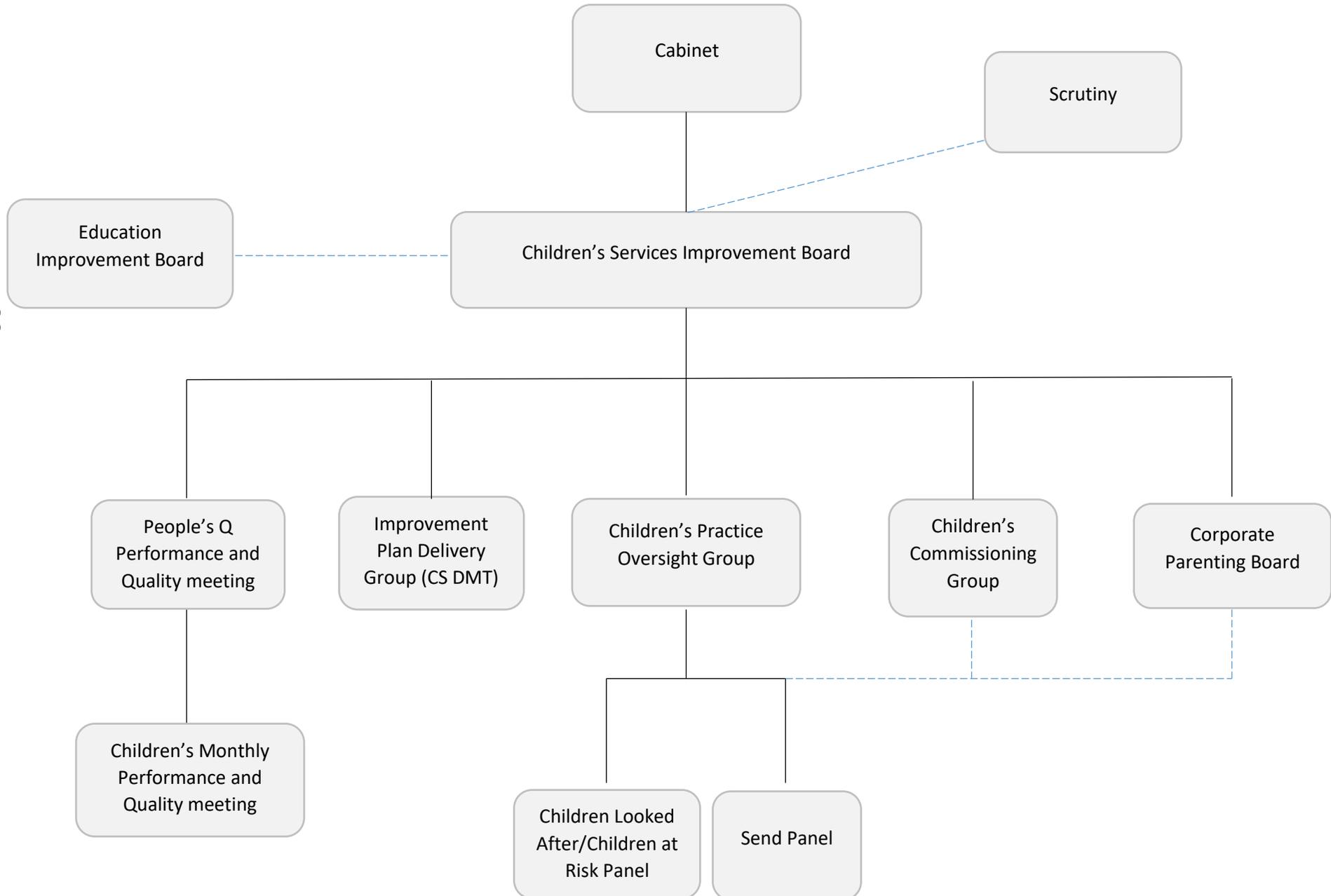
Voting: All members have equal voting rights. The Chair does not have a second or casting vote. It is expected that the Board will, as far as possible, reach decisions by consensus.

Frequency of Meetings: Meetings will be monthly, unless otherwise agreed by the Board

Changes to Membership: Changes to membership can be agreed by the Board. The Board may invite anyone who it believes will be useful in achieving its aims and purpose to attend meetings or join the Board as a full member with voting rights or a co-opted member without.

Appendix A – Governance Structure

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CHILDREN'S SERVICES IMPROVEMENT PLAN

| What Needs to Improve | Action | Action | Person Responsible | By When | Progress to Date | RAG | Impact Assurance |
|--|--|--|---------------------------------------|---|---|-----|--|
| Management oversight and decision-making to ensure that children's cases are comprehensively overseen and that their progress is closely reviewed | 1 | Permanent recruitment to management roles is ongoing- we have reviewed and changed our recruitment processes to ensure that our recruitment is more specific about the skills and knowledge required for the role and includes practical skills tests as well as a formal interview. | Emma Sweeny | 28 August 2020 | Completed | G | <p>New permanent management team in place- offering stability and consistency</p> <p>Clear management oversight on all children's files</p> <p>Management oversight adds clarity and actions are progressed for children and young people.</p> <p>Managers are confident in their roles and remit and can articulate this</p> <p>Senior managers and leaders are clear on practice issues and the steps being taken to address these</p> |
| | 2 | Utilisation of management practice standards to induct new staff and emphasise good practice. | Emma Sweeny | 28 August 2020 | Completed | G | |
| | 3 | The head of service and service manager continue to closely monitor the frequency and quality of supervision and will take swift performance management action as necessary. | Emma Sweeny / Heidi Baron | 31 March 2021 | Centralised point for storing supervision has been created dipsampling is taking place monthly | G | |
| | 3a | Supervision continues to be monitored by the service manager and Head of Service. Monthly audit of quality of supervision to be undertaken by HoS, PSW and SM. | Emma Sweeny/Heidi Baron/Sarah Nichols | 31 March 2021 | Supervision quality remains a key focus and work is ongoing with managers around this. | G | |
| | 3b | Recording and reporting of supervision on liquid logic is being explored to allow for more robust recording. | Heidi Baron/Jonathan Wellar | 31 March 2021 | Ongoing work with BI to look at best recording formats | G | |
| | 4 | All team managers will receive First line Management training which has a strong focus on supporting managers to become more confident to challenge staff when appropriate. | Emma Sweeny / Lydia Bennett | 31 March 2021 | Ann-Marie and Sami will be on the spring cohort beginning 24th March 2021 | G | |
| | 5 | A new governance approach to children's improvement has been established including a children's service improvement board, chaired by the Portfolio Holder for Lifelong Learning, Early Years, SEND, Inclusion, Safeguarding Children & Young People, Children's Practice Oversight group and Children's Commissioning Group | Dawn Godfrey | 08 April 2020 | Completed | G | |
| | 6 | Re-focus our quality assurance activity and use our moderation process to ensure compliance and quality of audit is embedded. | Kevin Quinn | 31 March 2021 | Ongoing work being led by Kevin to redesign the QA framework in collaboration with staff | G | |
| | 6a | QA focus on identifying themes arising and working with the principal social worker to share learning with staff and develop a learning loop. Feedback from parents/carers and children needs to become embedded in this learning loop. | Sarah Nichols/ Heidi Baron | 31 March 2021 | Work has already begun on embedding learning into staff briefing training sessions. Impact Chronology training has been completed this month. | G | |
| | 6b | Compliance with practice reviews is treated as a performance issue. Management expectations are clear on bottom line expectations that these are completed each month without exception. | Emma Sweeny/Heidi Baron | 31 March 2021 | There are issues with compliance and these are being addressed without exception | G | |
| 7 | Audit compliance to be monitored by the service manager and the revised quality assurance tool used to improve practice. Audits not completed to be managed as a performance issue each month. | Emma Sweeny / Lydia Bennett | 30 June 2020 | Audits are reviewed every month and compliance is managed robustly/ | G | | |

CHILDREN'S SERVICES IMPROVEMENT PLAN

| What Needs to Improve | Action | Action | Person Responsible | By When | Progress to Date | RAG | Impact Assurance |
|---|--|---|---|---|--|-----|---|
| The quality of assessments and plans to ensure that they identify needs and lead to improvements in children's well-being | 8 | All single assessments are monitored at 10 and 20 days to respond to the child's timeframe and maintain progress in this area. | RAIS TM | 31 July 2020 | Timely assessments remain a focus in the service and the team manager is driving forward this performance. 100% of assessments were completed in timescales in June. | G | Audits will show improvement in assessments and plans Higher level of satisfaction with service offered will be recorded Complaints in relation to the service will reduce Data will show continued improvement in timeliness of assessments |
| | 9 | Team managers to identify exemplars of good practice to help support others to understand what good assessments look like | Team Managers / Heidi Baron | 31 March 2021 | PSW continues to work with TM's to collate good exemplars of practice. | G | |
| | 9a | Exemplars of good practice to be used in staff workshops to develop skills and help set expectations of what good looks like | Team Managers/ Heidi Baron/ PSW | 31 March 2021 | PSW is in the process of building our own knowledge bank of good practice | G | |
| | 10 | IRO and PSW to conduct workshops on how to formulate good plans | Denise Wynter / Sarah Nichols | 31 March 2021 | Ongoing work with teams around good plans is taking place- this will be an ongoing process and form part of the ongoing signs of safety implementation | G | |
| | 11 | Review of Liquid logic capability to look at management sign off to enable more robust practice oversight and ensure staff are no longer able to sign off their own plans and plans must now be signed off by their team manager prior to being shared with families and professionals. | David Wylie / Heidi Baron / Team Managers | 31 October 2020 | Completed Team Managers now have oversight of plans and sign them off- Next step action is to improve quality of plans and uplift practice through QA processes. | G | |
| | 12 | Progression of plans is discussed routinely in supervision to ensure appropriate level of management oversight including challenge and reflection, and evidence progress being made. | Team Managers | 26 June 2020 | Completed. Supervision is in place with clear focus on progression of plans | G | |
| | 13 | Principal social worker and Service Manager to analyse audits monthly and highlight the actions for learning and report to the Performance meeting. | Lydia Bennett / Sarah Nichols | 26 June 2020 | Completed | G | |
| Commissioning and contract monitoring arrangements, to increase the sufficiency and quality of commissioned services, including placement matching for disabled children and those with complex needs | 14 | PSW to add actions for learning to their work plan and this is to be shared across the service and evidence collated around how this impacts on practice. | Sarah Nichols | 30 June 2020 | Completed | G | |
| | 15 | Formal monthly contract monitoring meetings take place and quality assurance measures for all contracts reviewed. | Emma Sweeny / Lydia Bennett | 29 May 2020 | Completed. Meetings take place every month with commissioned services. | G | |
| | 16 | Clear policy document to be created and shared with staff around the process for commissioning placements. | Karen Kibblewhite / Simon Barnett | 31 July 2020 | Commissioning team to brief social care on process. Briefings to be completed by 31st August-completed | G | |
| | 16a | Review of how commissioning arrangements are implemented within social care and action plan around ensuring robust arrangements around commissioning process in place | Kevin Quinn | 31 January 2021 | | G | |
| | 17 | Review corporate commissioning strategy for children's placements | Karen Kibblewhite / Simon Barnett | 31 July 2020 | Completed. Standard operating protocol revised and in place. Suggest new action around quality assurance of placements | G | |
| 17a | Children's social care to ensure that robust processes are in place for the quality assurance of placements for CLA and all placements have appropriate monitoring in place. | Heidi Baron/Kevin Quinn | 31 December 2020 | Ongoing work with Leicestershire around the quality assurance of placements on the framework-discussions are being held around an East Midlands QA framework that we are involved in. | G | | |

CHILDREN'S SERVICES IMPROVEMENT PLAN

| What Needs to Improve | Action | Action | Person Responsible | By When | Progress to Date | RAG | Impact Assurance |
|---|--------|---|-----------------------------|------------------|--|-----|---|
| The housing offer for vulnerable young people and care leavers, including addressing the use of bed and breakfast accommodation | 18 | A new housing protocol for homeless 16/17 year olds to be put in place with expectation around offer of S20/S17 support and management sign off of this decision. | Emma Sweeny / Simon Barnett | 29 May 2020 | Completed. Housing protocol in place and being adhered to, being revised to make more young person friendly | G | No young people will reside in bed and breakfast accommodation Clear policy in place and followed with clear audit/data. Increase in numbers of those in staying put arrangements |
| | 19 | Fostering offer to be developed to ensure that staying put is in place. | Alison Sharp / Heidi Baron | 30 November 2020 | Draft care leaver offer in place including staying put. This has yet to be share by the service manager for sign off but is expected by 01.12.20. This will help focus the upcoming fostering recruitment campaign to ensure staying put is a key focus. | R | |
| | 20 | Quarterly audit of homeless 16/17 years to ensure compliance with procedure. | Heidi Baron | 01 March 2021 | This has been completed for Q1 and Q2- Q3 to be reviewed in Januray 2021 | G | |
| | 21 | Corporate review of how Rutland responds to the local issue of housing and link with work in the local plan regarding affordable, single occupancy housing for our young people leaving care and in need of housing support | Dawn Godfrey / Penny Sharp | 31 December 2020 | Work on this had stalled due to Covid related priority activity. Is now underway led by K Quinn. | A | |
| The use of the pre-proceedings phase of the public law outline, to ensure that parents can make changes within a legal framework and that children come into care when they need to | 22 | PLO tracker in place and updated weekly by PAPS team manager | Team Manager PAPS | 15 May 2020 | Completed | G | Pre-proceedings work will increase- a robust tracker will be in place that can evidence the improvement in this work |
| | 23 | Monthly meetings with legal services to discuss PLO cases and ensure progression | Emma Sweeny / Lydia Bennett | 29 May 2020 | Completed | G | Fewer immediate issue cases will be recorded |
| | 24 | Monthly PLO reports to practice oversight group and improvement board | Emma Sweeny / Lydia Bennett | 31 July 2020 | Completed | G | High level scrutiny of this area of practice by the children's practice oversight group and improvement board. Impact will be measured through our quality assurance system. |

CHILDREN'S SERVICES IMPROVEMENT PLAN

| What Needs to Improve | Action | Action | Person Responsible | By When | Progress to Date | RAG | Impact Assurance |
|---|--------|---|-------------------------------------|------------------|---|-----|---|
| Early permanence planning for children | 25 | Head of Service will have oversight of all permanence planning at Children Looked After and At Risk Of Care Panel and permanence tracker reviewed at fortnightly practice oversight group with progress reported to improvement board | Emma Sweeny | 28 April 2020 | Completed | G | All children have a clear permanence plan Permanence is achieved for children without delay Data around timeliness of permanence improves IRO challenge and footprint is evident and assists in progressing children's plans swiftly |
| | 26 | Service Manager to review the permanence planning procedure to ensure that this is fit for purpose and can drive changes requires. | Lydia Bennett | 31 July 2020 | Completed | G | |
| | 27 | New data set around Permanence and matching to be agreed and run monthly | Emma Sweeny/Heidi Baron | 31 December 2020 | BI have incorporated the permanace planning documents into liquid logic which will allow for reporting in relation to permanace and matching to be drawn fromn the system- this is in testing and due to go live next week. | G | |
| | 28 | IRO practice standards to be embedded to ensure that they champion and meet those standards for CLA. Additional IRO post to support with this emphasis. | Emma Sweeny / Lydia Bennett | 30 June 2020 | Completed. New IRO has been recruited and the IRO is clear around challenge as evidenced in practice reviews. | G | |
| | 29 | IRO practice alerts are followed up and monitored for progression | Lydia Bennett | 30 June 2020 | This is completed and ongoing. | G | |
| | 30 | IRO challenge/oversight is evident on case files and challenge is responded to by Team and Service Manager | IRO/Team and Service Managers | 31 December 2020 | IRO midway review form has now been designed and followingdiscussion with the service and some changes to the sign off will be ready to go live w/c 7/12 | G | |
| 94 The timeliness of foster carer annual reviews | 31 | Panels are scheduled and clear on expectations to sustain progress already made | Fostering Manager / Service Manager | | Completed | G | All carers are reviewed on time |
| | 32 | Annual report from panel chair is completed and used to inform fostering plan | Panel Chair / Fostering Manager | 31 March 2021 | Not due to until end of March 2021 | G | Panel annual report is able to show challenge and scrutiny of carers |

CABINET

16th February 2021

**CLEANING CONTRACT – EXTENSION REQUEST AND
PROCUREMENT OF NEW CONTRACT**

Report of the Strategic Director Places

| | | |
|--------------------------------|---|--|
| Strategic Aim: | Customer Focussed Services | |
| Key Decision: Yes | Forward Plan Reference: FP/271120 | |
| Exempt Information | No | |
| Cabinet Member(s) Responsible: | Cllr Oliver Hemsley - Cabinet (Chair) Leader and Portfolio Holder for Rutland One Public Estate & Growth, Tourism & Economic Development, Communications, Resources (other than Finance) and Property | |
| Contact Officer(s): | Mona Walsh Head of Property Services | Tel: 01572 7208391 MWalsh2@rutland.gov.uk |
| | Diane Grattage Senior Building Surveyor | Tel: 01572 7208254 Dgrattage@rutland.gov.uk |
| Ward Councillors | Not applicable | |

DECISION RECOMMENDATIONS

That Cabinet:

1. Approves the extension of the existing cleaning contract of Council properties to 31 March 2022 at an estimated cost up to £157,180, including consumables and laundry but excluding exceptional events such as deep cleaning following a Covid_19 event.
2. Authorises the Strategic Director Places in consultation with the Portfolio Holder for Rutland One Public Estate & Growth, Tourism & Economic Development, Communications, Resources (other than Finance) and Property and the Director for Resources to determine a procurement route, award criteria and if a suitable supplier or suppliers are identified, move forward and award a contract.

1 PURPOSE OF THE REPORT

- 1.1 This report seeks approval to extend the existing cleaning contract with S4 Facilities Ltd (t/a Extra Fresh) for cleaning of RCC properties, pending procurement of a new cleaning contract, as set out in the recommendations above. The approvals requested will ensure the contract can be placed with the minimum delay and service disruption.

2 BACKGROUND AND MAIN CONSIDERATIONS

- 2.1 Cleaning of all Council properties is provided by S4 Facilities Ltd (t/a Extra Fresh). The existing contract commenced on 1 Dec 2017 and expires on 31 March 2021. RCC wish to extend the existing contract from 1 April 2021 to 31 March 2022, whilst a new cleaning contract is procured, at an estimated cost up to £157,180, including consumables and laundry which are charged based on supply and usage. The estimated cost is exclusive of exceptional events such as deep cleaning following a Covid_19 outbreak.
- 2.2 Procurement of the new cleaning contract will be through an existing ESPO Framework (Total Cleaning Services Framework No 263), meeting Public Procurement Regulations 2015 and RCC Financial Regulations and providing a secure, robust and simplified process. The ESPO Framework has been updated reflecting statutory obligations and recommended Covid_19 cleaning protocols.
- 2.3 The new contract will be structured to be flexible and enable the Council to amend or flex cleaning requirements to reflect property use, occupation and environmental events as they occur. This flexibility will be particularly important as the Council makes decisions on future use, ownership and occupation of properties over the lifetime of the new contract.
- 2.4 Extension of the existing contract to 31 March 2022 is estimated to incur a total contract spend of up to £561,495, including consumables and laundry but excluding exceptional events related to Covid_19. In accordance with CPRs Regulation 17.3.9 contracts with a total value above £500,000 can only be extended with the authorisation of Cabinet.

3 CONSULTATION

- 3.1 Informal consultation has taken place with the Portfolio Holder for Property, Strategic Director Places and Deputy Director Corporate Governance (Monitoring Officer) and the Council's Commissioning Manager about the contract extension and planned procurement.
- 3.2 Consultation was also undertaken with S4 Facilities Ltd who have confirmed their agreement to the contract extension.

4 ALTERNATIVE OPTIONS

- 4.1 Not extending the contract would result in the Council's properties remaining uncleaned and therefore not safe for use. This would result in properties, currently occupied, being closed and the Council unable to provide required services and support to residents and service users.

5 FINANCIAL IMPLICATIONS

- 5.1 The contract sum of £157k can be met within existing budgets.
- 5.2 Exceptional costs in relation to Covid will continue to be met from the Councils Covid budget

6 LEGAL AND GOVERNANCE CONSIDERATIONS

- 6.1 As referred to in Section 2 above procurement of the new cleaning contract will be through an existing ESPO Framework (Total Cleaning Services Framework No 263), meeting Public Procurement Regulations 2015 and RCC Financial Regulations and providing a secure, robust and simplified process. In accordance with CPRs Regulation 17.3.9 contracts with a total value above £500,000 can only be extended with the authorisation of Cabinet.

7 DATA PROTECTION IMPLICATIONS

- 7.1 A Data Protection Impact Assessments (DPIA) has been completed. No adverse or other significant risks/issues were found. A copy of the DPIA can be obtained from Mona Walsh, Head of Property Services.

8 EQUALITY IMPACT ASSESSMENT

- 8.1 An Equality Impact questionnaire has been completed. No adverse or other significant risks / issues were found. As such, a full Equality Impact Assessment (EqIA) has not been completed.

9 COMMUNITY SAFETY IMPLICATIONS

- 9.1 Extension of the contract, pending procurement of a new contract, will ensure that all Council properties are cleaned regularly, providing a safe environment to all users.

10 HEALTH AND WELLBEING IMPLICATIONS

- 10.1 Provision of clean properties will ensure workers and visitors to the properties are able to carry out their daily activities safely.

11 ORGANISATIONAL IMPLICATIONS

- 11.1 Environmental implications
- 11.2 Environmental implications will be responsibly managed in accordance with COSHH and waste management obligations associated with use of chemicals in the cleaning activities and proper disposal of waste materials generated as part of the process.
- 11.3 Human Resource implications
- 11.4 We are advised existing S4 Facilities Ltd's staff are self-employed and no TUPE implications are expected. The Council 3 members of cleaning staff, currently working 24hrs per week hours in total. They will continue to operate as direct employees during the interim solution but will be subject to consultation processes as part of any new transition contract arrangements in accordance with TUPE law.
- 11.5 Procurement Implications

11.6 The extension of the existing contract and procurement of the new contract will be in accordance with the Councils RCC Financial Regulations. The Council's Commissioning Manager will continue to be closely involved in all aspects of this matter.

12 CONCLUSION AND SUMMARY OF REASONS FOR THE RECOMMENDATIONS

12.1 It is vital that the Council continues to have clean and safe properties for its staff and other service users. The proposals set out in this report will ensure that the Council maintains the required level of cleaning at its properties whilst procuring a new and robust cleaning contract reflecting the current and future needs.

13 BACKGROUND PAPERS

13.1 There are no additional background papers to this report.

14 APPENDICES

14.1 There are no appendices.

A Large Print or Braille Version of this Report is available upon request – Contact 01572 722577.

CABINET

16th February 2021

Environmental Services Re-procurement Project

Report of the Strategic Director for Places

| | | |
|--------------------------------|--|-------------------------|
| Strategic Aim: | Delivering Sustainable Development | |
| Key Decision: Yes | Forward Plan Reference: FP/201120 | |
| Exempt Information | No | |
| Cabinet Member(s) Responsible: | Cllr. Lucy Stephenson, Portfolio Holder for Culture & Leisure, Environment, Highways, Transportation and Road Safety | |
| Contact Officer(s): | Penny Sharp, Strategic Director-Places | psharp@rutland.gov.uk |
| | Steve Sprason, Interim Senior Environmental Services Manager | ssprason@rutland.gov.uk |
| Ward Councillors | N/A | |

DECISION RECOMMENDATIONS

That Cabinet:

1. Authorises the Strategic Director-Places to form a Project Board and associated structures in order to undertake a re-procurement of the Environmental Services functions as detailed herein
2. Approves the related documentation comprising Project Initiation Document, Project Governance and Project Board Terms of Reference as attached at Appendix A
3. Notes the progress on associated pre-procurement activities as detailed herein
4. Notes the contents of the of the Risk & Issues Log and associated Project Timetable as attached at Appendix B1 and B2 of the report.
5. Notes the budget available to support the projects, paragraph 6.1

1 PURPOSE OF THE REPORT

- 1.1 To seek approval to the establishment of the required formal project structures to allow the undertaking of the re-procurement of a variety of waste and street scene services as detailed herein.
- 1.2 To update Cabinet as to the progress to date in relation to required pre-procurement activities including waste analysis and review of the waste strategy and associated infrastructure and the project timeline generally.

2 BACKGROUND AND MAIN CONSIDERATIONS

- 2.1 At its meeting held on the 9th November 2020 Council approved the principle of the extension of the Council's four principal waste contracts to bring each to a co-terminus contract date of 31st March 2024. The rationale to this being that would then enable sufficient time to undertake managed re-procurement, including essential required pre-procurement activities, to enable a newly procured contract(s) to run from 1st April 2024
- 2.2 Council also approved a thorough review of the Council's Waste Strategy and associated Options Appraisal work to be undertaken as part of that pre-procurement work.
- 2.3 Members are aware that Street Cleansing activities form part of the existing Integrated Services contract with Biffa and will form part of the future procurement exercise.
- 2.4 Resource Futures, an Environmental Consultancy, have been retained by the Council to support this work.

3 REPORT

- 3.1 Approval is being sought to establish the formal project structures (in line with the Council's Project Management Framework) to allow the re-procurement of the Environmental Services as detailed below. These comprise:
 - 3.1.1 Residual waste haulage and treatment, waste collection, treatment of dry mixed recyclables, green waste treatment and street cleansing
- 3.2 An assessment of the Project against the Council's Project Management Framework was undertaken within the Project Board and which has deemed the project to be one of high risk. The implications of this are as detailed below.
- 3.3 The related documentation now submitted for approval comprises the Project Initiation Document, Project Governance and Project Board Terms of Reference as attached at Appendix A. Cabinet is also asked to note the contents of the Risk and Issues log and project timetable as attached at Appendix B1 and B2. In relation to the project timetable, detailed milestones are provided for stages M0-M16 (pre-procurement). Headline milestones only are provided at this point for stages M17-M22 (procurement and mobilisation/decommission phases) and those will be fleshed out as the project progresses.
- 3.4 Progress to date on pre-procurement activities is as set out below:

- 3.4.1 Waste Analysis (commenced December 2020)
 - 3.4.1.1 Fieldwork has been completed and a draft report has been received which is in the process of being finalised. The results will inform the subsequent Strategy Review work
- 3.4.2 Waste Infrastructure Review (commenced December 2020)
 - 3.4.2.1 Initial data collection and analysis has commenced. Issues and dependencies are being identified.
- 3.4.3 Strategy Review (commenced December 2020)
 - 3.4.3.1 An initial stakeholder workshop was held on the 14th January. A road map is now being finalised which will set the stages necessary in meeting the aims and objectives of the Council.

4 CONSULTATION

- 4.1 Consultation has been undertaken with the Portfolio Holder and relevant Officers. Consultation will be undertaken with key stakeholders as part of the development and adoption of the new Waste Strategy

5 ALTERNATIVE OPTIONS

- 5.1 A number of alternative options for waste collection and disposal have been considered as a part of the contract extension considerations, and as appropriate explored, and that detail was reported to the 9th November 2020 meeting of Council
- 5.2 The waste analysis, waste strategy/infrastructure and options appraisal work will develop a range of options for consideration, and a preferred option for a future service delivery model that will form the basis of the procurement exercise will emerge in due course

6 FINANCIAL IMPLICATIONS

6.1 Contract Budget

- 6.1.1 Based on the draft 2021/22 budgets (report 34/2021) for waste collections, waste haulage & treatment, HWRC operations, and street cleansing, the annual cost totals approx. £3.9m.
- 6.1.2 Whereas the project sets an ambition to achieve savings of c.10% when compared to current contracts pricing, options to achieve savings in excess of that figure will also be presented to Members for consideration in due course. The level of any savings to be achieved has the potential to be impacted by, amongst other things, both the detail of future legislative change and the Council's preferred option for Service delivery.

6.2 Project Budget

6.2.1 The table below shows the current position regarding the cost of the project (both pre-procurement and procurement work)

| Description | Approved (Report Number) | Legal | Technical Advisor | Total |
|---|--------------------------|----------|-------------------|----------|
| 2020/21 Budget | 39/2020 | £30,000 | £50,000 | £80,000 |
| Additional 2020/21 Budget | 143/2020 | £0 | £50,000 | £50,000 |
| Included within Draft Budget 2021/22 Budget | (34/2021) | £90,000 | £125,000 | £215,000 |
| Total | | £120,000 | £225,000 | £345,000 |

6.2.2 It is expected that over the life of the estimated project legal fees are likely to be broadly split 40% pre-procurement, 30% procurement and 30% post procurement.

6.2.3 The exact requirements for a Technical Advisor are still being reviewed with the budget expected to reflect actual requirements. It will be no more than the stated value within the above table. Final budget requirement may be different to that stated in the table.

7 LEGAL AND GOVERNANCE CONSIDERATIONS

7.1 As per the Council's agreed project management framework, this project was analysed against the risk matrix and it was deemed a High risk project – this requires a governance structure of a project team, reporting into a project board and with Cabinet as the primary decision making body

8 DATA PROTECTION IMPLICATIONS

8.1 There are no data protection implications arising out of this report.

9 EQUALITY IMPACT ASSESSMENT

9.1 There are no equality impact issues arising out of this report

10 COMMUNITY SAFETY IMPLICATIONS

10.1 There are no community safety implications arising out of this report

11 HEALTH AND WELLBEING IMPLICATIONS

11.1 There are no health and wellbeing implications arising out of this report

12 CONCLUSION AND SUMMARY OF REASONS FOR THE RECOMMENDATIONS

- 12.1 That approval be given to the formal initiation of the project and the associated project structure, governance arrangements and documentation. This will underpin decisions on the future shape of related Services, allow the project to proceed and in accordance with the indicative project timeline. Formal re-procurement in due course gives assurance to future Service delivery, the undertaking of the pre-procurement activities will give comfort in the selection of the preferred option.

13 BACKGROUND PAPERS

- 13.1 There are no additional background papers to the Report

14 APPENDICES

- 14.1 Appendix A comprising Project Initiation Document, Project Governance and Project Board Terms of Reference.
- 14.2 Appendix B1 - comprising Risk & Issues Log and B2 - associated Project Timetable.

A Large Print or Braille Version of this Report is available upon request – Contact 01572 722577.

Appendix A: comprising Project Initiation Document, Project Governance and Project Board Terms of Reference.

Rutland County Council

Environmental Services Re-procurement Project

Project Initiation Document (PID)

| | |
|-----------------|---|
| Document Owner: | Steve Sprason Rutland County Council |
| Author: | Steve Sprason |
| Version: | V1.00 |
| Date: | December 2020 |
| Classification | NOT PROTECTIVELY MARKED |

Appendix A: comprising Project Initiation Document, Project Governance and Project Board Terms of Reference.

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Document Control, Approval and Distribution Version Control

This document should be updated with any amendments:

| Version | Date | Notes |
|---------|----------|---|
| V0.01 | Nov 2019 | Draft Document Created for Project Board Review |
| V0.02 | Dec 2020 | Updated document |
| V0.03 | Dec 2020 | Updated by Resource Futures |
| V0.04 | Dec 2020 | Updated by Resource Futures |
| V0.05 | Dec 2020 | Updates from project team |
| V1.00 | Dec 2020 | Approved by Project Board |

Document Approval

This document requires the following approvals:

| Sponsor Approval | Name | Date |
|------------------|------|------|
| Sponsor | | |
| Project Board | | |

V.01 Approved by project Board

Document Distribution

This document will be distributed to:

| Name | Method | Date |
|-----------------------------|--------|------|
| Project Team, Project Board | | |
| | | |

Project Details

| | |
|---------------------------|--|
| Project | Environmental Services Re-procurement Project |
| Background | <p>The Council has recently secured extensions to its Environmental Services contracts until 31 March 2024, with new contracts due to commence on 1 April of the same year. Many of these contracts are fulfilling statutory duties, whilst some elements, e.g. bulky waste collections, are discretionary.</p> <p>The intention is to:</p> <ul style="list-style-type: none"> • Commence a pre-procurement exercise. This will include a full review of the service in readiness for commencing a re-procurement exercise for the Environmental Services contracts in 2022. There have been significant recent developments in national policy and corresponding developments in legislation that the Council will need to ensure compliance with, in readiness for its new contracts. The Council must also ensure its waste infrastructure is fit for purpose to support the future service. • Following completion of the pre-procurement exercise, commence the re-procurement exercise of the Environmental Services contracts. |
| Project Objectives | <ul style="list-style-type: none"> • To identify the direction of travel for the Council to ensure legislative compliance with emerging national policy changes. • To identify the infrastructure improvements necessary to support the service in the medium to long term. • To identify the costs and implications of decommissioning/vacating existing waste infrastructure as necessary • To identify the necessary improvements to the waste collection service in readiness for a new service to commence from 1 April 2024, when the new contracts commence. • To enable residents to offer their views on the new waste strategy and on the preferred option for the waste collection service profile. • To provide a comprehensive and robust suite of supporting tender documents to enable future bidders for the Environmental Services contracts to provide value for money bids. • To realise any service efficiencies from undertaking this project prior to re-tendering the service. • To re-procure the service contracts in a resource efficient manner, adopting the most suitable procurement route for the Council to take. • Minimising the extent of Bidder's risk-pricing the contracts by producing high quality specification outputs and robust supporting documentation. • Ensuring the contracts are lotted to maximise efficiencies for the Service. • To deliver the project in a timely, planned and co-ordinated approach to ensure the new contracts can be awarded and mobilised (and the incumbent contractors demobilised) within the timescales specified. |

Appendix A: comprising Project Initiation Document, Project Governance and Project Board Terms of Reference.

| | |
|----------------------------------|---|
| | <ul style="list-style-type: none"> To achieve savings of c.10% when compared to current (extended) contracts pricing |
| <p>Activities / Scope</p> | <p>Key pre-procurement activities:</p> <ul style="list-style-type: none"> An infrastructure review, to include street cleansing services, to assess the requirement and possible locations of a new facility (or facilities) that may be required. A review of the existing Waste Strategy and a re-write of the strategy to bring it up to date following national policy and legislative changes. A public consultation on the new Waste Strategy. An options appraisal exercise to identify a preferred option for the kerbside waste collection service. A public consultation on the preferred option identified from the options appraisal exercise. <p>Key re-procurement activities:</p> <ul style="list-style-type: none"> Determine the correct procurement route to take. Develop specifications for the new contracts. Develop the evaluation criteria for bidders (quality and financial). Go out to tender. Evaluate bidder submissions. Appoint the successful bidder(s). Commence contract mobilisation / demobilisation. <p>Key post-procurement activities:</p> <ul style="list-style-type: none"> Manage the transition between the incumbent and the new supplier. |
| <p>Deliverables</p> | <p>The overall project will be split into six key phases: (see table below for deliverables)</p> <p>1a) HWRC and waste/street cleansing infrastructure review</p> <p>1b) Waste strategy review</p> <p>2) Public consultation on the waste strategy</p> <p>3) Options appraisal</p> <p>4) Public consultation on the preferred option</p> <p>5) Re-procurement</p> |

Appendix A: comprising Project Initiation Document, Project Governance and Project Board Terms of Reference.

| | 6) Manage the transition | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|----------------------------------|---|-------------|------------|---|-----------|----------|------------------------|--|--|--|--|----|--|--------|--------|---------------------------|----|----------------|--------|--------|--|----|-----------------------------|--------|--------|--|----|-----------------------|--------|--------|--|----|-----------------------------|--------|--------|---------------|----|---|--------|--------|---|----|-----------------------------------|--------|--------|--|----|-----------------------|--------|--------|--|----|---------------------|--------|--------|--------------------------|----|---|--------|--------|--|-----|-----------------|--------|--------|--|-----|---|--------|--------|--|-----|--|--------|--------|-------------------------------------|-----|---|--------|--------|--|-----|------------------------------|--------|--------|--|-----|--|--------|--------|--------------------|-----|----------------------------|--------|--------|--|--------------------|--|--|--|--|-----|------------------------------------|--------|--------|--|-----|--|--------|--------|--------------|-----|------------|--------|--------|--|----------------------------------|--|--|--|--|-----|-----------------|--------|--------|--|-----|--------------|--------|--------|--|-----|-----------------------|--------|--------|--|
| Timing | <p>See table below:</p> <table border="1"> <thead> <tr> <th>Ref</th> <th>Milestones</th> <th>Start dates</th> <th>End dates</th> <th>Comments</th> </tr> </thead> <tbody> <tr> <td colspan="5">Pre-Procurement</td> </tr> <tr> <td>M0</td> <td>Project Approval (Governance Gateway)</td> <td>Nov-20</td> <td>Feb-21</td> <td>Going to Cabinet Feb 2021</td> </tr> <tr> <td>M1</td> <td>Waste Analysis</td> <td>Dec-20</td> <td>Feb-21</td> <td></td> </tr> <tr> <td>M2</td> <td>Waste Infrastructure Review</td> <td>Dec-20</td> <td>Mar-21</td> <td></td> </tr> <tr> <td>M3</td> <td>Waste Strategy Review</td> <td>Dec-20</td> <td>Mar-21</td> <td></td> </tr> <tr> <td>M4</td> <td>Waste Strategy Consultation</td> <td>Mar-21</td> <td>May-21</td> <td>inc. Scrutiny</td> </tr> <tr> <td>M5</td> <td>Waste Strategy Sign Off (Governance Gateway)</td> <td>Jun-21</td> <td>Jun-21</td> <td>inc. Council. Financial framework developed</td> </tr> <tr> <td>M6</td> <td>Options Appraisal for Collections</td> <td>Jun-21</td> <td>Jul-21</td> <td></td> </tr> <tr> <td>M7</td> <td>Develop Options Model</td> <td>Sep-21</td> <td>Sep-21</td> <td></td> </tr> <tr> <td>M8</td> <td>Public Consultation</td> <td>Oct-21</td> <td>Dec-21</td> <td>Around the Options Model</td> </tr> <tr> <td>M9</td> <td>Option Sign Off (Governance Gateway)</td> <td>Dec-21</td> <td>Jan-22</td> <td>inc. Council. Financial framework approved</td> </tr> <tr> <td>M10</td> <td>Lessons Learned</td> <td>Jan-22</td> <td>Feb-22</td> <td></td> </tr> <tr> <td>M11</td> <td>Procurement Procedure Options Appraisal</td> <td>Feb-22</td> <td>Feb-22</td> <td></td> </tr> <tr> <td>M12</td> <td>Decide on Procurement Route (Restricted)</td> <td>Mar-22</td> <td>Mar-22</td> <td>Competitive, Restricted, Open - TBC</td> </tr> <tr> <td>M13</td> <td>Develop Outline Specification (inc. sign off)</td> <td>Mar-22</td> <td>May-22</td> <td></td> </tr> <tr> <td>M14</td> <td>Complete Soft Market Testing</td> <td>Jun-22</td> <td>Jul-22</td> <td></td> </tr> <tr> <td>M15</td> <td>Procurement Approval (Governance Gateway)</td> <td>Aug-22</td> <td>Aug-22</td> <td>inc. specification</td> </tr> <tr> <td>M16</td> <td>Pre-Qualification Exercise</td> <td>Aug-22</td> <td>Sep-22</td> <td></td> </tr> <tr> <td colspan="5">Procurement</td> </tr> <tr> <td>M17</td> <td>Tender Process (Finance + Quality)</td> <td>Sep-22</td> <td>Aug-23</td> <td></td> </tr> <tr> <td>M18</td> <td>Award Contract (Governance Gateway)</td> <td>Aug-23</td> <td>Aug-23</td> <td>inc. Council</td> </tr> <tr> <td>M19</td> <td>Standstill</td> <td>Sep-23</td> <td>Oct-23</td> <td></td> </tr> <tr> <td colspan="5">Mobilisation/Decommission</td> </tr> <tr> <td>M20</td> <td>De-mobilisation</td> <td>Oct-23</td> <td>Apr-24</td> <td></td> </tr> <tr> <td>M21</td> <td>Mobilisation</td> <td>Oct-23</td> <td>Apr-24</td> <td></td> </tr> <tr> <td>M22</td> <td>New Contracts Go-live</td> <td>Apr-24</td> <td>Apr-24</td> <td></td> </tr> </tbody> </table> | Ref | Milestones | Start dates | End dates | Comments | Pre-Procurement | | | | | M0 | Project Approval (Governance Gateway) | Nov-20 | Feb-21 | Going to Cabinet Feb 2021 | M1 | Waste Analysis | Dec-20 | Feb-21 | | M2 | Waste Infrastructure Review | Dec-20 | Mar-21 | | M3 | Waste Strategy Review | Dec-20 | Mar-21 | | M4 | Waste Strategy Consultation | Mar-21 | May-21 | inc. Scrutiny | M5 | Waste Strategy Sign Off (Governance Gateway) | Jun-21 | Jun-21 | inc. Council. Financial framework developed | M6 | Options Appraisal for Collections | Jun-21 | Jul-21 | | M7 | Develop Options Model | Sep-21 | Sep-21 | | M8 | Public Consultation | Oct-21 | Dec-21 | Around the Options Model | M9 | Option Sign Off (Governance Gateway) | Dec-21 | Jan-22 | inc. Council. Financial framework approved | M10 | Lessons Learned | Jan-22 | Feb-22 | | M11 | Procurement Procedure Options Appraisal | Feb-22 | Feb-22 | | M12 | Decide on Procurement Route (Restricted) | Mar-22 | Mar-22 | Competitive, Restricted, Open - TBC | M13 | Develop Outline Specification (inc. sign off) | Mar-22 | May-22 | | M14 | Complete Soft Market Testing | Jun-22 | Jul-22 | | M15 | Procurement Approval (Governance Gateway) | Aug-22 | Aug-22 | inc. specification | M16 | Pre-Qualification Exercise | Aug-22 | Sep-22 | | Procurement | | | | | M17 | Tender Process (Finance + Quality) | Sep-22 | Aug-23 | | M18 | Award Contract (Governance Gateway) | Aug-23 | Aug-23 | inc. Council | M19 | Standstill | Sep-23 | Oct-23 | | Mobilisation/Decommission | | | | | M20 | De-mobilisation | Oct-23 | Apr-24 | | M21 | Mobilisation | Oct-23 | Apr-24 | | M22 | New Contracts Go-live | Apr-24 | Apr-24 | |
| Ref | Milestones | Start dates | End dates | Comments | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Pre-Procurement | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| M0 | Project Approval (Governance Gateway) | Nov-20 | Feb-21 | Going to Cabinet Feb 2021 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| M1 | Waste Analysis | Dec-20 | Feb-21 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| M2 | Waste Infrastructure Review | Dec-20 | Mar-21 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| M3 | Waste Strategy Review | Dec-20 | Mar-21 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| M4 | Waste Strategy Consultation | Mar-21 | May-21 | inc. Scrutiny | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| M5 | Waste Strategy Sign Off (Governance Gateway) | Jun-21 | Jun-21 | inc. Council. Financial framework developed | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| M6 | Options Appraisal for Collections | Jun-21 | Jul-21 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| M7 | Develop Options Model | Sep-21 | Sep-21 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| M8 | Public Consultation | Oct-21 | Dec-21 | Around the Options Model | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| M9 | Option Sign Off (Governance Gateway) | Dec-21 | Jan-22 | inc. Council. Financial framework approved | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| M10 | Lessons Learned | Jan-22 | Feb-22 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| M11 | Procurement Procedure Options Appraisal | Feb-22 | Feb-22 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| M12 | Decide on Procurement Route (Restricted) | Mar-22 | Mar-22 | Competitive, Restricted, Open - TBC | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| M13 | Develop Outline Specification (inc. sign off) | Mar-22 | May-22 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| M14 | Complete Soft Market Testing | Jun-22 | Jul-22 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| M15 | Procurement Approval (Governance Gateway) | Aug-22 | Aug-22 | inc. specification | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| M16 | Pre-Qualification Exercise | Aug-22 | Sep-22 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Procurement | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| M17 | Tender Process (Finance + Quality) | Sep-22 | Aug-23 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| M18 | Award Contract (Governance Gateway) | Aug-23 | Aug-23 | inc. Council | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| M19 | Standstill | Sep-23 | Oct-23 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Mobilisation/Decommission | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| M20 | De-mobilisation | Oct-23 | Apr-24 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| M21 | Mobilisation | Oct-23 | Apr-24 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| M22 | New Contracts Go-live | Apr-24 | Apr-24 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Exclusions | <ul style="list-style-type: none"> • Forestry work/tree maintenance • Dog warden/kenneling services • Abandoned vehicles-removal, storage and disposal • Public protection and regulatory services • Managing unauthorized encampments • Grounds maintenance • Play area management | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Dependencies & Assumptions | <p><u>Dependencies</u></p> <ul style="list-style-type: none"> • Availability of resources • Availability of budget to deliver • Appropriate levels of technical consultancy and legal support being available • RCC Governance process <p><u>Assumptions</u></p> <ul style="list-style-type: none"> • Cabinet/Council approve this pre-procurement project | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

Appendix A: comprising Project Initiation Document, Project Governance and Project Board Terms of Reference.

| | |
|------------------------------|---|
| | <ul style="list-style-type: none"> • Emerging national policy/strategies and legislation are progressed and mandated • RCC Waste Strategy is approved • Sufficient time is available to carry out all required activities • Sufficient number of potential suppliers interested in bidding for the work |
| <p>Resources</p> | <p>The staff involved in this project will primarily be the following officers, providing support in addition to their day jobs:</p> <ul style="list-style-type: none"> • Steve Sprason (Overall project lead) • Emily Frikha (Project Support) • Louise Gallagher (Contracts/Procurement) • Dee Rajput (Project Manager) • Amy Myers (Welland Procurement) <p>Additional support will be provided by officers from waste, finance and legal teams, but external consultants Resource Futures will be brought in to provide technical support and Anthony Collins will be brought in to provide legal input for the overall process.</p> |
| <p>Estimated Cost</p> | <p>Based on the 2019/20 budgets for waste collections, waste treatment, HWRC operations and transport, grounds maintenance and street cleansing, totalling approx. £3.58m, and applying an assumed indexation factor of 2% per annum, this gives a maximum estimated revenue cost of £90.30m over a 20 year period.</p> <p>In addition, there will be project costs involved for utilising external consultants (c£220k) and external legal partners (c£120k).</p> |

Appendix A: comprising Project Initiation Document, Project Governance and Project Board Terms of Reference.

Rutland County Council

Waste Contract Project – Governance Structure

| | |
|-----------------|---|
| Document Owner: | Steve Sprason - Interim Senior Environmental Services Manager Rutland County Council |
| Author: | Dee Rajput Rutland County Council |
| Version: | V1.00 |
| Date: | December 2020 |
| Classification | NOT PROTECTIVELY MARKED |

Appendix A: comprising Project Initiation Document, Project Governance and Project Board Terms of Reference.

