

# Performance and Finance Scrutiny Sub-Committee AGENDA

**DATE:** Monday 20 January 2020

**TIME:** 7.30 pm

**VENUE:** Committee Room 5, Harrow Civic Centre, Station Road, Harrow, HA1 2XY

## **MEMBERSHIP** (Quorum 3)

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**Chair:** Councillor Kiran Ramchandani

**Councillors:**

Ghazanfar Ali  
Honey Jamie

Nitesh Hirani  
Pritesh Patel (VC)

## **Reserve Members:**

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- |                  |                   |
|------------------|-------------------|
| 1. Dean Gilligan | 1. Ameet Jogia    |
| 2. Ajay Maru     | 2. Amir Moshenson |
| 3. David Perry   |                   |

**Contact:** Mwim Chellah, Senior Democratic and Electoral Services Officer  
Tel: 020 8420 9262 E-mail: [mwimanji.chellah@harrow.gov.uk](mailto:mwimanji.chellah@harrow.gov.uk)

## **Useful Information**

### **Meeting details:**

This meeting is open to the press and public.

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<http://www.harrow.gov.uk/site/scripts/location.php>.

### **Filming / recording of meetings**

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When present in the meeting room, silent mode should be enabled for all mobile devices.

### **Meeting access / special requirements.**

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**Agenda publication date: Friday 10 January 2020**

# 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 Sub-Committee;
- (b) all other Members present.

## 3. MINUTES (Pages 5 - 10)

That the minutes of the meeting held on 29 July 2019 be taken as read and signed as a correct record.

## 4. PUBLIC QUESTIONS \*

To receive any public questions received in accordance with Committee Procedure Rule 17 (Part 4B of the Constitution).

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, 15 January 2020. Questions should be sent to [publicquestions@harrow.gov.uk](mailto:publicquestions@harrow.gov.uk)**

**No person may submit more than one question].**

## 5. PETITIONS

To receive petitions (if any) submitted by members of the public/Councillors under the provisions of Committee Procedure Rule 15 (Part 4B of the Constitution).

## 6. REFERENCES FROM COUNCIL AND OTHER COMMITTEES/PANELS

To receive any references from Council and/or other Committees or Panels.

**7. DRAFT REVENUE BUDGET 2020/21 AND DRAFT MEDIUM TERM FINANCIAL STRATEGY 2020/21 TO 2022/23** (Pages 11 - 90)

Report from the Director of Finance

**8. CHILDREN AND FAMILIES SERVICES COMPLAINTS ANNUAL REPORT 2018/19** (Pages 91 - 126)

Report from the Corporate Director, People Services

**9. ADULT SERVICES COMPLAINTS ANNUAL REPORT 2018/19** (Pages 127 - 152)

Report from the Corporate Director, People Services

**10. WASTE SERVICES - PERFORMANCE ISSUES\_** (To Follow)

**11. ANY OTHER BUSINESS**

Which cannot otherwise be dealt with.

**AGENDA - PART II - Nil**

**\* DATA PROTECTION ACT NOTICE**

The Council will audio record item 4 (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.]

# PERFORMANCE AND FINANCE SCRUTINY SUB-COMMITTEE MINUTES

## 29 JULY 2019

**Chair:** \* Councillor Kiran Ramchandani

**Councillors:** \* Ghazanfar Ali Honey Jamie  
\* Nitesh Hirani \* Pritesh Patel

**In attendance:** Richard Almond Minute 32  
**(Councillors)** Adam Swersky Minute 32

\* Denotes Member present

### 26. Attendance by Reserve Members

**RESOLVED:** To note that there were no Reserve Members in attendance.

### 27. Appointment of Vice-Chair

**RESOLVED:** To appoint Councillor Pritesh Patel as Vice-Chair of the Performance and Finance Scrutiny Sub-Committee for the 2019/2020 Municipal Year.

### 28. Declarations of Interest

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

### 29. Minutes

A Member advised that he had yet to receive the information requested in relation to the Rayners Lane Triangle project (Minute 21 refers); the Director of Finance apologised for the omission and undertook forward the information.

**RESOLVED:** That the minutes of the meeting held on 27 March 2019 be taken as read and signed as a correct record.

**30. Public Questions, Petitions, Deputations**

**RESOLVED:** To note that there were no public questions, petitions and deputations received at this meeting.

**31. References from Council and Other Committees/Panels**

**RESOLVED:** To note that there were no references from Council and other committees/panels.

**RESOLVED ITEMS**

**32. Information Report - Revenue and Capital Outturn, Savings Update and Budget Strategy**

The Chair invited questions from members of the Sub-Committee on the three reports considered by Cabinet in June and July 2019 concerning the Revenue and Capital Outturn, Savings Update and Budget Strategy. The following points were raised and discussed:

- (a) *The 2018-19 underspend for the Finance Division included a £200,000 transfer into an Investment Property Reserve – was this additional to the other £200,000 of underspend for the division reported in the same paragraph, did it relate to a particular project/property and why had it not been considered as part of the overall business case for investment properties?*

The Director of Finance confirmed that the transfer was additional to the other £200,000 underspend reported. She advised that the transfer was not related to a specific project/property, but rather was designed to cover possible for future costs, acting as a type of “sinking fund” to respond to the need for repairs and maintenance, for example, when a property might need to be refurbished on a change of tenancies. The investment property business plan took account of many different factors which might affect net cost, including voids; in this case, it had been decided to allocate these surplus funds to provide further support to the programme in future.

- (b) *Which “corporate IT capital project” was involved in the £2.7m write-off to revenue?*

The Director of Finance advised that this related to the decision not to implement the Bartec project in the Community Directorate and to proceed instead with the Abavas system; as a result of this change, it had been necessary to write the capital project cost back to revenue. The Portfolio Holder for Finance and Resources added that the Bartec

system had been tried for street works and grounds maintenance, but this had not proved successful.

- (c) *There had been an overspend on staffing costs in the waste management service - who was responsible for deciding on the use of overtime and should there not be a strategic, policy-driven approach to the use of overtime in the organisation?*

The Director of Finance confirmed that entitlement to overtime payments was specified in relevant terms and conditions of employment of Council staff and was controlled through formal agreements with any external agency providing staff cover. The Portfolio Holder for Finance and Resources explained that this overspend was due to the particular circumstances in this case and, as a general rule, there was very limited use of overtime across the Council. The Director of Finance undertook to provide information on overtime costs and the approach to the use of overtime.

- (d) *There appeared to be a discrepancy between the figures for overall underspend reported as between the main report and Appendix 3 – why was this?*

The Portfolio Holder for Finance and Resources advised that this appeared to be related to the re-designation of certain funds as a result of consolidating resources for future use; for example, the use of the term “business risk” reserve instead of “commercialisation” reserve.

- (e) *With £53m in reserves as well as £10m in General Fund balances, why was the Administration pleading under-funding?*

The Portfolio Holder for Finance and Resources underlined that it was always important to consider the purpose of the reserves with many of them earmarked to cover various risks and specific requirements; as examples, he cited the CiL reserve allocation, the PIF sinking fund and the Business Risk reserve. He also referred to the inherent uncertainties in Government policy towards local government finance and argued that the Council had to maintain the flexibility to respond to unexpected changes, for example, on rules relating to Council Tax increases.

- (f) *Of £31m reserves in the previous year, only £7m had been drawn down – why had so many reserves not been used?*

The Portfolio Holder for Finance and Resources explained that there was no intention to use reserves in any one particular year. He considered that the word ‘reserve’ often masked the various purposes these funds were set against; in many ways, it was much more fruitful to discuss these purposes rather than the absolute figures involved. Harrow’s General Fund reserve of £10m, the element of the reserves designed for genuine emergencies, was at a low level compared with

many other councils. The Portfolio Holder reminded the sub-committee of the sinkholes linked to historic mineworks discovered a few years before at Pinner Wood School and the substantial funds which the Council had to find promptly in order to secure the school's future. He referred to a number of cases where councils were faced with emergency budget cuts as they had made insufficient provision for unexpected financial pressures.

- (g) *The variances, slippage and underspends in the capital programme involved very significant sums – what processes were in place to introduce better management of the programme?*

The Portfolio Holder for Finance and Resources advised that underspending in the capital programme was a long-standing issue. There were various tests and criteria which defined the priorities for capital spend, including health and safety items and capital investment to generate revenue savings, but it was in the nature of capital projects that external factors could affect the timing of and actual implementation of a scheme. For example, the Council had decided not to proceed with various regeneration schemes at this stage and had therefore deliberately deferred capital spend. The Council was keen to improve performance on the capital programme and was currently building up its project management capacity to be able to deliver significant capital schemes more effectively. In response to a specific question on Poet's Corner, the Portfolio Holder for Finance and Resources confirmed that there had been a specific decision not to proceed with the scheme at this stage and, given its scale, there had had a significant effect on capital underspend.

