

Employees' Consultative Forum Agenda

Date: Monday 25 January 2021

Time: 5.00 pm

Venue: Virtual Meeting - Online

Pre-meetings: [Council Side - 4.00 pm, Employees' Side - 4.30 pm]

Membership (Quorum: 3 from the Council Side and 2 trade union representatives from different trade unions)

Chair: Mr D Searles

Labour Councillors: Pamela Fitzpatrick
Graham Henson
Angella Murphy-Strachan
Adam Swersky (VC)

Conservative Councillors: Camilla Bath
Philip Benjamin
Mina Parmar

Employee Representatives:

Teachers Representatives: Louise Crimmins - National Education Union
Anne Lyons - National Association of
(1 vacancy) Head Teachers

Representatives of UNISON: Mr G Martin Mr J Royle

Representatives of GMB: Ms P Belgrave Ms A Jones

Reserve Council Members:

Labour Reserve Members:

1. Ghazanfar Ali
2. Varsha Parmar
3. Kiran Ramchandani
4. Sachin Shah

Conservative Reserve Members:

1. John Hinkley
2. Pritesh Patel
3. Susan Hall

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Useful Information

Meeting details

This meeting is open to the press and public and can be viewed on www.harrow.gov.uk/virtualmeeting

Filming / recording of meetings

Please note that proceedings at this meeting may be recorded or filmed. If you choose to attend, you will be deemed to have consented to being recorded and/or filmed.

The recording will be made available on the Council website following the meeting.

Agenda publication date: Friday 15 January 2021

Agenda - Part I

1. Attendance by Reserve Members

To note the attendance at this meeting of any duly appointed Reserve Members.

Reserve Members may attend meetings:-

- (i) to take the place of an ordinary Member for whom they are a reserve;
- (ii) where the ordinary Member will be absent for the whole of the meeting; and
- (iii) the meeting notes at the start of the meeting at the item 'Reserves' that the Reserve Member is or will be attending as a reserve;
- (iv) if a Reserve Member whose intention to attend has been noted arrives after the commencement of the meeting, then that Reserve Member can only act as a Member from the start of the next item of business on the agenda after his/her arrival.

2. Declarations of Interest

To receive declarations of disclosable pecuniary or non pecuniary interests, arising from business to be transacted at this meeting, from:

- (a) all Members of the Forum;
- (b) all other Members present.

3. Minutes (Pages 7 - 10)

That the minutes of the meeting held on 3 December 2020 be taken as read and signed as a correct record.

4. Petitions

To receive petitions (if any) submitted by members of the public/Councillors under the provisions of Executive Procedure Rule 47 (Part 4D of the Constitution).

5. Deputations

To receive deputations (if any) under the provisions of Executive Procedure Rule 48 (Part 4D of the Constitution).

6. Public Questions *

To receive any public questions received in accordance with paragraph 16 of the Executive Procedure Rules.

Questions will be asked in the order in which they were received. There will be a time limit of 15 minutes for the asking and answering of public questions.

[The deadline for receipt of public questions is 3.00 pm, Wednesday 20 January 2021. Questions should be sent to publicquestions@harrow.gov.uk

No person may submit more than one question].

7. Draft Revenue Budget 2021/22 and Medium Term Financial Strategy 2021/22-2023/24 (Pages 11 - 64)

Report of the Director of Finance.

8. Annual Health and Safety Report (Pages 65 - 164)

Report of the Corporate Director of Community

9. **Health and Safety Board Update** (To Follow)

10. **Employees' Side Report** (Pages 165 - 176)

Unison have submitted two reports for consideration by the Forum but one has not been accepted for inclusion on the agenda on the grounds that it includes comments about individuals and the issues should initially be discussed at the Health and Safety Board.

The second report is attached but the Forum should note that some sentences have been removed as they included comments about individuals.

Agenda - Part II

Nil

*** Data Protection Act Notice**

The Council will audio record item 6 (Public Questions) and will place the audio recording on the Council's website, which will be accessible to all.

[Note: The questions and answers will not be reproduced in the minutes.]

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Employees' Consultative Forum

Minutes

3 December 2020

Present:

Chair: Mr D Searles

Councillors: Camilla Bath
Philip Benjamin
Pamela Fitzpatrick
Angella Murphy-Strachan
Mina Parmar
Varsha Parmar
Adam Swersky

**Teacher
Representatives:
Unison
Representatives:** Ms A Lyons
Mr J Royle
- NAHT
Mr M Hernandez

**GMB
Representative:** Ms P Belgrave
Ms A Jones

**Apologies
received:** Louise Crimmins
Gary Martin

45. Attendance by Reserve Members

Having received apologies on behalf of Gary Martin, Unison, the Forum noted the attendance of Morgan Hernandez, Unison, as a substitute for the purposes of the meeting.

RESOLVED: To note the attendance at this meeting of the following duly appointed Reserve Members:-

Ordinary Member

Reserve Member

Councillor Graham Henson

Councillor Varsha Parmar

46. Appointment of Chair and Vice Chair

RESOLVED: (1) To note that Davis Searles (Unison) had been appointed by the Employees' side as the Chair of the Forum for the Municipal Year 2020/21;

(2) That Councillor Adam Swersky be appointed as the Vice-Chair of the Forum for the Municipal Year 2020/21.

47. Declarations of Interest

RESOLVED: To note that there were no declarations of interests made by Members.

48. Minutes

RESOLVED: That the minutes of the meeting held on 4 March 2020 be taken as read and signed as a correct record.

49. Petitions

RESOLVED: To note that no petitions were received at this meeting under the provisions of the Executive Procedure Rule 49 (Part 4D of the Constitution).

50. Deputations

RESOLVED: To note that no deputations were received at this meeting under the provisions of Executive Procedure Rule 48 (Part 4D of the Constitution).

51. Public Questions

RESOLVED: To note that no public questions were received.

Resolved Items

52. Annual Health and Safety Report

The Forum received a report which summarised the Council's health and safety performance for the year 1 April 2019 to 31 March 2020, provided an update of activities and information on outcome measures. The report also provided information about Occupational Health, as this did not sit within the Corporate Health and Safety remit, and also included the Health & Safety Strategy, Corporate Health and Safety Plan and Policy.

The Employees' side representatives indicated that they had not had sufficient time to read the report as there had been issues with accessing the agenda electronically. Following a request from the Employees' side for hard copies of agendas to be provided, the Corporate Director of Resources advised the Forum that the Council was moving away from paper copies but these could be provided as an exception.

RESOLVED: That consideration of the report be deferred to the next meeting.

53. Employees' Side report

The Chair advised the Forum that Unison had submitted a report for consideration but that it had been rejected.

The Director of Human Resources and Organisational Development (HROD) advised that the submitted report had not been acceptable in terms of content for the reasons set out in a letter to Unison from the Director of Legal and Governance Services. She added that Unison had been invited to amend and re-submit the report but had not done so to date.

The Employees' side representatives stated that the agenda should have indicated that a report had been submitted but was rejected with the reasons specified. This was acknowledged by the Council side representatives.

Members requested that their thanks and gratitude be conveyed to staff for their hard work and commitment during the pandemic.

(Note: The meeting, having commenced at 6.41 pm, closed at 7.27 pm).

(Signed) Davis Searles
Chair

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REPORT FOR: CABINET

Date of Meeting:	17 December 2020
Subject:	Draft Revenue Budget 2021/22 and draft Medium-Term Financial Strategy 2021/22 to 2023/24
Key Decision:	Yes
Responsible Officer:	Dawn Calvert – Director of Finance and Assurance (S151 Officer)
Portfolio Holder:	Councillor Adam Swersky – Portfolio Holder for Finance and Resources
Exempt:	No
Decision subject to Call-in:	Yes
Wards affected:	All
Enclosures:	Appendix 1A – Growth/Reversed savings and savings from 2021/22 Process Appendix 1B – Savings and Growth 2021/22 to 2022/23 from the 2020/21 Budget Process Appendix 2 - Medium Term Financial Strategy 2021/22 to 2023/24 Appendix 3 - Schools Budget 2021/22 Appendix 4 - Draft Public Health Budget 2021/22

This report sets out the draft revenue budget for 2021/22 and draft Medium-Term Financial Strategy (MTFS) for 2021/22 to 2023/24. The budget and MTFS will be brought back to Cabinet in February 2021 for final approval and recommendation to Council.

Recommendations:

Cabinet is requested to:

- 1) Approve the draft budget for 2021/22 and the MTFS 2021/22 to 2023/24 for general consultation as set out in Appendices 1 and 2 so that Cabinet may later consider the budget in light of the consultation responses and the equality impact assessments before it is referred to Council in February 2021.
- 2) Note the Spending Review 2020 confirmed broad plans for public spending for 2021/22, which will impact on local government, and that the draft budget will be updated when the detail is announced in the Indicative Financial Settlement expected mid to late December followed by the Final Settlement no later than January 2021 (paragraph 1.8).
- 3) Note the balanced budget position for 2021/22, and the budget gaps of £25.754m and £5.098m for 2022/23 and 2023/24 respectively based on the scenario of a total Council Tax increase of 4.99% in 2021/22 and 1.99% in 2022/23 (table 2).
- 4) Note the proposal to increase core Council Tax by 1.99% in 2021/22 and in 2022/23 (Table 2 and paragraph 1.21).
- 5) Note the proposal to increase Council Tax by 3.0% in 2021/22 in respect of the Adult Social Care Precept (Table 2 and paragraph 1.21).
- 6) Note the requirement to develop a fully costed budget and implementation plan to support the estimated financial challenges over the MTFS for presentation to Cabinet in summer / autumn (paragraph 1.50)
- 7) Note there are no proposed structured changes to the schools funding formula for 2021/22 as set out in Appendix 3 and paragraph 1.58
- 8) Approve the draft Public Health budget for 2021/22 as set out in Appendix 4
- 9) Note the assumed funding for the protection of social care 2021/22 through the BCF as set out in paragraphs 1.65

- 10) Authorise the Director of Finance and Assurance, following consultation with the Portfolio Holder for Finance and Resources, to agree Harrow's 2021/22 contribution to the London Borough's Grant Scheme (paragraph 1.69).
- 11) Note that the London 75% Business Rate Retention Pilot will again not apply in 2021/22 but the London Borough's Leaders Committee have agreed to continue to informally post business rates across all London authorities in 2021/22 (as occurred in 2020/21), subject to no London Authority withdrawing before the cooling off period lapses in mid-January.
- 12) Delegate to the Director of Finance and Assurance, in consultation with the Leader of the Council, Portfolio Holder for Finance and Resources and the Monitoring Officer the authority to respond on behalf of the authority with regard to any recommendations from the informal business rates pool from 2021/22.

Final approval will be sought from Cabinet and Council in February 2021

Reason: (For recommendations)

To ensure that the Council publishes a draft budget for 2021/22 and a draft 3 Year MTFS to 2023/24.

Section 2 – Report

BACKGROUND

- 1.1 Prior to the Covid-19 pandemic, Local Government finances continued to have a very difficult decade. Revenue expenditure has reduced by 20 to 30% on average against a backdrop of a rising UK population and a continued increase in demand for social care across all age groups and for pupils with special educational needs. In their publication ‘Local Government Funding – Moving the conversation’ (June 2018) the Local Government Association shared a number of their key statistics including:
- Analysis indicated that local services face a funding gap of £7.8billion by 2025 of which £6.6 billion would relate to Adults social care and Children’s services.
 - By 2020, local authorities will have faced a reduction to core funding from central Government of nearly £16 billion over the preceding decade.
- 1.2 With the Local Government sector being at the forefront of the response to both the public health and economic crises caused by Covid 19, it is hardly surprising that the pandemic has had a significant impact on local government finances which were already in a difficult position following a decade where resources have been reduced by over a quarter. Early in the pandemic London Councils published their report ‘Impact of Covid-19 on Local Government Finance.’ The report published the findings of the surveys issued by the Ministry of Housing, Communities and Local Government (MHCLG) to track the financial impact of the pandemic over the first three months of the year. The estimated financial impact across London Borough’s was £1.96b against Emergency Funding allocated at the time of £500m. Whilst it is appreciated that further financial support has been provided which is gratefully received, so too have increased, and continue to emerge, the associated costs of the pandemic on the sector and the wider local government economy including the impact on local business, jobs and employment, housing and the high street.
- 1.3 Harrow remains one of the lowest funded Councils both within London and nationally. Table 1 below summarises the key financial changes over the 9-year period up to 2021/22:

Table 1: Summary of Key Financial Changes 2013/14 to 2021/22

	Revenue Support Grant	Demand Led Growth	Technical Growth	Savings	Additional Revenue from Council Tax	Business Rate	Council Tax as a % of Budget Requirement
	£000	£000	£000	£000	£000	£000	%
2013/14	52.1	10	10	-22	-1.8	14.7	51
2014/15	42.6	5.5	-2.1	-10	-1.9	14.5	55
2015/16	32	7.7	5.9	-20.6	-3.4	14	59
2016/17	21.9	4.7	9.5	-16.6	-6.8	13.2	64
2017/18	13	10.7	-0.6	-10.2	-7.3	14.4	68
2018/19	7.3	9.8	1.7	-7.4	-5.3	14.4	70
2019/20	1.6	7.4	-4	-5.2	-8.5	14.4	76
2020/21	1.6	5.1	5.7	-3.8	-7.2	14.9	76
2021/22	1.6	16.5	-6.7	-3.6	-6.4	14.9	78
Total	50.5	77.4	19.4	-99.4	-48.6	-0.2	

Over the 9-year period, the table shows:

- The Council's Revenue Support Grant (RSG), its main source of funding from central government, has reduced by 97% to just £1.6m, a reduction of £50.5m. To set this in context, the Council's net revenue budget requirement to support service delivery is £179m.
- Over and above the RSG, the Council receives no additional funding to meet demographic and inflationary pressures. Therefore, growth of £77.4m has had to be provided to fund the continued pressures on front line services, including adults and children's social care, homelessness and waste services. Technical growth of £19.4m has had to be provided to fund inflationary pressures (pay and non-pay) and the cost of capital investment for which the council receives no additional funding.
- These three factors have taken the total budget shortfall to find over the nine years to £147.3m to achieve a balanced budget.
- Savings and efficiencies of £99.4m have been achieved but the profiling of these savings, and how the quantum has reduced in recent years, demonstrates the challenges of finding sustainable savings year on year. For the first time in 2020/21 the Council had to rely upon the use of reserves to balance its budget. Thankfully, through tight financial management, these reserves are now unlikely to be drawn down and can be retained to support the even larger pressures the Council faces in future years.
- Council Tax has been increased largely in line with referendum limits and full use has been made of the Adults Social Care precept. Again for 2021/22, the Council has little choice but to propose the maximum allowable increase in Council Tax of 4.99% which increases the transfer of responsibility onto the council taxpayer to 78%.

- 1.4 Despite all reasonable actions, including council tax increases, significant savings, and efficiencies and generating income, it still remains a considerable challenge for the Council to balance its annual budget in light of continued demand pressures and funding certainties compounded by a historically low funding base. In February 2020 full Council approved the Medium-Term Financial Strategy (MTFS) 2020/21 to 2022/23. Despite achieving a balanced budget for 2020/21, there remained a budget gap of £22.592m over the final two years of the MTFS.
- 1.5 A budget gap of £22.592m is enough of a significant financial challenge from which to refresh the MTFS. Factor into this a disproportionate impact of Covid- 19 on the Borough and it leaves the Council in a grave financial position facing very difficult budget decisions. Covid-19 has had a disproportionate impact on the residents of Harrow. Between the period of 1st March to 14th June, a total of 1,045 lab-confirmed cases were recorded for the London Borough of Harrow. Harrow had the second highest reported rate in London at 414.6 per 100,000 population, compared to the overall rate in London of 304.7 cases per 100,000. Between January 1st and June 16th, there were 1,164 deaths registered to Harrow residents, of which 391 mentioned Covid-19 on the death certificate. The Age Standardised Mortality Rate per 100,000 was 36.2 deaths in England and Wales, in London the rate was 85.7 and in Harrow it was 114.7, Harrow was the 6th highest in London.
- 1.6 Covid-19 has been shown to disproportionately affect older people and people from BME communities. Both these groups are more likely to become ill from Covid-19, require admission to hospital and subsequent support, and both these groups are more highly represented in Harrow than many other London Boroughs. The high number of 57 residential and care homes in Harrow, and outbreaks within them have certainly contributed to the high number of cases of Covid-19 in Harrow.
- 1.7 The disproportionate impact felt by Harrow has not been matched by a proportionate share of funding. Analysis shows that, over the four tranches of Emergency Funding received, Harrow ranked in 108th position nationally (out of 339) and across London in 26th position (out of 33, which is 8th lowest).

SUMMARY

- 1.8 The draft budget set out in this report shows an updated MTFS with several changes which Cabinet are asked to note. The changes achieve a balanced budget position for 2021/22 and budgets gaps of £25.754m and £5.098m for 2022/23 and 2023/24 respectively. The draft MTFS is based on the Spending Round 2020 (SR 20), announced Wednesday 25 November, which confirmed broad plans for public spending for 2021/22 only. SR 20 contained several policies and announcements which will impact on local government although the detail of these will only become clear in the Local Government Indicative Financial Settlement expected mid-December. The final settlement is expected to be agreed no later than the end of January 2021. Section 30 of the Local Government Finance Act

1992 requires local authorities to set their council tax no later than 11 March 2021 therefore the final budget and MTFS will proceed to Cabinet and Council in February 2021. Whilst it is intended that Members will approve the MTFS in February 2021, it could still be subject to assumptions in relation to grant settlements, council tax income, legislation and demographics. The Council does hold a contingency for unforeseen items (£1.248m) which is intended to support uncertainties and the Council will still be required to review the Council's budget on a yearly basis.

EXTERNAL FUNDING POSITION

1.9 Harrow Council remains one of the lowest funded councils both in London and nationally. Harrow's core spending power per head in 2019/20 was estimated to be £170 lower than the London average and £75 lower than the rest of England average. The announcements within the SR 20 have done little to address the relative position of Harrow's funding baseline.

1.10 The SR 20 confirmed broad public spending allocations for 2021/22. Until the summer the indication from government was still an intention to set a three-year revenue settlement after representations from the sector of the challenges managing temporary funding over the medium and longer term, for budget planning and sustainability purposes. After the cancellation of the Autumn Budget, confirmation was finally received that SR 20 would be a one-year settlement only. The key areas of the review are detailed below and those that have been quantified in enough detail have been included in the draft budget and MTFS:

- The main Council Tax referendum limit will be 2% and the Adult Social Care Precept at 3%.
- £300m of extra grant funding for Social care. Harrow's share is estimated at £1.044m and will be assumed to be recurrent for budgeting purposes.
- £670m of additional grant funding to help local authorities support more than 4m households least able to afford Council Tax payments. Current understanding is that the funding is discretionary and Councils can use their grant to best support their residents, including council tax support schemes. Specific grant guidance and allocations are pending.
- An estimated £762m is allocated to compensate for 75% of irrecoverable loss of CT and NNDR revenues in 20/21. Again, specific grant guidance and allocations are pending and any potential impact on the Collection Fund and budget are unquantifiable at draft budget stage.
- An extra £1.55n of grant funding to meet additional Covid-19 expenditure pressures. This will be allocated out using the same methodology for Emergency Funding Tranche 4 in the current

financial year. The Council's share is estimated to be £4.6m which is reflected in the draft budget on a one-off basis.

- The Income Compensation Scheme for Sales, Fees and Charges will be extended for three months until June 2021. The estimated compensation for Harrow is £500k which is reflected in the draft budget on a one-off basis.
- The New Homes Bonus grant will continue for a further year into 2021/22 with reform of the scheme planned for implementation in the following year.
- Grant funding for Public Health, the Troubled Families Programme and the Improved Better Care Fund will continue on a cash flat basis.
- The Business Rates multiplier will be frozen in 2021/22 which will reduce business rate bills.
- There is a delay to the planned move to 75% Business Rates Retention and the implementation of the Fair Funding Review and Government will not proceed with the reset of the business rate baselines in 2021/22. These are all likely to be considered for SR21.

DELIVERY OF THE 2020/21 BUDGET

- 1.11 In these unprecedented times, delivery of the 2020/21 budget is critical to maintaining the Council's financial standing and to do everything possible to protect front line services and to manage the future impact on the MTFS. Due to the Covid-19 pandemic, the monitoring of financial performance is being separated between business as usual and Covid-19. This is to ensure the impact of the pandemic is fully understood on the current and future years and business as usual budget is robustly managed to ensure no unfunded pressures.
- 1.12 Harrow has a good track record of robust financial management and has not reported a revenue budget overspend for many years. The performance against the 2020/21 budget is detailed in a separate report on this agenda, 'P2 20/21 Revenue & Capital Monitoring 20/21 – as at Qtr 2 (30/09/20).' This report forecasts a net overspend of £579k made up of a forecast underspend against the business as usual budget of £29k off set against unfunded Covid-19 pressures of £608k. It should be noted that the Qtr 2 report was prepared before it was announced that the country would enter into a second lockdown on 5 November for one month. The impact of this and current tier restrictions are being assessed, alongside additional central government funding announcements, and will be reflected in the Qtr 3 Financial Performance report scheduled for Cabinet in February.
- 1.13 The Qtr 2 Covid-19 estimated overspend is supported by one off central government support of £22.465m of which £18.165m is Emergency Funding to cover additional expenditure pressures and £4.3m is income received through the Income Compensation Scheme for the loss of sales,

fees and charges. Whilst SR20 did announce continued Covid-19 financial support into 2021/22, this funding is estimated at a quarter of what has been received in the current financial year creating significant implications for the MTFS, especially around income.

- 1.14 It is well reported that the Council does not have large reserve balances when benchmarked with other local authorities and during this decade of austerity has steered away from applying one off reserves to balance the budget. However, due to the continued challenging fiscal environment and additional unfunded adult social care pressures, the 2020/21 budget included £3.805m to be drawn down from the Budget Planning and Business Risk reserves on a one-off basis.
- 1.15 The Qtr 2 forecast for the business as usual budget is an estimated underspend of £29k and, through robust management and grip on the in-year budget, this estimate does not require the drawdown of the £3.805m from reserves. This means these reserves can remain on the balance sheet to support the considerable strain on the MTFS in future years.

BUDGET PROCESS 2021/22

- 1.16 The Council has a statutory obligation to agree and publish the budget for 2021/22, and approval for this will be sought in February 2021. In preparing the 2021/22 budget and rolling forward the MTFS to cover the three-year period 2021/22 to 2023/24, the current MTFS (approved by Council in 2020) has been the starting point for the process.
- 1.17 The MTFS approved in February 2020 assumed a budget gap of £11.414m for 2021/22 and £11.178m for 2022/23. This is the starting point for the refreshed 3-year MTFS. It's important to note that this starting point assumes achieving existing directorate savings of £2.947m in 2021/22.
- 1.18 The Council's financial position has always been dynamic affected by a number of financial uncertainties and adjustments that impact upon its financial position over the short and medium term. The impact of Covid-19 upon both the Council's financial position and its internal capacity has made the sustainability of Council finances a key strategic issue. In preparing the draft budget for 2021/22 the existing MTFS has been:
- Refreshed and rolled on a year
 - Updated to reflect the estimated impact of Covid -19 (both expenditure and income) beyond the current year
 - Updated to reflect the estimated impact of SR 20 where the financial implications can be assessed for the Council with a reasonable degree of certainty, accepting that there is an element of risk until the Indicative Financial Settlement is received mid to late December.
- 1.19 The adjustments are summarised in Table 2 below. Following Table 2 there is an explanation for the figures contained within. These adjustments are also set out in Appendix 2 along with adjustments included within the previous MTFS agreed as part of the 2020/21 Budget process:

Table 2: Changes to MTFS (Prior to Indicative Finance Settlement)				
	2021/22	2022/23	2023/24	Total
	£'000	£'000	£'000	£'000
Published Budget Gap - February 2020	11,414	11,178	0	22,592
Adjustments:				
Council Tax				
Increase in Council Tax @ 4.99% (1.99% core and 3% Adult Social Care precept	-6,213			
Increase in Council Tax @ 1.99% core		-2,780		
Removal of increase in tax base previously estimated at 88,160	750			
Summary of Budget changes - Appendix 1A				
Resources - reversal of growth	-176	-177		
Community savings	-250			
Reversal of Commercial Investment income	1,175	1,175		
Resources growth	134			
Adults Growth - £652k was allocated in 2019/20 in respect of 2021/22 but this is being reversed and replaced with £3.895m, therefore an addition of £3.243m in terms of impact this year. In addition to the £3.895m a figure of £2.344m was allocated last year, bringing the total growth included in the budget to £6.239m.	3,243	1,047		
Adults growth to be retained centrally - this deduction will mean that £4.772m is allocated to adults which is the value of the 3% precept and expected grant allocation of £1.044m	-1,467			
Adults growth - transfer of Capital Adaptations and careline equipment budgets to Revenue	465			
Children's Placements and SEN transport growth	2,004	1,205		
Community - growth required across the Directorate	2,920	300	300	
Community - covid Loss of income @ 25% of 20/21 income budget & phased back	5,000	-2,218	-1,799	
Corporate - reversal of SEN transformation savings	800			
Technical Changes				
New Homes Bonus - continuation of scheme previously assumed to reduce	-782	-728		
Freedom Passes - estimated reduction in usage	-1,108	-1,580	1,377	
Application of Capital Flexibilities in 2021/22	-2,000	2,000		
Pay and Non Pay Inflation			4,750	
Additional Capital Financing required for new 3 Year Capital Programme			470	
Realignment of 2021/22 MRP budget to account for slippage	-2,981	2,981		
Spending Review - Estimated additional COVID Funding:				
Additional Grant For Social Care (assumed to be permanent)- allocation to be confirmed in December settlement	-1,044			
£1.55b grant to meet additional COVID expenditure (one off)	-4,600	4,600		
Income compensation for sales, fees and charges - 3 month extension	-500	500		
Adults growth to be retained Corporately.	1,467			
Revised Budget Gap	8,251	17,503	5,098	
Application of non GF reserves:				
Adults Social Care Reserve	-920	920		
Budget planning reserve not applied in 20/21	-2,628	2,628		
Business Risk Reserve - not applied in 20/21 & balance	-1,771	1,771		
Children's social care reserve - no applied in 20/21	-932	932		
£2m 20/21 target underspend - to be added to reserves in 2021/22	-2,000	2,000		
Budget Gap December 2020	0	25,754	5,098	

1.20 Council Tax Adjustments

In 2021/22 the Council tax base will reduce to 87,387 from its 2020/21 base of 87,667. This is a reduction of 280 Band D equivalent properties which equates to a total loss of Council Tax income of £426k. Whilst the base is estimated to increase by 1,141 new properties this is offset by a loss of 1,421 properties due to growth in Council Tax Support as a result of the weakening economy largely due to the pandemic. Had it not been for the impact of the pandemic the increase in the tax base would have generated in the region of £1.78m additional council tax income. The current MTFS already assumed an increase in the Council Tax base of 313 band D equivalent properties generating £750k. This has been removed from the draft budget as this increase is not achievable in light of the pandemic. The collection rate will remain at 98% for 2021/22. Collection rates have performed better than expected throughout the pandemic and Harrow has provision for outstanding arrears up to the 31/03/20 of almost 100%.

- 1,21 A maximum Council Tax increase of 4.99% is budgeted for 2021/22 generating Council tax income of £6.213m. There has been an indication that the precept can be applied over 2 years. However, as the 2021/22 settlement is for one year only and there is no information on precepts for 2022/23 alongside significant pressures on the MTFS driven by adult social care growth, the full 3% precept is included in the 2021/22 draft budget. An increase in core Council Tax of 1.99% is included in the draft MTFS for 2022/23.

1.22 Technical Adjustments

- 1.23 **New Homes Bonus Grant (NHB).** In 2020/21 the NHB is £3.716m. As part of the 2020/21 budget setting process, reductions in the NHB were built into the budget on the assumption that the grant would be reduced, and no new payments would be made for 2021/22. SR 20 announced that NHB funding would continue for a further year but without legacy payments. At this stage it is still unclear what this means and what the grant allocation will be for 2021/22, but the previous reductions of £782k in 2021/22 and £728k in 2022/23 have been reversed for the draft MTFS.
- 1.24 **Freedom Passes.** The Freedom Pass Scheme (FPS) provides free travel for older and disabled London residents on all Transport for London (TFL) travel modes and on most National Rails routes (with restrictions). The methodology used for settlement of the FPS with TFL uses journey data for the previous 2 years. Covid-19 has significantly reduced the use of public transport, including among concessionary fare passengers and London Councils have provided 3-year cost estimates for each London Borough. Harrow's concessionary fares budget is £9.883m. Savings of £1.108m and £1.580m are estimated for 2021/22 and 2022/23 with journey numbers estimated to pick up in 2023/24 requiring the baseline budget to be increased by £1.377m. These adjustments are reflected in the MTFS.
- 1.25 **Allocation of Capital Flexibilities.** The current capital flexibility arrangements are in place until 2021/22 and any announcements around

their extension are anticipated in the Indicative Financial Settlement. £2m of capital flexibilities will be applied in 2021/22 to fund the qualifying revenue costs of reform projects which must be reversed out of the budget in the following year.

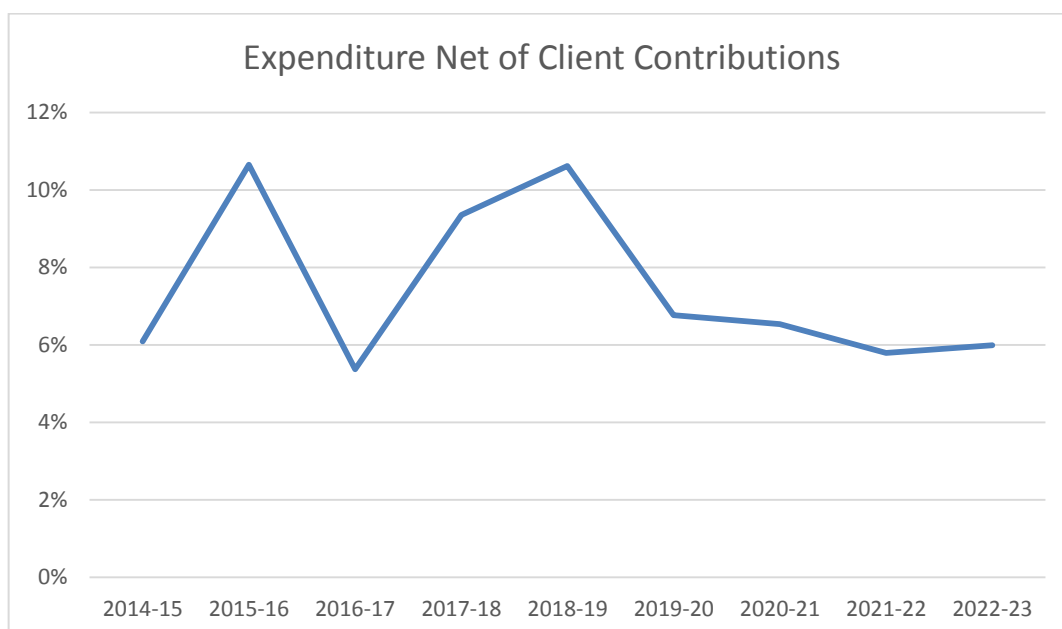
- 1.26 **Pay and Non-Pay Inflation.** The current MTFs assumes £3.1m in 2021/22 to fund pay and non-pay inflation and £4.750m in 2022/23 to fund all inflationary costs and budget pressures. A provision of £4.750m is now included in the MTFs for 2023/24. The SR 20 announced a public sector pay freeze. As local government pay is subject to separate negotiations, any savings as a result of an agreement to freeze pay for local government has not been assumed in the MTFs. If a pay freeze is subsequently negotiation, the budget saving will be transferred to reserves to support the MTFs.
- 1.27 **Additional Capital Financing required for the new 3 Year Capital Programme.** The draft 3 Year Capital Programme is subject to a separate report in the agenda. The draft document requires additional capital financing costs of £470k in 2023/24. The government has published its response to the Treasury's consultation on Public Works Loans Board (PWLb) lending terms and will end use of the PWLB for investment property bought primarily for yield. As previously explained the Council has already decided not to pursue its programme of commercial investment and the financial implications have been removed from both the budget and capital programme. The government also announced it will cut PWLB lending rates to gilts + 100 bps for Standard Rate and gilts + 80 bps for Certainty Rate. The impact of this reduction is being worked through in terms of the impact on the capital financing budget and any reductions will be built into the final budget.
- 1.28 **Realignment of the 20/21 Minimum Revenue Provision (MRP) Budget to account for slippage.** Due to the slippage of the in-year Capital Programme, the timing of required MRP's has been reviewed resulting in a realignment of provisions required. This generates a one-off budget benefit of £2.981m in 2021/22.
- 1.29 **Reversal of Commercial Investment Income.** £100m was approved by Cabinet in July 2019 as an addition to the Capital Programme for Commercial Investments. The basis of the inclusion was that this £100m would generate a minimum net return of £2.5m after repaying the capital financing costs. One property has been bought from the £100m which is generating a net return of £150k which was built into the 2020/21 budget. The net return from the balance of £94m was reflected in the MTFs equally over 2021/22 and 2022/23. The decision has been made to not continue with the strategy of commercial investment due to the challenges of securing properties which meet the investment criteria and the decision of the government to stop the use of Public Loans Works Board for investment in property bought primarily for yield. The remaining net return within the MTFs of £2.350m has now been removed.

1.30 Adult Social Care Growth

At the point of setting the 2020/21 budget in February 2020, the final budget report identified adults social care growth pressures of £6.439m and £7.063m for 2021/22 and 2022/23 respectively. The report also explained that because future funding to support the growth pressures was very uncertain and could not be built into the MTFS with any degree of certainty, it was reasonable that the estimated pressures were identified but also not included in the MTFS. The work within the Adults Service to further understand growth projections has continued throughout the year and now must be reflected in the MTFS alongside SR 20 funding announcements on social care grant and precept.

1.31 The Institute for Fiscal Studies has found that Councils need an estimated additional £1.6bn by 2024/25 to fully meet the cost of adult social care. Even before Covid-19, London's adult social care sector faced a funding shortfall of £130 million this year. While SR 20 has provided a short-term boost (an additional £300m nationally which translates to an additional estimated £1.044m for Harrow in 2021/22), boroughs will continue to call for a long-term, sustainable solution to the challenge of funding adult social care services.

As part of the modelling work to understand the future demands on Adults Social care, evidence-based analysis does show that costs pressures are volatile, as detailed below. The forecast for 2021/22 and 2022/23 assumes the growth detailed in the table below:



1.32 Against a backdrop of a rising UK population, increasing social care demands for older people and young adults with learning difficulties and the NHS under pressure, the modelling continues to estimate future cost pressures. The draft MTFS includes estimated adult social care growth pressures as detailed in table 3 below:

Table 3: Estimated Adult Social Care Growth 2021 to 2024

Growth	2021/22	2022/23	2023/24
	£'000	£'000	£'000
Complexity	1,305	1,644	0
Demand	2,491	912	0
Commissioning activity	(300)	0	0
Care provider inflation	1,046	1,135	0
Mitigations not achieved	1,034	0	0
ASC reserve (one-off)	663	0	0
MTFS Impact	6,239	3,691	0

The following narrative supports the numbers in the table above:

- 1.33 **Complexity** includes the increased cost of existing packages or care as clients remain within the system. A 5% year on year increase in the current average weekly cost of £334 per week has been assumed.
- 1.34 **Demand** assumes accepting liability for 30 Covid-19 nursing placements from health following care act assessment from April 2021, together with net new demand during each financial year (approx. 4,420 weeks of care 21/22 and 3,490 22/23 assuming an average community package of £261 per week).
- 1.35 **Commissioning activity** is to support the review of elements of care aiming to increase quality and keep pace with the external market.
- 1.36 **Care provider inflation** is assumed at 1.5% of the Adults budget. The National Living Wage will increase in April 2021 by 2.2% from £8.72 to £8.91. As a result, containing increases in the cost of care will need to be targeted to ensure that increases are agreed within the available financial envelope.
- 1.37 **Mitigations did not achieve** the 2020/21 Adults budget assumed mitigations of £1.584m to achieve a balanced position within the approved growth allocation. At the time of setting the budget £0.9m of mitigations had been identified. The impact of Covid-19 has reduced the achievement of the savings identified (a lower level of learning disability commissioning savings and the delayed implementation of the changes in the Adults charging policy) to £550k and it has not been possible at this stage to identify further reductions to mitigate the original unidentified savings.
- 1.38 The estimated growth projections, and the assumptions upon which they were based, are dynamic and continue to be worked upon and refined, especially in light of the service approaching one of its most challenging times of the year, winter pressures coupled with the second wave of Covid-19.
- 1.39 The underlying budget, assumes the following for 2021/22:

- 29,172 weeks of bedded care (residential and nursing), the equivalent of 561 citizens for a full year, with an average gross cost of £980 per week
- 7,072 weeks of care in supported accommodation, the equivalent of 136 citizens for a full year, with an average gross cost of £1,097 per week
- 100,152 weeks of care for community services (domiciliary care, cash personal budgets and external day care), the equivalent of 1,926 citizens for a full year, with an average gross cost of £261 per week

1.40 Without a national solution for the longer term sustainable financing of Adult Social Care, and given the challenging financial picture of the wider Council position, the directorate will need to continue to work to reduce the costs of service provision to mitigate future growth requirements, including in 2023/24 where there is no specific growth included in the MTFS and Council wide growth to fund inflationary and growth pressures is restricted to £4.750m. Adults forecast a growth requirement of £6.239m in 2021/22. After accounting for what is already in the MTFS, to meet this growth requirement an additional £3.243m is provided in the budget. In terms of funding the growth requirement, the Council has received an estimated £1.044m in additional social care grant and can raise an estimated £3.782m through the 3% precept. This leaves a funding pressure of £1.467m which is a strain on the MTFS. This strain has been provided for within the draft 2021/22 budget, but it will be held corporately, and allocation will be reviewed alongside the services ability to review areas to mitigate pressures and the key areas for review are detailed below:

- Continue the work with learning disabilities working with individuals to promote independence and reduce the costs of packages (Home is Harrow)
- Continue to roll out the strengths-based working across adults (3 conversations) (this is challenging in a Covid environment given the inability of social workers to make home / face to face contact visits)
- Market shaping to ensure the most efficient use of available resources, and potentially targeting a cohort of high cost packages
- Subject to the evaluation of the Assisted Technology (AT) pilot, implementation of the AT equipment to reduce care packages
- Focus on the hospital discharge to avoid an over reliance on admission to care homes

1.41 **Adults growth - transfer of capital Adaptations and careline equipment budgets to Revenue.** There has been a capital budget of £230k allocated annually for equipment needed to adapt homes for adults requiring help to remain at home and a separate allocation of £235k to fund careline equipment. This was previously funded as part of the allocation of grant

funding for Disabled Facility Grants (DFG). As the requirement for DFG funded adaptations has increased, it has been decided to allocate the full grant to those more substantial adaptations made in homes and move the smaller equipment budgets to revenue. There is a one-off impact of growth this year of £465k in moving these budgets to revenue, but there will be a longer-term benefit of no requirement to borrow in order to fund these smaller equipment-based adaptations.