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| Next Steps..... | Error! Bookmark not defined. |

Document Control, Approval and Distribution Version Control

Version Control

This document should be updated with any amendments:

| Version | Date | Notes |
|---------|----------|---|
| 0.01 | Nov 2020 | First Draft |
| 0.02 | Dec 2020 | Updated with comments from Project Team |
| 0.03 | Dec 2020 | Comments from Project Board |
| 1.00 | Dec 2020 | Baselined version for Cabinet |

14.3

Document Approval

This document requires the following approvals:

| Sponsor Approval | Name | Date |
|------------------|------|------|
| | | |

Document Distribution

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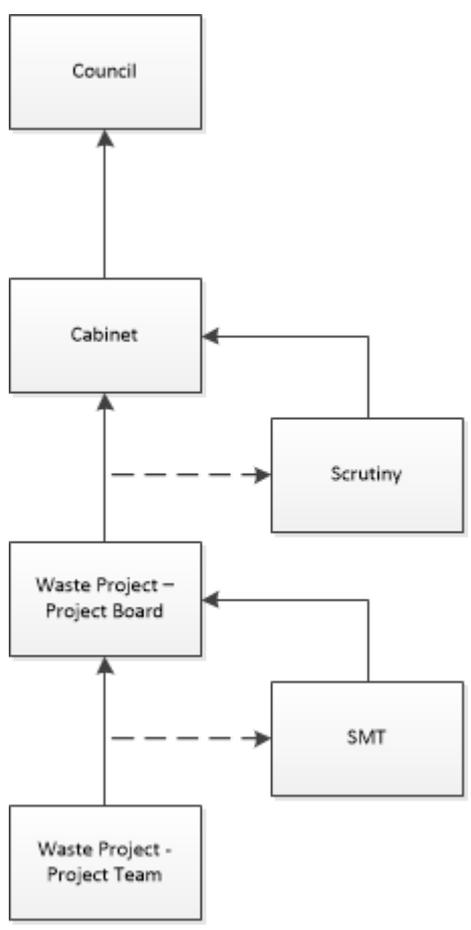
| Name | Method | Date |
|------|--------|------|
| | | |

Appendix A: comprising Project Initiation Document, Project Governance and Project Board Terms of Reference.

Introduction

This document outlines the governance structure to be deployed for the Waste Contract project. The governance of the project is important as it allows the project to ensure the correct decisions are being made and communicated accordingly.

Project Details



Appendix A: comprising Project Initiation Document, Project Governance and Project Board Terms of Reference.

| Governing Body | Responsibilities (in relation to the project) |
|-------------------------------|--|
| Waste Project – Project Team | Operational group to deliver the project managing actions, issues and risks |
| Waste Project – Project Board | Strategic group to oversee the delivery of the project to ensure due process is being followed and to provide support/guidance for decision making |
| Cabinet | Formal Council governance body to provide decisions on project progress |
| Council | Formal Council governance body to provide decisions on project progress, outside of the remit of Cabinet (as per the Project Management Framework) |
| SMT | Senior Management Team to provide support/guidance on operational risks and issues, ensuring blockers to progress are removed |
| Scrutiny | Scrutiny to be used as part of the formal decision making process where they require further review of the work being done |

Appendix A: comprising Project Initiation Document, Project Governance and Project Board Terms of Reference.

Rutland County Council

Consolidated Waste Contract (CWC) Project

Project Board - Terms of Reference (ToR)

| | |
|-----------------|---|
| Document Owner: | Steve Sprason Rutland County Council |
| Author: | Dee Rajput Rutland County Council |
| Version: | V1.00 |
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Document Control, Approval and Distribution Version Control

This document should be updated with any amendments:

| Version | Date | Notes |
|---------|----------|-------------------------------|
| V0.01 | Jan 2020 | Draft Document Created |
| V0.02 | Feb 2020 | Updated Governance |
| V0.03 | Dec 2020 | Updated |
| V0.04 | Dec 2020 | Comments from project team |
| V1.00 | Dec 2020 | Baselined version for Cabinet |

Document Approval

This document requires the following approvals:

| Sponsor Approval | Name | Date |
|------------------|------|------|
| Project Sponsor | | |
| Project Board | | |

Document Distribution

This document will be distributed to:

| Name | Method | Date |
|-----------------------------|--------|------|
| Project Team, Project Board | | |
| | | |

Appendix A: comprising Project Initiation Document, Project Governance and Project Board Terms of Reference.

Introduction

The purpose of this terms of reference document is to state the responsibilities of the Consolidated Waste Project Board and to provide leadership in delivering the project required within the Council.

The project includes for a review of the Council's Waste Strategy, Options Appraisal, required consultation, consideration of associated infrastructure requirements and the procurement of supplier(s) to provide waste services on behalf of the Council.

Membership & Chairing

The Board will be chaired by the Director of Places, Penny Sharp. In the absence of the Chair, the meeting membership may elect any other member to act as Chair for that meeting.

Membership of the Board has been agreed by Rutland County Council. The composition of this Board and team members:

- Penny Sharp (Director Places + Chair + Sponsor)
- Cllr. Lucy Stephenson (Portfolio Holder)
- Cllr Gordon Brown (Portfolio Holder for Planning and Finance)
- Sav Della Rocca (Director for Resources)
- Steve Sprason (Interim Senior Environmental Services Lead + Project Lead)
- Phil Horsfield (Head of Legal)
- Karen Kibblewhite (Head of Commissioning)
- Dee Rajput (Project Manager)

Members may send deputies by exception only. Dee Rajput will support the provision and running of this Board as the project manager.

Frequency of the Board

Meetings are held monthly Ad-hoc meetings may be held by agreement of the Chair as and when required. Meetings may, exceptionally, be cancelled by the Chair.

Responsibilities of the Board

The board fulfils their leadership role by:

- Taking strategic decisions on the project and how it will impact on the Council
- Effectively allocating and managing resources for the project implementation and delivery
- Communicating the purpose of the board to staff and other stakeholders
- Monitoring the implementation, procurement and delivery of the project to improve its effectiveness
- Overview of project budget
- Management of change
- Issues and risk management

Appendix A: comprising Project Initiation Document, Project Governance and Project Board Terms of Reference.

Reporting

The board members shall draw to the attention of this Board, any issues that require further action or disclosure to the relevant management structures. In exceptional cases any RCC members of the Board may escalate issues to the Senior Management Team.

The minutes of these meetings will be formally recorded and available to Board members. When approved by the Board the minutes will be published to all.

Papers

Agenda items may be raised by any member of the Board and should be communicated to the Project Manager at least 7 working days in advance of any meeting.

Draft minutes of each meeting will be circulated within 2 working days of the next meeting to Board Members for comment and will provide a clear record of decisions reached and actions agreed.

Minutes will be formally approved by the Board at the subsequent meeting. The Project Manager will maintain an Action Log, which will be reviewed at each meeting.

Project Name: Consolidated Waste Contract

Risk & Issues

Last Reviewed: 6th Jan 2020

Risk refers to the combined likelihood the event will occur and the impact on the project if it does occur

| Ref | Date Raised | Risk or Issue Description | Risk or Issue | Likelihood | Impact | Severity | Mitigation or Action Plan | Owner | Status | Date Closed |
|------------|-------------|---|---------------|------------|--------|----------|--|--|--------|-------------|
| CWC-RI-012 | 29/01/20 | There is a risk of an excessive amount of clarification questions coming through towards the end of the clarification period and not being answered in time | R | 2 | 4 | 8 | 29/01 - Develop a process to ensure questions are answered as quickly as possible to ensure there is as much spare time as possible towards the end of the period | Commissioning Manager (Places & Resources) | Open | |
| CWC-RI-015 | 25/02/20 | Risk of the revenue budget being too low for some potential bidders | R | 2 | 3 | 6 | 25/02 - Soft marketing testing process will help to determine how much of a potential risk this is | Strategic Director - Places | Open | |
| CWC-RI-016 | 25/02/20 | Risk of the contract costing more than has been planned for | R | 2 | 4 | 8 | 25/02 - Soft marketing testing process will help to determine how much of a potential risk this is | Strategic Director - Places | Open | |
| CWC-RI-017 | 04/03/20 | The data for the measurements of the roads is not available | I | | | | 04/03 - ML to chase Highways as they were doing a camera survey | Senior Environmental Services Manager | Open | |
| CWC-RI-021 | 11/03/20 | Procurement support and all resources are at risk from the Coronavirus | R | 4 | 5 | 20 | 11/03 - Significant impact to project should the virus impact the Council and the country - timescales may have to be rethought 04/11 - Re-procurement to commence after current contracts have been extended but there may still be some impact of a second wave | Strategic Director - Places | Open | |
| CWC-RI-022 | 09/09/20 | That the costs suggested by the suppliers will have to be accepted to get the contracts agreed (could be c£500k/pa) | I | | | | 23/09 - Report to be taken to Cabinet 06/10 to set out the costs and arrangements for the contract extensions 04/11 - Report going to Council 09/11 | Environment Services Lead | Open | |
| CWC-RI-025 | 04/11/20 | The waste strategy will need to go out for public consultation which could be affected by Covid | R | 3 | 5 | 15 | | | Open | |
| CWC-RI-026 | 18/11/20 | The Environment Bill, expected in 2023 will impact the RCC Waste Strategy | R | 3 | 5 | 15 | 18/11 - The work being carried out by Resources Future around the development of the Waste Strategy will attempt to mitigate this as much as possible | Environment Services Lead | Open | |
| CWC-RI-027 | 18/11/20 | As we progress through the project, and further legislation is released, this could increase the project costs | R | 3 | 4 | 12 | | Strategic Director - Places | Open | |
| CWC-RI-028 | 14/12/20 | The costs for the specialist consultants is likely to exceed budgets available - risk of work not getting done as required | R | 2 | 5 | 10 | 14/12 - Review the proposal sent by Resources Future to determine if this can be reduced | Strategic Director - Places | Open | |
| CWC-RI-029 | 14/12/20 | The costs for the legal consultants is likely to exceed budgets available - risk of work not getting done as required | R | 2 | 5 | 10 | 14/12 - Unfortunately, we may be stuck with these costs, but potential for some of the work to be in house will need to be considered | Legal Director | Open | |
| CWC-RI-030 | 06/01/20 | The FCC contract has yet to be extended as they have raised an issue with the waste transfer process | I | | | | 06/01 - alternative options are being explored | Environment Services Lead | Open | |

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Environmental Services Procurement - Project Milestones Plan

| Ref | Milestones | Start dates | End dates | Comments |
|----------------------------------|---|-------------|-----------|---|
| Pre-Procurement | | | | |
| M0 | Project Approval (Governance Gateway) | Nov-20 | Feb-21 | Going to Cabinet Feb 2021 |
| M1 | Waste Analysis | Dec-20 | Feb-21 | |
| M2 | Waste Infrastructure Review | Dec-20 | Mar-21 | |
| M3 | Waste Strategy Review | Dec-20 | Mar-21 | |
| M4 | Waste Strategy Consultation | Mar-21 | May-21 | inc. Scrutiny |
| M5 | Waste Strategy Sign Off (Governance Gateway) | Jun-21 | Jun-21 | inc. Council. Financial framework developed |
| M6 | Options Appraisal for Collections | Jun-21 | Jul-21 | |
| M7 | Develop Options Model | Sep-21 | Sep-21 | |
| M8 | Public Consultation | Oct-21 | Dec-21 | Around the Options Model |
| M9 | Option Sign Off (Governance Gateway) | Dec-21 | Jan-22 | inc. Council. Financial framework approved |
| M10 | Lessons Learned | Jan-22 | Feb-22 | |
| M11 | Procurement Procedure Options Appraisal | Feb-22 | Feb-22 | |
| M12 | Decide on Procurement Route (Restricted) | Mar-22 | Mar-22 | Competitive, Restricted, Open - TBC |
| M13 | Develop Outline Specification (inc. sign off) | Mar-22 | May-22 | |
| M14 | Complete Soft Market Testing | Jun-22 | Jul-22 | |
| M15 | Procurement Approval (Governance Gateway) | Aug-22 | Aug-22 | inc. specification |
| M16 | Pre-Qualification Exercise | Aug-22 | Sep-22 | |
| Procurement | | | | |
| M17 | Tender Process (Finance + Quality) | Sep-22 | Aug-23 | |
| M18 | Award Contract (Governance Gateway) | Aug-23 | Aug-23 | inc. Council |
| M19 | Standstill | Sep-23 | Oct-23 | |
| Mobilisation/Decommission | | | | |
| M20 | De-mobilisation | Oct-23 | Apr-24 | |
| M21 | Mobilisation | Oct-23 | Apr-24 | |
| M22 | New Contracts Go-live | Apr-24 | Apr-24 | |

Risks (to the above timeline):

- Elections (Purduh)
- Resources
- Budgets
- Looking attractive to bidders

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CABINET

16th February 2021

REVENUE AND CAPITAL BUDGET 21/22

Report of the Strategic Director for Resources

| | | |
|--------------------------------|---|--|
| Strategic Aim: | All | |
| Key Decision: | No | Forward Plan Reference: FP/100920 |
| Exempt Information | No | |
| Cabinet Member(s) Responsible: | Mr G Brown, Deputy Leader and Portfolio Holder for Planning and Finance | |
| Contact Officer(s): | Saverio Della Rocca, Strategic Director for Resources (s.151 Officer) | 01572 758159 sdrocca@rutland.gov.uk |
| | Andrew Merry, Finance Manager | 01572 758152 amerry@rutland.gov.uk |
| Ward Councillors | Not Applicable | |

DECISION RECOMMENDATIONS

That Cabinet RECOMMENDS TO COUNCIL that it:

- Approves the Revenue Budget of £42.6m for 2020/21 detailed in Section 3
- Notes that the Revenue Budget includes a £2.4m use of Reserves assuming a 3% Council tax rise (in the event that the Council approves a different level of Council tax, the use of Reserves will vary accordingly)
- Approves the capital programme as detailed in Section 6
- Approves the creation of a new Earmarked Reserve for Ash Dieback (£500k) as per para 3.5.9
- Approves the minimum reserve level be increased from £2m to £3m to reflect the changing risk profile
- Notes the Medium Term financial outlook and commits to taking action in 21/22 to address the deficit position
- Notes that additional revenue or capital expenditure may be incurred in 2021/22 funded through 2020/21 budget under spends to be carried forward via earmarked reserves. The use of reserves for budget carry

forwards is not currently shown in the budget but will have no impact on the General Fund

- Approves a deficit of c£186k on the Collection Fund as at 31 March 2021 (Section 4.2) of which £160k is the Rutland share
- Notes the responses to consultation (section 3)
- Notes the updates since the draft budget was approved (section 2.2)
- Delegates authority to the s151 Officer to make any necessary changes to the budget arising from the Council tax decision and/or any additional funding received

1 PURPOSE OF THE REPORT

- 1.1 The Council is required to set a balanced budget and agree the level of Council tax for 2021/22 in the context of its Medium Term Financial Plan. This report presents the final budget for approval.

2 BACKGROUND AND MAIN CONSIDERATIONS

2.1 Director for Resources: Section 151 Officer overview

- 2.1.1 The 21/22 local government finance settlement gives the council no more government funding than in 20/21 despite all the talk of “new funding”. The 21/22 draft Revenue budget for Rutland therefore relies on a £2.4m contribution from reserves to balance the books. This is not good practice and is not sustainable. Like many other Councils, Rutland is living beyond its means and has to take action quickly to address the position. For context, the Local Government Association say the national gap is an eye watering £5.4bn.
- 2.1.2 In short, the £2.4m gap arises from ongoing pressures and real term funding reduction cuts at a time when demand and spending on key services continues to increase.
- 2.1.3 The Government defines the amount of core funding that councils have available as “spending power”. Since 2013/14 the Council’s spending power has increased by 21% in absolute terms but government funded spending power has reduced by 35% and Council tax spending power has gone up by 53% since 2013/14 with nearly 81% of our funding now coming from Council tax. Spending power assumes that Councils raise council tax by the maximum allowable, which is 5% in 21/22.
- 2.1.4 For a long time the Government offered a government grant if Councils did not raise council tax. The Government approach changed in 2015/16. Government assumed in its calculations of Spending power that councils would raise council tax by the maximum (usually 2% but 4% when the social care precept was introduced). This assumption, in effect, forced Councils to raise council tax or lose funding.
- 2.1.5 The reduction of 35% in government funding is compounded by the fact that

Rutland receives much less than other Councils with the same functions as ours. In 20/21 for example we received £120 per head less than similar councils. If Rutland were to receive the average funding of Unitary Authorities in England we would receive an extra £4m. The Government formula gives us less funding because our “needs” are less and our relative resources are greater i.e. we have a greater ability to generate more from council tax than other areas. This assumption only holds true under the existing referendum rules. Equalising the position would require significant changes to council tax rates across the country.

- 2.1.6 Since 2013/14, the spending power increase of 21% is broadly in line with inflation. More importantly, legislation, regulations and policy decisions that impact what we have to do alongside demand for services have led to above inflation spending increases. For example, if a child is at risk of harm and we have to take them into care, we have to do it whether we have the money or not to comply with the statutory duties.
- 2.1.7 The Housing, Communities and Local Government Select Committee published a report on Local Government Finance and the 2019 Spending Review on 21st August 2019. It made two impactful conclusions:
- 2.1.8 *“Local government has coped with a prolonged period of real-terms spending reduction which is without parallel in modern times. This large fall in local authorities’ resources has been primarily caused by very significant cuts in central government grants”.*
- 2.1.9 *“The demand for costly and essential services which local authorities provide, such as adult and children’s social care, has increased during this period of funding cuts. Some of these demands are being caused by failures or spending reductions in other parts of the Government, such as benefit reforms and changes”.*
- 2.1.10 The above issues have not been addressed in the Spending Review 2020 and are unlikely to be addressed over the medium term. So, despite making savings of £8m since 2013/14 and proposing to raise Council Tax by 3%, the Council will still have to balance the budget with reserves.
- 2.1.11 Whilst future funding is unclear, various reforms will take place in the next year and there are lots of risks including the long term impact of Covid-19 which could have an impact on the Council’s financial position. Nevertheless, the Council cannot assume that the financial gap will reduce without strong action.
- 2.1.12 **The Council must commit to producing a balanced budget i.e. one that does not rely on reserves by 23/24. The Council must start work now to close the gap. It should aim to make savings in year and be underspent against its 21/22 budget by at least £1m. It should also commence work on other projects that will enable it to reduce reliance on reserves to a minimum of £1m by 22/23. The proposal to raise Council tax in 20/21 by only 3% rather than the 5% allowed, increases the financial gap by £555k (Section 4.1) and will require further savings.**

In this context, my professional judgement is that a 5% increase in council tax is advisable. Furthermore, I am recommending that the minimum reserve level is increased to £3m to reflect the changing risk profile (Section 3.5.5).

2.2 Updates since the draft Budget

- 2.2.1 Cabinet approved a draft budget for consultation (Report 08/2021) on 12th January. The paragraphs below provide an update on key issues.
- 2.2.2 Use of Reserves – various changes to business rates (para 2.2.5) mean that the projected deficit for 21/22 is now £2.4m. In the draft budget, Council was advised to take action to reduce that deficit by at least £500k. This has been increased to £1m given that indications from Government is that there will be no increase in the overall settlement.
- 2.2.3 Council tax rise – Cabinet has confirmed that following consultation, they will proceed with a 3% council tax proposal (2% general and 1% for adult social care).
- 2.2.4 Funding settlement – While the Final Settlement will be tabled in Parliament on 10th February, to date there has been no indication as to any changes to the quantum or distribution of the Settlement. Any such changes will be subject to an addendum to this report being issued prior to the Cabinet meeting.
- 2.2.5 Business Rates - the Council has completed its NNDR1 return and business rates estimates to Government. Business rate estimates indicate an increase of £201k due to the growth in the property tax base from new business (e.g. McDonalds) and existing businesses now being brought into the rating system by the Valuation Office Agency.
- 2.2.6 Spending plans - no changes have been made to detailed Directorate budgets.
- 2.2.7 Pay settlement - The pay settlement negotiations are still ongoing with an agreement unlikely to be reached by 1 April.
- 2.2.8 Early Years - The Early Years funding rates have been confirmed with £5.36 for 2 year old provision and £4.25 for 3 and 4 year olds.
- 2.2.9 The Government is introducing a compensation scheme for Council tax and business rate losses. The Council's view is that likely compensation will be less than £70k and at this stage no amount has been built into the MTFP.
- 2.2.10 MTFP - minor adjustments totalling £16k to align the tax base to that proposed in the Council Tax report.
- 2.2.11 Council tax base - Section 4 of the report set out potential “losses” of different council tax increases relative to the maximum possible increase of 5%. The draft report indicated losses were for a five year period (this has been clarified as the loss covers the current year plus five years). The

volatility of the tax base, in the economic circumstances, means that the loss figures are now expressed as being within a range i.e. between £1.5m - £2m. The annual loss figure for 21/22 has not changed.

2.2.12 Consultation responses – these are included in Section 9.

2.2.13 Appendices – Members should note that the only Appendix to have changed is Appendix 1 – MTFP for the minor changes outlined above.

2.3 Structure of this report

2.3.1 This report is structured as follows:

- Section 3 - the context for the budget, Medium Term Financial Outlook, Risks and Reserves
- Section 4 - details of the draft Revenue Budget for 21/22
- Section 5 - Council tax and information pertinent to the decision to be made by Elected members
- Section 6 - capital spending plans
- Section 7 - treasury management
- Section 8 - school funding

3 CONTEXT FOR 21/22 BUDGET

3.1 Spending Review 2020

3.1.1 The 21/22 revenue and capital budget is set in the context of Spending Review 2020 (SR2020) and the local government finance settlement. In the current climate, SR2020 covers one year only allowing the Government to undertake a multi-year review when more certainty exists.

3.1.2 The Covid-19 pandemic has posed an unprecedented challenge to the UK economy and to economies around the world. In response, the effect of Covid-19 on the public finances has been considerable, to say the least. Total Managed Expenditure (TME) in 2020/21, has increased from £883bn in 2019-20 to £1,164bn in 2020/21.

3.1.3 Some of this is caused by Covid-19 – but some of the increase was already evident in earlier fiscal announcements with extra spending in adult social care and the NHS following the Government indicating a move away from austerity. Whilst SR2020 indicates spending will increase again in 21/22, spending projections are lower from 2022/23 onwards (than had been forecast in the March 2020 Budget) reflecting part of the action required to close the financial gap. These plans also beg question about whether austerity is really over for local authorities.

3.1.4 Higher expenditure translates into much larger public sector net borrowing

(with lower taxation receipts being the other contributory factor). The deficit in 2020/21, peaked at almost £400bn (or 19% of GDP, a substantially higher level than following the financial crash in 2008/09). The scale of the deficit is on a completely different level from previous years and puts the debate about previous deficits into perspective.

- 3.1.5 As a result, levels of public debt will be much higher relative to GDP, and more importantly will continue to grow after 2020/21. Public sector debt will exceed 100% of GDP and will remain at that elevated level for the foreseeable future. In fact, debt continues to climb until 2022/23 (peaking at 109.4% of GDP), before starting a very slow decline. Higher levels of public debt are something that we will have to get used to, although the on-going cost to finance the debt is low compared to historic rates.
- 3.1.6 In 21/22, the Government is increasing spending power for local authorities, and states that it will provide over £3 billion of additional support for Covid-19 pressures. In addition, core Government funding is marginally higher than the prior year with £300m new funding for adult and children's social care but has been recycled from New Home Bonus legacy payments.
- 3.1.7 Fundamentally, the Government continues to place an increasing burden for funding local services on the local council tax-payer with local authorities given the power to levy a 3 per cent adult social care precept. This accounts for the majority of the spending power increase of 4.5%.
- 3.1.8 2021/22 will be a significant year for reforms that impact local authorities. SR2020 references the following:
- “The government is undertaking a fundamental review of the business rates system and is currently considering responses to the call for evidence. A final report setting out the full conclusions of the review will be published in spring 2021”.
 - “Earlier this year, the government announced that it would delay the move to 75 per cent Business Rates Retention and the implementation of the fair funding review. This decision allowed local authorities to focus on meeting the public health challenge posed by the pandemic. In order to provide further stability to the sector, the government has decided not to proceed with a reset of business rates baselines in 2021/22”
 - “The government will consult on reforms to the New Homes Bonus shortly, with a view to implementing reform in 2022/23”.
 - “The government is committed to sustainable improvement of the adult social care system and will bring forward proposals next year”.
- 3.1.9 From the point of view of infrastructure a major new £4bn “Levelling Up Fund” has been announced, but it is not clear how the funding will be allocated or how much local authorities will be involved in developing and submitting bids but “It will be open to all local areas in England and prioritise

bids to drive growth and regeneration in places in need, those facing particular challenges, and areas that have received less government investment in recent years. The government will set out further details on how to support levelling up across the UK in the New Year.”

3.1.10 In summary, what does SR2020 mean for local authorities and future funding? Whilst the impact for 21/22 is known, we can only speculate beyond that:

- The national deficit and high debt levels mean that taxation and spending will need to be controlled.
- Whilst various reforms will take place in 21/22, spending in non-priority areas (of which local government is one) is likely to decrease as the Government seeks to control spending. Whilst the LGA talks of a £5bn funding gap, it is unlikely that funding will be forthcoming in the short term.
- SR2020 is silent on what we can expect in terms national taxation schemes but it does state that local authorities spending power will increase in part from 2% council tax rises and the flexibility for councils to raise a 3% social care precept. The shift towards local taxation continues and further flexibility is likely to be the only way for the Government to “increase” local government spending power whilst holding national expenditure.

3.1.11 Against this backdrop, the Council has updated its MTFP and refreshed its future outlook. This is covered in Section 4.

3.2 Funding available in 21/22 and future funding outlook

The Local Government Finance Settlement

3.2.1 Using Government figures, core spending power (figure used by Government to compare available core funding) of local authorities in England is £51.2bn in 21/22 compared to £49.1bn in 20/21. Overall the picture for Rutland is slightly better with core spending power at £36.7m in 20/21 compared to £35.2m in 20/21.

3.2.2 In 21/22 nationally 61% of spending power comes from council tax compared to 60% in 20/21. In 21/22 81% of Rutland’s spending power comes from Council tax, significantly higher than the national average.

3.2.3 The increase in core spending power can be attributed to council tax and not government funding which is similar to the prior year as can be seen from the table below.

Overall funding available 16/17 – 21/22 (1)

| | 16/17 | 17/18 | 18/19 | 19/20 | 20/21 | 21/22 |
|--|---------------|---------------|---------------|---------------|---------------|---------------|
| RSG | 2.354 | 0.889 | 0 | 0 | 0 | 0 |
| Transitional Grant | 0.340 | 0.337 | 0 | 0 | 0 | 0 |
| Rural Service Delivery Grants | 0.843 | 0.681 | 0.849 | 0.849 | 0.849 | 0.890 |
| Tariffs relating to Business Rates | 0 | 0 | 0 | 0 | 0 | 0 |
| Core government funding | 3.537 | 1.907 | 0.849 | 0.849 | 0.849 | 0.890 |
| Misc grants (2) | 0.310 | 0.351 | 0.392 | 0.875 | 1.039 | 0.964 |
| New Homes Bonus (3) | 1.230 | 1.214 | 1.231 | 1.148 | 0.966 | 0.518 |
| Better Care Fund (4) | 2.046 | 2.061 | 2.306 | 2.215 | 2.330 | 2.705 |
| Business rates (5) | 4.770 | 4.786 | 4.963 | 5.244 | 5.532 | 5.638 |
| Total government funding | 11.893 | 10.319 | 9.741 | 21.047 | 10.716 | 10.715 |
| <i>Council tax (inc collection fund and adult social care precept)</i> | <i>22.172</i> | <i>23.412</i> | <i>24.800</i> | <i>26.496</i> | <i>27.863</i> | <i>28.426</i> |
| Total resources available | 34.065 | 33.731 | 34.541 | 47.543 | 38.579 | 39.141 |
| Use of Council earmarked reserves | (0.079) | 0.288 | 1.295 | (0.384) | (0.292) | (1.288) |

1 - Funding represents amounts available at budget setting. Additional grants received in year for specific items (e.g. Brexit) are not included.

2 - Includes Social care grants of £746k

3 - NHB income for 21/22 is known but is assumed to be abolished from 23/24

4 - The Better Care Fund is to continue in 2021/22, with the allocation increasing by 5.3% (up £125k to £2.706m in Rutland). This includes £0.135m transferred to BCF funding from Winter Pressure funding included within Misc Grants.

5 - In Rutland, 50% of business rates are paid to Government, 1% is paid to the Fire Authority, and 49% is retained by the Council. Of the 49% retained, the Council pays a further tariff to the Government (valued at £1m). The estimates can be impacted by factors that reduce rates due (appeals, business failure, and greater discounts) or increase rates due (new business).

3.2.4 Additional grant funding has been announced for **Social Care** although the vast majority of it has been funded from New Homes Bonus funding previously undistributed. The Council received £712k in 20/21 which has been confirmed as remaining in the base for 21/22 with an additional amount of £34k. Nationally the increases were £0.3bn in 2021/22, £0.8bn in 2020/21

and £0.41bn in 2019/20.

- 3.2.5 The Council tax principles allow a 2% increase in “core” **council tax** plus a further 3% increase in the Adult Social Care precept which is available over 2 years. The funding available above assumes a 3% total tax increase for 21/22. The decision around Council tax is discussed further in Section 4.
- 3.2.6 The Council has received £299k for **indexation**. This has two elements: inflation for Revenue Support Grant (RSG), and the effect of cap compensation on business rates income and baselines. This is included in the Business rate figures.
- 3.2.7 **Rural Services Delivery Grant (RSDG)**, has increased from £848k in 2020/21 to £890k.
- 3.2.8 The Council will receive an **Improved Better Care Fund** of £212k which includes winter pressure grant that was previously received separately.
- 3.2.9 The Council will receive £518k in **New Homes Bonus**. This includes two payments in respect of years 8 and 9 of the scheme, and a further one-off payment (year 11) will be calculated and paid on a one-off basis (i.e. no future legacy payments).
- 3.2.10 The Council will receive a **Lower Tier Services Grant** of £44k. This grant has been used to provide a “floor” increase for every authority (i.e. to ensure that no authority’s Spending Power is lower in 2021/22 than it was in 2020/21).
- 3.2.11 In summary, the Council has less Government funding available compared to 20/21 and in overall terms a 3% council tax increase means the Council has only £662k more funding available.
- 3.2.12 Outside of core funding, the Council has made various Covid-19 announcements.
- 3.2.13 We will receive a general grant of £724k to support **Covid-19** work in 21/22. We will also receive £211k of funding in recognition of the increased costs of providing **local council tax support** following the pandemic. This grant will offset the cost of any additional council tax support in the Collection Fund.
- 3.2.14 The government will compensate local authorities for 75% of irrecoverable **losses in council tax and business rates** income in respect of 2020/21. The Council believes the compensation will be in the region of £60k but has not budgeted for this amount.
- 3.2.15 The **Sales, Fees and Charges** compensation scheme will also be continued for 3 months of the 21/22 financial year.
- 3.2.16 The Government has also set aside £15m to support the implementation of the Redmond review which will increase cost pressures in the audit market. The Council has increased the **cost of external audit** in the budget and any additional funding will offset that.

Beyond 20/21 and MTFP assumptions

3.2.17 As explained in Section 3, beyond 20/21 the Government funding position is still unknown. In the context of the current economic position, the Council has refreshed its assumptions about future funding.

| Assumption | Description | Details |
|----------------------------|--|--|
| Pension contribution rates | Employer rates set by Pension Fund. | No change. Still assumed 1% increase per year. Next triennial review due in 21/22. |
| Staff pay award | Pay award for Chief Officers and other staff negotiated nationally. | Reduced from 2% to 0% (with funds set aside for those on lowest pay levels) for 21/22 following SR2020, then 2% for 22/23 onwards. |
| Social care grant | Specific grants given by Government | Assume that extra funding received in 21/22 will continue given pressures on social care. |
| Rural Delivery grant | Grant for rural authorities | Assume it will continue but be paid via Business Rates Retention from 22/23. |
| Council tax base | Number of Band D properties | Assume a small increase in 21/22 to reflect a lower collection rate and greater number of council tax support cases following impact on the pandemic (see risk 8, 4.3.1) |
| Council tax rate | Rate set by elected members | 3% in 21/22 but 4% thereafter assume Government continues to allow 2% general council tax increases and 2% for social care precept |
| Business Rates | Amount of funding Rutland is allowed to keep (its baseline) by Government from rates collected | Assume rates baseline continues as is (no growth) but is adjusted for public health and rural delivery grant). |
| Better Care Fund | Ringfenced funding shared with the CCG | Assume this increases with inflation as it contributes to reducing the burden on the NHS |

3.3 Risks and uncertainties

3.3.1 While the MTFP includes various assumptions, there are a number of

inherent risks associated with these assumptions and a range of other factors that could impact on funding and spending that are outside of the Council's control (these are covered below).

| | Issue/risk | Impact/ Action to mitigate risk |
|---|--|---|
| 1 | <p>In order to prioritise the response to Covid-19, and our focus on supporting jobs, the Chancellor and the Prime Minister have conducted a one-year Spending Review and the Finance Settlement for Local Governments cover 21/22 only.</p> <p>With a multi-year Spending Review to be undertaken alongside other reforms referred to below, the Council's future funding remains uncertain. The cost of responding to the Pandemic means additional funding for local authorities is very unlikely.</p> | <p>MTFP assumes future funding will not increase.</p> <p>The Council will continue to lobby for additional funding and respond to future calls for evidence.</p> <p>Savings work is ongoing.</p> <p>Lobbying our local MP and government.</p> |
| 2 | <p>The Government announced its intention to introduce 75 per cent business rates retention for all in 2020/21 but this was deferred due to Coronavirus. This is now likely to happen in 2022/23 but we await further information.</p> <p>In practical terms, business rates retention will mean the Council will keep more business rates at the expense of government grants.</p> | <p>MTFP assumes business rates retention starts in 22/23.</p> <p>The Council will track progress.</p> |
| 3 | <p>The Fair Funding Review is re-examining what the relative "needs" of authorities are and how funding may be allocated taking into account available resources.</p> <p>The Government has previously confirmed that the Fair Funding Review has been delayed due to Coronavirus, and will no longer proceed as planned in 2021. The exact timing is unclear.</p> <p>No changes will be made without further consultation. The Council may benefit but this will depend on two key factors – how</p> | <p>The Council will track progress, respond to any consultation and lobby for additional funding.</p> |

| | Issue/risk | Impact/ Action to mitigate risk |
|---|---|---|
| | <p>deprivation is factored in (if it is then Rutland more likely loses out) and whether notional Council tax is used to determine local resources (if it is then the Council will likely gain as it has a high level of Council tax).</p> <p>The big concern, which is linked to the Spending Review, is that there is no commitment that additional funding will be made available but funding could be diverted from district councils to those with social care responsibilities. The MTFP assumes no additional funding.</p> | |
| 4 | <p>The Social Care Green Paper has been delayed again with no known date for its publication. It should offer a model for how social care will be funded in the future.</p> <p>In October 2020, the Health and Social care Select Committee said ministers should invest at least £7bn a year in the care sector by 2023/24, though it said this was only a “starting point” and that it would not address unmet care needs nor improve access to care.</p> <p>The future funding model is therefore critical to the Council’s future. The Spending Review 2020 does not indicate that additional Government funding will be made available.</p> | <p>MTFP assumes no new funding for now but it is likely that existing social care grants will continue.</p> |
| 5 | <p>The Better Care Fund will continue into 21/22 and increase by 5.3% but the level of funding beyond then is unsure and future reforms to the NHS or changes to the way social care is funded could change this landscape.</p> <p>At a local level, joint working and integration is strong in areas like discharge</p> | <p>The MTFP includes the BCF in line with published allocations.</p> |

| | Issue/risk | Impact/ Action to mitigate risk |
|---|--|--|
| | The Social Care Green paper may give further clarity as to whether structural change is likely. A loss or reduction in funding could cause significant pressures. | |
| 6 | <p>The New Homes Bonus continues with no changes announced in the Settlement. The baseline will remain at 0.4% for 21/22.</p> <p>After 21/22 the Council assumes that NHB will effectively be abolished and that in 21/22 we will get the allocations relating to years 17/18, 18/19 and 20/21 with a 1 year allocation in 22/23 and no payments from 23/24.</p> <p>The Council was expecting a share of NHB funding previously undistributed but this has been used to fund additional social care grant.</p> | <p>The MTFP factors in losses which help inform a funding gap.</p> <p>It is possible that abolition of NHB may see additional core funding for authorities.</p> <p>The MTFP prudently assumes this is not the case.</p> |
| 7 | <p>Schools funding (Dedicated Schools Grant) is outside of the General Fund and is ring fenced.</p> <p>The Council is carrying a deficit on the DSG, nearly £1m, caused by High Needs pressures which it aims to recover over time. In statute, the Council is not required to fund this deficit but with funding received barely sufficient to meet current demand, the Council is unclear as to how the deficit will be funded.</p> <p>The level of deficits nationally are significant and growing. The Council understands that the DfE are working with some Councils to tackle the problem and that future reforms are likely but as it stands, there is a live risk that the Council may be required to meet some costs in the future.</p> | <p>The Education and Finance teams are working with Schools to tackle issues. A Recovery plan exists and Department for Education may request information or review it.</p> <p>Lobbying being done through our local MP.</p> |
| 8 | Council tax is the largest single source of revenue for Rutland. The amount raised in | The MTFP assumes 3% in 21/22 and maximum council |

| | Issue/risk | Impact/ Action to mitigate risk |
|---|---|--|
| | <p>future years will depend both on how the tax base evolves and on the scale of any increases in the tax rate. Growth in the council tax base will depend on several factors:</p> <ul style="list-style-type: none"> • The change in the number of properties on which council tax is payable, which in turn depends on the number of new properties built and converted for residential use, as well as the number of demolitions. • Changes in the number of properties subject to exemptions, discounts and premiums. These have been stable in 20/21 are not anticipated to change. • Changes in the number of properties whose residents are eligible for local council tax support (LCTS) – this number has grown from 1,393 in April to 1,542 at the of October and is expected to continue to rise for the remainder of the year • Changes in the collection rate for those still eligible to pay council tax - there has been a small increase in non-payment this year, although based on past experience most of this is expected to be recouped in future years. We therefore assume the collection rate in 2021/22 to be 98.5%, with the rate returning to 99% thereafter. | <p>tax rises thereafter of 4% and that the tax base grows in accordance with the assumptions set out opposite.</p> |
| 9 | <p>As with council tax, growth in business rates revenues will be affected by changes in the tax rate and in the tax base. Increases in the tax rate (the ‘multiplier’) are now capped at the rate of Consumer Prices Index (CPI) inflation, and legislation requires that the tax rate is adjusted to ensure revaluations of properties are revenue-neutral across England as a whole.</p> <p>The business rates tax base is affected by several factors, all of which are uncertain and could have been affected by the COVID-19 crisis. including:</p> | <p>The Council has traditionally seen little business rates growth.</p> <p>The impact of the pandemic has not yet been seen in full and whilst the MTFP assumes zero growth, changes in economic conditions could have a major impact.</p> <p>The MTFP assumes no growth in 21/22 other than for that known.</p> |

| | Issue/risk | Impact/ Action to mitigate risk |
|----|---|---|
| | <ul style="list-style-type: none"> • the change in the quantity of non-domestic property – for Rutland, gross rates payable has decreased from £16.468m in April to £16.269m in November; • the change in the number of properties subject to different tax reliefs, such as the 100% reduction in tax bill available for the first 3–6 months a property is empty; • changes in the collection rate – of the £16.269m only £7.510m is payable due to Government reliefs. <p>To illustrate the impact, a 2% loss of rates payable is equivalent to £320k.</p> | |
| 10 | <p>The Local Plan sets out planning policies for the Rutland area, as well as listing sites for additional housing, employment and other development for the period 2018 to 2036.</p> <p>Regulation 19 Consultation has taken place and this final public consultation allowed residents, businesses and other stakeholders to comment whether the Local Plan meets the ‘Test of Soundness’.</p> <p>The Planning team are now working their way through all the responses before the comments, together with the Local Plan and all supporting documents, are submitted to the Secretary of State. The Secretary of State will then appoint an independent Planning Inspectorate, who will conduct an independent review of the plan and all of the representations received, to determine whether the plan is sound. This is called an Examination in Public. The Council could incur costs as the inspection evolves.</p> | <p>The Council has a legal earmarked reserve that can be called upon if needed and a specific one off budget for Local Plan costs, c£30k in 21/22 plus any amount outstanding from the £280k allocation in 20/21.</p> |
| 11 | <p>Pay inflation increases in 20/21 were 2.75%. The contrast with private sector pay (which saw no growth in 20/21) caused some tension. In the Spending Review, the Government stated that</p> | <p>The MTFP reverts back to the normal 2% assumption for 22/23 onwards.</p> |

| | Issue/risk | Impact/ Action to mitigate risk |
|----|---|---|
| | <p>public sector pay would be paused with only those earning less than £24k getting a rise.</p> <p>The rate for 21/22 is still to be negotiated with the Council assuming a freeze with c£100k set aside for staff due increments and rises for those earning under £24k.</p> <p>The Council is part of the national bargaining agreement so is not directly in control of negotiations. The pay settlement is not expected before March 2021.</p> | |
| 12 | <p>One key question in respect of the pandemic is how it might impact in the medium term on the future of council services.</p> <p>The short but not particularly helpful answer is that no one knows for sure. The future path for both the public health and economic crisis caused by COVID-19 is highly uncertain. Areas where the Council believes there may be impacts include:</p> <ul style="list-style-type: none"> • fees and charges and whether income level will ever return to pre COVID levels; • the economic impact on business and jobs; • the public health of residents including the incidence of mental health; • the demand for adult social care and how much this will cost as care providers emerge into a post COVID world where PPE, deep cleaning etc may become the new norm; • the incidence of safeguarding cases (children, domestic abuse etc) may increase as families have been subject to a prolonged period of lifestyle changes and associated pressures. | <p>MTEP includes some service pressures as growth is built in where there is a degree of certainty.</p> <p>As far as possible Directors will try to manage costs pressures within budget.</p> <p>The Council has earmarked reserves which can be used. Sufficient balances will also be maintained to cope with unforeseen cost pressures in the short-term.</p> |

| | Issue/risk | Impact/ Action to mitigate risk |
|----|--|---|
| 13 | <p>The Government target is to keep inflation below 2%. The Consumer Prices Index (CPI) 12-month inflation rate was 0.5% in September 2020.</p> <p>The Council has not seen the benefit of lower inflation rates. Outside of pay, much of the Council's expenditure is locked down in agreed contracts and, if anything, contractors and suppliers are experiencing pressures arising from the pandemic. Contract extensions have led to increased costs in the short term.</p> <p>Based on current experiences, the Council is keeping general inflation rates in the MTFP at 2%.</p> | <p>The Council will monitor the position on key contracts and has inflation built into the MTFP which has been revisited as part of the 21/22 budget.</p> |
| 14 | <p>Interest rates may change thereby reducing the Council's ability to earn investment income and the potential to repay long term debt earlier.</p> <p>The Bank of England's Monetary Policy Committee (MPC) sets monetary policy to meet the 2% inflation target, and in a way that helps to sustain growth and employment. At its meeting ending on 16 September 2020, the MPC voted unanimously to maintain Bank Rate at 0.1%.</p> <p>Interest rates are not expected to increase. The Bank of England could cut interest rates to below zero next year in a bid to support the economy with lower borrowing costs.</p> | <p>Advice from our Treasury advisors is factored into investment returns expectations. Consideration has been given to other investment routes such as property funds but this has been ruled out for now.</p> <p>Regular review of the debt position and consideration of the balance between investing surplus cash and using it to repay long term debt.</p> |
| 15 | <p>Capital financing costs have been estimated based on the assumption that some borrowing is undertaken during the life of the MTFP to fund property maintenance costs.</p> <p>Corporate analysis of existing and potential new projects indicates that no further external borrowing is expected at this stage.</p> | <p>The Capital Investment Strategy allows for external borrowing only where there is a revenue payback so this would have a positive MTFP impact.</p> |

| | Issue/risk | Impact/ Action to mitigate risk |
|----|---|--|
| 16 | <p>The Council has seen demographic changes over time and will do so again in the future. Changes in population and number of households have not always translated into increases in service costs.</p> <p>The Council is expecting to see population changes over the next 5 years. This has the potential to create additional demand of up to 3% per annum on social care.</p> | <p>The Council now includes an estimate for increased needs in its MTFP.</p> <p>The Council has a Social Care Reserve and a Social Care contingency to allow it to respond to changes in demand in-year.</p> |
| 17 | <p>The Council has a number of outsourced services and significant contracts that are due for renewal in the next few years (some have been extended as Coronavirus regulations allowed for that).</p> <p>Key contract expiry dates are (Refuse – 2024, Residual Waste – 2024, Leisure – 2022, Highways 2023).</p> <p>The Council will aim to make savings on reprocurement.</p> <p>Contract procurement can be costly and one off specialist support will be needed to:</p> <ul style="list-style-type: none"> • Support market testing – gain intelligence about market conditions, appetite of bidders, recently commissioned tenders etc • Provide Tender support – for example in terms of writing specifications in a way to illicit most bidders and best possible bid • Give Legal advice – in terms of contracts, terms and conditions, procurement method | <p>The MTFP is prudent and does not include savings for contracts to be let.</p> <p>The budget for 21/22 does include provision for external support to enable the Council to achieve savings targets of at least 10% in its procurement activity.</p> |
| 18 | <p>The Council's net pension liability for the Local Government Pension Scheme (controlled by Leicestershire County Council as the Pension Fund administrator) has decreased from £47m</p> | <p>The position will be monitored but the Council's MTFP includes a 1% increase in rates per annum as per the Pension Fund.</p> |

| | Issue/risk | Impact/ Action to mitigate risk |
|----|---|--|
| | <p>to £40m.</p> <p>Contribution rates have been confirmed for the next three years but pressure on interest rates may impact investment income placing pressures on employer contributions.</p> | |
| 19 | <p>The UK has now left the EU with a deal</p> <p>The Council completed a risk assessment pre departure and is monitoring the impact against a range of possible risks. To date, the Council has not seen any impact.</p> | <p>The MTFP is neutral in respect of the impact of any deal with the EU.</p> <p>The loss of key local business could have an impact of £300k before the Council is compensated by Government.</p> |
| 20 | <p>The Council has committed to produce a Municipal Waste Management Strategy prior to tendering for the new waste service contracts.</p> <ul style="list-style-type: none"> • The Waste Strategy by Government in December 2018 and the subsequent Environment Bill which will make the Strategy law by 2023. Pertinent for Rutland, this includes the requirement to offer: • Separate weekly food waste collections (including for businesses); • Separate glass collections from comingled recycling collections; and • Potentially, to offer free fortnightly garden waste collections. <p>The Environment Bill also sets out other provisions including a commitment to net zero greenhouse gas emissions by 2050.</p> <p>These changes will have far reaching implications on the composition and material flow of Rutland's waste and will fundamentally affect how the Council specifies its requirements for the new</p> | <p>No provision has been made in the MTFP and as per all new policy, the Council would expect Government to assess the burden on Councils and compensate them accordingly with new burdens funding. We await to see how the Bill progresses.</p> |

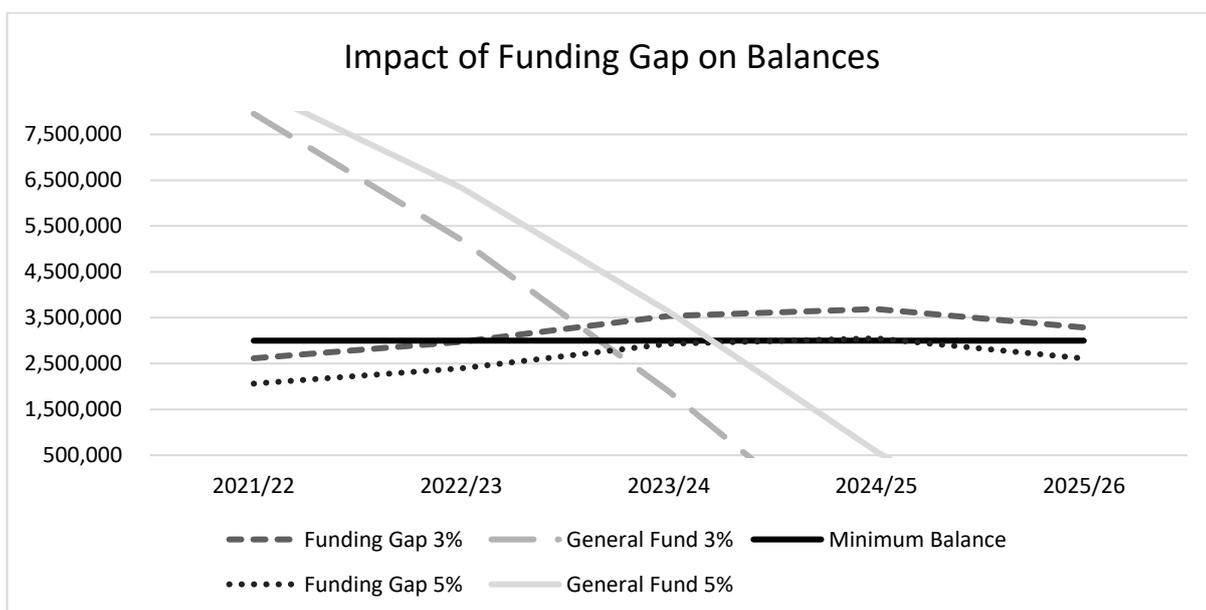
| | Issue/risk | Impact/ Action to mitigate risk |
|----|--|--|
| | waste contracts. They will also have a significant financial impact, probably in excess of £1m per annum. | |
| 21 | <p>The Council has a range of properties which were due to be inspected to determine what reactive or planned repair work may be needed. This a core part of its work on Asset Management. Work was deferred further to the pandemic but the long term maintenance programme could impact on the revenue budget.</p> <p>The results of this work will be factored into future plans.</p> | <p>Revenue budgets have been adjusted for reactive repair work.</p> <p>Capital funds and reserves are available but adequacy will depend on the extent of the long term programme.</p> |
| 22 | <p>The Covenant principles of additional support for our Armed Forces communities are expected to come into statute in January 2021.</p> <p>Currently there is very little detail on what the legislation will state, other than it will cover housing, education and health. The Council has been asked to consider the possible financial impact across a range of areas as part of helping the Government understand the extent of new burdens funding required.</p> | <p>The Council assumes new burdens funding will cover any costs but there is a risk that this is not the case with any impact difficult to quantify.</p> |
| 23 | <p>Ash dieback, sometimes known as 'Chalara', affects ash and other species of trees and is caused by a fungal pathogen.</p> <p>Once infected, a high proportion of trees will die. A few ash trees may survive the infection but evidence from mainland Europe suggested that only 10% of trees were found to be moderately resistant to the disease, with 1-2% having high levels of resistance.</p> <p>The Council is responsible for the inspection and maintenance of all trees on land it owns and manages, including the adopted highway.</p> <p>The management of Ash dieback has been identified in the MTFP as a future</p> | <p>The Council has set aside £500k of repurposed earmarked reserves to fund ongoing work.</p> <p>Consideration will be given to minimising cost of felling and maximising revenue from timber sales.</p> |

| | Issue/risk | Impact/ Action to mitigate risk |
|--|---|---------------------------------|
| | potential financial development/pressure but figures are unknown. The financial implications of the spread of ash dieback will be more fully understood as work progresses. | |

3.4 Future outlook and the financial gap

3.4.1 Given the funding settlement and existing pressures and risks, the Revenue budget for 21/22 shows a funding gap of £2.4m which will be balanced by using reserves. Using reserves to balance the budget for recurring expenditure is not good practice and not sustainable. Strong action is needed now to reduce costs and increase revenue.