- (h) *The savings tracker demonstrated a failure to achieve a significant saving in relation to the depot redevelopment – why was this?*

The Portfolio Holder for Finance and Resources explained that the project had been redesigned, adding an extra floor to the proposed building and improving the scheme. As a result, the project had been deferred.

- (i) *Why were there now more red and amber flags in the list of risk items compared to the previous years?*

The Portfolio Holder for Finance and Resources advised that, at this relatively early stage of the financial year, the Council was cautious in moving items to green status since, even though improvements were being implemented, it was important to see them through completely; he expected that 80% of items would be classed as either green or amber by the end of the year. He acknowledged that the Council had perhaps been too optimistic about commercial targets in the past as a way of challenging staff to deliver, and the RAG rating performance in this area was to some extent a legacy of this. With respect to the depot redevelopment savings target, the Director of Finance confirmed



that this revenue saving could only be achieved following completion of the building.

- (j) *What were the accountability arrangements between the Council and Concilium Assets LLP?*

The Director of Finance advised that there was a shareholder's agreement between the Council and the company, and its directors comprised senior Council officers and an independent person not employed by the authority; details of directors were publicly available on the Companies House website. In response to a further question, the Director of Finance confirmed that the total loan to the company was £425,000.

- (k) *How did the external auditors' report deal with issue of the Council's continuing revenue budget gap?*

The Portfolio Holder for Finance and Resources reported that the external auditors had commended the Council for its financial management and had raised no significant concerns. In his view, this confirmed that the Council was taking care to balance various aspects of the budget management including the level and use of reserves.

- (l) *Why was the anticipated rate of return on the additional £100,000 capital allocation as low as 1.75% which could be compared to high street returns on cash deposits?*

The Director of Finance reported that the 1.75% figure had been inherited from the previous budget strategy, but in practice, more recent returns had been closer to 2.5%. She compared this to the short-term interest rates offered to local authorities on large cash deposits which averaged less than 0.6%, with banks now offering no more than 0.2% and some other councils up to 0.7%. She underlined that this property-related capital investment option to support revenue was being used sparingly as part of the overall strategy.

- (m) *Was the Portfolio Holder for Finance and Resources comfortable with the level of risk in such approaches to the revenue budget?*

The Portfolio Holder for Finance and Resources said he was always conscious of the element of risk in the Council's budget management strategy, which was developed in the light of advice from both officers and external experts. He was uncomfortable with any complex, unorthodox options and was only prepared to support the more straightforward approaches with manageable risks. He confirmed that the Council was sceptical about high return options as these were likely to be associated with unacceptably high risk. The Director of Finance advised that the commercial property investment programme had to date involved only four or five properties. In response to a question from a Member, it was reported that the property in Cwmbran, Wales involved only a small proportion of the £100,000 capital allocation.

**RESOLVED:** That the report be noted.

**33. Any Other Business**

The Chair informed Members that they would receive an update on the proposed report on Customer Services following her further discussions with officers.

(Note: The meeting, having commenced at 7.30 pm, closed at 8.28 pm).

(Signed) COUNCILLOR KIRAN RAMCHANDANI  
Chair



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**REPORT FOR: CABINET**

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<b>Date of Meeting:</b>	09 January 2020
<b>Subject:</b>	Draft Revenue Budget 2020/21 and draft Medium Term Financial Strategy 2020/21 to 2022/23
<b>Key Decision:</b>	Yes
<b>Responsible Officer:</b>	Dawn Calvert – Director of Finance (S151 Officer)
<b>Portfolio Holder:</b>	Councillor Adam Swersky – Portfolio Holder for Finance and Resources
<b>Exempt:</b>	No
<b>Decision subject to Call-in:</b>	Yes
<b>Wards affected:</b>	All
<b>Enclosures:</b>	<b>Appendix 1A</b> – Proposed savings and growth 2020/21 to 2022/23(New proposals) <b>Appendix 1B</b> – Proposed savings and growth 2020/21 to 2021/22 to be agreed from 2019/20 and 2018/19 MTFS <b>Appendix 1C</b> – Summary of Proposed savings & growth 2020/21 to 2022/23 <b>Appendix 2</b> - Medium Term Financial Strategy 2020/21 to 2022/23 <b>Appendix 3</b> - Schools Budget 2020/21 <b>Appendix 4</b> - Draft Public Health Budget 2020/21

This report sets out the draft revenue budget for 2020/21 and draft Medium Term Financial Strategy (MTFS) for 2020/21 to 2022/23. The budget and MTFS will be brought back to Cabinet in February 2020 for final approval and recommendation to Council.

**Recommendations:**

Cabinet is requested to:

- 1) Approve the draft budget for 2020/21 and the MTFS 2020/21 to 2022/23 for general consultation as set out in Appendices 1C 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 2020.
- 2) Note the balanced budget position for 2020/21, and the budget gaps of £15.328m and £8.924m for 2021/22 and 2022/23 respectively based on the scenario of a total Council Tax increase of 3.99% in 2020/21 only (table 2).
- 3) Note the proposal to increase core Council Tax by 1.99% in 2020/21 (Table 2 and paragraph 1.22).
- 4) Note the proposal to increase Council Tax by 2.0% in 2020/21 in respect of the Adult Social Care Precept (Table 2 and paragraph 1.22).
- 5) Note there are no proposed structured changes to the schools funding formula for 2020/21 as set out in Appendix 3 and paragraphs 1.49 to 1.53.
- 6) Approve the draft Public Health budget for 2020/21 as set out in Appendix 4.
- 7) Note the assumed funding for the protection of social care 2020/21 through the BCF as set out in paragraphs 1.57 to 1.60
- 8) Authorise the Director of Finance, following consultation with the Portfolio Holder for Finance and Resources, to agree Harrow's 2020/21 contribution to the London Borough's Grant Scheme (paragraph 1.63).
- 9) Note that the London 75% Business Rate Retention Pilot will not continue in 2020/21 but the London Borough's Leaders Committee have agreed to continue to informally post business rates across all London authorities in 2020/21 as set out in paragraph 1.9.

10) Delegate to the Director of Finance, 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 2020/21.

Final approval will be sought from Cabinet and Council in February 2020

**Reason: (For recommendations)**

To ensure that the Council publishes a draft budget for 2020/21 and a draft 3 Year MTFS to 2022/23.

## Section 2 – Report

### BACKGROUND

- 1.1 Local Government finances continue 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 In November 2019, the Institute for Fiscal Studies published their report ‘English local government funding: trends and challenges in 2019 and beyond.’ The report continued the conversation that councils will face significant future cost pressures for adult social care. A finding from the report showed that, based on central government projections of the cost of adult social care services rising 3.4% above inflation per annum, Councils would need to find an extra £1.6bn by 2024/25 increasing to an extra £9bn by the mid 2030’s based on council tax increases of 4%.
- 1.3 Harrow remains one of the lowest funded Council’s both within London and nationally. Table 1 below summarises the key financial changes over the 7 year period up to 2019/20:

**Table 1: Summary of Key Financial Changes 2013/14 to 2020/21**

	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	77
<b>Total</b>		<b>60.9</b>	<b>26.1</b>	<b>-95.8</b>	<b>-42.2</b>		

The table shows:

- The Council has seen the Revenue Support Grant, its main source of funding from central government reduce by 97% over the 8 years, reducing the grant to £1.6m from £52.1m (a £50.5m reduction).
- Over and above the RSG, the Council receives no additional funding to meet demographic and inflationary pressures. Therefore growth of £60.9m has had to be provided to fund the continued pressures on front line services, mainly adults and children's social care and homelessness. Technical growth of £26.1m has had to be provided to fund inflationary pressures (pay and non pay) and the cost of capital investment in initiatives including highways maintenance and the acquisition of properties to alleviate homelessness.
- These three factors have taken the total budget shortfall to find over the eight years to £138m to achieve a balanced budget.
- Savings and efficiencies of £96m 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.
- Council Tax has been increased largely in line with referendum limits (2.99% in 18/19 and 19/20 and 1.99% proposed for 2020/21). In addition, Council Tax has been increased by an additional 7.5% over the four years 2016/17 to 2019/20, with 2% proposed for 2020/21 in respect of the Adult Social Care precept.
- Business Rates have remained largely static, the Borough has been adversely affected by permitted development allowing office space to be converted to residential and not benefitting from large areas of land available for business development.
- Council Tax, as a percentage of revised revenue budget requirement, has increased from 51% in 2013/14 to 77% in 2020/21 which shows the transfer of responsibilities onto the Council Tax payer.