1.42 **Children's Placements & Accommodation**

There are significant pressures on Children's Placements & Accommodation in 2020/21 which are estimated to continue into future financial years. There has been a net increase in the number of Looked After Children rising from 169 in March 2020 to 206 in October 2020. There are a number of factors contributing to this including, but not limited to, Covid-19 which has led to delays in court proceedings, reductions in face to face family work to prevent or delay young people coming into care where it is safe to do so and increased statutory intervention due to family mental health leading to more children coming into care. In addition, children are presenting with more complex and challenging needs leading to higher cost residential placements. There is also a net increase in the number of children subject to Child Protection plans rising from 279 in March 2020 to 340 in October 2020. This has meant that the savings of £820k over the period 2020/2022 have not been achieved and further growth is required to fund the underlying demand over the next two years as one off funding currently being used to mitigate some of these pressures in 2020/21 is exhausted. Growth of £1.227m and £1,205m is provided in the draft budget for 2021/22 and 2022/23 respectively.

1.43 **SEN Transport**

There is estimated to be significant pressures on SEN Transport in 2020/21 brought about by a net increase in the number of children requiring home to school transport and complexity of children's needs. In addition to this the re-procurement of the inhouse vehicle contract has led to increased prices and a different mix of vehicle types as well as the current managed service contract which provides drivers and escorts is also being re-procured and is anticipated to lead to higher costs. A system-wide review of special needs transport began in 2019 which started with a review of back office functions and the flow of information between families and council departments. The second phase would review the mix of provision between inhouse vehicles and commissioned taxis to demonstrate cost effectiveness. It was anticipated that these reviews would lead to savings. However due to Covid the second part of this review had to be postponed and is unlikely to begin again until 2021. Therefore, achievement of any possible savings will be delayed and until actions and savings can be quantified with sufficient robustness, growth of £777k is included in the draft budget for 2021/22 as a result of the inherent pressure carried forward from 2020/21. This growth will remain under review as the second phase of the review progresses, with a view to removing the growth as efficiencies are identified. In the meantime, it is anticipated that approximately 30 additional children per year will require home to school transport.

1.44 **Community – growth required across the Directorate**

A total growth of £2.920m is required in 2021/22 to mitigate against the baseline budget pressures (£1.855m) and unachieved MTFS targets (£1.065m) across Community Directorate as set out below:

1.45 **Waste Services (£1.475m)**

- There is a significant pressure on waste disposal budgets. Residual waste tonnage has increased significantly since the start of the health pandemic due to working from home arrangements thereby more waste is produced by households. Based on the forecast waste tonnage for 2021/22, the budget pressure on West London Waste Levy (WLWL) is estimated at £0.75m in 2021/22, increasing by £300k each year in 2022/23 and 2023/24 to account for household growth and price inflations. The re-procurement of dry mixed recycling (DMR) waste disposal contract has been completed. Due to the continuous unfavourable market prices for mixed dry recyclates, the level of revenue rebate achieved from the sales of these has been low and is expected to remain so. The processing cost of the DMR waste has also increased in the new contract. The combined effect of these is that the cost of DMR waste disposal is estimated to be £0.6m more than budget.
- Following a review of the capital programme, the funding source for the purchase of domestic bins is switched from capital to revenue and therefore a revenue budget of £125k is required from 2021/22 in Waste Management.

1.46 **Facilities Management (£380k)**

- Building maintenance and responsive repairs for all corporate sites is forecast to overspend by £300k in 2020/21 against the base budget of £0.77m. A budget review in this area was undertaken and identified that the cost of Planned Preventative Maintenance (PPM) works across the corporate property portfolio was in excess of £420k. This does not include the cost of any remedial works following PPM or any cost of responsive repairs. Due to the age and the lack of investment of some of the buildings, the current budget is not sufficient to cover all building repairs and therefore a growth of £300k is included in 2021/22 budget.
- There is a reduction in the uptake of SLA services by schools, in particular in the area of Facilities Management. This has created an income pressure of £80k for the service.

1.47 **Unachieved MTFS (£1.065m)**

- A MTFS target of £1.234m was originally set for the depot redevelopment project to reflect the financing cost of the capital borrowing. The targets profiled to 2019/20 and 2020/21 were £246k and £681k respectively. Some

of the overall target has been achieved from additional rent income across the corporate property portfolio, leaving a net target of £0.861m which remains unachievable in 2020/21 and will not be achieved from the new depot following a review of commercial opportunities earlier of the year.

- The existing MTFs has set a net target of £172k to be achieved from Vernon Lodge site through a combination of B&B saving and additional rent income in 2021/22. This is no longer achievable as the original Vernon Lodge redevelopment project did not go-ahead following planning issues and environmental health concerns.
- A procurement saving target of £200k was included in the MTFs in 2019/20. Despite some savings have been achieved from various contract re-procurements, a net target of £32k remains unachievable.

1.48 Community – Covid-19 loss of income @25% of 20/21 income budget and phased back in.

Community Directorate provides a wide range of discretionary chargeable services. The COVID-19 health crisis and the social distancing restrictions imposed by Government have had a significant financial impact on Community Directorate as this adversely affects its ability to generate income which the directorate relies heavily on to deliver its budgets. A slow economic recovery is anticipated after lockdown measures are eased. This is likely to result in an adverse impact on 2021/22 income. A regular review of the income trend throughout 2020/21 forms the basis of estimating the likely budget impact over the MTFs period. Key areas of pressures are identified in Parking Services and Cultural Services and Leisure, with estimated income losses of £2.4m and £1.6m respectively in 2021/22. In addition, a pressure of £1m is identified from other transactional activities across various service areas. Therefore, the total income losses are estimated at £5m in 2021/22.

At this stage it is assumed that the income will gradually get back to the pre-COVID level over the MTFs period. The £5m growth will therefore be reversed in 2022/23 and 2023/24 respectively, except for some income which is expected to be lost permanently due to the redevelopment of the Civic Centre site. This includes income from the car park, staff restaurant, filming, cookery school and training academy. In addition, the current leisure contract will expire in 2023. The impact of the health pandemic in the leisure sector is likely to result in some longer term loss of income regardless of the future service delivery model, and therefore the MTFs assumes 50% reversal of the growth in this area, subject to further review in the next round of the MTFs.

- 1.49 Spending Review - Estimated additional Covid-19 Funding.** The SR 20 announcements on additional Emergency Funding and Income Compensation for 2021/22 have been estimated at £4.6m and £500k respectively for Harrow and included in the draft budget for 2021/22 only.

1.50 Application of non-General Fund Reserves

After all known adjustments, the draft MTFS shows a revised budget gap of £30.852m of which £8.251m relates to 2021/22. In October 2020 a report was brought to Cabinet with an early indication of a draft MTFS for 2021/22 to 2023/24 which also showed a significant budget gap. This report explained the choices the Council was faced with in light of the indicative budget gap:

- 1) The Council could embark on a drastic programme of cuts to address the budget gap. At the time of it was considered unwise to consider any programme to reduce Council until there is clarity on the Councils funding settlement.
- 2) The Council has limited reserves that can be applied to the budget gap, mindful that the reserves are one off in nature and will only provide a temporary solution.

At the time of writing this draft budget report, it is accepted that the Council is still waiting for the Indicative Financial Settlement due to be received mid to late December. However, all efforts have been made to include all quantifiable SR 20 announcements within the MTFS and it is considered unlikely the indicative settlement will materially change the estimated budget gap. It is also accepted that the draft MTFS for future years is an estimate. The estimate includes known growth and demand pressures but includes no potential funding implications from SR 21, additional support for social care (either grant or precept), support for the impacts of Covid-19. Therefore, it's not unrealistic that the indicative future budget gaps have the potential to reduce but the budget shortfall for 2022/23 is estimated £25.754m which exceeds the balance of the Councils remaining none earmarked and General Fund reserves (£15.2m). Whilst the Council will continue its lobbying for a fairer funding settlement which meets the needs of the borough, the Council must have a strategy in place to tackle its financial challenges and for this reason the Council must develop a fully costed budget and implementation plan, ready to bring to Cabinet in the summer / autumn ready to feed into the budget setting round for 2022/23. Further detail will be presented on this in the final budget report to Council in February.

For the purposes of the 2021/22 budget, at draft budget stage the estimated budget gap of £8.251m will be funded through a mixture of reserves and a further tightening of expenditure in the current financial year to create a £2m reserve to support 2021/22. The reserves being applied are those reserves which were planned to be drawn down in 2020/21 but robust management of the in-year budget no longer requires this:

Budget Planning Reserve	£2.628m
Budget Risk Reserve	£1.771m
Adults Social Care Reserve	£0.920m
Children's Social Care Reserve	£0.932m
2020/21 Savings Target	<u>£2m</u>

Total

£8.251m

If the indicative settlement does deliver any additional financial benefit to budget, the draw down in reserves will be reduced.

Budget Refresh, Growth & Savings

- 1.51 There is a commitment to refresh the three-year MTFs annually to ensure it remains reflective of the changing Harrow and Local Government landscape. All savings in the current MTFs for 2021/22 and 2022/23 have been reviewed to ensure that they can either be taken forward or removed as part of this draft budget.
- 1.52 Table 4 summarises the total savings and growth put forward as part of the budget process last year in respect of financial years 2021/22 and 2022/23. Table 4 shows total savings of £8.410m between 2021/22 and 2022/23 and growth of £2.067m, so net savings of £6.343m. The detail is set out in Appendix 1B.

Table 4: Savings and Growth from the 2020/21 Budget Process

	2021-22	2022-23	Total
	£000	£000	£000
<u>Savings Summary</u>			
Resources	(1,934)	-	(1,934)
Children	(410)	-	(410)
Community	(1,125)	-	(1,125)
Corporate	(2,719)	(2,222)	(4,941)
Total Savings	(6,188)	(2,222)	(8,410)
<u>Growth Summary</u>			
Resources	493	678	1,171
Adults	652	-	652
Children	-	-	-
Community	-	-	-
Corporate	244	-	244
Total Growth	1,389	678	2,067
Total Savings and Growth	(4,799)	(1,544)	(6,343)

- 1.53 Table 5 sets out the total changes in terms of Growth/reversed savings and growth and savings proposed as part of the 2021/22 budget process. Table 5 shows a net growth as a result of reversed savings/growth and new growth of £15.148m over the three year period 2020/21 to 2022/23. The detail is set out at Appendix 1A.

Table 5: Growth/Reversed savings and savings from 2021/22 Process

	2021-22	2022-23	2023-24	Total
	£000	£000	£000	£000
Reversal of prior year savings/ growth and new savings				
Resources	(176)	(177)	-	(353)
Children				-
Community	(250)	(300)	(600)	(1,150)
Corporate	1,175	1,475	600	3,250
Total	749	998	-	1,747
Growth and reversal of prior year savings				
Resources	134	-	-	134
Adults	3,708	1,047	-	4,755
Children	2,004	1,205	-	3,209
Community	7,920	(1,918)	(1,499)	4,503
Corporate	800	-	-	800
Total	14,566	334	(1,499)	13,401
Net Impact of Reversals/Growth and Savings	15,315	1,332	(1,499)	15,148

CAPITAL RECEIPTS FLEXIBILITY

- 1.54 In the Spending Review 2015, it was announced that to support local authorities to deliver more efficient and sustainable services, the government will allow local authorities to spend up to 100% of their fixed asset receipts on the revenue costs of reform projects. This flexibility was initially offered for the three years 2016/17 to 2018/19 but was extended as part of the 2018/19 Finance settlement for a further 3 years from 2019/20 to 2021/22.
- 1.55 The Council signified its intent to make use of this flexibility in its final budget report to Cabinet and Council in February 2016. The draft budget for 2021/22 assumes capital flexibilities of £2m.

SCHOOLS FUNDING FOR 2021/22

- 1.56 In 2018/19 the government introduced a new National Funding Formula (NFF) for Schools, High Needs and the Central Schools services Block. For the Schools Block this means LAs are funded based on the total of the NFF for all schools, academies and free schools in its area. However, the final formula for distribution is determined by each Council following consultation with schools and Schools Forums.
- 1.57 The LA carried out a consultation in Autumn 2017 which sought views on whether the LA should continue to use the Harrow Schools Funding Formula or introduce the National Funding Formula from 2018/19. 76% of

schools responded to the consultation and 89% voted in favour of introducing the NFF from 2018/19. This was approved by Cabinet in February 2018 and school budgets for the last two years have been set based on the NFF.

- 1.58 The NFF will therefore continue to be used to distributed school budgets for 2021/22. There are no proposed changes to the structure of the formula for 2021/22 however there are a number of changes for schools to be aware of and the Local Authority are required to consult on the value of the Minimum Funding Guarantee (MFG). A short consultation was carried out from 5th to 23rd October 2020. There was a total of 10 (19%) responses received. The consultation question asked: Do you support the proposal to apply the highest MFG subject to affordability and ensuring that no school's budgets are unfairly distorted. 100% of respondents support the highest MFG subject to affordability. The full outcome of the consultation proposed final funding formula and final DSG allocations will be reported to Cabinet in February 2021 for approval.

PUBLIC HEALTH FUNDING

- 1.59 In 2020/21 the total public health grant to local authorities totalled £3.279bn, with £11.150m being allocated to Harrow. The grant is ringfenced for use on public health functions exclusively for all ages of the population and must be spent in accordance with grant conditions on expenditure incurred by local authorities for the purposes of their public health functions, as specified in Section 73B(2) of the National Health Service Act 2006.
- 1.60 The draft Public Health commissioning intentions detailed in Appendix 4 are based on the current (2020/21) grant allocation as Public Health England have yet to announce national funding for 2021/22. These commissioning intentions reflect alignment with the Health & Wellbeing Strategy, Borough Plan and evidence of population priorities. At this stage there is no assumption of additional duties arising from the pandemic being placed on local authorities on an ongoing basis, and as a result the Council consider that this level of funding enables the Council's overarching statutory duties (including equality duties) to be maintained, taking account of the joint strategic needs assessment.
- 1.61 In the event that additional duties are required by Councils, and if these were unfunded, the commissioning intentions would need to be reviewed in light of the allocated grant envelope.

BETTER CARE FUND (BCF)

- 1.62 The framework for the Better Care Fund (BCF) derives from the government's mandate to the NHS which sets an objective for NHS England to ring fence funding to form the NHS contribution to the BCF. The NHS Long Term Plan, published in January 2019 set out the priorities for transformation and integration, including plans for investment in integrated community services and next steps to develop Integrated Care Systems.

- 1.63 The BCF continues to provide a mechanism for personalised, integrated approaches to health and care that support people to remain independent at home or to return to independence after an episode in hospital. The continuation of the national conditions and requirements of the BCF provides opportunities for health and care partners to build on their plans to embed joint working and integrated care further, including how to work collaboratively to bring together funding streams to maximise the impact on outcomes for communities and sustaining vital community provision.
- 1.64 The Better Care Fund Policy statement announced at the beginning of December advised that the CCG contribution will again increase by 5.3% in line with the NHS Long Term Plan settlement. Whilst the Policy Framework and Planning Requirements which provide the detailed guidance are expected to be published in early 2021 (usually March), the requirements around integration and collaborative working are expected to continue.
- 1.65 The 2021/22 Adults budget assumes that funding for the Protection of Social Care through the BCF will remain at the agreed 2020/21 level of £6.436m, although this should be expected to increase by up to 5.3% in light of the NHS increase committed within the spending review.
- 1.66 The 2021/22 BCF plan will be signed off by the Health & Wellbeing Board ahead of submission to, and assurance by, NHS England.

RESERVES AND CONTINGENCIES

- 1.67 Reserves and contingencies need to be considered in the context of their role to protect the Council's good financial standing and in the context of the overall risks that the Council faces during a continuing period of economic uncertainty. The MTFS reflects the Council's need to ensure an adequate level of reserves and contingencies which will enable it to manage the risks associated with delivery of the budget including equalities impacts and unforeseen events. As at the time of writing this report general fund non earmarked balances remain at £10m. The remaining ear marked reserves total £6.483m (excluding reserves totalling £6.251m applied to 2021/22 as detailed in table 1):
- Contingency for Unforeseen items £1.248m (on going revenue reserve)
 - Business Risk Reserve – £1m
 - Adult Social Care Reserve - £1m
 - Transformation Reserve - £0.545m
 - MTFS Implementation Reserve – £1.426m.
 - The Commercialisation Reserve - £1.264m.
- 1.68 At the end of the financial year, all the reserves listed above will be transferred into the Business Risk Reserve. The Director of Finance and Assurance will report on the adequacy of the Council's reserves as required in the budget setting report in February 2021.

LONDON BOROUGH GRANTS SCHEME

1.69 Harrow's contribution to the London Borough's Grant Scheme was £187k in 2020//21. At the time of writing this report the Council has not been notified of the recommended contribution for 2021/22. To ensure that the Council can respond to London Council's when contribution rates are notified, it is recommended that Cabinet authorise the Director of Finance & Assurance to agree Harrow's 2021/22 contribution to the London Borough's Grant Scheme, in consultation with the Portfolio Holder for Finance and Resources. The contribution rate will be reported to Cabinet in February 2021 as part of the final budget.

2.0 CONSULTATION

2.1 As a matter of public law the duty to consult with regards to proposals to vary, reduce or withdraw services will arise in 4 circumstances:

- Where there is a statutory requirement in the relevant legislative framework;
- Where the practice has been to consult or where a policy document states the council will consult then the council must comply with its own practice or policy;
- Exceptionally, where the matter is so important that there is a legitimate expectation of consultation and;
- Where consultation is required to complete an equalities impact assessment.

2.2 Regardless of whether the council has a duty to consult, if it chooses to consult, such consultation must be carried out fairly. In general, a consultation can only be considered as proper consultation if:

- Comments are genuinely invited at the formative stage;
- The consultation documents include sufficient reasons for the proposal to allow those being consulted to be properly informed and to give an informed response;
- There is adequate time given to the consultees to consider the proposals;
- There is a mechanism for feeding back the comments and those comments are conscientiously taken into account by the decision maker / decision making body when making a final decision;
- The degree of specificity with which, in fairness, the public authority should conduct its consultation exercise may be influenced by the identity of those whom it is consulting and;
- The consultation is clear on the reasons and extent to which alternatives and discarded options have been discarded.

2.3 Public consultation on the overall budget for 2021/22 will commence on 18 December 2020 and will last for a period of 4 weeks ending 15 January 2021 before the final budget is recommended to Full Council on the 25 February 2021. The public consultation will give residents an opportunity to comment on the 2021/22 overall budget before final decisions are formalised in the council's annual budget. Other key stakeholders, including Union Representatives, local businesses, employees and the Council Scrutiny function will also be fully consulted in the draft budget and MTFs before final approval.

2.4 In terms of service specific consultations, the council has a duty to consult with residents and service users in a number of different situations including where proposals to significantly vary, reduce or withdraw services. Consultation is also needed in other circumstances, for example to identify the impact of proposals or to assist with complying with the council's equality duties. Where appropriate, separate service specific consultations have already taken place or will be taking place for the 2021/22 savings and may be subject to a separate cabinet report.

3.0 PERFORMANCE ISSUES

3.1 In terms of financial performance, Cabinet are updated quarterly of forecast spend against the agreed budget and achievement of savings built into the budget. The same information is also presented to the Performance and Finance Scrutiny Sub Committee regularly throughout the year.

4.0 RISK MANAGEMENT IMPLICATIONS

4.1 The following risk is covered in the Council's Corporate Risk Register:

- Inability to deliver the Council's approved MTFs - over the next 3 years leading to an inability to set a balanced budget and provide core services. At Quarter 3 2020/21 this risk is rated at B2 – high likelihood and critical impact.

4.2 A balanced budget position is not achievable in 2022/23 or 2023/24 due to the overall reduction in revenue/funding, increases in the population, disproportionately high impact of Covid-19 on the borough, economic uncertainty and the difficulty of finding sustainable savings year on year. This leaves the Council in a grave financial position, facing very difficult budget decisions and potentially at risk of being unable to meet the demand for services, particularly Adult Social Care, Children's Placements and Accommodation and SEN. This risk is mitigated by tight financial management, maintaining the level of reserves and using them with caution, increasing Council Tax in line with referendum limits, full use of Adult Social Care precept, ongoing efficiencies, the generation of income and a budget strategy for savings.

4.3 In preparing the draft budget for 2021/22 it is accepted that there is an element of risk until the Indicative Financial Settlement is received mid to late December.

5.0 LEGAL IMPLICATIONS

5.1 Section 31A of the Local Government Finance Act 1992 requires billing authorities to calculate their council tax requirements in accordance with the prescribed requirements of that section. This requires consideration of the authority's estimated revenue expenditure for the year in order to perform its functions, allowances for contingencies in accordance with proper practices, financial reserves and amounts required to be transferred from general fund to collection fund.

- 5.2 Local authorities owe a fiduciary duty to council tax payers, which means it must consider the prudent use of resources, including control of expenditure, financial prudence in the short and long term, the need to strike a fair balance between the interests of council tax payers and ratepayers and the community's interest in adequate and efficient services and the need to act in good faith in relation to compliance with statutory duties and exercising statutory powers.
- 5.3 Cabinet is approving these proposals for consultation after which a cumulative equalities impact will be drafted. These proposals will be referred to Council so that Council can approve the budget envelope and set the Council Tax. There will be contingencies within the budget envelope so that decision makers have some flexibility should any decisions have detrimental equalities impacts that cannot be mitigated.
- 5.4 The Secretary of State has the power to designate two or more "relevant authorities" as a pool of authorities for the purposes of the provisions of Schedule 7B of the Local Government Finance Act 1988 (as amended by the Local Government Finance Act 2012). Paragraph 45 (Interpretation) of Schedule 7B defines a "relevant authority" as a billing authority in England, or a major precepting authority in England. The list of billing authorities at Schedule 5, Part 1 of the Non-domestic Rating (Rates Retention) Regulations 2013/452 includes the GLA and the London Boroughs as billing authorities and the GLA is also a precepting authority pursuant to section 39 (1) of the Local Government Finance Act 1992. In relation to the project, the participating local authorities have implicit powers to enter into arrangements with each other for the purposes of fulfilling the requirements of Schedule 7B for obtaining an order of the Secretary of State authorising the establishment of a business rate pool.
- Local authorities have a power to enter into arrangements between them including under section 111 of the LGA 1972: "Without prejudice to any powers exercisable apart from this section but subject to the provisions of this Act and any other enactment passed before or after this Act, a local authority shall have power to do anything (whether or not involving the expenditure, borrowing or lending of money or the acquisition or disposal of any property or rights) which is calculated to facilitate, or is conducive or incidental to, the discharge of any of their functions".

6.0 FINANCIAL IMPLICATIONS

- 6.1 Financial Implications are integral to this report.

7.0 PROCUREMENT IMPLICATIONS

- 7.1 There are no procurement implications arising from this report.

8.0 EQUALITIES IMPLICATIONS / PUBLIC SECTOR EQUALITY DUTY

8.1 Decision makers should have due regard to the public sector equality duty in making their decisions. The equalities duties are continuing duties they are not duties to secure a particular outcome. The equalities impact will be revisited on each of the proposals as they are developed. Consideration of the duties should precede the decision. It is important that Cabinet has regard to the statutory grounds in the light of all available material such as consultation responses. The statutory grounds of the public sector equality duty are found at section 149 of the Equality Act 2010 and are as follows:

A public authority must, in the exercise of its functions, have due regard to the need to:

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

Having due regard to the need to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it involves having due regard, in particular, to the need to:

- (a) *remove or minimise disadvantages suffered by persons who share a relevant protected characteristic that are connected to that characteristic;*
- (b) *take steps to meet the needs of persons who share a relevant protected characteristic that are different from the needs of persons who do not share it;*
- (c) *Encourage persons who share a relevant protected characteristic to participate in public life or in any other activity in which participation by such persons is disproportionately low.*

The steps involved in meeting the needs of disabled persons that are different from the needs of persons who are not disabled include, in particular, steps to take account of disabled persons' disabilities.

Having due regard to the need to foster good relations between persons who share a relevant protected characteristic and persons who do not share it involves having due regard, in particular, to the need to:

- (a) *Tackle prejudice, and*
- (b) *Promote understanding.*

Compliance with the duties in this section may involve treating some persons more favourably than others; but that is not to be taken as permitting conduct that would otherwise be prohibited by or under this Act.

The relevant protected characteristics are:

- *Age*
- *Disability*
- *Gender reassignment*
- *Pregnancy and maternity*
- *Race*
- *Religion or belief*
- *Sex*
- *Sexual orientation*
- *Marriage and Civil partnership*

8.2 Directorate proposals will be subject to an initial equalities impact assessment followed by a full assessment where appropriate. These will be published along with the final budget and MTFS report to February Cabinet. An assessment will also be carried out on the whole budget, when all proposals have been identified, to ensure that decision makers are aware of any overall equalities impact on the protected characteristics listed above.

9.0 COUNCIL PRIORITIES

9.1 The Council's draft budget for 2020//21 has been prepared in line with the Council's priorities:

- Building a Better Harrow
- Supporting Those Most in Need
- Protecting Vital Public Services
- Delivering a Strong Local Economy for All
- Modernising Harrow Council

Section 3 - Statutory Officer Clearance

Statutory Officer: Dawn Calvert

Signed by the Chief Financial Officer

Date: 10 December 2020

Statutory Officer: Jessica Farmer

Signed on behalf of the Monitoring Officer

Date: 10 December 2020

Statutory Officer: Nimesh Mehta

Signed by the Head of Procurement

Date: 10 December 2020

Statutory Officer: Charlie Stewart

Signed by the Corporate Director

Date: 10 December 2020

Statutory Officer: Susan Dixon

Signed by the Head of Internal Audit

Date: 10 December 2020

Mandatory Checks

Ward Councillors notified: NO, as it impacts on all Wards

EqlA carried out: To be reported on as part of the February Budget report

EqlA cleared by: n/a

Section 4 - Contact Details and Background Papers

Contact: Dawn Calvert, Director of Finance and Assurance, tel: 0208 4209269, dawn.calvert@harrow.gov.uk

Background Papers: None

Call-in waived by the Chair of Overview and Scrutiny Committee

NO

Growth/Reversed savings and savings- 2021/22 Budget Process																	
Item No	Unique Reference No.	Specific Service Area	Headline Description re: saving / reduction	2020/21 Service Budget	agreed Savings /growth 2020/21	agreed' Savings /growth 2021/22	Net budget	Implementation Costs & Redundancy	Implementation Costs CAPITAL	2021-22	2022-23	2023-24	Total	Risk	EQIA Required Y/N	Does this proposal impact on another directorate Y/N	Key Stakeholders to consult 'Yes/No Completed
				£000	£000	£000	£000	£000	£000	£000	£000	£000	£000				
Reversal of prior year savings/ growth and new savings																	
Resources Directorate																	
1		Legal & Governance	Bucks and Aylesbury Vale District Council exit of shared service with Legal Services. Scale down the growth agreed in 20/21 budget process.The growth was to fund the net impact of this lost income.	7,550	0	0	7,550	TBC	-	(176)	(177)		(353)		N	N	
			Resources total	7,550	-	-	7,550	-	-	(176)	(177)	-	(353)				
People Directorate																	
			Total Adults														
			Total Children's Services														
Community Directorate																	
2	COM21.22_S01	Environment & Commissioning	Commissioning and Environmental Services re-organisation - net saving on salary budget	26,075	-	-	26,075	TBC	-	(250)			(250)		Y	N	Yes - Staff, trade unions
3		Housing General Fund	Property Acquisition Programme - Savings in Temporary Accommodation costs as a result of purchasing properties to use for temporary accommodation as an alternative to using Bed and Breakfast and Private Sector Leasing to house the homeless. The Capital Programme allocation to be funded from borrowing is approximately £6m pa for 2021/22, 2022/23 and 2023/24 - totalling £18.062m over a 3 year period. Based on Capital financing costs of 5% (2% MRP and 3 % interest), the annual cost would be £900k by year 3. The saving will be reviewed and adjusted according to capital spend taking place.										(900)		N	N	
			Community Total				966	-	-	(250)	(300)	(600)	(1,150)	-			
Corporate																	
4	Corporate	Capital Financing	Capital Financing costs as a result of the Property Acquisition Programme. To be offset by savings in the Housing General Fund included in this schedule.										900		N	N	
5	Corporate	Corporate	Removal of Investment Property Capital Budget and savings associated.			(7,050)	(7,050)			3,525	3,525		7,050		N	Y	
6	Corporate	Corporate	Capital financing costs reduced as a result of removal of Investment Property Capital Budget			4,700	4,700			(2,350)	(2,350)		(4,700)		N	Y	
			Corporate Total					-	-	1,175	1,475	600	3,250	-			
			Total					-	-	749	998	-	1,747				

Growth/Reversed savings and savings- 2021/22 Budget Process																	
Item No	Unique Reference No.	Specific Service Area	Headline Description re: saving / reduction	2020/21 Service Budget	agreed Savings /growth 2020/21	agreed' Savings /growth 2021/22	Net budget	Implementation Costs & Redundancy	Implementation Costs CAPITAL	2021-22	2022-23	2023-24	Total	Risk	EQIA Required Y/N	Does this proposal impact on another directorate Y/N	Key Stakeholders to consult 'Yes/No Completed
Growth and reversal of prior year savings																	
Resources																	
7	RES 1	Strategy	Emergency Planning & Business Continuity Pan London Resilience improvement programme.	167			167	-	-	70			70		N	N	N
8	RES 2	Transformation - PMO	Expansion of PMO	244			244		-	64			64		N	N	Yes
			Total Resources	411	-	-	411	-	-	134	-	-	134	-			
People Directorate																	
Adults																	
9		Transition and Personal Budgets	Reversal of 'Growth in the transition budget and Personal Budgets' agreed as part of the 2019/20 Budget Setting as this is replaced by the updated growth figure of £3.895m. The £652k was based on £300k for transitions (assumes additional 10 pa) and £352k for Personal Budgets (a further 1 new PB every other week)			652	652			(652)			(652)		N	N	N
10		Placements	Demand Pressures - additional pressures identified and reported to Cabinet in February 2020.	35,686	7,317	0	43,003	N/A		3,895	1,047	-	4,942		N	N	N
11		Equipment	Careline & Community Equipment - historic annual capital expenditure to be funded by revenue and no longer put through the Capital Programme	372	-	-	372	N/A		465			465		N	Y	N
			Total Adults					-	-	3,708	1,047	-	4,755				
Children's Services																	
12	PCS21.22_G01	CYPS	Children's Placements & Accomodation	25,482						1,227	1,205		2,432		N	N	No
13	PCS21.22_G02	Education	SEN Transport	5,015						777	(0)		777		N	N	No
			Total Children's Services					-	-	2,004	1,205	-	3,209				
			People Total					-	-	5,712	2,252	-	7,964				
Community																	
14	COM21.22_G01	Directorate wide	Impact of Covid-19: Loss of income across Community directorate	(46,399)	-	-	(46,399)			5,000	(2,218)	(1,799)	983		N	N	No
15	COM21.22_G02	Facilities Management	Income pressure for School SLA services	(226)			(226)			80			80		N	N	No
16	COM21.22_G03	Facilities Management	Building repair and maintenance for all corporate sites	771			771			300			300		N	N	No
17	COM21.22_G04	Depot	Residual amount of unachieved MTFS target relating to Depot	(1,234)			(1,234)			861			861		N	N	No
18	COM21.22_G05	Contracts Management	Residual amount of unachieved MTFS procurement saving (£250k profiled in 19/20)	(250)			(250)			32			32		N	N	No

Growth/Reversed savings and savings- 2021/22 Budget Process																	
Item No	Unique Reference No.	Specific Service Area	Headline Description re: saving / reduction	2020/21 Service Budget	agreed Savings /growth 2020/21	agreed' Savings /growth 2021/22	Net budget	Implementation Costs & Redundancy	Implementation Costs CAPITAL	2021-22	2022-23	2023-24	Total	Risk	EQIA Required Y/N	Does this proposal impact on another directorate Y/N	Key Stakeholders to consult 'Yes/No Completed
19	COM21.22_G06	Waste Services	West London Waste Authority Levy increases as a result of waste growth, household growth and contract price inflation	8,357			8,357	-	-	750	300	300	1,350		N	N	No
20	COM21.22_G07	Waste Services	Increase in Mixed Dry Recycling waste disposal cost	947			947	-	-	600			600		N	N	No
21	COM21.22_G08.1		Redevelopment of Vernon Lodge - Reversal of MTFS target that reflects capital financing cost and net income	(80)	(643)		(723)	-	-	723			723		N	N	No
22	COM21.22_G08.2	Corporate Finance	Redevelopment of Vernon Lodge - Reduction in capital financing costs	307	244		551	-	-	(551)			(551)		N	N	No
23	COM21.22_G09.1		Probation Centre - Reversal of MTFS target which reflects capital financing cost of £5m capital	-	275		275	-	-	275			275		N	N	No
24	COM21.22_G09.2	Corporate Finance	Probation Centre - Reduction in capital financing costs	-	(275)		(275)	-	-	(275)			(275)		N	N	No
25	COM21.22_G10.1		Unmanned Aerial Vehicles -Reversal of MTFS target that reflects capital financing cost of £400k capital	-	(92)		(92)	-	-	92			92		N	N	No
26	COM21.22_G10.2	Corporate Finance	Unmanned Aerial Vehicles - Reduction in capital financing cost	-	92		92	-	-	(92)			(92)		N	N	No
27	COM21.22_G11	Waste Services	Waste bins - change the funding source from capital to revenue following capital programme review	-			-			125			125		N	N	No
													-				
			Community Total		-	-	-	-	-	7,920	(1,918)	(1,499)	4,503				
28		Corporate Finance	Reversal of saving from 'SEN Transport efficiency from Transformation		(400)	(400)	(800)			800			800		N	N	
			Corporate Total			-	-	-	-	800	-	-	800				
			Total		-	-	-	-	-	14,566	334	(1,499)	13,401				
			Net Impact of Reversals/Growth and Savings							15,315	1,332	(1,499)	15,148				

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Total Savings and Growth 2021/22 to 2022/23 from 2020/21 Budget Process

Appendix 1B

Item No	Unique Reference No.	Headline Description re: saving / reduction	2019/20 Service Budget £000	agreed Savings /growth 2020/21 £000	agreed Savings /growth 2021/22 £000	Net budget £000	Implementation Costs & Redundancy £000	Implementation Costs CAPITAL £000	2021-22 £000	2022-23 £000	Total £000	EQIA Required Y/N	Does this proposal impact on another directorate Y/N	Key Stakeholders to consult 'Yes/No Completed
Resources Directorate														
3	RES 4	Benefits - delete two posts over two years	913	0	0	913	-	-	(33)		(33)	N - Vacant Post.	N	N
6	RES 2019-20 S1-5	Reduction in Customer Channels (B) - closing telephony & email channels across Council Tax, Housing Benefits, Planning, Building Control, Education, Parking & Switchboard and only accepting on-line applications following the release of new on-line services by April 2019/20.							(175)		(175)	http://modern.gov:8080/documents/g64382/Public%20reports%20pack%20Thursday%2021-Feb-2019%2018.30%20Cabinet.pdf?T=10	Y	Affected services
9	RES	Investment Income : Income from investing in commercial properties							(1,726)		(1,726)	N	N	N
Resources total			5,756	-	-	5,756	20	-	(1,934)	-	(1,934)			
People Directorate														
10	PC_01	Reduction in expenditure in relation to children's placements, accommodation and client related spend. Targeted early intervention and support to prevent young people from coming into care or stepping young people down from care where it is safe to do so. Targeted actions continue to reduce the average cost of service provision through negotiation with providers and continued maximisation of capacity available within block contracts services and council properties.	9,880	0	0	9,880	-	-	(410)		(410)	N - Reduction in cost of provision rather than the provision. Assessment will be done on individual basis.	N	N
10	PC_01	This saving has been reversed as part of the Children's growth included in Appendix 1A.	9,880	0	0	9,880	-	-				provision rather than the provision. Assessment will be done on individual basis.	N	N
Children and Young People Total			9,880	-	-	9,880	-	-	(410)		(410)			
Community Directorate														
11	COM_20.21_S01	Substitute funding for 2 existing job brokers with external grant in 2020/21. External funding has been secured as part of Strategic Investment Pot (SIP) over 2 years. Part of this grant is earmarked for funding staffing costs. The proposed funding substitution means the delivery of the programme will have to be incorporated into the work of existing staff. If no further funding is secured beyond 2020/21, one post will be deleted and the other one retained.	202	-	-	202	TBC	-	45		45	N - external funding secured to retain the post in 2021/22	N	N