3.4.2 If the Council does not tackle the gap then by 23/24, its reserves will be below £3m, the recommended minimum level, and soon after the Council will have no reserves left. **Whilst the budget assumes a 3% council tax increase, a move to 5% would mean that Reserves would not drop as quick giving the Council more time to address its financial gap.**



3.4.3 The position is complicated by key factors:

- the future funding position is unclear, especially with the delay in the local authority funding review and pressure on government borrowing/spending;
- the pandemic is having an impact on the Council's budget both in terms of additional expenditure but also revenue income. It remains to be seen whether current impacts are temporary or become the new baseline;

- c) whilst some services are statutory, classifying spend as either statutory or discretionary is almost impossible. For example, having a finance function is not a statutory requirement but without such a function the Council could not meet statutory obligations such as producing the Statement of Accounts. Therefore, the Council cannot simply list discretionary services and cut those to plug the gap;
- d) the Council has already made significant savings over the last 8 years which have been used to meet additional pressures and offset the loss of funding;

| Year | Budget savings |
|-------|----------------|
| 11/12 | 3,313,050 |
| 12/13 | 1,193,500 |
| 13/14 | 1,534,500 |
| 14/15 | 889,400 |
| 15/16 | 785,900 |
| 16/17 | 1,022,400 |
| 17/18 | 931,300 |
| 18/19 | 805,600 |
| 19/20 | 1,515,000 |
| 20/21 | 479,000 |

- e) the Council provides good Value for Money and is generally low cost. (The last data analysis undertaken pre Covid-19 showed the Councils average spend per household to be £1822, less than £11 below the Unitary average). The figures are supported by other evidence, including the IMPOWER INDEX (data for 149 English councils) which shows that Rutland is achieving greater than average outcomes in adult social care, from a less than average spend per head. Reducing costs further without impacting the services enjoyed by residents is unlikely.

3.4.4 Notwithstanding these comments, the Council must act now if it wishes to be financially sustainable. In its Corporate Plan, the Council committed to producing an “emergency budget”. Progress on the “emergency budget” has been slower than anticipated with resources diverted to deal with the pandemic response. However, the Council has done some work with Members to generate ideas and possible areas for investigation and Officers are now undertaking a line by line review of the budget to identify savings options.

3.4.5 **The financial position is such that the Council must aim to make savings in 21/22 and underspend its budget by at least £1m. This would reduce reliance on reserves to £1.4m.** This can be achieved through various spending controls, including for example:

- a) reviewing all vacancies and freezing posts, where possible;
- b) reviewing expenditure and switching off non priority spending; and

- c) stopping or deferring projects/initiatives that involve additional expenditure,

3.4.6 **Alongside these actions, the Council must begin other projects aimed at releasing savings in 2022/23 of at least £1.5m.** Whilst all areas of Council business must be reviewed, work already underway or soon to be started includes:

- a) The Council will review its leisure strategy and continue with the re-procurement of its leisure contract. The Council is financially supporting the leisure contractor through the pandemic but is aiming to remove this support as part of any new contract. A return to a cost neutral position will save c£100k;
- b) the Council has extended its waste management contracts due to the pandemic at an extra cost of c£450k per annum. The Council will be producing a waste strategy and aiming for a 10% reduction in waste management costs as part of its reprocurement of a waste contract. This may necessitate a change in delivery model for the waste service;
- c) the Council will explore savings options across all services. The Council expects to make further announcements about areas for investigation and will inevitably carry out any reviews in accordance with statutory consultation requirements.

3.5 Reserves

The minimum level of reserves required

3.5.1 One of the reasons that a £3m deficit does not threaten the Council's resilience overnight is that the Council has been prudent over the years and has maintained a healthy reserve level. The total level of reserves relative to council revenue expenditure is relatively high compared to other Councils indicating a good degree of financial management.

| | General Fund reserves as % of Revenue Exp¹ | Earmarked reserves as % of Revenue Exp | Total |
|-----------------|--|---|--------------|
| Rutland | 21% | 13% | 34% |
| Average Unitary | 5% | 19% | 24% |

3.5.2 These reserves can be called upon in the short term to balance the budget but this is not good practice and they cannot continue to be used indefinitely as indicated above.

¹ To enable comparisons, the Council has used Service Expenditure as defined in the Revenue returns (RO forms) submitted to Government by all Councils.

- 3.5.3 The level of reserves is set to take account of:
- strategic, operational and financial risks (see Section 3.3);
 - key financial assumptions underpinning the budget; and
 - the quality of the Council's financial management arrangements.
- 3.5.4 The Council's minimum reserves target is proposed to be set at £3m. Presently, the Council's General Fund balances (and useable earmarked reserves) are above the minimum level. As at March 2021, reserve levels are budgeted to be at £9.181m (General Fund) and £5.724m (earmarked reserves as detailed in Appendix 3).
- 3.5.5 A review of the reserves position has been undertaken. **It is my view that the minimum reserve level be increased to £3m.** This level is deemed adequate based on professional judgement and a risk assessment taking into account the following factors:
- a) despite a good savings track record, the Council has work to do to deliver future savings;
 - b) there are potential risk and cost pressures as set out in 3.4; and
 - c) the financial outlook (Spending Review 2020) and Settlement indicate that future funding will not close the gap;
 - d) the impact of the pandemic is still not yet fully known.

Earmarked Reserves

- 3.5.6 **Earmarked reserves** are used as a means of building up funds to meet known or predicted liabilities. Their establishment and use is subject to Council approval and movements are reported as part of the quarterly financial monitoring reports. A list of earmarked reserves is given in Appendix 3.
- 3.5.7 The Council has £5.7m of earmarked reserves of which two are statutory (public health and better care fund reserves totalling £677k) and the remainder are at the discretion of Council.
- 3.5.8 The 21/22 budget uses over £1.288m of earmarked reserves – mainly £848k of Covid Funding held in reserves, £200k from the social care reserves to support pressures and £175k from the pressure reserve to support the major procurement project costs.
- 3.5.9 The Council proposes to create a reserve to cover any costs associated with Ash dieback (risk 23) by transferring:
- £300k from the Pressure reserve;
 - £80k from the Insurance/Legal reserve;

- £100k from the Highways reserve;
- £20k from the Internal Audit reserve.

4 COUNCIL TAX AND COLLECTION FUND

4.1 Council tax – options

4.1.1 The Government has maintained the general Council Tax referendum limit at 1.99% for 20/21. Rutland is also able to levy an Adult Social Care precept of an additional 3%. There is flexibility in that the Council could levy the 3% over the next two years. For example, councils can use 1 per cent of that flexibility in 2021/22 and 2 per cent in 2022/23 or any other combination, as long as the two do not add up to more than 3 per cent.

4.1.2 No decisions have been taken about referendum principles that would apply from 2022/23 onwards, so this flexibility should not be seen as a signal of what might happen to future precepts or council tax in future years. Even if the 2021/22 precepting arrangements are not extended into 2022/23, councils would have the ability to raise any amount not utilised from the maximum in 2021/22.

4.1.3 The Council proposes to raise Council Tax by 2% and levy the Adult Social Care precept of 1%².

4.1.4 The view of the Council's Section 151 Officer is that, in the context of the MTFP, the proposed rise should be 5% for 21/22. The rationale for this is as follows:

- It avoids the Council making a greater loss in 21/22;
- Failing to increase Council tax by the maximum amount leads to a c£277k minimum loss of income (for every 1% not raised compared to 4.99%) in 21/22 but also every subsequent year (so c£4.5m over 5 years if the Council only increase Council tax by 3%);
- The Council is expecting an increase in social care costs due to additional demands from residents;
- The Government funding has decreased and is not sufficient to meet inflation and other cost pressures;
- Collection rates remain high; and
- The Government has promised additional hardship funding for Councils. The Council also has a discretionary hardship fund which would allow us to reduce Council tax for the most vulnerable.

² For the purposes of the table in 2.1.3, reference to Council Tax and rates includes the Adult Social Care precept

4.1.5 The table overleaf gives shows the difference between the various options:

| Change from 21/2 | Council tax rate | 21/22 council tax revenue £m | Loss against maximum yield in 21/22 | Current year plus 5 loss |
|--|------------------|---------------------------------|-------------------------------------|--------------------------|
| 4.99% | £1,861.70 | £29.154m | N/A | N/A |
| 3.99% | £1,843.96 | £28.876m | £0.277m | £2m - £2.6m |
| 2.99% | £1,826.23 | £28.598m | £0.555m | £3.9m - £4.5m |
| 1.99% | £1,808.50 | £28.321m | £0.833m | £5.8m - £6.7m |
| 0.99% | £1,790.77 | £28.043m | £1.111m | £7.7m – £9m |
| 0% | £1,773.21 | £27.768m | £1.386m | £9.6m - £11.2m |
| NB: The losses over a 6 year period will vary according to a number of factors including growth, council tax support, collection rates, discounts and empty homes. | | | | |

4.1.6 Members should note that even with maximum Council Tax rises the Council still needs to find substantial savings. **Members should note that Councils in financial difficulties that have not maximised local taxation have been criticised for asking for more Government funding.**

4.2 Council Tax Collection Fund – the estimated balance for 2020/21

4.2.1 The Council, as a billing authority, is required to keep a special fund, known as the Collection Fund. If a surplus or deficit remains in the Collection Fund at the year-end it is subsequently distributed to, or borne by the billing authority (in this situation the Council) and the preceptors (Police and Fire Authorities). Billing authorities are required to estimate the expected Collection Fund balance for the year to 31 March in order that the sum can be taken into account by billing authorities and preceptors in calculating the amounts of Council Tax for the coming year. The difference between the estimate at 15 January, and the actual position at 31 March will be taken into account in the following financial year.

4.2.2 20/21 has been an anomalous year for Council Tax, which has seen a number of elements affect the overall position as explained below:

- Taxbase (before Council Tax Support) - COVID-19 has not affected the underlying taxbase but has depressed the growth in new properties being added to the taxbase.
- Council Tax Support (CTS) - The Council has seen an increase in applications, with payments for 2020/21 totalling £1.4m compared to £1.3m at the same point in 2019/20. In addition to LCTS the Council has reduced bills due to the Hardship Fund (£150 per household), this has been funded by a grant so does not impact the Collection Fund directly.

- Collection Rate - The Council tax base is also influenced by the collection rate. For Rutland this was 99% as we generally see a high collection rate within the County. If the Council assumes the collection rate will fall then the knock on effect is the tax base will fall. For Rutland a 0.5% fall in collection rates is equivalent to approx. 80 band D Properties or c£140k.

4.2.3 The estimated financial position on the Collection Fund at 31 March 2021 is shown below.

| | |
|------------------------------------|----------|
| Estimated Deficit at 31 March 2021 | £186,000 |
| Share of Deficit | |
| Rutland County Council | £159,600 |
| Leicestershire Police Authority | £20,400 |
| Leicestershire Fire Service | £6,000 |

4.2.4 The deficit represents 0.59% of the amount collected. Regulations provide for the Council's share of the estimated deficit to be transferred to the General Fund in 21/22.

4.3 **Business Rates Collection Fund – the estimated balance for 2021/22**

4.3.1 Similar to Council Tax the Collection fund for business rates as been anomalous. Although the Government has funded a large proportion of the changes in relation to business rates, the timing and accounting treatment required for the Collection Fund will result in significant movements between reserves to neutralise any impact of the reliefs.

4.3.2 The Councils draws down an amount from the Collection Fund based on annual return completed in January and this forms the 'funding' from business rates, which does not fluctuate.

4.3.3 For this year, the government have made policy decisions to grant extra relief as part of their Covid response, but recompense local authorities by grant payable in year. The consequence of this is the Council still receives the estimated funding from the Collection Fund plus grant funding for the additional relief, creating a significant surplus for the Councils general fund in 20/21.

4.3.4 This creates a deficit on the Collection Fund as the amount collected will not be as high as when estimated in January, but the fund still pays out the estimated amount. The Council will then have to pay back the deficit in the next financial year.

4.3.5 To help neutralise this impact the Council will use the additional funds received in 2020/21 and put them into a specific earmarked reserve in order

to meet the estimated deficit in the Collection Fund in January 2021.

5 REVENUE BUDGET

5.1 Revenue budget

5.1.1 The Council is proposing a net revenue budget of £42.2m. The budget will allow it to deliver on corporate plan priorities and meet statutory obligations. The Council will attempt to protect spending in key service areas like social care. The table below sets out the detailed make-up of the draft budget.

| | | Draft budget 21/22 £000 |
|-------|--|--|
| 5.1.2 | People | 20,237 |
| 5.1.2 | Places | 14,663 |
| 5.1.2 | Resources | 7,334 |
| 5.1.3 | Covid Expenditure | 724 |
| 5.1.3 | Covid Grant Income | (724) |
| | <i>Sub-Total Directorate budgets</i> | 42,234 |
| 5.1.4 | Pay Inflation contingency | 100 |
| 5.1.5 | Needs management | 274 |
| | <i>Sub-Total Contingencies & Corporate Savings</i> | 374 |
| | Net cost of services | 42,608 |
| 5.1.6 | Appropriations | (2,478) |
| 5.1.7 | Capital financing costs | 1,647 |
| 5.1.8 | Interest income | (240) |
| | <i>Sub-Total Capital</i> | (1,071) |
| | Total Net Spending | 41,537 |
| | Funding | (39,140) |
| 5.1.9 | Contribution from Earmarked Reserves | (1,288) |
| | Use of General Fund reserves | 1,109 |

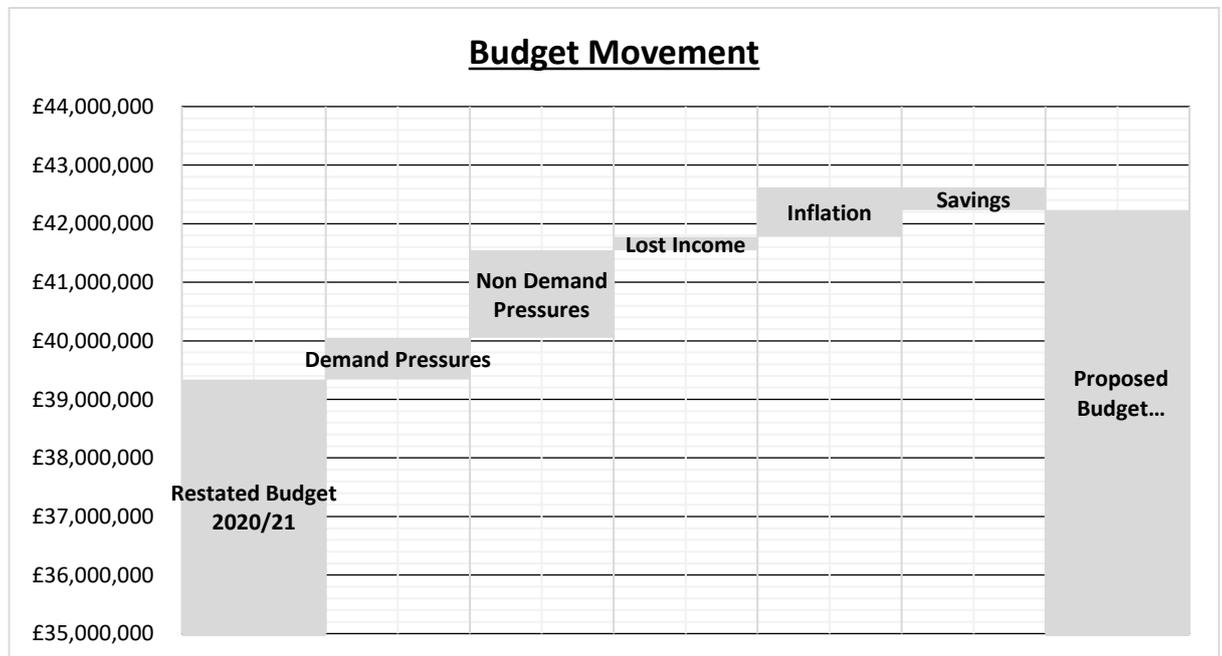
- 5.1.2 The **Directorate budgets** are detailed by functional areas in Appendices 4 to 6. The budgets include savings and pressures.
- 5.1.3 As detailed in 3.2.13 the Council has received additional grant to respond to the pandemic
- 5.1.4 The budget includes a contingency for **pay** changes (pay inflation, adjustment, re-grades, staff opting in to pension fund etc). The Government has indicated the public sector with some exceptions will get a pay freeze (except for those earning under £24,000) but this is subject to a national negotiation. The Council has set aside £100k to deal with the outcome of the negotiation.
- 5.1.5 The budget includes a small contingency of £274k for **social care needs management**. This is the same approach as per the prior and reflects the fact that there is no growth built into the budget for demographic growth.
- 5.1.6 The **appropriations** figure represents adjustments that the Council is

required to make to its revenue position that are specified by statutory provisions and any other minor adjustments. It includes the reversal of the annual charge for depreciation on the Council's assets which is shown in Directorate budgets.

- 5.1.7 **Capital financing** costs of £1.647m comprise interest costs on loans of £1.033m and Minimum Revenue Provision (MRP) costs of £614k. MRP is a statutory charge to the revenue account which covers the repayment of debt (see 6.3).
- 5.1.8 **Interest income** reflects interest earned on investments. This has decreased by £60k from 20/21 due to the economic impact of the pandemic.
- 5.1.9 **Earmarked reserves** are used as a means of building up funds to meet known or predicted liabilities. Their establishment and use is subject to Council approval and movements are reported as part of the quarterly financial monitoring reports. The 21/22 budget uses over £1.288m of earmarked reserves – mainly £848k of Covid Funding held in reserves, £200k from the social care reserves to support pressures and £175k from the pressure reserve to support the major procurement project costs. A list of earmarked reserves is given in Appendix 3.

5.2 The change from 20/21

- 5.2.1 The Council's revenue budget is £2.9m (6.9%) higher than the comparable budget for 20/21. The build-up of the budget is explained below.



- 5.2.2 The Council's restated budget for 20/21 is £39.3m (this is explained in Appendix 2).

5.3 The budget process – the development of the revenue budget

Impact of Covid-19

- 5.3.1 At the time of writing this report, the Council is still responding to and impacted by the pandemic. With a vaccination programme imminent but likely to be rolled out over a period of at least 9 months, the impacts of the pandemic will continue to be felt into 21/22 and possibly beyond.
- 5.3.2 The budget for 21/22 includes grant funding received in 20/21 (£848k) which has been carried forward into 21/22 to deal with the following issues arising from the pandemic:
- 5.3.3 Leisure - £100k – the Council’s leisure provider will receive an additional £100k from the Council to compensate them for loss of income arising from closure and periods of lower utilisation;
- 5.3.4 Waste - c£400k – the Council has extended existing contracts for waste management rather than undertake a full tendering exercise with resources redeployed on the pandemic response. The costs of the extension are beyond current contractual rates (report 143/2020);
- 5.3.5 Fee income - £288k – due to the pandemic the demand for services, e.g. car parking, is expected to be lower.
- 5.3.6 Staffing Pressures – there is expected to be a need to source additional staff to support the Councils response.
- 5.3.7 The budget also includes a further £724k, from government grant, to support Covid-19 work in 21/22. This is shown as a zero net budget in the Revenue Account. It is assumed this funding will support new activity rather than existing costs, given the uncertainty about the spread of the virus.
- 5.3.8 Beyond the above issues, the budget does not include specific provisions to deal with pandemic response or further impacts. However, if funding received in 20/21 has not all been expended by the end of 20/21 then it will be used to fund any ongoing costs from existing pandemic work that continue into 21/22 thereby reducing any impact on the General Fund. In future updates, the Director will report the position so Members are aware.
- 5.3.9 If pandemic funding has been expended, is insufficient to cover ongoing costs or further Government funding is not available, then Officers will seek approval of a change to the budget through Cabinet and/or Council in the usual way.

Budget process

- 5.3.10 The starting point is the restated 2020/21 budget which is updated for any approved changes and adjustments as reported in Quarterly Finance reports. Minor adjustments are made to individual budgets as part of the

normal annual budget process. These include updating for the pay settlement, inflation, adjustments and removing one off budgets. Any savings and pressures are also factored in.

5.3.11 The Council's restated budget for 20/21 is £39.3m. The budget for 21/22 builds on the 20/21 budget and includes the following changes:

- Pressures totalling £2.433m (5.5)
- Savings of £0.386m (5.4)
- Inflation pressures of £0.846m account for general inflation on goods/services, a 1% increase in pension costs and other pay adjustments.

5.3.12 The 21/22 budget is therefore £42.2m.

5.4 Savings

5.4.1 The 21/21 budget already includes total savings c£386k of which all are recurring. Savings are detailed in Appendices 4-6. None have a front line impact.

5.5 Pressures – additional costs

5.5.1 Service pressures may arise from increased demand from service users, legislative changes that place additional duties or responsibilities on the Council or from withdrawn funding which means the General Fund has to pay for services previously funded through other income e.g. grant.

5.5.2 The 21/22 budget includes total new spending of c£2.433m of which £0.712m pertains to demand, £1.492m is about investing in services and £0.228m is due to reducing income levels. Pressures are detailed in Appendices 4-6.

5.6 Reserves and Estimates - robustness

5.6.1 Best practice requires me to identify any risks associated with the budget, and section 25 of the Local Government Act 2003 requires me to report on the adequacy of reserves and the robustness of estimates.

5.6.2 The most substantial risks in 21/22 pertain to demand led budgets and in particular social care and the impact of Covid-19. The Council has prudently assumed that new Covid-19 grant will fund new activity or pressures. There is also some contingency included in the budget for demand led areas. It is my view that estimates made in the plan are prudent.

5.6.3 In the medium term, the risks to the budget strategy arise from the risks detailed in 3.3 but can be summarised as follows.

- non-identification and delivery of future savings;

- unidentified and uncontrollable pressures; and
- loss of future resources, particularly in respect of changes to business rates, government funding or council tax.

5.6.4 The risk of economic downturn, nationally or locally, is a distinct possibility as noted in the risk commentary in 3.3. This could result in further significant reductions in funding, falling business rate income, and increased cost of Council Tax reductions for tax payers on low incomes. It could also lead to a growing demand for Council support and services and an increase in bad debts.

5.6.5 In 20/21, it was my view that the Council's financial resilience was adequate. In light of Covid-19 and the current economic climate, **my view is that the position is deteriorating and requires immediate action**. In the short term (up to 2 years), the Council can manage the above risks as:

- It has a good level of earmarked and General Fund reserves (see para 3.5);
- The Council is largely self-sufficient and its high dependency on Council tax leaves it less vulnerable to further government reductions but only if Members raise council tax to the maximum allowable;
- Budget management is sound; and
- Action must be taken in year to reduce expenditure.

5.6.6 Subject to the above comments, I believe the Council's general and earmarked reserves to be adequate in the short term. I also believe estimates made in preparing the budget are robust based on information available.

6 CAPITAL PROGRAMME

6.1 Overall Programme – existing and new projects

6.1.1 The Capital Programme is developed around specific projects. The programme comprises four strands:

- Approved projects: capital projects already approved that will span across more than one financial year (any projects already approved which are not yet completed will continue into 2021/22)
- Ring Fenced Grants: These projects will automatically be included in the existing capital programme.(e.g. disabled facilities grants);
- Non Ring Fenced Grants: New projects to be approved in the budget or in-year; and
- Funding available but not yet allocated.

6.1.2 The table below is an overview of the position for 2021/22. Projects that make up the total £28.945m are listed in Appendix 8.

| Capital Programme | Budget Approved to Date | New Capital Projects | Budget 2021/22 |
|-------------------------------|-------------------------|----------------------|-----------------|
| | £000 | £000 | £000 |
| Strategic Aims and Priorities | 10,110 | 249 | 10,359 |
| Commercialisation | 10,470 | 0 | 10,470 |
| Asset Management Requirements | 8,116 | 0 | 8,116 |
| Total Projects | 28,696 | 249 | 28,945 |
| Financed By | | | |
| Grant | (15,320) | (249) | (15,569) |
| Prudential Borrowing | (11,469) | 0 | (11,469) |
| Capital Receipts | (348) | 0 | (348) |
| RCCO | (318) | 0 | (318) |
| Developers Contributions | (1,241) | 0 | (1,241) |
| Total Budget Funding | (28,696) | (249) | (28,945) |

6.2 Approved projects – approved projects continuing into 2021/22

6.2.1 Some of the capital projects will span across more than one financial year. Any projects already approved which are not yet completed will continue into 2021/22. The estimated spend in 2021/22 will depend primarily on the outturn (the amount spent) for 2020/21.

6.3 Approved projects – projects delivered with ring fenced funding

6.3.1 The Council receives Devolved Formula Capital funds which is passported to

maintained schools to help them support the capital needs of their assets. Schools will decide what projects to fund.

- 6.3.2 For the Disabled Facilities grant which is part of the Better Care Fund, the full allocation is used to help residents remain in their home and be independent.

6.4 Projects in pipeline – to be submitted for approval in due course

- 6.4.1 In a number of areas work is ongoing and proposals for new projects being developed. In these areas, Cabinet reports are expected in 2021/22. Funding for any future projects will be funded in full or in part from the unallocated funding (set out in 7.5 below). Areas under review include:

- Highways – the spending review indicated £1.7bn in 2021/22 for local roads and upgrades to tackle potholes, relieve congestion and boost connectivity. This includes £500m for the pothole fund and £310m for upgrades to larger roads. The Council allocation is £1.5m and is included within the unallocated table in 7.5.1 until a paper is presented to Cabinet for approval.
- School Places – the requirements for secondary school expansion is under review with a report expected to be presented to Council in February.
- Transport – use of the Integrated Transport funding will be presented in early 2021.

6.5 Unallocated Funding (funding available) and potential future projects

- 6.5.1 Currently the Council is holding capital funds that have not yet been committed to a project. A breakdown of the funds held is shown in the table below. Any future capital projects highlighted in 6.4.1 will be funded from the unallocated funding below.

| Unallocated Funding | Index | Estimated Closing Balance 31/03/21 | Grant Awarded/ Receipts expected | Capital funding for ring fenced budget | Estimated Closing Balance 2021/22 |
|------------------------------|-------|------------------------------------|----------------------------------|--|-----------------------------------|
| | | £000 | £000 | £000 | £000 |
| Devolved Formula Capital | | (7) | (11) | 11 | (7) |
| Better Care Fund (BCF) | | 0 | (238) | 238 | 0 |
| Basic Needs | 6.5.7 | 0 | (1,689) | 0 | (1,689) |
| Adult Social Care – Misc | 6.5.2 | (219) | 0 | 0 | (219) |
| Schools Capital Maintenance | 6.5.4 | (1,227) | (154) | 0 | (1,381) |
| Highways Capital Maintenance | 6.5.5 | 0 | (1,535) | 0 | (1,535) |

| Unallocated Funding | Index | Estimated Closing Balance 31/03/21 | Grant Awarded/ Receipts expected | Capital funding for ring fenced budget | Estimated Closing Balance 2021/22 |
|--------------------------------------|--------------|---|---|---|--|
| Integrated Transport | 6.5.6 | (1,109) | 0 | 0 | (1,109) |
| Highways – Misc | 6.5.2 | (78) | 0 | 0 | (78) |
| Misc Grant | 6.5.2 | (38) | 0 | 0 | (38) |
| Developers Contribution | 6.5.3 | (7,832) | (400) | 0 | (8,232) |
| Capital Receipts | | (1,269) | (100) | 0 | (1,369) |
| Estimated Unallocated Funding | | (11,779) | (4,127) | 249 | (15,657) |

6.5.2 Misc Grant Funding (Adult Social Care, Highways and Misc Grants) Unallocated funding (£335k) representing various balances from historic funding that the council no longer receives. This funding is not ring fenced.

6.5.3 Developers Contribution – Unallocated funding (£8.232) representing the expected balance as below:

- Section 106/ CIL – Unallocated funding (£5.020m) representing the expected holding balance. Projects will be developed to deal with infrastructure demands from new/existing developments. Expenditure must be spent on the specific details within the individual agreements or on items within the CIL123 infrastructure list. The CIL 123 list will be reviewed to reflect the councils new Local Plan.
- Oakham North Agreement – Unallocated funding (£3.213m) representing the expected holding balance. The Council has flexibility on how this funding is used to support the development.

6.5.4 Schools Capital Maintenance – Unallocated funding (£1.381m) is ring-fenced and should be allocated to schools and children's centres based on the provision of sufficient numbers of school places and surplus place removal, also the repair, improvement and replacement of existing school buildings.

6.5.5 Highway Capital Maintenance – Unallocated grant funding (£1.535m) is being held to fund future highways projects which is not ring-fenced however, future allocations could be affected if the funding was not spent on improving transport infrastructure within the County.

6.5.6 Integrated Transport - Unallocated Grant Funding (£1.109m) - The integrated transport block funding provides support for small transport capital improvement schemes. A number of schemes have already been agreed. This funding is not ring fenced however, future allocations could be affected if the funding was not spent on transport improvement schemes

6.5.7 Basic Needs Funding – Unallocated Grant Funding (£1.689m) is ring fenced and will help Rutland County Council to fulfil their duties in ensuring there are enough schools places for children in their local area.

7 TREASURY MANAGEMENT

7.1 Overview

7.1.1 At the time of approving the budget, the Council will approve the Treasury Management Strategy and Capital Investment Strategy. The implications of these strategies (capital plans, investment returns and borrowing changes) are reflected in the draft budget.

7.2 Prudential indicators – indicators to be approved

7.2.1 Local authority capital expenditure is based on a system of self-regulation, based upon a code of practice (the “prudential code”).

7.2.2 Council complies with the code of practice, which requires us to agree a set of indicators to demonstrate that any borrowing is affordable, sustainable and prudent. To comply with the code, the Council must approve the indicators at the same time as it agrees the budget. The indicators including the limit on total borrowing are approved through the Treasury Management Strategy, taken separately to this report.

7.3 Minimum Revenue provision – method of calculation

7.3.1 By law, the Council is required to charge to its budget each year an amount for the repayment of debt. This is known as “minimum revenue provision” (MRP).

7.3.2 MHCLG Guidance issued requires full Council to approve an MRP Statement in advance of each year. Council will be asked to approve the MRP Statement as part of the Treasury Management Strategy.

8 SCHOOL FUNDING

8.1 Overview – How school funding works

- 8.1.1 Schools are funded from ring fenced grants, the most notable of which is the Dedicated Schools Grant (DSG). This funding cannot be used for any other Council function, and essentially schools operate within their own fund with any under or over expenditure being taken forward into future years.
- 8.1.2 The Government has announced indicative allocations for the Schools, High Needs and Central Schools Service blocks for 2021/22.
- 8.1.3 As in previous years, the Council is able to transfer 0.5% of the Schools block allocation to the High Needs block with the agreement of the Schools Forum. Due to the pressures being experienced by the High Needs budget, Forum has agreed to this transfer for 2021/22. This transfer will equate to approximately £0.135m being transferred between blocks
- 8.1.4 A local authority must engage in open and transparent consultation with all maintained schools and academies in the area, as well as with its schools forum about any proposed changes to the local funding formula including the method, principles and rules adopted. Whilst consultation must take place, the local authority is responsible for making the final decisions on the formula. In reality, the options are limited.
- 8.1.5 Schools have reserves they can call on, and the Council will work closely with any maintained school that is experiencing financial difficulty to draw up a recovery plan.

8.2 Allocations – funding received and allocated

DSG

- 8.2.1 The Schools Block allocation for Rutland is £27.579m compared to 2020/21 of £25.261m (an increase of £2.318m) equating to an increase of 9.1%. The National Funding Formula sets the Primary and Secondary units of funding for each authority based on the previous years census data and these are used to calculate the funding received by the authority for the following year.
- 8.2.2 The two units of funding for Rutland County Council for 2020/21 have been set as follows:
- Primary Unit of Funding is £4,376.23 (£4,047.47 in 2020/21)
 - Secondary Unit of Funding is £5,415.00 (£5,000.96 in 2020/21)
- 8.2.3 The High Needs block allocation for 2021/22 is £4.377m compared to 2020/21 of £4.248m (an increase of £0.129m) equating to an increase of 3%. This funding has been adjusted for the latest information on the numbers of pupils being transferred between authorities.
- 8.2.4 The current level of spending on high needs is projected to be £4.6m in 2020/21, and continues to rise, and therefore the allocation for 2021/22 is likely to be insufficient to cover costs next year. The transfer of 0.5% from the schools block

(approximately £0.135m) is for one year only and will automatically transfer back to the schools block the following year.

8.2.5 The Council is likely to be carrying a DSG deficit of c£700k by the end of March 2021 and will need to produce a Recovery Plan for the DfE which addresses this position by June 2020. The Government has made it clear that the deficit is not the Council's to underwrite but has not explained how the deficit will be cleared if it cannot be recovered. Recouping this deficit will be a significant challenge without additional funding and may take some years to recover if it can be recovered at all.

8.2.6 The Early Years block allocation for 2021/22 has been provisionally set as £1.832m based on an increase rate for 2 year old funding of £5.36 (£5.28 2020/21) and funding for 3 and 4 year olds of £4.48 (£4.48 2020/21). The individual rates paid over to nurseries has been agreed as £5.36 for 2 year olds and £4.25 for 3 and four year olds.

8.2.7 The Central School Services block allocation is £0.174m for 2021/22 a slight increase (£0.009m) from the allocation in 2020/21. The Central School Services block pays for the following services:

- Admissions Services;
- Nationally agreed copyright licence fees; and
- The local authority statutory responsibilities (previously covered by the Education Services Grant) e.g. be strategic lead for education of children and young people.

Pupil Premium Grant (PPG)

The DfE have published the pupil premium rates for 2021/22:

- Primary disadvantaged pupil premium is £1,345 per pupil, no change from 2020/21;
- Secondary disadvantaged pupil premium is £955 per pupil, no change from 2020/21;
- Children Looked after pupil premium is expected to increase to £2,345 per pupil, no change from 2020/21;
- Children no longer looked after due to adoption, special guardianship order etc is £2,345 per pupil, no change from 2020/21; and
- Service children pupil premium is £310 per pupil.

Universal Infant Free School Meals (UIFSM)

From September 2014 every infant (key stage1) pupil is entitled to a free school meal. This is funded by an additional specific grant amounting to £450 per pupil.

9 CONSULTATION

9.1 The Council is required to consult on the budget as set out in Section 13 below

and has met those requirements. Consultation for 21/22 included:

- A briefing to all members of Council on 6th January;
- Consideration by each of the Scrutiny Panels at special meetings in January;
- A presentation of the budget to Parishes in January; and
- Consultation online, static displays at libraries and publicity through the local print and broadcast media from 13th January to 29th January.

9.2 Consultation focused on the following questions:

9.2.1 Do you understand the sources of income which the Council receives and the split between Council tax and government grants? 179 people responded. 96% said yes.

9.2.2 Do you understand why we are proposing to raise council tax this year? 167 people responded. 90% said yes.

9.2.3 How much do you now feel you understand about why the council must make total savings of almost £3m by 2024/25? 185 people responded. 8% said they were unsure. The remainder were split between having a full understanding and some understanding.

9.2.4 Respondents were asked if they had any specific ideas about how the council can save money or generate additional income to protect services. 118 people responded. The full list of responses is on the website. Comments included:

- The increase in population was seen as a problem by a few with calls made for the St Georges development to be abandoned. One could not understand how the extra council tax from housing growth was necessary alongside tax rises. a similar theme, there was call for Anglian Water to pay towards Council services as it was felt that visitors to Rutland water cause additional work on road maintenance for example.
- Property issues were cited by a few respondents with one saying there was no need for Catmose and that staff could continue to work from home or from a different site. Another added that the Council should look to sell off its property assets.
- There were a few calls for staff salaries to be cut, or no pay rises awarded with one suggesting we withdraw the final salary pension scheme. The level of staffing was also cited by some as too high with not all posts necessary and staff not having enough to do.
- The Council's size was seen an issue by a few with calls for us to work more with neighbours and partners with one respondent going as far as to suggest we should outsource a lot of our infrastructure to get economies of scale.
- There were various calls for the Council to stop non-essential services and do only what is mandatory or statutory. One respondent said we should look at the budget as if a Section 114 had been issued. Another said we should

list the top 10 spending areas and do some sort of voting of whether to increase spend or make savings.

- Various suggestions were made for efficiencies/stopping services including a few for removing underutilised bus services, one respondent said close the libraries whilst another said stop the mobile library, turning off the street lights at night was suggested by another. Stop mowing road verges a few times a year was quoted as another as unnecessary. Staffing at North Luffenham Civic Amenity site was also seen as poorly managed.
- A lot of respondents suggested we continued lobbying Government for more funding. There was disappointment that our case had not been heard but that we should continue to pursue this – one respondent described the differential in government funding between councils as excessive. One person said lack of government funding was an excuse for tax rises.
- Various income generation ideas were made including a local lottery for local projects, increasing the use of sponsorship, taxing local supermarkets and encouraging local businesses like takeaways to contribute towards the cost of litter picking. One said that the Castle and Museum were great assets and that more income could be generated from these.
- A few respondents referenced the amount spent on social care as being an area where we should look at what is spent with one suggesting more integration with the NHS would stop duplication. Another said we should reduce support for the elderly or ask them to pay more.
- A few respondents said we should do more to combat council tax fraud and in particular clamp down on the number of single person discounts. Another said we should look to charge more on Band D properties and above.
- A couple of respondents said that reviving the town centre and attracting new business (not charity shops) might help.
- Two respondents believed that the use of volunteers would help reduce costs and quoted work during the pandemic as an example of community spirit. Another said that the community was willing to get involved.

9.2.5 We also asked whether people have any other comments on the budget. There were 102 responses. Many of the comments echoed the themes quoted above. Other comments included:

- Many disagree with the proposals to increase council tax at all given economic conditions and inflation being low. There were various comments that the Council was 'out of touch' with what is happening nationally. Some respondents referenced the fact that pensions are fixed and that even a 3% rise would be challenging to meet. Others felt that as some services had been reduced during the pandemic, the Council should not be raising council tax.
- Fewer said they were supportive of council tax rises and that the Council was doing a good job in difficult circumstances.

- Many made comments about the council tax system not working – one said local taxes should be linked to income/age/property size, another said the review of tax bands would help. Some understood we have one of the highest council tax levels in the country, another wanted more information on the comparative levels.

9.3 Despite efforts made by the Council, there are still a minority of residents who have a limited understanding of the Council, what it does or what we control and do not control. Work on the Rutland Offer (a list of everything the Council does) will help this and the Future Rutland Conversation will give the Council an opportunity to explore aspirations and priorities with residents further.

9.4 All responses to the consultation can be found via the link below:

<https://www.rutland.gov.uk/my-council/contacts-facts-and-figures/council-spending/annual-budget/>

10 ALTERNATIVE OPTIONS

10.1 There are four key areas where the Council has choices: revenue savings/pressures, the capital programme, council tax funding and reserve levels. These are considered separately.

10.2 Revenue savings/pressures

10.2.1 Option 1 - In terms of revenue savings/pressures Members could approve all savings/pressures for consultation – this is the recommended option. Where savings have been put forward Officers are of the view that these are achievable without impacting on front line services. The budget includes service pressures most of which arise from a need to respond to statutory requirements and/or unavoidable circumstances such as demand and the need to make in year savings.

10.2.2 Option 2 - Members could reject all savings/pressures – this would mean that in those areas where savings have been put forward officers would revert back to original spending plans. In light of the future funding outlook this is not advisable. In terms of pressures, then where these are included to respond to statutory requirements, Officers would need to find alternative savings either before the budget was set or in-year; otherwise it is likely that the budget would be overspent. The rejection of all proposals is not recommended.

10.2.3 Option 3 - Members could approve savings/pressures with amendments. Members would need to be mindful of the financial implications of doing this on the overall financial position.

10.3 Capital programme

10.3.1 The capital programme for 21/22 includes projects already approved by Cabinet/Council. Approvals for projects to be included in the programme will be sought in separate reports.

10.4 Funding

10.4.1 The MTFP includes funding assumptions. The majority are based on the

professional judgement of officers taking into consideration the settlement allocation and all other available information. The one key funding decision that Full Council has to make is around Council tax levels.

- 10.4.2 The draft budget assumes a 2% Council Tax increase with a further 1% precept for Adult Social Care effectively giving a rise of 3%. The impact of not making this decision is set out in Section 4. Given the financial gap already projected, Council is advised to consider the risks highlighted by the Section 151 Officer and the comments made in 2.1.12.

10.5 Reserve levels

- 10.5.1 As the Councils Section 151 Officer, I recommending that the minimum General Fund reserve level is increased to £3m. More detail is given in Section 3.5. Members could choose to set the recommended level at a different rate.
- 10.5.2 In terms of earmarked reserves, the Council is expecting to be holding c£4.5m by March 2021. The budget proposes creating a Reserve to deal with the cost of Ash dieback (£500k). Council could choose to take an alternative course of action.

11 FINANCIAL IMPLICATIONS

- 11.1 The draft budget as presented relies on a contribution from the General Fund and earmarked reserves totalling £2.6m.