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 budget going forward in light of continued demand pressures and funding uncertainty facing the Council. In February 2019 full Council approved the Medium Term Financial Strategy (MTFS) 2019/20 to 2021/22. Despite achieving a balanced budget for 2019/20, there remained a budget gap of £26.140m for 2020/21 and 2021/22. This forms the starting point for the budget setting process for 2020/21 which includes refreshing the 3 year MTFS.

1.5 Harrow Council does not have large cash reserves. Its General Fund balances stand at £10m and remain within the lower quartile when benchmarked with other local authorities and the Council has consistently taken the view that spending them is not a responsible way to offset lost

revenue. The Council does exercise robust financial management and has not overspent its revenue budget for the last 8 years. The Council has not shied away from implementing in year spending controls if early indications suggest a balanced budget position is not on track. Such actions have helped to prevent unnecessary draw downs on the Council's limited cash balances.

## **SUMMARY**

- 1.6 The draft budget set out in this report shows an updated MTFs with a number of changes which Cabinet are asked to note. The changes achieve a balanced budget position for 2020/21 and budget gaps of £15.328m and £8.924m for 2020/21 and 2021/22 respectively. The MTFs is based on the Spending Round 2019, announced Wednesday 4 September 2019, which confirmed broad public spending allocations for 2020/21 only. The Spending Round 2019 was subject to a technical consultation which closed on 31 October 2019. Central government intends to come back to the sector with proposals in the 2020/21 Provisional Local Government Finance Settlement in early December 2019 with the final settlement being agreed no later than the end of January 2020. The General Election on 12 December 2019 may impact on settlement agreements and dates. Section 30 of the Local Government Finance Act 1992 requires local authorities to set their council tax no later than 11 March 2020 therefore the final budget and MTFs will proceed to Cabinet and Council in February 2020. The Council does hold a contingency for unforeseen items (£1.248m) which is intended to support uncertainties. Whilst it is intended that Members will approve the MTFs in February 2020, this is subject to a number of assumptions in relation to grant settlements, council tax income, legislation and demographics. The Council will still be required to review the Council's budget on a yearly basis; however approval of the MTFs will allow officers to progress a number of important projects.

## **EXTERNAL FUNDING POSITION**

- 1.7 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 Spending Round 2019 have done little to address the relative position of Harrow's funding baseline.
- 1.8 The 2019 Spending Round confirmed broad public spending allocations for 2020/21 only. Whilst this does result in additional funding for 2020/21, which is well received, the short term temporary nature of the income increases the challenge of considering it over the medium and longer term, for budget planning and sustainability purposes. The key areas of the Spending Round 2019 are detailed below:
- Council Tax increases are capped at 4% which is 2% core council tax and 2% Adult Social care precept.
  - £1bn of new funding for Social care. London will receive £155m of which Harrow's share is £3.482m.



- The London 75% Business Rates Retention Pilot will not continue for a third year. Harrow has benefitted from such an arrangement receiving £3.5m in 2018/19 and an estimated £1.8m in 2019/20.
- The Public Health Grant will increase by over 3% (£100m nationally) and the working assumption is that Harrow's share will be approximately £324k.
- £700m of high needs funding for LAs from 2020-21. Initial calculations suggest that this will generate additional funding for Harrow of approx. £2.7m. This will contribute to the increasing shortfall in funding provided for the High Needs Block and will mitigate some of this year's projected deficit which will be carried forward to 2021-22 however it does not resolve the overall issue of underfunding in this area.
- The New Homes Bonus will continue at its current 2019/20 level in 2020/21 but legacy payments, only for the scheme as it was in 2019/20, will continue. There will be no legacy payments for the cash payment in 2020/21.

1.9 2019/20 was the final year of the four year settlement and the Spending Round 2019 provided funding for 2020/21 only. The sector is undergoing a period of significant change that brings with it growing uncertainty both in terms of funding and service direction. The coming months will see major external events which will influence the Council's funding for 2021/22:

- The **Spending Review 2020** which should set the quantum of the overall funding envelope for local government. The period the SR will cover, timelines for submission and the date of SR announcements all remain unknown.
- **Fair Funding Review** will reset the needs baseline which will determine how the overall quantum of local government funding is distributed. Consultation is expected in Spring 2020.
- **Business Rates Reform** Central government is intending to allow local government, as a whole, to retain all or a significant proportion of its rates collected. Prior to 2018/19 Councils retained 30% of their business rates collected. From 2018/19 Harrow has been part of the London Business Rates Pool allowing the council to receive a proportion of the collective growth in London. The 2019 Spending Review confirmed the London 75% Business Rates Retention pilot will not continue in 2020/21. The Local Authorities share, and therefore Harrow's retention share, will therefore change from 48% to 30%, (i.e. the central share will be 33% with the 67% local share being split 37% GLA / 30%. The London Borough's Leaders' Committee have however agreed to continue to informally pool business rates across all 34 London authorities in 2020/21 – subject to the Mayor agreeing to forgo the GLA's share of any net financial

benefit. At this stage the potential financial benefit from business rates reform and the informal pool is not known and has therefore not been built into the MTFs. Once quantified, it could be applied to support any changes as a result of business rates revaluation.

- **Business Rates Revaluation** A further revaluation is due on the 1/4/2020, effective for the year 2021/22. It will alter the Rateable Values (RV) and therefore the amount that Harrow can collect in business rates. It is intended to be revenue neutral, by Central Government adjusting the multiplier so the same income quantum (plus CPI) is achieved. However the neutrality is at national level and Harrow's position is uncertain.
- The **Adult Social Care Green paper** has been subject to many delays. As people are living longer and the population ages Central Government recognises the need to reach a long term sustainable solution to providing the care older people need. A confirmed date for the release of the green paper remains unknown and the Council remains subject to temporary injections of funding, which whilst appreciated, cannot be used to underpin longer term planning and decision making.
- Schools are funded by the ring fenced Dedicated Schools Grant (DSG) which sits outside of the General Fund. Within the DSG is the **High Needs Block (HNB)** which funds provision for pupils with high needs placed in special schools and special provision in mainstream schools in Harrow and out of Borough. A recent survey showed that London Borough's had a total shortfall of £78m in 2017/18 compared with high needs funding allocations. For the first time in 2019/20 Harrow has had to set a £3.3m deficit budget for its HNB and is projecting a deficit of £4.1m by the end of the financial year. The 2019 Spending Review is estimated to allocate £2.7m of additional funding to Harrow in 20/21 and future funding arrangements remain unknown.

### **DELIVERY OF THE 2019/20 BUDGET**

1.10 Delivery of the 2019/20 budget is critical to maintaining the Council's financial standing and to do everything possible to protect front line services. The 2019/20 revenue budget includes a challenging savings target of £5.946m. At Quarter 2 (as at 30 September 2019) performance against the target is reflective of the increasingly challenging fiscal and demand led environment the Council is finding itself in:

- £1.983m of savings (33%) are already achieved or on course to be achieved (rated Green)
- £3.187m of savings (54%) are partially achieved or risks remain (rated Amber)
- £776k of savings (13%) will not be achieved (rated Red)

1.11 The Quarter 2 forecast, subject to a separate report elsewhere on the agenda, indicates a directorate overspend of £4.445m with key pressures

across the three directorates. The detailed analysis of the forecast pressure is included in the separate report and summarised below:

#### **Resources Directorate:**

- Resources is forecasting an overspend of £514k as a result of exiting Shared Service arrangements for HR and Procurement, the Communications team's budget being formalised following agreement to its future role and a loss of income from schools and non achievement income targets. This is partly mitigated by additional income received from Land Charges and Registration Services. Growth has been provided for in the MTFS to stabilise these pressures moving forward.

#### **People Directorate:**

- The People directorate is forecasting an overspend of £871k of which £85k relates to the non recurring revenue costs associated with relocating staff from Alexandra Avenue Health Centre to the Civic Centre to support integration with the CCG. The remainder is the continued pressure against the transport budget for adults and children with SEN. Transport is subject to a whole systems review, the results of which are due towards the end of the year. Being prudent, and reflecting that a proportion of the pressure is demand related, growth has been provided for within the MTFS for SEN transport with the intention of this being removed over two years as a result of the whole systems review.
- In 2019/20 £2.6m of additional funding was received for social care. As this funding was announced for 1 year only, it was not built into the budget and ear marked in an Adults Social Care reserve. With the exception of transport, Adults are forecasting a balanced budget position and this assumes a £1.3m draw down from the reserve. The balance of the reserve will be applied to the on going impact of these pressures into 2020/21 with permanent growth being built into the draft MTFS from 2021/22.