Total Savings and Growth 2021/22 to 2022/23 from 2020/21 Budget Process

Appendix 1B

Item No	Unique Reference No.	Headline Description re: saving / reduction	2019/20 Service Budget	agreed Savings /growth 2020/21	agreed Savings /growth 2021/22	Net budget	Implementation Costs & Redundancy	Implementation Costs CAPITAL	2021-22	2022-23	Total	EQIA Required Y/N	Does this proposal impact on another directorate Y/N	Key Stakeholders to consult 'Yes/No Completed
			£000	£000	£000	£000	£000	£000	£000	£000	£000			
14	COM_20.21_S03	Removal of base budget from October 2020 for 4 positions that are currently 67% grant funded. These 4 FTC positions are created as part of the successful bid to HLF for the Headstone Manor refurbishment project. HLF funding will end in Sept 2020, thereby the future of these posts will be dependent on the availability of further external funding. As no further external funding has been secured, these positions are deleted in 2020/21. This saving started in 2020/21 with a £22k saving made in 2020/21, therefore a total of £44k across 2 years.	157	-	-	157	TBC	-	(22)		(22)	Y - already completed as part of 2020/21 budget process	N	N
15	COM_20.21_S04	Achieving full cost recovery from Travellers site-"The council has a duty to provide suitable accommodation for Gypsy and Travellers and use Watling farm site for this purpose.Saving proposal is to seek a cost neutral outcome for the council to be achieved by increased charges to the current licensees and/or agreement for the cost of repairs and maintenance to be passed over to the occupiers.	14	-	-	14	-	-	(14)		(14)	Y - required in 2021/22	N	N
16	COM_20.21_S05	Reduction in EACH contract and Sheltered housing support from April 2020- Each contract to be transferred to floating support scheme and reduction in sheltered housing support proposed to finance through enhanced housing management service charge which is HB eligible/ or reduce scope of the service provided.	400	-	-	400	-	-	(68)		(68)	Y - required in 2021/22. Individual assessments will be done.	N	N
18	COM_20.21_S07	Building Control - Additional income from commercialisation of the service	(132)	-	-	(132)	-	-	(20)		(20)	N	N	N
24	COM_19.20_S04	Redevelopment of the Vernon Lodge Homelessness Hostel and the Atkins House Site The maximisation of the assets to increase the homelessness provision at Vernon Lodge while providing capacity to generate additional income at both Vernon Lodge and Atkins House, following Cabinet approval of the redevelopment work in July 18. Gross savings.							(643)		(643)	http://moderngov:8080/documents/g64382/Public%20reports%20pack%20Thursday%201-Feb-2019%2018.30%20Cabinet.pdf?T=10	N	Y for any planning application
24	COM_19.20_S04	This saving is being reversed out in Appendix 1A												

Total Savings and Growth 2021/22 to 2022/23 from 2020/21 Budget Process **Appendix 1B**

Item No	Unique Reference No.	Headline Description re: saving / reduction	2019/20 Service Budget £000	agreed Savings /growth 2020/21 £000	agreed Savings /growth 2021/22 £000	Net budget £000	Implementation Costs & Redundancy £000	Implementation Costs CAPITAL £000	2021-22 £000	2022-23 £000	Total £000	EQIA Required Y/N	Does this proposal impact on another directorate Y/N	Key Stakeholders to consult 'Yes/No Completed
26		Additional Financing Income : Banister (25k) Harrow Weald Toilet (£11k) Probation Centre (£275k) Drones (unmanned aerials) (£92k)							(403)		(403)	N	N	N
26		This saving for the Probation Centre and Drones is being reversed out in Appendix 1A										N	N	N
Community Total			966	-	-	966	-	-	(1,125)	-	(1,125)			
Corporate														
27	COR 02	Gayton Road - income from 53 PRS units							(144)	(47)	(191)	N	N	N
28	COR 03	SEN Transport efficiency from Transformation							(400)		(400)	N	N	N
28	COR 03	This saving is being reversed out in Appendix 1A												
29	COR 04	Income from £100m Investment Property Purchase							(3,525)	(3,525)	(7,050)	N	N	N
30	COR 05	Capital Financing Cost of the £100m Investment Property							2,350	2,350	4,700	N	N	N
	COR 04 and 05	The net impact of the Investment Property income is being reversed out in Appendix 1A												
31	COR 06	Transformation Target - additional £1m over and above SEN Transport target per annum							(1,000)	(1,000)	(2,000)	N	N	N
Corporate Total									(2,719)	(2,222)	(4,941)			
Total Savings									(6,188)	(2,222)	(8,410)			
Growth Resources														
2	RES G2	Bucks and Aylesbury Vale District Council exit of shared service with Legal Services. The growth is to fund the net impact of this lost income.							353	678	1,031	N	N	N
	RES G2	A proportion of this growth is being reversed out in Appendix 1A												

Total Savings and Growth 2021/22 to 2022/23 from 2020/21 Budget Process Appendix 1B

Item No	Unique Reference No.	Headline Description re: saving / reduction	2019/20 Service Budget	agreed Savings /growth 2020/21	agreed Savings /growth 2021/22	Net budget	Implementation Costs & Redundancy	Implementation Costs CAPITAL	2021-22	2022-23	Total	EQIA Required Y/N	Does this proposal impact on another directorate Y/N	Key Stakeholders to consult 'Yes/No Completed
			£000	£000	£000	£000	£000	£000	£000	£000	£000			
6	RES 2019-20 G1-2	The Housing Benefit Admin Grant reduces annually due to year on year efficiency cuts to DWP (Department of Work and Pensions) funding under SR2007 & SR 2013 efficiency directives in relation to settlements to DWP funding. The DWP efficiency targets in place impact on the HB Admin Grant annually, reducing future grants by approximately 10% cumulatively (7% + 3%).							90		90	N	N	N
7	RES 2019-20 G1-3	Growth is required to replace cuts in both DWP (Department for Work and Pensions) Administration grants to the Local Authorities and for overpayments of compensation payments from DWP to Harrow. This is due to both imposed cuts to the LA admin grant by the DWP due to their own savings strategy and due to the fact that as we will administer less cases over time (due to the migration of new cases to Universal Credit), there will be less overpayments and therefore less compensation awarded to Harrow which reduces the income in the revenue budget.							50		50	N	N	N
Resources Total			-	-	-	-	-	493	678	1,171				
People														
Adults														
10	Adults	Growth in the transition budget and Personal Budgets over the next 3 years which will increase the transitions budget by a total of £1.4m and Personal Budgets by £1.218m. 'Growth 2019-20. This relates to £650k for transitions funding (additional 24pa) and £345k for personal budgets (additional 1 per week). Growth 2020-21. This relates to £450k for transitions funding (based on further 15) and £521k personal budgets (assumes a further 1 new PB every other week in addition to the 2019/20 increase) Growth 2021-22 - this relates to £300k for transitions (assumes additional 10 pa) and £352k for Personal Budgets (a further 1 new PB every other week)							652		652	N	N	N
10	Adults	This growth is being reversed out in Appendix 1A												
Adult Total								652	-	652				
People Total			-	-	-	-	-	652	-	652				

Total Savings and Growth 2021/22 to 2022/23 from 2020/21 Budget Process													Appendix 1B	
Item No	Unique Reference No.	Headline Description re: saving / reduction	2019/20 Service Budget	agreed Savings /growth 2020/21	agreed Savings /growth 2021/22	Net budget	Implementation Costs & Redundancy	Implementation Costs CAPITAL	2021-22	2022-23	Total	EQIA Required Y/N	Does this proposal impact on another directorate Y/N	Key Stakeholders to consult 'Yes/No Completed
			£000	£000	£000	£000	£000	£000	£000	£000	£000			
	Corporate													
25		Capital Financing costs associated with the capital investment of the redevelopment of the Vernon Lodge and Atkins House site.							244		244	N	N	N
25		This growth is being reversed out in Appendix 1A along with the savings associated with the original scheme.												
		Corporate Total (financing Cost)							244	-	244			
		Total Growth	0	0	0	0	0	0	1,389	678	2,067			
		Net Savings/Growth							(4,799)	(1,544)	(6,343)			

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MEDIUM TERM FINANCIAL STRATEGY 2021/22 to 2023/24

Appendix 2

	2020/21	2021/22	2022/23	2023/24
	£000	£000	£000	£000
Budget Requirement Brought Forward	167,081	174,762	178,856	181,635
Corporate & Technical	6,393	-6,423	28,746	6,597
People	289	5,954	2,252	0
Community	1,286	6,545	-2,218	-2,099
Total Resources	383	-1,483	501	0
Corporate	-670	-500	-747	600
Total	7,681	4,093	28,534	5,098
FUNDING GAP	0	0	-25,754	-5,098
Total Change in Budget Requirement	7,681	4,093	2,780	0
Revised Budget Requirement	174,762	178,856	181,635	181,635
Collection Fund Deficit/-surplus	-2,120			
Revenue Support Grant	-1585	-1585	-1585	-1585
Top Up	-22,623	-22,623	-22,623	-22,623
Retained Non Domestic Rates	-14,942	-14,942	-14,942	-14,942
Amount to be raised from Council Tax	133,492	139,706	142,485	142,485
Council Tax at Band D	£1,522.72	£1,598.70	£1,630.51	£1,630.51
Increase in Council Tax (%)	3.99%	4.99%	1.99%	0.00%
Tax Base	87,667	87,387	87,387	87,387
Collection rate	98.00%	98.00%	98.00%	98.00%
Gross Tax Base	89,456	89,170	89,170	89,170

MTFS 2022/22 to 2023/24 – Proposed investments / savings

Technical Adjustments			
	2021/22	2022/23	2023/24
	£000	£000	£000
Capital and Investment			
2018/19 implications in 2021/22	1900		
Reversal of one off Regen MRP Provision used in 2020/21	1000		
MRP on Community projects and Property investment from 2019/20	1454		
Interest on Community projects and Property investment from 2019/20	967		
Capital Financing costs from additional Capital Programme		1250	
Capital Financing included as part of 2021/22 budget setting process			
Implications of Capital Programme agreed for 2020/21 to 2023/24	-2981	2981	470
Total Capital and Investment Changes	2,340	4,231	470
Grant Changes			
Additional 2019 New Homes Bonus after settlement from prior years	535		
Additional New Homes Bonus for 2020/21	787		
Assumption that New Homes Bonus reduces in 2022/23		728	
Reversal of previous reductions in NHB assumed on the basis it continues	-782	-728	
Reversal of 'Use of 2019/20 Business Rates Pool Budget in 2020/21 budget	1800		
Additional Social Care grant announced in SR estimated figure	-1044		
£1.55b grant to meet additional COVID expenditure (one off)	-4600	4600	
Income compensation for sales, fees and charges - 3 mth extension	-500	500	
Total Grant Changes	-3,804	5,100	0
Other Technical Changes			
Freedom Passes - estimated reduction in usage	-1108	-1580	1377
Use of Reserves			
Full use of the Budget Planning Reserve in 2020-21	2629		
Use of Business Risk Reserve smoothed over 2 years	1176	0	
Use of Business Risk Reserve for one off investment of £1m pa for 3 years	-1000	-1000	
One off Investment into front line priorities	1000	1000	
Use of Business Risk Reserve smoothed over 2 years	-3350	3350	
Budget planning reserve not applied in 20/21	-2628	2628	
Business Risk Reserve - not applied in 20/21	-1771	1771	
Children's social care reserve - no applied in 20/21	-932	932	
Adult Social Care Reserve	-920	920	
£2m 20/21 target underspend - to be added to reserves in 2021/22	-2000	2000	
Total Other Technical Changes	-8,904	10,021	1,377
Pay and Inflation			
Pay Award @ 2% pa	2000	2000	
Pay Award @ 2.75% pa			2750
Non Pay Inflation/budget pressures	1100	2750	2000
Total Pay and Price Inflation	3,100	4,750	4,750
OTHER			
Gayton Road Income - Reversal of 72 units transferred to HRA	500		
Capital Receipts Flexibility - £2m applied in 2021/22	-2000	2000	
Adults Growth / Pressure	2344	2644	
Total Corporate & Technical	-6,423	28,746	6,597

MTFS 2021/22 to 2023/24 – Proposed investments / savings

People			
	2021/22	2022/23	2023/24
	£000	£000	£000
Children & Families			
Proposed Savings - Appendix 1B	-410	0	0
Proposed Growth - see appendix 1a	2004	1,205	0
Sub total Children & Families	1,594	1,205	0
Adults			
Proposed Growth - see appendix 1a	3708	1047	0
Proposed Growth - see appendix 1b	652	0	0
Sub total Adults	4,360	1,047	0
Total People Directorate	5,954	2,252	0

MTFS 2021/22 to 2023/24 – Proposed investments / savings

Community			
	2021/22	2022/23	2023/24
	£000	£000	£000
Proposed Savings - see appendix 1a	-250	-300	-600
Proposed Growth - see appendix 1a	7,920	-1,918	-1,499
Proposed Savings - see appendix 1b	-1,125	0	0
Proposed Growth - see appendix 1b	0	0	0
Total Community	6,545	-2,218	-2,099

MTFS 2021/22 to 2023/24 – Proposed investments / savings

Resources	2021/22	2022/23	2023/24
	£000	£000	£000
Proposed Savings - see appendix 1b	-1,934	0	0
Proposed Growth - see appendix 1b	493	678	0
Proposed Savings - see appendix 1a	-176	-177	0
Proposed Growth - see appendix 1a	134		
Total Resources	-1,483	501	0

MTFS 2021/22 to 2023/24 – Proposed investments / savings

	2021/22	2022/23	2023/24
	£000	£000	£000
CORPORATE			
Proposed Savings - appendix 1a	1175	1475	600
Proposed Growth - appendix 1a	800	0	0
Proposed Savings - see appendix 1b	-2,719	-2,222	0
Proposed Growth - see appendix 1b	244	0	0
Total Corporate	-500	-747	600

School Budgets 2021/22 – Dedicated Schools Grant (DSG)

Introduction

1. The Dedicated Schools Grant (DSG) is a ring-fenced grant of which the majority is used to fund individual schools budgets in maintained schools and academies in Harrow. It also funds Early Years nursery entitlement for 2, 3 and 4 year olds in maintained council nursery classes and private, voluntary and independent (PVI) nurseries as well as provision for pupils with High Needs including those with Education Health & Care Plans (EHCPs) in special schools, special provision and mainstream schools in Harrow and out of borough. The DSG is split into four blocks: Schools Block, Central School Services Block, Early Years Block and High Needs Block.

Schools Funding for 2021-22

2. In 2018-19 the government introduced a new National Funding Formula (NFF) for Schools, High Needs and the Central Schools services Block. For the Schools Block this means LAs are funded on the basis of the total of the NFF for all school, academies and free schools in its area. However, the final formula for distribution is determined by each Council following consultation with schools and Schools Forums.
3. The LA carried out a consultation in Autumn 2017 which sought views on whether the LA should continue to use the Harrow Schools Funding Formula or introduce the National Funding Formula from 2018-19. 76% of schools responded to the consultation and 89% voted in favour of introducing the NFF from 2018-19. This was approved by Cabinet in February 2018 and school budgets for the last two years have been set based on the NFF.
4. The NFF will therefore continue to be used to distributed school budgets for 2021-22.
5. From 2020 the government intended to implement the NFF in full which means that school allocations will be determined by the DfE rather than LAs. However, this has been delayed and there is currently no confirmed date for this.
6. There are no proposed changes to the **structure** of the formula for 2021-22 however there are a number of changes for schools to be aware of.

Changes in 2021-22

Increase in factor values

Table 1 – indicative funding formula factor values

Factor	2020-21		Indicative 2021-22	
	Primary	Secondary	Primary	Secondary
Primary per pupil basic	£3,137.07		£3,429.15	
KS3 per pupil basic entitlement		£4,411.88		£4,835.72

KS4 per pupil basic entitlement		£5,008.11		£5,449.52
Free School Meals	£494.11	£494.11	£505.09	£505.09
Free School Meals Ever6	£614.90	£894.89	£631.37	£922.35
Deprivation IDACIF	£230.59	£329.41	£236.08	£340.39
Deprivation IDACIE	£274.51	£444.70	£285.49	£455.68
Deprivation IDACID	£411.76	£587.45	£450.19	£636.86
Deprivation IDACIC	£444.70	£636.86	£488.62	£691.76
Deprivation IDACIB	£477.64	£686.27	£521.56	£746.66
Deprivation IDACIA	£658.82	£922.35	£680.78	£949.80
Low Prior Attainment	£1,169.40	£1,767.83	£1,202.34	£1,822.73
English as an Additional	£587.45	£1,581.16	£603.92	£1,630.57
Mobility	£960.78	£1,372.54	£988.23	£1,416.46
Lump Sum	£125,614.63	£125,614.63	£129,347.93	£129,347.93

7. Basic per pupil funding factors have been increased by 3% since 2020-21.

Teacher's Pay Grant (TPG) and Teacher's Pension Employer Contribution Grants (TPECG)

8. The most significant change in 2021-22 is that funding previously received through the TPG and TPECG, including the supplementary fund, to mainstream schools for pupils from reception to Y11 will be allocated through the NFF thus increasing schools' baselines.
9. In addition to the 3% general inflationary amount added to each formula factor a further £180 has been added to the primary basic entitlement factor and £265 to each of the KS3 and KS4 basic entitlement factors. This funding (plus the Area Cost Adjustment) is equivalent to the funding received in the TPG and TPECGs for September 2018 and September 2019 pay awards. No further funding will be allocated for pay changes in September 2020 or beyond.
10. Therefore, despite an estimated additional £10m of funding in the NFF in 2021-22 for Harrow schools, nearly £8m of this represents funding already being received by schools through the TPG and TPECG.

Minimum Per Pupil Funding Levels (MPPL)

11. The MPPL will be set at £4,180 for primary schools and £5,415 for secondary schools. There are possibly 5 schools in Harrow who may be eligible for some additional top up funding where the funding as calculated through the NFF is below the national thresholds for primary and secondary schools.

Income Deprivation Affecting Children Index (IDACI)

12. The IDACI dataset has been updated in 2019 so that the IDACI bands are now assigned based on rank rather than score. For example, Band A now consists of pupils in the most deprived 2.5% of lower super output areas (LSOAs), instead of consisting of pupils in LSOAs with an IDACI score greater than 0.5.

13. Nearly all schools will lose funding as a result of this change. In order to compensate slightly some of the factor values have increased above the 3% generic inflation but this still does not mitigate overall losses.
14. The impact of the banding changes is that (based on the October 2019 census) 90% of pupils in Harrow schools are now in Band G which is the least deprived band and attracts no funding. This compares with 78% under the old banding methodology.
15. Schools will be protected through the Minimum Funding Guarantee from these per pupil losses but it does mean that in the event that MFG protection no longer applies there will be a real cash reduction as a result of these changes.

Minimum Funding Guarantee (MFG)

16. The MFG will continue and the allowable range for 2021-22 is between +0.5% and +2%.
17. This means that each school will gain at least +0.5% *per pupil* compared with the 2020-21 budget.
18. Where schools are protected by MFG this means that they are receiving funding over and above that which is calculated by the National Funding Formula because of the levels of funding they had been receiving prior to the introduction of the NFF. In future years if the MFG protection is removed then those schools who are funding above the NFF will see an immediate drop in funding from one year to the next.

Consultation 2021-22

19. Whilst there are no proposed changes to the structure of the formula for 2021-22 the LA as required to consult on the value of the Minimum Funding Guarantee
20. A short consultation was carried out from 5th to 23rd October 2020. There were a total of 10 (19%) responses received
21. The consultation question asked: Do you support the proposal to apply the highest MFG subject to affordability and ensuring that no school's budgets are unfairly distorted. A summary of responses is shown at Table 2:

Table 2 – consultation question summary of responses

Phase	Number of respondents	Yes		No	
		Number	%	Number	%
All Through	0	0		0	0%
Primary	5	5	100%	0	0%
Secondary	5	5	100%	0	0%
Total	10	10	100%	0	0%

22. As shown in Table 2 100% of respondents support the highest MFG subject to affordability.

Central School Services Block

23. The CSSB funds the following services:

- School Admissions
- Servicing of Schools Forum
- LA retained duties for schools and academies.

24. The indicative funding for 2021-22 has remained unchanged at £1.2m.

Growth Fund

25. Schools Forum agreed to continue to maintain a ring fenced growth fund from the DSG in order to fund in-year pupil growth in relation to additional classes in both maintained and academy schools which create additional classes at the request of the LA.

High Needs Funding

26. High Needs funding is designed to support a continuum of provision for pupils and students with special educational needs and disabilities (SEND) from 0-25 years old. The following are funded from the High Needs Block of the DSG:

- Harrow special schools and academies
- Additionally Resourced Mainstream (ARMs) units in mainstream schools and academies
- Places in out of borough special schools and independent school provision
- EHCPs in mainstream schools and academies
- Post 16 provision including Further Education
- SEND Support services and support for inclusion
- Alternative provision including Pupil Referral Units and education other than at school

27. The government introduced a National Funding Formula for High Needs from 2018-19. Funding has previously been based on historical allocations plus small annual amounts of growth. In order to manage increasing growth for demand and complexity, annual funding transfer from the schools block into the high needs block have been approved by Schools Forum

28. From 2018-19 the Schools Block has been ring-fenced and transfers between blocks has been restricted to 0.5% of the Schools Block (approx. £800k). The decision to agree a transfer remains with Schools Forum. It agreed a transfer of 0.5% in 2018-19 and a reduced transfer of 0.25% in 2019-20 however it did not agree to any transfer beyond 2019-20 on the basis that the government should be properly addressing the inherent underfunding of High Needs pupils and to continue to topslice mainstream school budgets masks the extent of the problem.

29. There is anticipated to be an additional £2.8m added to the HNB for 2021-22 however there are already significant pressures on the HNB.
30. In 2019-20 there was an overspend on the HNB of £2.944m and there is a further projected overspend in 2020-21 of £3.157m taking the projected cumulative deficit on the HNB to £6.101m by March 2021.

DSG deficits

31. The government consulted on the treatment of deficits in 2019. The outcome of the consultation was a change to the regulations for the treatment of DSG deficits so that LAs must carry forward any HNB deficit to be funded from the next year's budget share. It also explicitly states that LAs can not and should not fund any DSG deficit from its own reserves.

DSG Recovery Plans

32. With effect from 2019-20 the DfE has tightened up the rules under which local authorities have to explain their plans for bringing the DSG account back into balance
33. The DfE will require a report from any LA that has a cumulative DSG deficit of more than 1% at the end of the financial year. The 1% calculation will be based on the latest published DSG allocations for 2019-20 compared with the deficit shown in the authority's published draft accounts.
34. The final deficit in 2019-20 of £2.944m represents 1.35% of the overall DSG allocation (including academy funding). The recovery plan has been drafted however and discussed with Schools Forum. However the following points should be noted:
35. Despite the significant proposals and measures planned over the next ten years, this will not mitigate the deficit. This is due to the following contributory factors:
- historical underfunding
 - current budgets being based on historical budgets rather than historical spend
 - extension of age range to include 0-5 and post 19
 - current and projected formulaic funding which does not keep pace with demand
 - significant historical and projected growth in number of EHCPs
 - continued growth in complexity of pupils' needs
 - limitations about creating cost effective provision in borough due to capacity and site limitations

Early Years Funding

36. Funding for Early Years relates to free 15 hour nursery entitlement for all 3 & 4 year olds in maintained nurseries and nursery classes as well as private, voluntary and independent (PVI) provision. From September 2017 this was extended to 30 hour nursery entitlement for eligible 3&4 year olds. It also funds free 15 hour nursery entitlement for disadvantaged 2 year olds.

37. A National Funding Formula for Early Years was introduced in 2017-18. Cabinet approved the structure of the Harrow formula for the distribution of funding to providers in January 2018.

38. Funding rates and allocations will be announced in December 2020.

Draft Public Health Funding 2021-22**Appendix 4**

	£000	
Mandatory Services		
Sexual Health (incl Family Planning)	2,192	
0-19 Services	3,838	
Health Checks	<u>176</u>	6,206
Discretionary Services		
Tobacco Control	73	
Drug & Alcohol Misuse	1,858	
Physical Activity	<u>30</u>	1,961
Staffing & Support Costs		
Staffing	804	
Non-Staffing	59	
Overheads	<u>163</u>	1,026
Health Improvement	306	
Wider Determinants of Health	<u>1,651</u>	1,957
Total Expenditure		<u><u>11,150</u></u>
Funded by		
Department of Health Grant	<u>-11,150</u>	
Total Income		<u><u>-11,150</u></u>

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**REPORT FOR: EMPLOYEES'
CONSULTATIVE
FORUM**

Date of Meeting:	25 January 2021
Subject:	Annual Health and Safety Report
Key Decision:	No
Responsible Officer:	Paul Walker, Corporate Director (Community)
Portfolio Holder:	Councillor Varsha Parmar Environment Portfolio Holder
Exempt:	No
Decision subject to Call-in:	No
Wards affected:	N/A
Enclosures:	Appendix 1 – Analysis Report for Accidents and Incidents Quarter 1 To Quarter 4 (1st April 2019 – 31st March 2020) Appendix 2 – Trends Appendix 3 – H&S Strategy 2019-2022 And Corporate H&S Plan 2019-20 Appendix 4 – Occupational Health Overview 2019-2020 Appendix 5 – Terms of Reference Appendix 6 – Health and Safety Policy

Section 1 – Summary and Recommendations

This report summarises the council's health and safety performance for the year 1st April 2019 to 31st March 2020, providing an update of activities and giving information on outcome measures – training, audits and accidents. Information about Occupational Health is provided for information as this does not sit within the Corporate Health & Safety remit. This report also includes the Health & Safety Strategy, Corporate Health and Safety Plan and Policy

Recommendations:

The Committee is requested to:

1. Note the Accidents and Incidents report for information
2. Review the Health & Safety Strategy and corporate health and safety plan as set out in Appendix 4
3. Review the approved annual Health & Safety Policy in Appendix 6

Section 2 – Report

Executive Summary

- 2.1 The Corporate Health and Safety Service as continued to develop the health and safety management system and to provide support and guidance across the organisation during the period from April 2019 to March 2020.
- 2.2 The key work streams during the period have been:
- The annual review of the Health & Safety Policy (see **Appendix 6**)
 - Maintenance and introduction of organisation specific health and safety policies and Codes of Practice.
 - Provision of health and safety support, advice and guidance across resources, community and people directorates.
 - Review of the Corporate Health and Safety Handbook.
 - Continued delivery of health and safety training
 - 109 Directors/Senior managers and 3 Councillors attended the British Safety Council Course
 - 400 members of staff have attended health and safety courses at the training academy for the year 2019/20

- Inspections, Audits, Site visits, Monitoring and Investigation of accidents/incidents.
 - 43 audits on corporate premises and schools were carried out in 2019/20 with an average score of 93.1% in schools and 84.5% on corporate premises
 - Training of managers, supervisors and team leads on the use of the DSE assessment tool (DSeasy) and the accident management tool(SHE Assure).
- 2.3 The management of the occupational health service and employee assistance programme has stayed with HR, due to direct links with employment and sickness.
- 2.4 Key incident points from the period April 2019- March 2020 are as follows:
- No enforcement action from the HSE.
 - There has been a 20.9% decrease in the number of accidents/incidents reported (1366 in 2018/2019 to 1080 in 2019/2020). This has occurred across Community, Schools and Resources Directorates. People Directorate, however, has seen a steady rise in the number of incidents reported (74 in 2017/2018, 88 in 2018/2019 and 127 in 2019/2020)
 - There has been a steady decline in the number of RIDDOR reportable incidents. Data compared across 3 years shows this drop (8 reportable incidents in 2019/2020, 22 reportable incidents in 2018/19 and 33 reportable incidents in 2017/18).

Background

- 2.5 An annual safety review is undertaken, and a report prepared detailing health and safety performance to enable the Council to determine its effectiveness in managing risk and address any shortcomings.

External Assurance

- 2.6 In 2016 an audit was conducted by Coroner, leading to a full review of all aspects of Corporate Health & Safety including the governance, resulting in an initial action plan that was taken to Corporate Strategic Board in 2017 and GARMSC in 2018.

Improvement Plan

- 2.7 Following the completion of the Coroner audit in January to March 2016, work to set out actions required, and approval by Corporate Strategic Board in September 2017 and Governance, Audit and Risk Management Committee (GARMSC) in October 2017, a 3 year strategy document including Corporate health and safety plan was produced in 2019 setting out the aims and objectives for the council.
- 2.8 The action plan is underway and monitored by the Corporate Health & Safety Board that meets on a monthly basis to ensure implementation. Focus is on transparency and ensuring all are aware of their responsibilities and governance is in place.
- 2.9 As part of this, and in line with legislative requirements, the Health & Safety Policy for the Council has been refreshed and updated, and is included in **Appendix 6**
- 2.10 Also, high priority will be placed on outstanding actions from the corporate health & safety management plan, ensuring they are implemented.
 - Management self-audits and safety tours

- A level 2 health and safety course for first line managers
- Fire safety audits of schools and high-risk corporate buildings.

Health and Safety Policy and Guidance

- 2.11 A review of existing policies and codes of practice was undertaken this year, including the overarching health and safety policy which was signed off by the Council Leader and Chief Executive. New policies have also been enacted to ensure Harrow Council meets its obligations under the Health and Safety at Work Act ,HASAWA1974, such as Accident/Incident Investigation Policy(awaiting approval) ,Lone working policy(awaiting approval), Asbestos Policy(awaiting approval),Cautionary Contacts policy(Under Consultation), Smoking policy, Risk Assessment policy.

Health and Safety Groups

- 2.12 Revitalisation has taken place in the Community directorate with greater focus on service involvement and Compliance.
- 2.13 In addition, a Depot Health at Work group meets quarterly at present to reflect the high-risk nature of activities at the depot, and the chairing of this has passed to Facilities Management as the Corporate Landlord.

Safety Culture

- 2.14 Safety Circles have been held consistently across the resources, community and people directorates. This has impacted positively on the health and safety culture
- 2.15 The Health and safety handbook has been reviewed and distributed across the council. Provisions have been made for both hard and soft copies. This is aimed at increasing awareness and building a positive health and safety culture among staff.

Health and Safety Visits, Inspections and Audits

- 2.16 Site visits, Audits, Inspections and Accident investigations have continued to be performed by the Corporate Health and Safety Service through the organisation.
- 2.17 Internal Health and Safety Audits were undertaken on 12 corporate premises, 19 Schools and 12 Operations in Environmental & Waste Strategy department. An overall average score of 84.5% was obtained on Corporate Premises while Schools had an average of 93.1%.
- 2.18 Fire Safety Audits target on top high-risk corporate premises and schools were not met. This will be focused on in 2020/2021.However, Council Housing completed fire risk assessments, fire safety audits of high and low risk common areas (community halls, sheltered housing schemes, storey buildings).
- 2.19 Asbestos Survey was carried out on all corporate buildings, community schools and schools with an asbestos SLA and Housing stock.
- 2.20 Senior management safety tours were conducted with a positive culture change, however management self-audits targets were not met. Plans are underway to make this a priority in 2020/2021.

Education outside the Classroom

- 2.21 The service has continued to review assessments for a wide range of trips including residential trips, outdoor activities and overseas trips.

Occupational Health

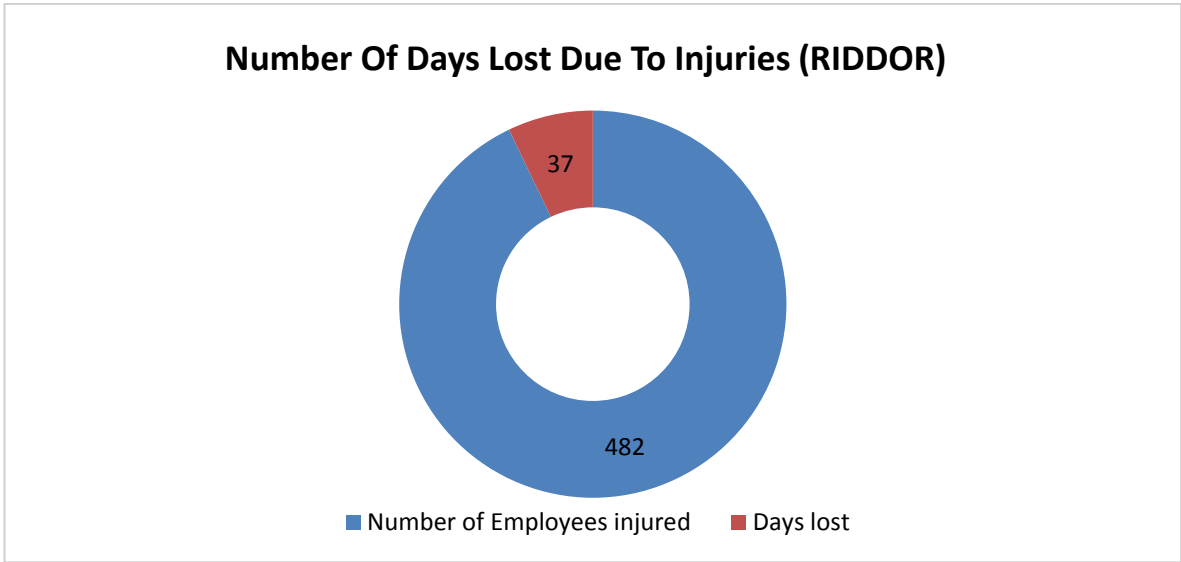
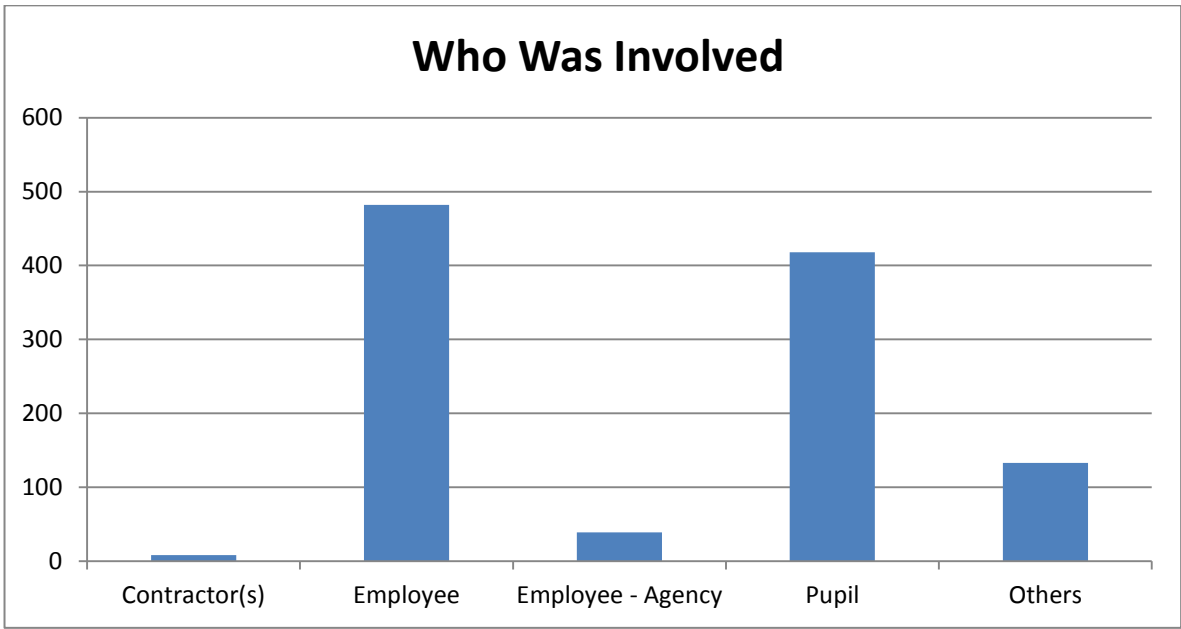
- 2.22 HML continues to provide the occupational health service and the service is overseen by HR. They continue to carry out online and face to face appointments, the latter being held off-site at several their premises. As a result, they are able to breakdown use by Council Staff and Schools.
- 2.23 **Appendix 4** provides a breakdown of Occupational Health referrals for the period 2019-20 for information
- 2.24 HM Assist has continued to provide an Employee Assistance Programme to the organisation whereby employees can freely obtain a range of services including specialist counselling and financial advice. This service has continued to be promoted throughout the year.