12 LEGAL AND GOVERNANCE CONSIDERATIONS

- 12.1 The Council is on course to agree its budget and set its Council Tax for 2021/22 within the timetable required by statute and the constitution as per the table below.

| Requirement | Status |
|--|---|
| <i>Statutory requirements under Local Government Finance Act 1992:</i> | |
| To levy and collect council tax | To be approved at Council in February 2021 |
| To calculate budget requirements and levels of council tax | To be approved at Council in February 2021 |
| To consult representatives of persons subject to non-domestic rates about proposals for expenditure | To be presented at a Business event in February |
| To approve the budget and set Council Tax by 11th March in each year | To be approved at Council in February 2021 |
| The Council is also required by the Local Authorities (Funds)(England) Regulations 1992 in exercise of the powers under section 99(3) of the Local | Section 4 |

| Requirement | Status |
|--|---------------|
| Government Finance Act 1988, to make an estimate on 15 January of the amount of the deficit or surplus on the Collection Fund as at 31st March 2018. This report sets out an estimated figure. | |
| <i>Statutory requirements under Local Government Act 2003:</i> | |
| Under section 25 of the Local Government Act 2003 the Section 151 Officer is required to report to the Council on the robustness of the estimates made for the purpose of setting the Council Tax and the adequacy of the proposed financial reserves. | Section 5 |

- 12.2 As Members will be setting the budget in advance of the decision on Council Tax, Council is being asked to Delegates authority to the s151 Officer to make any necessary changes to the budget arising from the Council tax decision and/or any additional funding received. Should Members not approve a 3% tax rise, the s151 Officer will then adjust the budget accordingly.

13 EQUALITY IMPACT ASSESSMENT (EIA)

- 13.1 In the exercise of its functions, the Council must have due regard to the Council's duty to eliminate discrimination, to advance equality of opportunity for protected groups and to foster good relations between protected groups and others.
- 13.2 The Council has completed Equalities Impact Assessment (EIA) screening for all savings proposals and for the proposed tax increase. There are no proposals or decisions on specific courses of action that could have an impact on different groups of people and therefore full EIAs are not required. Some of the analysis relating to the Council tax increase is shown below:

| |
|---|
| Proposal |
| A Band D Council Tax increase of 3%, including the Adult Social Care Precept of 1% taking Band D Council Tax from £1,773.21 to £1,826.41 (Rutland County Council only). This proposal is linked to one aspect of local government funding where the Council has some discretion to raise additional funds by increases to Council Tax. However there are Council Tax rules in place that limit the extent of any Council Tax increases before a referendum is required, the limit for 2021/22 is 4.99%. |
| Initial impact |

This increase will be applied to all bands of council tax. This will impact on all residents who are eligible to pay Council Tax. The average increase cost per week on a Band D property is £1.02.

Since Council Tax is applicable to all properties it is not considered that the increase targets any one particular group; rather it is an increase that is applied across the board. At the same time because the increase is applied to all properties it is not possible to exempt any particular groups. By increasing Council tax, the Council is able to prevent further reductions in services to local residents and in so doing continue can mitigate adverse impacts facing individual households.

Actions take to mitigate impact

The risk is mitigated through various support offered: Local Council Tax Support, a Discretionary Fund and Advice.

The Council operates a Local Council Tax Support scheme which offers up to 75% discount for those on low incomes – those that are eligible for the full discount will see an increase of just 26p per week.

On top of the 75% discount, the Council continues to offer further support to those who can demonstrate financial hardship. It has funds of £20k set aside and is prepared to increase this amount should the need arise.

The Council also provides some budgeting and financial advice and has a contract with Citizens Advice Rutland to provide more specialist support if needed.

The Council will be seeking views on the Council tax increase proposal as part of its budget.

14 COMMUNITY SAFETY IMPLICATIONS

14.1 There are no community safety implications.

15 DATA PROTECTION

15.1 A Data Protection Impact Assessments (DPIA) has not been completed because there are no risks/issues to the rights and freedoms of natural persons.

16 HEALTH AND WELLBEING IMPLICATIONS

16.1 There are no health and wellbeing implications.

17 CONCLUSION AND SUMMARY OF REASONS FOR THE RECOMMENDATIONS

17.1 The Council is required to set a balanced budget and agree the level of Council tax for 21/22.

17.2 The draft budget for consultation is affordable within the context of the MTFP but

relies on a significant contribution from reserves which is not sustainable in the medium term.

18 BACKGROUND PAPERS

18.1 There are no additional background papers to the report.

19 APPENDICES

NB: ONLY APPENDIX 1 IS INCLUDED IN THIS REPORT. OTHER APPENDICES REMAIN UNCHANGED FROM THE DRAFT BUDGET REPORT (08/2021)

| | |
|--------------|---|
| Appendix 1 | Medium Term Financial Plan and assumptions |
| Appendix 2 | Restated budget |
| Appendix 3 | Earmarked Reserves |
| Appendix 4.1 | People Directorate – functional analysis |
| Appendix 4.2 | People Directorate – subjective analysis |
| Appendix 5.1 | Places Directorate – functional analysis |
| Appendix 5.2 | Places Directorate – subjective analysis |
| Appendix 6.1 | Resources Directorate – functional analysis |
| Appendix 6.2 | Resources Directorate – subjective analysis |
| Appendix 7 | Capital |

Appendix 1 – Medium Term Financial Plan

| | 2021/22 | 2022/23 | 2023/24 | 2024/25 | 2025/26 | 2026/27 | 2027/28 |
|--|---------------------|---------------------|---------------------|---------------------|---------------------|---------------------|---------------------|
| | £ | £ | £ | £ | £ | £ | £ |
| People | 20,236,900 | 22,023,370 | 22,688,639 | 23,372,604 | 24,076,442 | 24,800,644 | 25,548,822 |
| Places | 14,662,700 | 14,577,197 | 14,996,175 | 15,427,341 | 15,872,355 | 16,329,592 | 16,800,635 |
| Resources | 7,334,400 | 7,392,394 | 7,520,457 | 7,651,494 | 7,785,928 | 7,922,885 | 8,062,889 |
| Covid Cost | 724,436 | 0 | 0 | 0 | 0 | 0 | 0 |
| Covid Grants | (724,436) | 0 | 0 | 0 | 0 | 0 | 0 |
| Pay Inflation Contingency | 100,000 | 452,400 | 810,400 | 1,174,700 | 1,545,500 | 1,923,000 | 2,307,400 |
| Housing growth costs | 0 | 146,300 | 292,600 | 438,900 | 585,200 | 731,500 | 877,800 |
| Needs Management | 273,900 | 555,400 | 844,800 | 1,142,200 | 1,448,000 | 1,762,300 | 2,085,400 |
| Net Cost of Services | 42,607,900 | 45,147,061 | 47,153,071 | 49,207,239 | 51,313,425 | 53,469,921 | 55,682,946 |
| Capital financing and related items | (1,071,357) | (1,071,357) | (1,071,357) | (1,071,357) | (1,071,357) | (1,071,357) | (1,071,357) |
| Net spending | 41,536,543 | 44,075,704 | 46,081,714 | 48,135,882 | 50,242,068 | 52,398,564 | 54,611,589 |
| Resources | | | | | | | |
| Government funding subtotal | (10,715,251) | (11,156,241) | (11,296,586) | (11,720,279) | (12,145,049) | (12,145,049) | (12,145,049) |
| Council Tax/Social care precept | (28,585,226) | (29,975,698) | (31,431,622) | (33,050,886) | (34,749,328) | (36,530,688) | (38,398,880) |
| Collection fund Deficit/(Surplus) | 160,000 | 0 | 0 | 0 | 0 | 0 | 0 |
| Total available Resources | (39,140,477) | (41,131,939) | (42,728,208) | (44,771,165) | (46,894,377) | (48,675,737) | (50,543,929) |
| Earmarked Reserve | (1,287,600) | (230,000) | (230,000) | 0 | 0 | 0 | 0 |
| Use of General Fund Balances | 1,108,466 | 2,713,765 | 3,123,507 | 3,364,717 | 3,347,691 | 3,722,827 | 4,067,660 |
| Balance brought forward | (9,181,899) | (8,073,433) | (5,359,668) | (2,236,162) | 1,128,555 | 4,476,246 | 8,199,073 |
| Balance carried forward | (8,073,433) | (5,359,668) | (2,236,162) | 1,128,555 | 4,476,246 | 8,199,073 | 12,266,733 |
| Earmarked Reserve Balance B/Fwd | (5,724,469) | (4,471,469) | (4,241,469) | (4,011,469) | (4,011,469) | (4,011,469) | (4,011,469) |
| Earmarked Reserve Balance C/Fwd | (4,471,469) | (4,241,469) | (4,011,469) | (4,011,469) | (4,011,469) | (4,011,469) | (4,011,469) |

*Includes £34,600 from section 106 not included within the reserve balances

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CABINET

16th February 2021

SCHOOLS' CAPITAL PROGRAMME

Report of the Director of Children's Services (Interim)

| | | |
|--------------------------------|--|---|
| Strategic Aim: | Delivering sustainable development | |
| Key Decision: Yes | Forward Plan Reference: FP/250920 | |
| Exempt Information | No | |
| Cabinet Member(s) Responsible: | Mr D Wilby, Portfolio Holder for Lifelong Learning, Early Years, SEND, Inclusion, Safeguarding Children & Young People | |
| Contact Officer(s): | Dawn Godfrey, Interim Director Children's Services | 01572 758358 dgodfrey@rutland.gov.uk |
| | Robert Shore, Schools Capital Programme Manager | 01572 720985 rshore@rutland.gov.uk |
| Ward Councillors | | |

DECISION RECOMMENDATIONS

That Cabinet:

1. Approves the initiation of the Schools' Capital Programme Project and the related documentation comprising Project Initiation Document (PID), Programme and Project Board Terms of Reference as attached at Appendices C, D and E
2. Notes the contents of the of the Risk & Issues Log and associated Programme Timetable as attached at Appendix B
3. Notes the budget available to support the projects, paragraph 7.1
4. Recommends to Council the approval of the Schools' Capital Programme and related documentation up to a maximum value of £5.5m
5. Authorises the Interim Director for Children's Services to commence the Schools' Capital Programme and associated structures to enable the local authority to meet its statutory obligation to provide sufficient secondary schools places within Rutland.
6. Delegates authority to the Interim Director for Children's Services and Portfolio Holder for Lifelong Learning, Early Years, SEND, Inclusion, Safeguarding Children & Young People to enter into the funding agreement.

1 PURPOSE OF THE REPORT

- 1.1 To brief Cabinet on the Schools' Capital Programme and agree project initiation to enable the local authority to meet its statutory obligation to provide sufficient secondary schools places within Rutland. This will be achieved by expanding Catmose College, Oakham to deliver additional places through the development of an 8 Form Entry Secondary School.
- 1.2 To gain Cabinet approval to recommend to Council the approval of the Schools' Capital Programme project initiation up to a maximum value of £5.5m.

2 BACKGROUND AND MAIN CONSIDERATIONS

- 2.1 Under the Education Act 1996 Section 14 the Local Authority has statutory functions in respect of provision of primary and secondary schools. These include:

- *A local authority shall secure that sufficient schools for providing primary education and secondary education are available for their area.*
- *A local authority in England shall exercise their functions under this section with a view to*

- (a) securing diversity in the provision of schools, and*
- (b) increasing opportunities for parental choice.*

The law requires the Local Authority to admit pupils irrespective of the Local Authority in which they live which means that preference cannot be made for Rutland residents, with admission to schools reflecting their own admission arrangements and oversubscription criteria.

- 2.2 There is significant pressure at secondary level both now and in the future. Cabinet approved the undertaking of a two-stage feasibility study for school expansion across all the secondary provision in Rutland in February 2020. RCC commissioned NPS Groupⁱ (NPS) to complete this study and the work was comprised of two stages:
- Stage 1 study examining possibilities for expansion at the three Rutland Secondary school sites
 - Stage 2 study scoping options for the preferred Secondary site
- 2.3 Cabinet received the Stage 1 study (report 93/2020) on 31 July 2020 and approved the need to progress to the Stage Two Feasibility Study for school expansion at the preferred site of Catmose College, Oakham.
- 2.4 The Stage Two Feasibility Study has been completed, which identified Catmose College as the favoured site because of the current conditions of the existing modern new-build school and this would consolidate the investment that has already been made in recent extensions on the site, with fewer potential planning constraints than at the other two secondary school sites.
- 2.5 The site is centrally located within the County which is reflected in most admissions for this school being from Rutland families and would therefore more readily address Rutland's pupil place sufficiency need.

- 2.6 The Stage 2 feasibility study identified two options for expansion at Catmose College, both utilising the area currently occupied by Brightways as well as a new build extension (**Appendix A**).
- 2.7 Relocating Brightways from the Catmose College site frees space and is the only realistic option to provide the required expansion within the capital envelope available. The Brightways facility will be relocated to another site within the Council’s existing portfolio. Funding for this move will be drawn from the overall capital schools programme funds and form part of the project.
- 2.8 The Catmose project enables the Brightways service to modernise and gives the service the ability to increase bespoke and personalised support packages. This will increase access to exciting and engaging day opportunities for service users with a focus on early access to support and maximising independence and health and wellbeing away from the current building’s constraints.
- 2.9 Expansion is required by September 2022. Whilst it is possible for the Brightways area to be ready by this date, the new build will not be completed until 2023. However, this will still allow the College to expand to 8 form entry in September 2022 for Year 7 as required.
- 2.10 The overall capital available is £5.5m; this consists of a combination of basic needs funding and schools’ capital maintenance monies. The programme will be managed using RCC project management control methodologies to ensure that it comes in on budget, in scope and on time.

3 KEY RISKS

- 3.1 As per the Council’s agreed project management framework, this project was analysed against the risk matrix and it was deemed a Very High-Risk project.
- 3.2 A risk, action and issues log has already been established to manage emerging risks/issues swiftly and ensure mitigation is in place (**Appendix B**). This identifies the three key risks as being costs, delivery of additional places and the timeline for delivery:

| RISK | MITIGATION |
|---|--|
| Costs overrun - there is a risk that the site chosen to progress applies to RCC for additional funding (over that Granted) to manage any overspend. | The Grant Covenant will set out the limits of the funding. This will not fully mitigate the risk of the situation arising but will clearly set out that no additional funds are available. Funding will be released in phases and only once each phase is satisfactorily completed. Legal agreement will cover this. |
| The school site must be capable of delivering additional numbers within the agreed budget. | Provision specification is in development and commitment to use the space to be built to deliver the provision to form part of the legal governance agreement. |

| | |
|--|--|
| <p>Risk that the programme is either delayed or negatively impacted.</p> | <p>Project board to be established to ensure that expectations are clearly defined and delivered. Stage 2 report includes a Gantt chart which clearly shows completion of internal works in time to allow for 2022 intake and external works in time for 2023. This will allow us to have full 8FE as planned.</p> |
|--|--|

3.3 The risks and issues log is overseen by the Schools' Capital Programme Board and was updated at the programme board meeting on 13 January 2020.

4 PROJECT MANAGEMENT

4.1 This project requires a full governance structure, a dedicated Programme Manager and approval by Council.

4.2 A programme initiation document has been completed which outlines the full governance structure, project requirements, inter dependencies and budget constraints – **Appendix C**.

4.3 **Schools' Capital Programme Board (Appendix D)** has been established to manage and oversee the overall project objectives and ensure there is proper financial control. The programme board includes the Leader, Portfolio Holder and is chaired by the project sponsor (Interim Director of Children's Services). The Board has agreed all project documentation and will report into the Strategic Management Team and to members through Cabinet and Scrutiny. This board will release the budget to pay for each stage e.g. to pay for upfront costs, after the design phase, and after each milestone in the construction contract. A key responsibility of the Board is to oversee the identified risks and issues and ensure the right level of mitigation is in place.

4.4 As per the agreed governance process, the programme board will report to Cabinet at each major milestone stage for agreement to proceed to the next phase. It is envisaged that these will include tender stage, design and build stages. Cabinet will not be approving the detail of any design or build, but rather confirming they are satisfied that each phase has met its stated objectives within budget, with manageable risks so that it can move to the next phase.

4.5 **Catmose College (Campus) Project Board (Appendix E)** - the existing Catmose Campus Board will also be the Project Team for the school expansion. This ensures the right level of decision making and will report to the Rutland County Council Schools' Capital Programme Board as required (through updates and exception reporting and presentation of risk and issues logs and management of the change control process). This project team will effectively allocate and manage resources for the project including determining how to contract alongside the design and build. The project team will monitor the budget position and take responsibility for ensuring the Project remains in scope, on time and in budget.

4.6 RCC Property and Finance representatives and the Programme Manager will be members of the Project Team, alongside the relevant portfolio holders.

4.7 These governance arrangements will be underpinned by a legal agreement that

defines the deliverables to the trust and the budget to complete.

- 4.8 **RCC Brightways Project Board** – internal RCC project board to oversee relocation, consultation and costs. This will be a sub-group of the Schools' Capital Programme Board due to interdependency.

5 CONSULTATION

- 5.1 The Portfolio Holder and Interim Director have met with each of the respective head teachers who have all confirmed they are generally content with the conclusion of the feasibility studies.
- 5.2 NPS also undertook consultation with Catmose College, Casterton College and Uppingham Community College as part of Phase 1 of the Feasibility Study.
- 5.3 Catmose College Trustees Board have approved in outline the Terms of Reference for the project at their meeting on 8 October 2020.
- 5.4 Consultation has taken place with the current users of Brightways services. The outcome of this consultation was positive and the new day opportunities service is being co-designed to ensure it reflects the needs and aspirations of this group of adults.

6 ALTERNATIVE OPTIONS

- 6.1 There are no other alternative options that are available within the cost envelope which would enable expansion of secondary places in Rutland Schools as confirmed by the Stage 1 feasibility study.

7 FINANCIAL IMPLICATIONS

- 7.1 The overall education capital funding available is £5.5m; this consists of a combination of Basic Needs Funding and other Schools' Capital monies.
- 7.2 The Basic Needs Funding is ring-fenced and must be spent on increasing places within Rutland schools. Pre 2012/13 Schools capital funding was received to improving school property.
- 7.3 This project would utilise all the Basic Needs Funding that the Council is holding, but currently, there are no other demands on school places that require funding.
- 7.4 Any capital relocation/adaptation costs of moving Brightways from the Catmose Campus because of this capital programme will be met from education capital funding. The Council has previously used Basic Need Funding as part of the Children's Centre relocation to provide additional places at Catmose.
- 7.5 Payment of monies shall be subject to the Schools' Capital Programme Board approving all requests for the drawdown of instalments and will require a cost schedule from the Trust about how much and when it is required.

8 LEGAL AND GOVERNANCE CONSIDERATIONS

- 8.1 The Schools' Capital Programme has been set up in line with the Council's agreed

project management framework as detailed above.

- 8.2 A legal agreement between RCC and Catmose College Academy Trust will be enacted which defines the deliverables to the trust and sets out the total funding available to achieve the project aims. This includes; procurement and tendering costs, project management capacity, construction on site (detailed in a contract of works) and fit out costs and which will include an industry standard contingency amount to cover set variations that are likely to occur over the life of the construction phase. The agreement is explicit that the amount of the monies available shall not be increased in the event of any overspend by the Recipient (Catmose College Academy Trust) in its delivery of the Project.
- 8.3 Project management methodologies will be employed to manage costs and any proposed variation to the Programme including a Risk, Issue and Dependency log and a detailed change control process overseen by the Programme Board will be employed where matters of Cost, Scope, Time or Quality fall outside the contingency sums allowed.
- 8.4 Contingency costs are built into the works contract and any additional contingency action arising will be immediately flagged in writing using the change control process which is explained at the start of the programme to all parties.
- 8.5 This agreement includes the expectation that Catmose College will enter a building contract with the procured contractor for the refurbishment works and the construction of the new classrooms and associated facilities to provide for increased capacity required. The general approach for projects of this kind is for that building contract to be on a design and build basis under which the contractor will carry out the bulk of the design for the works which it will then carry out.
- 8.6 Included in the legal agreement are the forms of collateral warranty which the building contractor will either need to provide or obtain. We are advised that the warranties which would be most appropriate for the Council would be those to be given to a funder as essentially the Council is acting as the funder of the overall project. A funder form of warranty will usually include so called "step in rights". This means if a contractor is in breach of its obligations under the Building Contract, the Council (as funder) can claim its loss directly from the contractor who caused that loss. This also allows RCC to step in if the Programme Board is concerned about the effective management of a contractor by Catmose.
- 8.7 The matter of the legal agreement has been sent to external solicitors. This provides many clauses regarding the proper use of the grant and appropriate conduct.
- 8.8 Senior Officers acting on professional legal advice will approve the final document. The project will not be fully initiated until the legal agreement is fully completed and signed by all parties.

9 DATA PROTECTION IMPLICATIONS

- 9.1 A Data Protection Impact Assessments (DPIA) has not been completed.

10 EQUALITY IMPACT ASSESSMENT

- 10.1 An equality impact assessment has been carried out and has been approved.

11 COMMUNITY SAFETY IMPLICATIONS

11.1 None identified.

12 HEALTH AND WELLBEING IMPLICATIONS

12.1 None identified.

13 ENVIRONMENTAL IMPLICATIONS

13.1 Key sustainability features have been considered as part of the Stage 2 feasibility study. However, the key measures to address sustainability and environmental impact will be incorporated at the design stage. These will form a key part of any planning application.

14 CONCLUSION AND SUMMARY OF REASONS FOR THE RECOMMENDATIONS

14.1 It is recommended that Cabinet approves the initiation of the Schools' Capital Programme project and the related documentation, and also recommends to Council the approval of the Schools' Capital Programme project up to a maximum value of £5.5m.

14.2 It is further recommended that Cabinet authorises the Interim Director for Children's Services to commence the Schools' Capital Programme and associated structures in order to enable the local authority to meet its statutory obligation to provide sufficient secondary schools places within Rutland and delegates authority to the Interim Director for Children's Services and Portfolio Holder for Lifelong Learning, Early Years, SEND, Inclusion, Safeguarding Children & Young People to enter into the funding agreement.

15 BACKGROUND PAPERS

15.1 Cabinet Report 93/2020

16 APPENDICES

16.1 Appendix A – Stage 2 Feasibility Study

16.2 Appendix B– Risks and Issues Log

16.3 Appendix C – Project Initiation Document

16.4 Appendix D – Schools' Capital Programme Board Terms of Reference

16.5 Appendix E – Project Board Terms of Reference

A Large Print or Braille Version of this Report is available upon request – Contact 01572 722577.

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STAGE

01

FEASIBILITY REPORT - PHASE 2

RUTLAND SECONDARY SCHOOL'S EXPANSION | CATMOSE COLLEGE

179



| | |
|--------------------|---|
| SITE | CATMOSE COLLEGE Huntsmans Drive Oakham LE15 6RP |
| DATE | 14th December 2020 |
| DESCRIPTION | Strategic definition Report |
| CLIENT | Rutland County Council |
| ORIGINATOR | John Drewery/Amolak Dhanjal |
| AUTHORISER | Amy Leader |
| ISSUE | 1 - For comment |

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1.0 EXECUTIVE SUMMARY

Introduction

Rutland County Council is responsible for providing sufficient school capacity within its administrative area to meet the predicted growth in demand for pupil places. This commission leads on from the Phase 1 studies which explored the potential for expansion at Catmose College, Casterton College and Uppingham College. On 31st July 2020 RCC cabinet approved the recommendation to undertake Stage Two of the feasibility study for school expansion at the preferred site of Catmose College, Oakham to deliver additional places through the development of an 8 Form Entry secondary school as identified in the Phase 1 study.

This study develops the selected Option 4 to expand Catmose College from a 7FE school to an 8FE entry school through remodelling of the Brightways Centre and a new build extension.

The scope of works for this study is based on the following:

- a. A review of available information
- b. Developing architectural sketch proposals for the expansion options
- c. Provision of a wider understanding of the overall condition of the asset.
- d. Developing strategies for mechanical & electrical, structural and sustainability approaches
- e. Analysis of site constraints and opportunities
- f. Cost estimates for the expansion options
- g. Identification of key risks including planning risk and potential implications for project performance
- h. Analysis of external areas in accordance with current guideline
- i. Developing procurement strategy and programme

The relocation of Brightways Day Centre is to be managed by Rutland County Council.

Background

Catmose College is an oversubscribed secondary academy in Oakham, Rutland. The catchment area is predominantly from Oakham and surrounding villages but pupils choose to attend from across the county.

Catmose College was designed by EllisMiller Architects in 2011 as a new build 6FE 11-16 Secondary School with all accommodation provided in a single 2 storey building. Constructed during the Building Schools for the Future programme, the accommodation provided complied with the requirements in BB98, for a net capacity of up to 945 pupils.

Current provision

The school has expanded to 7FE by carrying out internal alterations. This is the limit to expansion without new accommodation and does not provide sufficient laboratory provision, 8 are re-

quired for a 7FE 11-16 secondary and at present there are only have 6 laboratories.

The area required for expansion has been determined by the shortfall in the accommodation based on the area comparison schedules. See pages 6—9.

The building is in good condition and being well maintained. Modifications have been made to the original building particularly in the area between the visitor entrance and the student entrance. The mezzanine floor has been converted for designated special provision area. A separate 1960s building previously used as a nursery has been converted to offices and a conference area.

Issues highlighted by the college at our second meeting include:

- Assembly area not big enough for 8FE 240 pupil year assembly – max 210 at present (one year each lunch time) the drama space is also in use at lunch times and so cannot be made available for expansion of the assembly area. Addition of an Activity Studio to provide a suitable alternative drama facility at lunch times would solve this issue.
- Shortage of science provision for current 7FE is an issue at present.
- Dining, the area added previously is for Harrington School pupils and provides for both dining and social use, this was entirely funded by the Academy trust and should not be included in the area comparison for 11-16 provision.

- The pupils toilets have not been added to for the increase to 7FE intake, the new facilities should address the shortfall for the full intake increase from 6FE – 8FE

Note: These are not necessarily reflected in the accommodation analysis

The school site

The school site is rectilinear in shape, accommodating the purpose-built school with play areas and sports fields to the rear (west & north) with access, parking and public areas to the front (South & East). The external areas are comprised of soft & hard recreation areas, a four court MUGA, playing fields including a full-size all-weather pitch and a habitat area with balancing pond. These are sufficient for the current pupil role and can accommodate expansion as the all-weather surface counts as double area.

Developed Design

In developing the design, 2 meetings were held with the College Principal. At the first meeting sketch plans for conversion of Brightways and sketch plans for a new 2 storey block in location B were presented for feedback from the college. These sketch plans have been labelled Option 1 and can be found in the report. The Principal stated that they wanted proposals that reflected the ethos of the college of self-contained faculties with classrooms arranged around a shared study area. An alternative location for the new block was also proposed in location D behind the sports hall. NPS took the comments on board and developed sketch proposals for a second meeting. The outcome of the second meeting are the sketch proposals labelled Option 2. This option is the college's preferred option.

The O & M Manuals were obtained and reviewed for design purposes. A more detailed condition was carried out which revealed minor

issues requiring attention. The full condition report can be found in Appendix I of this report.

For the proposed structural option we would recommend a frame either in concrete or in timber. The timber option being the more sustainable option. It has not been possible to determine the type of foundations at this stage. A full site investigation would be required in the next design stage. They are likely to be shallow concrete foundations.

Mechanical and electrical strategy is to install energy efficient systems. The full mechanical and electrical report can be found in Appendix D. LED lighting is recommended. Gas fired heating and hot water is recommended with under floor heating and mains fed water system. Mechanical ventilation with heat recovery (MVHR) is seen as the most energy efficient. In the remodelled Brightways area it is proposed to modify the existing systems, but to replace the lighting with new LED lights.

The sustainability statement in Appendix E takes a holistic view and sets measures that could be considered to achieve a sustainable development. A fabric first approach is recommended with consideration to renewable energy production. Photovoltaic panels on the roof of the new block are proposed.

Cost

An all-inclusive budget of £5.25m for the expansion works has been allocated by Rutland County Council. The preferred option has been costed and the total cost of this option is estimated to be £5,515,300.00 This is over budget by £265,300.00. It is feasible to expand Catmose College for the budget, but value engineering is required. VE options are set out in the conclusion on page 30.

Programme & Procurement

Expansion is required for September 2022. Whilst it will be possible for the Brightways area to be ready for this date, the new building won't be completed. Design and build procurement is recommended to reduce the overall delivery time.

2.0

REVIEW OF AVAILABLE INFORMATION

2.1 ACCOMMODATION COMPARISON

The accommodation comparison of existing provision against EFSA current Schedule of Accommodation for a 8FE 11-16 school has been reviewed; adjustments have been made to the phase 1 schedule based on the schools feedback to the stage 1 feasibility where 7 FE expansion alterations have already been made and incorporating slight revisions to the ESFA's SOA version 7.4.

RCC have advised that the Brightways services are to be relocated making this area available to the school for remodelling to provide additional teaching space.

Review of other available information

Copies of the O & M manuals were obtained from the college. These were reviewed in the development of the sketch proposals, the structural and mechanical and electrical strategies.

COMPARISON AREA SCHEDULE
BASED ON ESFA SCHEDULE OF ACCOMMODATION FOR ANY MAINSTREAM SECONDARY SCHOOL - TYPICAL CURRICULUM
Version 7.4 MaY 2019

| Accommodation | 8FE 1200 pupils | | Catmose College Existing | | | Required | | Achieved | |
|--|-----------------|--------------------|--------------------------|--------------------|------------------------------|--------------|--------------------|----------|------------|
| | No of spaces | Area of space (m2) | No of spaces | Area of space (m2) | | No of spaces | Area of space (m2) | | |
| Net Area | | | | | | | | | |
| Basic Teaching | | | | | | | | | |
| General Classrooms | 30 | 55 | 16 | 61 | 26 suitable classroom spaces | 4 | 55 | 4 | 55 |
| | | | 7 | 56 | | | | | |
| | | | 2 | 64 | | | | | |
| | | | 2 | 38 | | | | | |
| | | | 2 | 78 | return to DSP use | | | | |
| ICT / Business | 3 | 62 | 1 | 130 | 1 to return to DSP use | | | -1 | 78 |
| English Resource IT Area | | | | | existing could be subdivided | 1 | 62 | 2 | 62 |
| Science | 9 | 83 | 6 | 85 | | 3 | 83 | 3 | 85 |
| Art (General Art room) | 1 | 83 | 1 | 143 | | | | | |
| Art (3D Art room) | 2 | 97 | 1 | 106 | | | | | |
| Art Gallery | | | 1 | 90 | | | | | |
| Music | 2 | 62 | 1 | 62 | | | | | |
| | | | 1 | 79 | | | | | |
| Drama | 1 | 90 | 1 | 84 | | | | | |
| | | | 1 | 115 | | | | | |
| Design Technology | | | | | | | | | |
| RM Workshop | 2 | 97 | 1 | 122 | | 1 | 97 | 1 | 104 |
| Food | 2 | 97 | 1 | 123 | | 1 | 97 | 1 | 104 |
| Graphics / Products | 1 | 83 | 1 | 106 | | | | | |
| Constructional Textiles | 1 | 83 | 1 | 106 | | | | | |
| Total Area | | 3628 | | 3520 | | | 725 | | 729 |
| Large Spaces | | | | | | | | | |
| Main Hall | 1 | 226 | 1 | 205 | | | | | |
| Sports Hall | 1 | 594 | 1 | 629 | | | | | |
| Activity Studio | 1 | 150 | 1 | 108 | | | | | |
| Dining & Social | | 321 | 1 | 265 | extension desirable | | 56 | | |
| (shared with Harington school - post 16) | | | 1 | 215 | | | | | |
| Stepped Gallery | | | 1 | 111 | | | | | |
| Refectory | | | 1 | 60 | | | | | |
| Total Area | | 1291 | | 1593 | | | 56 | | 0 |

REVIEW OF AVAILABLE INFORMATION

2.1 ACCOMMODATION COMPARISON

2.0

| Accommodation | 8FE 1200 pupils | | Catmose College Existing | | Required | | Achieved | | |
|-------------------------------|-----------------|--------------------|--------------------------|--------------------|---------------------------------|--------------------|----------|----------|------------|
| | No of spaces | Area of space (m2) | No of spaces | Area of space (m2) | No of spaces | Area of space (m2) | | | |
| Learning Resources | | | | | | | | | |
| Library resource centre | 1 | 153 | 1 | 231 | | | 66+18+34 | 118 | |
| Kiln room | 1 | 4 | 1 | 5 | | | | | |
| Music practice | 5 | 8 | 6 | 5 | | | | | |
| Music practice | 1 | 16 | 1 | 11 | | | | | |
| Recording | 1 | 8 | 1 | 19 | | | | | |
| Lighting / Sound Control | 1 | 6 | 1 | 12 | | | | | |
| SEN / support spaces | | | | | | | | | |
| Therapy / MI room | 1 | 12 | 1 | 12 | | | | | |
| Resource Base | 1 | 16 | 3 | 43 | | | | | |
| Small Group Room | 4 | 9 | - | - | | | | | |
| Large Group Room | 1 | 16 | 4 | 19 | | | | | |
| | | | | | add due to seperation of new | 2 | 9 | | |
| Total Area | | 299 | | 525 | | | | 1 | 34 |
| | | | | | | | | | 152 |
| Staff / Administration | | | | | | | | | |
| Staff workroom (with sink) | 2 | 22 | 2 | 17.5 | | | | | |
| Staff workroom | 1 | 15 | 3 | 13 | | | | | |
| Staff room (social) | 1 | 48 | 1 | 46 | | | | | |
| Conference / meeting | 1 | 20 | 1 | 22 | | | | | |
| Community entrance | 1 | 8 | | | | | | | |
| Head's office | 1 | 16 | 1 | 10 | | | | | |
| PA to Head | 1 | 8 | 1 | 19 | | | | | |
| Reprographics | 1 | 20 | 1 | 13 | | | | | |
| General Office | 1 | 41 | 1 | 42 | | | | | |
| Entrance / reception | 1 | 16 | 1 | 10 | | | | | |
| Interview room | 1 | 6 | 1 | 9 | | | | | |
| sick room | 1 | 6 | | | | | | | |
| Office (1 person) | 4 | 7 | | | | | | | |
| Office / meeting (1 person) | 7 | 9 | 2 | 11 | | | | | |
| Office (SENco) | 1 | 11 | 1 | 17 | | | | 1 | |
| Office (ICT tech) | 1 | 11 | 1 | 11 | | | | | |
| Office (premises) | 1 | 11 | | | MAT finance & premises off site | | | | |
| Total Area | | 372 | | 295 | | | | 0 | 64 |

2.0

REVIEW OF AVAILBLE INFORMATION

2.1 ACCOMMODATION COMPARISON

| Accommodation | 8FE 1200 pupils | | Catmose College Existing | | Required | | Achieved | |
|------------------------------|-----------------|--------------------|--------------------------|--------------------|--------------|--------------------|----------------------|-------------|
| | No of spaces | Area of space (m2) | No of spaces | Area of space (m2) | No of spaces | Area of space (m2) | | |
| Storage: Teaching | | | | | | | | |
| General | 5 | 6 | 3 | 8 | 1 | 6 | 1 | 2 |
| Science prep. | 1 | 90 | 2 | 35 | 1 | 26 | 1 | 38 |
| Chemical store | 1 | 7 | 1 | 16 | | | | |
| Specialist store (Art) | 6 | 5 | 2 | 15 | | | | |
| Multi-materials prep. | 1 | 41 | 1 | 39 | | | | |
| Food store/prep. | 1 | 10 | 1 | 10 | 1 | 10 | 1 | 15 |
| Specialist store (DT) | 4 | 5 | 2 | 10 | 1 | 5 | 1 | 8 |
| General store (Music) | 2 | 5 | 2 | 10 | | | | |
| Drama store | 1 | 10 | 1 | 20 | | | | |
| Food store | 1 | 5 | | | 1 | 5 | | |
| Teaching store (Library) | 1 | 3 | - | - | | | | |
| Teaching store (SEN) | 1 | 5 | 1 | 5 | | | | |
| PE store/s | 1 | 60 | 1 | 56 | | | | |
| PE store (community) | 1 | 4 | 1 | 46 | | | | |
| PE store (Activity studio) | 1 | 15 | 1 | 7 | | | | |
| PE store (external) | 1 | 8 | 1 | 5 | | | | |
| Storage: Non Teaching | | | | | | | | |
| Chair/table store (Hall) | 1 | 23 | 1 | 18 | | | | |
| Central Stock | 2 | 6 | 1 | 17 | | | | |
| Secure exam / archive | 2 | 8 | 2 | 8 | | | | |
| Wheelchair / appliance bay | 4 | 1.5 | included in circulation | | 2 | 3 | incl. in circulation | |
| Retractable seating (Hall) | 1 | 16 | 1 | 27 | | | | |
| Lockers (pupils) | 5 | 12 | 11 | 3.21 | 2 | 12 | | 15 |
| Lockers (community) | 1 | 3 | | | | | | |
| Cleaners store | 8 | 1.5 | 3 | 2.6 | 2 | 3 | 2 | 1.5 |
| Maintenance store | | 8 | 1 | 19 | | | | |
| Total Area | | 504 | | 508 | | 88 | | 81 |
| Total Net Area | | 6150 | | 6441 | | 887 | | 1026 |

REVIEW OF AVAILABLE INFORMATION

2.1 ACCOMMODATION COMPARISON

2.0

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| Accommodation | 8FE 1200 pupils | | Catmose College Existing | | Required | | Achieved | |
|---|-----------------|--------------------|--------------------------|--------------------|--------------|--------------------|-------------|------------|
| | No of spaces | Area of space (m2) | No of spaces | Area of space (m2) | No of spaces | Area of space (m2) | | |
| Non-net Area | | | | | | | | |
| Kitchen & servery | 1 | 102 | 1 | 160 | | | | |
| Kitchen office | 1 | 4 | | | | | | |
| Kitchen dry store | 1 | 5 | | | | | | |
| Kitchen cold store | 1 | 5 | | | | | | |
| Kitchen freezer store | 1 | 3.5 | | | | | | |
| Kitchen toilet / changing | 1 | 6.5 | 1 | 8 | | | | |
| Personal care | | | | | | | | |
| Pupils changing & showers | 2 | 68 | 4 | 39 | | | | |
| Accessible / staff changing | 2 | 6 | 2 | 7 | | | | |
| Hygiene room | 2 | 12 | 1 | 11 | 1 | 12 | | |
| Pupils Toilets (suites) | 5 | 39 | - | - | | | | |
| Pupils Toilets (suites) | 2 | 6 | - | - | | | | |
| Pupils Toilets (individual) | 1 | 2 | 27 | 1.56 | 16 | 1.56 | 15 | 2 |
| Staff Toilets (suites) | 2 | 6 | 8 | 1.37 | | | | |
| Accessible / Staff toilets | 6 | 3.5 | 3 | 4.6 | | | | |
| Accessible / Pupils toilets | | | 7 | 4.6 | 2 | 4.6 | 3 | 5 |
| Plant (indicative area @ 1.9% of net area incl. ICT Hubs & risers) | | | | | | | | |
| Central plant room | 1 | 77 | | 194 | | | 1 | 15 |
| Distribution boards | 13 | 1 | 10 | 1.34 | 1 | 1 | | |
| Risers & flues | 7 | 1 | voids | 176 | 1 | 1 | | 15 |
| Server room | 1 | 15 | 1 | 12 | 1 | 3 | | |
| Circulation (@ 25.2% of net area) | | | | | | | | |
| Stairwells | 12 | 27 | | | | 54 | | |
| Lift | 3 | 4 | 5 | 4.6 | 2 | 4 | 2 | 3 |
| Main Circualtion | | 1201 | | 1832 | 25% of net | 213 | 120+183+160 | 463 |
| Partitions (4.4% of net area) | | | | | | | | |
| | | 271 | | 567 | | 38 | 13+32+21 | 66 |
| Total Non-net Area | | 2460 | | 3258 | | 364 | | 610 |

3.0

SKETCH PROPOSALS

3.1 REMODELLING, CONVERSION OF BRIGHTWAYS EXISTING RECORD PLAN

REMODELLING

Remodelling of the Brightways area was considered first to enable the final new build accommodation requirements to be determined.

The plan for this shows the formation of 4 suitable general teaching classrooms is possible in this area. The school propose that this will be utilised for Modern Foreign Languages (MFL). Various layout iterations were considered and there is scope for further adjustment in subsequent design stages. This does however result in the loss of one large classroom formed in the alterations to accommodate the expansion to 7FE.

MFL has been temporarily located in the area originally designated for DSP facilities and DSP were relocated to the mezzanine area. The school propose to relocate the DSP function back to the original location and utilise the mezzanine area to provide a less fragmented Administration facility; as the 7 FE remodelling included the formation of two general classrooms by remodelling of the central administration office. These changes do not include remodelling and have not been included in the scope of works and resulting budget.

The adjusted area schedule indicates the possible inclusion of expansion of the Dining area to enable the space to accommodate 336 pupils. This has not been included in the current scope as the school have added a further servery area by remodelling and are utilising the central stepped gallery area for snack dining. A relatively simple extension could be added into the adjacent external area. Whether this is a desirable way forward to enhance dining facilities would need further discussion should additional scope be agreed.

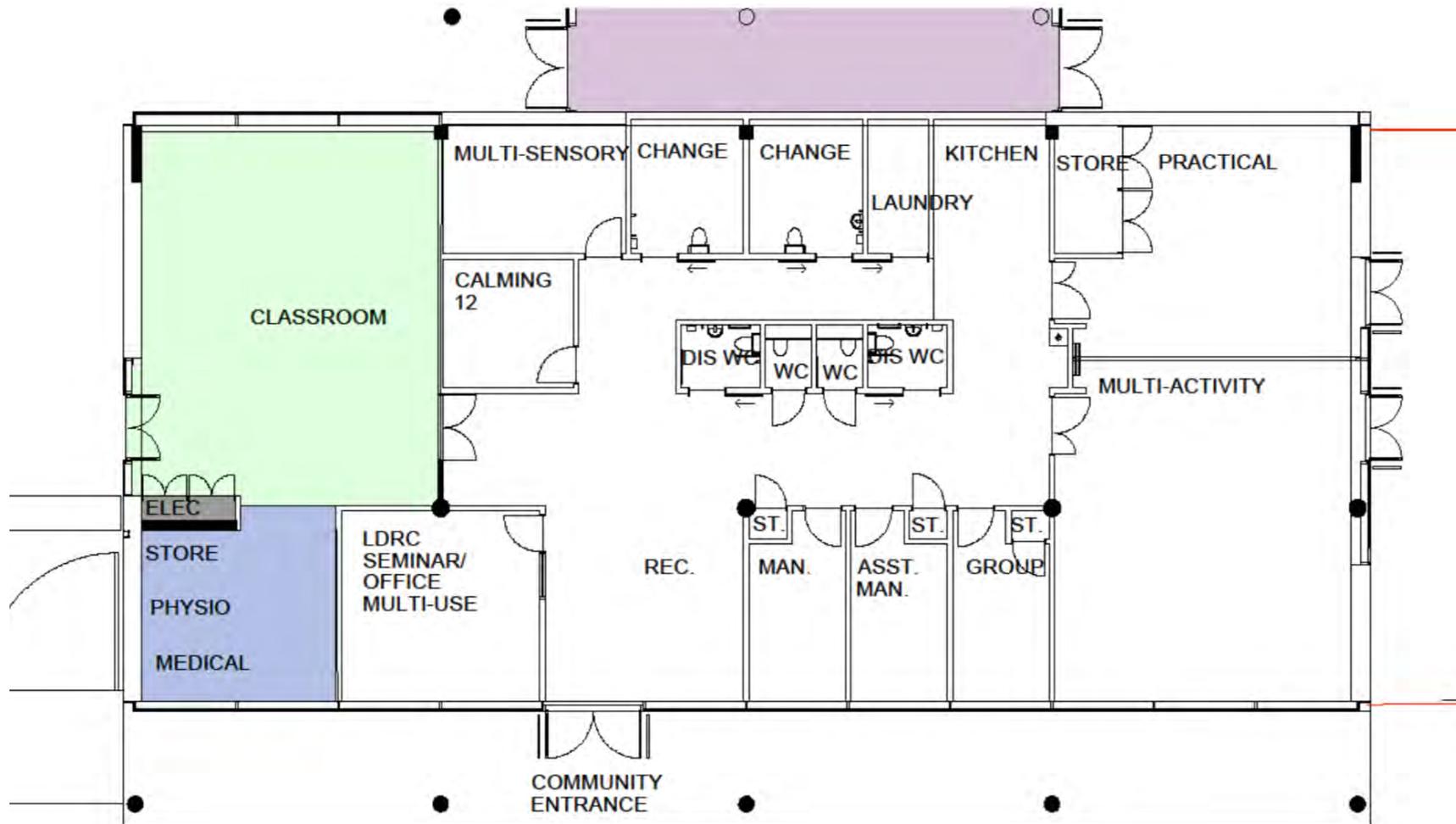
New partitions, the school prefer to use fair faced blockwork with painted finish for robustness. Where these were originally constructed of the floor slab this is acceptable. New construction from floor level could be an issue if the crushing strength of insulation below the screed is not adequate. Partitions should be restrained at the head but allow for structural deflection without load transfer they also need to be checked for stability and may require inclusion of posts to improve this. Where underfloor heating installations run through the line of proposed new partitions masonry is unlikely to be suitable. Metal or timber stud-work would be more suitable and can be clad in Fermacell board or British Gypsum 'Rigidur H' board which have much a greater strength than standard paper faced gypsum boards for improved durability and fixing applications. Where underfloor heating areas are sub-divided by new partitions sole plate fixing locations will be critical and pipe tracing essential.