#### **Community Directorate:**

- The Community directorate is forecasting an overspend of £3.060m of which £917k is against Environment and & Culture and £2.143m against Commissioning & Commercial services:

#### **Environment & Culture:**

- Interim management arrangements (£168k)
- Reduced revenue rebate from dry recyclables (£447k)
- Food waste collection – route optimisation (£150k)
- Reduced income in Waste management (£82k)
- Harrow Arts Centre – part slippage of saving into 2020/21 (£70k).

#### **Commissioning & Commercial Services:**

- Facilities Management (£1.352m)
- Parking Services and Network Management (£395k)
- Catering service (104k)
- Commercial rent income (£104k)
- Contracts Management (£118k)
- Other (£99k)

1.12 A number of the in year pressures are driven by external factors or where planned actions are no longer operationally feasible and growth is required to address these issues. In total £2.273m growth has been provided for in the 2020/21 draft budget for the following reasons:

- £628k Waste disposal costs relating to a reduction in the revenue rebate for dry recyclables (£447k) and inflationary pressures on the West London Waste Levy (£181k). Acknowledging these pressures the intention to remove £255k from the waste budget in 2019/20 is no longer feasible and this MTFS growth that was previously reversed is been re-instated.
- £30k to reflect increased public mortuary SLA costs
- £160k to reflect the loss of car parking and rental income as these facilities are either transferred or disposed off to support the Regeneration Programme.
- £137k of MTFS savings relating to the Arts Centre is re-profiled beyond the 2020/21 MTFS to reflect the revised timeline for the capital improvements to the Arts Centre.
- £500k as a result of cost pressures in facilities management in recognition that the current budget is not sufficient to fund both cleaning and building repairs to corporate sites.
- £150k to reverse the MTFS saving relating to food waste collection and route optimisation. The collection of food waste from flats is contained within existing crews and reducing a collection round is no longer operationally feasible.
- The Public Protection service has an income budget of £1.33m. Based on licensing activity, a more achievable target is £1.23m hence a reduction of £100k.
- As part of the 2015/16 budget process, for 2017/18 an additional income target of £100k was estimated from the Harrow Leisure centre. The procurement process for the Strategic Development Partner covers three core sites and does not include the leisure centre at this stage.
- In 2019/20 additional staffing levels are being used to support parking enforcement. The effectiveness of this is being assessed throughout the year and a decision will be made, after a full year of assessment, as to whether this investment should be continued. Being prudent recurrent growth is provided in the MTFS but this will be subject to the results of the assessment.

- 1.13 A sum of £200k is provided as growth in 2020/21 to invest in Corporate Health and Safety.
- 1.13 In addition to the above, the current MTFS includes additional rental income due from the two additional floors being built at the depot, £473k in 2020/21. Firstly there is a revised timeline for the completion of the depot project. Secondly the Council is in the process of procuring a Strategic Development Partner to take forward its Regeneration Plans for three core sites. The provision of a new Civic Centre is included in these plans. The results of the procurement process will not conclude and be reported to Cabinet until approximately June 2020. Until the detailed plans for the new Civic Centre are known, it cannot be determined if the two additional floors at the depot will be required for staff accommodation or commercial rental purposes. It is therefore considered prudent to remove the income target from the current MTFS and when plans are finalised a decision can be made whether the target is re stated. In summary, the total of the pressures driven by external factors and operationally no longer feasible (£2.273m), investment in corporate Health & Safety (£200k) and the prudent removal of the depot income (£473k) total £2.946m and growth has been provided for these items in the draft 2020/21 budget.
- 1.14 Over the summer period a series of budget reviews was undertaken by the directorate and finance to understand the on going implications of the pressures identified. The results of these reviews identified a further estimated budget pressure of £2m. This is in addition to the growth of £2.946m and can be categorised into two key areas:
- Category 1 - £700k of services which must be provided within current budget. There are three key services within this category, cleaning SLA (£305k), trading standards (£222k) and catering (£80k).
  - Category 2 - £1.3m of additional income which the directorate needs to achieve to meet targets already built into the MTFS. There are two key strands within this category. In respect of the new depot (excluding the additional two floors), the current MTFS assumes income of £1.234m of which £861k is being progressed. . The second strand primarily relates to Schools SLA income which is proving challenging against a back drop of a reduced take up of the services.
- 1.15 To progress the £2m pressures estimated in 1.14 above, the directorate has commenced a programme of budget reviews to baseline budgets that reflect business needs. The baselining will take into consideration any future operating models which provide opportunities for growth or maximise operational efficiencies. The budget review will include an analysis of performance against income budgets. Commercial activities are being reviewed to explore any growth opportunities to generate additional income. The directorate needs to ensure that any future service provisions are financially sustainable. The directorate has a timeline of 2 years (2020/21 and 21/22) to meet the £2m on going pressures and the Commercialisation reserve will be used to support during this timeline.

- 1.16 These Directorate overspends are being offset by an underspend in the Corporate and Technical budgets totalling £4.191m resulting in a net overall overspend of £254k. The Corporate underspends relate to the Corporate contingency of £1.248m, capital financing savings of £2.307m largely as a result of securing borrowing from PWLB at a lower interest rate than budgeted for and other underspends of £636k across a number of budgets.

The next sections of this report go on to explain the process and adjustments required to set the draft budget for 2020/21. The in year underspends within Corporate and Technical will be vired to provide directorates with the budgets required to support their services over the MTFs (based on information known at the time of this report.) However this does mean that the central contingency is now at the minimal level required to fund technical items, such as external levies and capital financing costs, and the importance is on directorates managing services within existing resources as far as is safely possible.

## **BUDGET PROCESS 2020/21**

- 1.17 The Council has a statutory obligation to agree and publish the budget for 2020/21, and approval for this will be sought in February 2020. In preparing the 20/21 budget, and rolling forward the MTFs to cover the three year period 2020/21 to 2022/23, the current MTFs (approved by Council in 2019) has been the starting point for the process.
- 1.18 For clarity the key assumptions underpinning the starting point for the updated 3 year MTFs are summarised. The MTFs approved in February 2019 assumed a budget gap of £16.795m for 2020/21 and £9.346m for 2021/22. 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 £2.1m in 2020/21 and £2.9m in 2021/22.
- 1.19 As the Council's financial position is dynamic and is affected by a number of financial uncertainties and adjustments that will impact upon its financial position over the long and medium term, in preparing the draft budget for 2020/21 the existing MTFs has been refreshed and rolled on a year and the adjustments are summarised in Table 2 below. Following Table 2 there is an explanation for the figures in the table. These adjustments will also be set out in Appendix 2 along with Adjustments included within the previous MTFs agreed as part of the 2019/20 Budget process:

<b>Table 2 : Changes to MTFS (Prior to Local Government Finance Settlement)</b>			
	2020/21	2021/22	2022/23
	£'000	£'000	£'000
<b>Budget gap as at February 2019 Council Report</b>	<b>£16,795</b>	<b>£9,346</b>	<b>£0</b>
<b>Implications of Rolling the MTFS forward to include 2022/23</b>			
Capital Financing costs from additional Capital Programme			£1,250
Pay Inflation			£2,000
Non Pay Inflation/budget pressures			£2,750
<b>Council Tax Base changes</b>			
Increase in Council Tax base from 86,250 to 87,667 (£750k previously assumed in the 2019/20 budget, so a further £1,325k)	-£1,325		
Increase in Council Tax base from 87,667 in 2020/21 to 88,160 in 2021/22		-£750	
Collection Fund Surplus 2019/20	-£2,120	£2,120	
<b>Council tax increases</b>			
<i>Assumes Council tax of 1.99% and 2% for Adult Social Care (ASC) Precept:</i>			
Increase in Council tax to total of 3.99% (1.99% previously assumed so the addition relates to 2% for the ASC precept)	-£2,611	-	-
<b>Revised budget gap</b>	<b>£10,739</b>	<b>£10,716</b>	<b>£6,000</b>
<b>Savings proposals:</b>			
Resources	-£123	-£33	
Communities	-£153	-£79	
Children's	-£410	-£410	
SEN Transport Efficiencies from Transformation	-£400	-£400	
Council wide Transformation Target - £1m pa over and above SEN Transport target		-£1,000	-£1,000
<b>Growth Proposals</b>			
Resources Directorate	£1,006	£353	£678
Community Directorate	£2,946	£0	£0
Children's - SEN Transport	£789		
Adults - removal of previous assumed MTFS growth	-£971		
<b>Revised budget gap</b>	<b>£13,423</b>	<b>£9,147</b>	<b>£5,678</b>
<b>Technical Adjustments</b>			
<b>Social Care Funding</b>			
Continuation of the 2019/20 Adults Social Care funding as permanent funding	-£2,625		
Allocation of Adult Social Care funding to adults	£2,625		
Additional Social Care Funding in 2020/21 assumed as permanent funding	-£3,482		
<b>Corporate Budgets</b>			
Reduction in Litigation Reserve budget	-£125		
Reduction in levies, grants and subscriptions budget	-£70		
Reduction in Inflation provision based on previous allocation	-£500		
Reduction in existing Freedom Pass budget	-£500		
<b>Capital Financing</b>			
Reduced costs of borrowing (from £100m taken between April and July 2019)	-£500		
Application of capital receipt to reduce borrowing costs	-£550		
Additional planned saving on borrowing costs	-£500		
General reduction in Minimum Revenue Provision costs	-£500		
<b>Additional Income</b>			
Gayton Road - rental income from 53 PRS units	-£450	-£144	-£47
£2.5m of income from Commercial Investments of £100m included in the Capital Programme	-£150	-£1,175	-£1,175
<b>Technical Grants</b>			
Additional New Homes Bonus for 2020/21	-£1,416	£1,416	
Assumption that New Homes Bonus reduces in 2022/23			£728
Continuation of Revenue Support Grant for 2020/21	-£1,585		
Multiplier Cap Funding - continuation for 2020/21	-£1,145		
<b>Revised budget gap</b>	<b>£1,950</b>	<b>£9,244</b>	<b>£5,184</b>
<b>Use of Reserves</b>			
One off draw down from the Budget Planning Reserve	-£1,950	£1,950	
Use of Business Risk Reserve smoothed over 2 years		-£1,850	£1,850
Use of Business Risk Reserve smoothed over 2 years			-£1,464
<b>Revised budget gap</b>	<b>£0</b>	<b>£9,344</b>	<b>£5,570</b>
<b>Adults Growth / Pressure</b>			
<b>Revised budget gap - assumes Council tax increase of 3.99% In 2020/21 only</b>	<b>£0</b>	<b>£15,328</b>	<b>£8,924</b>