Promotion of Health, Safety and Well Being

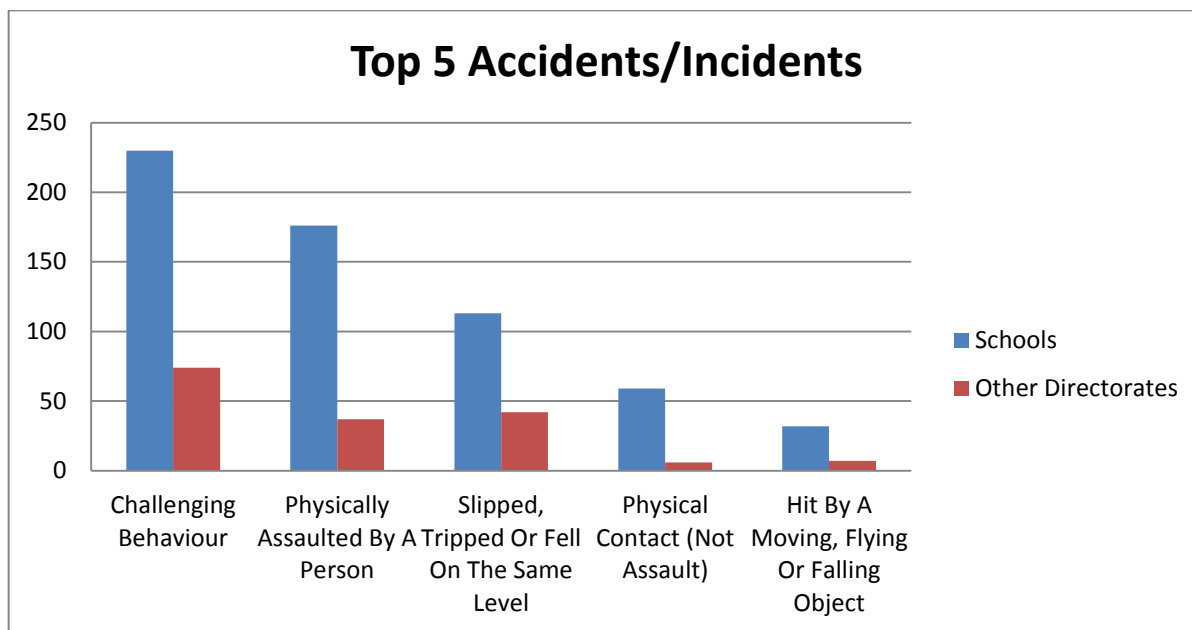
- 2.25 Public Health are leading on the Council's Outbreak Control Plans for COVID-19 and have established a multiagency Health Protection Board which is reporting into the HWBB
- 2.26 The Health & Wellbeing Board (HWBB) is a multi-agency group focused on improving the health of residents in Harrow. It is the executive body responsible for agreeing what the needs of the local population are, promoting integration and supporting alignment and joint commissioning.
- 2.27 The HWBB is chaired by the Leader of Harrow Council. The group is made up of:
- the council
 - NHS commissioners
 - NHS providers
 - GP commissioners

Incidents reported

- 2.28 Incident performance is monitored by the Corporate Health and Safety Board (CHSB) monthly. The data is considered both in terms of volume and through key performance indicators which allow consideration of the number of employees and number of employee hours worked.
- 2.29 There have been 482 employee related incidents (this includes all near misses and not just accidents) in this period, 8 of which have required reporting to the Health and Safety Executive. This has resulted in loss of 37 working days.



2.30 This year the top 5 accident types across the corporate estate, including schools which have signed up to the Service Level Agreement with Corporate Health & Safety, were Challenging Behaviour (304), Physical Assaults (213) Slips, Trips and Falls, (155), Hit by a Moving, Flying or Falling Object(39) and Physical Contacts (65). The vast majority of these occurred at schools.



2.31 Within these top 5 categories, 3 were RIDDOR reportable and are broken down in **Appendix 2**

2.32 A further look at schools incidents record points to a 22% decrease in the number of incidents reported for the 2019/2020 Financial year as against that of 2018/2019. This could either be as a result of the Covid-19 pandemic at the beginning of March or a general reduction in incident rate in schools. This is yet to be determined, hence, to follow up, subsequent yearly report will be analysed, and trends identified. Schools accounted for 72% of 1080 incidents recorded for the year 2019/2020. The severity of a high proportion of the incidents reported in schools is minor.

2.33 The review of accident/incident statistics of schools has highlighted schools with a low record of incidents. Work is underway to understand if it is a case of under reporting as some schools tend to report only major incidents or a general low number of incidents in the school.

2.34 Comparing data across 3 years, a steady decrease in the number of incidents reported by community directorate can be observed. Community directorate accounted for 16% of 1080 incidents recorded for the year 2019/2020. Of the 172 incidents recorded, 29% of these were as a result of challenging behaviour. A major contributor was special needs transport with 36 incidents followed by Housing and Libraries. The severity of a high proportion of the incidents reported is minor.

2.35 People directorate, however, saw a steady rise in the number of incidents reported. This directorate accounted for 12% of 1080 incidents recorded for the year 2019/2020. Of the 127 incidents recorded, 21% of these are linked to Slips, Trips and Falls. Adult social services and children’s centres were the biggest culprits.

2.36 A downward trend can be observed within the Resources and Commercial Directorate. It accounted for 1% of 1080 incidents recorded for the year 2019/2020. 8 incidents were recorded and severity was mostly minor

2.37 The RIDDOR injury frequency rate over the last 3 years has seen a decrease.

2.38 The service continues to record incidents relating to non-employees where it relates to the organisation’s activities or the use of its facilities. Nearly all these incidents relate

to pupils and are minor incidents e.g. sports or playground injuries. There are no trends identified from this data and individual incidents have been addressed in the appropriate manner.

- 2.39 Analysis of the trends from the key performance indicators and the incident type and occupation indicates that overall incident performance within the Council is improving. The health and safety audit programme has focussed on areas where management of risk will reduce the potential for an incident, for example, lone working assessments for social care workers.
- 2.40 Continuous improvement in risk assessment and safety procedures will improve incident performance but due to the low numbers and the diverse nature of the incidents, the improved performance cannot be attributed to direct intervention in key areas.

Health and Safety Training Data

- 2.41 A training programme has continued to be delivered by the Corporate Health and Safety Service, but within the bigger remit of the Training Academy since 2017
- 2.42 The Commercial Safety Team has worked with the Training Academy to ensure it is an accredited training centre for Highfield and Chartered Institute of Environmental Health (CIEH); offering accredited and bespoke courses across all areas of health & safety, food safety and public health matters.
- 2.43 These courses are available on the training calendar and the service will continue to monitor incidence performance, using the improved SHE Assure software arrangements, against delivered training to identify positive impacts and areas where further training is necessary.
- 2.44 109 Directors / Senior Managers attended the Senior Managers British Safety Council one day Training course.
- 2.45 Plans are underway to ensure all first line managers and supervisors attend the 3 days level 3 Health and Safety course. This will be carried out by Highfield at the training academy.
- 2.46 It has been noted that the provision of an online induction training course through learning pool has aided greater completion of the course.
- 2.47 Work is taking place with the Learning and Development Team to improve the induction training as well as the mandatory online health & safety training course.

Legislation Update

- 2.48 The period 2019/20 saw some changes in legislations, Guidance, Codes of practice and general safety notices. Relevant changes have been updated in the required sector. However, there are no changes that directly impact the reporting of health and safety.
- General safety notice for schools using powered perimeter gates
 - Coronavirus (COVID-19): latest information and advice
 - Ionizing Radiation (Basic Safety Standards)

Stakeholder Feedback

- 2.49 The Corporate Health & Safety Board, chaired by the Corporate Director Community, includes both recognised Trade Unions, who continue to be proactive in their approach to health & safety. The terms of reference for this is shown in **Appendix 5**
- 2.50 Collaboration with the trade unions by sharing of relevant documents and addressing raised concerns has no doubt impacted positively on the implementation of health and safety within the council.
- 2.51 There has been no enforcement activity by the HSE during this period.

Management Assurance

- 2.52 Monitoring of health and safety performance within the organisation will continue to sit with the Corporate Health & Safety Board going forward, who will provide updates to the Corporate Strategic Board.
- 2.53 Presentations around performance, strategy and policy have taken place on a regular basis to the Corporate Strategic Board and are reported on at the Corporate Board.

Plans for April 2020 - March 2021

- 2.54 The key actions for 2020/21 include the following:
- Continuation of safety teams across the Council, in line with the Health & Safety Strategy
 - Corporate Health and Safety will lead on plans to monitor operational and occupational risk assessments with respect to Harrow councils Corona virus (Covid-19) control plans.
 - Reviewed risk assessments are to be put on a tracker which will be monitored by the corporate health and safety board.
 - Corporate take up of the Assure SHE Software as the recognised software system for all health and safety matters including reporting of incidents. Focus will be placed on training individuals and teams on use of SHE Assure software.
 - Health and safety support and advice within Harrow Council.
 - Training programme across the Council to ensure all receive the necessary training, this training will be delivered by the training academy, Highfield.
 - Implementation of the Health and Safety Strategy and the Corporate Health and Safety Plan

Legal Implications

The Health and Safety at Work etc Act 1974 requires employers to ensure, so far as is reasonably practicable, the health, safety and welfare at work of all his employees, and to prepare (and review) a policy in relation to it.

Financial Implications

Health and safety management is integral to directorate budgets, and the functions of the Corporate Health and Safety team are carried out within the budget available.

A growth budget of £200k was included in the 2020/21 MTFS for health & safety service in order to provide additional funding for the implementation of the health & safety strategy.

Risk Management Implications

Health and Safety is on the Corporate Risk Register

The risk identified is “Failure to fulfil the Council’s Health & Safety duties leading to a harmful event for individual/individuals for whom the Council is responsible leading to litigation”. As a result, the Corporate health and safety manager liaised with the corporate risk manager to prepare a risk register to ensure key high-risk areas are addressed while the strategy is implemented.

Equalities implications / Public Sector Equality Duty

This report is for information, and protected characteristics are constantly measured as part of any health & safety system, especially aspects of age and disability.

Council Priorities

The delivery of health and safety management is integral to and supports the achievement of all Corporate Priorities.

Section 3 - Statutory Officer Clearance

Name: Jessie Man	<input checked="" type="checkbox"/>	on behalf of the* Chief Financial Officer
Date: 6 th October 2020		

Name: Andrew Lucas	<input checked="" type="checkbox"/>	on behalf of the* Monitoring Officer
Date: 5 th October 2020		

Name: Paul Walker	<input checked="" type="checkbox"/>	Corporate Director
Date: 5 th October 2020		

Ward Councillors notified:	NO
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Section 4 - Contact Details and Background Papers

Contact: John Griffiths, Health and Safety Compliance Manager,
Community, 07716227493

Background Papers: Corporate Health & Safety Action Plan

APPENDIX 1

Accident / Incident Analysis Report for Quarter 1 to Quarter 4 (1st April 2019 – 31st March 2020) - All Directorates

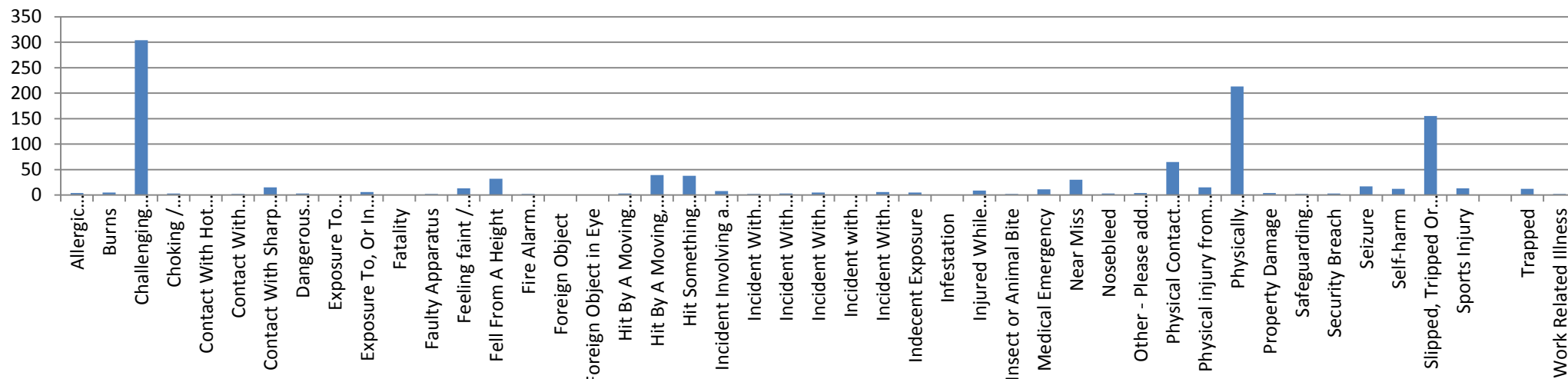
Classification by Type of Accident/Incident

Type of Accident/Incident	Count of Accident/Incident
Allergic Reaction/Anaphylaxis	4
Burns	5
Challenging Behaviour	304
Choking / Asphyxiation	3
Contact With Hot Surface	1
Contact With Moving Machinery Or Material Being Machined	2
Contact With Sharp Object	15
Dangerous Occurrence	3
Exposure To Harmful Gases Or Vapours	1
Exposure To, Or In Contact With, A Harmful Substance	6
Fatality	1
76 Faulty Apparatus	2
Feeling faint / Unconsciousness	13
Fell From A Height	32
Fire Alarm Activated (non emergency)	2
Foreign Object	1
Foreign Object in Eye	1
Hit By A Moving Vehicle	3
Hit By A Moving, Flying Or Falling Object	39
Hit Something Fixed Or Stationary	38
Incident Involving a Vehicle	8
Incident With Burglary/Theft/Mugging	2
Incident With Faulty Equipment	3

Type of Accident/Incident	Count of Accident/Incident
Incident With Threatening Behaviour	5
Incident with Vandalism	1
Incident With Verbal Abuse	6
Indecent Exposure	5
Infestation	1
Injured While Handling, Lifting Or Carrying	9
Insect or Animal Bite	2
Medical Emergency	11
Near Miss	30
Nosebleed	3
Other - Please add details below	4
Physical Contact (Not Assault)	65
Physical injury from an unknown origin	15
Physically Assaulted By A Person	213
Property Damage	4
Safeguarding Incident	2
Security Breach	3
Seizure	17
Self-harm	12
Slipped, Tripped Or Fell On The Same Level	155
Sports Injury	13
Suspicious Package Found	1
Trapped	12
Work Related Illness	2
Grand Total	1080

A chart showing this data can be seen on the next page.

Type of Accident/Incident

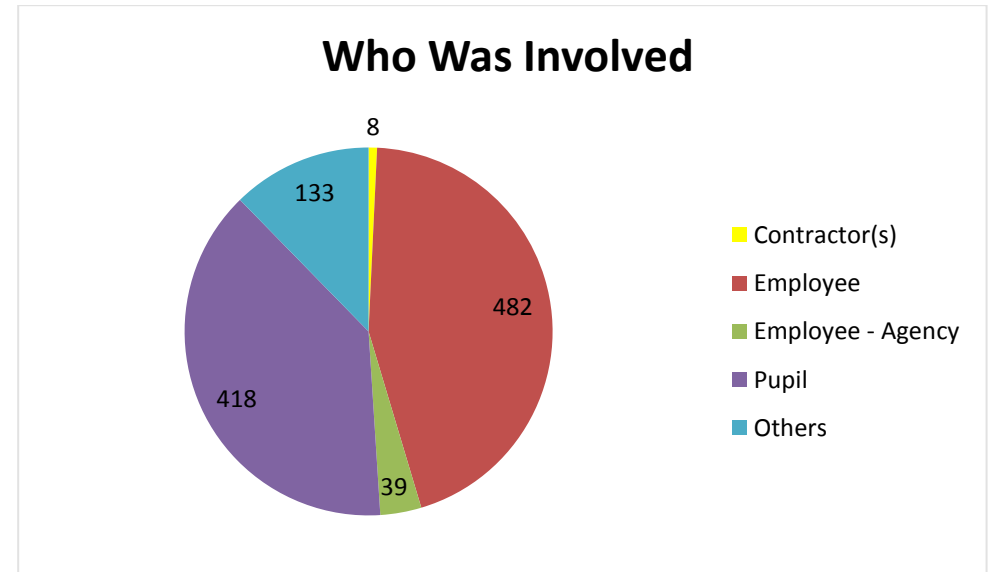


NOTE:
TOP 5 ACCIDENTS/INCIDENTS

Types of Accidents/Incidents	Other Directorates	Schools	Grand Total	
Challenging Behaviour	74	230	304	A huge proportion of these incidents occurred at Schools. Woodland School being a Special Needs School accounts for most cases of Challenging behaviour. Community had 50 cases while 24 was at People directorate. No cases were recorded at Resources.
Physically Assaulted By A Person	37	176	213	Woodlands School accounts for 161 cases of physical assaults in schools. In community, 13 of these cases were related to SNT while in People directorate NRC's had higher numbers. 1 at Resources
Slipped, Tripped Or Fell On The Same Level	42	113	155	Longfield Primary School had a high number of Slips, Trips and Falls, People directorate had 27 cases with NRC's having a high number .Community had 14 cases
Hit By A Moving, Flying Or Falling Object	7	32	39	General low numbers of these incident with 4 at People and 3 at community. Majority was at Schools and none at Resources.
Physical Contact (Not Assault)	6	59	65	Here we see majority of the incidents at Schools. None at Community or Resources. The rest was at People directorate
Grand Total	166	610	776	

Classification by Occupation

Who was involved	Who Was Involved
Contractor(s)	8
Employee	482
Employee - Agency	39
Pupil	418
Others	133
Grand Total	1080



Note:

Others include Members of the Public, Service Users, Tenant, Clients Volunteers and sometimes No individual involved (This can be seen in incidents relating to property damage due to deterioration, weather etc.)

RIDDORS

RIDDOR Type of Incident	Count of RIDDOR Type of Incident
Fell from a height	2
Physically assaulted by a person	1
Incident involving a vehicle	1
Contact with a sharp object	1
Challenging Behaviour	1
Slip, Trips and Falls	1
Hit by a moving vehicle	1
Grand Total	8

RIDDOR Type of Incident	Directorate	What Happened	Reason	Employee	Employ ee-Agency	Others
Fell from a height 6/20	School People	1.A driver and a child using a wheelchair fell off a tail lift at approximately 1.5metres.This happened at Woodlands School Car park 2. Employee fell down the stairs outside civic centre beside car park E and had a broken fibula.	This is a RIDDOR because the child had a broken thigh bone Employee was off work for more than 7days	1		1
Physically assaulted by a person	Community	A car park attendant was attacked by a group of men causing extensive injuries.	This is a RIDDOR because the car park attendant was off work for more than 7days	1		
Incident involving a vehicle	Community	A driver while collecting and emptying bins lost control of the vehicle which ended up colliding into	This is a RIDDOR because the driver was off work for	1		

RIDDOR Type of Incident	Directorate	What Happened	Reason	Employee	Employ ee-Agency	Others
		neighbouring buildings. This happened at Dominion parade service road, Station road, Harrow.	more than 7days			
Contact with a sharp object	Community	A cleaner was cut on the finger while emptying bins at the civic centre	The cleaner was off work for more than 7days	1		
Challenging Behaviour	Schools	A Teaching assistant was pushed at the playground.	The TA was off work for more than 7days	1		
Slip, Trips and Falls	Community	Member of public fell at civic centre and sustained a head injury	The member of public was taken directly to the hospital for treatment			1
Hit by a moving vehicle	Community	3 members of public(pedestrian and a buggy) were hit by a driver at junction Church Lane, Kingsbury NW9	Members of public were taken directly to the hospital			1
				5		3

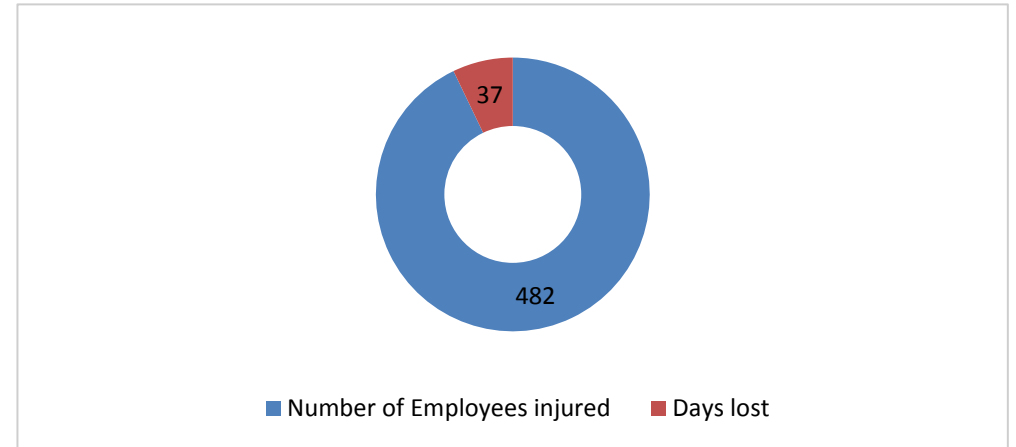
NOTE

There was a fatality in community directorate but this was not recorded as a RIDDOR because it was death due to natural cause.

Number Of Days Lost Due To Injuries (RIDDOR) For Quarter 1 to Quarter 4 (1st April 2019 – 31st March 2020)-Employees

Number of Employees injured	482
Days lost	37

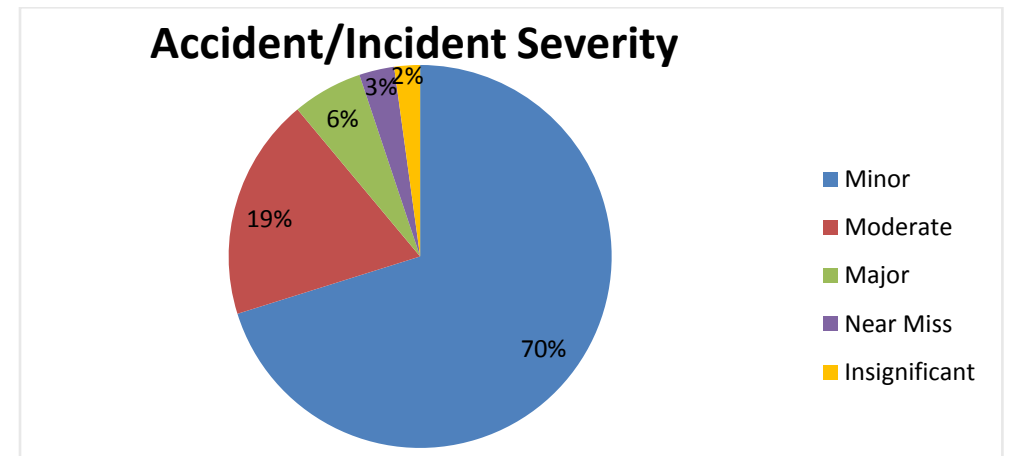
Note
No agency employee was recorded as taking any day off due to a RIDDOR.



Severity of Injuries for Quarter 1 to Quarter 4 (1st April 2019 – 31st March 2020)

81

Severity	Minor	Moderate	Major	Near Miss	Insignificant
Grand Total	766	202	59	30	24
%	71%	19%	6%	3%	2%



71% of injuries which occurred during this time period were minor injuries such as cuts, scratches, bumps etc. and required first aid treatment or no treatment in some cases

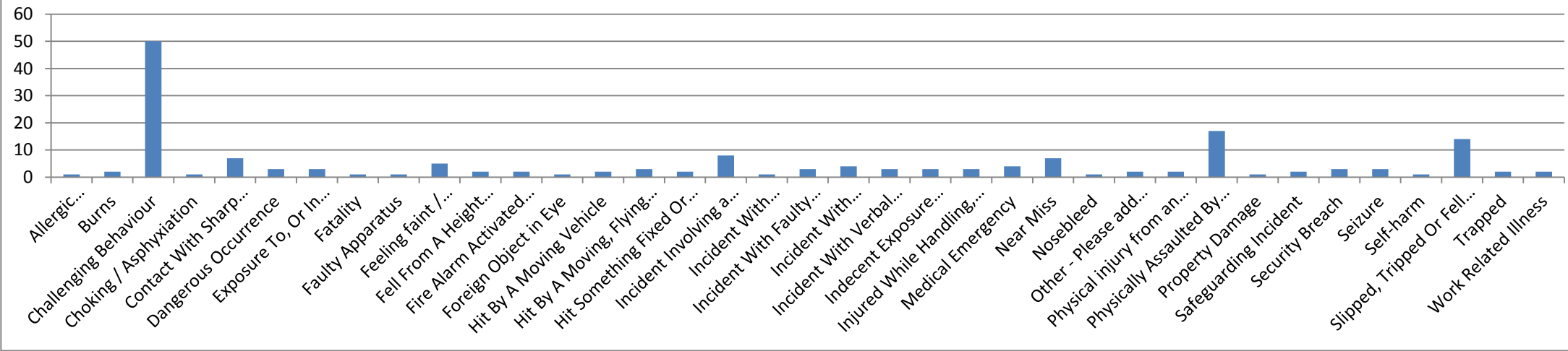
Accident / Incident Analysis Report for Quarter 1 to Quarter 4 (1st April 2019 – 31st March 2020) - Community Classification by Type of Accident/Incident

Type of Incident	Count of Type of Incident
Allergic Reaction/Anaphylaxis	1
Burns	2
Challenging Behaviour	50
Choking / Asphyxiation	1
Contact With Sharp Object	7
Dangerous Occurrence	3
Exposure To, Or In Contact With, A Harmful Substance	3
Fatality	1
Faulty Apparatus	1
Feeling faint / Unconsciousness	5
Fell From A Height (State Height in Notes)	2
☎ Alarm Activated (non emergency)	2
Foreign Object in Eye	1
Hit By A Moving Vehicle	2
Hit By A Moving, Flying Or Falling Object	3
Hit Something Fixed Or Stationary	2
Incident Involving a Vehicle	8
Incident With Burglary/Theft/Mugging	1
Incident With Faulty Equipment	3

Type of Incident	Count of Type of Incident
Incident With Threatening Behaviour	4
Incident With Verbal Abuse	3
Indecent Exposure (removal of clothing)	3
Injured While Handling, Lifting Or Carrying	3
Medical Emergency	4
Near Miss	7
Nosebleed	1
Other - Please add details below	2
Physical injury from an unknown origin	2
Physically Assaulted By A Person	17
Property Damage	1
Safeguarding Incident	2
Security Breach	3
Seizure	3
Self-harm	1
Slipped, Tripped Or Fell On The Same Level	14
Trapped	2
Work Related Illness	2
Grand Total	172

A chart showing this data can be seen on the next page.

Type of Accident/ Incident



NOTE:

Top 5 Accidents/Incidents - Community	Count	%	
Challenging Behaviour	50	29%	36 incidents of challenging behaviour occurred with Special Needs Transport; Libraries had 8 while 6 happened with Housing. Challenging behaviours include Violent and Aggressive behaviours, Disruptive Behaviours such as seat belt removal while on the bus etc.
Physically Assaulted By A Person	17	10%	13 incidents of physical assaults were with Special Needs Transport, 3 happened at Network Management and 1 occurred at Housing Services.
Slipped, Tripped Or Fell On The Same Level	14	8%	6 incidents of slips, trips and Falls occurred at Housing Services, Special Needs Transport had 2 cases while Facilities Management, Harrow Art Centre, Libraries, Streets and Grounds, Public Protection and within the Corporate Estate all had 1 incident each. Some examples include tripping on a sleeper , an uneven pavement , loss of balance
Incident Involving a Vehicle	8	5%	Special Needs Transport had 3 incidents, 2 occurred at Harrow Pride, Streets and Grounds, Waste and Recycling had 1 incident each
Contact With Sharp Object	7	4%	These incidents occurred evenly across Facilities, Civic Centre Staff Restaurant, CA Site, SNT and Housing

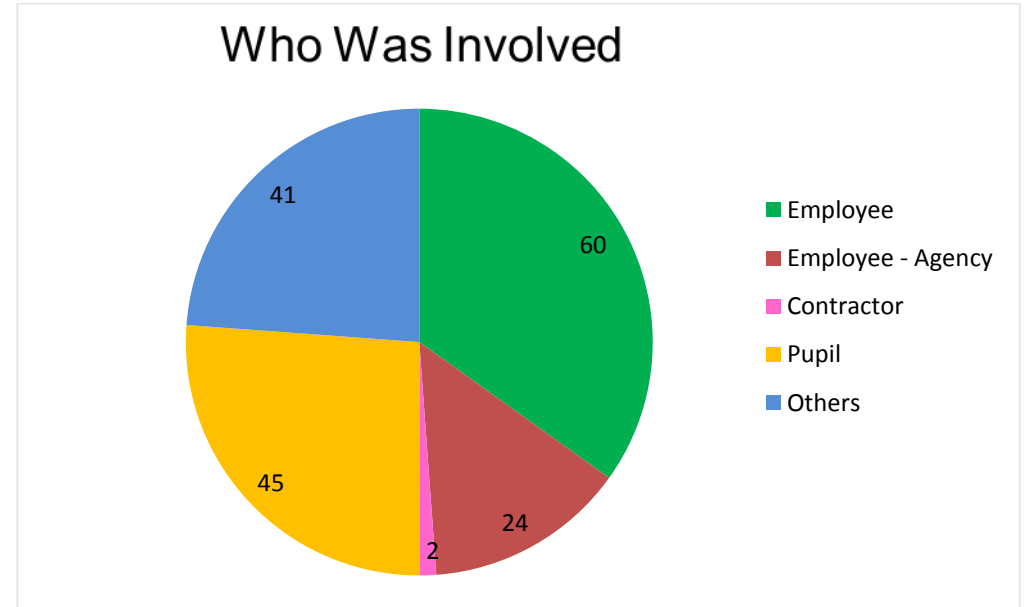
Near Miss	7	4%	4 Incidents which were Near misses happened with SNT, Civic Centre Security, Housing and Libraries all had 1 incident each.
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CLASSIFICATION BY OCCUPATION - Community

Who was involved	Count of who was involved
Employee	60
Employee - Agency	24
Contractor	2
Pupil	45
Others	41
Grand Total	172

NOTE:

Others include Members of the Public, Service Users, Tenant, Clients and sometimes No individual involved (This can be seen in incidents relating to property damage due to deterioration, weather etc.)



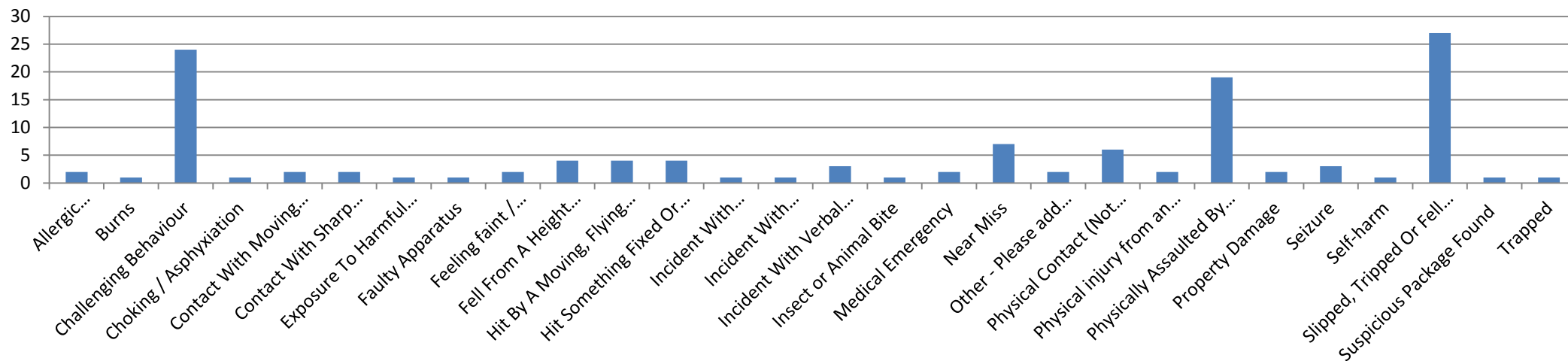
Accident / Incident Analysis Report for Quarter 1 to Quarter 4 (1st April 2019 – 31st March 2020) - People

Row Labels	Count of Type of Incident
Allergic Reaction/Anaphylaxis	2
Burns	1
Challenging Behaviour	24
Choking / Asphyxiation	1
Contact With Moving Machinery Or Material Being Machined	2
Contact With Sharp Object	2
Exposure To Harmful Gases Or Vapours	1
Faulty Apparatus	1
Feeling faint / Unconsciousness	2
Fell From A Height (State Height in Notes)	4
Hit By A Moving, Flying Or Falling Object	4
Hit Something Fixed Or Stationary	4
Incident With Burglary/Theft/Mugging	1
Incident With Threatening Behaviour	1

Row Labels	Count of Type of Incident
Incident With Verbal Abuse	3
Insect or Animal Bite	1
Medical Emergency	2
Near Miss	7
Other - Please add details below	2
Physical Contact (Not Assault)	6
Physical injury from an unknown origin	2
Physically Assaulted By A Person	19
Property Damage	2
Seizure	3
Self-harm	1
Slipped, Tripped Or Fell On The Same Level	27
Suspicious Package Found	1
Trapped	1
Grand Total	127

A chart showing this data can be seen on the next page

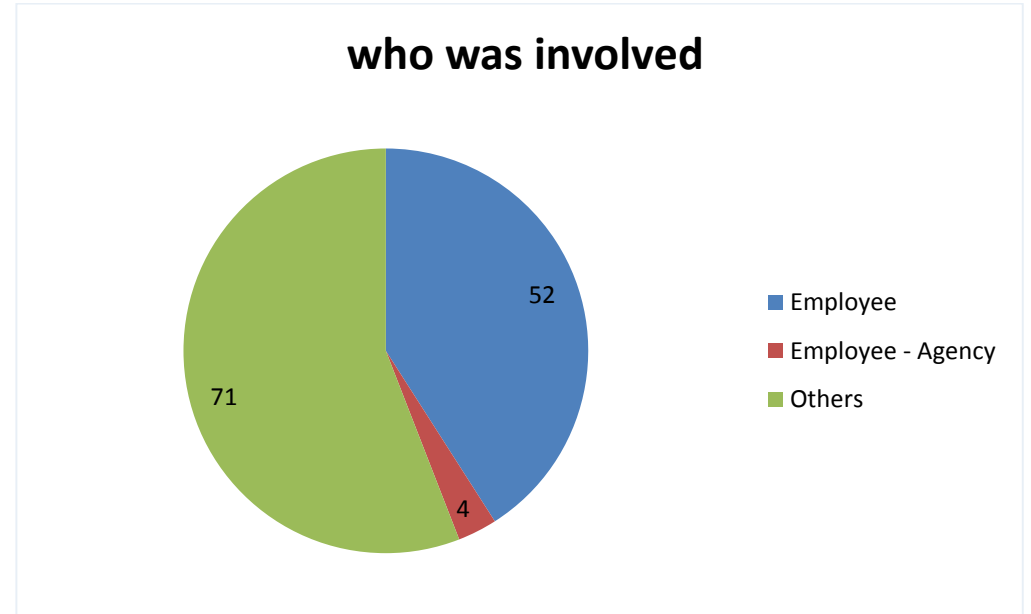
Type of Incident



Top 5 Accidents/Incidents- People	Count	%	
87 Challenging Behaviour	24	19%	16 incidents of challenging behaviour happened at Adult Social Services (NRC's), YOT and QA vulnerable children had 1 each and 6 occurred at FIRS. Some examples of these include, violent and aggressive behaviours, disruptive behaviours (refusing to follow instructions, tantrums etc.)
Slipped, Tripped Or Fell On The Same Level	27	21%	12 cases of slips, trips and falls occurred at Children's Centres, 14 at Adult social Service and Public Health Harrow had 1 incident. Some examples include slips and trips during play, loss of balance.
Physically Assaulted By A Person	19	15%	Adult Social Service (NRC's) had 14 cases of physical assault, FIRS had 3 and Wealdstone Youth Centre experienced 1 . These assaults were mainly bites, scratches, hits, hair pulling and kicks.
Near Miss	7	6%	Adult social services (Milmans Elders 2 and Vaughn NRC 1) experienced 3 cases of Near Miss while 3 occurred at FIRS
Physical Contact (Not Assault)	6	5%	Adult social services(Vaughn NRC) 2 , Cedars children Centre 2 and FIRS 2 Examples include; bumping into others,

CLASSIFICATION BY OCCUPATION

Who was involved	Count of who was involved
Employee	52
Employee - Agency	4
Others	71
Grand Total	127

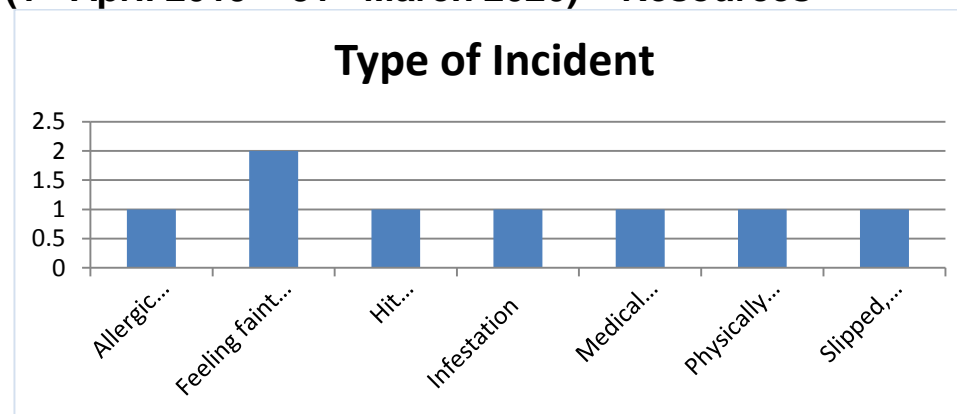


NOTE:

Others include Members of the Public, Service Users, Tenant, Clients, Volunteers and sometimes No individual involved (This can be seen in incidents relating to property damage due to deterioration, weather etc.)