SKETCH PROPOSALS

3.0

3.1 REMODELLING, CONVERSION OF BRIGHTWAYS OPTION 2

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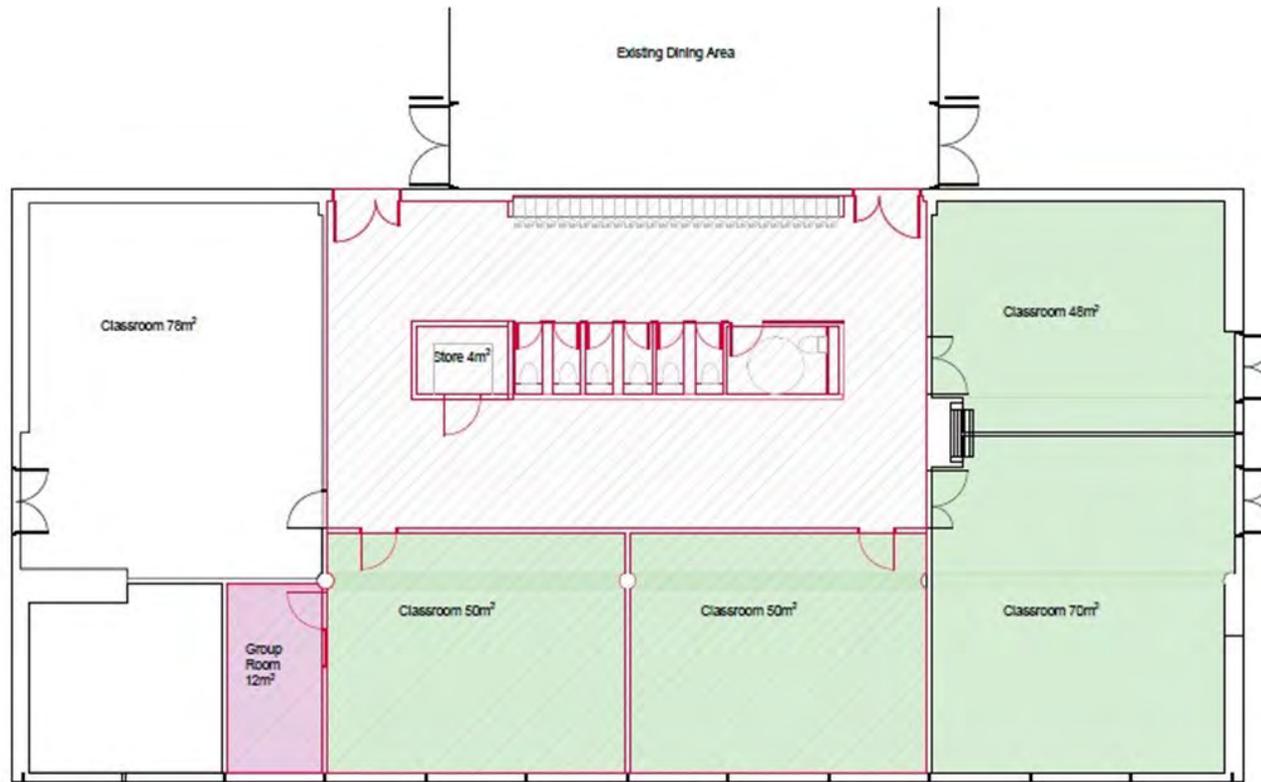
EXISTING RECORD PLAN OF BRIGHTWAYS

3.0

SKETCH PROPOSALS

3.1 REMODELLING, CONVERSION OF BRIGHTWAYS EXISTING RECORD PLAN

190

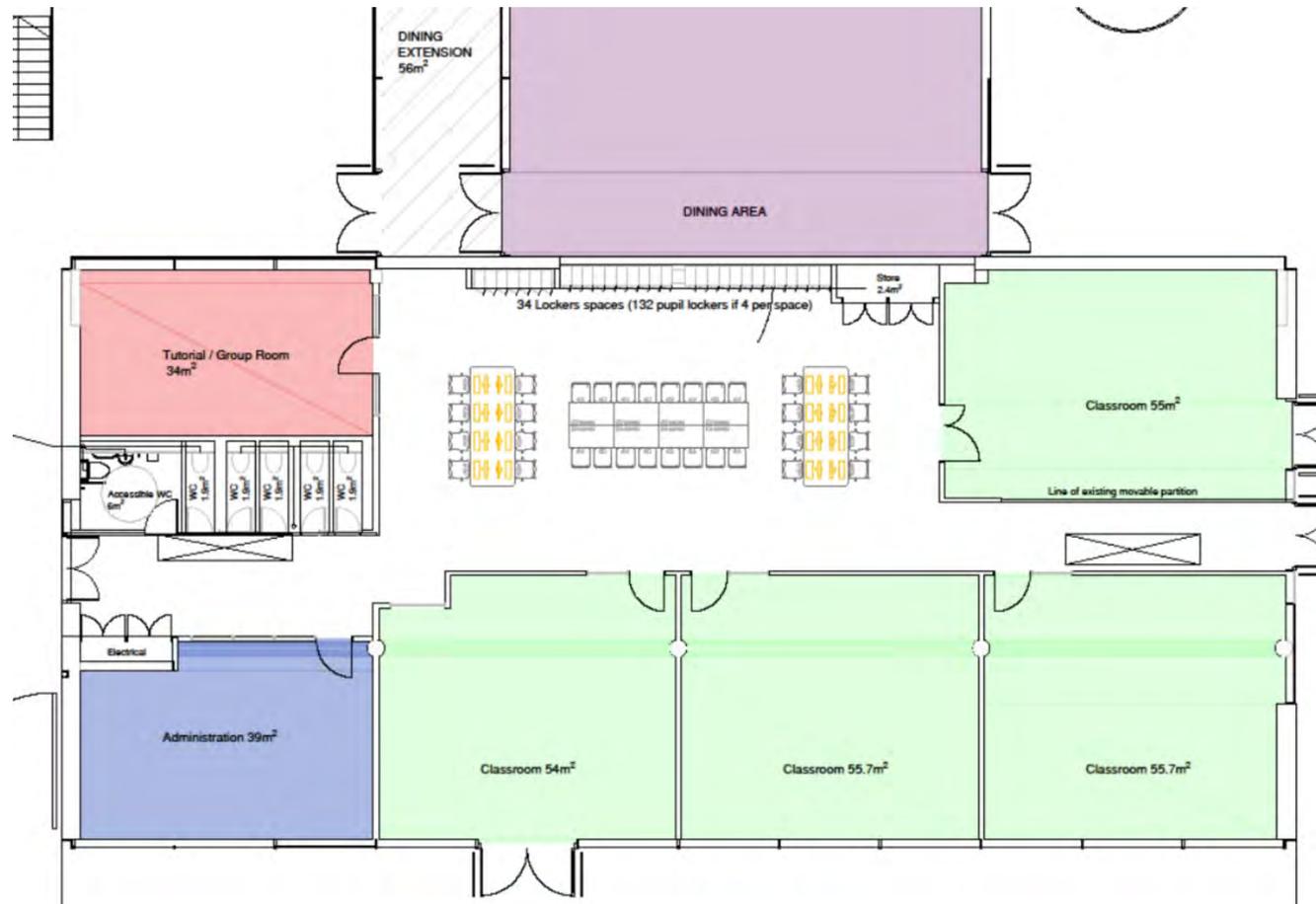


PROPOSED SKETCH OPTION 1

SKETCH PROPOSALS

3.0

3.1 REMODELLING, CONVERSION OF BRIGHTWAYS OPTION 2



PROPOSED SKETCH OPTION 2

191

3.0

SKETCH PROPOSALS

3.2 NEW BUILDING

The teaching accommodation required in the new building to complete the provision for expansion to 8FE is comprises:

- 2 classrooms of 62m² for IT/Business and general use.
- 2 DT rooms for cookery & RM workshop
- 3 Laboratories.

The Phase 1 Feasibility study identified 3 possible locations:

- A & B opposite the existing school
- C at the back of the Harrington Post 16 School

Location C was not considered suitable as it is remote from the school and this area would need to be available for future expansion of Harrington School.

Location A & B must be in close proximity with the existing school to retain the new provision within the permitted development area defined in the local plan. This restricts views out from existing teaching spaces and reduce daylight to them. To mitigate it is possible to provide the new accommodation as single storey development, reducing the daylight loss but still restricting outlook from the ground floor Art and DT rooms. Single storey would be a less cost-effective build solution and result in greater loss of external amenity space. Locations A& B enable the use of existing external first floor walkways to connect to the main school reducing the need for new stairs and a lift, the school are unhappy to increase the use of these routes for safety reasons. At present pupils are only permitted to use them for emergency evacuation.

The school suggested an alternative location to the West, opposite the end of the Sports Hall. The current proposals have adopted this as the location. Connection to existing foul drain-

age may be an issue which should be explored early in the next design stage. The proximity to the existing SUDs swales should enable roof drainage to be discharged into the swales to avoid surcharge of the main below ground storm water drainage. The new location will also result in less disturbance to teaching during the construction phase.

The new block accommodation is laid out to emulate the existing school design (a clear requirement of the senior leadership team) with teaching spaces having an adjacent shared IT area & pupil locker provision within the main circulation zone and related accommodation accessed from this central area. Pupil's WC's are separated but in close proximity to this space; lines of sight from staff areas provide good visual control of all circulation areas.

Design Technology (cookery & workshop) and 2 IT rich classrooms are provided at ground floor with related storage. The school intend to develop the new workshop as a more up to date sophisticated technology space to encourage pupils to consider engineering and design as a desirable future with CAD CAM, 3D printing and other more sophisticated equipment.

The new science provision at first floor. As the school provide double and triple science options it is most likely that the science labs will need to be usable for Biology, Physics and Chemistry. The preparation area is therefore more generous than the EFSA brief due to a greater diversity in stored materials and remoteness from existing science making some degree of duplication unavoidable.

The planning grid has been matched to the existing to enable the external appearance to be very similar.

Toilets – both floors of the new block and the alterations proposal include the provision of 5 WCs and one accessible WC. 18 in total which added to the existing pupil toilet provision of 42 gives a total of 60, a ratio of 1 for every 20 pupils which is in accordance with the old statutory requirement and current British Standard.

Pupil Lockers – each of the three new areas incorporate pupil lockers. These are to be in recesses with locker widths of 300mm and in stacks of 4 (1800mm high). The total shown at present provide more locker provision than required for the additional pupils.

SKETCH PROPOSALS

3.2 NEW BUILDING

3.0

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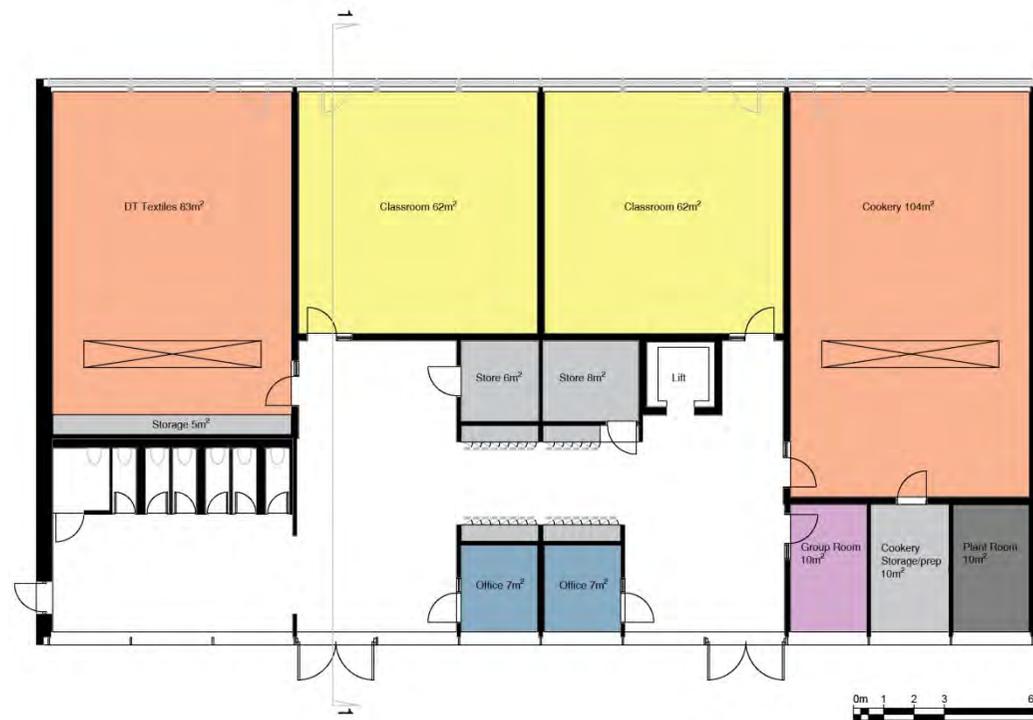


3.0

SKETCH PROPOSALS

3.2 NEW BUILDING, OPTION 1

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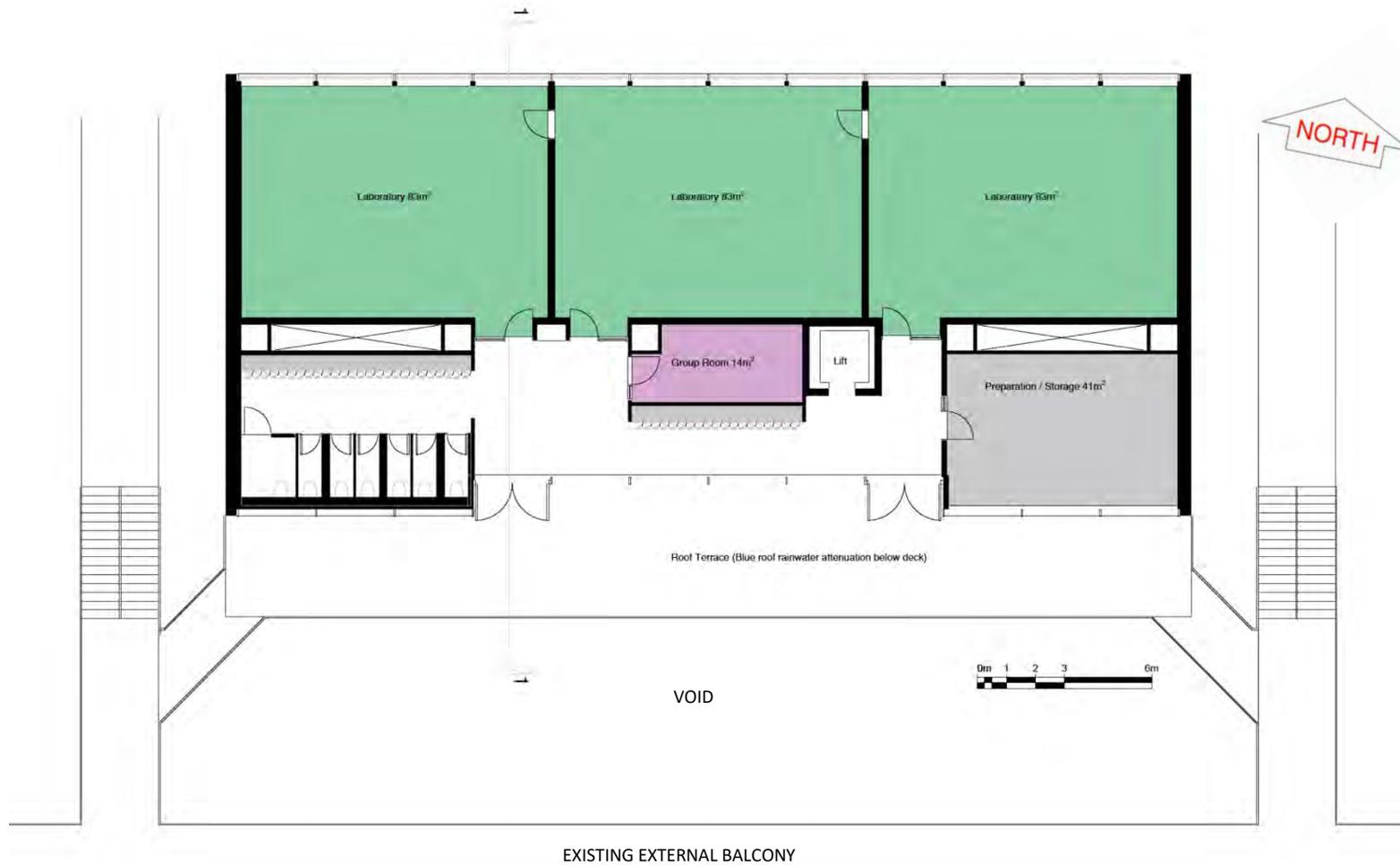
PROPOSED SKETCH GROUND FLOOR PLAN

SKETCH PROPOSALS

3.2 NEW BUILDING, OPTION 1

3.0

195



PROPOSED SKETCH FIRST FLOOR PLAN

3.0

SKETCH PROPOSALS

3.2 NEW BUILDING, OPTION 1

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CATMOSE - NEW BLOCK
SECTION 1-1

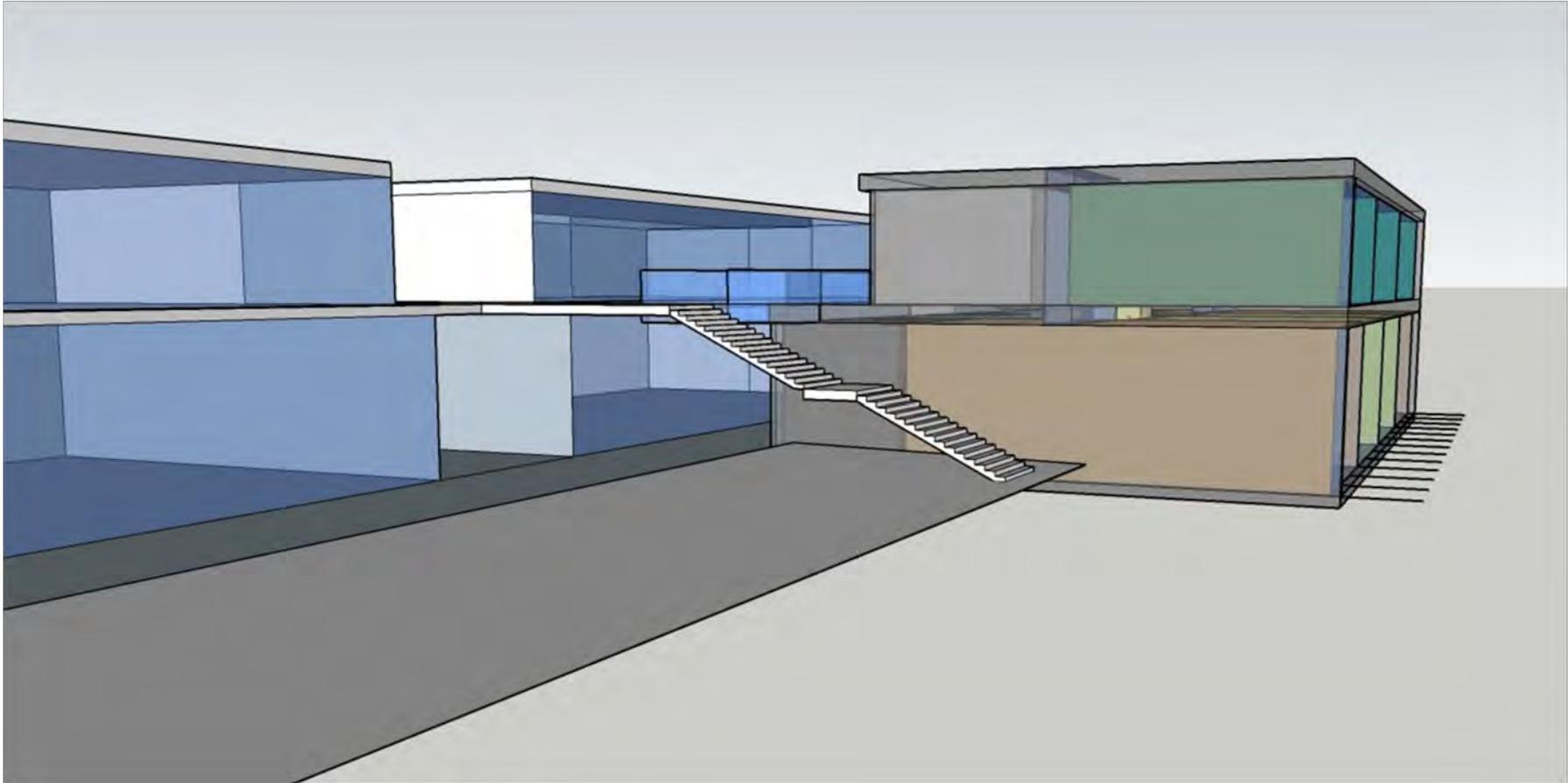


SKETCH PROPOSALS

3.2 NEW BUILDING, OPTION 1

3.0

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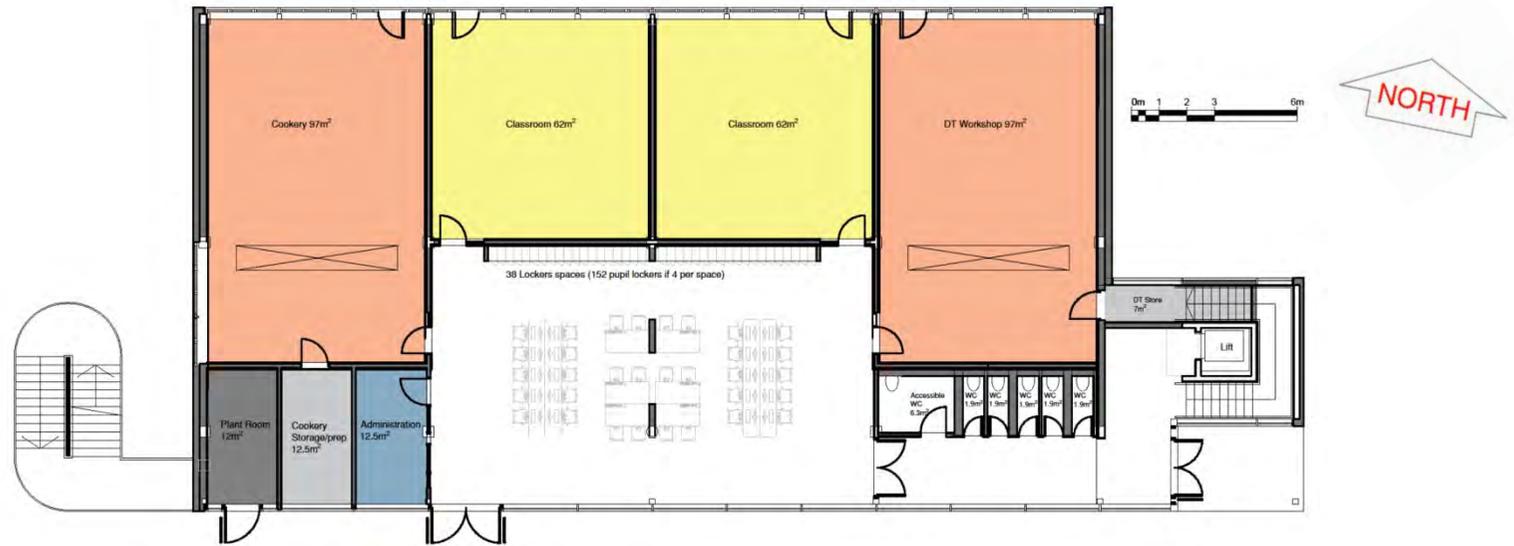
SKETCH 3D BLOCK VIEW

3.0

SKETCH PROPOSALS

3.2 NEW BUILDING, OPTION 2

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SPORTS HALL LOCATION

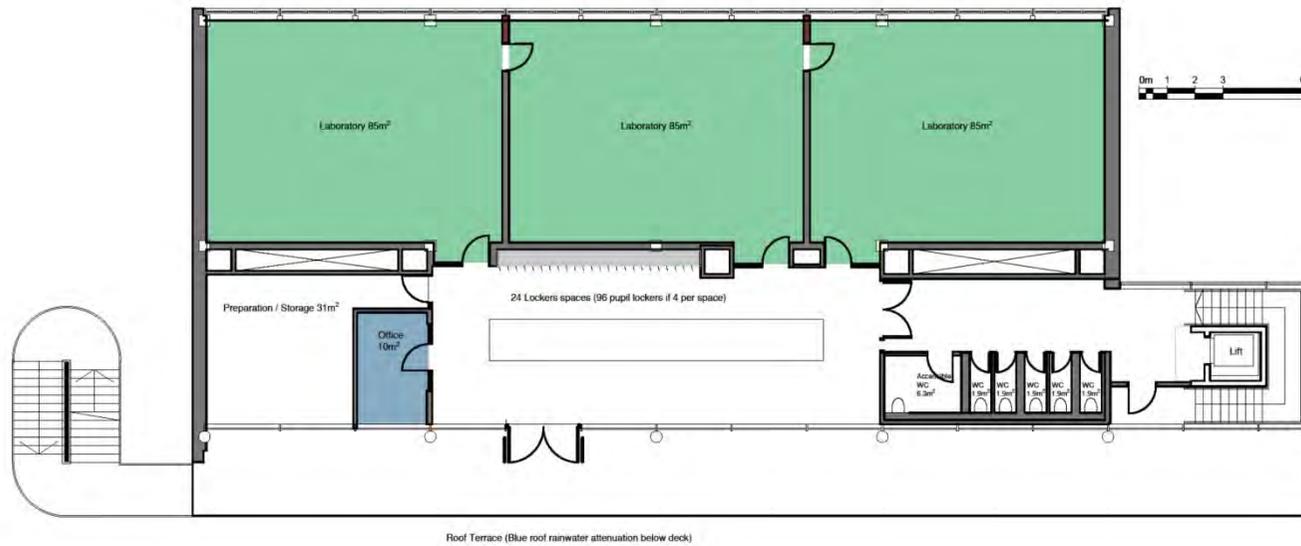
PROPOSED SKETCH GROUND FLOOR PLAN

SKETCH PROPOSALS

3.2 NEW BUILDING, OPTION 2

3.0

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PROPOSED SKETCH FIRST FLOOR PLAN

4.0

M&E, STRUCTURAL & SUSTAINABILITY APPROACHES

Mechanical Strategies

The full mechanical and electrical report can be found in appendix D of this report.

Ventilation

- Aim for an air-tight building with high thermal insulation and provide heating and ventilation with the MVHR (mechanical ventilation with heat recovery) systems and incorporate night-time purge ventilation to cool teaching spaces.
- As above but utilise NVHR (natural ventilation with heat recovery) systems. Ventive have systems that can be installed in external walls and roofs that can provide up to 5 degrees of heating and cooling gain to the spaces they serve with very low energy input (80watts per unit).

Heating

Make use of Air Source heat pumps as the primary heating source, these are not suitable for radiator solutions and the school have voiced concerns with maintenance of underfloor heating. If this is to be followed the concerns should be addressed to ensure they are not a future issue. Underfloor heating does have the disadvantage of reducing flexibility for future change however this is generally provided in secondary education by the provision of a range of different sized teaching spaces that can be timetabled to accommodate changes rather than the need to resort to remodelling.

Possibly extend the existing heating system if there is adequate capacity but would require below ground ducting, which is not very desirable under the fire / service access route.

Hot Water

Local electric water heating with small storage adjacent to point of use to minimise run length heat losses and Legionella risk.

Electrical Strategies

Lighting

- Maximise daylight with high window heads for maximum room depth penetration and add light shafts from roof level to ground floor level and roof windows (avoid horizontal roof lights due to heat gain issues) at the rear of large first floor rooms and sun pipes to internal spaces.
- Use energy efficient LED fittings with occupancy detection controls and dimming connected to daylight detection.

Power

Install roof mounted Solar Photo Voltaic panels to reduce the carbon footprint of the development. If there is insufficient space on new roof for the extent of power generation targeted, then an array could be added to a suitable roof area on the existing building.

Maximise energy efficiency of all fittings.

Structural Strategies

The full structural report can be found in appendix C of this report.

- The school prefer a structure similar to the existing concrete one. Concrete production has high embodied energy which impacts on attempts to target a carbon zero solution. There is some gain from the thermal mass of exposed concrete for temperature regulation, particularly coolth storage in hot summers. If concrete is selected; maximise the use of recycled aggregate and specify a reduced cement content mix, possible use of post tensioned slabs to minimise slab thickness, the latter may require careful selection of a suitably skilled contractor and reduce competitive pricing. Propping periods may need to be extended for some mixes and other design considerations, which will impact on programme increasing preliminaries costs.
- Timber structure would be carbon neutral. Cross Laminated Timber (CLT) possibly with some Glue laminated columns or beams incorporated would be more energy efficient cleaner on site and reduce the construction period for the structural frame substantially. Less thermal mass but can still help with coolth storage.

M&E, STRUCTURAL & SUSTAINABILITY APPROACHES

4.0

Sustainable Approaches

The sustainability statement in appendix E of this report relates to sustainability by particular elements. In addition to this the following should be considered in future design stages. Some will be essential to achieving an appropriate BREEAM rating to meet planning requirements.

- Sustainable Urban Drainage Scheme (SUDS) the existing school site already incorporates a SUDS, the new building location is on porous paving and porous amenity grass areas. The roof drainage should be connected to the existing SUDS system, preferably to the swales in the playing field area, to minimise surcharge of the lower pond which the school roof, paving and parking areas drain into. Without access to the modelling for the original drainage scheme as installed being certain of the most appropriate changes will be difficult to determine, however there is probably more than sufficient capacity built into the original design. The school advised that they have not seen the main pond area close to a flood level since it was first occupied.
- Enhancement of the current site ecology / biodiversity. Incorporate a biodiverse green roof to the first-floor roof area, planted with mixed native grasses and flowering plants and varying substrate depths.
- Possible consideration of additional planting or other

site areas with native trees & shrubs for carbon offset.

- Possible consideration to the incorporation of a blue roof design below a green roof finish and on the lower deck level, to reduce the roof discharge rate. This has structural implications depending on the depth to be retained, the structure will need to be designed to minimise deflection which will be potentially costly for the current 8.1m structural grid.

5.0

SITE CONSTRAINTS & OPPORTUNITIES

Constraints

The key constraints to expansion are:

The school site is within the Oakham & Barleythorpe Neighbourhood. Part of the school grounds to the north and west of the building falls within the 'Planned limits of development' that cover much of the green space in Barleythorpe Civil Parish. This will determine where additional buildings can be sited. No consultation with the planning department has been held.

A fire appliance access road is located around the building. This area has to be kept clear restricting development between the access road and the Planned Limits of Development.

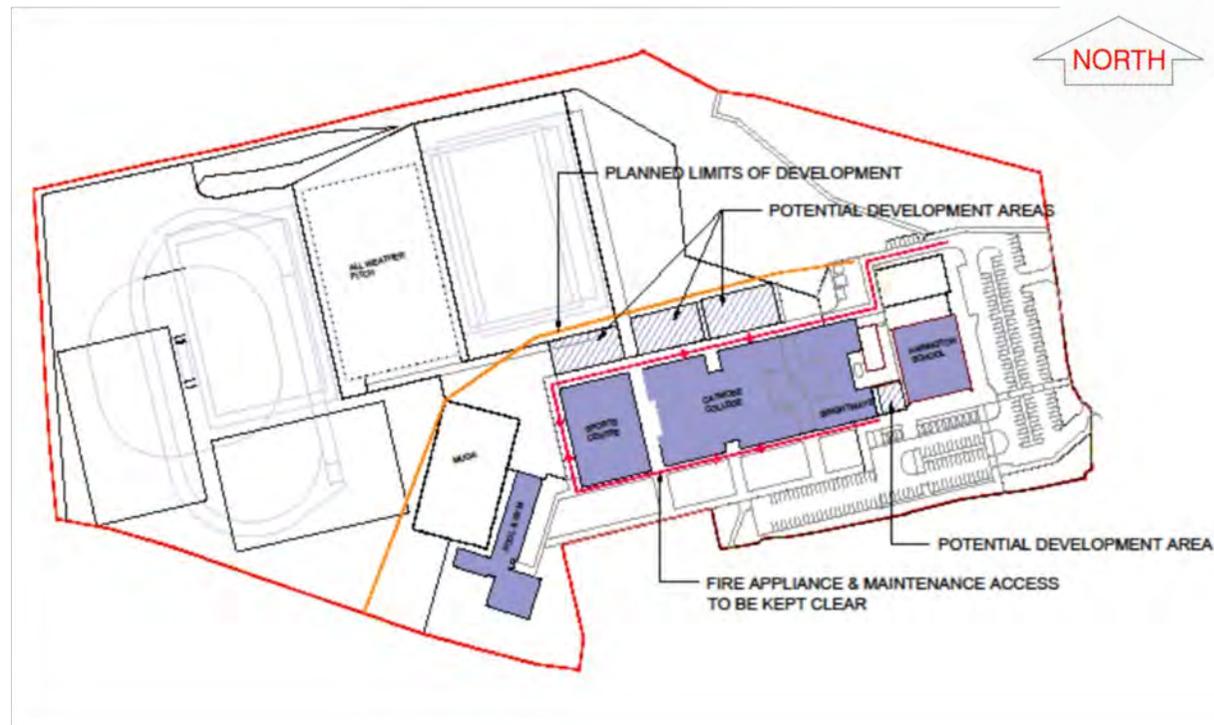
Expansion is required by September 2022.

The all-inclusive project budget of £5.25m.

Opportunities

Opportunities are limited. Possible development areas are highlighted on the adjacent plan.

It would be relatively easy to extend the dining hall into the courtyard to the west.



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ANALYSIS OF EXTERNAL AREAS

6.0

CATMOSE COLLEGE & HARINGTON SCHOOL SITE USAGE - AREA COMPARISON with GUIDANCE (assuming expansion of both 11-16 and post 16 provision to 240 intake)

| | |
|----------------------------|------|
| Number of pupils 11-16 8FE | 1200 |
| Number of Pupils Post 16 | 420 |

| SITE AREAS | BB103 | | Current | |
|--|--------------|--------------|---------------|---------------|
| | 8FE 11-16 | 480 post 16 | Catmose | Harington |
| Soft outdoor PE | 48000 | 20700 | 43317 | shared |
| All Weather Pitch (counts as double area) | | | 6185 | shared |
| <i>AWP Equivalent total area</i> | | | <i>12370</i> | |
| Hard outdoor PE | 2200 | 1030 | 2760 | 399 |
| Soft informal and social area | 3000 | 1440 | 11595 | |
| Hard informal and social area | 1400 | 620 | 2950 | |
| Habitat | 600 | 210 | 19915 | |
| Float | 6800 | 2900 | 4072 | 715 |
| Minimum net site area | 62000 | 26900 | 90794 | 1114 |
| Non-net | 8000 | 4100 | 26438 | 1307 |
| <i>Buildings</i> | | | <i>7250</i> | <i>1307</i> |
| <i>Swimming Pool</i> | | | <i>1362</i> | |
| <i>Parking and service access</i> | | | <i>12468</i> | <i>shared</i> |
| <i>Public Area</i> | | | <i>5358</i> | |
| New Block Footprint | | | 762 | |
| Minimum total site area | 69000 | 30000 | 117232 | 2421 |
| Maximum net site area | 69000 | 30000 | 98093 | |
| Maximum total site area | 86600 | 37460 | 119653 | |

5.0

ANALYSIS OF EXTERNAL AREAS

Analysis of External Areas in Accordance with Current Guidelines

It can be seen from the Minimum net site areas that if both the main school and the post 16 school have their intakes increased to 240 pupils the net site area (excluding buildings and non-pupil areas) is 91600m² and that the school net site is 91908m² not including the allowable double counting of an all weather pitch which would add a further 6185m² to the school total.

The soft playing field provision does fall short if use by Harrington School pupils is considered, the current total is 55687m², 48000m² is required for 8FE 11-16. If the Harrington school is included however there is a deficit. For 1200 11-16 plus 300 post 16 pupils 64500m² are required. If the post 16 provision is further increased to 420 this would increase to 68700m²; at present the area counting all weather as double is 55687m². It would probably be desirable but not essential to consider the addition of a second all weather pitch in the underused playing field area closest to the school when/if funding is available. A typical Sport England pitch would be 101.4m x 63m an area of 6388m² which would count as 12776m² and give much greater winter use with potential for increased community use.

The school have access to very extensive indoor facilities with a large double sports hall, a further small sports hall and a swimming pool. Which will make timetabling for sport less of an issue related to the playing field deficit, particularly in winter months.

Hard outdoor PE requirement for 8FE 11-18 is 3230m² the two

schools have a total of 3159m². This is a little light, consideration could be given to adding a MUGA .

Soft informal and social areas exceed the guidance by 7155m²

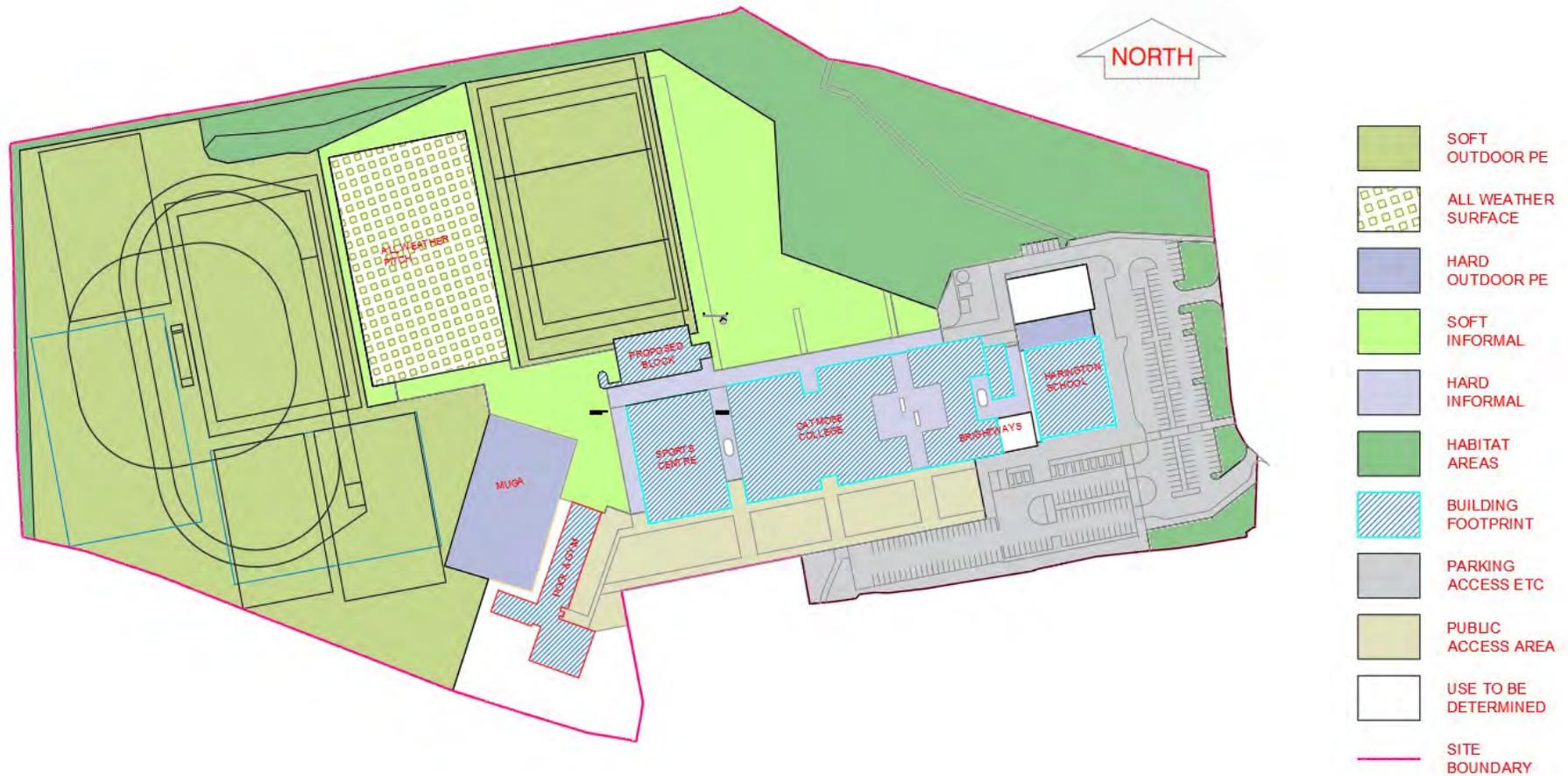
Hard informal and social areas exceed the guidance by 930m²

Habitat areas exceed the guidance by 19105m²

ANALYSIS OF EXTERNAL AREAS

5.0

205



7.0

PROCUREMENT STRATEGY & PROGRAMME

7.1 PROCUREMENT STRATEGY

Procurement Options

The following procurement options below could be considered for the expansion works.

1. Traditional route: appoint full consultant team for RIBA stage 2 to completion. Tender to selected contractors following a PPQ process or use an existing framework. Typically use a JCT form of contract.
2. Design & Build route: (this could be a two-stage process). Appoint a consultant team for RIBA Stages 2 & 3 to submit a planning application and prepare tender documents for D&B tender.
 - a. Tender to selected contractors following a PPQ process or use an existing framework. Appoint Contractor for RIBA Stages 4 & 5 Technical design and construction. Typically using a JCT D&B contract or NEC D&B partnering contract.
 - b. Tender with current information for a contractor to develop the project through RIBA stages 2-5. Typically use a NEC D&B partnering contract.

If CLT is selected for the structural frame, then early appointment of a specialist manufacturer for design input will be essential. This may make the second D&B option the most suitable route. If other two procurement options are chosen up front cost for this structure will be required at design stages 2&3.

Traditional procurement would give the client most control over the design development, specification and construction quality but normally has the longest programme and is perceived to have the greatest cost and programme risk.

A two stage D&B tender on an existing framework is likely to be the fastest route but also has a cost risk and inevitably leads to value engineering which generally involves reduced scope and / or reduced quality.

D&B tender after planning would give more control of the design and specification of the works.

Programme

The choice of construction method and materials will impact on the programme:

An off-site modular solution was not favoured by the school but would reduce the onsite programme significantly, with unit fabrication while the ground works are carried out. Possibly seeing some completed projects would overcome the school's concerns.

A reinforced concrete frame with post tensioned slabs superstructure, will have the greatest impact on the construction period.

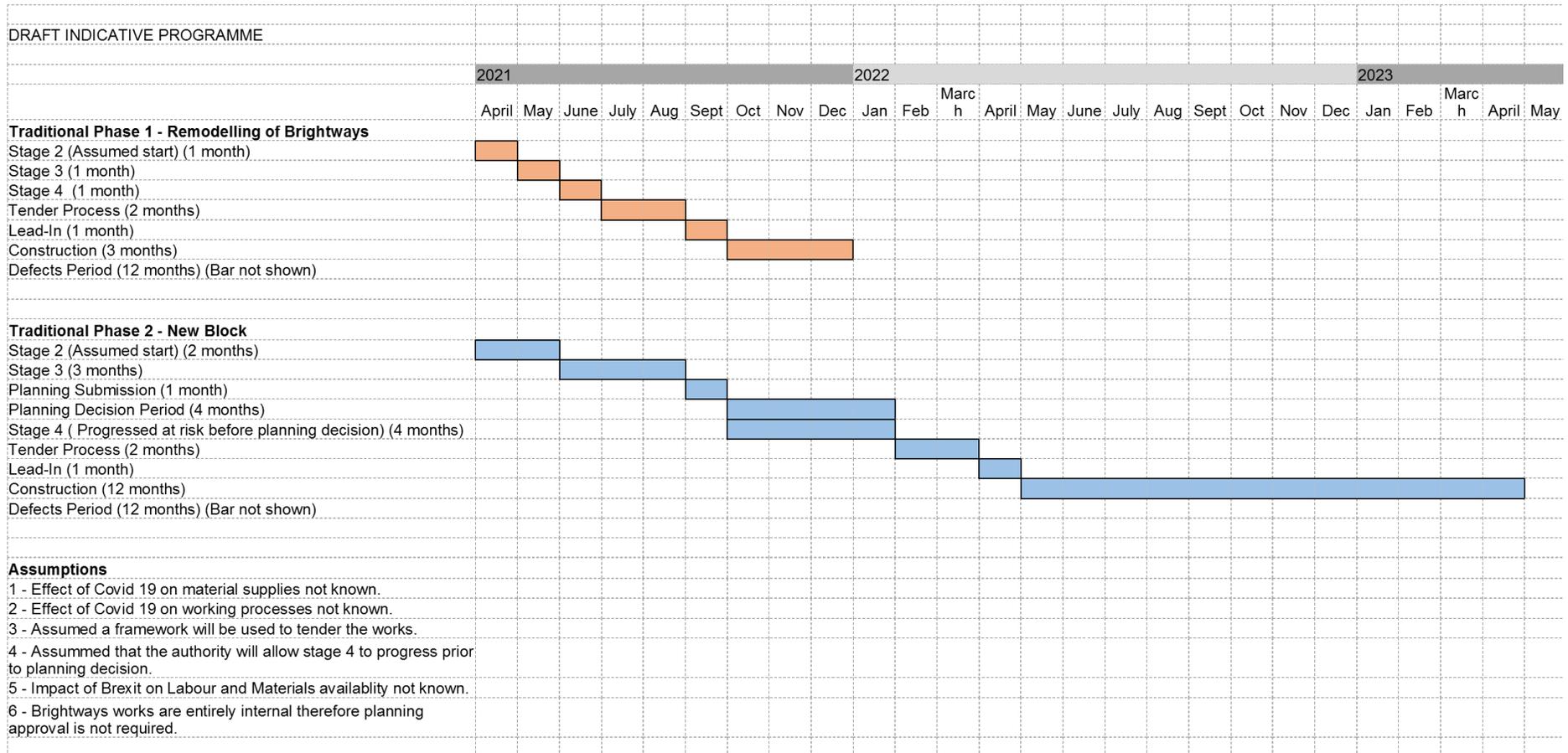
Some materials and components may have long lead in times, a CLT super structure would require early design input from the manufacturers with consequential upfront cost risk.

PROCUREMENT STRATEGY & PROGRAMME

7.2 PROGRAMME

7.0

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8.0

CONCLUSION & THE WAY FORWARD

Conclusion

NPS have developed the selected option from the Stage 1 feasibility study. Sketch Proposals for the remodelling of the Brightways area and for the new extension have been developed in consultation with Catmose College. For Brightways two options have been produced. Option 1 provides 5 classrooms and Option 2 4 classrooms. For the new building a two storey block is proposed in either locations B or D. The block in location B links to the existing school balcony at rear of the main building. This negates the need for staircases in this block. The block in location D behind the sports hall is completely detached and requires two staircases. Option 2 for the Brightways area and option 2 for the new block is the college's preferred option.

The all-inclusive budget for the expansion is £5.25m. A cost estimate has been produced for the college's preferred option. This option exceeds the budget. The following value engineering options are suggested to bring the scheme within budget:

Option A

Reduce area of current proposal with 2m depth reduction at GF 1m min depth reduction at FF and reduced stair width to 1250mm (1350mm o/a)

New Build GIA – ground floor 602m², first floor 497m² – TOTAL 1099m²

Remodel GIA – 484m²

Option B

Relocate to Site area B and connect to first floor bridges for access

to upper floor, omit stairs and lift but there will need to be improvements to the guarding height and gates at routes in front of classrooms to overcome the schools H&S / supervision concerns for the bridges being in everyday use.

New Build GIA – ground floor 568m², first floor 443m² – TOTAL 1011m²

Remodel GIA – 484m²

Option C

Brightways Remodel plan to provide 1 classroom at 62m² for IT rich teaching space and 4 classrooms at 55m² Toilets will have to be located in central zone as a dead-end solution currently designated for administration area.

Re-plan the ground floor option for the new build to omit 62m² classroom.

New Build GIA – ground floor 506m², first floor 463m² – TOTAL 969m²

Remodel GIA – 484m²

The Way Forward

We recommend that the scheme progresses to RIBA Stage 2 and is value engineered as necessary. Required surveys should be commissioned and a pre-application meeting held with RCC's planning department. Procurement routes should be considered. If design and build is chosen from Stage 2 onwards a consultant would need to be appointed to draw up tender documentation and review the tenders received. Should the chosen procurement route be for design and build from the end of stage 3 a design team should be appointed for stages 2 & 3. For a traditional procurement route a design team would be required for stages 2 to 6 inclusive and stage 7 'In-use' as necessary.