## 1.20 Implications of rolling budget forward to include 2022/23:

- **Capital Financing Costs from additions to the Capital Programme** – the existing Capital Programme extends to 2020/21 and all Capital Financing costs were previously included in the 2019/20 budget and MTFS up to 2021/22. The new Capital Programme for 2020/21 to 2022/23 will include additions for financial years 2020/21 to 2022/23. The working assumption is that the additional Capital Financing cost will be contained within £1.25m which is included in Table 2. Any implications for 2023/24 will need to be included in the budget model as part of next year's budget process.
- **Pay Inflation and General Inflation** – the budget includes £2m for a 2% pay award in 2022/23 and £2.75m to cover other non pay inflation and an element for budget growth.

## 1.21 Council Tax Adjustments

In 2020/21 the Council tax base will increase to 87,667 from its 2019/20 base of 86,250. This is an increase of 1417 Band D's which equates to total additional council tax income of £2.075m. As part of the 2019/20 budget process a sum of £750k was previously included on the assumption of an increase in the tax base to 86,752. Therefore, a further £1.325m is being included as part of the 2020/21 budget process. For 2021/22 a further increase in the tax base is assumed which will take the tax base to 88,160 which will generate a further £750k.

- 1.22 This report has explained the funding uncertainties facing local government and the challenges around the 2019 Spending Review only delivering a 1 year revenue settlement. Until there is more clarity around funding for 2020/21 onwards, especially in relation to social care, it is difficult to set council tax rates beyond the forthcoming year. Therefore table 2 reflects an increase in Council tax up to the allowable limit of 3.99% (1.99% core CT and 2% Adults Social Care precept) in 2020/21 only. This results in the draft budget for 2020/21 balanced with a gap of £15.328m and £8.924m for 2021/22 and 2022/23 respectively.

If the expectation of central government is that Councils continue to increase council tax to contribute towards demand pressures, at the current allowable limit of 3.99%, this would generate an estimated £10.7m for the council over years two and three of the draft MTFS and reduce the budget gap to £9.978m in 2021/22 and £3.574m in 2022/23.

- 1.23 There is a report elsewhere on the agenda that estimates the surplus / deficit on the Collection Fund for 2019/20. The report details an overall net estimated surplus as at March 2020 of which Harrow's share is £2.120m which is now reflected in the budget for 2020/21. As this is a one off benefit it must be reversed out in 2021/22.

- 1.24 The combination of the increases to the tax base and 3.99% council tax increase generates an additional £7.199m in 2020/21 in Council tax income.



## 1.25 **Savings identified as part of the 2020/21 Budget process**

The 2020/21 budget setting process has identified additional savings of £7.151m and additional growth of £4.801m over the three years. These are summarised in table 5 and detailed in Appendix 1A.

## **Technical Adjustments**

- 1.26 **Social Care Funding** – the Council is currently receiving £2.627m for adult and children’s social care in 2019/20. This is Harrow’s share of additional funding of £650m provided to Councils across England. The Spending review which was announced on 4<sup>th</sup> September 2019, confirmed the continuation of this grant in 2020/21 and also announced a further allocation of £1bn across England for 2020/21. Harrow’s share of the £1bn has been estimated at £3.482m.
- 1.27 **Corporate Budgets** – A number of reductions are made to corporate budgets totalling £1.195m which reflect previous assumptions made for potential increases which have not materialised and therefore these budgets can now be reduced. For example, in the 2018/19 budget process a sum of £500k was assumed to meet potential inflationary increases and demand in the Concessionary fares budget in 2020/21, but the latest estimates show that this is not required and can therefore be released.
- 1.28 **Capital Financing Costs** – there are savings in capital financing costs totalling £2.050m set out in Table 2. £1m of this relates to a reduction in interest charges as a result of having borrowed £100m at a rate lower than budgeted and further planned borrowing being deferred and borrowed at a rate below the sum assumed in the budget. In addition the application of capital receipts to fund capital has led to savings on borrowing of £550k and there is a general reduction in MRP as short life assets are fully funded and MRP costs are therefore reduced.
- 1.29 **Additional Income** – the 53 units at Gayton Road being managed by the LLP will deliver an additional £641k in income to the Council by 2022/23 (£450k in 2021/22 increasing to a total of £641k by 2022/23).
- 1.30 **Additional 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 (2.5%). One property has been purchased from the £100m which is generating a net return of £150k which is built into the 2020/21 draft budget. The balance of the net return is allocated over years two and three of the MTFs and there is the potential to bring this forward.
- 1.31 **Technical Grants** - In 2019/20 the New Homes Bonus (NHB) grant is £4.344m. The budget last year (2019/20) assumed that the NHB for 2020/21 would reduce to £2.928m. The latest information from London Councils suggests that Councils will receive the same cash allocation in 2020/21 as they did in 2019/20. Therefore a one off increase of £1.416m has been included for 2020/21, but budget reductions that had already been built into the budget for a winding down of the scheme are being maintained

and a further £728K reduction is assumed in 2022/23 which would bring the grant down to £1.666m by 2022/23.

1.32 The 2019 Spending Review also set out a continuation of **Revenue Support Grant (RSG)** for a further year in 2020/21 of £1.585m and also the **Multiplier Cap grant of £1.145m** as part of our baseline funding. The assumption is that these will form part of our 2020/21 baseline before any reset takes place for 2021/22 as a result of the review of 2020 Spending Review and Fair Funding Review.

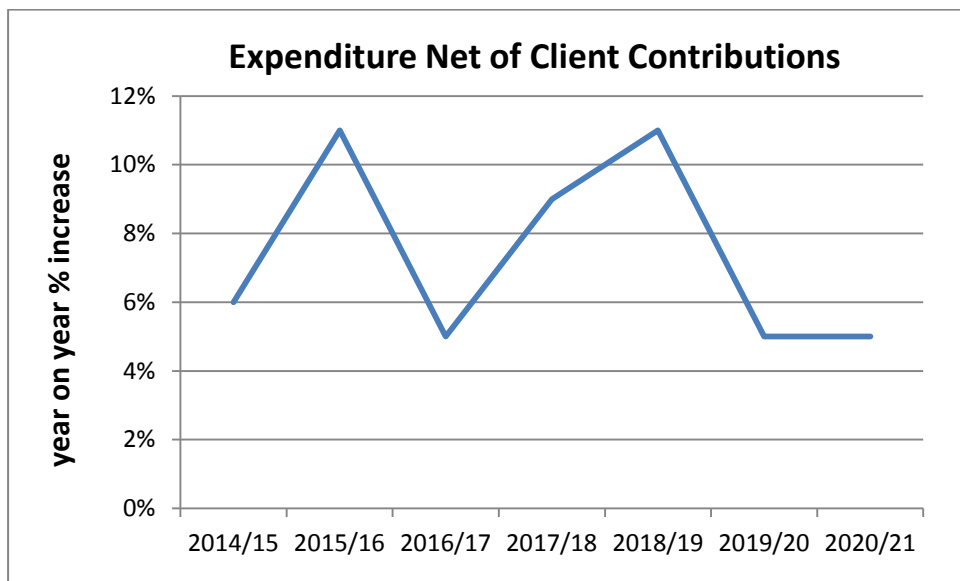
1.33 Once the figures are received as part of the Final Finance settlement, any adjustments required will be made for the Final Budget to be agreed by February Cabinet .