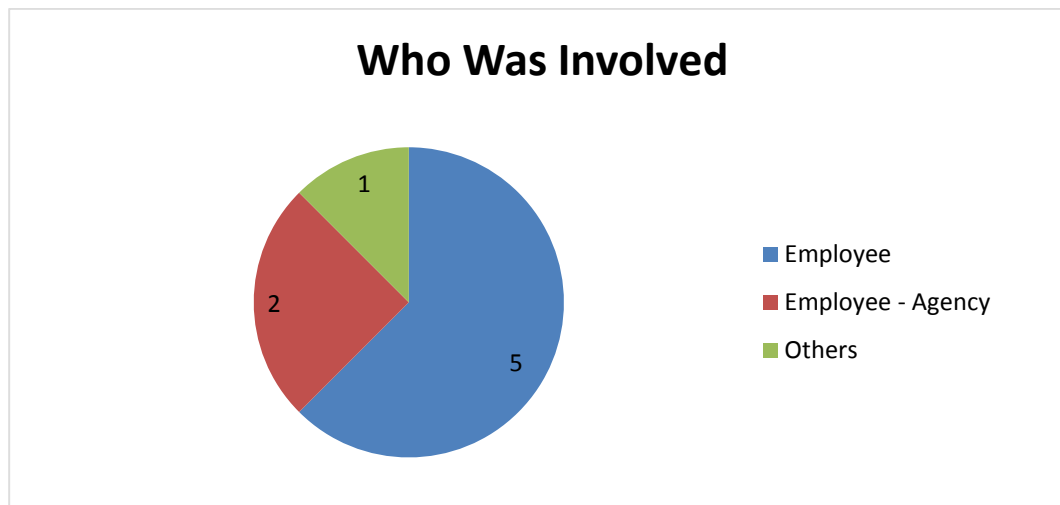
Accident / Incident Analysis Report for Quarter 1 to Quarter 4 (1st April 2019 – 31st March 2020) – Resources

Type of Accident/Incident	Count of Type of Incident
Allergic Reaction/Anaphylaxis	1
Feeling faint / Unconsciousness	2
Hit Something Fixed Or Stationary	1
Infestation	1
Medical Emergency	1
Physically Assaulted By A Person	1
Slipped, Tripped Or Fell On The Same Level	1
Grand Total	8



Classification by Occupation

Who was involved	Count of Who Was Involved
Employee	5
Employee - Agency	2
Others	1
Grand Total	8



Note: Other here refers to a Tenant and 3 of these incidents (Infestation, Medical Emergency, Slips, Trips and Falls) occurred at Customer Service and IT, Allergic Reaction & Feeling Faint-Legal & Governance Resources Hub, Hit something Fixed or stationary -Finance and Physical Assault -Strategic Commissioning.

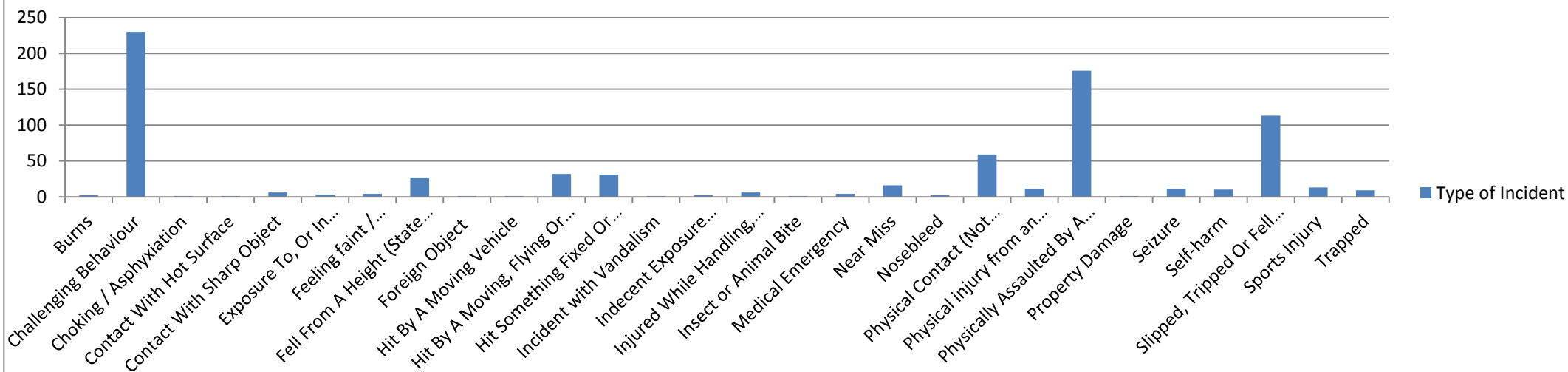
Accident / Incident Analysis Report for Quarter 1 to Quarter 4 (1st April 2019 – 31st March 2020) – Schools

Row Labels	Type of Incident
Burns	2
Challenging Behaviour	230
Choking / Asphyxiation	1
Contact With Hot Surface	1
Contact With Sharp Object	6
Exposure To, Or In Contact With, A Harmful Substance	3
Feeling faint / Unconsciousness	4
Fell From A Height (State Height in Notes)	26
Foreign Object	1
Hit By A Moving Vehicle	1
Hit By A Moving, Flying Or Falling Object	32
Hit Something Fixed Or Stationary	31
Incident with Vandalism	1
Indecent Exposure (removal of clothing)	2
Injured While Handling, Lifting Or Carrying	6

Row Labels	Type of Incident
Insect or Animal Bite	1
Medical Emergency	4
Near Miss	16
Nosebleed	2
Physical Contact (Not Assault)	59
Physical injury from an unknown origin	11
Physically Assaulted By A Person	176
Property Damage	1
Seizure	11
Self-harm	10
Slipped, Tripped Or Fell On The Same Level	113
Sports Injury	13
Trapped	9
Grand Total	773

A Chart showing this data can be seen below.

Type of Incident

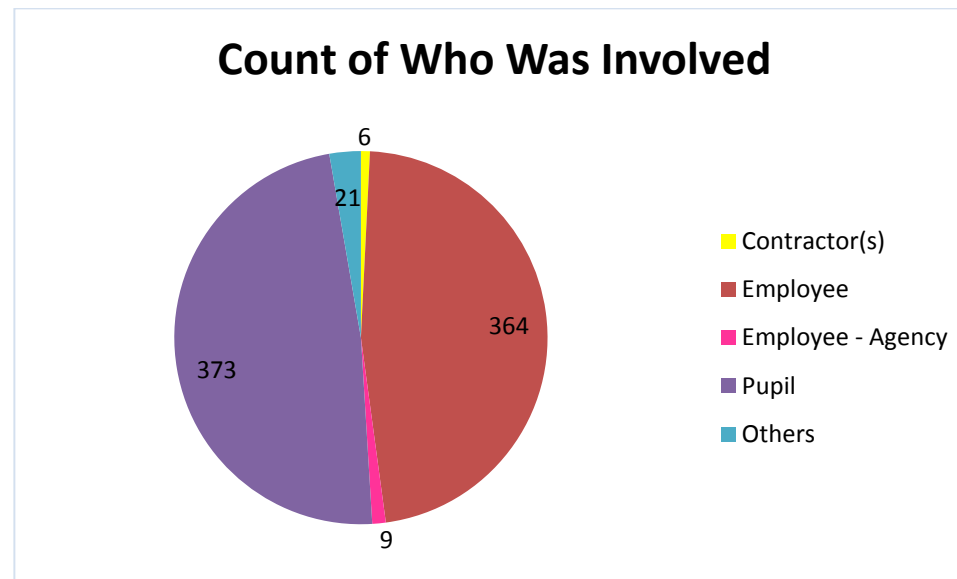


NOTE

Top 5 Accidents/Incidents in Schools	Type of Incident	%	Description
Challenging Behaviour	230	29.70%	Woodlands School had 215 cases while Kingsley High School had 15 cases of Challenging Behaviour .This is because both schools are Special Needs Schools. Elmgrove Primary School had 2 Cases while St Josephs Catholic School had 1 Case. Some examples include Violent and aggressive behaviours
Physically Assaulted By A Person	176	22.80%	161 incidents of physical assaults occurred at Woodland School, 15 at Kingsley High School, 2 Cases at Longfield Primary School While Elmgrove Primary School, Cannon Lane Primary School and Whitmore High School had 1 each. Physical assault by a person comprised of mainly bites, scratches, hits, kicks between pupils and teachers or teaching assistants
Slipped, Tripped Or Fell On The Same Level	113	14.60%	38 Slips, Trips, Falls happened at Longfield Primary School, 22 was at Woodlands School, 11 at Elmgrove, 9 at Cannon Lane Primary School, 6 was at St Joseph Catholic School, 3 at St Anselm primary School, Whitmore High School saw 7 cases while the rest of the schools had 1 case respectively. Slips, trips and falls mainly occurred at the playground , during sports activities , due to a wet floor and sometimes poor attention while walking
Physical Contact (Not Assault)	59	7.50%	25 incidents occurred at Woodlands School, 14 was at Kingsley High School, Elmgrove primary had 5 cases. Vaughan and Whitmore High School had 3 and 4 respectively. The rest of the schools had 1 each. Examples Consists mainly of Bumps due to running , while using the playground and during sports activities
Hit By A Moving, Flying Or Falling Object	32	4.20%	10 Incidents occurred at Woodland School, 7 was at Whitmore High School. Longfield, Cannon Lane and Shaftsbury Primary School had 4,3 and 2 incidents respectively. Elmgrove, Glebe Primary School, Marlborough and Kingsley High School had 1 case each.

Classification by Occupation - Schools

Who was involved	Count of Who Was Involved
Contractor(s)	6
Employee	364
Employee - Agency	9
Pupil	373
Others	21
Grand Total	773



NOTE:

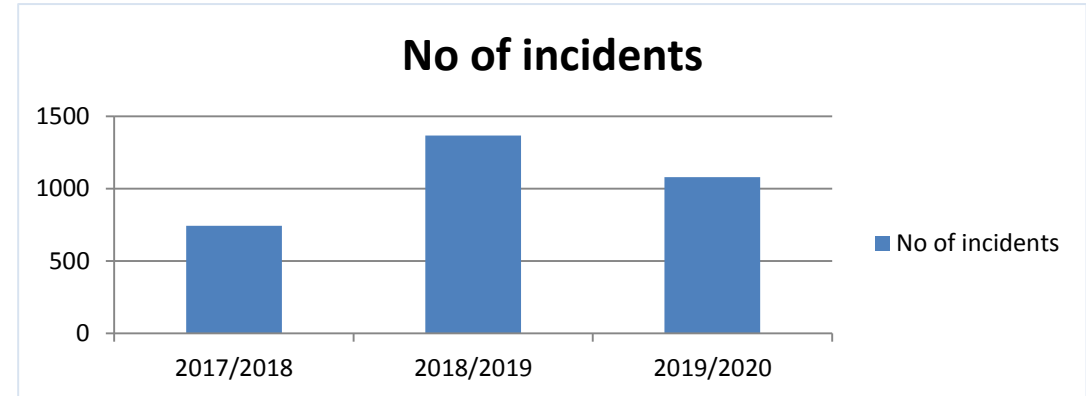
Others include Members of the Public, Service Users, Volunteers and sometimes No individual involved (This can be seen in incidents relating to property damage due to deterioration, weather etc.)

APPENDIX 2 – TRENDS

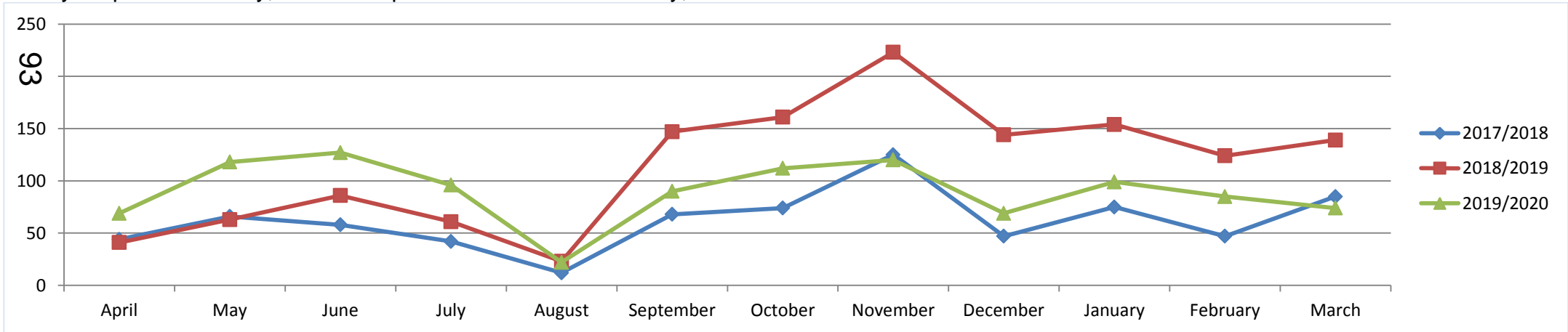
We will be comparing accident/incident data within Harrow Directorates over a period of 3 years (2017/2018, 2018/2019 and 2019/2020).

1. From the charts below, accident reporting increased in 2018/2019 but decreased in 2019/2020.

Incident trends for 3years	No of incidents
2017/2018	743
2018/2019	1367
2019/2020	1080

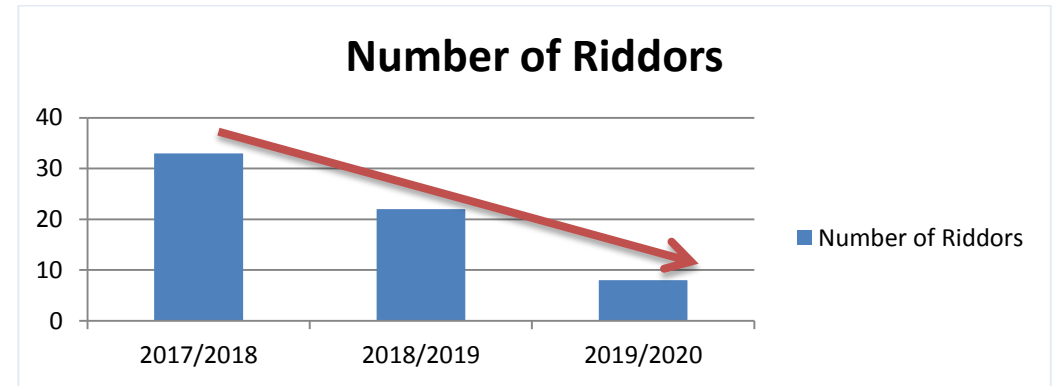


2. The chart below show a comparison by month for each directorate over the 3 years period. Here, we can see a corresponding drop in accident reporting in August and December across the 3 years period. This is largely due to holidays observed during this time period. In 2019/2020, there was steady drop from January, the lowest point been in March. Clearly, this is as a result of the Covid-19 Pandemic.



RIDDORS : There has been a steady decline in RIDORRS since 2017. This shows a Harrow work environment that aims at achieving its health and safety objectives of keeping everyone safe while at work.

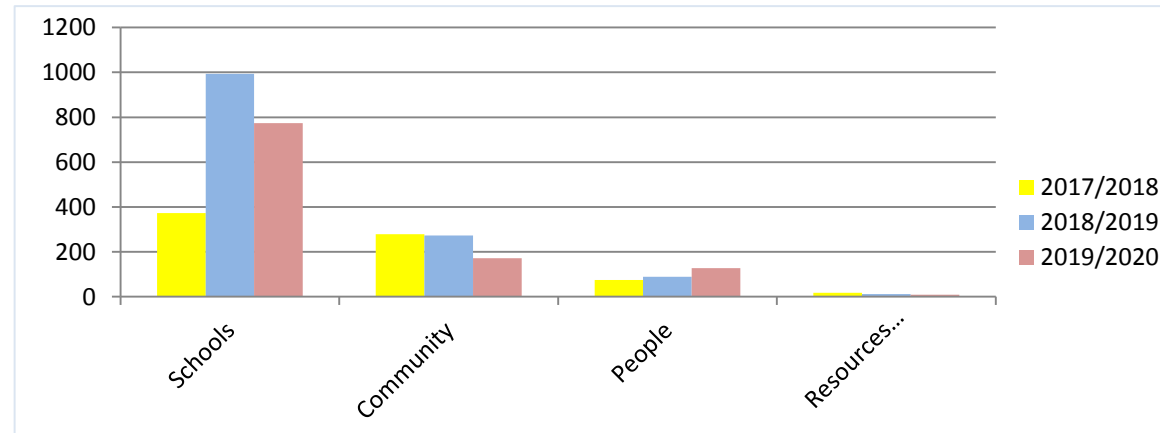
Year	Number of Riddors
2017/2018	33
2018/2019	22
2019/2020	8



Accident/Incident Records across the 4 directorates over 3 years

Across 3 directorates, Resources & Commercial, Community and Schools, there has been a drop in the number of accidents/incidents recorded. This could be as a result of the Covid-19 Pandemic. Less people in buildings and therefore fewer accidents to report. People Directorate however had an increase in accidents reported.

Year	Schools	Community	People	Res.&Comm.	Grand Total
2017/2018	373	279	74	17	743
2018/2019	994	273	88	11	1366
2019/2020	773	172	127	8	1080
Grand Total	2140	724	289	36	3189



APPENDIX 3 – HEALTH AND SAFETY STRATEGY



OCCUPATIONAL HEALTH AND SAFETY STRATEGY

2019 - 2022

Corporate and Council Housing

Provision of service of:

- Health & Safety
- Fire Safety
- Asbestos Management,
- Occupational Health Management
- Employees Assistance

	Name	Signature	Date
Prepared by:	John Griffiths		22/02/2019
Checked by:	Richard Lebrun		01/03/19
Approved by:	Paul walker		22/3/19
Document Title:	OCCUPATIONAL HEALTH & SAFETY STRATEGY 2019 - 2022		
Version Number:	1	Date of Next Review:	01/04/2020

Occupational Health and Safety Strategy

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9.0 CORPORATE HEALTH AND SAFETY PLAN 2019/20	19

MANAGEMENT SUMMARY

It is essential to the achievement of our strategy for Health and Safety to ensure that access to the right knowledge, skills, and support is available to staff not only when, but also before, they need it, and that this is widely communicated and understood to achieve a culture of health and safety excellence. Key to achieving this is the actions and support of the Corporate Health and Safety Team through continuous improvement and maintenance of the safety management system (SMS) by qualified and competent safety practitioners.

In line with best practice the strategy and model for the safety management system follows the precepts laid down in the Health and Safety Executives guidance 'Managing for health and safety (HSG (65))'. The strategy therefore is based on the principles of the Plan, Do, Check, Act approach and aims to achieve a balance between the systems and behavioural aspects of management. It also builds in health and safety

management as an integral part of good management generally, rather than as a stand-alone system.

To achieve this, in addition to providing systems for policies, organisation planning, arrangements, training, communication and measurement there are clear objectives and monitoring of performance by the Corporate Health and Safety Team through health and safety management plans and proactive audit programmes.

In addition, the strategy looks to ensure all Directors, Managers, Department Management Teams and Service Managers lead by example by demonstrating best practice in health and safety management and ensuring whenever possible, that all management decisions further health and safety objectives.

This strategy is intended to incorporate the whole Council; it is about effective partnerships between managers, staff and unions who are all crucial to successful health and safety management. Poor health and safety management is rarely the result of malicious intent. Support by professional safety practitioners, training in health and safety skills and risk management are key to achieving a strong health and safety culture which benefits all staff, service users, pupils, visitors and contractors who work in our premises, and improves the quality of our service.

INTRODUCTION

The Health and Safety at Work etc Act 1974 places overall responsibility for health and safety with the employer. In this case the employer is Harrow Council and the expectation is that health, safety and wellbeing are, in turn, the responsibilities of the Chief Executive and Board of Directors. In respect of matters pertaining to Health, Safety, Welfare, Asbestos Management, Wellbeing and Occupational Health; the Chief Executive of Harrow Council is the Duty Holder.

Where suitable and sufficient competent advice and support is not available in organisations there will be clear failings in meeting legal requirements and hence considerable exposure to risk of prosecution to individuals and the organisation. Furthermore, there is additional exposure to moral failings, the cost of expensive litigation and reputational damage.

The Council's corporate Health and Safety Team provides a Health & Safety, and Fire advisory service. Asbestos Management is managed by facilities management that facilitates risk reduction and helps develop or sustain inbuilt safety management. This should form part of the organisational management system that enables achievement of legal requirements. Specifically, as experienced practitioners, the teams are used to dealing with the processes undertaken by the local authority; they are experienced in the application and requirements of legislation and how it can be effectively applied judicially in this arena. In addition, provision of a comprehensive occupational health service with employee counselling and support service enables the Council to facilitate the well-being of all their employees.

The Council achieves its obligations in a number of ways that includes; a comprehensive system of occupational health support, employee counselling service, asbestos plans and surveys, safety processes, policies, guidance etc. Moreover, they can provide the, more intangible, experienced competent advice tailored to support the organisation.

This document sets out the strategy for Health and Safety, asbestos management and Fire Safety for Harrow Council for the three years between 2019 and 2022. It aims to build on the work already achieved to date in improving the health and safety management systems across the Council and thereby reduce illness, ill-health damage and loss, whilst continuing to deliver services to the people within the London Borough of Harrow.

1.0 BACKGROUND

In recent years legislation has reinforced the need for organisations to ensure effective management of safety, health, wellbeing, fire and asbestos. The

Health and Safety Offences Act 2008, has increased penalties and provides courts with greater sentencing powers for those who break health and safety law. The Corporate Manslaughter and Corporate Homicide Act 2007 has meant organisations can be found guilty of corporate manslaughter as a result of serious management failures resulting in a gross breach of a duty of care.

Statutory obligations for health and safety arrangements can be found in the Health and Safety at Work etc Act 1974 and Management of Health and Safety at Work Regulations 1999 - specifically regulations 5 and 7 that refer to the need for competent advice and ensuring a suitable and sufficient safety management system exists (see also the Health and Safety Executive (HSE) HSG 65 Guidance).

The HSE, although the enforcing authority, are keen to point out that the many employers who do manage health and safety and wellbeing well, have nothing to fear from legislative requirements.

Harrow Council achieves high standards through the use of an occupational health provider and established in-house services for health and safety. Harrow Councils Corporate Health and Safety Team consist of a three professional experienced, qualified safety practitioners. The team are fully aware of the impact and need for competent advice to ensure effective delivery of a health and safety management system.

1.1 The Current Situation

Corporate Health and Safety sits within the Community and Public Protection Service, being three members of staff with responsibility for the overseeing of the corporate health and safety system and provision of advice.

Occupational Health remained part of the function of the Human Resources Team, including the provision of service by Health Management Ltd (HML) which oversees fitness to work and vaccinations.

In terms of the Corporate Health and Safety Board, this is chaired by the Corporate Director for Community.

The Corporate Director for Community launched a refresh of health and safety within the council, setting up a new meeting hierarchy that put the frontline staff at the heart of health and safety in their areas through the use of safety teams.

The safety teams are a joint worker management team that assists the employer in creating and maintaining a safe workplace. The goal of the team is to enhance the ability of workers and employers to resolve safety and health concerns reasonably and co-operatively.

The strategy seeks to replicate joint worker safety across all directorates and all levels of the council.

The Council Corporate Health and Safety Team have three health and safety advisers that provide an advisory service that covers corporate and schools.

Together the team provides a comprehensive Safety Management System that provides organised processes with planning, policies, monitoring and ongoing review; a wide range of advice, guidance and assistance that includes: management of Asbestos, Occupational Health, Well Being, Health and Safety, Welfare and Fire Safety across the whole Council.

The Corporate Health and Safety Team comprehensive Safety Management System ensures that the Council reduces health and safety risks across the board. This, in turn ensures we meet with statutory obligations, minimise costs from losses or civil litigation and fulfil our moral obligations to all those affected by our undertaking which includes; employees, contractors, school pupils, those who visit, play or use corporate premises, or live in Council Housing. We do this by:

- Ensuring that health and safety remains a vital part of standard management practice across the Council and provide planning for this to be achieved;
- Providing information, advice and training to all employees to help them stay safe at work and understand their own responsibilities to themselves and others;
- Developing strategic and operational initiatives and reviews that properly address any Health, Safety or Fire related risks associated with Council Housing, Council operations, schools and premises;
- Ensuring provision of an Occupational Health Service for all employees;
- Ensuring that risk assessment remains the process by which hazards are identified and risks arising are eliminated or adequately controlled;
- Monitoring standards by undertaking; audits, inspections, asbestos surveys, investigating significant accidents and incidents and providing interpretation of Health and Safety legislation that impacts on the Council;
- Management that ensures protection from exposure to asbestos in or near any of our premises.
- Monitoring of contractors for Health and Safety particularly with regard to Council Housing.
- At the start of each new financial year set out a Corporate Health and Safety Plan detailing the planned programme of auditing that designated safety advisers will undertake.

In all cases, the primary intention is to utilise resources in a way that assists with the development and implementation of systems that proactively reduces risk and gives feedback on performance **before** an accident, incident or ill health.

2.0 Corporate Health and Safety Governance Overview

The Council Corporate Health & Safety Policy clearly sets out roles and responsibilities to meet the needs of health and safety.

To ensure a successful culture is the responsibility of all management. To this end, all Heads of Service shall be the primary lead for health & safety in their services, with a nominated person acting as safety representative for that service. This is in conjunction with any Union Health & Safety representative.

Safety circles have been introduced as a means of communication and tackling safety issues at the most appropriate level. They will be chaired by the Safety Circle Lead and involve staff and representatives of all of the services represented. Heads of Service should ensure that suitable representatives are nominated and that all risk areas covered. These meetings shall take place as a minimum every 2 months.

The purpose of these meetings is to:

- Involve managers and employees in achieving a safe and healthy workplace.
- Review safety-related incidents, audits
- Review management and Corporate H&S audits of the workplace, communicate identified hazards, and recommend immediate methods for eliminating or controlling them.
- Introduce and assist with workplace safety and health initiatives and recommend improvements to management.

The Safety Circle is a space to share information and discuss specific risks in the service areas represented and maintain a record of issues raised and actions completed.

All actions shall be recorded on the SHE Assure software, with clear timescales. A review will take place at the directorate management meeting to ensure actions are being followed up and information fed into the directorate risk registers monthly.

Updated risk registers and any areas of key risks are raised quarterly to the Directorate Joint Committee for discussion, including with Unions. Decisions to escalate to the Corporate Health & Safety Board shall be made at this point. All actions recorded on the SHE Assure software.

The Corporate Health & Safety Board will meet on a quarterly basis and will:

- Sign off all health & safety risk registers;
- discusses areas of concern and
- agrees items for future agenda items / areas of concern for DMTs and Safety Circles

Minutes of Corporate Board sent to Corporate Strategic Board and loaded onto SharePoint software. CSB will have the overview of corporate Health &

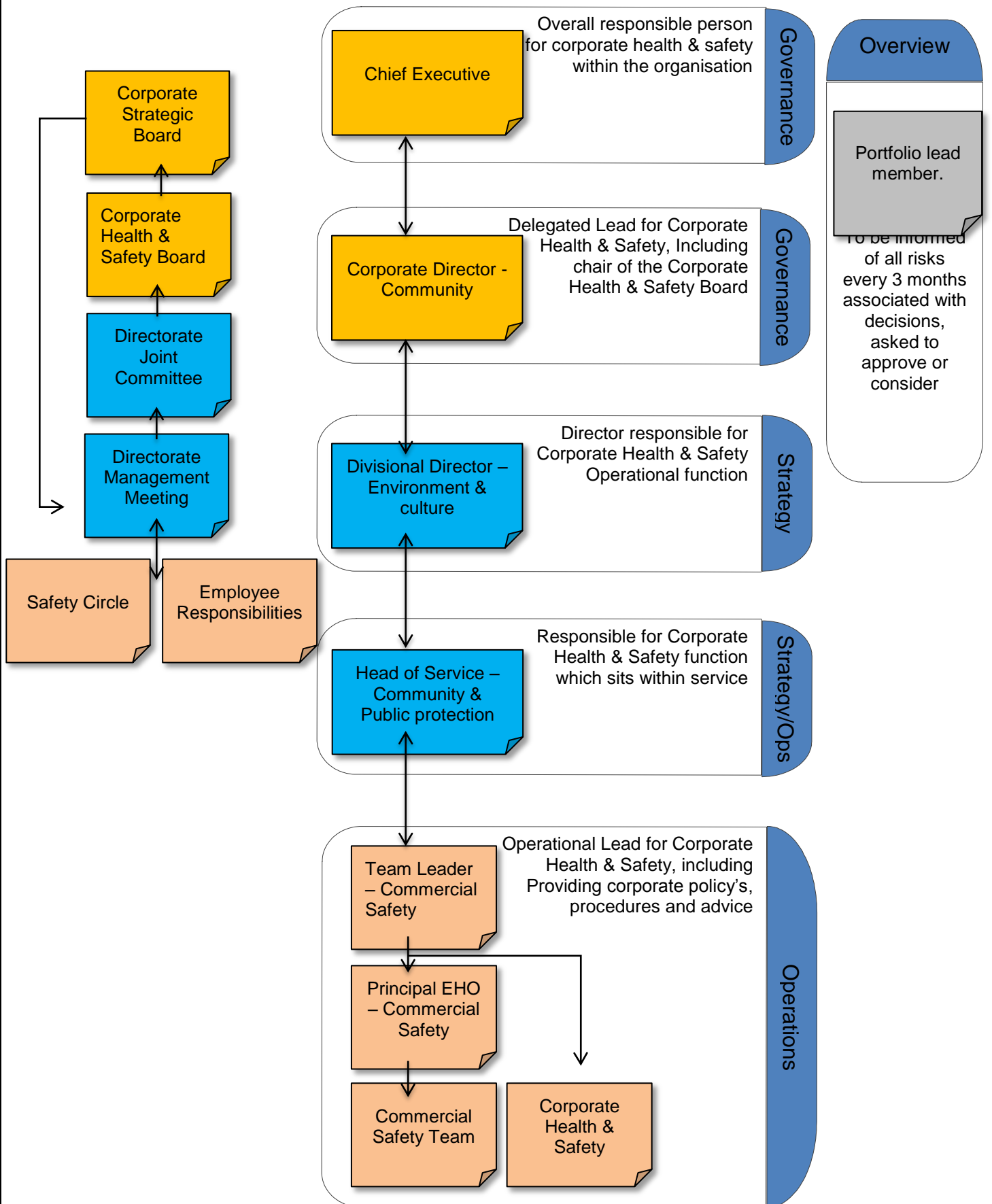
Safety and Occupational Health / Wellbeing, and co-ordinate joint approach.

CSB retains overall governance of corporate health & safety, ensuring the aims and objectives are being met. They shall discuss any areas of concern and identify any issues they want to know more about or provide direction where needed.

Any actions resulting from CSB shall be recorded on the Assure SHE software and fed back to DMTs for action.

The Corporate Health & Safety Team shall oversee the process including being the administrators of the Assure SHE software. They shall also provide the relevant statistics and information to inform safety circles, directorate meetings and the corporate health and safety board

Meeting Structure



3.0 PRIORITIES AND AIMS FOR 2019 - 2022

Over many years the Corporate Safety Team has committed time and resource towards developing a comprehensive set of Corporate Health and Safety policies and supporting guidelines which are kept under review and audited against. These systems and procedures enable departments, in turn, to ensure the development of the necessary health and safety documentation that meets as minimum, statutory obligations together with corporate policies. To build on this, the following priorities are highlighted for the next three years:

a) ***Maintaining and improving the Council's safety management system***

Through supporting the Executive Management Team, Departmental Management Team, managers, with review and monitoring process which support initiatives, remediation and decision making.

b) ***Completing a series of audits, risk assessments and surveys***

This includes schedules for the following health, safety and fire processes:

- Internal fire and health & safety audits on identified teams, premises and processes for corporate and council housing buildings
- Audits in schools and children centres.
- Fire Risk Assessments for corporate, schools and council Housing.
- Fire Risk Audits for Corporate buildings.

c) ***Maintaining an Asbestos survey programme***

To locate, assess and monitor the condition of asbestos containing materials within the council's corporate and Council Housing portfolio with schedules which includes:

- Corporate Asbestos survey programme
- Council Housing Asbestos survey – common parts (statutory) and void dwellings
- Schools asbestos survey programme (statutory)
- Asbestos awareness training
- Reactive response to Refurbishment & Demolition surveys and incidents

d) ***To support managers and staff in achieving suitable levels of health & safety competency;***

Effective management of health and safety involves people using their skills and knowledge to work safely. A fundamental requirement is for all managers to undertake British Safety Council Training to provide them with a solid grounding in the requirements of Occupational Health and Safety legislative requirements. Undertaking computer based training modules will ensure

knowledge is continually professionally developed and reinforced. This will in turn help ensure managers have the basic skills to identify the health and safety competency needed by their staff.

e) To ensure the Occupational Health Service continues to provide adequate health surveillance, return to work rehabilitation, health promotion and reduction of work-related sickness absence;

The Council will continue to work in close partnership with its appointed Occupational Health Service provider to ensure the most efficient use of service resources.

f) To build on the communication and consultation arrangements to ensure staff are fully involved and committed to achieving acceptable health and safety standards;

To achieve success in health and safety management, there needs to be effective communication up, down and across the Council. Front line staffs are involved in communication primarily through the risk to their health and safety identified in their risk assessments, and the preventive and protective measures necessary to control risk. This is supported with safety circles, tool box talks that reinforce a process for direct consultation. Further to this, other means of communication include newsletters, and the council intranet.

At a more strategic level; all Directorates are to have effective health and safety committees with Executive Director Representation on the Corporate Health and Safety Committee. Representatives of each Directorate are expected to attend a Corporate Health and Safety Committee that now has a corporate lead (Corporate Director of Community) and steer on health and safety.

g) To encourage greater visible and active leadership on health and safety matters by managers;

Active leadership is essential if the Council is to foster a positive health and safety culture. The Corporate Health and Safety Team have promoted this through making available British Safety Council training courses for both Senior Managers/Directors and those who managed staff.

h) To align health and safety more closely with the overall Risk Management arrangements;

The Councils Risk Management Strategy aims to establish a culture where risks are understood and managed. Health and Safety management aims to ensure risks to health and safety are identified and managed. While Risk Management covers all business risks and is focused on the major risks to the

Council, there are areas where the two strategies meet. Health and safety processes and arrangements should therefore be seen and understood as supporting the Risk Management Strategy. Significant health and safety issues identified during risk management assessments will therefore be communicated to the executive board.

i) To ensure good health and safety practice in our relationships with partners;

As well as setting out to improve our own health and safety performance, the Council will work with its partners to improve health and safety overall in the delivery of its services. The aim will be to share knowledge and experience and at the same time provide managers overseeing contracts with feedback on safety standards.

3.1 Monitoring Progress against Aims & Priorities

A number of proactive measurement activities take place to monitor safety performance for the Council. These measures are set out with performance targets in the Corporate Health and Safety Management Plan which is agreed by Executive Management Team at the start of the financial year.

The key measures against which progress will be assessed in meeting the strategic aims and priorities are;

- Number of audits and compliance levels achieved
- Number of Fire Risk Assessments and actions completed
- Number of Asbestos surveys completed
- Number of Asbestos re-inspections completed

Other methods of monitoring the success of the safety management system are:

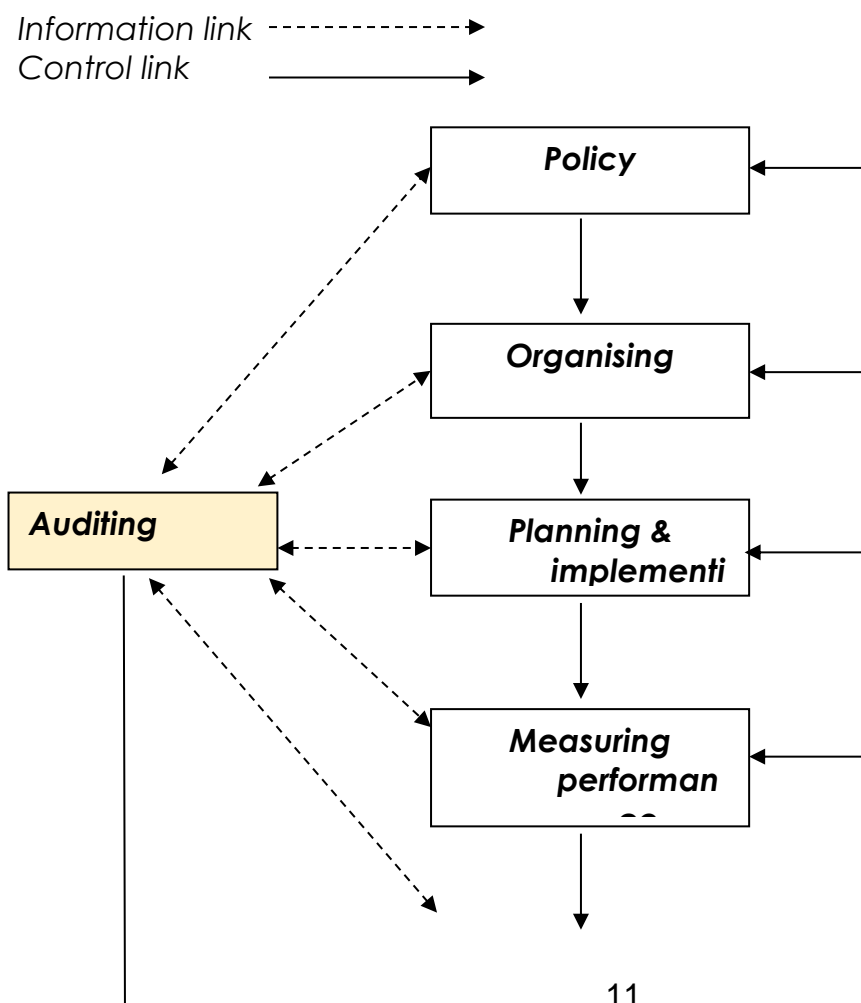
- Review of accidents and statistics and related sick leave.
- Number of staff undergoing health and safety training
- Computer Based Training completed
- Senior managers safety tours completed
- Manager's self- audits completed.
- Health and Safety performance reports
- Action status of items on risk registers

4.0 HEALTH AND SAFETY MANAGEMENT SYSTEMS

The Management of Health and Safety at Work Regulations 1999 – Regulation 5 - requires Harrow Council to have arrangements in place for managing

health and safety. Like any management system, it is essential that the Council collects information on the system implemented if it is to be able to make judgements about its adequacy and performance.