APPENDICES | 9.0

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A

APPENDICES

CLIENT BRIEF

Terms of Reference for NPS

Expansion of Catmose College to 8 Form Entry – Amended taking account of RCC dealing with relocation of Brightways

Note – Planned Relocation of Brightways is Confidential and not for sharing or discussion beyond the project group.

RCC commissioned NPS to prepare a Feasibility Study for Secondary School Expansion in Rutland. The commission comprised two stage:

- Stage 1 study looking at three existing school sites
- Stage 2 study dealing with the detail of the preferred site

Cabinet on 31 July 2020 approved the recommendation to undertake Stage Two of the feasibility study for school expansion at the preferred site of Catmose College, Oakham to deliver additional places through the development of an 8 Form Entry secondary school as identified through Stage One of the study.

The Stage 2 feasibility study brief is set out below:

The detailed Phase 2 feasibility for Catmose will build on the outputs from the phase 1 work and will

Include:

- a. A review of available information
- b. Developing architectural sketch proposals for the expansion options
- c. Provision of a wider understanding of the overall condition of the asset.
- d. Developing strategies for mechanical & electrical, structural and sustainability approaches
- e. Analysis of site constraints and opportunities
- f. Cost estimates for the expansion options
- g. Identification of key risks including planning risk and potential implications for project performance
- h. Analysis of external areas in accordance with current guidelines

- i. Developing procurement strategy and programme

RCC intend relocating Brightways Day Centre to an alternative location. The preferred new property will be within RCC's existing portfolio. RCC will manage the relocation and all other matters, to enable the planned extension of Catmose College within the school expansion scales. RCC will keep Catmose College and NPS updated about activity and progress for Brightways, along with any impact arising from issues that may impact on the planned extension of Catmose College. The Brightways premises are therefore expected to be available to support the expansion of Catmose College.

Client and Catmose College Engagement

RCC are the instructing client but Catmose College will jointly agree the terms of reference of the Stage 2 feasibility study and have full input to the report outputs as set out below:

NPS will have an initial project meeting with RCC and Catmose college to understand roles and responsibilities and agree timings and outputs

Initial sketch proposals will be produced jointly with Catmose College.

Sketch proposals will be shared at a final engagement meeting with RCC and Catmose College, with any resulting feedback used to develop final sketch proposals.

Final sketch proposals will be issued to the NPS Design Team for their input.

A procurement strategy, project programme and project risk register will be developed.

Full cost estimates will be produced.

A draft of the report will be shared with RCC and Catmose College for comment. Any comments/amendments will be made by NPS and agreed by RCC and Catmose College prior to final issue.

RCC

M Walsh

Head of Property Services

15 Oct 2020

QS

ORDER OF COST ESTIMATE - STAGE 1 for Rutland County Council



Feasibility
Catmose College
School expansion to 8FE
14.12.2020



B

APPENDICES

COST ANALYSIS

CONSTRUCTION ORDER OF COST ESTIMATE



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APPENDICES

COST ANALYSIS

B

CONSTRUCTION ORDER OF COST ESTIMATE



1.1 EXECUTIVE SUMMARY

1.1.1 INTRODUCTION

The proposal evaluates whether the school's buildings and site have capacity to support an expansion to 8FE. The expansion work is located within the school grounds of Catmose College, Rutland County Council.

Quantities for Building Works have not yet been determined due to insufficient design information, the areas used have been provided by the Architect.

This Cost Estimate is based on the following scope of works: new build block and remodelling works to some areas of the existing together with associated external works

A number of assumptions have been made in order to complete this estimate. These are noted under section 2.1.2 Basis and Assumptions.

NPS London Ltd Project 09-01-104327

| School Type | Location | BCIS Location Factor | BCIS Inflation Factor |
|-------------------|------------------------|----------------------|-----------------------|
| College/Secondary | Rutland County Council | 107 | 1.22% |

1.1.2 KEY FINANCIAL INFORMATION

A summary of the construction and project costs is as below and detailed buildup is included in this document.

| Item | Total Construction Cost | Cost/ m2 (GIA) | Total GIA m2 | Cost per pupil * |
|---------------|-------------------------|----------------|--------------|------------------|
| 8FE Expansion | £4,756,300 | £2,777 | 1713 | £15,854 ** |

| Item | Total Project Cost | Cost/ m2 (GIA) | Total GIA m2 | Cost per pupil * |
|---------------|--------------------|----------------|--------------|------------------|
| 8FE Expansion | £5,515,300 | £3,220 | 1713 | £18,384 ** |

*** based on Pupil 300

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COST ANALYSIS

CONSTRUCTION ORDER OF COST ESTIMATE



1.1 EXECUTIVE SUMMARY

1.1.3 VALUE FOR MONEY

In assessing whether the construction proposal is value for money, it may not take into consideration other factors i.e. school pupil & staff disruption, access difficulties, planning consent, environmental issues increased traffic impact or school preferences.

1.1.4 AREA SUMMARIES FOR EACH PROPOSAL

In assessing the likely construction costs, a more detailed assessment with different rates were applied depending on the type of construction, i.e. extension, remodel or new links between existing and new works, as table below.

| | GIA/m2 | | Remodelling (m2) | Total Including New, Remodel and Links (m2) |
|------------------|--------|--|------------------|---|
| B) 2FE New Block | 1229 | | 484 | 1713 |

| Version | Date | Description | Originator | Authorised by | Date |
|---------|------------|-------------|----------------------|---------------|------------|
| Final | 14.12.2020 | Feasibility | Marian Asare-Boapeah | Keith Dyke | 14.12.2020 |

APPENDICES

COST ANALYSIS

B

CONSTRUCTION ORDER OF COST ESTIMATE



2.1 BASIS AND ASSUMPTIONS

2.1.1 BASIS FOR THE ORDER OF COST ESTIMATE

This estimate is based on a collection of in house data and school projects NPS are currently working on as well as BCIS analysis. A location factor from BCIS has been applied to ensure the costs are relevant to Rutland County Council.
The Information Provided follows the requirements of NRM Checklist.

Drawing/Document Register:

The following design information received :

2.1.1.1 Architecture

NPS-ZZ-00-SK 001 Rev P1
NPS-ZZ-01-SK 002 Rev P1
NPS-ZZ-00-SK 003 Rev P1

2.1.2 PRICING ASSUMPTIONS

- 1 All costs are based on normal working hours. Costs associated with night working and weekends are not allowed for within this estimate.
- 2 Costs are based on current BCIS Cost Analysis, together with cost from Education projects NPS London are currently working on.
- 3 Areas in this report are provided by the Architect and based on above design, more detailed measure will be carried once the scheme is signed off and developed.

2.1.2.1 Fit Out

- 1 No specification available for the fit-out, scope of works based on NPS site survey.
- 2 Allowance for new floorings, small power and data adaptation works, acoustic treatments, fixed fittings and fixtures to general/ classrooms, new Entrance Gate, and etc.

2.1.3 GENERAL EXCLUSIONS

The following general costs have been excluded from this report: -

- 1 VAT
- 2 Land costs, Professional, Legal and survey fees and other fees or Finance costs.
- 3 Planning and Building Control fees (unless stated)
- 4 Development management costs
- 5 Party Wall Agreements including any easements requirements for sub station access
- 6 Section 105 works
- 7 Section 106 payments or contributions
- 8 Section 278 works that may be required outside the site boundary
- 9 Rights of Light, Daylight/Sunlight matters
- 10 Out of hours working
- 11 Cost of maintenance agreements

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APPENDICES COST ANALYSIS

CONSTRUCTION ORDER OF COST ESTIMATE



2.1 BASIS AND ASSUMPTIONS

GENERAL EXCLUSIONS - Cont'd

- 12 Internal Management costs (unless stated)
- 13 Rights of Light compensation allowance
- 14 Client Contingencies (unless stated)

2.1.4 PROJECT SPECIFIC EXCLUSIONS

The following project specific costs have been excluded from this report: -

- 1 Works to other buildings and highways outside the specific site demise
- 2 Removal of hazardous or contaminated material arising from the ground or demolition works.
- 3 Ground improvements or adverse ground conditions
- 4 Relocation, diversion or replacement costs in relation to existing services
- 5 Abnormal costs, other than those stated
- 6 Protective Installations such as sprinklers.
- 7 Oversailing (cranes/access equipment etc.)
- 8 Compensation to neighbours during the construction work that may be required
- 9 Professional fees (unless stated)
- 10 Archaeological works Public Art and Sculptures
- 11 Movement of school furniture, teaching aids or staff/pupil work

2.1.5 MARKET TESTING

This Order of Costs Estimate is based on current BCIS Cost Analysis, together with cost from Education projects NPS London are currently working on.

2.1.6 DEVELOPMENT PROGRAMME

The order of cost estimate is based upon the construction works being completed in a single phase. The development programme is not defined at this stage and costs have been allowed to September 2021, when construction works is anticipated to commence on site.

2.1.7 PROCUREMENT

This cost plan assumes that the project will be competitively tendered on two stage design and build procurement route, using either an appropriate Framework Agreement or through a Selective Questionnaire process. We have also included 15% as a Contingency allowance for Design Development and Construction Risks at this stage of the project.

2.1.8 INDEXATION

Costs included in this report are considered to reflect 4Q 2020 market conditions based upon achieving competitive market returns. We have made an allowance for cost inflation of the works and costs have been assessed on the basis of 3Q 2021, programme notes provided assumes construction works commences September 2021. No allowance has been made for the likely impact that Brexit or COVID-19 restrictions may have on the economy.

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COST ANALYSIS

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CONSTRUCTION ORDER OF COST ESTIMATE



2.1 BASIS AND ASSUMPTIONS

2.1.9 GIFA AREAS

The estimate has been based on the GIA's for the building as provided by the architect.

2.1.10 DISCLAIMER

This cost plan has been prepared to assist Rutland County Council in the control of the design development and to allow formal sign off.

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APPENDICES

COST ANALYSIS

CONSTRUCTION ORDER OF COST ESTIMATE

3.2 COST PLAN SUMMARY

| | | | | |
|-----------------------|-----|-----|-------|----|
| Rutland BCIS Location | 108 | GIA | 1,713 | m2 |
| | | NIA | 1,625 | m2 |

| | | | Total Project Cost |
|----------|--|-----------------|---------------------------|
| 1 | Facilitating Works | | 86,375.00 |
| 2 | Building Works Estimate | | |
| | New Works | | 2,439,329.00 |
| | Works to Existing Building | | 544,900.00 |
| | External Works | | 167,850.00 |
| | BREEAM, L2 Allowances and Sustainability Items | | 84,260.00 |
| | | | 3,322,714.00 |
| 3 | Main Contractor Prelims | 17.00% | 564,861.38 |
| 4 | Contractor OH&P | 10.00% | 388,757.54 |
| 5 | Contractor Design Fees | 5.00% | 213,816.65 |
| | | | 4,490,149.57 |
| 6 | Construction Risk | 15.00% | 673,522.44 |
| 7 | Construction Inflation | (Q3 2021) 1.22% | 62,996.80 |
| | BCIS Location Factor Adjustment | 107/118 -9.00% | - 470,400.19 |
| | | | 4,756,268.62 |
| | Total Construction Cost | | 4,756,300.00 |

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APPENDICES

COST ANALYSIS

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CONSTRUCTION ORDER OF COST ESTIMATE

3.2 COST PLAN SUMMARY

| | | | | |
|-----------|--------------------------------------|-------|-----|---------------------|
| | Rutland BCIS Location | 108 | GIA | 1,713 m2 |
| | | | NIA | 1,625 m2 |
| 8 | Professional Fees (Stage 2-6) | | | 312,611.95 |
| 9 | Additional Costs | | | |
| | Disbursements | | | 31,300.00 |
| | BREEAM Assessment Fees | | | 2,500.00 |
| 10 | Client Costs | | | |
| | ICT and FF&E | | | 150,000.00 |
| | Contingency | 5.00% | | 262,635.60 |
| | Management Cost | | | Excluded |
| | | | | 5,515,347.55 |
| | | | | 5,515,300.00 |

B

APPENDICES COST ANALYSIS

CONSTRUCTION ORDER OF COST ESTIMATE

nps group

Base 327

4.1 WORKINGS COST PLAN SUMMARY - 8FE

| | Quantity | Unit | Rate | Sub-Total | TOTAL |
|---|--------------|-----------|-----------|---------------------|---------------------|
| 1 Facilitating Works Estimate | 1,800 | m2 | | | |
| Site Preparation | | | | | |
| General site clearance, strip site of all remaining vegetation, debris, perimeter fences and railings etc | 1,800 | m2 | 35.00 | 63,000.00 | |
| Demolition | | | | | |
| Demolition of existing buildings including grubbing up foundations | - | m2 | 65.00 | - | |
| Break up existing hard paved areas, including grubbing up shallow brick wall foundations | 735 | m2 | 25.00 | 18,375.00 | |
| Asbestos Removal | | | | | |
| Provisional allowance for asbestos surveys and removal works | - | Item | 5,000.00 | - | |
| Works to existing buildings & External works | | | | | |
| Alteration works to existing buildings, breaking through, blocking up etc | - | Item | 25,000.00 | - | |
| Reuse of existing fixtures & fittings | | | | | |
| Remove & refit existing furniture & equipment (allowance only, scope to be determined) | 1 | Item | 5,000.00 | 5,000.00 | |
| Sub Total | | | | 86,375.00 | 86,375.00 |
| 2 Building Works Estimate | | | | | |
| New Build Extension and Remodelling | 1,713 | m2 | | | |
| New Build - 1nr two story new block | | | | | |
| New Build | 1229 | m2 | 1,901.00 | 2,336,329.00 | |
| Abnormals: E.O.additional Staircase | 2 | Nr | 7,500.00 | 15,000.00 | |
| Abnormals: E.O.WC fit out | 4 | Nr | 8,000.00 | 32,000.00 | |
| Abnormals: E.O.WC fit out - Accessible WCs | 2 | Nr | 3,000.00 | 6,000.00 | |
| Abnormals: E.O.Science Lab | 3 | nr | 5,000.00 | 15,000.00 | |
| Abnormals: E.O Computer Science | 2 | nr | 2,500.00 | 5,000.00 | |
| Abnormals: E.O DT Room | 1 | nr | 5,000.00 | 5,000.00 | |
| Abnormals: Lift | 1 | Nr | 25,000.00 | 25,000.00 | |
| Sub Total | | | | 2,439,329.00 | 2,525,704.00 |
| Major Refurb | | | | | |
| General ? Multiple rooms | 484 | m2 | 1,100.00 | 532,400.00 | |
| Abnormals: E.O.additional Staircase | - | Nr | 7,500.00 | - | |
| Abnormals: E.O.WC fit out | - | Nr | 2,500.00 | - | |
| Abnormals: E.O.Science Lab | - | nr | 5,000.00 | - | |
| Abnormals: E.O Computer Science | 1 | nr | 2,500.00 | 2,500.00 | |
| Abnormals: E.O DT Room | 2 | nr | 5,000.00 | 10,000.00 | |
| Sub Total | | | | 544,900.00 | 3,070,604.00 |

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COST ANALYSIS

B

CONSTRUCTION ORDER OF COST ESTIMATE



4.1 WORKINGS COST PLAN SUMMARY - 8FE

Minor Refurb
General

Decorations only Refurb

External Works

- Hard Landscaping - allowance
- Soft landscaping - allowance
- Existing Drainage Works (outside boundary)
 - Alterations to Surface water drainage
 - Alterations to Foul water drainage
- Existing Services (outside boundary)
 - Mechanical upgrade
 - Electrical upgrade
 - Data upgrade

Other Abnormals

- BREEAM
- Carbon Reduction (L2A compliance)

4 TOTAL

Notes: See Cost Plan Summary and Basis & Assumptions

| Quantity | Unit | Rate | Sub-Total | TOTAL |
|------------------|------|-----------|---------------------|----------------------|
| - | m2 | 500.00 | - | |
| Sub Total | | | - | 3,070,604.00 |
| Sub Total | | | - | 3,070,604.00 |
| 300.00 | m2 | 197.00 | 59,100.00 | |
| 765 | m2 | 50.00 | 38,250.00 | |
| | | | - | |
| 1 | item | 15,500.00 | 15,500.00 | |
| 1 | item | 15,000.00 | 15,000.00 | |
| | | | - | |
| 1 | item | 15,000.00 | 15,000.00 | |
| 1 | item | 15,000.00 | 15,000.00 | |
| 2 | item | 5,000.00 | 10,000.00 | |
| Sub Total | | | 167,850.00 | 3,238,454.00 |
| 1,713 | item | 20.00 | 34,260.00 | |
| 1 | item | 50,000.00 | 50,000.00 | |
| Sub Total | | | 84,260.00 | £3,322,714.00 |
| | | | | |
| | | | 3,322,714.00 | £3,322,700.00 |

Rounded £ '000

B

APPENDICES COST ANALYSIS

5.1 | PROFESSIONAL FEES SUMMARY

| | | |
|---|------------------------------|----------------|
| 9th December 2020 | £ | |
| (i) Professional Fees : | 312,612 | 312,612 |
| Design Team and Project Management Fees: ⁽¹⁾ | | |
| * Full multidisciplinary design team (Architect, QS, SE, M&E & Principal Designer) based on design & build procurement, stages 2 to 6 @ 0% of construction costs ⁽²⁾ | 270,342 | |
| Civil Engineer @ 0.35% ⁽³⁾ | 15,770 | |
| Energy Consultant ⁽⁴⁾ | 12,000 | |
| BREEAM Assessor ⁽⁵⁾ | 9,500 | |
| Acoustic Consultant ⁽⁶⁾ | 5,000 | |
| Technical Project Manager Fees | | |
| Clerk of Works Fees: ⁽⁷⁾ | | |
| * Clients representative to monitor quality of works on site. | | |
| (ii) Disbursements: | 31,300 | |
| * Planning application fee ⁽⁸⁾ | 9,000 | |
| * Building Control plan fee ⁽⁹⁾ | 2,200 | |
| * Building Control inspection fee ⁽¹⁰⁾ | 4,400 | |
| * Drain survey ⁽¹¹⁾ Use as built drawings. | 0 | |
| * Soil and contamination survey ⁽¹²⁾ | 9,000 | |
| * Land survey and services search ⁽¹³⁾ | 1,500 | |
| * Asbestos survey and re-insitement ⁽¹⁴⁾ | 0 | |
| * Structural investigations ⁽¹⁵⁾ | 0 | |
| * Condition survey ⁽¹⁶⁾ | 0 | |
| * Fire assessment survey ⁽¹⁷⁾ | 0 | |
| * Noise / vibration survey ⁽¹⁸⁾ | 2,000 | |
| * Party Wall Surveyor ⁽¹⁹⁾ | 0 | |
| * Environmental survey ⁽²⁰⁾ | 0 | |
| * Archaeological Assessment & Listed Building Report ⁽²¹⁾ | 0 | |
| * Air quality survey ⁽²²⁾ . May be able to use survey from the main development. | 0 | |
| * Arboricultural Survey ⁽²³⁾ | 0 | |
| * Phase 1 Habitat & Invasive Species Survey | 1,200 | |
| * Transport Assessment ⁽²⁴⁾ | 2,000 | |
| (iii) FFandE & ICT Works: ⁽²⁵⁾ | 150,000 | |
| (iv) Client Set-up Costs : ⁽²⁶⁾ No allowance included. | 0 | |
| (v) Client Contingency : ⁽²⁷⁾ 5% of total project cost | see cost plan summary | |
| (vi) Client Site waste Management Plan Production : ⁽²⁸⁾ | 0 | |
| * Fee allowance for clients responsibilities under The Site Waste Management Plans Regulations 2008 | | |
| (viii) BREEAM : ⁽²⁹⁾ | 2,500 | |
| * Fee allowance for certification to required standard. | | |

Notes :

- (1) - Overall fee % allowance for Architect, Quantity Surveyor, Structural Engineer, Mechanical and Electrical and Engineer and Principal Designer.
 (2) - Allowance for CDM service relating to clients obligation on Health and Safety matters required between scheme inception to
 (3) - Clerk of Works service to be agreed with client for a pre-agreed period per day, to ensure daily presence on site and to monitor quality
 (4) - Assumed survey/reinstatement costs only, removal works if required need separate funding.
 (5) - Allowances only at this stage
 (6) - Potential investigation of existing foundations / structure.
 (7) - To inform adequacy of condition related works allowance within costings. Using client supplied document.
 (8) - To inform of any issues with existing schools procedures/management.
 (9) - No works in proximity to boundaries.
 (10) - Value of works is outside standard fee scale range, therefore cost assumed subject to formal quote.
 (11) - Planning - internal remodel only no external changes, therefore application not required.
 (12) - Local to proposed WC installation only.
 (13) - Works only to existing building predominantly interior therefore not required.
 (14) - Allowance to be confirmed with Client.
 (15) - Not applicable to remodel / refurbishment works.
 (16) - Figures based on QS estimate.
 (17) - Assumed works undertaken under 1 contract with separate phases.
 (18) - Works proposed do not include teaching spaces therefore no requirement
 (19) - Not used
 (20) - VAT not included in figures

APPENDICES

COST ANALYSIS

B

6.1 | SUMMARY OF AREAS

| 2FE Expansion | Area |
|---|----------|
| A - Site Area - (Compound) | 1,800 m2 |
| B - Foot Print of New Build | 735 m2 |
| C - New Build - GIA | 1,229 m2 |
| D - New Build - NIA | 1,161 m2 |
| E - Remodelling Works - Existing Building GIA | 484 m2 |
| F - Existing Building - NIA | 464 m2 |
| G - Hard Landscaping | 300 m2 |
| H - Soft Landscaping | 765 m2 |
| Total NIA | 1,625 |

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APPENDICES STRUCTURAL REPORT

Introduction

Engenuiti has been appointed by NPS Group to provide structural engineering design services for the proposed new classroom block at Catmose College, Oakham, Rutland, LE15 6RP. The site is a greenfield location adjacent to the existing Catmose College School

The purpose of this Structural Engineering RIBA Stage 2 Report is to present the conceptual structural engineering design proposals as they stand. The topics covered are:

1. Structural Framing Options

- Concrete Solution
- Cross Laminated Timber (CLT) Solution
- Summary

2. Structural Framing Carbon Calculation

3. Foundation Options

The proposed new building footprint is approximately 32m long x 20m wide at ground floor, and is approximately 32m long x 16m wide at first floor with a 4m balcony. There is a staircase and lift core on one side of the proposed new block that is to have access to all floors including the roof.

Structural framing options are described based on the architectural stage 2 design and foundations and substructure solutions are suggested from limited desktop study data. For a full understanding of the foundation options (including depths) a full site investigation is to be completed at a later stage.

This report has been produced for the exclusive use of NPS Group and Catmose College, and should not be used in whole or in part by any third parties without the express permission of Engenuiti in writing.

This report should not be relied upon exclusively for decision making purposes and should be read in conjunction with other documents and drawings produced by the design team.

The information being communicated as part of this RIBA Stage 2 report is intended to provide the basis for a preliminary and initial cost plan and for the client to understand their options structurally. The RIBA Stage 2 design information does not constitute a complete and fully detailed technical design, and suitable cost allowances should still be made in respect of risk and design development.

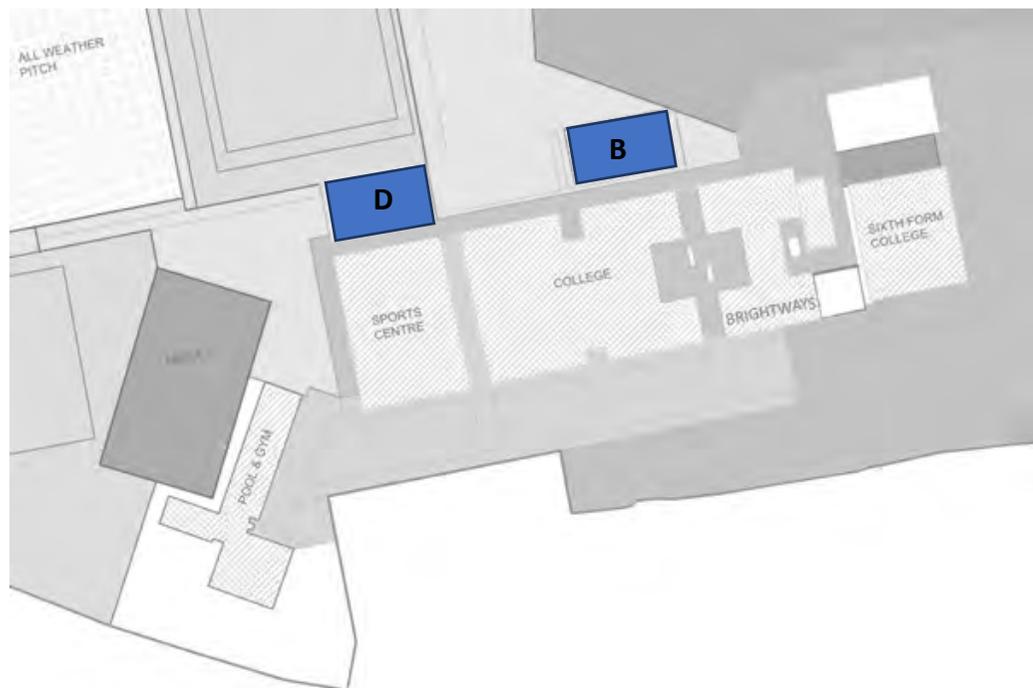


Figure 1 - Site plan showing two potential site locations

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STRUCTURAL REPORT

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Structural Framing Options

Two possible superstructure options are proposed:

Concrete Frame

A concrete frame is the baseline scheme as it is a tried and tested approach that offers the benefits of exposed thermal mass and robust acoustic performance. It is proposed to have exposed soffits on the scheme. A concrete frame with flat slabs can achieve the 8m grid that fits to the proposed architectural layout. Flat slabs offer the additional advantage of facilitating horizontal services distribution. That said, it should be noted that reasonably thick slabs will be required at these spans. To make the structure more efficient, it would be necessary either to reduce the grid spans or potentially to adopt downstand beams on columns lines.



Figure 2 Concrete Frame

Cross Laminated Timber Frame

An alternative to the concrete frame solution is a cross laminated timber structure (CLT). CLT again offers good acoustic performance and excellent airtightness. CLT structures have the added advantage of being extremely quick to erect with minimal site waste or mess. As with the concrete frame option, 8m spans can be achieved, and become more efficient if there are at least two adjacent spans so as to achieve continuity. That said, 8m is beyond the most efficient span length for pure CLT, and there may be some material efficiencies in introducing some primary steel or glulam beams in the primary spanning direction at closer (say 3-6m) centres with the CLT then spanning the secondary direction between primary beams.

The additional benefits to a CLT frame are its sustainability. As typically 50% of a building's lifetime carbon output is in the building itself (the other 50% is in operational carbon), timber is considered a carbon sink or carbon negative structure and can offset the carbon emissions in areas that will require carbon to produce (e.g the concrete foundations). This is covered in more detail in the Structural Framing Carbon Calculation.

Downstand beams have been proposed to reduce the slab depth and reduce the 8m bays into 4m bays. This results in a 3-bay 4m span totalling 12m that is within the practical limit of 13.5m to transport a CLT. Alternatively, 16m double spans could be reviewed at a later stage with flat soffits and a deeper 280mm slab.

Another arguable benefit is the appearance of CLT. As a natural wood



Figure 3 CLT Frame

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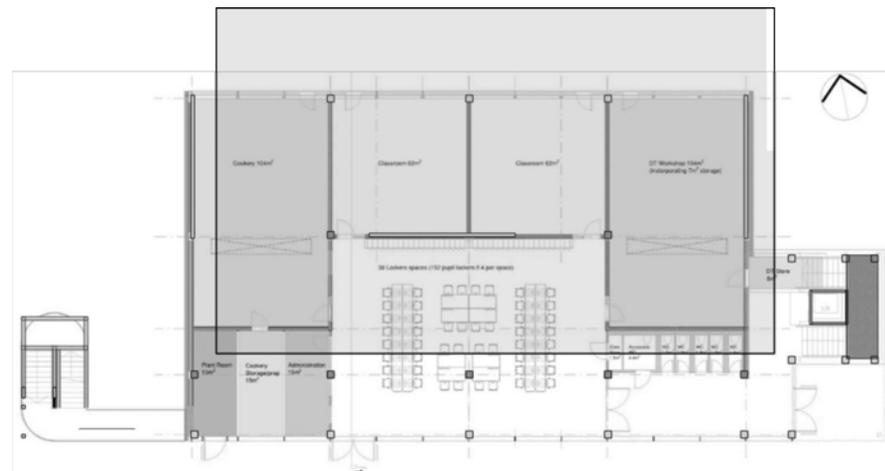
APPENDICES STRUCTURAL REPORT

Structural Framing Options - Concrete

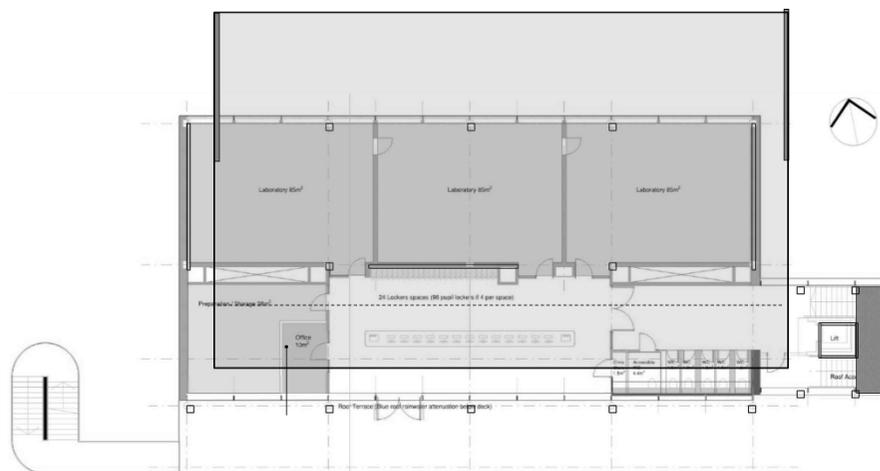
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SK001—Concrete Solution 3D



SK002—Concrete solution first floor



SK003—Concrete solution roof level

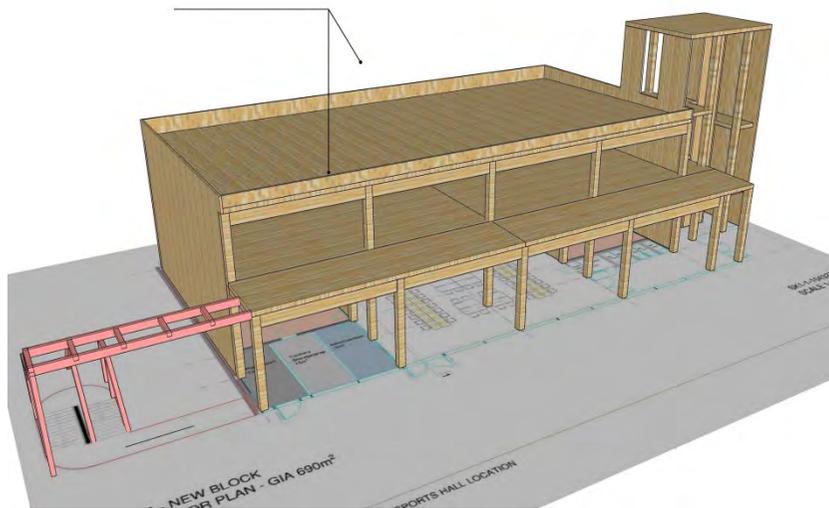
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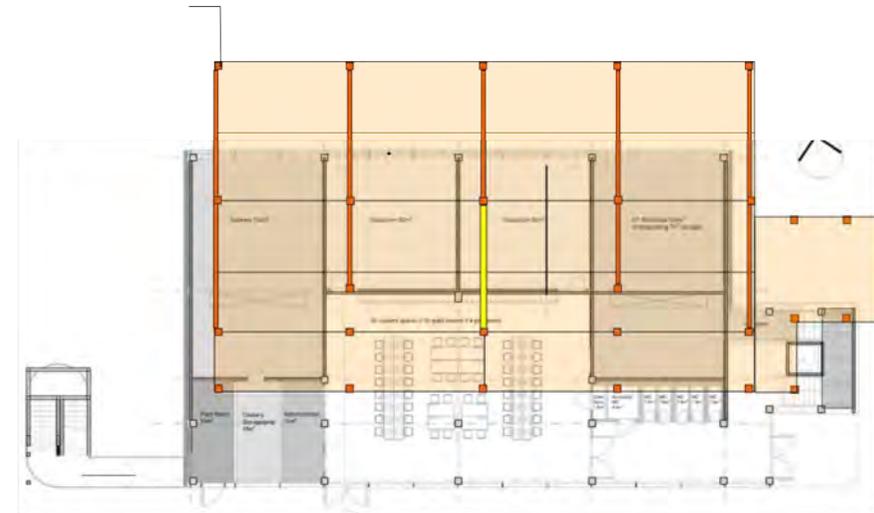
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Structural Framing Options – Cross Laminated Timber (CLT)

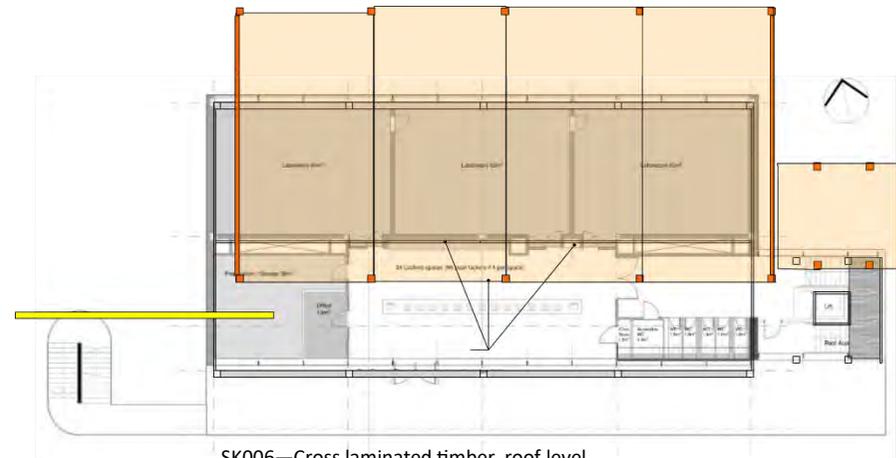
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SK004—Cross laminated timber 3D



SK005—Cross laminated timber first floor



SK006—Cross laminated timber roof level

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APPENDICES STRUCTURAL REPORT

Structural Framing Options – Summary

Concrete Pros

- Robust
- Thermal Mass ((thereby reducing/eliminating need for mechanical cooling)
- Flat soffits possible, facilitating horizontal services distribution
- Minimal structural walls so maximal flexibility/adaptability of spaces
- Good acoustic performance

CLT Pros

- Robust assuming properly specified and applied waterproof membranes
- Notably reduced carbon emissions when compared to the concrete option.
- Very quick to build. Also construction is clean (as minimal wet trades and low wastage)
- Lighter weight structure so foundation sizes reduced

Durability Considerations

Both the concrete and timber solutions will be visually flat roofs. However, a nominal 1:40 fall to achieve a minimum 1:80 fall once deflections are taken into account must be allowed for at roof level and at the balcony level for the CLT option.

CLT is made from untreated softwood. It is recommended that that CLT should have a two-layer direct applied waterproof membrane, and minimum 300mm concrete upstands around the perimeter timber. Careful consideration of drainage points and detailing for waterproofing will be required, particularly if green or blue roofs are to be incorporated.

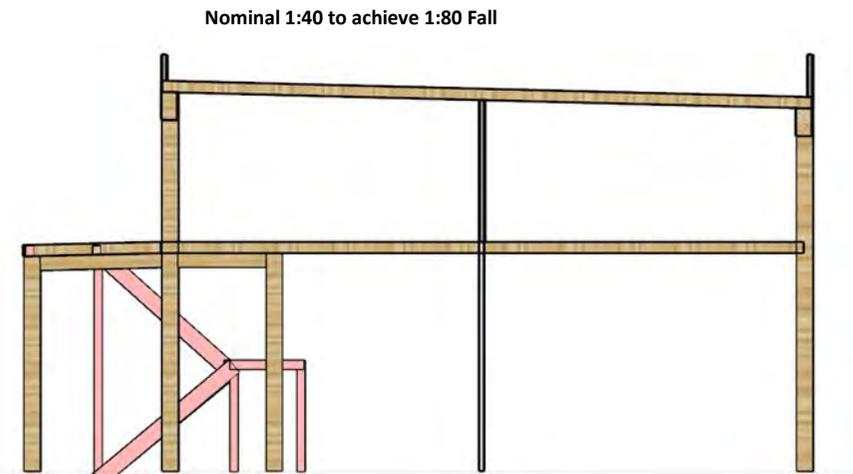


Figure 4 - Nominal Falls Required

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Structural Framing Carbon Calculation

Rutland Council has agreed draft new targets to tackle climate change. A Climate Change Action Motion was presented by Councillor Gordon Brown, Cabinet Member for the Environment, at Rutland's Full Council Meeting on Monday 14 October 2019.

"It's clear that the impacts of climate change are causing serious damage around the world and that we need to do all we can to try and keep global temperature rises below 1.5°C. Local councils have a duty to act and cannot simply wait for national government to change its policies. We fully accept this important responsibility and will soon be putting forward proposals for a wide range of measures aimed at making our operations more sustainable and environmentally friendly. This is something that all local authorities must do if we are to help limit the effects of climate change on a global scale."

From this the council have set the following commitments

- Make sure the Council's activities achieve a net-zero carbon footprint before 2050
- Achieve 100% clean energy across all council functions by 2050 or earlier
- Provide a climate change impact assessment on all relevant council decisions
- Request that scrutiny panels consider the impact of climate change and the environment when reviewing council policies and strategies
- Review council activities to take account of production and consumption emissions

- Set up a Climate Change Partnership Group involving councillors, residents, young people, climate experts, businesses, and other relevant groups
- Encourage the UK government to provide the powers, resources and funding needed to help tackle climate change

With typically over 50% of a building's carbon output coming from the construction itself, it is important to consider the structural options in respect to their carbon output in production and manufacturing.

A simple carbon calculation has been carried out to compare concrete and CLT options. The carbon calculation takes into account the following elements

Substructure

- Concrete Strip Foundations
- Concrete Slab at GF

Superstructure – Concrete Option

- Concrete slabs at first and roof level
- Concrete Columns
- Concrete Walls

Superstructure – Timber Option

- Timber slabs at first and roof level
- Timber Columns
- Timber Walls
- Glulam Beams

The carbon calculator does not include the following at this stage

- Facades and finishes
- The lift core structure
- The stair structure

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Structural Framing Carbon Calculation

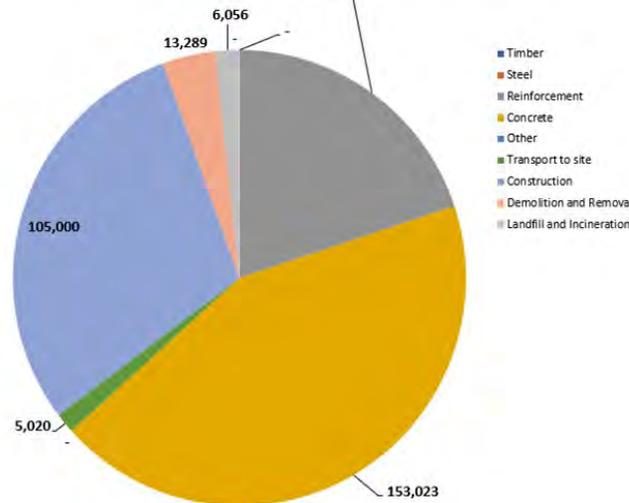
The following shows the embodied carbon for both the concrete and timber options. The embodied carbon of the CLT option is approximately 1/3rd of the concrete option. The RIBA have set a target for 2030 for embodied carbon to be <300kg/CO₂ m². However it is worth noting that the calculations below do not include fit out or façades.

Concrete – 305kg/CO₂ m²

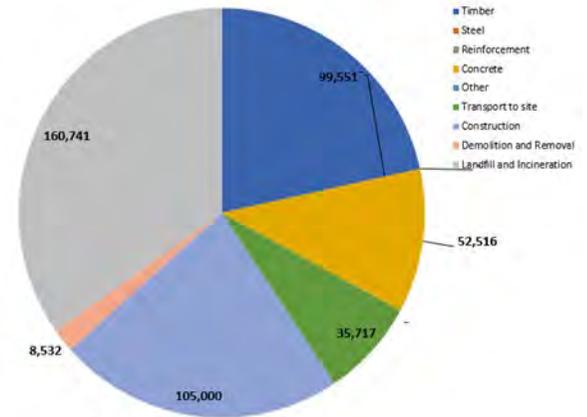
CLT – 85kg/CO₂ m² (*)

*Accounts for sequestration

Cradle to Grave Global Warming Potential (KgCO₂e) of Primary Structure



Cradle to Grave Global Warming Potential (KgCO₂e) of Primary Structure



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Foundation Options

A full site investigation is required to determine the foundation options.

A desktop study has been undertaken to look at boreholes records in the area and adjacent similar precedent foundations.

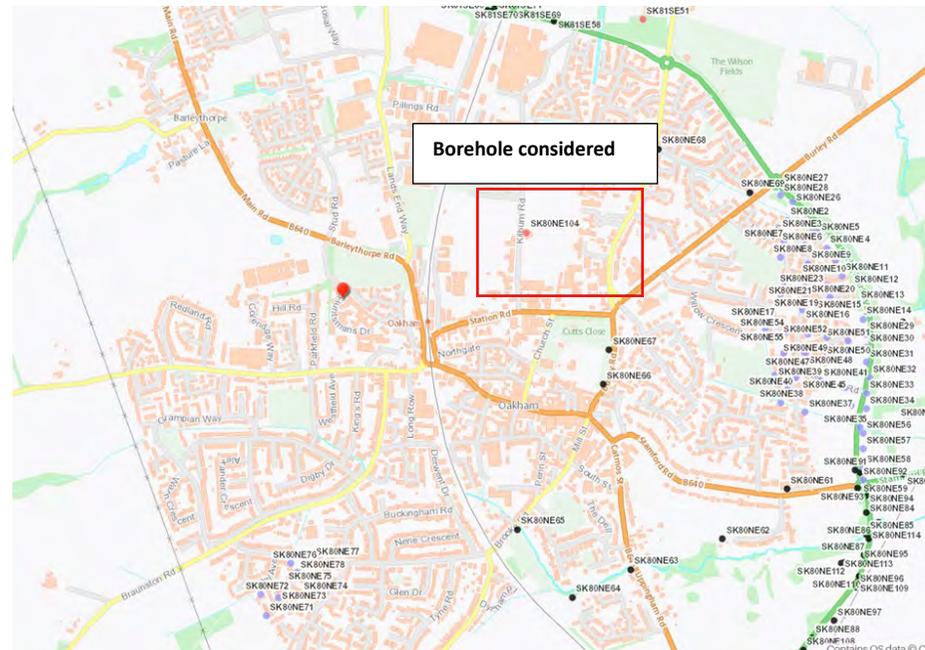
British Geological Survey Map

There are no boreholes from BGS records within 1km of the site.

The nearest borehole record (see figure 5) indicates underlying clay to a maximum measured depth of 50m.

It should be noted that the clay described in this borehole record is likely to be a suitable bearing material for shallow foundations. However these will need to be at least 1m deep to allow for expansion and shrinkage of the clays and may need to be significantly deeper than this in the proximity of trees.

| Strata Description | From ↑ | To ↓ | Total ↓ | Sample Info |
|---|--------|-------|---------|-------------|
| Topsoil | G/L | 0.20 | 0.20 | |
| Stiff brown clay with sandstone and ironstone bands | 0.20 | 2.40 | 2.20 | |
| Stiff grey clay | 2.40 | 5.00 | 2.60 | |
| Stiff grey clay with shaly bands | 5.00 | 10.00 | 5.00 | |
| Stiff grey clay with mudstone bands | 10.00 | 45.00 | 35.00 | |
| Stiff grey clay | 45.00 | 50.00 | 5.00 | |



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APPENDICES STRUCTURAL REPORT

Foundation Options

Precedent Foundations

The adjacent school building was founded on strip and pad foundations onto bedrock with a capacity of 300kN/m2.

**MAIN BUILDING M.C./R.C PAD FOUNDATIONS
BELOW COLUMNS:**
- FOUNDED ON UNWEATHERED BEDROCK (ALLOWABLE
BEARING CAPACITY 300KN/M²).

The underside of the foundations appears to vary between 115.750m to 116.500m

Foundation Option Summary

From the borehole information and information regarding the adjacent building foundations, it is expected that strip and pad foundations are likely to be adequate, located under column and wall locations.

In the best case scenario, good bedrock is located at reasonably shallow depth and new foundations can bear directly onto this rock, taking the benefit of reasonably high bearing capacities.

Failing this, if there is found to be an intermediate layer of clay, the foundations could bear onto the clay, providing they go deep enough to avoid any negative impacts from shrinkage or expansion of the clays (particularly where close to trees).

In the worst case, if a significant depth of Made Ground was found to be present, a piled foundation solution (potentially mini-piles or screw-piles) might need to be considered.

The level of any groundwater will also need to be verified by means of a full Site Investigation.

If clay is present, a suspended ground slab solution may need to be considered to mitigate the effects of shrinkage and heave. If the underlying natural ground is rock or granular material (and any shallow Made Ground can be replaced with granular fill) then a ground-bearing slab solution can be employed.