1.34 **Use of Reserves** – the budget assumes the use of £1.950m from the Budget Planning Reserve in 2020/21 and that a total of £3.314m will be drawn down from the Business Risk reserve between 2021/22 and 2022/23.

1.35 **ADULT SOCIAL CARE GROWTH FORECASTS**

Picking up on the point made earlier in this report, 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. In 2018/19 Adult Services started its transformation programme ‘Resilient Communities’. Cost efficiencies were included in the MTFs of £1.970m and have largely being delivered.

As part of extensive modelling work to understand the future demands on Adults Social care, evidence based analysis does show that cost pressures are showing signs of slowing down with the forecast increase of 5% in 2020/21 being in line with 2019/20, as detailed below:



1.36 However 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 is estimating future cost pressures that are currently not in the MTFS:

**Table 3: Estimate Adult Social Care Growth 2020 to 2024**

Growth	2020/21	2021/22	2022/23	2023/24
	£'000	£'000	£'000	£'000
Complexity	1,647	1,000	1,000	1,000
Mitigations	(1,584)	(300)	0	0
Demography	537	1,074	1,074	1,074
Care provider inflation	700	570	570	570
Commissioning activity	0	3,640	710	770
Less ACS reserve	(1,300)	0	0	0
<b>MTFS Impact</b>	<b>0</b>	<b>5,984</b>	<b>3,354</b>	<b>3,414</b>

The following narrative supports the numbers in table 3 above:

**Complexity** includes the increased cost of existing packages or care as clients remain within the system

**Mitigations:**

- 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)
- Subject to members review of the consultation, implementation of a revised charging policy which will be approved through Cabinet
- Market shaping to reduce a target cohort of high cost packages (mental health and Asian elders)
- 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

**Demography** assumes 50 new services users per annum

**Commissioning activity** is to support the review of elements of care aiming to increase quality and keep pace with the external market

1.37 However these estimated growth projections, and the assumptions upon which they are based, are very much a work in progress 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. Due to its complexity, the model is in effect an on going process which will need to be robustly managed to ensure the optimum balance between budget requirement and service provision in line with the ethos of the resilient communities' transformation. As the model does identify future funding pressures it is important to include them in the MTFS and they are reflected in table 2. These pressures are linked to future funding announcements and the MTFS currently does not assume any additional support over and

above that received for 2020/21. In particular the commissioning activity cannot be implemented until there is some surety of additional funding

- 1.38 It is accepted that in the current climate the mitigations of £1.584m estimated for 2020/21 will prove challenging and the Council hold a contingency for unforeseen items.

### Budget Refresh, Growth & Savings

- 1.40 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 2020/21 and 2021/22 have been reviewed to ensure that they can either be taken forward or removed as part of this draft budget.
- 1.41 Table 4 summarises the total savings and growth put forward as part of the 2019/20 and 2018/19 budget setting process in respect of financial years 2020/21 and 2021/22. Table 4 shows total savings of £5.072m between 2020/21 and 2021/22 and growth of £2.367m, so net savings of £2.705m. The detail is set out in Appendix 1B.

**Table 4: Savings and Growth from 2019/20 and 2018/19 Budget setting**

	2020-21	2021-22	Total
	£000	£000	£000
<u>Savings Summary</u>			
Resources	(595)	(1,901)	(2,496)
Community	(1,530)	(1,046)	(2,576)
<b>Savings Total</b>	<b>(2,125)</b>	<b>(2,947)</b>	<b>(5,072)</b>
<u>Growth Summary</u>			
Resources	95	140	235
Adults	881	652	1,533
Community	25	-	25
Corporate	330	244	574
<b>Growth Total</b>	<b>1,331</b>	<b>1,036</b>	<b>2,367</b>
<b>Total Growth and Savings</b>	<b>(794)</b>	<b>(1,911)</b>	<b>(2,705)</b>

- 1.42 Table 5 sets out the total savings and growth proposed as part of the current 2020/21 budget process. Table 5, shows savings of £7.151m and growth of £4.801m over the three year period 2020/21 to 2022/23. Overall there is net savings in the budget of £2.350m over the 3 year period. The detail of these savings and growth is set out at Appendix 1A.

**Table 5: Savings and Growth 2020/21 to 2021/23 from the 2020/21 process**

	2020-21	2021-22	2022-23	Total
	£000	£000	£000	£000
<u>Savings Summary</u>				
Resources	(123)	(33)		(156)
Children	(410)	(410)		(820)
Community	(155)	(79)	-	(234)
Corporate	(1,000)	(2,719)	(2,222)	(5,941)
<b>Savings Total</b>	<b>(1,688)</b>	<b>(3,241)</b>	<b>(2,222)</b>	<b>(7,151)</b>
<u>Growth Summary</u>				
Resources	1,006	353	678	2,037
Adults	(971)	-		(971)
Children	789	-	-	789
Community	2,946			2,946
<b>Growth Total</b>	<b>3,770</b>	<b>353</b>	<b>678</b>	<b>4,801</b>
<b>Total Growth and Savings</b>	<b>2,082</b>	<b>(2,888)</b>	<b>(1,544)</b>	<b>(2,350)</b>

- 1.43 Table 6 sets out the summary of all savings and growth submitted as part of this year's budget and previous years budgets which give the total savings and growth for both 2020/21, 2021/22 and 2022/23. This is the combined total of Tables 4 and 5 which shows total net savings of £5.055m over the three years, the detail is set out in appendix 1C.

**Table 6: Summary of Savings and Growth 2020/21 to 2022/23**

	2020-21	2021-22	2022-23	Total
	£000	£000	£000	£000
<u>Savings Summary</u>				
Resources	(718)	(1,934)	-	(2,652)
Children	(410)	(410)	-	(820)
Community	(1,685)	(1,125)	-	(2,810)
Corporate	(1,000)	(2,719)	(2,222)	(5,941)
<b>Savings Total</b>	<b>(3,813)</b>	<b>(6,188)</b>	<b>(2,222)</b>	<b>(12,223)</b>
<u>Growth Summary</u>				
Resources	1,101	493	678	2,272
Adults	(90)	652		562
Children	789			789
Community	2,971	-	-	2,971
Corporate	330	244		574
<b>Growth Total</b>	<b>5,101</b>	<b>1,389</b>	<b>678</b>	<b>7,168</b>
<b>Total Growth and Savings</b>	<b>1,288</b>	<b>(4,799)</b>	<b>(1,544)</b>	<b>(5,055)</b>

## INVESTMENT

- 1.44 The Council is holding a Business Risk Reserve of £7.526m which was set at the time of the Council presenting its 2 Year Budget Strategy (2020/21 to 2021/22) to Cabinet in July 2019. The strategy referred to options of future Council Tax increases over and above what was already built into the MTFS. Based on the understanding of central government fiscal calculations at the time, an increase in Council Tax of 5% per annum over the two years of the strategy would generate approximately £7.5m in revenue. The reserve was set aside to fund this risk.

1.45 The Spending Review 2019 announced a maximum 4% increase in Council Tax (2% Adult Social Care Precept and 2% core CT). The revised MTFS assumes a Council tax increase of 3.99% per annum over the three years which releases the Business Risk Reserve for alternative uses and the reserve has been applied as follows:

- £3.314m built into the MTFS in 2021/22 and 2022/23 as temporary one off support.
- £3m member investment in front line priorities at £1m per annum (reviewed annually)
- £1.212m to remain within the reserve

1.46 In 2020/21 investment will be made of £1m into the following front line priorities:

**Table 7: Investment 2020/21**

<b>Front line Priority</b>	<b>Investment</b>
Street Sweeping	£184,000
School Improvement	£90,000
Improvements to the Council Tax Support Scheme	£400,000
Enforcement, fly tipping, HMO's and planning	£100,000
Additional Funding for Ward Priorities	£21,000
District Centre Projects	£100,000
Community Cohesion	£70,000
<b>TOTAL INVESTMENT</b>	<b>£965,000</b>

**Street Sweeping** – This will retain the cycle of 2 weekly sweeping within the Borough

**School Improvement** – Harrow School Standards and Effectiveness Team will employ an additional School Improvement Professional to increase capacity in:

- a. Supporting school leadership and governance
- b. Providing more direct support to schools causing concern rather than sign post them elsewhere
- c. Carrying out whole school reviews / audits in targeted schools
- d. To promote the wider work of the Council with schools and Early Years settings / childminders
- e. To strengthen the partnership with the Harrow Education Partnership (schools-led) and other partners

**Improvements to the Council Tax Support Scheme (CTS)** – The CTS Scheme is subject to a separate report on this agenda. In summary Following a full consultation this summer on the introduction of an income banded council tax support scheme for claimants migrating to Universal Credit (UC), the Council have, following consultation feedback, invested an additional £400k into local council tax support schemes to help Harrow’s poorest council tax payers.