The system followed by the Corporate Health and Safety Team is based on that described in HS(G)65 Successful Health and Safety Management. Diagram 1 illustrates the system showing the main topic headings and the communication flows by which continuous improvement in health and safety management is achieved. Health and safety audits aim to verify compliance with each aspect of the management system:



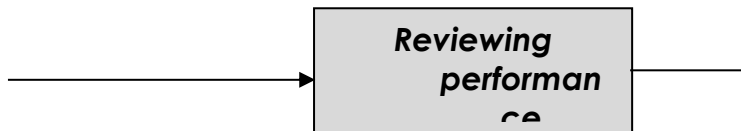


Diagram 1: HS(G)65 Health and Safety Management System Elements

POLICY

Effective health and safety policies set a clear direction for the Council to follow. They contribute to all aspects of business performance as part of a demonstrable commitment to continuous improvement. The Council already has a well-developed set of Corporate Policy Arrangements that are available on the council SHE software system and this is subject of a rolling programme of review.

ORGANISING

The Council needs to ensure that it has an effective management structure and arrangements are in place for delivering its health and safety policies. To achieve success, all staff will need to be motivated and empowered to work safely and to protect their long-term health, not simply to avoid accidents. The Council is currently embarking on developing a safety circle safety culture, ensuring robust health and safety management supports this programme and will better shape the way it deals with health and safety issues in the future. The activities necessary to promote a positive health and safety culture are;

Control

Everyone working in the organisation can contribute to controlling health and safety risks. Control is achieved by getting the commitment of employees to clear health and safety objectives. Managers will need to take full responsibility of controlling factors that could lead to ill health, injury or loss thereby helping to create a positive atmosphere and encouraging a creative and learning culture.

Co-operation

Participation is essential to control risks effectively. By encouraging employee 'ownership' of health and safety policies this will assist with their better understanding that the organisation as a whole, and people working in it, benefit from good health and safety performance.

The Council has a legal obligation to consult with all employees about those health and safety issues in the workplace that affect them. The Council has already fostered good relationships on health and safety matters with its recognised trade unions.

Communication

All managers need to lead by example. Their visible commitment to, and involvement in, health and safety management should be obvious and consistent. They will need to provide regular and reliable information on health and safety to everyone who needs it.

Competence

If Council employees are to make a maximum contribution to health and safety, the Council will need to have in place robust arrangements to ensure that they are competent. Health and safety is already a mandatory competency for all employees.

PLANNING AND IMPLEMENTING

This element concerns the adoption of a planned and systematic approach to implementing the health and safety policy through an effective health and safety management system. The aim is to minimise risks. This strategy provides the framework, against which the Council will judge the adequacy of its health and safety management systems to ensure,

- The mitigation of risks;
- The ability to react to changing demands;
- Sustainability of a positive health and safety culture.

MEASURING PERFORMANCE

The Council needs to measure what it is doing to implement its health and safety policy and to assess how effectively risks are controlled. There are many different types of monitoring, but they can generally be categorised as either 'proactive or reactive'.

- **Proactive** methods monitor the operation of management arrangements and workplace precautions and tend to be preventative in nature, for example; routine inspections and surveys of premises, plant and equipment by staff;
- **Reactive** methods monitor evidence of poor health and safety practice but can also identify better practices that may be transferred to other parts of the organisation, for example, investigating accidents and incidents, monitoring cases of ill health and sickness absence records

Where services are delivered on behalf of the Council via contractor relationships, these activities should also be subject to continual health and safety performance monitoring and review. In such circumstances, the level, nature and frequency of monitoring undertaken will be based on an assessment of risk. Evidence of such systems will be required to enable demonstration of due diligence.

REVIEWING PERFORMANCE

All control systems tend to deteriorate over time. To provide essential feedback and information to managers, on how effectively plans and the components of the health and safety management systems are being implemented, professional safety and health advisers from the Corporate Health and Safety Team carry out a regime of regular auditing and performance review of **premises, teams and processes**. The findings on success and failure are then fed back in to the system and should be acted upon to enable continuous improvement to be made.

5.0 AUDITS (TEAM, PREMISE & PROCESS AUDITS)

5.1 Team Audits:

Team audits are necessary to verify that appropriate safe systems of work are operating across the division. These audits focus in on staff training, team risk assessments and safe systems of work.

The categorisation of teams will be based on:

- **The activities of the team/service** – front facing staff interacting with the public are generally deemed to be at a higher risk to workplace aggression especially when working alone. Similarly, teams using dangerous equipment e.g. chainsaws, abrasive wheels or engaged in high risk activities such as working at height.
- **Where there is thought to be an absence of suitable team assessments and safe systems of work** the team will be targeted.
- **Any other significant hazards** that may be identified.

5.2 Premise Audits:

Premise audits are required to ensure compliance of buildings and assets. These audits focus on statutory requirements and industry good practice relating to aspects of Corporate Landlord. Every corporate building will be audited within an 18 month circle.

The categorisation of premises will be based on;

- **The physical location;**
The location category will be based on known untoward activity in the area of the premises, its remoteness and proximity to essential emergency services.
- **The use and occupiers of the premise/site,**
Use of the building/premises will be based on a sliding scale from office use, being inherently safe, to depots being dangerous because of transport movement. Sites made available to the public especially where there is no onsite supervision will similarly tend to present a higher risk due to factors like vandalism. The amount and variety of mechanical systems in the building will also need to be taken into account, that is water, sanitation, washing systems, air conditioning, (all

potential legionella hazards), lifts (goods & passenger) will raise the risk profile on the basis that the more systems the more maintenance is required.

- **Sites where vulnerable persons reside** (i.e. Residential Care and Sheltered Housing Schemes) will need higher levels of oversight,
- **Any other significant hazards that may be identified.**

5.3 Process Audits:

Process audits enable us to identify systemic problems within managed processes and enable effective remediation of risk across boundaries.

The categorisation of processes will be based on;

- **Where there is reliance on contractors to fulfil essential aspects;** for example repair and maintenance contracts,
- **The overall success of the process is dependent on input from several teams;** for example the maintenance of play areas.

6.0 SELF-AUDITS AND SAFETY TOURS

The program of audits carried out by the Corporate Health and Safety team is supported with 'Self-audits' by Managers and 'Safety Tours' by Senior Managers.

The managers 'Self-audit' comprises of question sets and requires reference to sample inspection of documents and a physical inspection of the premises. The senior managers 'Safety tours' are a more general approach relying on observation and talking to staff.

Both audits aim to breach the gap and ensure that all areas of the Council are examined each year. Further information can be found under the Corporate Health and Safety Assure SHE system.

7.0 SERVICE DELIVERY

Corporate Health and Safety Team services will be delivered by fully trained, qualified, experienced competent persons with a detailed knowledge of legislative requirements, good practice and understanding of fire safety, Asbestos Management, Occupational Health Management, Employee Counselling and Health & Safety Law. The teams are able to provide support on wellbeing, health and safety issues that can be applied so not as to be onerous in its application to achieve service aims.

7.1 Health and Safety, Fire and Asbestos Services include:

- **Auditing** - Essential in the first instance to identify shortfalls and recommend course of action to ensure an effective safety management system. The Safety Management System provides robust and comprehensive audits for Premises, Teams and Processes.
- **Policies and Arrangements** – Developed, updated and reviewed Council Corporate Policies, Processes, Guidance & Briefing Notes providing suitable and sufficient, arrangements, information for Managers and Premises controllers to follow for practical application.
- **Risk Assessments** - A comprehensive set of risk assessment processes (including DSE, work, Stress, Manual Handling, New and Expectant Mothers, etc) that are in line with HSE approved systems together with model assessments and advice on their use. The team will also support and assist managers with the production of specific risk assessments.
- **Fire Risk Assessments** - For Council Housing, experienced qualified fire risk assessor will undertake predominantly Type 1 Fire Risk Assessments over a cyclical programme. High priority buildings, Sheltered Housing Schemes, Community Halls and Converted Street Properties) being risk assessed annually whilst Medium/low priority (purpose built blocks are assessed over a two year cycle. Type 4 assessments in high rise void properties will be undertaken as and when suitable properties become available.
- **Advice/Professional support and guidance** - by expert officers for Health, Safety, Asbestos and Fire related issues.
- **Asbestos Management** – The council facilities management team will provide management policy and guidance, awareness training and offer help in the application of recommended and required management processes.
- **Asbestos register** - Access to an on-line asbestos management suite that holds records and surveys for properties surveyed by specialist asbestos surveyors, via facilities management, Council Housing employ an asbestos surveyor.
- **Asbestos Surveying service and Management Plan.** It is a requirement of the Control of Asbestos Regulations 2012 that premises set out in a detailed plan how asbestos is managed. The Council as the Duty holder has this work carried out by a licenced asbestos contractor.
- **Training** - Provision of health and safety and asbestos training from a range of courses by competent staff. Asbestos awareness training is a requirement of the Control of Asbestos Regulations 2012. This is provided to all those in control of premises and those who may be designated as

carrying out any work with asbestos or with the planning or arrangement of that work.

- **Access to a Computer Based Training (CBT)** - A wide range of modules including asbestos management, fire safety, health and safety awareness etc. This is provided to reinforce knowledge and act as an easily accessible way to complete refresher training.
- **Accident/ Incident Reporting** - Provision of an on-line system for reporting and maintaining records (Assure SHE software). The reporting system acts as a tool to provide data, graphs and statistics that enables analysis of trends to aid with risk mitigation, defence in litigation and reduces insurance costs.
- **Accident/ Incident Investigation** - All accidents that may be deemed necessary for an officer to conduct a full accident/incident investigation can be advised and supported to ensure a professional approach and documentation.
- **Support, advice and liaison with enforcing authorities are provided.** Experience has shown that liaison with enforcing authorities using safety professionals has resulted in positive outcomes.
- **Site Inspection/ Visit** – A Health and Safety professional are available to attend sites to monitor and advice on specific issues.
- **Violence at work and Lone working systems** – The team will work alongside management in providing a suitable lone working solution.

7.2 Occupational Health Service

The Occupational Health Service provides:

- A Consultant-led team focus on early intervention, executing tried-and-tested approaches that will help to safeguard employees' health and get them back on their feet as quickly as possible.
- Strategies to assist with managing employees more decisively.
- Development of coordinated plans so staff can return to work as soon as possible.
- Employees can visit the Occupational Health providers clinics where required.

8.0 RESOURCE ALLOCATION


A key area of support of the Corporate Health & Safety Team is to undertake external monitoring of the implementation of departmental safety management arrangements. Each Directorate receives a level of professional support from the team of Safety Advisers. The amount of resource allocated to each Directorate is based on the level of risk associated with the undertakings of teams.

A significant amount of work is outsourced to contractors. This equally requires safety monitoring to ensure not only legislative compliance but avoidance of reputational damage. One particular area requiring significant monitoring across the Council concerns compliance with Client duty holder responsibilities under the Construction (Design and Management) Regulations 2015, which takes in construction, repair and maintenance work.

9.0 CORPORATE HEALTH AND SAFETY PLAN 2019/20

Corporate Health & Safety Management Plan 2019 – 2020

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Prepared by:	John Griffiths Corporate Health & Safety and Compliance Manager
Approved by:	Paul Walker Corporate Director of Community
Director's Signature	
Date	1 st April 2019

Section	Objective	Start Date	End Date	Lead	Target	Achieved		Remarks
						Six Months	End Period	
Safety Management								
Senior Managers Safety Tours (Linked to priorities and Aims (A,B,D,G,H,I))	(a) Conduct safety tours of premises/sites within areas of responsibility, a minimum of four a year (quarterly), to ensure the safety and upkeep of the workplaces.	April 2019	March 2020	Directors/HOS	100%	50%- On target		Directors and HOS can jointly carry out workplace inspections People Services- 4 site safety tours
	(b) Record the results of safety tours and submit quarterly returns (Proforma) to Corporate Health & Safety Team for review at Safety Committee and Management Team meetings.	April 2019	March 2020	Directors/HOS	100%	50%- On Target		To be discussed at Department Team Meetings at least quarterly and minuted
Management Self Audits (Linked to priorities and Aims (A,B,D,G,H,I))	(a) First line or second line managers/supervisors to carry out one Management Self Audit per year on areas of responsibility.	April 2019	March 2020	First/second Line managers to carry out audits, Directors to ensure audits take place.	100%	10 %-behind target		Directors to ensure process take place. Where H&S team have audited, these count in lieu of self-audits.
	(b) Management of Self Audits; Managers to remediate actions and provide Directors with information. Directors to maintain record system and report quarterly to Corporate Health & Safety Team	April 2019	March 2020	First/Second Line managers to follow up and ensure actions completed.	100%	10% Behind Target		Safety Circle Leads to maintain record that this has been carried out by their teams. Information to be sent quarterly to the Directors by team/line manager.
General Health & Safety Control Systems								
Corporate H&S Audits by Department General Audits (Linked to priorities and Aims (A,B,D,H,I))	Create and undertake a schedule of Internal Health, Safety and Fire Safety Audits on identified teams and premises. Focus to be on processes as part of audit where applicable. Overall 24 audits. 12 Corporate and 12 audits in Environment and waste strategy	April 2019	March 2020	Corporate H&S Team	24 audits	12 audits completed Transport 90.19% Cemetery 84.61% CA Site	24 audits completed Commercial Services 87.12% Capital Projects 89.18%	Audits will be on high/medium risk as determined by previous audits, use, size and incidents over the last two years of historical data.

Section	Objective	Start Date	End Date	Lead	Target	Achieved		Remarks
						Six Months	End Period	
118						93.60%	Trade waste	Documentation, training and communication are the weaknesses coming out of the audits
						Grounds Co-ordinator	88.33%	
						82.27%	Grounds maintenance	
						Street Cleaning	82.27%	
						85.41%	Playground	
						Street & Grounds operations	87.3	
							Parks and Open Spaces	
						79.41%	62.5%	
						SLA	SNT	
						Housing	85.54%	
						81.11%	Waste and Recycling	
					Parking Enforcement	90.32%		
					72.10%	Handyman		
					Gayton Library	92.24%		
					78.92%	pest control		
					Pinner Library	92.85%		
					85.16%	Graffiti and weed spray		
					Roxeth Library	85.41%		
					79.77%	Commercial and bulky waste		
					Wealdstone Centre	93.10%		
					80.925	On Target		
					On Target			

Section	Objective	Start Date	End Date	Lead	Target	Achieved		Remarks
						Six Months	End Period	
Schools & Children Centres General Audits (Linked to priorities and Aims (A,B,H)) 119	To start new cycle of audits a minimum of 12 audits, schools and children centres to attend to actions as required.	April 2019	March 2020	Corporate H&S Team	12 audits	9 Schools Audits completed Roxeth Primary School 91.73% Norbury Primary School 88.93% Marlborough primary School 96.49% Elmgrove primary School 91.81% Camrose Primary Schools 94.81% Belmont Primary Schools 95.58% Hillview	19 Schools Audits completed Grimsdyke Primary School 97.29% Whitchurch School 95.40% Wealdrise Primary School 93.20% Staglance Infant and Nursery School 92.34% Westlodge Primary School 89.80% Grange Primary School 93.30% Pinner Wood School	Audits will be on high/medium risk as determined by previous audits, use, size and incidents over the last two years of historical data Statutory compliance landlord Documentation is the outstanding weakness coming out of the audits.

Section	Objective	Start Date	End Date	Lead	Target	Achieved		Remarks
						Six Months	End Period	
						Children Centre 91.58% Wemborough Road Stanmore 90.49% Weald Rise primary School 89.25%	96.15% Vaughn Primary School 98.21% St Georges Primary School 89.47% Stanburn Primary School 93.98% On target	
Corporate Policies/Committees								
Corporate Policies (Linked to priorities and Aims (A,H,I))	Review Corporate Policies and Guidance documents in light of changing legislation, official guidance, good practice and Council priorities. Identifying where changes required, re-date/reorganise library of documentation on SHE software system. Target minimum of 12 policies.	<i>April 2019</i>	<i>March 2020</i>	Corporate H&S Team	12 fully revised or written policy/guidance documents	2 revised/rewritten Corporate Policy Behind Target	10 revised/rewritten Corporate policy Guidance document Behind Target	Policies will be reviewed on a risk based basis. All new or revised policies must be consulted through the Corporate H&S committee members. <i>H&S Policy(awaiting approval)</i> <i>Accident/Incident Investigation Policy(awaiting approval)</i> <i>Lone working policy(awaiting approval)</i> <i>Asbestos Policy(awaiting approval)</i>

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Section	Objective	Start Date	End Date	Lead	Target	Achieved		Remarks
						Six Months	End Period	
								<i>approval) Cautionary Contacts policy(Under Consultation)</i>
Corporate Health and Safety Committees (Linked to priorities and Aims (A,B,C,F,H,I))	Plan, organise and attend Quarterly H&S Committee Meetings	April 2019	March 2020	Corporate H&S Team, representative's senior managers, Committee Chairman, and Union/safety Representatives.	4	6 meetings to-date On Target	12 meetings to-date	Corporate health and safety meetings programmed monthly.
<h2 style="color: green;">Fire Control Systems</h2>								
Corporate Fire Safety Audits (Linked to priorities and Aims (A,B,H,I))	(a) Conduct a minimum of 10 audits of fire safety, identified as the top high risk corporate premises and managers actions within time scales	April 2019	March 2020	Facilities Management	10			Audits will be on high/medium risk as determined by previous audits, use, size and incidents over the last two years of historical data. <i>This was not carried out due to limited capacity within the team.</i> <i>However, this will be prioritized in 2020/ 21</i>

Section	Objective	Start Date	End Date	Lead	Target	Achieved		Remarks
						Six Months	End Period	
	(b) Conduct a minimum of 20 audits of fire safety on identified schools premises in support of external audit of schools, Head Teachers to address actions within time	April 2019	March 2020	Facilities Management	20			<p>Audits will be on high/medium risk as determined by previous audits, use, size and incidents over the last two years of historical data.</p> <p>This was not carried out due to limited capacity within the team.</p> <p>However, this will be prioritized in 2020/ 21.</p>
Council Housing Fire Risk Assessment (Linked to priorities and Aims (A,B,H,I))	(a) Carryout Fire Risk Assessments in all High Risk Priority common areas (4 or more stories/house) vulnerable persons/community halls and relevant team to attend to actions.	April 2019	March 2020	Council Housing Team.	39 FRAs	28- On Target	62 FRA On-Target	Fire Risk Assessments are carried out on annual basis, before anniversary date expires.
	(b) Carryout Fire Risk Assessments in Low Risk Priority Common areas (Between 1 & 3 stories/purpose built and relevant team to attend to actions.	April 2019	March 2020	Council Housing Team	70 FRAs	0	83 FRA On-Target	The FRAs are carried out every 24 months. The remaining FRAs will be completed within the next six months as most of low risk properties anniversary dates fall within this period.
Council Housing Fire Safety Audits (Linked to priorities and Aims (A,B,H,I))	Carryout audits of fire safety at high priority sites:	April 2019	March 2020	Council Housing team	25	16- On Target	26 Audits On Target	
	(a) Audit Sheltered Housing Schemes and relevant team to attend to actions	April 2019	March 2020	Council Housing team.	17	12- On target	17-On Target	Passive Fire Safety works (compartmentation) are

Section	Objective	Start Date	End Date	Lead	Target	Achieved		Remarks
						Six Months	End Period	
								due to start once the legal team has sign it off.
	(b) Audit Community Halls and relevant team to attend to actions	April 2019	March 2020	Council Housing team.	8	4- On target	9- On Target	
Workplace Implementation								
Health & Safety Training (Linked to priorities and Aims (B,F,G,I)) 123	(a) Identify suitable Health & Safety training opportunities as identified by department Directors/ Safety Rep's/HOS/safety circle leads.	April 2019	March 2020	Directors and safety Circle leads	40 Trained staff	138 Trained staff on various courses On target	400 Trained Staff on various courses Exceeded Target	L2 H&S x 23 L3 H&S x29 L2 Food Hygiene 69 Fire Marshal x 41 Risk Assessment x28 H&S Awareness 7 H&S Awareness Glebe Schools x30 Fire Marshal bespoke Marlborough primary school x15 L2 British Safety Council Supervising staff x28 CoSHH Awareness 25 Lone Working 27 Manual Handling 80 Working at Height Awareness 25
	(b) All Directors / Senior Managers to have attended Senior Managers British Safety Council one day Training course.	April 2019	March 2020	Directors/ HOS	100%	90 Directors/ Senior Managers attend course On target	99% 109 Directors/Senior managers completed the course	Mandatory for all senior managers 1 Still requiring course from the senior leadership team

Section	Objective	Start Date	End Date	Lead	Target	Achieved		Remarks
						Six Months	End Period	
	(c) All First Line Managers and Supervisors to attend the two day British Safety Council course.	April 2019	March 2020	Directors/HOS	100%	16 managers completed BSC Course	Behind Target	Mandatory for all managers This is due to the focus for 2019/2020 was on senior managers.
Learning POD Training and Development (Linked to priorities and Aims (D,E))	All employees have to complete the following Training. <ul style="list-style-type: none"> Using a Workstation Fire Safety Safety Circle 	April 2019	March 2020	Directors / HOS/Corporate H&S Team/Safety Circle Leads	100%	Identifying Data Source	Use of a workstation :315employee	Safety Circle is not training. However, we have a record of how many meetings have taken place in different departments. Resources -5 Meetings Communities – 4 Meetings People – 4 Meetings
Asbestos Management								
Corporate Buildings Asbestos Surveys (Linked to priorities and Aims (A,B,C,H))	To carry out asbestos surveys in all corporate buildings.	April 2019	March 2020	Facilities Management	20	10 On target	30 Exceeded target	To meet employers statutory duties under Regulation 4 of CAR 2012. <u>List of sites completed:</u> Byron Rec Ground Elliot Hall – Harrow Arts Centre 6 Welldon Crescent 15 Greenhill Road 17 Marshalls Close 105 Eastcote Lane Harrow Museum Roxeth Rec Ground Hatch End Playing

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Section	Objective	Start Date	End Date	Lead	Target	Achieved		Remarks
						Six Months	End Period	
125								Fields Helix Education Centre Kenton Library Pinner New Cemetery Shaftsbury Caretakers House Stag Lane Caretakers House The Pinner Centre Vernon lodge 7 Kenton Road 14-15 Kenton Road 72b Capel Gardens 777 Field End Road Bannisters Bungalow Central Depot Civic Centre Complex North Lodge House Harrow Weald Rec Ground Milmans Resource Centre West Harrow Rec Ground Wiseworks
	To carry out asbestos re-inspection survey to look at process and verify integrity of asbestos works by contractors, facilities Management to attend to any identified failings.	April 2019	March 2020	Facilities Management.	20	20 On target	20	This will ensure processes are working and that we are carrying out a due diligence check. <u>List of completed Asbestos Re-inspection survey</u> 7 Kenton Road 14/15 Kenton Road 6 Weldon Crescent

Section	Objective	Start Date	End Date	Lead	Target	Achieved		Remarks
						Six Months	End Period	
126								105 Eastcote Lane 777 Fields Estate Milmans Resource Centre Vernon Lodge The Firs Harrow Museum Civic Centre The Pinner Centre Gange Day Nursery Elmgrove Children Centre Stanmore Park Nursery Harrow Weald Cemetery Pinner New Cemetery Kenton Recreation Ground Bryon Recreation Ground Pinner Library Stanmore Library
	<p>Community Schools and Schools with SLA Asbestos Surveys</p> <p>(Linked to priorities and Aims (A,C,H))</p>	(a) To review management plans and results from surveys and carry out actions identified. There will be a minimum of 20 schools surveyed with Management Plans. Schools to attend to actions.	April 2019	March 2020	Faculties Management /Head Teachers	20 schools	12 On Target	22 <u>List for Asbestos Survey in schools</u> Elmgrove Primary School Gange Day Nursery Primary School Roxeth Primary School

Section	Objective	Start Date	End Date	Lead	Target	Achieved		Remarks
						Six Months	End Period	
127							Stanburn Primary Shaftesbury Special School Stanburn Primary Vaughan Primary Welldon Park School Belmont School Newton Farm School Norbury School Stanmore Park Nursery Whitmore High School	Pinner Park Primary Shaftesbury Special Stanburn Primary Vaughan Primary Welldon Park Primary
Council Housing Asbestos Surveys (Linked to priorities and Aims (A,B,C,H))	(a) To carry out and manage a Surveys on Housing stock This will be risk based and client directed. Council Housing to attend to required actions.	April 2019	March 2020	Council Housing	275 surveys	173 on target	265	To meet employers statutory duties under Regulation 4 of CAR 2012. Outstanding 10 will be physically re-inspected after the Covid-19 virus outbreak settles down
Communications								
Corporate Health and Safety Handbook (Linked to priorities and Aims (E,F,G,H,I))	(a) To roll out the new corporate H&S handbook to all employees	April 2019	July 2029	Corporate health and safety	100%	100% on Target	Located on SharePoint and on SHE ASSURE	Provide paper and electronic versions.

Section	Objective	Start Date	End Date	Lead	Target	Achieved		Remarks
						Six Months	End Period	
							On Target	
Communication Channels to promote key health and safety performance measures to employees. (Linked to priorities and Aims (F,G,H,I))	(b) Safety Circle leads to provide dates and key risks of safety circles. Corporate Health and Safety to provide feedback on key risks to these safety circles.	April 2019	March 2020	Safety circle Leads	At least one a quarter	The 3 Directorates have all completed their quarterly safety circle meetings On target		This will be monitored on SHE Assure Resources -5 meetings Communities – 4 meetings People – 3 meetings
	(c) Corporate Health and Safety to promote key health and safety initiatives via Communications each month by the corporate newsletters.	April; 2019	March 2020	Corporate health and safety team	monthly	100% completed with various promotional health and safety newsletters On target	On Target	1. Corporate health and safety Handbook. 2. British safety Council Training. 3. Academy training promotions 4. Mental article 5. Covid-19
	(d) Corporate Health and Safety Board provide a report on key risks.	April 2019	March 2020	Corporate Health and Safety Board Chair	Quarterly	100% on Target	On Target	The corporate Health and Safety Board will meet on a quarterly basis and will discuss areas of concerns/risks to the organisation and agree future agenda

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Section	Objective	Start Date	End Date	Lead	Target	Achieved		Remarks
						Six Months	End Period	
								items and areas of concern for DMT's and Safety Circles.
Corporate Significant Risks								
Action plan detailing significant risks to the organisation.	(a) Produce an action plan for Corporate Strategy Board (CSB) and Corporate Health and Safety Board identifying key risks to the organisation.	<i>April 2019</i>	<i>March 2020</i>	<i>Corporate Health and Safety</i>	<i>Quarterly</i>	<i>100% on Target</i>	<i>On Target</i>	Significant risks to be brought to the attention of CEX and the CSB.

APPENDIX 4- OCCUPATIONAL HEALTH OVERVIEW 2019/2020

1. Executive Summary

Management Referrals

- The total number of management referrals received so far in this reporting period is 333.
- This is a 15% decrease when compared to the 394 received in the same period of the previous reporting year.
- 76 (23%) of the management referrals were triaged to face-to-face assessment while 257 (77%) were triaged to remote OHA assessment.
- The Division with the greatest number of management referrals was 'Schools' with 143 referrals, 43% of all referrals.
- 24% of the diagnosed cases were deemed to be work-related, compared to 19% across the HML client base.
- 52% of cases were likely to be covered by the EQA, compared with 57% across the HML client base.

Referral Disease Codes

- Mental Health and Musculoskeletal Disorders made up 27% and 40% respectively of the total diagnosed cases. This compares to 38% and 24% of cases respectively across the HML client base.
- 48% of mental health cases were deemed to be work-related, while 57% were likely to be covered by the EQA.
- 19% of musculoskeletal cases were deemed to be work-related, while 41% were likely to be covered by the EQA.

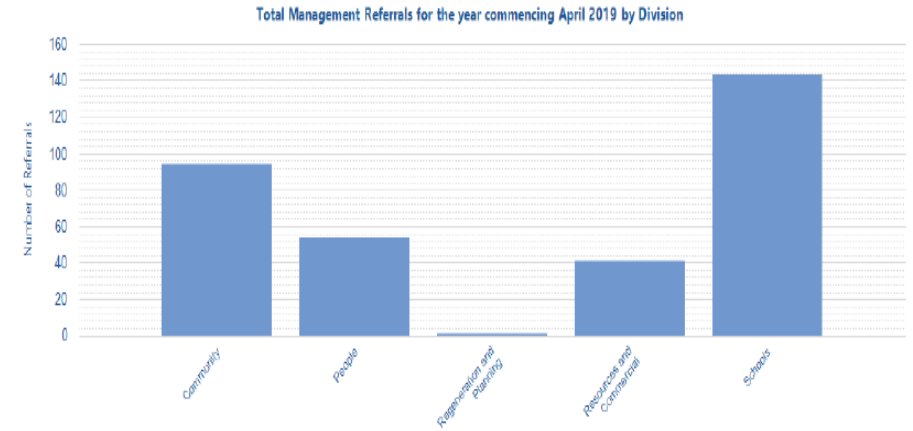
Health Assessment Questionnaire (HAQ) Activity

- The total number of HAQs received in this reporting period is 532.
- 3% (17) of the HAQs have required further investigation.

2. Referral Activity

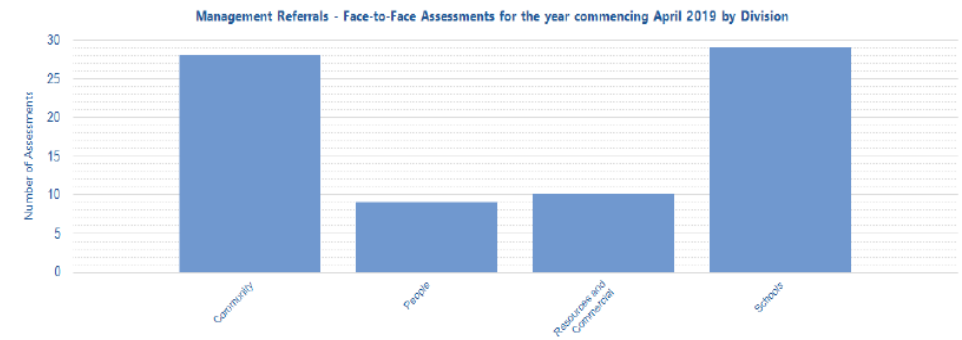
Total Management Referrals by Division

DIVISION	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	TOTAL
Community	6	4	14	11	2	8	9	14	10	6	10	0	94
People	5	5	7	4	1	8	6	4	3	8	3	0	54
Regeneration and Planning	0	0	0	0	1	0	0	0	0	0	0	0	1
Resources and Commercial	0	5	5	3	0	4	3	6	6	2	4	3	41
Schools	11	7	13	13	0	16	16	18	8	14	16	11	143
Totals for year commencing April 2019	22	21	39	31	4	36	34	42	27	30	33	14	333
Totals for year commencing April 2018	34	34	32	17	25	25	49	40	26	46	31	35	394



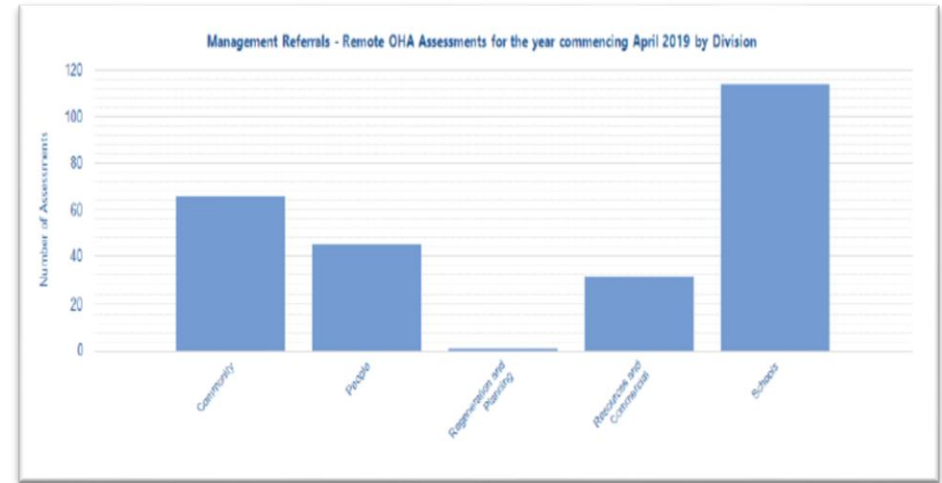
132 Management Referrals - Face-to-Face Assessments by Division

DIVISION	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	TOTAL
Community	3	1	4	4	0	2	5	1	4	3	1	0	28
People	0	1	2	1	1	1	3	0	0	0	0	0	9
Resources and Commercial	0	3	0	1	0	2	1	2	0	0	0	1	10
Schools	2	1	3	5	0	5	3	4	2	1	2	1	29
Totals for year commencing April 2019	5	6	9	11	1	10	12	7	6	4	3	2	76
Totals for year commencing April 2018	3	14	7	3	9	7	16	12	9	8	4	9	101



Management Referrals - Remote OHA Assessments by Division

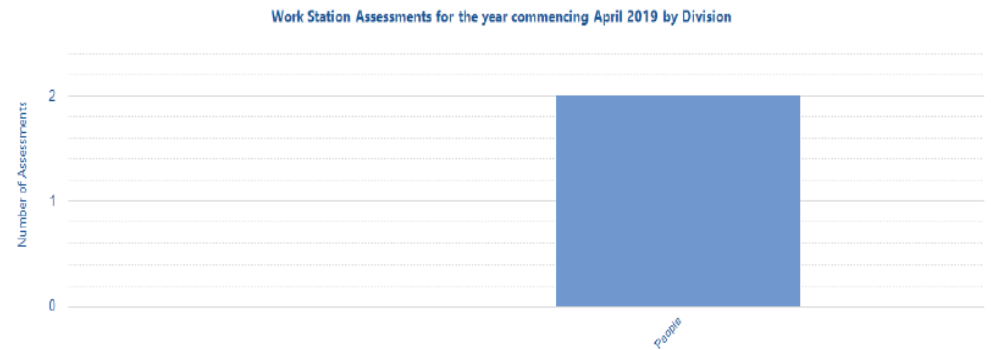
DIVISION	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	TOTAL
Community	3	3	10	7	2	6	4	13	6	3	9	0	66
People	5	4	5	3	0	7	3	4	3	8	3	0	45
Regeneration and Planning	0	0	0	0	1	0	0	0	0	0	0	0	1
Resources and Commercial	0	2	5	2	0	2	2	4	6	2	4	2	31
Schools	9	6	10	8	0	11	13	14	6	13	14	10	114
Totals for year commencing April 2019	17	15	30	20	3	26	22	35	21	26	30	12	257
Totals for year commencing April 2018	31	20	25	14	16	18	33	28	17	38	27	26	293



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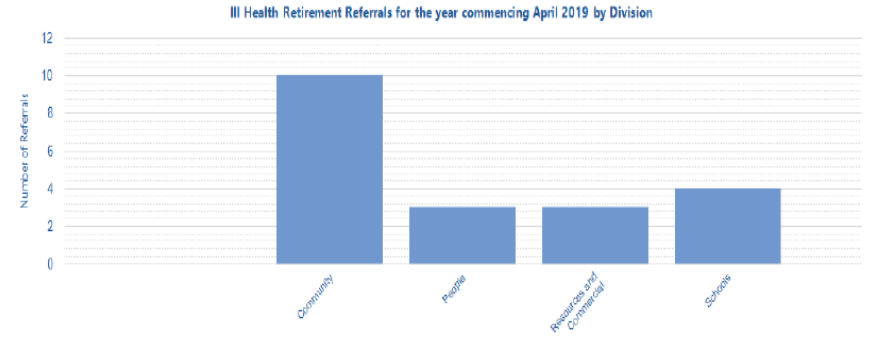
Work Station Assessments by Division