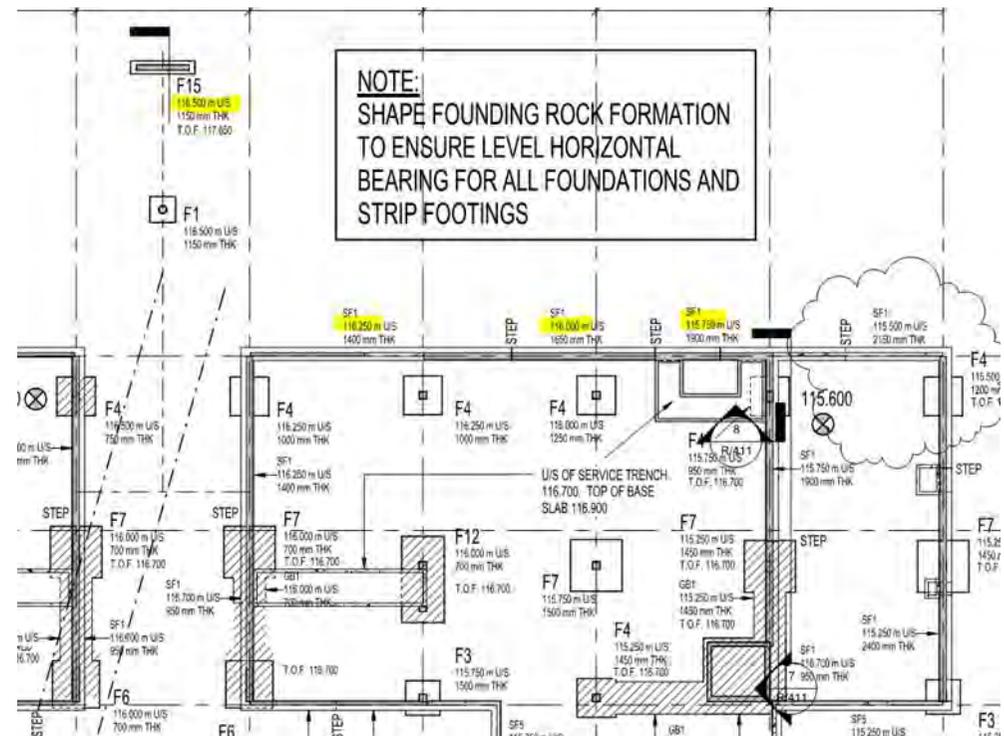


Figure 6 - Adjacent Building Foundation Sample Drawing

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APPENDICES MECHANICAL & ELECTRICAL REPORT

Background

Catmose College is an over-subscribed 7 Form of Entry (FE) secondary academy and is part of the Rutland and District Schools' Federation.

There are plans to extend the school and the Client Group wanted to establish the condition of the existing building prior to plans being set for the expansion.

There is a good set of Operating and Maintenance Manuals with Record Drawings provided.

Executive Summary

The current building was built in 2010 and handed over in February 2011, the school is generally in a good condition, regularly serviced and largely trouble-free.

Whilst the existing T5 / Compact Fluorescent lights are in good repair, it would be self-financing over a 7-year period to replace these lights with LED equivalents. This has not been allowed for in the main school except where the lighting is being remodelled.

The Biomass boiler is available to operate but has fallen into disuse due to the high cost of the wood-pellets compared to the alternative gas-fired systems. This affects the decision whether to extend the existing main school system to the extension.

It appeared that there would be spare capacity in the existing mechanical and electrical systems to accommodate a new extension if required although the incoming services are located in the boiler room at the far end of the building from the new extension location so generally local connections to the incoming water and gas services have been allowed. The electrical supply is being taken from the intake room.

It is anticipated that the new extension will incorporate LED Lighting and Part M Compliant switches and socket outlets. The new lift would be fully accessible.

Electrical systems i.e. access control, intruder alarms, fire alarms, CCTV ICT Data etc. would be extensions of the existing main building systems to ensure compatibility and full integration with the main school systems.

Mechanically the systems are recommended as gas fired heating and hot water with underfloor heating and a central mains-fed water system.

Ventilation is recommended as a room-by-room based mechanical ventilation with heat recovery (MVHR) strategy. Ground-floor through the perimeter wall and first floor through the roof.

The remodelled Brightways Adult Education Centre would be provided with modifications to the existing M&E system as required by the remodelling of the partitioned layout.

M&E Services Review

Electrical Services

There is a new sub-station on site and the main building is provided with a 2000 Amp, 3-Phase panel board in the electrical intake cupboard adjacent to the main boiler plant room. On the day of the visit with the classrooms full of pupils and the kitchens preparing for lunch, the building was drawing approximately 500 Amps per phase indicating that there would be spare capacity for the new extension. We recommend that a new sub-mains cable be run from a spare way in the electrical intake room to the new extension, run through the building.

Incoming / Small Power

The main power distribution boards were all compliant, operational and in good condition as would be expected for a building of this age.

A new electrical service cupboard is recommended in the new extension to house a new sub-metered, split distribution board to ensure that the usage is sub-metered by use as required to achieve the BREEAM Very Good sub-metering credits. Final circuits to be protected from RCBOs (Residual Current Circuit Breakers) on the sub distribution boards as recommended by wiring regulations.

New distribution boards and small power would be installed to meet the requirements of the new premises, including mechanical plant requirement and other special services requirement. All the wiring will be in compliance with the current wiring regulation and BS7671.

Light switches and power outlets in the rooms and circulation areas will be plastic and in plant room it would be metal clad. Installation heights and colour appearance of the front covers of the outlets will comply with Building Regulation Part M which is for full accessibility and use of the buildings.

The current approximately 400 sq.m. Brightways Adult Education Centre occupies the South West corner of the ground floor and is to be remodelled to form classrooms with relocated partitions and toilets, the electrical installation and lighting to this area will need to be removed and remodelled / re-wired from the local distribution board.

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General Lighting

The new extension and the remodelled Brightways Adult Education Centre would be provided with LED luminaires designed to SLL Code for Lighting 2012, CIBSE Lighting Guide 7 sections 2.4, 2.13 to 2.15, 2.20, and 6.10 to 6.20 as required to achieve the BREEAM Very Good visual comfort credits. Lighting controls shall be as the main building for consistency with manual 'On' and absence 'Off' automatic switching with separate switching / dimming of the Whiteboard row and window row of luminaires.

Emergency Lighting

New emergency lighting to be integrated into the new main lighting and provided in accordance with BS5266, following the new fire evacuation planned route covering high risk areas and escape routes out to the street.

Intruder Alarm

There is an Intruder Alarm system installed comprising PIR sensors, window and exit door contacts to the main school generally. The new extension would have new intruder alarms to ground-floor accessible doors and windows with internal PIRs and sounders. The new intruder alarm system would be an extension of the existing main school system to ensure compatibility and full integration but with local control panels and keypads.

The new intruder alarm services to be compliance with BS EN 50131 2017.

The remodelled Brightways Adult Education Centre would be provided with modifications to the existing Intruder Alarm sys-

tem as required by the remodelling of the partitioned layout.

CCTV System

There is CCTV cover to internal and external areas of the building. The new extension would have new CCTV as agreed with the local Crime Prevention Officer to cover ground-floor approaches to doors and windows with internal CCTV as considered appropriate with the School. The new CCTV system would be an extension of the existing main school system to ensure compatibility and full integration.

New CCTV services would be provided with 30 day recording facility in accordance with BS EN 50132.

The remodelled Brightways Adult Education Centre would be provided with modifications to the existing CCTV system as required by the remodelling of the partitioned layout.

Fire Alarm

There is Fire Alarm cover to the main building, the system was operational and without faults. The new extension would have new fire alarms throughout to BS5839-1 with internal smoke/heat detectors, break-glass-units on exits and sounders / visual alarms. The new fire alarm system would be an extension of the existing main school system to ensure compatibility and full integration but with local repeater alarm panel.

Wiring will be LSF sheathed FP200 Gold fire resistant cables routed within service voids where available, otherwise surface mounted.

The Fire alarm system will initiate automatic release of access control door maglocks and door hold-open devices to meet the requirements of BS 7273 part 4: 2015.

The remodelled Brightways Adult Education Centre would be provided with modifications to the existing Fire Alarm system as required by the remodelling of the partitioned layout.

Refuge Alarm

There will be 2 No. refuge alarm calling points in secure lobbies by the staircases on the 1st floor and alarm indicator will be by the main fire alarm panel. Refuge alarm system will need to be connected to the main fire alarm system.

ICT

There will be required to be a new local data network with ICT server cabinet for the facility support staff. This system would be provided and extended from the main school ICT System to suit the new requirements, All new data cabling would be CAT6 standard and outlets would be RJ45. There would be additional data outlets at high level on walls in selected areas to provide WiFi facility.

Data outlets will be provided in the new rooms as required and to be fed from the local relevant new ICT patch panels.

The remodelled Brightways Adult Education Centre would be provided with modifications to the existing ICT Data

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APPENDICES MECHANICAL & ELECTRICAL REPORT

system as required by the remodelling of the partitioned layout.

Access Control

New access control units will be provided to suit the client's requirement and British Standards. Fob access will be required at each door with programme and data review facility.

The new Access Control system would be an extension of the existing main school system to ensure compatibility and full integration.

The remodelled Brightways Adult Education Centre would be provided with modifications to the existing Access Control system as required by the remodelling of the partitioned layout.

New Extension Lift

To ensure that the new extension is fully accessible, the new extension would be provided with a new 2-floor 8-person Accessible lift designed for use by wheelchair users to BS81.

New Extension Rooftop PV

To achieve the required sustainability criteria necessary to achieve BREEAM Very Good, we anticipate that a large proportion of the new extension roof would need to be covered by PV Panels. The final amount will be subject to detailed design and the associated Thermal Modelling.

Mechanical Services

Gas Service

A 125mm gas supply runs close to the rear wall of the main school and enters the premises via gas meter located in a meter

cupboard adjacent to the main boiler house. As this live unmetered main supply runs between the new extension and the Sports Hall, we recommend that the local Gas Utility Co. is employed to cut into this live main and provide a new metered supply to the new extension to serve the gas-fired central boiler plant, the cookery classes and the science benches.

Gas-fired plantrooms would be provided with gas safety detection, manual and automatic alarm devices and automatic gas shut-off valves.

Classrooms with gas-fired equipment would be provided with gas safety systems comprising manual emergency knock-off/go-home buttons and automatic alarm devices and automatic gas shut-off valves per classroom.

Heating Plant

The main school is provided with a Hoval STU 425kW Biomass Wood-Pellet boiler supported by 2 No. Hoval UltraGas 300 high efficiency gas boilers each rated at 273kW operating at 80/60 Deg.C. Whilst the Biomass boiler is designed to take the lead on the heating with the gas-boilers in support, the Biomass boiler has not been used for several years due to the cost of the wood pellet fuel being significantly more expensive than gas. There is a large buffer vessel to help smooth the load. We were advised that the gas boilers operate sufficiently to hold the load and well within their capacity as they usually only need one boiler to hold the load, there is therefore likely to be spare capacity on the heating system for the proposed new extension, if required.

The main school boiler house is approximately 100m from the new extension location and as the low-carbon Biomass boiler is

not in use, there is little cost or efficiency benefit in connecting the new extension to the main boiler plant. As we already need to have gas in the new extension for the classrooms, it would be most cost effective to serve the new extension heating and hot water from new self-contained gas-fired plant.

Whilst heat pumps are more carbon efficient, they are more expensive to install and more expensive to operate due to a shorter economic life and higher maintenance costs. Additional PV if required to achieve the same carbon efficiency would be a more cost-effective option.

Heating Systems

The main school heating strategy is generally for perimeter convectors under the external classroom windows, radiant heating panels for Labs and Cookery areas with underfloor heating to central core areas, all served from local VT/CT manifolds around the building. The mechanical services are all controlled and monitored via a Trend 963 control and monitoring system.

To ensure that the perimeter walls in the cookery classrooms and science labs remains clear for benches and cupboards etc. we would discount the use of radiators and perimeter convectors and recommend either over-head radiant heating panels or underfloor heating. Radiant heating needs full temperature heating water to be effective whilst underfloor heating can operate at low temperatures ensuring better boiler operating efficiencies.

For pricing, we would recommend underfloor heating throughout.

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Domestic Cold Water

Whilst there is some confusion on the record drawings, it appears that there is a 65mm underground water main run from the main boiler house tanks to serve the Sports Hall.

As this metered main supply runs near the gap between the new extension and the Sports Hall, we recommend that the route is excavated at the closest point to the new extension to cut into this live main and provide a new sub-metered supply to the new extension to serve the gas-fired water heater, the cookery classes, science benches and the new toilets.

The remodelled Brightways Adult Education Centre would be provided with modifications to the existing Cold Water system as required by the remodelling of the toilet partitioned layout.

Domestic Hot Water

Domestic hot water heating for the Main School is via a hot water calorifier fed from the main gas boiler plant.

The Sports Hall has its own boiler plant and gas-fired water heaters as it is routinely operated into the evening for use by the local community after the school has closed for the day.

The dispersed requirement for hot water in the new extension cookery classrooms, science labs and toilets etc. lends itself to a new central system with flow and return distribution as required.

Whilst there is likely to be spare capacity in the Sports Hall hot water system for the new extension, it would be more cost effective to provide a local gas-fired water heater in the new extension instead of a long run of flow and return pipework run the length of the Sport Hall and across the intervening walkway.

The remodelled Brightways Adult Education Centre would be provided with modifications to the existing Hot Water system as required by the remodelling of the toilet partitioned layout.

Water System and Sprinklers

A 100mm cold water metered supply enters the main building via the boiler room and feeds the cold-water storage tanks and booster set serving the building as a whole and an unmetered supply that serves the sprinkler tank in the rear car park.

Whilst the size and the arrangement of the new extension may not be enough on its own to require a stand-alone sprinkler system, given that the main school is sprinkler protected and runs underground to the Sports Hall relatively close to the new extension, we would recommend that the existing sprinkler system be extended into the new extension.

The remodelled Brightways Adult Education Centre would be provided with modifications to the existing Sprinkler system as required by the remodelling of the toilet partitioned layout.

Ventilation

The main school classrooms generally have natural ventilation via openable windows although rooms without external openable windows have mechanical extract and automatic openable windows from the internal communal areas and atria. These internal communal areas have automatic air intakes via automatic actuated windows over the exit doors.

The remodelled Brightways Adult Education Centre would be provided with modifications to the existing automated ventilation system as required by the remodelling of the partitioned

layout as ventilation is currently built into the partitions that are being removed.

The lowest first cost option for the new extension would be to replicate the main school openable windows strategy but this is not energy efficient as the incoming cold air needs to be heated by the gas-fired heating system.

The more energy efficient option and to comply with BB101, would be to provide heat recovery ventilation units that pre-heat the incoming fresh air with exhausted room air which recovers approximately 80% of the waste heat. Subject to detailed design, to achieve BREEAM Very Good it may be necessary to adopt a Mechanical Ventilation with Heat Recovery (MVHR) ventilation strategy and this is recommended at this stage. These systems can also be used to control over-heating in summer.

Toilets and tea-points would need dedicated extract ventilation in compliance with Building Regulations Part F. Chemical stores and COSSH Cupboards would also need dedicated extract to outside to prevent fume build-up.

Cookery classrooms, especially with gas-fired cooking equipment will require heat and fume extract from the cooking with dedicated make up air to balance the cooker hood extract.

Fume cupboards in the Science Labs also need dedicated chemical resistant fume extract systems discharging to outside with dedicated make up air to balance the fume cupboard extract.

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Subject to detailed design once the Workshop uses are fully established, there may need to be specialist Local Extract Ventilation from sawing / sanding machines, soldering bays etc.

Air-source Heat Pumps / Cooling

As a low carbon alternative to the gas-fired boilers, especially where low temperature underfloor heating is adopted, electric air-source heat pumps could be utilised in place of the gas-fired boilers. The increased installation and operating costs would only be justified where this was necessary to achieve Building Regulations Part L Compliance and/or BREEAM Very Good

Above Ground Drainage

The above ground soil and waste system will be extended in compliance with BS EN 12056 Part 2: 2000 Gravity Drainage Systems Inside Buildings. Sanitary Pipework, Layout and Calculation and Building Regs Part H..

A primary ventilated gravity stack foul drainage system will be designed to collect discharge from all toilets, sanitary ware and kitchen appliances along with mechanical plant requiring safety and/or condensate discharge. The above ground drainage system will connect directly to the underground drainage system at ground floor level and be adequately vented to ensure trap seals are maintained at all times.

Inspection, Testing, Certification and Documentation

All test certificates with operation and maintenance manuals and record drawings for the installed mechanical and electrical services will be provided at end of the project as part of the handover process with familiarisation and training for the operations and maintenance staff.

To help achieve BREEAM Very Good, there shall be a requirement for Seasonal Commissioning with the Contractor returning 3 times during the post-handover season to fine tune the system controls and for the Contractor to provide post-handover Customer Support.

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Overview

The proposed project consists of the development of a new block located immediately next to the sports hall at Catmose College, Oakham to provide a new high-quality education space and the refurbishment of the south east ground floor area of the main school building that is used for adult education. The two storey block will incorporate classrooms, laboratories, cookery, break out space, office and administration space as well as sanitary facilities with a total floor area of 1,288m². The adult education area is a total of 484m².

This Sustainability Statement will be provided to the client as a sustainability brief outlining the potential to demonstrate the development's holistic approach to sustainable design and construction. It summarises the contribution that the design will make to create a more sustainable development, drawing on information provided by specialist consultants involved at Stage 2 of the proposed scheme, and identifying key features intrinsic to achieving low carbon developments.

The following key sustainability features within the development have been considered:

- The project could optimise the use of renewable energy sources such as PV panels or Air Source Heat Pumps reduce total carbon emissions;
- The project could adopt water efficiency measures in order to meet a recommended water consumption target of 110 litres/person/day (including external use);

- The project could utilise sustainable transport measures in order to improve its accessibility;
- The project could adopt a sustainable materials procurement policy and an efficient waste strategy on site to reduce embedded carbon emissions;
- The project could implement design and operational indoor air quality and thermal comfort to ensure health and wellbeing of the occupants; and
- The project could implement measures throughout construction to protect the ecology on site and provide biodiversity enhancement for the long-term.

Key Sustainability Measures

In summary, the key measures to incorporate within the design in order to address sustainability include the following key areas of sustainable design and construction:

- Energy and CO₂
- Adaptation to climate change
- Flood risk mitigation and SuDS
- Waste
- Water efficiency
- Transport and connectivity
- Materials
- Health and wellbeing
- Land use and ecology
- Sustainability Assessment

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SUSTAINABILITY STATEMENT—INTRODUCTION

Sustainability Introduction

The design team has significant experience in delivering schemes that are considered highly sustainable, either through application of formal green building rating systems, such as BREEAM, Home Quality Mark as well as applying benchmarks from standards such as Passivhaus Design and adopting precedents from industry exemplary sustainable developments.

The scheme is intended to reflect the holistic nature of sustainable development at Catmose College, Oakham. The development offers opportunities to provide high-quality, new build area of need and seek to use local labour to boost employment. Health and wellbeing could be incorporated in the design by maximising daylighting, utilising healthy materials and contributing to the alleviation of fuel poverty in the region. The site is currently a mixture of level porous paving, a grass bank and grass playing field and is assumed to be of low ecological value. Enhancement measures, such as a green roof native planting and potentially bird and bat boxes could be implemented to support the local ecosystem.

Description of Development

The proposed development is to be located at Huntsmans Drive, Oakham, Rutland, LE15 6RP. The site is an area occupied by Catmose College and the proposed scheme will form a new building next to the sports hall and a refurbishment of an existing ground floor area part of the main school building.

The proposed project consists of a new block with ground floor area of approximately 690m² and first floor area of 538m². The proposed ground floor consists of two classrooms, one workshop area, a cookery, break out space with lockers and sanitary areas. The proposed first floor consists of further locker space, three laboratory rooms, preparation and office space and sanitary areas.

The refurbishment at the south east ground floor adult education area will include alterations of the layout. The space will consist of four classrooms, tutorial room, administration, break out space and sanitary facilities.

The aspiration for the scheme is to provide additional space by providing an efficient and inclusive development, which meets the client's requirements and any policy recommendations listed in the Rutland County Council Core Strategy

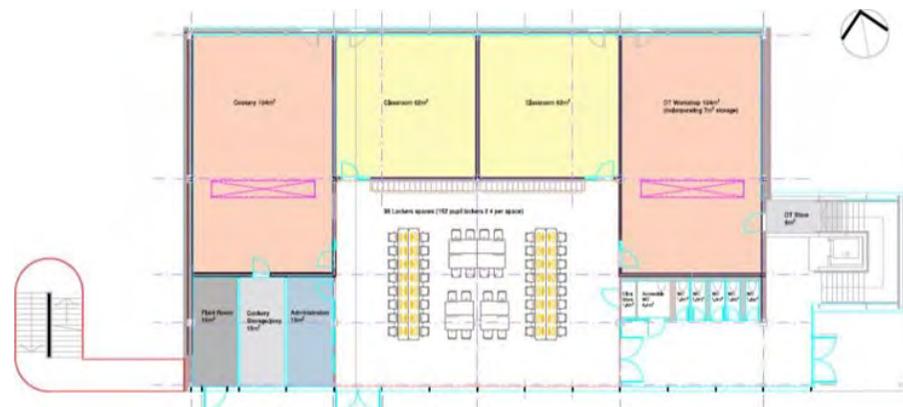


Figure 1: Proposed Ground Floor of the new block

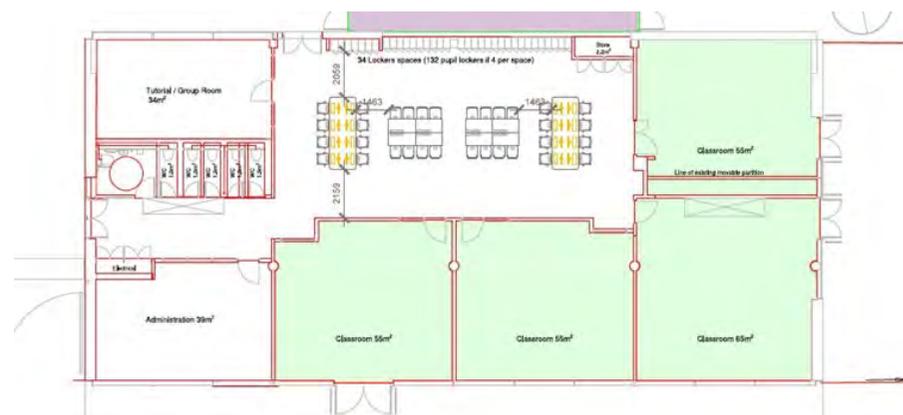


Figure 2: Proposed main school Ground Floor refurbishment

National Context: The 2008 Climate Change Act

The UK Government is committed to reducing the UK's carbon emissions by 100% over 1990 levels through the Climate Change Act 2008. Achieving truly sustainable design and construction and forwarding the green agenda within the construction industry across the UK is inherent to meeting these emission targets. This development would aim to do both of these.

To help monitor carbon reductions and to plot progress being made for future plans and investments in the UK's low-carbon economy, intermediary targets have been established to ensure that the UK remains on course for meeting the 100% reduction by 2050.

Concurrent with reducing CO₂ emissions by 100% by 2050 is the European Climate Change Policy targets. It sets the objective of ensuring 20% of energy consumption is generated from renewable sources by 2020 whilst also reducing Europe's carbon footprint by 20%. Ensuring a fabric first approach with consideration to renewable energy production fits both the climate change act and the European Commission's 2020 targets for reducing greenhouse gas (GHG) emissions.

National Context: National Planning Policy Framework 2019

The National Planning Policy Framework (NPPF) published in 2019 sets out the UK Government's planning policies for England. Planning law requires that applications for planning permission must be determined in accordance with the local

development plan unless material considerations indicate otherwise. The National Planning Policy Framework must be taken into account in preparing the development plan and is a material consideration in planning decisions. Planning policies and decisions must also reflect relevant international obligations and statutory requirements.

The NPPF is supported by a series of Planning Practice Guidance (PPG) documents. The guidance in relation to air quality provides guiding principles on how planning could take account of the impact of new development on air quality. The following policies are relevant to the Sustainability Statement:

- Achieving sustainable development
- Promoting healthy and safe communities
- Promoting sustainable transport
- Achieving well-designed places
- Meeting the challenge of climate change, flooding and coastal change
- Conserving and enhancing the natural environment

Regional Context: East Midlands Regional Plan 2008

The East Midlands Regional Plan 2008 is the overall strategic plan for East Midlands area and as such includes Rutland. This document, therefore, plays an overarching role in the planning process for the area.

The East Midlands Regional Plan sets out an integrated economic, environmental, transport and social framework for the development of East Midlands, including targets on the following key aspects:

- Environment;
- Economy;
- Housing;
- Minerals, Aggregates and Waste;
- Transport

Within the East Midlands Regional Plan there are a number of key targets indirectly related to new developments:

- Policies 26-31 on protecting and enhancing the regional natural and historic heritage.
- Policy 32 on increasing the number of sites with Sustainable Drainage systems and developing new targets for domestic water efficiency.
- Policy 38 on enhancing energy reduction and efficiency through targeting 1.5% reduction in energy consumption per year over plan period.
- Policy 39 on low carbon energy generation through targeting the renewables energy generation of 511 MWe by 2010 and 1120 MWe by 2020.
- Policy 37 on waste management and targeting zero growth in controlled waste by 2016 at the Regional level and decrease in waste disposed of in landfill in line with national targets
- Policy 44 on the yearly increase in the use of travel plans in the public domain as well as increase in journeys made by cycle.

SUSTAINABILITY STATEMENT—POLICY CONTEXT

Local Context: Rutland County Council's Local Plan

Rutland's local development framework consists of Core Strategy Policies, alongside the above mentioned Policies from the East Midlands Regional Plan. Of particular relevance to this report is the Sustainability Appraisal Development Plan Document, which provides detailed guidance on these policies. Together these documents provide a clear guidance on how to sustainably develop the county. At a minimum, ways of compliance with the following policy requirements will be demonstrated in this Sustainability Statement:

Core Strategy Policies (2001-2026)

- Policy CS1: Sustainable Development Principles: New developments are expected to mitigate impact on current and future climate change, enhance environmental assets, ensure wider transport accessibility on site, maximise resource use efficiency in relation to energy, water, materials and waste, and avoid using development land at risk of flooding.
- Policy CS7: Delivering socially inclusive communities: New developments are encouraged to provide spaces that meet and enhance the provision for diverse needs of the surrounding community and do not contribute to the deprivation of services and facilities.
- Policy CS18: Sustainable transport and accessibility: New developments are expected to work with the council to address accessibility to amenities and employment facilities, improve the availability of sustainable transport alternatives such as cycling and walking and provide travel plans
- Policy CS19: Promoting good design: New developments are expected to address security needs, minimise energy consumption and maximise renewable energy generation, minimise water use and risk of flooding through Sustainable Drainage Systems and ensure and allow for adequate construction and operational waste management.
- Policy CS20: Energy efficiency and low carbon energy generation: New developments are encouraged to utilise renewable, low carbon and de-centralised energy sources. All new domestic developments are encouraged to meet Code for Sustainable Homes (now Home Quality Mark) energy efficiency standards beyond compliance with Building Regulations. All non-domestic buildings are encouraged to meet BREEAM design standards for energy efficiency.
- Policy CS21: The natural environment: New developments will be expected to protect endangered sites and species, minimise negative impact on ecology and maintain and enhance the natural environment.
- Policy CS23: Green infrastructure, open space, sport and recreation: New developments are expected to safeguard, improve and enhance existing green infrastructure network such as green spaces, paths, cycleways, open spaces, sport and recreation facilities.
- Policy CS24: Rutland Water: New developments should be carefully designed and located in relation to Rutland Water and its uses.

Energy Strategy

The current energy strategy for compliance with Part L of the building Regulations for the new build is yet to be developed. The block could be connected to the existing heating network on site which consists of a biomass boiler plant utilising wood chip fuel. In addition, the development could incorporate a number of other renewable energy technologies. Below are some of the most common of these renewable strategies considered suitable for the scheme.

Renewable energy technologies

Biomass

Biomass is normally considered a carbon 'neutral' fuel, as the carbon dioxide emitted on burning has been recently absorbed from the atmosphere by photosynthesis. Although some form of fossil fuel derived inputs are required in the production and transportation of the fuel.

Wood is seen as a by-product of other industries and the small quantity of energy for drying, sawing, pelleting and delivery are typically discounted. Biomass from coppicing is likely to have external energy inputs from fertiliser, cutting, drying etc. and these may need to be considered. In this toolkit, all biomass fuels are considered to have zero net carbon emissions.

Biomass could be burnt directly to provide heat in buildings. Wood from forests, urban tree pruning, farmed coppices or farm and factory waste, is the most common fuel and is used commercially in the form of wood chips or pellets. Biomass boilers could also be designed to burn smokeless to comply with the Clean Air Acts.

A major factor influencing the suitability of a biomass boiler is the availability of the biomass fuel. A local and reliable fuel source would be essential for the biomass boiler to be an efficient replacement for a conventional boiler system. The original school incorporated such systems, however, the above mentioned fuel availability is likely to be an issue if the new block is connected to the service.

PV

Photovoltaic systems convert energy from the sun into electricity through semiconductor cells. Systems consist of semiconductor cells connected together and mounted into modules. Modules are connected to an inverter to turn the direct current (DC) output into alternating current (AC) electricity for use in buildings.

Photovoltaic systems could be discreet through being designed as an integral part of the roof. An 'invisible' design using slates or shingles as opposed to an architectural statement could be preferable in a sensitive area.

Photovoltaics supply electricity to the building and are attached to electricity grid or to any other electrical load. Excess electricity could be sold to the National Grid when the generated power exceeds the local need. PV systems require only daylight, not sunlight to generate electricity (although more electricity is produced with more sunlight), so energy could still be produced in overcast or cloudy conditions.

The cost of PV cells is heavily dependent on the size of the array. There are significant cost reductions available for larger installations.

Solar PV

Solar water heating systems use the energy from the sun to heat water for domestic hot water needs. The systems use a heat collector, generally mounted on the roof in which a fluid is heated by the sun. This fluid is used to heat up water that is stored in either a separate hot water cylinder or a twin coil hot water cylinder inside the building. The systems work very successfully in all parts of the UK, as they can work in diffuse light conditions.

Like photovoltaic panels the most suitable location for mounting solar hot water panels is on roofs as they usually have the greatest exposure to the sun.

The school's operational pattern and the extensive shut down period during the summer, however, will likely decrease the overall efficiency of the system. The design team has considered point of use electric heating with small storage capacity to minimise heat losses and reduce legionella risk.

Air Source Heat Pumps (ASHP)

Air source heat pump systems work on the same principle as a ground source heat pump although they use the outside air as the heat source. The coefficients of performance given by air source heat pump systems are inferior to that of ground source systems due to varying air temperatures. In the depth of winter the energy efficiency of an air source system will be lower than that of a ground source system, and it is likely that more back-up heat will be required if an air source unit is fitted. This back-up heat often comes from a direct electric heater. They operate over a varying temperatures range of -15°C to +25°C, however, the performance will reduce to below the required 3 to 1 carbon saving ratio in winter, and they also require a defrosting mechanism to melt ice that forms on the air heat exchanger.

ASHPs are cheaper to install than ground source heat pumps but are only

available on a relatively small scale. If applied across a larger site a number of plant zones would be required for generation of heat, leading to increased plant space requirements. Typical costs for an installation this are in the region of £10,000 for a smaller commercial or domestic size installation.

Carbon dioxide emissions savings will typically be less than that of the ground source heat pump. Air source heat pumps may be more suitable as an HVAC solution.

Ground Source Heat Pumps (GSHP)

Geo-thermal energy is essentially heat collected from the ground. Heat obtained from the ground may be considered it as a source of heating and cooling within the UK by the use of a geo-thermal heat pump or ground source heat pumps.

A ground source heat pump is a device for converting energy in the form of low level heat to heat at a usable temperature. The heat pump consists of five main parts; ground collector loop/or bores, heat exchanger, compressor, condenser heat exchanger and expansion valve.

At approximately 1.2-1.5 metres down below ground level the temperature is a constant 10 to 12°C. Any bores would need to be sunk to an effective depth of 50 – 120m and a ground feasibility report would be required to ascertain if this method of heat source was viable.

From the bores pre-insulated pipework is laid in the ground to the heat exchanger device. The system is filled with water and anti-freeze. The cooled water is pumped around the loop / bore gathering energy as it circulates. The water that has been heated to 10-12°C is returned to the ground source heat exchanger where the energy is transferred to the refrigerant gas. For every 1kW of energy used to compress the refrigerant, the process 'gives up' 4

SUSTAINABILITY STATEMENT—ENERGY AND CO₂

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kW of energy for use in the system being used to heat the building.

Typical costs for an installation this are in the region of £16,000-20,000 for a smaller commercial or domestic size installation, with general installation costs at £1200 /kW of energy produced.

Energy Efficiency Strategies

Energy efficiency measures that could be deemed more suitable for the new development at Catmose College include:

- High insulation standards to reduce transfer of heat through the building fabric.
- Use of photovoltaic panel (PV) systems or Solar PV. These would need to be located on the flat roof at an appropriate tilt angle and orientation to maximise performance.
- Use of an air source heat pump system to provide heating and hot water for the whole development.
- Envelope air tightness to reduce unnecessary air infiltration
- Use of Mechanical Ventilation Heat Return (MVHR) system to further contribute to energy demand reduction.
- Daylighting and well-planned floor layouts to reduce the need for artificial lighting; and

- High efficacy LED lighting with automatic controls

Thermal Comfort and Overheating Risk

To minimise energy loss, the building fabric performance could be designed to achieve a balance between retaining heat during winter and allowing the building to dissipate heat during the summer months. Further measures to reduce overheating and the need for cooling include:

- Energy efficient design to minimise internal heat generation. In order to do this energy efficient appliances and lighting could be specified.
- Exposed concrete slab soffits could be incorporated.
- Direct solar gains could be controlled through specifying appropriate location, size and type of windows. Windows with specific properties designed to let a low percentage of solar heat in are to be specified. The current design of the proposed new development includes an option for triple glazing and low g-values on the south elevation.
- Reduced air permeability rate and maximised insulation levels
- Passive ventilation systems with MVHR as well as openable windows.

Construction Environmental Management

Environmental impacts of the construction works could be mitigated as far as possible through the incorporation of the following:

- Contractor following environmental management system processes (under ISO14001), including the development of a construction environmental management plan (CEMP) specific to the sites;
- Training and site induction of all site operatives;
- Monitoring of energy, water and transport to and from site during construction;
- Management of waste on site;
- Following best practice pollution guidance from the Environment Agency;
- Ensuring all site timber is responsibly sourced in line with the UK Government's Timber Procurement Policy;
- Vehicle emissions would be minimised through the use of catalytic converters and the regular maintenance of vehicle engines;
- Damping down of brick walls etc. during any building demolition;
- Regularly inspecting and wet suppressing materials/soil stockpiles where necessary (including wind shielding or completely enclosing, storing away from site boundaries, and restricted height of stockpiles);
- Appropriate orientating of material stockpiles;
- Providing wheel washing and wet suppressing during the loading of wagons vehicles;
- Covering vehicles carrying dry soil and other wastes;
- Shielding of dust-generating construction activities;
- Providing suitable site hoarding;
- Restricting vehicle speeds on haul roads and other unsurfaced areas of the site; and,
- Inspecting unsurfaced haulage routes, and wet suppressing should this be necessary (in times of prolonged dry periods).

Considerate Constructors

The project could also seek to register and certify the site to Considerate Constructors Scheme (CCS) or adopt the scheme's principles. The CCS scheme aims to recognise and encourage construction sites that are managed in an environmentally and socially considerate, responsible and accountable manner.

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SUSTAINABILITY STATEMENT—WATER EFFICIENCY

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Water Management Introduction

The development proposal recognises the need to create a scheme that is efficient and adaptable to future climatic scenarios.

Water Conservation

The design team should consider targeting a significant reduction in internal water use for the development over typical performance, equating to a water consumption target of 110 litres per person per day (including 5l/p/day for external use). This is a 12% improvement over the standard UK Building Regulations Part G requirement.

Water consumption could be reduced through the use of water efficient components for all specified domestic water-consuming components (including low-flow showerheads and taps, dual flush toilets and low water consuming washing machines and dishwashers), water meters linked to a Building Management System on site, water recycling systems where appropriate and flow control devices that regulate the supply of water to each facility according to demand.

A permanent automated water leak detection system could also be installed to alert the building occupants to a major water leak on the mains water supply within the building and between the building and the utilities water meter.

Public Transport

The development is located North West of Oakham town centre. The network of public transport routes accessible from the site is extensive. There are at least 3 bus stops within less than 500m of the site. The nearest bus stop, Huntsman Drive which is about 350m away, serves bus routes 184, R47, RF1 and RF2. The Rail Station bus stop, about 400m away, serves the same bus routes as well as 146. The Town's Bus station is located 750m walking distance from the proposed site and offers additional two bus services. Oakham train station is located 650m walking distance from the proposed new block and refurbishment and offers Cross Country and EMR services to Stansted Airport, Birmingham, Norwich as well as connections to North England.

Cycling Provision

The provision of cycle parking should be considered as part of the new building in order to address Policy CS18 of the local plan. There are no minimum requirements on the number of cycle spaces required by the policy. The site could incorporate BREEAM New Construction 2018 principles where educational buildings are required to provide 1 parking space per 10 members of staff and students combined.

There are not many cycle lanes available in the surrounding area of the project, however most roads have wide lanes which allow for on-road cycling. In addition, the school is located in a largely residential area and therefore quiet routes are available.

Rutland has a network of cycle routes across the county which begin from Oakham including Oakham to Collyweston / Ketton and Oakham to Fotheringhay Castle.

Car Parking Provision

No new on-site parking will be provided as part of the proposals. The existing car parking facilities which include disabled car parking spaces are located immediately south east to the refurbishment and south of the new build part of the project.

Accessibility and Security

Creating a secure but fully accessible development is a key part of the proposed development, in line with Policy CS7. To ensure this is achieved, the design team could adopt, where feasible, the key principles of "Secured by Design" within all elements of the scheme. In addition, Architectural Liaison Officer (ALO) or a Crime Prevention Design Advisor (CPDA) could be consulted at an early stage to provide recommendations of how the CPDA will be implemented within the development's design and layout.

It is likely that the school already incorporates some of the above mentioned strategies and therefore features such as Accessible toilets and potential accommodation for disability access features of the lift provision should suffice in ensuring inclusive design of the new build and refurbishment.

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SUSTAINABILITY STATEMENT- MATERIALS

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Materials and Waste Introduction

Sustainable material sourcing and waste management should be considered throughout the life of the building to ensure the scheme's environmental footprint is minimised as far as possible. The scheme could also ensure low embodied carbon is employed throughout the procurement, transport and construction of building materials, together with end of life emissions.

Materials Selection and Sourcing

It is the design team and contractor's responsibility to ensure that efforts are made to reuse materials where feasible and that where required, new materials will be responsibly sourced. New construction materials could be selected, where feasible, with a low environmental impact.

An option the design team are considering for the superstructure is using reinforced concrete with a low cement ratio and possibly the use of post tensioning to keep slab thickness to a minimum. Alongside this strategy, it is recommended that new materials come from a recycled or reused source.

A potential option also considered by the team are using cross laminated timber (CLT) for the superstructure. The use of Cross Laminated Timber (CLT) could offer the double benefit of sequestering CO2 from the atmosphere during the timber lifespan as well as requiring less energy to produce. Minimum standards should apply to all new timber, which must be sourced in accordance with the UK Government's Timber Procurement Policy.

In addition, all timber could be FSC/ PEFC certified, all concrete will be BES 6001 certified and any other material could be ISO 14001 certified for both key processes and supply chain/ extraction processes where feasible to do so.

The Green Guide for Specification is a reference tool, providing guidance on the relative environmental impacts for a range of different building elemental specifications, based on Life Cycle Assessment and the Environmental Profile Methodology. The design team could reference the Green Guide to Specification to help specify materials with a low environmental impact, where feasible. The design could aim for incorporating at least 5 build-up elements that are be A-C rated on the Green Guide.

The design team could also aim for insulation specifications that eliminates hydrochlorofluorocarbons (HCFCs) and ozone depleting materials, wherever possible. All insulation specified could also have a Global Warming Potential (GWP) of less than 5 and be responsibly sourced to have a low embodied impact.

Embodied Carbon Analysis

The development could utilise a number of opportunities to cut embodied carbon, as follows:

- A materials efficiency strategy could be developed and followed throughout the design, procurement and construction stages of the development, to ensure the scheme produces less waste on site. For

example, adjustment of some sizes will be made to minimise offcuts of materials, and some bespoke materials will be developed off-site;

- Materials could be procured from the local area where possible, to reduce carbon through transportation;
- Materials and products with a higher recycled content could be preferentially procured where feasible, as these have a low embodied carbon;
- Consideration could be made to use timber as a low embodied carbon alternative to concrete where possible and particularly for the fit-out elements since the fabric build up needs to align with the school's existing fabric; and,
- The design team could seek to commit to the Waste and Resources Action Programme (WRAP) guidance 'cutting embodied carbon in construction projects, where feasible.

Occupant Wellbeing

The development should be designed to ensure the wellbeing of occupants in terms of levels of fresh air, thermal comfort and reduction of overheating, access to natural light, good lighting levels internally and externally and acoustic performance.

Internal Air Quality

The design team should specify only low volatile organic compounds (VOC) finishing products, including sealants and paints in accordance with standards such as the EU Directive 2004/42/CE. Avoiding the use of composite wood products that contain added urea formaldehyde is also recommended.

Daylight

At this stage the design appears to be developed to allow the use of daylight within the new build and the refurbishment to be maximised as far as practical through the North façade curtain walling particularly useful for the class rooms and laboratory areas of the new building.

Inclusive Design

The guidance in the Approved Document M (March 2016) should be incorporated to achieve an inclusive built environment that enables users to maximise their individual abilities and enjoy a safe and independent participation. Where feasible, both the new build and refurbishment should demonstrate compliance to Part M1 Access to and use of buildings other than dwelling as well as the specific Part M requirements for educational establishments. All of this already appears to be considered through the proposed disabled access toilets of the new build and refurbishment. The potential for the lift to be used by individual with disabilities should be explored.

Cleanliness and maintenance

The design team have suggested the use of sensor toilet flush devices in order to reduce exposure to pathogens through frequently touched surface areas. In addition, antimicrobial door push plates and handles could be considered in high traffic pedestrian areas within the building.

Site Amenities

In addition to the existing site amenities, the design team is considering the incorporation of blue roof and green roof features with allowed access for students via a stairway access to the roof and parapet of 1.1m height. Should this form part of the final design, disabled access should be considered.

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SUSTAINABILITY STATEMENT—LAND USE & ECOLOGY

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Protection of Biodiversity

The proposed site location for the new block consist of a mixture of level porous paving, a grass bank and grass playing field with a presumed low ecological value. The proposed development should promote the protection of all the existing trees and soft landscaping surrounding the development from damage during site demolition and the completion of the construction works.

The design team is committed to protecting biodiversity on site and should therefore implement the following measures:

- Confirm that all relevant UK and EU legislation relating to protection and enhancement of ecology has been complied with during the design and construction process;
- Ensure that any affected trees and shrubs are cleared out of bird breeding season (March-August). Alternatively, a suitably qualified ecologist should check for the presence of active nests prior to the commencement of works;
- Implement working methods in line with best practice to manage dust and water runoff; and,
- During the construction phase a Biodiversity Champion should be appointed to monitor and limit environmentally detrimental activities. They should also train the workforce on

the project to raise their awareness of environmental impacts during construction.

Ecological Enhancements

The design team is also committed to enhance biodiversity on site.

The proposed development should aim to incur no negative change in ecological value and a suitably qualified ecologist should be appointed to provide early design stage advice on:

- How to improve the ecological value of the site;
- Confirm that all relevant UK and EU legislation relating to protection and enhancement of ecology has been complied with during the design and construction process; and,
- Produce a landscape and habitat management plan to cover at least the first five years after project completion, if applicable.

The design team is considering the use of green roof for the new build part of the project The green roof being considered could incorporate a 50mm deep water reservoir and substrate depth varying between 20-150mm and use of a native species grass and flowering plant seed mix. If appropri-

ate, a roof level pond could be formed, with log piles. Batt and bird boxes are also being considered as part of the ecological enhancements.

Sustainability Assessment

The new build and refurbishment parts of the project could both target the relevant BREEAM Assessment schemes (New Construction 2018 and Refurbishment and Fit-out 2014 respectively) in order to demonstrate initiative for holistic integration of sustainability within the design. Alternatively, primarily the principles of BREEAM for energy efficiency could be applied to the site in line with Policy CS20 of the local plan.

The scheme offers guidelines based on leading engineering, acoustical, energy efficiency and ecological standards in the UK and could be particularly relevant to the project for enhancements in the following aspects:

- Reduction of material embedded CO₂ emissions through Life Cycle Assessment.
- Enhanced targets for energy efficiency.
- Compliance with Formaldehyde and VOC limits.
- Responsible sourcing of materials.
- Specification of efficient sanitary ware.
- Efficient material selection and responsible waste management.
- Impact of refrigerants and NO_x emissions on site.
- Long term impact on ecology and biodiversity.

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SUSTAINABILITY STATEMENT—NEXT STEPS & CONCLUSION

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Next Steps

Following an extensive review of the proposed new building and refurbishment at Catmose College, Oakham the following steps should be undertaken in determining the most suitable and practically feasible sustainability features of the design:

- Determine the targeted sustainability outcomes required by the scheme and agree on achievable targets in line with all relevant Building Regulations, Rutland County Council's Core Strategy and any relevant environmental assessment schemes.
- Complete energy calculations and thermal comfort modelling for the proposed new building.
- Complete an air quality assessment to inform the indoor air quality and ventilation design.
- Complete a daylighting Assessment to determine the provision of daylight in line with building regulation guidance and BRE recommendations.
- Complete an ecological appraisal to determine the ecological value of the site, any negative impacts and required mitigation strategies as well as biodiversity enhancement strategies.

Conclusions

This Sustainability Statement has been developed as a sustainability brief for the erection of a two storey new building and a refurbishment of a Ground Floor at Catmose College, Oakham

In summary the scheme would be expected to adopt the following sustainable features in order to respond to Rutland County Council Core Strategy and integrate sustainability within its design:

- The project could optimise the use of renewable energy sources such as PV panels or Air Source Heat Pumps to reduce total carbon emissions;
- The project could adopt water efficiency measures in order to meet a recommended water consumption target of 110 litres/person/day (including external use);
- The project could utilise sustainable transport measures in order to improve its accessibility;
- The project could adopt a sustainable materials procurement policy and an efficient waste management strategy on site to reduce embedded carbon emissions;
- The project could implement design and

operational procedures, including daylight, optimum indoor air quality and thermal comfort to ensure health and wellbeing of the occupants; and

- The project could implement measures throughout construction to protect the ecology on site and provide biodiversity enhancement for the long-term.

Climate Change Mitigation

The proposed development will likely utilise the existing heating network on site, some form of additional renewable energy source and passive ventilation with a potential for heat recovery integration. Passive design measures, including openable windows and night-time purge ventilation will also be part of the design.

Flood Risk and Sustainable Drainage

Catmose College is located within Flood Zone 1 of the Environment Agency's Flood Map for Planning, as shown in [Figure 3: Flood map showing the approximate location of the development within Flood Zone 1](#). This is defined as an area with little or no risk to flooding where the annual probability of river, tidal and coastal flooding (with defences where they exist) is <0.1% i.e. less than 1 in 1,000 years.