The additional cash investment will be accounted at both tax base level (collection fund) as well as in the Revenue budget. The new scheme adopted will, over 3 years, as claimants migrate to UC in a phased way, grant more generous CTS awards to many claimants, resulting in an additional £400k being additionally awarded through the CTS scheme by 2022/23. In the meantime, the unspent part of the investment will instead be used to fund a new 3 year Council Tax Protection Fund which will provide the additional council tax support to our most needy and financially hard up council tax payers.

<b>Initiative to Support Harrow’s Council Tax Payers</b>	<b>Year 2020/21</b>	<b>Year 2021/22</b>	<b>Year 2022/23</b>	<b>Accounted for</b>
Additional awards expected to be granted by new Income Banded Scheme	£75k	£183k	£291k	@ Tax Base level
Funding for awards expected to be granted to CTS claimants impacted by 3.99% CT inflation	£100k*	n/a	n/a	Within Revenue budget
Funding for awards expected to be granted to CTS claimants impacted by UC migration	£130k	£130k	£130k	Within Revenue budget
Funding for individual council tax relief expected to be granted to CTS claimants experiencing extreme financial hardship	£95k	£87k	£0k	Within Revenue budget
<b>Total Investment</b>	<b>£400k</b>	<b>£400k</b>	<b>£400k</b>	

\*Applies to 2020/21 year only.

**Enforcement, fly tipping, HMO’s and planning** – Plans are currently being worked through to ensure the best returns from this investment.

**District Centre Projects** – The investment will deliver high-impact improvements to district centres in South Harrow, Rayners Lane, and Wealdstone. This follows consultation with local residents and ward councillors. The improvements include public realm enhancements, feature lighting, and artwork.

**Community Cohesion** – The investment will fund the continuation of a post to support the Council’s approach to community cohesion by getting out into communities, working with Ward Councillors and Partners, and understanding the issues, challenges and opportunities in the local area. From this diagnosis the role then supports the Council to put in place more targeted interventions which help to reduce further demand on services by being right first time.

#### **CAPITAL RECEIPTS FLEXIBILITY**

- 1.47 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.
- 1.48 The Council signified its intent to make use of this flexibility in its final budget report to Cabinet and Council in February 2016. The refreshed MTFS currently assumes no future use of capital flexibilities beyond 2019/20.

#### **SCHOOLS BUDGET – Dedicated Schools Grant (DSG) 2020/21**

- 1.49 In September 2019 the government announced an increased investment in school budgets and high needs for the next three years. For Harrow there is a projected increase in school funding of around £6.5m for 2020-21.
- 1.50 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 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.
- 1.51 There are no proposed changes to the **structure** of the formula for 2020-21 however there are a number of changes which Schools Forum, in consultation with schools, need to make a decision on.
- 1.52 The LA undertook a consultation with all schools, academies and free schools in Harrow to seek views on aspects of school funding for 2020-21 in the autumn term.
- 1.53 The full outcome of the consultation, proposed final funding formula and final DSG allocations will be reported to Cabinet in February 2020 for approval.

#### **PUBLIC HEALTH FUNDING**

- 1.54 The 2019 Spending Review announced that the Public Health Grant would increase by around £100 million nationally. The working assumption is that Harrow’s share will be approximately £324k and detailed below are the priority areas where the additional funding will be invested, the proposals



being aligned with evidence of population priorities and the emerging Health & Wellbeing Strategy and Borough Plan:

- Staffing – integrated care and priority work streams of mental health and long term conditions
- Additional funding for smoking cessation
- Physical activity projects and weight management
- Oral health
- Mental health
- Social prescribing

1.55 The draft Public Health commissioning intentions detailed in Appendix 4 of £10.848m are based on the expected grant allocation (yet to be notified by Public Health England) and enables an increase in expenditure as detailed above.

1.56 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.

#### **BETTER CARE FUND (BCF)**

1.57 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 (in 2019-20 £3.84 billion) 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.

1.58 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.

1.59 Whilst the detailed NHS guidance is awaited in relation to the 2020/21 BCF plan, the requirements around integration and collaborative working are expected to continue. The 2020/21 BCF plan will be signed off by the Health & Wellbeing Board ahead of submission to, and assurance by, NHS England.

1.60 The 2020/21 Adults budget assumes that funding for the Protection of Social Care through the BCF will remain at the agreed 2019/20 level of £6.112m.

#### **RESERVES AND CONTINGENCIES**

1.61 Reserves and contingencies need to be considered in the context of their need 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 and those for specific purposes are detailed:

- Contingency for Unforeseen items £1.248m – This is a recurrent revenue budget and is used to support unforeseen events during the year.
- Budget Planning Reserve – This reserve was set aside for 'budget smoothing'. The draft MTFs assumes £1.950m of the reserve is being applied for this purpose in 2020/21 leaving a balance of £679k.
- Business Risk Reserve – This reserve was set at £7.526m to fund the risk around the assumption of being able to increase Council Tax by 5% per annum for 2020/21 and 2021/22, Following announcements made in the Spending Round 2019, the draft MTFs now assumes a 3.99% per annum increase in Council Tax which releases the Business Risk Reserve from its original purpose. £3.314m of the reserve is being used to support the MTFs in years 2 and 3, £3m is being invested in front line priorities which leaves a balance of £1.212m.
- MTFs Implementation Reserve – At Quarter 2, the estimated carry forward balance on this reserve is £1.829m. This is set aside to fund redundancy costs.
- The Commercialisation Reserve stands remains at £1.265m

1.62 The Director of Finance will report on the adequacy of the Council's reserves as required in the budget setting report in February.

## **LONDON BOROUGHS GRANTS SCHEME**

1.63 Harrow's contribution to the London Borough's Grant Scheme was £188k in 2019/20. At the time of writing this report the Council has not been notified of the recommended contribution for 2020/21. To ensure that the Council can respond to London Council's when contribution rates are notified, its is recommended that Cabinet authorise the Director of Finance to agree Harrow's 2020/21 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 2020 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 2020/21 will commence on 16 December 2019 and will last for a period of 4 weeks ending 10 January 2020 before the final savings are recommended to Full Council on the 27 February 2020. The public consultation will give residents an opportunity to comment on the 2020/21 overall budget before final decisions are formalised in the council's annual budget. Other key stakeholders are consulted on the budget as detailed below:

Stakeholder	Meeting	Date
Unions	Corporate Joint Committee	TBC
Health Partners	Health and Wellbeing Board.	14-Jan-2020
Local Businesses	Harrow Business Consultative Panel.	28- Jan-2020
Overview & Scrutiny	Special meeting of O & S to review the budget.	23-Jan- 2020
Unions/Employees	Employees Consultative Forum.	29-Jan- 2020

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 2020/21 savings and may be subject to a separate cabinet report.

### **3.0 PERFORMANCE ISSUES**

- 3.1 The in-year measurement of the Council is reported in the Strategic Performance Report. The new Borough Plan will be presented to Cabinet and Council in February 2020. Performance against the plan will be reported quarterly to Cabinet through the Strategic Performance Report.
- 3.2 In terms of financial performance, Cabinet are updated quarterly of forecast spend against the agreed budget and achievement of savings built into the budget.