DIVISION	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	TOTAL
People	0	0	0	0	0	0	0	0	0	2	0	0	2
Totals for year commencing April 2019	0	0	0	0	0	0	0	0	0	2	0	0	2
Totals for year commencing April 2018	0	0	0	0	0	0	0	0	0	0	1	0	1



Ill Health Retirement Referrals by Division

DIVISION	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	TOTAL
Community	1	2	1	0	1	0	1	2	0	1	0	1	10
People	0	0	0	0	2	0	0	0	0	0	0	1	3
Resources and Commercial	0	0	0	1	0	0	1	1	0	0	0	0	3
Schools	1	0	1	0	0	0	0	0	0	1	0	1	4
Totals for year commencing April 2019	2	2	2	1	3	0	2	3	0	2	0	3	20
Totals for year commencing April 2018	2	3	3	2	0	1	3	2	3	3	4	1	27

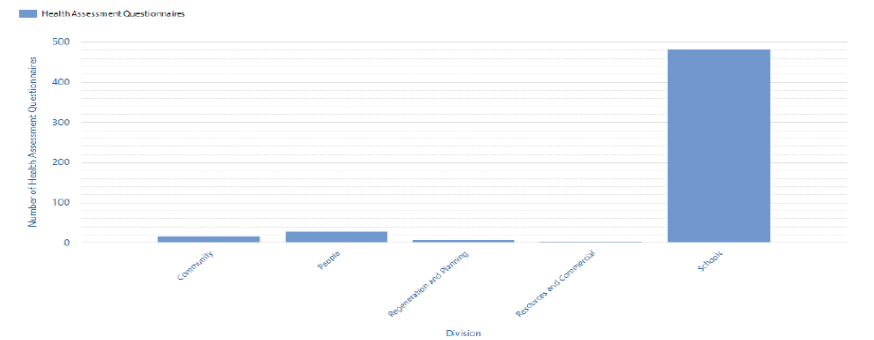


134 Health Assessment Questionnaires

Health Assessment Questionnaires by Division

DIVISION	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	TOTAL
Community	0	2	0	2	0	4	3	2	0	0	2	0	15
People	6	3	4	2	0	3	4	2	1	2	1	0	28
Regeneration and Planning	1	1	1	1	0	1	1	0	0	0	0	0	6
Resources and Commercial	0	0	0	0	1	1	0	0	1	0	0	0	3
Schools	24	53	44	99	12	36	45	44	34	23	35	31	480
Totals for year commencing April 2019	31	59	49	104	13	45	53	48	36	25	38	31	532
Totals for year commencing April 2018	28	48	74	80	25	37	45	34	31	28	24	47	501

Health Assessment Questionnaires by Division

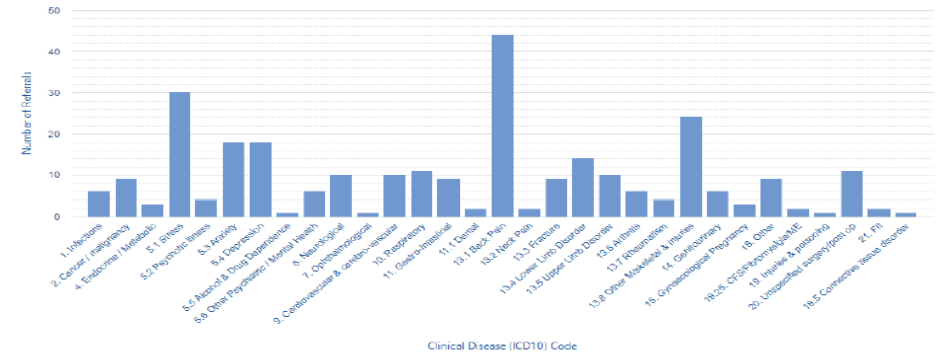


4. Referrals - Further Medical Evidence

Referrals - Further Medical Evidence

DIVISION	Non-Attended			Billed Cancellations			Total Attended	
	DNA	Rate	Cost	Canx	Rate	Cost	IMA	Specialist
Community	6	6%	£1,128.00	4	4%	£1,040.00	101	0
People	11	14%	£2,146.00	0	0%	£0.00	63	3
Regeneration and Planning	0	0%	£0.00	0	0%	£0.00	1	0
Resources and Commercial	7	14%	£1,304.00	0	0%	£0.00	44	0
Schools	12	7%	£2,033.00	4	2%	£965.00	157	2
Totals for year commencing April 2019	36	9%	£6,611.00	8	2%	£2,025.00	366	5

Total Referrals Diagnosed by Clinical Disease (ICD10) Code



Work Related and Equality Act Cases

Equality Act Cases by ICD Code and Division

DIVISION	1. Infections	2. Cancer / malignancy	4. Endocrine / Metabolic	5.1 Stress	5.2 Psychotic illness	5.3 Anxiety	5.4 Depression	5.5 Alcohol / Psychiatric / Mental Health	5.6 Other Psychiatric / Mental Health	6. Neurological	7. Ophthalmological	8. Cardiovascular & cerebro-vascular	9. Respiratory	10. Respiratory	11. Gastrointestinal	11.1 Dental	13.1 Back Pain	13.2 Neck Pain	13.3 Fracture	13.4 Lower Limb Disorder	13.5 Upper Limb Disorder	13.6 Arthritis	13.7 Rheumatism	13.8 Other Muscular & Injuries	13.9 Other Muscular & Injuries	14. Gynaecological / Pregnancy	15. Other	18.25 CPSE/Bronch/Asth/ME	19. Unspecified surgery/post op	Total Covered by EOA	Total Diagnosed	% Covered by EOA	Non Equality Act	
Community	0	0	0	3	2	0	7	2	4	0	0	4	3	2	2	0	7	0	0	2	2	0	1	0	2	2	0	0	0	48	80	90%	32	
People	0	3	0	1	0	3	0	0	1	0	1	2	0	2	0	0	5	0	2	2	0	1	2	1	0	0	1	0	0	28	47	66%	21	
Regeneration and Planning	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0%	1
Resources and Commercial	0	2	0	1	0	3	1	0	0	1	2	0	2	0	1	0	1	0	0	1	1	2	0	0	0	0	0	0	2	19	39	49%	20	
Schools	2	4	3	4	2	5	7	3	1	0	1	2	0	1	2	0	5	1	1	1	0	2	2	0	1	2	2	2	68	119	47%	83		
Totals from April 2019	2	8	3	8	4	11	16	6	8	1	8	7	4	1	18	1	18	1	3	8	3	8	4	3	3	2	8	2	1	148	288	62%	137	

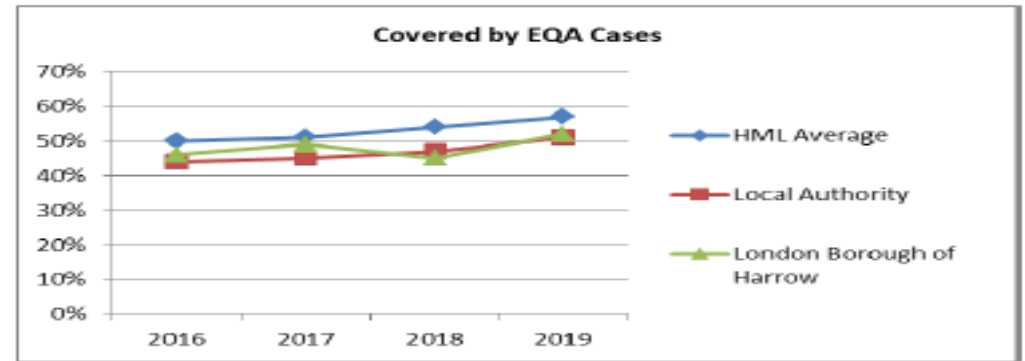
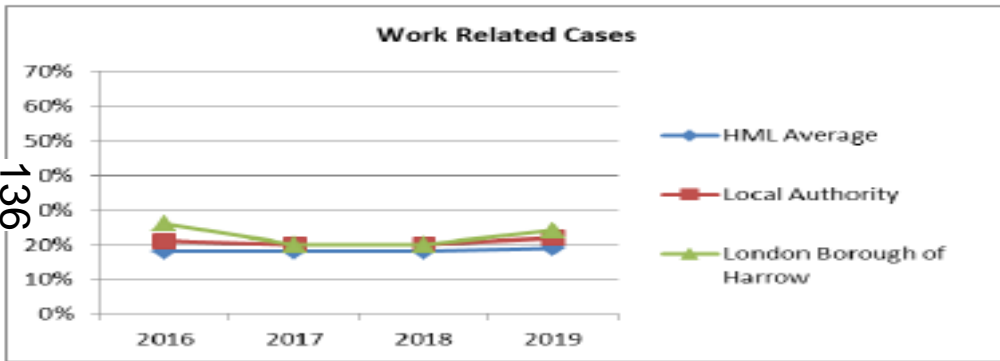
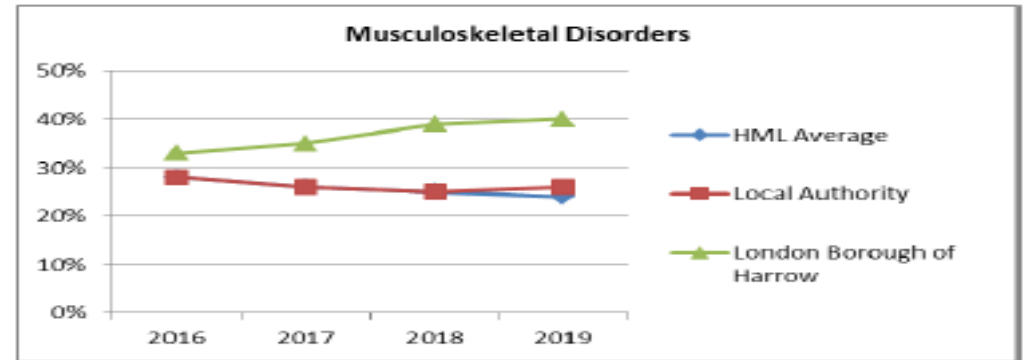
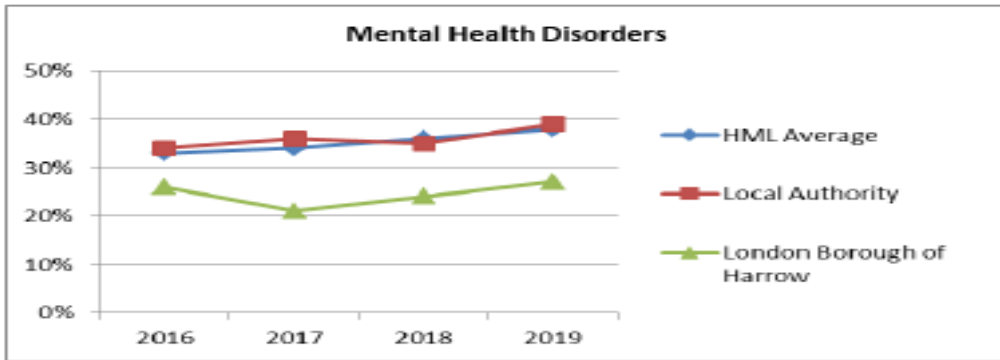
5. Referral Disease Codes

Referral Disease Codes by Division

Work Related Cases by ICD Code and Division

DIVISION	5.1 Stress	5.2 Psychotic illness	5.3 Anxiety	5.4 Depression	5.5 Other Psychiatric / Mental Health	6. Neurological	8. Cardiovascular & cerebro-vascular	9. Respiratory	13.1 Back Pain	13.3 Fracture	13.4 Lower Limb Disorder	13.5 Upper Limb Disorder	13.6 Arthritis	13.8 Other Muscular & Injuries	18. Other	18.25 CPSE/Bronch/Asth/ME	19. Injuries & poisoning	21. Fit	Total Work Related	Total Diagnosed	% Work Related	Non Work Related
Community	5	1	1	2	1	0	2	2	7	0	1	1	1	0	0	0	0	1	23	80	28%	67
People	3	0	2	0	0	0	0	1	2	1	0	0	0	0	0	0	0	0	11	47	23%	38
Regeneration and Planning	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0%	1
Resources and Commercial	4	0	1	0	0	0	0	0	1	0	0	1	0	0	0	0	0	1	8	39	21%	31
Schools	12	1	2	1	1	1	1	0	5	1	0	2	0	2	1	1	1	0	26	119	22%	83
Totals from APRIL 2019	24	2	6	3	2	1	1	3	11	1	1	4	1	3	1	1	1	2	68	288	24%	218

Health Trends



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APPENDIX 5- TERMS OF REFERENCE

Corporate Health and Safety Board

Terms of Reference

Aim

The Corporate Health and Safety Board will act on behalf of the Chief Executive as the strategic focus for Health and Safety across the corporate estate, using the Health and Safety Policy Statement as framework for decision making. The Board will ensure the implementation of the policy statement through agreed best practice and development of a Health and Safety management system.

Accountability

The Corporate Health and Safety Board will provide progress reports to the Corporate Strategic Board (CSB).

Objectives

The Corporate Health and Safety Board has the following objectives:

- To provide a forum in which officers and others with specific responsibilities for health and safety, as set out in the Health and Safety Policy, are held accountable for and supported in their actions. These actions are:
- To ensure compliance with the requirements of health and safety legislation and regulations. throughout the Council.
- To ensure arrangements for developing health and safety competencies among managers and staff are in place and are being followed.
- To review and approve Council-wide objectives for health and safety, policy and strategies and initiatives for their delivery, in consultation with the Governance, Audit and Risk Management Committee (GARMC).
- To promote engagement with, and the integration of, health and safety considerations into everyday working practices in Council services.
- To lead on Occupational Health initiatives to promote well-being and stress management as part of the wider health & wellbeing agenda.
- To develop and oversee the development, implementation and regular updating of the Council's strategic and operational health & safety risk register.
- To set and monitor performance indicators/standards for health and safety and monitor the Council's arrangements for monitoring
- To commission audits and reviews of health and safety management systems, policies and procedures.
- To receive reports and feedback from Directorate Health and Safety Meetings or other relevant forums, groups or committees, as well as provide direction and information back to them as relevant.
- To consider reports on accidents and/or incidents, complaints and work related ill health statistics in order to identify any emerging trends or patterns.
- To consider reports on visits, inspections or any enforcement action taken by the Health and Safety Executive, the London Fire & Emergency Planning Authority and other enforcing authorities.

Representatives

The Corporate Health and Safety Board will be chaired by the Corporate Director Community with responsibility for establishing and implementing a strategic framework for the Health and Safety committees in each Directorate to achieve the aims set out above.

The Board shall consist of a nominated Divisional Director representative from each Directorate, a nominated Senior HR representative, representatives from the Unions and supported by the Corporate Health and Safety Team.

All representatives on the Board will have a voice in decision making. The chair / vice chair shall have the casting vote if the matter cannot be resolved by unanimous agreement. In matters that cannot be resolved, they will be passed to the Corporate Strategic Board, as the most senior strategic forum chaired by the Chief Executive, or Employee Consultative Forum (ECF) should it not be feasible to make a decision. The Unions retain the right to escalate matters of concern to an ECF Sub-Group / ECF in line with the consultative framework of the Council and Trade Union Recognition Agreements.

When a representative cannot make the meeting, a nominated person of sufficient grade shall attend and represent them

Duties of the chair

- Schedule regular Board meetings.
- Develop written agendas for conducting meeting.
- Maintain and action plan and log of decisions
- Conduct the meeting.
- Approve Board correspondence and reports.
- Supervise the preparation of meeting minutes.

Duties of the vice-chair

- In the absence of the chair, assume the duties of the chair.
- Perform other duties as directed by the chair.

Conduct of the Board

The Chair is responsible for ensuring that the Board meets on a monthly basis to resolve issues and take forward the objectives and aims as set out in this document.

The Board should not be canceled or postponed except in exceptional circumstances. If any member of the Board cannot attend a deputy shall attend in their absence. If the meeting has to be postponed, a date for the next meeting should be agreed and announced as soon as possible by the Chair.

The minutes of each meeting will be supplied to every Board member once agreed by the Chair as soon as possible after the meeting, and be made available on the intranet once agreed.

A copy of the agenda and any accompanying papers should be sent to all members at least one week before each meeting.

Consultation

The Board actively supports and participates in the consultative arrangements in line with Safety Representatives and Safety Committee Regulations 1977 as amended by the Health and Safety (Consultation with Employees) Regulation 1996 and the Management of Health and Safety at Work Regulations 1999

All Corporate Health and Safety Policies and Procedures shall be presented to the Corporate Board for consultation and agreement of any other party that needs be involved. Comments will be provided within a 4 week consultation period, will be collated by the Corporate Health and Safety Team, and discussed at the next Corporate Board for final sign off.

Directorate Health & Safety Board

The Corporate Health & Safety Board will feed into, and receive information and referrals from, the Directorate Health & Safety Boards, of which there will be three. The three Directorate Health & Safety Boards shall be chaired by Director (Environment & Culture) for Community Directorate, Head of Finance for Resources Directorate and Divisional Director (Educational Services) for People Directorate.

These Directorate Health & Safety Boards shall be held quarterly and minutes and actions fed back to the Corporate Health & Safety. Key themes / agenda items will be determined from the Corporate Health & Safety Board, as well as be influenced by the needs of the services. These Directorate Boards shall be run as per the principles of the Corporate Health & Safety Board Terms of Reference.

APPENDIX 6- HEALTH AND SAFETY POLICY 2019/2020



Corporate HEALTH AND SAFETY Policy

2019 - 2020

	Name	Signature	Date
Prepared by:	Fredah Zuleha	<i>F. Zuleha.</i>	5/05/2018
Checked by:	John Griffiths	<i>J. Griffiths</i>	12/02/2019
Approved by:	Paul walker	<i>P. Walker</i>	22/3/19
Document Title:	OCCUPATIONAL HEALTH & SAFETY STRATEGY 2019 - 2022		
Version Number:	9	Date of Next Review:	1 st April 2020

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Acronyms		
CHSG	Corporate Health and Safety Group	
CHSS	Corporate Health and Safety Service	
CHSP	Corporate Health and Safety Plan	
ECF	Employee Consultative Forum	
HSCOP	Health and Safety Code of Practice	
CSB	Corporate Strategy Board	
OHS	Occupational Health Service	
EAP	Employee Assistance Programme	
HSE	Health and Safety Executive	
GNs	Guidance Notes	
ACoP	Approved Code of Practice	
SSoW	Safe Systems of Work	

1. Corporate Statement of Health & Safety Policy

Harrow Council, as an employer, recognises its legal responsibility to make every effort and secure the health, safety and welfare of all its employees and others, i.e. visitors, contractors, service users etc. that may be affected by the Council's undertaking.

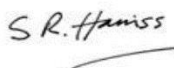
The Council aspires to achieve excellence thereby implementing and effectively maintaining a robust safety management system that will permit safe work practices without compromising the health, safety and wellbeing of employees, the general public and the environment.

Harrow council recognises that success in achieving and maintaining a safe and healthy work environment incorporates commitment from both senior management and all employees within the organisation along with effective communication, co-operation and consultation.

The Council is committed to continuous improvement in health and safety performance and will develop a Corporate Health and Safety Improvement Plan which will include key targets and objectives for improvement in health and safety management.

In particular, it is corporate policy to;

- Meet and whenever possible exceed the minimum standards set by the Health and Safety at Work etc. Act 1974 and supporting regulations and guidance
- Provide financial and physical resources to ensure that the Council's health and safety arrangements are implemented and adequately maintained.
- Regularly monitor and revise the health and safety management system, including this Policy Statement, other corporate Policies and Codes of Practice, to ensure that these documents remain in circulation and in date.
- Carry out appropriate risk assessments, seeking to eliminate and or reduce hazards. Where risk assessments have revealed risk levels to be unacceptably high, health and safety requirements will therefore take precedence over all other business requirements to ensure that these levels are reduced a low level as reasonably possible.
- Seek continuous improvement in health and safety performance; promote a proactive safety culture and to effectively maintain a safer and healthier working environment.
- Ensure that all employees receive adequate training for the purposes of health and safety
- Consult with employees or their representatives, on health and safety matters, also ensuring that the corporate Safety Policy is available when required.
- Ensure that competent persons are appointed to assist the Council in meeting its statutory obligations.
- Recognise that accidents usually result from failings in management control and are not necessarily the fault of the individual/s involved.
- Recognise that the Chief Executive has overall responsibility for ensuring that health and safety in the workplace is considered in all Senior Management Team decisions and allocating resources to support quality improvement programmes aimed at continual improvement



Sean Harriss
Chief Executive
Date:



Graham Henson
Council Leader
Date:

2. Purpose

This Policy and in conjunction with local documents, Codes of Practice (CoP) and Guidance Notes (GNs) will permit understanding how health and safety is managed across the Council as well as defining Senior Management roles and responsibilities.

The Policy is divided into principles, Organisation (people) and Arrangements (systems) and provides the framework for health and safety management within the Council.

2.1 Scope

This is a corporate Policy that applies to all employees including school staff, agency staff, consultants, contractors and volunteers.

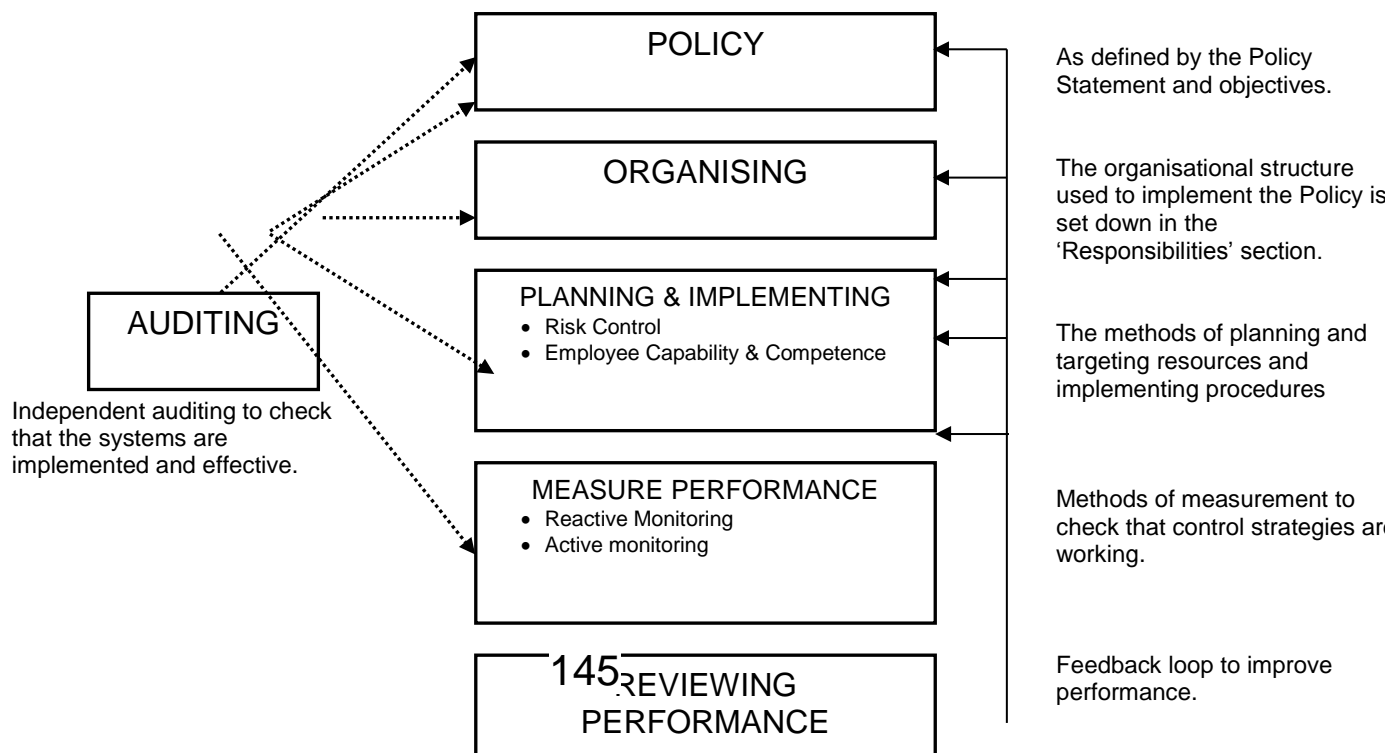
2.2 Elected Members

The Elected Members have overall responsibility for the application of health and safety legislation, achieving the objectives set out within this Policy and ensuring that adequate resources are available to meet the organisation's health, safety and welfare needs. The Elected Members delegate the work required to the Chief Executive.

2.3 Principles

Harrow Council recognises and accepts its statutory, moral, legal and economical responsibilities; fundamentally aiming to ensure that all employees, stakeholders and the general public do not suffer injury or ill health that may occur as a result from the Council's undertakings.

Harrow Council's Health and Safety Management System is based on the following model:



For the model to be successful, the following standards must be applied:

- Ensuring that a health and safety management system is implemented to provide a structured management approach to controlling workplace hazards and risks throughout the organisation
- Ensuring that all employees undertake their tasks without disregarding health and safety
- Active commitment from Senior management to improving health and safety standards, making reference to European law and UK health and safety legislation in order to meet minimum standard
- Ensuring that the necessary resources are available to effectively meet the requirements of this Policy
- All level management to actively demonstrate a positive attitude towards workplace health and safety, encouraging employees to ensure that safe practice is routine
- Employees' participation, including contractors, consultants and volunteers, working on Council premises, to pay maximum attention to the health and safety aspects of their work, embracing safe work practices to avoid injury / ill-health to themselves and to others.

3. ORGANISATION

3.1 Chief Executive

The Chief Executive has overall responsibility for ensuring that the corporate Health and Safety Policy is implemented and that all health and safety matters are brought to the attention of the Elected Members.

The Chief Executive will also direct the execution of this Policy and ensure that adequate resources are available to enable ongoing improvements and in particular:

- Actively demonstrating leadership in requiring and supporting high standards of health and safety performance in all the corporate undertakings

- Ensuring that the Corporate Health and Safety Plan is implemented
- Ensuring that there is accountability at the correct level of management when corporate and legal standards are unacceptable
- Appoint the Corporate Director Community with responsibility for overseeing the day-to-day management of health and safety on behalf of the Council
- Agreeing Corporate health and safety strategic aims and targets with Directors
- Ensuring that the Council's Health and Safety Management System is effectively managed and maintained
- Ensuring that the Organisation and Arrangements for carrying out this Policy are adequate
- Ensuring that the statutory requirement to monitor the prioritisation of and responses to health and safety issues affecting all Directorates are carried out through the Corporate Strategy Board (CSB) and the Corporate Health and Safety Group (CHSG) which should incorporate Trade Union representatives.
- Determining and periodically reviewing corporate targets in respect of health and safety issues.
- Continually reviewing health and safety performances and making decisions, where require, about the nature and timing of the actions necessary to remedy deficiencies.

3.2 The Corporate Director – Community

The specific responsibilities of the Corporate Director – Community are; delivering, co-ordinating and leading the Council's vision for a safe, secure and healthy work environment.

The Corporate Director – Community will:

- Advise the Council on the preparation and revision of the its Policy Statement for Health and Safety; the appropriate Organisation and Arrangements necessary to meet the Policy's aims and objectives
- Act as the person with responsibility for overseeing the delivery of the day-to-day management of health and safety on behalf of the Council
- Ensure that the Corporate Health and Safety Plan is implemented and suitably disseminated

- Encourage a practical approach to managing health and safety
- Ensure that all employees have access to competent health and safety advice
- Ensure that the required level of 'competent' persons are maintained within the directorate given the higher operational risk levels within certain areas of the directorate.
- Act as Chairperson for the CHSG and ensure that health and safety information is disseminated throughout the organisation and to escalate health and safety matters to the CSB and to the Employees Consultative Forum (ECF), if required
- Ensure that health and safety is promoted throughout all services and at all stages, including recruitment selection and training
- Regularly consult with employees through their Trade Union or other representatives with respect to changes that may affect their health, safety and wellbeing
- Coordinate the preparation of the CHSG meetings and management reports and ensure effective consultation with the ECF.

3.3 Corporate Directors

Corporate Directors are responsible for implementing this Policy within their Directorates along with any specific health and safety Policies, Codes of Practice and Safe Systems of Work (SSoW), where required.

Corporate Directors shall:

- By leadership and personal example foster positive attitudes towards health, safety, welfare and security throughout their Directorates, such that their beliefs and commitment to health and safety become the shared values of all employees
- Have oversight of health and safety performance in their areas of responsibility and actively contribute to achieving the overall health and safety strategic aims, including the delivery of the Corporate Health and Safety Plan
- Support the Corporate Director - Community with responsibility for the lead health and safety role and champion Directorate employees with health and safety remits, to ensure that the Health and Safety Management System is adequately monitored and is effective.
- Ensure that a Health and Safety Group for their Directorate is in place, which should have a chairperson appointed and comprise of relevant

Trade Union representatives. The Group should also incorporate the Terms of Reference agreed by the CHSG.

- Agree with Divisional Directors and Heads of Service targets for health and safety performance, in support of the Council's overall strategy, the Corporate Health and Safety Plan and Health and Safety Management System.
- Report on and / or recommend to the appropriate Committee trends in the performance and prioritisation of health and safety issues and on associated resource implication, not less than annually through the budget estimate process
- Designate a named officer (Person with Responsibility for Asset Management and / or Premises Manager) to be responsible for management of those buildings occupied by them or by more than one Directorate or agency and ensure that these responsible persons are adequately trained.
- Ensure that Safety Champions are engaged in their Directorate thereby promote health and safety in their individual areas.
- Be responsible for ensuring that the Directorate's Health and Safety Policy is developed detailing the Organisation and Arrangements for their Directorate. This document will act as a link between the overall Corporate Health & Safety Policy and each Directorate & Division's Health and Safety Action Plans
- Ensure that their Directorate Management Teams know and fulfil their individual responsibilities regarding health and safety and that they receive relevant information, training and instruction so as to competently carry out health and safety tasks assigned to them. The Directorate Management Teams will also ensure that their employees are given suitable advice, information, and training and support such that the requirements of all relevant health and safety legislation and Codes of Practice are met.
- Determine the health and safety responsibilities and safety critical roles of all employees in their Directorate are identified and incorporated within the employees' role profile or job descriptions.
- Ensure adequate consultation with the appropriate employee representatives prior to the introduction of any change that may affect employee's health, safety and wellbeing.
- Make the necessary arrangements, such as time off for training, to ensure that safety representatives who may be appointed under the regulation can effectively carry out their duties as required

- Be responsible for ensuring that this Policy and the Directorate Policy are communicated and understood by all employees in their Directorate
- Be responsible for translating the Policy's aims and objectives, applying these so as to deliver an effective service on behalf of the Council
- Set annual targets for health and safety performance with their Divisional Directors / Heads of Service in support of both Directorate and the corporate strategic aims
- At quarterly intervals and at Directorate Groups review the safety performance of their Division / Service Unit against the set targets
- Ensure adequate resources are available for health and safety measures in order to meet corporate responsibilities.
- Ensure that the appointed Safety Champions attend the Directorate Health and Safety Group meeting.

3.4 Divisional Directors and Heads of Service

All Divisional Directors and Heads of Service (in schools this could be Head Teachers and school Governors) have responsibility for ensuring that health and safety risks are managed in such a way as to meet Council aims and to ensure legal compliance as the minimum standard.

They also have responsibility for:

- Preparing, implementing, monitoring and periodically updating their Divisional and Service Health and Safety Plans and ensuring that the Council's Health and Safety Management System is maintained.
- Carry out suitable and sufficient risk assessments of the existing & new premises, plant, machinery etc. and appropriate action taken to effectively control the identified hazards.
- Delivering the agreed targets on health and safety performance, including the Divisional Health and Safety Action Plan, in support of the Council's overall strategy, the Corporate Health and Safety Plan and the Health and Safety Management System.
- Ensuring that the divisional sections of the Directorate Policy are developed to comply and support the Council's Corporate Policy and detail the Organisation and Arrangements for that Division. This document will act as a link between the Corporate Health and Safety Policy and their Directorate and Divisional Health and Safety Action Plan.

- Identifying the resources necessary to meet health and safety obligations under the corporate and Directorate Safety Policy.
- Advising and making recommendations to their Corporate Director where an inadequacy of resources is identified.
- Ensuring that Safe Systems of Work are devised and put in place including suitable and sufficient training for employees.
- Ensuring that all accidents involving or have the potential to cause injury or harm to persons or damage to property are reported and investigated and any corrective action is taken to prevent recurrence.
- Using and promoting systems of communication to ensure that all employees are involved in contributing to the safety of their work and workplace by giving feedback on existing safety rules and procedures.
- Informing employees of relevant health and safety information and provide supplementary written information wherever practicable in formats and languages that are known and understood by all employees.
- Selecting and controlling temporary workers, contractors and other visitors to the workplace, ensuring that they can meet corporate standards and providing them with appropriate information so that they do not put themselves, the workforce or the general public at risk.
- Ensuring all contracts are adequate in terms of health and safety provisions and that contractors are monitored to ensure they meet corporate standards.
- Ensuring that the appropriate information, instruction and supervision is provided to enable all employees to avoid hazards and contribute positively to their own and others safety, health and welfare at work.
- Ensuring liaison with other employers, including contractors and occupiers of shared premises to ensure effective cooperation for the exchange of “user” information to permit compliance with Corporate Policy.
- Ensuring compliance with Site Fire and Security Plans and allocating sufficient resources to meet the requirements of those plans in their work area and ensuring that emergency arrangements are in place to protect employees and others against risk of imminent danger
- Ensuring that employees are competent and capable of performing their duties to the required standard with the provision of adequate training to ensure that competency is assured and maintained.

- Ensuring that timely involvement with Occupational Health support is adopted to promote health at work and to enhance effective return to work, where appropriate.
- Making suitable arrangements for consulting with employees on health and safety matters and in accordance with legal standards i.e. through regular recorded team meetings and ensuring that health and safety is a standard item on the agenda at these meetings.
- Obtaining advice and support from the Corporate Health and Safety Service and / or the Occupational Health Service as may be needed.

3.5 Corporate Health and Safety (CHS) Manager

Corporate Health and Safety management falls under the responsibility of the Head of Community and Public Protection, who in turn is responsible to the Divisional Director - Environment & Culture (E&C) as part of the Community Directorate. The CHS Service forms part of the Commercial Team within E&C. Appendix One – Commercial Team Corporate Structure.

Duties of the Head of Community and Public Protection include;

- Implementing, monitoring and reviewing the Health and Safety Management System
- Designing, planning and executing the Corporate Health and Safety Plan (CHSP)
- Ensuring that adequate arrangements are in place to effectively deliver the CHSP
- Ensuring that Corporate Policies and Guidance Notes are developed and revised regularly
- Providing adequate advisory support to ensure compliance throughout the Council
- Ensuring that Senior Management are aware of their responsibilities in meeting health and safety objectives and targets
- Ensuring that all accident, incidents and near-misses are reported and where required, these are investigated to prevent recurrence
- Managing the corporate accident / incident database; preparing accident statistics; producing management reports and disseminating these as may be required

- Setting corporate performance standards and key performance indicators

3.6 People with Responsibility for Asset Management

People with Responsibility for Asset Management must ensure that suitable arrangements are in place for effective management of assets in all Council properties falling within their span of control and in line with the Council's strategic aims.

In order to ensure that People with Responsibility for Asset Management can fulfil their duties and responsibilities under the Corporate Health and Safety Policy, the tasks involved in managing these premises may be delegated to other persons e.g. Head Teachers in schools, members of staff, managing agents or other external organisations, provided that they have the necessary competence, resources and have Council approval to perform these roles.

However, your overall asset management responsibility for these premises cannot be delegated

People with Responsibility for Asset Management must monitor tasks performed on their behalf, to ensure that their responsibilities are being discharged and continue to meet corporate and legal requirement.

People with Responsibility for Asset Management also have responsibility to:

- Deliver targets on health and safety performance as agreed with their Divisional Director or Head of Service, including their Service Health and Safety Action Plan, and where required, their Directorate's Health and Safety Action Plan, the Corporate Health and Safety Plan and Health and Safety Management System
- Carry out suitable and sufficient risk assessments of the existing & new premises, plant, machinery etc. and appropriate action taken to effectively control the identified hazards.
- Ensure that suitable communication methods are established for liaison with all Premises Managers who have been delegated with the day-to-day management of individual sites & properties and that these managers receive suitable information, support and assistance to effectively manage these buildings safely and in the decision making process when planning any changes to buildings.
- Ensure that all accidents involving or have the potential to cause injury or harm to persons or damage to property are reported and where required investigated and any corrective action is taken

- Use and promote systems of communication to ensure that all employees are involved in contributing to the safety of their work and workplace by giving feedback on existing safety rules and procedures
- Inform employees of relevant health and safety information and provide supplementary written information wherever practicable in formats and languages that are known and understood by all employees
- Select and control temporary workers, contractors and other visitors to the workplace, ensuring that they can meet corporate standards and providing them with appropriate information so that they do not put themselves, the workforce or the general public at risk
- Ensure all contracts are adequate in terms of health and safety provision and that all contractors are monitored to meet corporate standards
- Provide suitable and sufficient information, Training and supervision to ensure that all employees avoid injury / ill-health thus contribute positively to their safety, health & welfare and that of others and monitor compliance
- Ensure liaison with other employers, including contractors and occupiers of shared premises to ensure effective cooperation and for the exchange of user information and others are safeguarded
- Ensure compliance with Site Fire and Security Plans and sufficient resources are allocated to meet the requirements of those plans in their area, ensuring emergency arrangements are in place to protect all employees and others against risk of imminent danger
- Ensure that all employees are competent and capable of performing their duties to the required standard and adequate training is provided to ensure that competency is assured and maintained
- Ensure that Safe Systems of Work are devised and put in place and that employees have been suitably and sufficiently trained
- Ensure that where required Asset Management information provides their Corporate Director and Divisional Director / Head of Service with a clear evaluation of risks and work priorities for Council building assets so that appropriate resources are secured for the control of those risks
- Fulfil their legal and compliance responsibilities under this Policy, other corporate Health and Safety Policies, Codes of Practice, Guidance Notes and relevant health and safety regulations
- Ensure that Corporate Directors and Divisional Directors / Heads of Service are aware of any shortfalls in relation to a lack of resources, training requirements and support that is needed

- *Ensure that suitable communication methods are established*

For the purposes of the corporate estate, this role falls to the Facilities Management Team within Community.