The drainage strategy for the new build has not yet been fully developed. It is likely that the development already incorporates sustainable drainage strategies, including attenuation measures to manage the risk of surface water runoff and therefore the new development and refurbishment will be able to benefit from this in addition to any standalone measures. The design team is considering implementation of a potential blue roof on the second storey of the new build and blue roof with tile deck for the single storey element of the same building.

The option of incorporating a green roof on the second storey of the new block could contribute to minimising the discharge of water from rainfall on site, also seen as a more sustainable measure compared to conventional water attenuation systems.

Flood Map

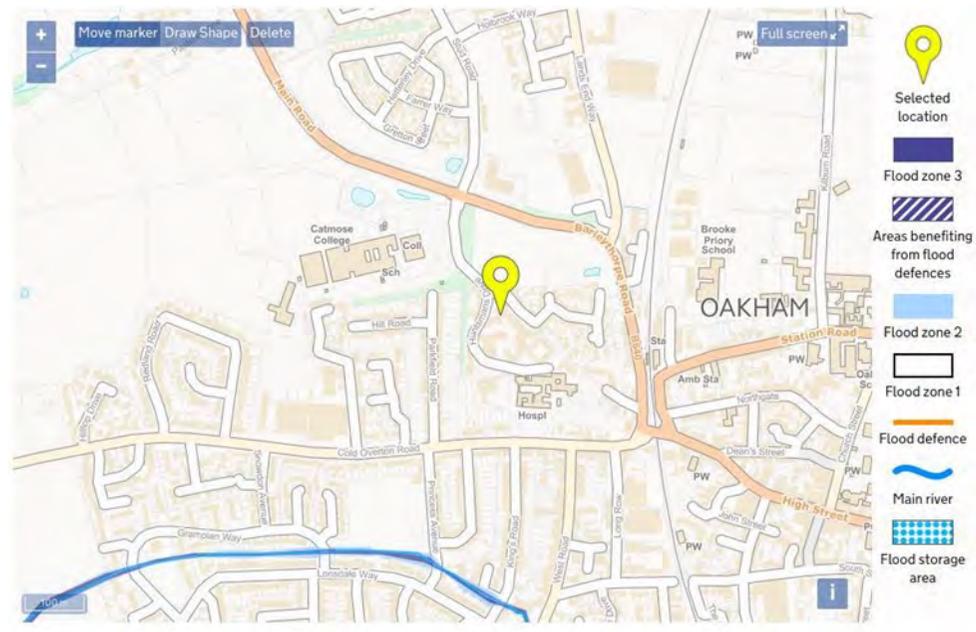


Figure 3: Flood map showing the approximate location of the development within Flood Zone 1.

APPENDICES

SUSTAINABILITY STATEMENT—WASTE

E

Construction Waste Management

Resource efficiency on site could be promoted through effective and appropriate management of demolition and construction site waste.

In line with the waste hierarchy, during the construction phase, it is recommended that the following approach is applied:

- Use reclaimed materials;
- Use materials with higher levels of recycled content; and,
- Use new materials.

Since the new build part of the project is required to match the existing build up which is largely formed of reinforced concrete, the use of reclaimed and recycled content is recommended.

For any demolition, the following approach could be adopted:

- Prioritise the on-site reuse of demolition materials;
- Adopt on site recycling and, where required, use off site recycling; and,
- The least preferred option – disposal to landfill.

It is recommended that a site waste management plan is developed which adopts best practice benchmarks for resource efficiency, details procedures and commitments to minimise non-hazardous and hazardous waste at the design stage and monitors/measures waste production on site.

The site waste management plan could include procedures and commitments to sort and divert waste from landfill through the following:

- Re-use on site;
- Salvage/ reclaim for re-use off-site;
- Return to supplier via a ‘take-back’ scheme;
- Recovery and recycling using an approved waste management contractor; and
- Compost

Operational Waste

The operational waste on site will likely be managed through the main school facilities and the recycling yard area. The inclusion of segregation bins that are clearly labelled, accessible and of appropriate size waste primarily for the use of the new build occupants needs to be considered alongside with the expected amounts and type of waste generation. It is also recommended that there is provision for the management of laboratory waste as part of the new build.

F

APPENDICES

EXISTING FLOOR PLANS - GROUND FLOOR & MEZZANINE

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KEY

- | | | |
|---|---|--|
| ■ GENERAL TEACHING | ■ LEARNING RESOURCES | ■ STORAGE |
| ■ SCIENCE | ■ SEN | ■ TOILETS & CHANGING |
| ■ MUSIC & DRAMA | ■ HALLS / DINING | ■ CIRCULATION |
| ■ DESIGN & TECHNOLOGY | ■ ADMINISTRATION | ■ PLANT |
| ■ ART | ■ STAFFROOM | COUNCIL'S OFFICES |
| ■ ICT / BUSINESS / MEDIA | ■ KITCHEN | |

G

APPENDICES

SURVEY SCHEDULE

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| SURVEY SCHEDULE | |
|---|-----------------|
| Air Quality Assessment/requirement to be confirmed during Planning application | TBC |
| Electrical logger or Information re: MPAN numbers for loadings | N/A |
| Utilities quotations | Stage 3 |
| Aboriginal Surveys to BS 5837:2012 | Stage 2 |
| Archaeological Desktop Survey | Stage 2 |
| Asbestos Survey | N/A |
| Topographical /Elevational Survey/Measured Survey inc. underground services scan/Utilities searches | Stage 2 |
| Daylight modelling | Stage 2 |
| Drainage (underground CCTV) Survey | Use Record Drgs |
| Ecological Survey Phase 1 survey in the first instance. Others to follow if necessary | Stage 2 |
| Fire Consultant to assess against Building Regulations and RRO 2005 | Stage 2 |
| Flood Risk Assessment/requirement to be confirmed during planning application | Stage 2 |
| Geotechnical & Contamination Ground Investigation - Survey incl. UXO risk assessment | Stage 2 |
| Noise Survey and Acoustic Consultancy | Stage 2 |
| Party Wall/Boundary Survey and Agreements | Stage 3 |
| Rights of Light Survey - requirement to be confirmed by the Planners | N/A |
| Thermal modelling | Stage 2 |
| Visual Structural Condition Survey | N/A |
| Transport Assessment (e.g. Parking/Access Statement) | Stage 2 |

Survey schedule based on known requirements at this stage. To be reviewed during Stage 2.

APPENDICES

STRATEGIC RISKS

H

Strategic Risks based on known requirements at this stage. To be reviewed during Stage 2.

| | ITEM | NARRATIVE |
|---|---|--|
| 1 | SITE: Part of the site is within the Rutland County 'limits of development' zone | Locate new block within limits of development zone. Discussions required with planning. |
| 2 | Provision of sufficient Science & DT accommodation by September 2022. | Whilst phased development will provide sufficient classrooms for September 2022 by conversion of Brightways the new block containing additional Science and DT classrooms is unlikely to be ready until the Summer term 2023. This issue needs to be analysed and discussed between the parties. |
| 3 | Disruption to school during construction. Proposed works will be directly adjacent to teaching areas. | Locating the new block behind the sports hall would minimise disruption. There is more flexibility for the conversion of Brightways. Works could be programmed for the Summer Holidays. |
| 4 | Cost Control | College's preferred option may not be affordable. VE proposals to be discussed and agreed. |

APPENDICES

CONDITION REPORT

1.0 Background

Catmose College is an over-subscribed 7 Form of Entry (FE) secondary academy and is part of the Rutland and District Schools' Federation.

There are plans to extend the school and the Client Group wanted to establish the condition of the existing building prior to plans being set for the expansion.

There is a good set of Operating and Maintenance Manuals with Record Drawings provided.

1.1 Executive Summary

The current building was built in 2010 and handed over in February 2011, the school is generally in a good condition, regularly serviced and appears largely trouble-free of major maintenance issues.

Decorations are in good condition with only minor scuffs evident to low areas, floor coverings were in good condition for their age.

The single ply roofing had a few minor issues with a build-up of moss and detritus resulting in blocked gullies causing some ponding. Some displaced cable support feet had become detached, the fixing to which were in danger of penetrating the waterproof membrane. Some anti bird wires were broken and ineffective.

Some minor paving repairs are required to the first-floor escape landings.

There are 3 areas of multi-actuator automatic windows which are non-operational, similar previous faults had been traced to faulty area control panels that cost £2.5k each to repair/replace so a budget of £7.5k is recommended.

Whilst the existing T5 / Compact Fluorescent lights are in good repair, it would be self-financing over a 7-year period to replace these lights with LED equivalents.

The Biomass boilers are again available to operate but have fallen into dis-use due to the high cost of the wood-pellets compared to the alternative gas-fired systems. The existing system was tailored to use the high-temperature biomass boilers as the lead and the system control and operation should be reviewed to identify opportunities for lower temperature / higher efficiency operation.

It appeared that there would be spare capacity in the existing mechanical and electrical systems to accommodate a new extension if required although the incoming services are located in the boiler room at the far end of the building from the new extension location.

Approximate repair cost to the building fabric totals £12,400 and M&E repairs total £7,500.

1.1.0 Survey Method & Restrictions

The internal and external fabric of the building was examined within the bounds that site conditions and access allowed. On the day of the survey (19/11/2020) the weather was cold, windy with occasional heavy showers.

- The survey was visual only and non-intrusive. The building was fully occupied at the time of inspection.
- Photographs were taken for general reference or where necessary to illustrate a defect or general condition.
- All hands referred to are taken as though looking from the front of the property viewed externally.
- The survey carried out did not include the following:
 1. An intrusive survey of the structural components such as the structural frame; sub floors, foundations and reinforcement etc.
 2. A survey of the underground drainage system or testing of services
 3. Access matters in accordance with the Equalities Act 2010.

2.0 BUILDING FABRIC REVIEW

2.1 General Description of Building

The buildings surveyed comprise a two storey, concrete and steel framed secondary academy, and a stand-alone steel framed and metal deck roofed gymnasium block. There is a standalone pumping station, with stack bonded block walls and flat roof to match the main building.

External areas comprise tarmac surfaced car parking, planted dividing areas, concreted paved walkways, grassed playing fields and artificial surfaced pitches/courts.

2.2 Internal Description

2.2.0 Ceilings.

Most ceiling finishes comprise exposed soffits to the concrete deck and flooring undersides above, with acoustic baffles suspended in circulation areas. There are some lightweight suspended ceilings with an exposed grid and lay-in mineral fibre tiles. Plant-room ceilings are lined with fire rated plasterboard.

All appeared in good condition.

2.2.1 Walls/Partitions

Walls/partitions generally Decorated self-finish block-work to the majority of areas. Whiterock hygienic cladding is present in some areas, in good condition.

Internal walls to the gymnasium are part height lined with a ply board – in a sound condition.

Folding partitions are present to divide some teaching spaces.

There are some part glazed and plasterboard partitions with aluminium powder coated framing.

All appeared in good condition.

2.2.3 Floors

Solid concrete floors are covered with a variety of sheet vinyl, anti-slip vinyl and carpet tiles, with quarry tiles to ground floor circulation areas, and entrance mat systems at entrance door lobbies.

The majority of floor coverings are in good condition, particularly considering their age. Some minor discoloration is present to the surface finish of some sheet vinyl exposed to sunlight, but its effectiveness has not been compromised.

The forum/stepped theatre area has polished timber strip flooring.

Wooden strips to the gymnasium flooring are wearing in some places, and either isolated sanding and re-sealing or a programme of full sand and seal with associated re-marking of courts should be considered.

Dance/gym floors appeared in good condition.

2.2.4 Doors

Internal doors generally have a pre-decorated finish are a mixture of solid, and part glazed with vision panels. All appeared to be robust and functioning well, some door handle furniture was slightly loose, but functionality was not affected.

Glazed and powder coated aluminium doors are fitted to the entrances, and those opening to outside courtyards and spaces, all in good condition.

2.2.5 Decorations

NOTES

Generally the building is in good decorative order. Some minor scuff marks to low level areas were visible and these could be 'touched in' to improve the overall appearance. Consideration should be given programming cyclical re-decorations throughout, after a further five years.

2.2.6 Sanitaryware

Vitreous glazed sanitaryware, appeared in good condition.

Stainless steel surfaces are in good condition.

APPENDICES

CONDITION REPORT

2.3.0 External Description

External finishes

2.3.1 Walls

The stack bond blockwork is in good condition although there is some water staining evident below window cill joints from rainwater run off which over time will affect the pointing below. The application of a silicone or mastic seal to the cill joints will help to prevent this.

2.3.2 Cladding

There a variety of different cladding types present:

Profiled sinusoidal cladding finished with a galvanised coating, in good condition.

Anodised aluminium rainscreen cladding, in good condition.

Multiwall translucent polycarbonate to the gym appears sound but there is a small section of trim that is missing at high level on the West elevation, which requires re-fixing/repair.

Exposed Steelwork and Stairways are all finished with a galvanised coating which is giving good low maintenance protection.

Cedar strip cladding to the soffits along the front elevation overhang have minor signs of water staining from rainwater run off tracking from the edges of the rainscreen cladding above.

2.3.3 Windows/Window Walling/Curtain walling

The powder coated aluminium windows and window walling are all in good condition.

There has been a recent addition of a window-walled structure which encloses a formerly external area and provides additional dining space

2.3.4 Rooflights

The powder coated aluminium rooflights are all in good condition.

2.3.5 Doors

External powder coated aluminium doors are in good condition.

2.3.6

The main roofs are flat and covered with a single ply membrane. There is a man safe system on each roof, and a fair amount of mechanical plant. Access to the roofs was available via internal ladders.

There are a mainly internal rainwater outlets and the roofs appear to have a cut to falls insulation system which drains rainwater towards the outlets.

The roof coverings appeared sound, some repair patches were visible, these were likely placed during the original installation.

There was a fair amount of 'ponding' which appeared to be due to blocked rainwater gully outlets rather than insufficient 'fall' on the roofs. A fair amount of general detritus such as moss

Roofs

and bird guano was evident particularly around roof mounted plant. This needs to be cleared and the roofs regularly cleared to ensure water drains to the outlets as designed.

Service supplies to/from the roof plant is supported on cable trays with support feet, some feet had become dislodged and the trays and their screw fixings were in direct contact with the membrane, this needs urgent attention to prevent penetration of the single ply.

There is an air inflated ETFE roof above the central stepped gallery and general open plan resource area.

The roof appeared sound and water tight, but what appeared to be anti-bird wires in the valleys were disconnected and broken. If roosting birds are a problem, then these wires should be replaced by a specialist.

There is a tensile fabric roof which encloses the student entrance and some general external circulation areas, no issues were evident, and the roof appeared sound.

2.3.7 Hard Pavings

There are concrete paving slabs to general external circulation areas. It was noted that some of the slabs to the first floor escape walkways had a slight amount of movement when walked on. The slabs are on support pedestals to protect the waterproof membrane below, and it was noted that a section at the top of the escape stairs facing the playing fields is uneven and may present a trip hazard. This section including the tactile paving should be lifted and

re- set level.

Generally some concrete surfaces would benefit from gentle power washing in order to remove build up of moss and lichen and to improve the overall appearance. This is evident to the rear escape stair risers, and some raised concrete and glass block vent enclosure sited on a roof terrace, would also benefit from cleaning.

Car parking areas are tar paved and edged with pre-cast kerbs, marked bays are present, generally in all appeared good condition.

Some areas of gravel paving has sunken slightly most likely due to foot traffic, and these would benefit from re-dressing and rolling to avoid ponding.

Pathways leading to the playing fields and some external seating areas are formed in a concrete 'Grasscrete' type block with seeded grass in-fil, which appear in fair condition.

2.3.8 Soft Landscaping

Grass, shrubs, and planted areas are generally well maintained.

2.3.9 Site boundaries/ fencing

Fencing and enclosures generally comprises anti climb powder coated steel mesh and posts., with some galvanised framed and mesh gates to pupil entrances and exits. The site boundaries are in good condition.

NOTES

2.4 Schedule of Condition

Condition Definition

| CONDITION | DEFINITION |
|-----------|---|
| GOOD | Performing as intended and operating efficiently [LONG TERM] |
| FAIR | Performing as intended but exhibiting minor deterioration. [18-36 MONTHS] |
| POOR | Exhibiting major defects and/or not operating as intended [URGENT] |

APPENDICES

CONDITION REPORT

| ELEMENT | DESCRIPTION | CONDITION | APPROX REPAIR COST (£) |
|------------------------|--|---|--------------------------------------|
| <i>Catmose College</i> | | | |
| INTERNAL | | | |
| Ceilings | Concrete exposed soffits Plasterboard Mineral Fibre Suspended tile | Good Good Good Good | Nil |
| Walls | Plastered Fair faced block Hygienic cladding Ply facing Folding partitions | Good Good Good Good Good | Nil |
| Floors | Carpet tiles Anti-slip Vinyl Sheet Vinyl Quarry tiles Wood strips | Good Good Good - minor discolouration Good Fair – Minor sanding and plan for cyclical sand/seal | Nil 1,000 |
| Doors/Joinery | Pre-decorated solid core glaze/unglazed Powder coated aluminium and glazed | Good, Minor repairs to tighten loose handles etc Good | 500 |
| Decoration | Painted surfaces | Good Touch in minor scuffs. Programme for cyclical redecs from year 5 | 500 |
| Sanitaryware | Vitreous glazed sanitaryware | Good | |
| | | | INTERNAL SUB TOTAL.....£2,000 |

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| ELEMENT | DESCRIPTION | CONDITION | APPROX. REPAIR COST (£) |
|-------------------------|---|--|-------------------------|
| Externally | | | |
| Walls | Dark grey stack bond blocks. | Good/Fair –Minor treatment to prevent water run off from window cills. | 500 |
| Cladding | Sinusoidal galvanised | Good. | 1,000 |
| | Aluminium rainscreen | Good | |
| | Multiwall Polycarbonate | Fair – replace missing trim at roof junction | |
| | Cedar strip soffit lining | Minor sanding and treatment | 500 |
| Windows/curtain walling | Powder coated aluminium framing and glazing | Good (see electrical section regarding control modules) | |
| Rooflights | Powder coated aluminium framing and glazing | Good | |
| Doors | Powder coated aluminium framing and glazing | Good | |
| Miscellaneous | Exposed galvanised steel structure stairways and walkways handrails etc | Good | |
| Roof | Flat with singly ply membrane. | Fair/Poor – Clear debris and ensure gullies are unblocked. Re-seat and repair all support feet to services cable trays | 3,000.00 |

| ELEMENT | DESCRIPTION | CONDITION | APPROX. REPAIR COST (£) |
|---|---|--|-------------------------|
| Roof | ETFE | Good - Consider replacing anti- bird wires | 2,000.00 |
| Roofs | Tensile fabric canopy. | Good | |
| Hard Pavings | Tarmacadam car parking | Good | 1,000 |
| | Pre-cast concrete slabs | Fair -Re-level slabs and tactile tiles on approaches to rear escape stairs | |
| Hard Pavings | Gravel paved areas to front approaches | Re- dress roll and level | 1,200 |
| Generally | Concrete surfaces, external stair risers | Fair – Consider power washing to improve appearance | 1,200 |
| Soft Landscaping | Grass and painted areas | Good | |
| Boundaries/fences | Fences and gates, powder coated and galvanised gates posts and fences | Good | |
| EXTERNAL SUB TOTAL | | | £10,400 |
| APPROXIMATE TOTAL REPAIR COSTS (Building Elements) £12,400 | | | |

APPENDICES

CONDITION REPORT

3.0. M&E Services Review

3.0.0 Electrical Services

There is a new sub-station on site and the main building is provided with a 2000 Amp, 3-Phase panel board in the electrical intake cupboard adjacent to the main boiler plant room. On the day of the visit with the classrooms full of pupils and the kitchens preparing for lunch, the building was drawing approximately 500 Amps per phase indicating that there would be spare capacity for the new extension if required.

3.0.1 Incoming Power

The main power distribution boards were all compliant, operational and in good condition as would be expected for a building of this age.

There are various local electrical distribution boards in cupboards throughout the building and spot-checks were made which confirmed that the general distribution is also in good condition.

3.0.2 General Lighting

Lighting is generally T5 fluorescent fittings supported by compact fluorescent lights in smaller areas. The lamps were generally in good condition although a few needed replacing above the central stepped seating area where access to high level is very difficult.

Whilst not a Condition-based issue, it would be recommended to replace these older T5 lights with modern LED Lights which due to their lower energy consumption, reduced maintenance requirements and longer life, would pay for itself in approximately 7 years. This would also help by reducing the maintenance access needs in these high-bay areas.

3.0.3 Emergency Lighting

Emergency lighting is provided as an integrated part of the main lighting systems. Whilst untested during the visit as the school was in full occupation, we were advised that the system was tested regularly and there were no issues. No immediate works required.

3.0.4 Intruder Alarm

There is an Intruder Alarm system installed comprising PIR sensors, window and exit door contacts, the system was operational, apparently without faults. No immediate works required.

3.0.5 CCTV System

There is CCTV cover to internal and external areas of the building, the system was operational, apparently without faults. No immediate works required.

3.0.6 Fire Alarm

There is Fire Alarm cover to the building, the system was operational, apparently without faults. No immediate works required.

We would comment that whilst there are no obvious faults, fire alarm components have a predicted operational life of 10-15 years so a programme of fire alarm components replacements should be planned over the next 3-5 years rather than wait for faults to start occurring.

3.1.0 Mechanical Services

3.1.1 Gas Service

A 125mm gas supply enters the premises via gas meter located in a meter cupboard adjacent to the main boiler house and serves the gas-fired central boiler plant, the kitchen, science benches and the Sports Hall boilers.

3.1.2 Heating Plant

There are 2 No. Hoval UltraGas 300 high efficiency gas boilers each rated at 273kW operating at 80/60 Deg.C. These boilers are supported by a Hoval 425kW Biomass Wood-Pellet boiler. Whilst the Biomass boiler is designed to take the lead on the heating with the gas-boilers in support, the Biomass boiler has not been used for several years due to the cost of the wood pellet fuel being significantly more expensive than gas. There is a large buffer vessel to help smooth the load. We were advised that the gas boilers operate sufficiently to hold the load and well within their capacity as they usually only need one boiler to hold the load, there is therefore likely to be spare capacity on the heating system for the proposed new extension, if required.

3.1.3 Heating Systems

The heating strategy generally is for perimeter convectors under the external classroom windows with under-floor heating to central core areas, all served from local VT/CT manifolds around the building. The mechanical services are all controlled and monitored via a Trend 963 control and monitoring system. The day of the visit was cold/rainy, and the buildings were warm, it was reported that the heating and control systems were working satisfactorily.

APPENDICES

CONDITION REPORT, INTERNAL PHOTOGRAPHS

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General view of ETFE roof and gallery



General view first floor vinyl



Typical corridor view -ground floor



Wear to gym floor



Typical classroom view



Automated doors

APPENDICES

CONDITION REPORT, EXTERNAL PHOTOGRAPHS

H



Loose tactile paving at landing



Water run-off and staining to blockwork



Concrete enclosures due for cleaning



Stair risers requiring cleaning



Compacted gravel paving



Missing trim to gym cladding

APPENDICES

CONDITION REPORT, EXTERNAL PHOTOGRAPHS

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Slow draining roof gully



Build-up of detritus



Displaced cable tray support



Screw from tray touching the membrane



Ponding water and detritus

APPENDICES

CONDITION REPORT, EXTERNAL PHOTOGRAPHS

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Blocked outlet and ponding



General view—water laying on roof



Broken anti-bird wires

THANK YOU



Project Name: Schools Capital Programme - Catmose College

Risk & Issues

Last Reviewed by the Board: 13th Jan 2021

Risk refers to the combined likelihood the event will occur and the impact on the project if it does occur

| Ref | Date Raised | Type of risk or issue | Risk or Issue Description | Risk or Issue | Likelihood | Impact | Severity | Mitigation or Action Plan | Owner | Status | Date Closed |
|------------|-------------|-----------------------|---|---------------|------------|--------|----------|---|--------------|--------|-------------|
| SCP-RI-001 | 22/10/20 | CC | Catmose College decide not to proceed | Risk | 1 | 3 | 3 | Catmose keen to proceed and now awaiting legal agreements to be finalised. Current actions and timelines include approval at Cabinet, Full Council and Catmose Board. These are due to be completed by the 25th March 2021. | Robert Shore | Open | |
| SCP-RI-002 | 22/10/20 | RCC | Cabinet or Council do not approve project | Risk | 2 | 3 | 6 | This is an item on the agenda for Cabinet for February and Council in March. It should be noted that we need to carry out these works to meet statutory obligations and funding is in place. | Robert Shore | Open | |
| SCP-RI-003 | 22/10/20 | Both | Phase 2 feasibility determine costs higher than grant | Risk | 2 | 3 | 6 | Phase 2 feasibility has been received with predicted costs at £5.5m. We have agreed with Catmose to value engineer the project down to £5.25m. All parties believe this is realistic. NPS were aware of the total of the funding pot. | Robert Shore | Open | |
| SCP-RI-004 | 22/10/20 | Both | Legal agreements are delayed | Risk | 1 | 3 | 3 | Legal agreements have commenced preparation ahead of schedule | Robert Shore | Open | |
| SCP-RI-005 | 22/10/20 | RCC | Brightways do not move | Risk | 1 | 3 | 3 | Decision to move Brightways has been approved by Director and portfolio holder with new premises agreed. | Robert Shore | Open | |
| SCP-RI-006 | 22/10/20 | RCC | Brightways staff consultation raises issues with staff work terms and conditions | Risk | 1 | 3 | 3 | Communications plans are in place. Consultations with service users carried out. Consultation with staff ongoing as this will involve a change in contracts from a five day service to a seven day service. HR involved throughout the process. | Robert Shore | Open | |
| SCP-RI-007 | 22/10/20 | RCC | Funding for Brightways move | Risk | 1 | 3 | 3 | Funding has been allocated for this however it is finite and RCC team to ensure no overspend. Allocation is awaiting Council approvals. | Robert Shore | Open | |
| SCP-RI-008 | 22/10/20 | Both | Planning / building regulations permission not approved for Brightways. | Risk | 1 | 3 | 3 | Planning permissions to commence as soon as final drawings and refurbishment plans are agreed. NB we are waiting for approval from Council however we anticipate being at tender stage awaiting orders by mid-March. If there was an issue with Planning then this could have an adverse effect on timescales. | Robert Shore | Open | |
| SCP-RI-009 | 22/10/20 | CC | There is a risk that the site chosen to progress applies to RCC for additional funding (over that Granted) to manage any overspend | Risk | 2 | 5 | 10 | The legal agreement will set out the limits of the funding. This will not fully mitigate the risk of the situation arising but will clearly set out that no additional funds are available. Legal agreement to cover this and value engineering to be applied prior to construction. Grant of covenant if accepted in the legal agreement with mitigate this. | Robert Shore | Open | |
| SCP-RI-010 | 22/10/20 | CC | The school site has to be capable of delivering additional numbers within the agreed budget | Risk | 1 | 5 | 5 | Provision specification is in development and commitment to use the space to be built to deliver the provision to form part of the legal governance agreement. | Robert Shore | Open | |
| SCP-RI-011 | 22/10/20 | CC | The Academy Trust Governing Body needs to continue to support the development of the provision | Risk | 1 | 3 | 3 | Intention to Progress letter received, work closely with the Governing body to ensure any risks are understood and issues resolved. Legal agreement will help to mitigate this. Project board for Catmose is scheduled for just after full council in March. | Robert Shore | Open | |
| SCP-RI-012 | 22/10/20 | CC | The School Head teacher /Principal needs to work with RCC to Progress the project. | Risk | 1 | 3 | 3 | Intention to Progress letter received and regular meetings in place to drive progress. Legal agreement will help to mitigate this. SPOC for Catmose to be provided. Currently N Ray. | Robert Shore | Open | |
| SCP-RI-013 | 22/10/20 | CC | There is a risk that the Capital build is completed but the school do not sustain places | Risk | 1 | 3 | 3 | Legal Governance documents to be approved at Board . Final draft legal agreement should be signed by both parties. | Robert Shore | Open | |
| SCP-RI-014 | 22/10/20 | RCC | There is a risk that RCC is unable to claw back funding if the school do not sustain places | Risk | 1 | 3 | 3 | Legal Governance documents to be include caveat. | Robert Shore | Open | |
| SCP-RI-015 | 22/10/20 | Both | There is a risk that the programme is either delayed or negatively impacted. | Risk | 2 | 5 | 10 | Legal Governance documents to be approved will cover this risk. Temporary accommodation to be used if required. | Robert Shore | Open | |
| SCP-RI-016 | 22/10/20 | CC | There is a risk of low or inconsistent numbers of children predicted in some years, and assumptions made in the model for financing | Risk | 1 | 3 | 3 | Unlikely at this stage in line with SCAP reports. | Robert Shore | Open | |
| SCP-RI-017 | 22/10/20 | CC | There is a risk that Catmose will request start up revenue costs that cannot be funded within the funding envelope | Risk | 2 | 5 | 10 | The legal agreement needs to ensure that all aspects of funding for this project are determined and outlined | Robert Shore | Open | |
| SCP-RI-018 | 22/10/20 | Both | Adverse publicity for the project | Risk | 1 | 5 | 5 | A communications outline plan to be agreed with this action overseen by the Head of Communications for RCC from January 2021 for the life of the project. If there was a change in Ofsted grading, it may have an impact on pupil numbers. | Robert Shore | Open | |
| SCP-RI-019 | 22/10/20 | Both | Project delivery to timescales and budget | Risk | 2 | 5 | 10 | Project board to be established to ensure that expectations are clearly defined and delivered. Stage 2 report includes a Gantt chart which clearly shows completion of internal works in time to allow for 2022 intake and external works in time for 2023. This will allow us to have full 8FE as planned. | Robert Shore | Open | |
| SCP-RI-020 | 22/10/20 | RCC | Project lead requirement as opposed to competing with other responsibilities | Risk | 1 | 3 | 3 | Project requires a programme lead for two days per week whose sole task is dedicated to managing the project. R Shore appointed as Project Lead for the period covered by Catmose Expansion Project. | Robert Shore | Open | |
| SCP-RI-021 | 22/10/20 | Both | There is a risk that arrangements for exiting the European Union, negatively affect the building programme costs of timeline (Supply of goods and labour is impacted) | Risk | 1 | 5 | 5 | Legal agreement to cover this. | Robert Shore | Open | |

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Rutland
County Council

Rutland County Council

Project Initiation Document (PID)

Document Owner: Dawn Godfrey
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Rutland County Council

Version: 0.2

Date: 16th November 2020

Classification NOT PROTECTIVELY MARKED

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Document Control, Approval and Distribution

Version Control

This document should be updated with any amendments:

| Version | Date | Notes |
|---------|--------------------------------|--------------------------------|
| 0.1 | 27 th October 2020 | Initial draft prepared |
| 0.2 | 16 th November 2020 | 2 nd Draft prepared |
| | | |

Document Approval

This document requires the following approvals:

| Sponsor Approval | Name | Date |
|------------------|--------------|------|
| | Dawn Godfrey | |

Document Distribution

This document will be distributed to:

| Name | Method | Date |
|-----------------|--|------|
| Programme Board | E Mail V1 to be sent prior to programme board | |

Introduction

The purpose of this document is to set out the proposals for meeting the authority’s statutory obligation to provide sufficient secondary schools places and to determine the viability of the proposed expansion of Catmose College.

Rutland County Council will establish a Programme Board with associated and sufficient governance structures, to oversee the use of basic needs capital funding within a maximum limit of £5,500,000 to provide an eight form entry (8FE) at Catmose College increasing the overall sufficiency by an additional 30 places per academic year from September 2022.

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| Project | Catmose Expansion Project (CEP)o |
| Background | <p>Cabinet approved the undertaking of a two stage feasibility study for school expansion across all of the secondary provision in Rutland in February 2020. On 31 July 2020, Cabinet further approved to undertake Stage Two of the feasibility study for school expansion at the preferred site of Catmose College, Oakham to deliver 30 additional places through the development of an 8 Form Entry secondary school as identified through Stage One of the study.</p> <p>Funding to deliver the programme is held by Rutland County Council having been provided by Central Government via basic needs funding.</p> <p>DfE have not provided revenue funding.</p> |
| Project Objectives | <p>Utilise the funding available from basic needs and schools capital maintenance funds to provide an eight form entry at Catmose College to meet sufficiency of secondary school places in line with the Schools Capacity Assessment (SCAP).</p> <p>This will enable</p> <ul style="list-style-type: none"> • Increase of local provision by 30 additional secondary school places for each academic year giving a total of 150 places between years seven and eleven. • RCC meeting duty to provide sufficient high quality educational places in Rutland • Children receiving educational placements in-county. • Management of the flow of young people into secondary education and ensure they experience a supportive mainstream curriculum. <p>In order to meet these objectives, a key dependency also forms part of the objectives for the programme</p> <ul style="list-style-type: none"> • Relocation of Brightways facility to another site to free onsite capacity and to aid transformation of Adult day provision service model |

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| Activities / Scope | <p>RCC commissioned NPS to prepare an initial Feasibility Study for Secondary School Expansion in Rutland. The work comprised two stages:</p> <ul style="list-style-type: none"> • Stage 1 study examining possibilities for expansion at the three Rutland Secondary school sites • Stage 2 study scoping options for the preferred Secondary site <p>Cabinet on 31 July 2020 approved the recommendation to undertake Stage Two of the feasibility study for school expansion at the preferred site of Catmose College, Oakham to deliver 30 additional places through the development of an 8 Form Entry secondary school as identified through Stage One of the study.</p> <p>The Stage 2 feasibility study brief is due to be completed by the end of November 2020 and will build on the Stage 1 feasibility work. It will:</p> <p>Include:</p> <ol style="list-style-type: none"> a. A review of available information b. Developing architectural sketch proposals for the expansion options c. Provision of a wider understanding of the overall condition of the asset. d. Developing strategies for mechanical & electrical, structural and sustainability approaches e. Analysis of site constraints and opportunities f. Cost estimates for the expansion options g. Identification of key risks including planning risk and potential implications for project performance h. Analysis of external areas in accordance with current guidelines i. Developing procurement strategy and programme <p>RCC intend relocating Brightways Day Centre to an alternative location. The preferred new property will be within RCC’s existing portfolio. RCC will manage the relocation and all other matters, to enable the planned extension of Catmose College within the school expansion scales. It is anticipated that work to complete the move of Brightways will be completed by July 2021.</p> <p>RCC will keep Catmose College and NPS updated about activity and progress for Brightways, along with any impact arising from issues that may impact on the planned extension of Catmose College. The Brightways premises are therefore expected to be available to support the expansion of Catmose College.</p> <p>It is proposed to commence Phase 1 of the Project, which includes procurement and project start up, in March 2021; with a completion of the building works and refurbishment of Catmose College to be by July 2022.</p> |
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| <p>Deliverables</p> | <p>The programme will deliver an increased number of local secondary educational placements within county to meet statutory requirements and provide transformation opportunities for Brightways to deliver a community based seven days per week service.</p> <p>RCC will meet its statutory obligations for schools places through delivery of a Capital project underpinned by a legal agreement with Catmose College to provide:</p> <ul style="list-style-type: none"> • An agreed square meterage of new build at Catmose as highlighted in Phase 2 of the feasibility study. • An agreed square meterage of refurbished / remodeled accommodation as indicate in Phase 2 of the feasibility process. • Eight form entry providing an extra 30 places for each academic year giving a total of 150 places between years seven and eleven. <p>There will be an associated project providing the opportunity to aid transformation of services at Brightways.</p> |
| <p>Timing</p> | <p>The Stage 2 feasibility options report to be completed by December 1st 2020 assuming all parties co-operate with tight timelines.</p> <p>Cabinet approval for project initiation to be sought January 12thth 2021 followed by full Council approval on the 22nd February 2021</p> <p>Procurement and project start up to commence March 2021.</p> <p>Brightways relocation to commence May 2021 and be completed by July 2021.</p> <p>Completion of building works including refurbished areas to be by July 2022.</p> <p>New intake start in September 2022.</p> |
| <p>Exclusions</p> | <p>The DfE Funding criteria stipulates that it cannot be used for:</p> <ul style="list-style-type: none"> - Age 18 and over - Higher education - Revenue expenditure |
| <p>Dependencies & Assumptions</p> | <p>The Programme will utilise Capital spend to move Brightways to other suitable accommodation to allow for the spaces vacated to be refurbished for Catmose College needs.</p> <p>There will be dependencies across many areas of the council including (but not exclusive to):</p> <p>IT, Property Services, Planning, Finance, Learning and Skills, School Admissions, Governance Services, including Legal Services.</p> |

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| Resources | <p>The Schools Capital Programme Board will manage spend, oversee the work of the project board and provide leadership in delivering the project.</p> <p>The board will fulfil their leadership role by:</p> <ul style="list-style-type: none"> • Taking strategic decisions at the Schools Capital Programme to manage and mitigate risk and help determine how it will impact on the Council. • Effectively allocating and managing resources for the Programme • Monitoring the budget position and taking responsibility for the Programme spend. However, once the budget is delegated to Catmose Trust, The Trust will assume responsibility for the programme spend, monitor the budget position and provide financial updates at each meeting. • Communicating the purpose of the board to staff and other stakeholders • Monitoring the programme implementation and improving its effectiveness as required <p>The following people will be involved in the Programme Board:</p> <ul style="list-style-type: none"> - Dawn Godfrey, Interim Director for Childrens Services (DG) (Senior Responsible Officer) - Mona Walsh, Head of Property Services (MW) - Gill Curtis (Head of Learning and Skills) (GC) - Andrew Merry (Finance Manager) (AM) - Robert Shore (Schools Capital Programme Manager) (RS) - Dee Rajput (Programme Manager) (DR) - Cllr David Wilby (Portfolio Holder for Lifelong Learning, Early Years, Special Educational Needs & Disabilities, Inclusion, and Safeguarding – Children & Young People) (DW) - Cllr Oliver Helmsley (Leader of the Council, and with responsibility for the Property Portfolio) (OH) <p>Other professionals with specific expertise as required by the Board will be invited to contribute.</p> <p>There will also be a Project Team established to drive actions as required; this will be led by Catmose College with a clear communication line to the Programme Board. This will be a function of the existing Catmose Campus Board which already includes RCC representatives and elected members .</p> <p style="text-align: center;">-</p> <p>The Campus Board fulfils its role by:</p> <ul style="list-style-type: none"> • Reporting to the Rutland County Council CEP Capital Programme Board as required (through updates and exception reporting and presentation of risk and issues logs and management of the change control process) • Effectively allocating and managing resources for the Project including determining how to contract alongside the design and build. |
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| | <ul style="list-style-type: none"> • Monitoring the budget position and taking responsibility for ensuring the Project remains in scope, on time and in budget • Communicating the purpose of the board to staff and other stakeholders • Monitoring the project implementation and improving its effectiveness as required • Fulfilling the terms of the governance and legal agreement put in place between RCC and Catmose College <p>Notes for each part of the meeting will be taken as follows;</p> <ol style="list-style-type: none"> 1. Design Team Building project aims will be taken by the Architect and fed into the Catmose Project Board meetings and decision making process. 2. Catmose College will provide oversight of construction and provide project management expertise, operational business planning and reporting to the Programme Board. |
| <p>Estimated Cost</p> | <p>The overall funding cost of the project will operate within the funding envelope of £5,500,000 provided by a combination of basic needs funding and schools capital maintenance monies. At this stage it is likely to fall under the following heads of account:</p> <ul style="list-style-type: none"> - £100,000 to allow Brightways to move to alternative premises and amends to buildings to replace like for like to meet future needs - £5,212,000 to meet costs of the new facility and refurbishment at Catmose College (Options paper estimates) - The remainder to be made available as a resourcing for the project. |

Next Steps

Programme Board to be mandated by Cabinet/SMT and established in December 2020

PID to be approved by both cabinet and full Council in February 2021.

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Schools Capital Programme Board

Terms of Reference

Document Owner: Dawn Godfrey
Interim Director for Childrens Services
Rutland County Council

Author: Robert Shore
Service Manager

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| Project Sponsor | Dawn Godfrey | 01 December 2020 |

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Introduction

The purpose of this terms of reference document is to state the responsibilities of the Schools Capital Programme Board and to provide leadership in delivering the project required within the Council.

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Membership & Chairing

The Board will be chaired by the Interim Director for Childrens Services. In the absence of the Chair, the meeting membership may elect any other member to act as Chair for that meeting.

Membership of the Board has been agreed by the Chair. The composition of this Board and team members who are required to attend, will be done so by invitation. This is:

- Dawn Godfrey, Interim Director for Childrens Services (DG)
- Mona Walsh, Head of Property Services
- Gill Curtis (Head of Learning and Skills) (GC)
- Andrew Merry (Finance Manager) (AM)
- Robert Shore (Schools Capital Programme Manager) (RS)
- Dee Rajput (Programme Manager) (DR)
- Cllr David Wilby (Portfolio Holder for Lifelong Learning, Early Years, Special Educational Needs & Disabilities, Inclusion, and Safeguarding – Children & Young People) (DW)
- Cllr Oliver Helmsley (Leader of the Council) (OH)

Members may send deputies by exception only. The Programme Manager (RS) will support the provision and running of this Board. Other professionals with specific expertise as required by the Board will be invited to contribute.

There will also be a Project Team established to drive actions as required, this will be led by Catmose College with clear communication line to the Programme Board. Membership is likely to include:

- Catmose College (Chair)
- Robert Shore (CEP Capital Programme Manager)
- Dee Rajput (Programme Manager)
- Lewis Hopcroft (Surveyor)
- Laura Daughtry (Finance Accountant)

Frequency of the Board

Meetings will be held as per the Governance arrangements. Ad-hoc meetings may be held by agreement of the Chair as and when required. Meetings may, exceptionally, be cancelled by the Chair.

Responsibilities of the Board

The board fulfils their leadership role by:

- Taking strategic decisions on the Schools Capital Programme and how it will impact on the Council
- Effectively allocating and managing resources for the Programme
- Monitoring the budget position and taking responsibility for the Programme spend
- Communicating the purpose of the board to staff and other stakeholders
- Monitoring the programme implementation and improving its effectiveness as required

Reporting

The board members shall draw to the attention of this Board, any issues that require further action or disclosure to the relevant management structures. In exceptional cases any members of the Board may escalate issues to the Senior Management Team.

The meeting records of these meetings will be formally recorded and available to Board members. When approved by the Board the minutes will be published to all.

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Papers for the Board

Agenda items may be raised by any member of the Board and should be communicated to the Programme Manager at least 7 working days in advance of any meeting.

Draft meeting record of each meeting will be circulated within 7 working days to Board Members for comment and will provide a clear record of decisions reached and actions agreed.

The meeting record will be formally approved by the Board at the subsequent meeting. The Programme Manager will maintain a Risk and Action Log, which will be reviewed at each meeting.

Decision making between Board meetings

It may sometimes be necessary for decisions to be taken between meetings due to the pressing timescales associated with the grant conditions, in cases where this is necessary, papers will be distributed by the Programme Manager according to the protocols agreed by members of the Board. Deadlines for responses will be set and decisions progressed by the Chair taking into consideration comments by Board members.

Final decisions in these circumstances will be ratified and recorded at the next Programme Board meeting.

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Rutland
County Council

Rutland County Council

Catmose Expansion Project (CEP)

Capital Project Board

Terms of Reference

Document Owner: Robert Shore
Rutland County Council

Version: V1

Date: 01 December 2020

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| Project Sponsor | Dawn Godfrey | 01 December 2020 |
| Sign off by Campus Board | | |

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| Campus Board | TBA | |

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| <i>Voting members in Blue</i> |
| Portfolio holder for Children's Services |
| Principal of Catmose College |
| One member of the Board of Trustees of Rutland & District Schools' Federation |
| Two further representatives of the Council |
| Two further representatives of representatives of Rutland and District Schools' Federation |
| Two representatives of the Contractor |
| A maximum of four representatives from users and other groups |
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Introduction

The purpose of this terms of reference document is to state the responsibilities of the Campus Board which acts as a Project Board for delivery of the Building programme associated with CEP Capital development and to provide leadership in delivering the project required.

Membership & Chairing

The Board will be chaired by the Principal of Catmose College. In the absence of the Chair, the meeting membership may elect any other Catmose Campus Board member to act as Chair for that meeting.

The Board business will be grouped to suit the two key purposes of the project to deliver;

1. Design Team Building project aims
2. Provide operational business planning oversight.

Core membership of the Board has been agreed by the Chair. The composition of this Board is as shown previously

Members may send deputies by exception only. Catmose College will support the running of this Board with assistance from RCC.

There may also be time limited task and finish groups established to drive actions as required, membership will be agreed by the Campus board .

Frequency of the Board

Meetings will be held as per the published schedule. Ad-hoc meetings may be held by agreement of the Chair as and when required. Meetings may, exceptionally, be cancelled by the Chair.

Responsibilities of the Board

The board fulfils its role by:

- Reporting to the Rutland County Council CEP Capital Programme Board as required (through updates and exception reporting and presentation of risk and issues logs)
- Effectively allocating and managing resources for the Project
- Monitoring the budget position and taking responsibility for ensuring the Project remains in budget
- Communicating the purpose of the board to staff and other stakeholders
- Monitoring the project implementation and improving its effectiveness as required
- Fulfilling the terms of the governance agreement put in place by RCC/Catmose College

Notes for each part of the meeting will be taken as follows;

1. Design Team Building project aims (notes for which will be taken by the Architect)
2. Provide operational business planning oversight (notes for which will be taken by Catmose College)

Reporting

The Board reports to the RCC CEP Capital Programme Board.

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The board members shall draw to the attention of this Project Board, any issues that require further action or disclosure to the relevant management structures. In exceptional cases any members of the Board may escalate issues to their Senior Management Team.

The minutes of these meetings will be formally recorded and available to Board members and Programme Board members. When approved by the Chair the minutes will be published to all.

Papers for the Board

Agenda items may be raised by any member of the Board and should be communicated to Catmose College designated lead at least 7 working days in advance of any meeting. The agenda will be agreed with the Chair.

Draft minutes of each meeting will be circulated within 7 working days to Board Members for comment and will provide a clear record of decisions reached and actions agreed.

Minutes will be formally approved by the Board at the subsequent meeting. Designated Lead from Catmose College will maintain an Action Log, which will be reviewed at each meeting.

Decision making between Board meetings

It may sometimes be necessary for decisions to be taken between meetings due to the pressing timescales associated with the grant conditions, in cases where this is necessary, papers will be distributed by the Designated Lead from Catmose College according to the protocols agreed by members of the Board. Deadlines for responses will be set and decisions progressed by the Chair taking into consideration comments by Board members.

Final decisions in these circumstances will be ratified and recorded at the next Programme Board meeting.

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