3.7 Managers and Supervisors

Managers (including Head Teachers and People with Responsibility for the day to day management of premises as Premises Managers) and Supervisors are responsible for ensuring that activities carried out under their control are in accordance with Corporate Policies and procedures and in compliance with statutory provisions by;

- Delivering targets on health and safety performance as agreed with their Divisional Director or Head of Service, including their Service's Health and Safety Action Plan and where required, their Directorate Health and Safety Action Plan, the Corporate Health and Safety Plan and Health and Safety Management System
- Carry out suitable and sufficient risk assessments of the existing & new premises, plant, machinery etc. and appropriate action taken to effectively control the identified hazards.
- Ensuring that suitable communication methods are established for liaison with Persons with Responsibility for Asset Management where you have been delegated responsibility for the day to day management of individual sites and properties
- Ensuring that all accidents involving or have the potential to cause injury or harm to persons or damage to property under your control are investigated and reported where required and any corrective action is taken
- Using and promoting systems of communication to ensure all employees are involved in contributing to the safety of their work and workplace by giving feedback on existing safety rules and procedures
- Informing employees of relevant health and safety information and provide supplementary written information wherever practicable in formats and languages that is known and understood by employees
- Selecting and controlling temporary workers, contractors and other visitors to the workplace, ensuring that they can meet our standards and providing them with appropriate information so that they do not put themselves, the workforce or the general public at risk
- Ensuring that all contracts are adequate in terms of health and safety provision and that contractors are monitored to meet corporate standards

- Provide suitable and sufficient information, Training and supervision to ensure that all employees avoid injury / ill-health and contribute positively to their safety, health & welfare and that of others and monitor compliance
- Inspecting the workplace at least quarterly; taking appropriate action to remedy the identified hazards; reporting those hazards that cannot be remedied to the line manager so that further action is carried out as may be required
- Ensuring liaison with other employers, including contractors and occupiers of shared premises to ensure effective cooperation for the exchange of “user” information to permit compliance with Corporate Policy
- Ensure compliance with Site Fire and Security Plans and sufficient resources are allocated to meet the requirements of those plans in their area; implementing emergency arrangements to protect all employees and others against risk of imminent danger
- Ensuring that staff, contractors, interims, agency workers and consultants receive appropriate inductions and are competent and capable of performing their duties to the required standard and adequate training is provided to all employees, where appropriate, to ensure that competency is assured and maintained
- Ensuring timely involvement of Occupational Health support to promote health at work and, where appropriate, to enhance the effective return to work of absent employees
- Ensuring that Safe Systems of Work are devised and put in place and that staff have been suitably and sufficiently trained
- Ensure that where required, safety management information provides their Divisional Director / Head of Service with a clear evaluation of risks and work priorities for the identified safety risks so that appropriate resources are secured to effectively control those risks
- Fulfil their legal and compliance responsibilities under this Policy, other corporate Health and Safety Policies, Codes of Practice, Guidance Notes and relevant health and safety regulations
- Ensure that Corporate Directors and Divisional Directors / Heads of Service are aware of any shortfalls in relation to a lack of resources, training requirements and support that may be required

3.8 Employees

All employees have a duty to take reasonable care whilst at work, ensuring not to endanger themselves or others that may be affected by their acts or omissions and to cooperate with management so as a high standard of health and safety throughout Harrow Council is achieved by;

- *Ensuring they are aware of, understand and follow those parts of the health and safety management system, Codes of Practice and Guidance Notes which relate to their area of work.*
- *Also ensure that they are familiar with and understand the following;*
 - *Any necessary action concerned with fire and fire drills at their place of work*
 - *The first-aid arrangements and facilities available at their place of work;*
 - *The corporate accident / incident / near-miss reporting procedures;*
- Avoiding conduct that would put themselves and others (including visitors, contractors, the public and persons on work experience) safety, health and wellbeing at risk of injury
- Attending any training provided and putting into practice all instruction intended to ensure safety whilst at work
- Not to disregard / miss-use safety equipment and protective clothing provided, utilising these in accordance with instructions or training received and immediately reporting any defects to their supervisor / manager
- Operating only those items of plant / equipment for which they have received training and are authorised to use
- Following any control measures identified within the risk assessments relevant to their work
- Complying with disciplined work procedures as detailed either in writing or verbally by their manager or supervisors and to ensure such instructions and training that is given is fully understood before commencement of work
- If in doubt, to query any matters regarding health and safety by contacting corporate health and safety service
- Using the correct tools and equipment for the task/s and ensuring that these tools are maintained in good working order therefore reporting any defects immediately to their supervisor / manager
- Report all accidents, incidents and near misses, in accordance with the corporate accident / incident reporting procedure
- Cooperating with management in evaluating risks and suggesting ways to improve health and safety performance

- Refraining from 'horseplay', cutting corners and taking unnecessary risks whilst undertaking their tasks
- Assisting management by ensuring that other employees, particularly new employees, are aware of the procedures, Safe Systems of Work and any potential hazards that are likely to be created during the work activity
- Ensuring that, where vehicles are used for work purposes, then these must be maintained in a safe and roadworthy condition and any materials and equipment carried in the vehicle should be appropriately secured thus in compliance with the related statutory regulations
- Not consuming any alcohol, recreational drugs or any other substances that may impede their mental and physical state of mind

If you have any doubts about your health and safety responsibilities in your workplace, you must seek clarification from your supervisor or line manager. You may also seek guidance from your Trade Union Safety Representative or the Corporate Health and Safety Service.

3.9 Safety Representatives

Safety Representatives are elected by Trade Union members recognised by the Council and have a duty to represent their members (employees).

Functions of a Safety Representative include:

- *Conducting investigations of potentially significant hazards and dangerous occurrences in the workplace and to examine the cause/s of an accident*
- *Investigating complaints raised by any employee they represent relating to the employee's health, safety or welfare.*
- *Making representations to management on matters arising from the two above duties or any other legitimate health and safety concerns*
- *Carrying out inspections of the workplace at agreed intervals, having given reasonable notice to the responsible manager*
- *Reviewing information from Health and Safety Inspectors and others on behalf of employees whose health and safety they represent*
- *Attending health and safety meetings and where necessary, ensuring that their members are adequately represented.*

3.10 Occupational Health Service

Harrow Council is committed to promoting physical and psychological wellbeing of all its employees thereby undertaking appropriate measures to prevent ill-health and injury that may arise from any work activities.

The Occupational Health Service (OHS) and Employment Assistance Programme (EAP) are services provided by the Health Management Limited (HML), providing expert advice, specialist counselling and support to all Harrow Council employees when required.

Employees can access the EAP service 24 hours a day, 7 days a week, either online or by the telephone. The range of topics covered by EAP include; legal, bereavement, bullying and harassment advice etc.

Employees requiring the OHS can receive this following initial referral by their line manager.

Further advice / information can be obtained from Human Resources Department, email - AskHR@harrow.gov.uk as these services sit separate to the Corporate Health & Safety function, but will liaise with, and contribute to, any corporate health & safety plan for the purpose of ensuring the welfare of all.

3.11 Assurance

In order for this Policy to be effectively implemented there needs to be an assurance process. Assurance will be established by:

- Documentation - Divisional Health and Safety Plans including copies of risk assessments and safe working methods will be in writing and kept either electronically or as hard copy. It is essential that working documents such as risk assessments are readily available to all employees
- Reporting – Ensure key indicators are in place to monitor performance and include data to identify trends that will be fed back to Senior Management
- Independent Review - The ESM will ensure that the Corporate Health and Safety Service undertake assurance work of all Directorates. Directors and Heads of Service will ensure that active monitoring is carried out in their areas, based on the Corporate Health and Safety Plan. In addition Inspectors of the enforcing authorities and health and safety representatives appointed by recognised Trade Unions will / may conduct independent inspections and audits.

3.12 Commitment

This policy identifies the full commitment of Harrow Council to all matters of health and safety and to the provision of resources needed to ensure that the responsibilities to employees (whether direct or indirect, for example, consultants and contractors) and customers are fully met.

4. Health & Safety Arrangements

In line with corporate Policies and Codes of Practice, each Directorate and Division will undertake risk assessments to identify health and safety hazards and risks that may affect their work and detailing the necessary control measures to prevent, reduce and or control risks at an acceptable level.

These will include, but not limited to;

- *Fire safety*
- *First-aid*
- *Accident / incident reporting*
- *General workplace safety*
- *Training etc.*

4.1 Corporate Health and Safety Service (CHSS)

The primary role for the CHSS is to provide professional advice and support to all Council services including schools so as to ensure and promote a sustainable positive safety culture throughout the organisation. This is achieved by;

- Developing and reviewing Policies, Codes of Practice and Guidance Notes – these are available on the [intranet](#);
- Providing health and safety advice, information and training for all employees;
- Promoting of Health, Safety and Well Being;
- Supporting and assisting managers in meeting their statutory obligations;
- Conducting site safety visits and investigating accidents;
- Reviewing of Educational Visits forms organised by schools;
- Producing quarterly and annually safety reports and;
- Monitoring and auditing Health and Safety performances

This function is co-ordinated through the use of the Assure SHE software, the corporate agreed software for the co-ordination, collation and auditing of corporate health & safety systems and documentation. The expectation is on all levels of the corporate entity to use, contribute and keep their documentation up to date on this system.

4.2 Sensible Risk Management

The Council is committed to sensible risk management and follows the HSE's Principles of Sensible Risk Management as detailed below:

1. Sensible risk management **is** about:

- ✓ Ensuring that workers and the general public are protected from harm to their health, safety and wellbeing
- ✓ Providing overall benefit to society by balancing benefits and risks, with a focus on reducing risks that may either arise frequently, those with serious consequences or both
- ✓ Enabling innovation and learning not overlook them
- ✓ Ensuring that those who create risks manage them responsibly and understand that failure to manage these is likely to lead to ramifications.
- ✓ Enabling individuals to understand that as well as the right to protection, they also have to exercise responsibility

2. Sensible risk management is **not** about:

- Creating a totally risk free society
- Generating useless paperwork mountains
- Scaring people by exaggerating or publicising trivial risks
- Stopping important recreational and learning activities for individuals where the risks are managed
- Reducing protection of people from risks that cause real harm and suffering

4.3 Consultation & Communication Code of Practice

As an extension of this Safety Policy, the Council has developed a Consultation and Communication Code of Practice (HSCOP 38).

This Code of Practice aids health and safety communication and performance, which also assists the Council to meet its legal, moral and economic obligations.

As part of the Council's safety culture, this CoP outlines the membership, structure and functions of Safety Groups & Sub Groups and contains the Issues Log, which is the key communication tool for cascading and escalating health and safety issues within the organisation.

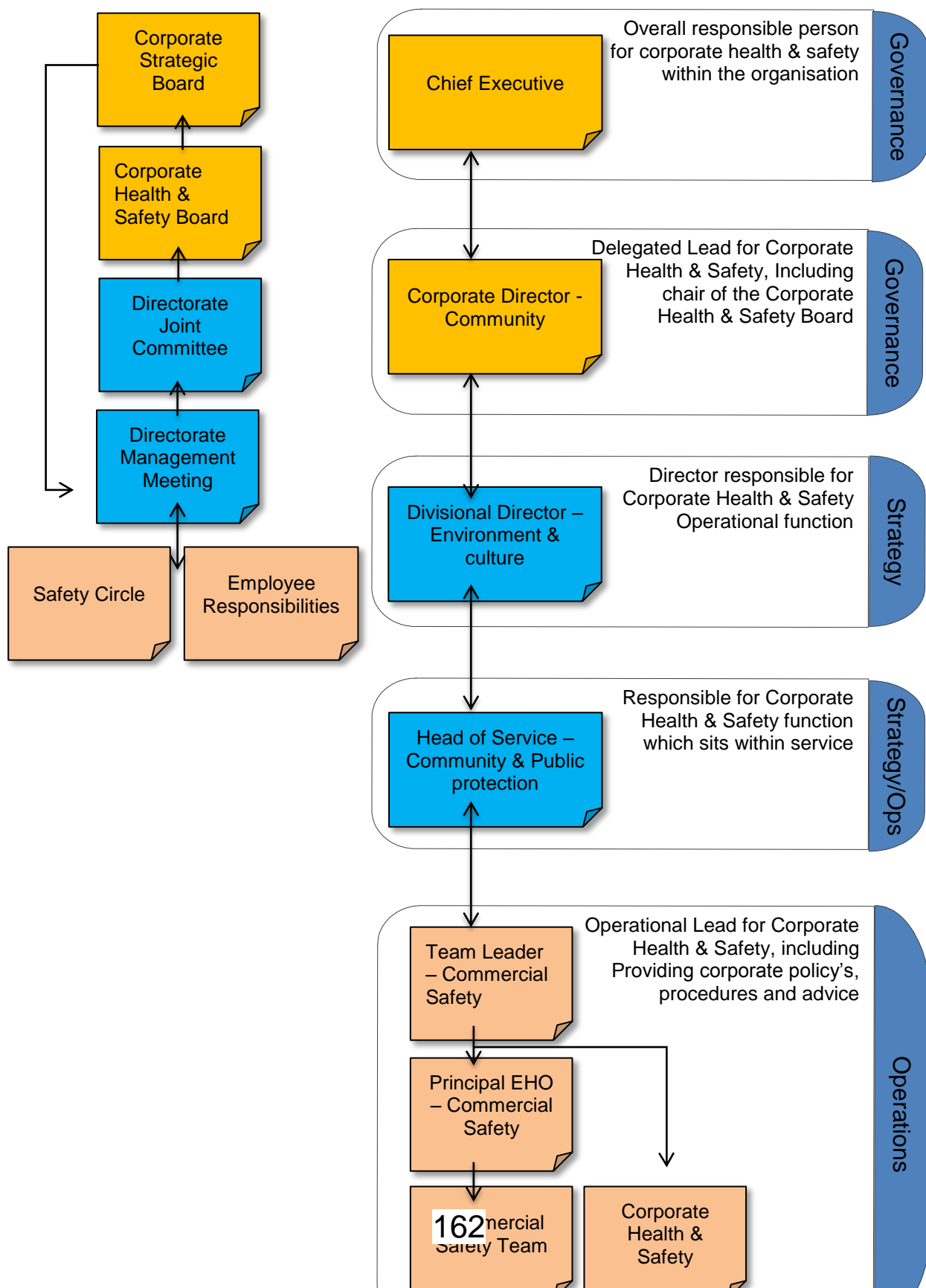
To aid with the flow of information throughout the Council, this CoP also contains a structured quarter financial programme for each Safety Groups.

4.4 Sign off of Policies and Procedures

The responsibility for producing, updating and communicating corporate policies and procedures rests with the corporate health & safety team under the Head of Community and Public Protection service.

Health & Safety requires the proactive, timely production of relevant and required policies and procedures to ensure the safety of those in the organisation. To this end, such policies and procedures final sign off rests with the Director (Environment and Culture), and will be reported to the Corporate Health & Safety Group for information and cascading as necessary.

Appendix One: Corporate Health & Safety Structure



HEALTH AND SAFETY POLICY 2020/2021



Corporate Health
& Safety Policy 2020-21 (Click on file to access)

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Unison Response to the Annual Health and Safety Report originally scheduled for presentation at ECF scheduled for 3/12/2020 but cancelled

Dated 4th Jan 2021

Introduction

This response paper from Unison is extremely important as it may be the last time that we feel able to take part in this forum for the reasons given in the main body of our response. In the period covered by the report namely April 2019-March 2020 we have witnessed significant changes as to how the incumbent senior management team has treated this recognised Trade Union and how Unison has been side lined in respect of its concerns regarding non-conformity with the principles behind the recognition agreement and non-conformity with Health and Safety legislation insofar as it affects the Unions ability to participate in legitimate processes. Particularly processes that have a significant bearing on the Health Safety and wellbeing of our front-line workers and members.

The Council's report does not reflect reality or that which has occurred in the period it reviews. It is widely inaccurate in its statements and lacks the complete transparency demanded by a report of this nature.

At this point Unison would like to make reference to The Corporate Health and Safety Policy 2.2 (Page93 of the Council's report) *'The elected members have overall responsibility for the application of health and safety legislation, achieving the objectives set out within this policy and ensuring that adequate resources are available to meet the organisations health, safety and welfare needs. The elected members delegate the work required to the Chief Executive'*.

Clearly, the statement above can only apply if the elected members are fully informed as to what is going on. Unison believes this to be not the case.

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The detailed reasons for Unison's views are as follows:-

Section 2.0-Report

Executive Summary

Unison wish to point out that the Council's Executive Summary does not include a section referring to 'Risk Assessments' this is very odd since they are considered to be the bedrock of modern Health and Safety Management systems?

Unison therefore considers that this important topic receives mention here since the council's performance in this area is not covered by its report. At the start of the Covid-19 pandemic, the council were slow to recognise that this 'new hazard' in fact applied to the workforce, in the context of their day to day work, and was in fact part of the employer's statutory responsibilities under HSAWA, and under 'duty of care' in common law.

Risk assessments from the council were consequently delayed and when they eventually started to appear they were extremely poor since they had been carried out by managers that had no training in infectious disease or pandemic situations. Unison continually challenged these risk assessments since they did not meet the legal criteria of being 'suitable and sufficient'. Right at the start and throughout the pandemic Unison has been campaigning for more employer action to protect workers' health and safety particularly BAME individual's since the TU movement were fully aware of the increased risks and death's experienced by black/Asian people in the UK as a result of coronavirus.

The council continually ignored this concern and failed to make any specific provisions for the vulnerable categories of employees that were more likely to be seriously affected by the Covid-19 virus namely older employees and BAME employees. The council's risk assessments at the time were generic in nature and of a copy and paste 'one size fits all' nature. As a consequence Unison had to develop its own risk assessment to safeguard its own vulnerable staff and BAME members. Sometime after this the council included BAME workers into its generic risk assessments, but used the same controls that were in place for white workers. They had failed to understand the difference in risk.

To-date the council has not notified Unison if all of its existing pre Covid-19 risk assessments have been updated to include Covid-19 control measures. Unison are aware that PPE risk assessments (where they actually exist) have not been updated to ensure that enhanced respiratory protection and other protection is in place. Members have reported that standard dust masks are still being issued. Enforcement officer risk assessments, Lone working risk assessments, all field staff risk assessments and in fact any assessment which involves close interaction with the public require to be fully updated. A number of our members have informed us that this has not happened in respect of their workplace or their work activities.

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A number of schools in the borough had to close as a result of Covid-19 outbreaks during the pandemic's first wave. Prior to this Unison had written to the council in detail outlining its concerns that precautions in schools did not meet the required standards. The letter contained a risk assessment checklist. No response was received to indicate that similar checklists or detailed risk assessments were in place.

The asbestos incident investigation reports (internal and external) highlighted just how poor the councils understanding of risk assessment was, and how missing risk assessments contributed to the incident that had occurred.

Just recently, the council introduced a new risk assessment form targeted at specific individuals rather than the work activities that they undertake. This 'psychological profiling' type of risk assessment has been introduced by management without any consultation at all with the Trade Unions. It had never been used before and was not part of the council's policies or procedures. Unison objected strongly to its use as it breaches the HSAWA 1974, SRSCR 1977 and Human Rights legislation. Unisons concerns have been ignored. (Correspondence detailing these concerns is available on request).

Perhaps it may become apparent now as to why Risk Assessments are 'missing' from the executive summary.

Section 2.4 'Key incident points from the period April 2019-March 2020

No mention whatsoever is made in the Annual report of the 'Substantial Hazard' that occurred and continues to be unaddressed as a result of the serious Asbestos Incident that took place on 26th June 2019. This incident involved a failed internal investigation conducted by the Council's Housing Department followed by a failed external incident investigation conducted by an external health and safety consultant (he had 10 attempts at his report, each of which was challenged by Unison and retracted for 'modification'). Both investigations failed to establish the root cause of the incident.

Finally an investigation into both these investigations had to be commissioned by the Corporate Director Community due to on going Unison concern and challenge. The Investigation was carried out by Corporate Health and Safety but this report has been withheld from Unison and the Council Members of this forum as of the date of this response paper (January 2021).

The Asbestos Incident is a very **key incident** as it has potential future consequences for both the staff who were exposed to the asbestos and the boroughs residents who may have been exposed to the asbestos (the extent of the exposure is not known due to the flawed investigation processes outlined above). All of these Investigation processes took in the region of 5 months to complete and many issues surrounding the incident remain unresolved. One therefore has to question the reasons as to why this incident has been hidden from this forum. Unison believes the reason to be that this 'hidden' report reveals multilateral failings that extend well beyond the incident itself.

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Section 2.5 (under the heading of 'Background')

The report mentioned here **does not deal** with the any of the performance and the poor management issues highlighted throughout the investigative processes mentioned above.

Section 2.8 (under the heading 'Improvement Plan')

This section is incredulous since it states 'Focus is **on transparency** and ensuring all are aware of their responsibilities and **governance** is in place' This statement could not be further than the truth (see point 1, above and Unisons letter to the Director of Harrow Legal Services dated 23/12/2020 and copied to various parties including members of this forum.

Section 2.11 (under the heading 'Health and Safety policy and guidance')

This section is incorrect and misleading in that it refers to new policies having been introduced when many of the policies mentioned are old ones that should have been revised in any case. It does not give the reasons as to why certain policies are 'awaiting approval' such as:-

Accident/Incident investigation Policy(awaiting approval) Unison have not been consulted on this policy as it is a new one. It did not in fact exist at the time of the Asbestos Incident and was one of the main reasons that both investigations failed since there were no council procedures in place to guide the investigation processes! In addition to this the council refused to allow Unison to participate in either of the two investigation processes. If Unison had been allowed to be partners in the investigation the outcome may have been a lot different and a considerable amount of time and money saved.

Lone Working Policy(awaiting approval) Unison have seen this policy on a number of occasions and rejected it on a number of occasions as **inadequate** as it does not take into account the current Covid-19 situation or the future ramifications of it. Additionally, it was not effective enough to cover the lone working aspects of the security staff in respect of attacks on staff (out of hours) and in respect of the empty Civic Centre buildings due to the Covid Pandemic. (Unisons email responses in this respect are available on demand). No response has been received from management following Unison's concerns.

Asbestos Policy (awaiting approval) Unison have refused to sign this policy off as it does not contain measures to manage or prevent further asbestos incidents as described earlier. Unison challenged this policy on the grounds that it was not reflective of the lessons that should have been learned from the Asbestos Incident.(Unison's email responses are available on demand) No response has been received from management to date.

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Risk Assessment Policy This policy has not been updated in respect of the necessary competency requirements relating to specialist assessments that have been absent from both a number of flawed Covid-19 assessments together with the absence of risk assessments concerning the Asbestos Incident. Again another factor that contributed to the Asbestos Incident was the lack of risk assessments to prevent it. (Management mistakenly thought that a SOP (Standard Operating Procedure) was in fact a Risk Assessment. They also failed to review this document or distribute it to front line staff. It was dated as 2009 at the time of the incident).

Cautionary Contacts Policy (under consultation) Unison has no idea whatsoever about this as we have not been a consultee. We ask the question here as to who the consultee's are?

Wholly Conspicuous by its absence is the fact that the council does not have a **Coronavirus Policy**. One would have thought that this would be right at the top of the list given the wide ranging health and safety implications this disease has.

'Employers will need to adapt a range of measures to support employees experiencing poor mental health as a result of COVID-19 and its effects on society and the economy. Measures will need to range from supporting employees to regain an effective work-life balance and addressing fears about return to work, right through to support for severe mental health conditions. Employers, particularly those who have employees working in front line response roles, should act now to put necessary support in place' (Source CIPD)

Unison would make comment here- *If there is no policy in place, has even the bare bones of a risk assessment been done to cover mental health risks as a result of Covid-19?*

Sections 2.14 and 2.15 under the heading 'Safety Culture'

Unison respectfully disagrees with this section in its entirety. The only safety culture that has been observed is one of 'Protectionism'. This is clearly evident by the fact that not one senior manager or director has been subject to any disciplinary measure whatsoever as a result of the Asbestos incident in 2019. This incident highlighted serious management failures and wrongdoings which have not been addressed.

As for the Health and Safety Handbook, recent events indicate that health and safety procedures are not being followed by management, so there is little hope for this handbook. Additionally, Unison has had no positive feedback from its members about this handbook. The general opinion is that it is too generic (possibly obtained from another organisation) and not targeted at Harrow's working practices. Additionally again, It has not been updated in respect of Covid-19.

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Section 2.20 under the heading of ‘Health and Safety Visits, Inspections and Audits’

Unison does not understand the first sentence since it seems to contradict the second sentence. How can there be a positive change when it states ‘management self-audits have **not been done**’?

How many have not been done? Which areas of the council are failing and not in compliance? Why no specific detail here?

Sections 2.22-2.24 Under the heading of ‘Occupational Health’

Again this is not an accurate reflection of the performance of this service. Unison raised serious questions over the year with this service and the lack of preventative interventions (necessary vaccinations such as hepatitis for the refuse collectors etc.) together with failures identified with the internal management responsible for sourcing and monitoring a service that seems to fall well short of expectation.

The service has been lacking regarding the provision of ‘wellbeing and stress’ support packages in respect of Covid-19 and for those suffering threatening behaviours including those subject to inappropriate behaviours as a result of disciplinary procedures. Unison have witnessed abuse of procedural requirements. Timelines related to stressful processes being extended well beyond the acceptable limits without the justification or factual evidence to support these actions. This has been ignored by Occupational Health. Also of concern is the lack of management referrals in respect of staff known to be suffering from stress related anxiety.

Sections 2.25-2.27 under the heading ‘Promotion of Health, Safety and wellbeing’

Firstly the reader should take notice of the section above. Secondly read the withheld Asbestos Incident reports and thirdly look at the numerous Covid -19 risk assessments that Unison have rejected and returned to the council’s employed ‘assessors’ on the grounds of inadequacy (not being ‘suitable and sufficient’ in law). Fourthly, look at all the correspondence that has been sent to the Director for Community covering ‘outbreaks’ of Covid-19 that have occurred at the Civic Centre. Fifthly, consider the fact that the ‘meals on wheels’ service operating from the ground floor of Civic 7 (where Unison is based) and catering for many of the most vulnerable persons in society is operating without the legally required HACCP Food Safety Management System in place and/or linked Covid-19 assessments.

Civic 7 is situated close to the dried out moat area which has become a ‘cesspit’ over the last 6 months due to oil spillages into it and the accumulation of miscellaneous refuse and rubbish. It is open to a network of subterranean drainage pipes (sewers) and thus an ideal harbourage for rats and other rodents. Correspondence regarding these concerns have been sent to Corporate Health and Safety and raised at higher levels. No response has been received to-date to indicate that any of these matters have been acknowledged or addressed.

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The reader is invited to make their own minds up regarding the heading to this section of the council's report.

Sections 2.28-2.40 under the heading 'Incidents reported'

Since the very serious Asbestos Incident ***is not reported*** in this section where one would assume it to be reported (or anywhere else in the report), Unison naturally have concerns as to the accuracy of all of the information that is being reported in the Council's annual report. As stated in the introduction to this response we no longer have confidence regarding the integrity of the report.

Sections 2.49-2.59 under the heading 'Stakeholder Feedback'

Stakeholder Feedback in respect of the full participation of the trade unions does not reflect reality or the guidance to employers from both the HSE and the TUC. Unison has been denied full participation on a number of occasions over the period that the report covers.

The Trade Unions were deliberately excluded from participation in the Asbestos Incident investigative processes carried out by the council. An overt and illegal action.

Section 2.50 and the statement therein is rejected by Unison. It is not a true statement that reflects current practice. Senior management have refused on numerous occasions to share relevant health and safety documents with the Trade Unions.

So far as the final sections of the summary are concerned namely, Legal Implications, Financial Implications, Risk Management Implications, Equalities Implications and Council Priorities one needs to look closely at the withheld Asbestos Incident report(s) to fully consider the accuracy of statements made under these headings.

Section 3- under the heading 'Statutory Officer Clearance'

Unison would raise the question as to why the Ward Councillors are ***not notified***. Particularly where a serious Asbestos Incident may have impacted on residents in particular wards?

Appendix 3 Under the heading 'Occupational Health and Safety Strategy 2019-2022'

Firstly, for context, this published strategy covers the period when the Asbestos Incident occurred. The 2 incident investigations highlighted a multitude of Health and Safety Management failures at all levels. This strategy failed to prevent a serious incident that it was clearly intended to do. It did not proactively reduce the risk of this incident occurring in any way. The strategy is therefore inaccurate regarding its published statements.

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Secondly, in common with the Corporate Health and Safety Management Plan this is very much a ***static*** document. It has not been updated at all to include the significant effects of Covid-19 both at the present time or the future time period that the plan covers. This should be a dynamic document that adapts to change. This strategy is poor and sadly highlights the current capabilities of those that have authored it.

There is no strategy in respect of Covid-19, the most significant Health (and Safety) issue known to mankind at this point in time. Virtually the whole of the civic centre has been evacuated, methods of normal working practices have been disrupted, huge numbers of staff are working from home including senior management.

New safer ways of working are now the order of the day... yet there is no mention of any of this!

A fatal combination of missed opportunities, ignored warning signs and a failure to stop non-essential work have made the coronavirus crisis 'bigger and more deadly' in the UK according to analysis conducted by the Hazards Campaign. Hundreds of UK workers have died after being infected at work including health and social care, transport, prison and office workers.

Harrow council as a major employer must be unique when compared to other large employer public authorities in that it does not seem to fully appreciate this or deem it necessary to have any specific policy in respect of Covid-19. Unison therefore makes the urgent appeal via this forum that the council initiates a 'working safely through the coronavirus pandemic' policy asap to avoid the 'fill gap' ill-informed risk assessment approach that has been adopted by Harrow management.

Page 48 1.1 The Current Situation. Unison consider the 'current system' to be ineffective (see above also) since it failed to identify a large number of key H&S performance indicators within the Council's Housing Division that led to the Asbestos Incident.

Page 49 2.0 Corporate Health and Safety Governance Overview Unison regularly attended the Corporate Health and Safety board throughout the time of the Asbestos Incident investigations and raised ongoing and extensive concerns regarding the independence and integrity of the processes. In the main these concerns were ignored or swept under the carpet. Extensive correspondence remains on file to substantiate this claim. Again this supports our view that the current system is not working since it does not contain either accountability or incentive to make it work.

Page 54 (f) 'to build on the communication and consultation arrangements to ensure staff are fully involved and committed to achieving acceptable health and safety standards' This did not happen at all throughout the 5 months or so that covered the asbestos incident investigations.

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Page 54 (g) ‘to encourage greater visible and active leadership on health and safety by managers’. To put it bluntly, this is not happening. Many managers including those at director level consistently fail to answer correspondence from Unison. (numerous examples are on file, and available on demand). Management have not followed their own policies and procedures on numerous occasions.

Page 55 (i) ‘to ensure good health and safety practice in our relationships with partners’ Management cannot even fulfil their legal commitments under ‘The safety Representatives and Safety Committees Regulations 1977’ in respect of its trade Union Partners or to share important information relevant to serious incidents so we question this statement as it is not reflective of current practices.

Section 4.0 Health and Safety Management Systems

For many years now the council has relied on a Health and Safety Management model (HSG-65) first published in 1991(almost 30 years ago) This model is now considered by many mainstream Health and Safety professionals to be ‘beyond its best before date’. The key issues that Unison have with this model is that it is operated and run totally ‘in house’ and does not fully conform to any British or International Standard (BSI or ISO). It has also been shown to have failed on a number of occasions. This is evident from the independent Croner reviews conducted in 2004 and 2016 and of course in respect of the recent Asbestos Incident.

It is audited ‘in- house’ and therefore all aspects of it are checked by those that are involved in it and responsible for it. It therefore is not independent and free from conflict of interest, thus it can never be considered as part of a TQM system. The lack of transparency surrounding the serious asbestos incident typically relates to the *laissez faire culture* that can develop from ‘loose’ management systems of this nature; systems that are not benchmarked against industry standards or subject to independent audit and full transparency, systems that rely on the unqualified judgement of middle managers who are not subject to the checks and balances exercised by High Level Structures. Particularly in relation to **Clause 5 – Leadership**

‘which charges senior management with accountability in the section for organisational roles, responsibilities and authorities. They are responsible for leading, not just managing, must demonstrate commitment to customer satisfaction, and establish and communicate the quality policy, responsibilities and authorities’.

Unison believes that the HSG-65 model has had its day and the council should now progress to more modern ‘accountability’ driven management systems such as BS ISO 45001:2018, if indeed it is to address the numerous management failings identified in the existing system (see also page 5 ‘The Current System’)

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BS ISO 45001:2018 (Management System for Occupational Safety and Health) is up to date and different because it adopts the 'High Level Structure' used in the other key management systems standards and thus can be easily aligned to them. In addition it increases the emphasis on:

- Leadership and the need for those at the top to lead by example and be held accountable for OH&S performance
- Consultation with and involvement of workers in making sure the OH&S management system covers all necessary areas and communicates effectively with everyone involved
- Designing an OH&S management system to suit the needs of each organization individually according to its own context
- It takes into account factors such as the context in which the organization operates and the needs and expectations of its workers and other interested parties ie the residents
- It is independently audited every year to ensure the standard is met. If not the standard is withdrawn. There is therefore a strong incentive for management to ensure full compliance.
- It is designed to align with other key management systems standards such as ISO 9001 quality management and ISO 14001 environmental management for ease of integration. It is therefore totally suited to the future and the increasing requirement to manage Harrow Council's environmental impact in tandem with occupational health and safety over all of the areas in which it operates. It is a TQM system in all respects.

Unison believes this is the way forward. The members of the council will be fully aware that Health and Safety has had a number of issues over recent years particularly with regard to Asbestos.

The latest Asbestos Incident is the straw that has broken the camel's back so far as Unison is concerned. **There is no further point in Unison participating in a forum that does not bring about the much needed modernisation or real change to tackle poor practices and long established poor cultures that drive them.**

Page 57 under the sub-heading 'Co-operation.

This subsection totally contradicts itself. It openly states that the council is under a legal obligation to consult with employees about the health and safety matters that affect them. The most senior levels of management have not done this since they have withheld an asbestos investigation report that is wholly relevant to the health and safety of employees and residents. The trade unions were barred from participation in the investigation. The statement '*the council has already fostered good relationships on health and safety matters with its recognised trade unions*' could not be further from the truth. Industrial relations with Unison are currently at rock bottom. This will be obvious to anyone who is aware of the current management actions and attitudes to the recognised Trade Unions, particularly Unison.

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Page 58 Under the sub heading 'Competence'

Again this subsection is misleading. The asbestos incident investigation highlighted levels of health and safety incompetence hitherto unseen in the council.

Section 9.0 Corporate Health and Safety Plan 2019/20 Pages 64-77

In any other organisation other than Harrow Council this would be a dynamic plan that would adapt to events and circumstances that occur within the period that it covers. This Plan is static and does not do this. No mention of Covid-19 and again no mention at all is made in respect of the Asbestos Incident (26.6.2019) which occurs in the middle of the period the plan covers. Therefore, it sadly demonstrates that no actions are in place to mitigate the effects of high priority incidents and events. More importantly it seems to be completely inadequate in preventing a similar asbestos incident from occurring again!

A quick look under the heading of 'Workplace Implementation' under sub heading Health and Safety Training indicates of all things that there is no asbestos training scheduled! Additionally, there is no Covid-19 training mentioned. This is extremely serious as those managers undertaking Covid-19 related risk assessments are not trained or competent to do them.

Another look under the heading 'Asbestos Management' indicates that it is void of preventative measures or any of the 'lessons learned' actions that became apparent to management from the asbestos investigations within the period the plan covers. Again one must ask why these lessons to be learned are not openly shared in order that a similar incident may be prevented. This 'plan' is devoid of logic.

Finally, It must be abundantly clear to the reader that there are serious concerns with how Health and Safety is being managed at Harrow Council. The whole system as it is currently being operated is in need of radical overhaul. We are afraid to say that the council's usual contingency 're-structure' remedy that is rolled out at times like this will simply not do.

The health and safety related activities of this council not only affect its staff but also affect the residents of the borough. Not bothering to visit the site of an asbestos tipping incident in public areas of a council owned residential housing estate as part of an in-depth investigation is incompetent. Not taking any appropriate measures to ensure that the area is protected from further tipping incidents is criminal.

Unison concludes this response paper with one word- Appalling!

Harrow Unison LG Branch

January 2021

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