### **4.0 RISK MANAGEMENT IMPLICATIONS**

- 4.1 Financial risk is covered in the Council's Corporate Risk Register:
- Inability to deliver the Council's approved MTFS – leading to a dereliction of duties resulting in government intervention and an inability to pay the Council's debts. At Quarter 2 2019/20 this risk is rated at C2 – medium likelihood and critical impact

### **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 any thing (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

Name: Dawn Calvert	<input checked="" type="checkbox"/>	on behalf of the * Chief Financial Officer
Date: 19-12-2019		
Name: Jessica Farmer	<input checked="" type="checkbox"/>	on behalf of the * Monitoring Officer
Date: 4-12-2019		

### Section 3 – Procurement Clearance

Name: Nimesh Mehta	<input checked="" type="checkbox"/>	on behalf of the * Head of Procurement Officer
Date: 19-12-2019		

### Section 3 – Corporate Director Clearance

Name: Charlie Stewart	<input checked="" type="checkbox"/>	Corporate Director of Resources
Date: 19-12-2019		

<b>Ward Councillors notified:</b>	<b>No, as it impacts on all Wards</b>
<b>EqIA carried out:</b>	<b>To be reported on as Part of the Feb Budget report</b>
<b>EqIA cleared by:</b>	<b>n/a</b>

# Section 4 - Contact Details and Background Papers

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

Background Papers:

**Call-In Waived by the Chair of Overview and Scrutiny Committee**

Call in applies

*(for completion by Democratic Services staff only)*



Total Savings and Growth - 2020/21 Budget Process									Appendix 1A
Item No	Unique Reference No.	Headline Description re: saving / reduction	2020-21 £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
<b>Resources Directorate</b>									
1	RES 2	Access Harrow /Contact Cente - delete one post in the Adults team	(35)			(35)	N - Vacant Post. HR procedures will be followed and eia will be done as required.	Y	Adult Social Care
2	RES 3	Revenues - delete 0.5 FTE which covers the Capita contract resilience	(25)			(25)	N - Vacant Post. HR procedures will be followed and eia will be done as required.	N	N
3	RES 4	Benefits - delete two posts over two years	(33)	(33)		(66)	N - Vacant Post. HR procedures will be followed and	N	N
4	RES 5	Delete one FTE across finance function	(30)			(30)	N - Vacant Post. HR procedures will be followed and	N	N
		<b>Resources total</b>	<b>(123)</b>	<b>(33)</b>	<b>-</b>	<b>(156)</b>			

Total Savings and Growth - 2020/21 Budget Process									Appendix 1A
Item No	Unique Reference No.	Headline Description re: saving / reduction	2020-21	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
<b>People Directorate</b>									
1	PC_01	<b>Reduction in expenditure in relation to children's placements, accommodation and client related spend.</b> 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.	(410)	(410)		(820)	N - Reduction in cost of provision rather than the provision. Assessment will be done on individual bases.	N	N
		<b>Children and Young People Total</b>	<b>(410)</b>	<b>(410)</b>		<b>(820)</b>			
<b>Community Directorate</b>									
1	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.	(90)	45		(45)	Y	N	N
2	COM_20.21_S02	Automatic Public Convenience (APC) 'The removal of the APC situated at Pinner Road in previous year results in a saving on hire and maintenance costs.	(25)			(25)	N	N	N

Total Savings and Growth - 2020/21 Budget Process									Appendix 1A
Item No	Unique Reference No.	Headline Description re: saving / reduction	2020-21	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
3	COM_20.21_S03	Removal of base budget from October 2020 for 4 positions that are currently 67% grant funded - either securing further external funding to 100% fund these posts or deleting the posts. 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.	(22)	(22)		(44)	Y	N	N
4	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)	Y - require in 2021/22	N	N
5	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.		(68)		(68)	Y - require in 2021/22. Individual assessments will be done.	N	N

Total Savings and Growth - 2020/21 Budget Process									Appendix 1A
Item No	Unique Reference No.	Headline Description re: saving / reduction	2020-21	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
6	COM_20.21_S06	Removal of GF funded base budget for 1 position from April 2020 - As part of the Housing Services management re organisation the vacant post of Head of Service for Business Development & Transformation has been deleted.	(18)			(18)	N	N	N
7	COM_20.21_S07	Building Control - Additional income from commercialisation of the service		(20)		(20)	N	N	N
		<b>Community Total</b>	<b>(155)</b>	<b>(79)</b>	<b>-</b>	<b>(234)</b>			
<b>Corporate</b>									
1	COR 02	Gayton Road - income from 53 PRS units	(450)	(144)	(47)	(641)	N	N	N
2	COR 03	SEN Transport efficiency from Transformation	(400)	(400)		(800)	N	N	N
3	COR 04	Income from £100m Investment Property Purchase	(450)	(3,525)	(3,525)	(7,500)	N	N	N
4	COR 05	Capital Financing Cost of the £100m Investment Property	300	2,350	2,350	5,000	N	N	N
5	COR 06	Transformation Target - additional £1m over and above SEN Transport target per annum.		(1,000)	(1,000)	(2,000)	N	N	N
		<b>Corporate Total</b>	<b>(1,000)</b>	<b>(2,719)</b>	<b>(2,222)</b>	<b>(5,941)</b>			
		<b>Total Savings</b>	<b>(1,688)</b>	<b>(3,241)</b>	<b>(2,222)</b>	<b>(7,151)</b>			

Total Savings and Growth - 2020/21 Budget Process									Appendix 1A
Item No	Unique Reference No.	Headline Description re: saving / reduction	2020-21	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
<b>Growth</b>									
<b>Resources</b>									
1	RES G1	With the HR Shared Service Buckinghamshire County Council (BCC) having ceased on 1 <sup>st</sup> October 2019 it has been acknowledged that the capacity and the capability within the HR team is not able to meet the needs and expectations of the Council. The critical gap in the current HR & OD provision, is the requirement for senior HR professionals who are well versed with significant knowledge, experience and cutting edge practice, particularly with regards ER and OD plus delivering dedicated HR support to schools.	426			426	N	N	N
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.	4	353	678	1,035	N	N	N
3	RES G3	Brent exit shared service with Procurement	100			100	N	N	N
4	RES G4	Communication - This growth proposal is to support the core Communications activity of the Council by increasing the core budget by £300,000 so that the current structure is both sustainable and also able to deliver on the organisational priorities.	300			300	N	N	N
5	RES G5	Parking Back Office Team - Additional budget is required to cover County Court Warrants, staff and overhead cost.	176			176	N	N	N

Total Savings and Growth - 2020/21 Budget Process									Appendix 1A
Item No	Unique Reference No.	Headline Description re: saving / reduction	2020-21	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
		<b>Resources Total</b>	<b>1,006</b>	<b>353</b>	<b>678</b>	<b>2,037</b>			
		<b>People</b>							
		<b>Adult</b>							
1	ADULT G1	Removal of 20/21 growth	(971)			(971)	N	N	N
		<b>Children And Young People</b>							
2	CHIL G1	SEN Transport growth	789			789	N	N	N
		<b>People Total</b>	<b>(182)</b>	<b>-</b>	<b>-</b>	<b>(182)</b>			
							N	N	N
		<b>Community</b>							
1	COM G1	Waste disposal cost relating to a reduction in the revenue rebate for dry recyclables (£447k) and Inflationary pressures on the WLWA Levy (£181k).	628			628	N	N	N
2	COM G2	MTFS - re-instatement of Environment Growth	255			255	N	N	N
3	COM G3	This growth reflect increased public mortuary SLA costs	30			30	N	N	N
4	COM G4	The loss of car parking and rental income, these facilities are either transferred or disposed off to support the Regeneration Programme (Waxwell Lane (£56k) and Vaughan Road (£24k) loss of Car Park income. Mason Avenue (£50k) and Rayners Lane (£30) Loss of rent income)	160			160	N	N	N
5	COM G5	Investment in Corporate Health and Safety Team	200			200	N	N	N

Total Savings and Growth - 2020/21 Budget Process									Appendix 1A
Item No	Unique Reference No.	Headline Description re: saving / reduction	2020-21	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
6	COM G6	MTFS saving relating to food waste collection and route optimisation. The collection of food waste from flats is contained within existing crews and reducing a collection round is no longer operationally feasible	150			150	N	N	N
7	COM G7	MTFS savings relating to the Arts Centre is re-profiled beyond the 2020/21 MTFS to reflect the revised timeline for the capital improvements to the Arts Centre.  See the original saving of (£137k) in line 21 of appendix 1c and line 10 of appendix 1b.	137			137	N	N	N
8	COM G8	In 2017/18 an additional income target of £100k was estimated from the Harrow Leisure centre. The council has invested significantly in the leisure centre in terms of providing new equipment and facilities but the overall redevelopment will be considered as part of the Regeneration Programme and the £100k saving is reversed.	100			100	N	N	N
9	COM G9	Parking enforcement - additional staff	213			213	N	N	N
10	COM G10	Cost pressures in facilities management in recognition that the current budget is not sufficient to fund both cleaning and building repairs to corporate sites	500			500	N	N	N
11	COM G11	The Public Protection service has an income budget of £1.33m. Performance against this is strong but it has become apparent in 2019/20, based on licensing activity, that £1.23m is a more achievable target hence the reduction of £100k	100			100	N	N	N

Total Savings and Growth - 2020/21 Budget Process									Appendix 1A
Item No	Unique Reference No.	Headline Description re: saving / reduction	2020-21	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
12	COM G12	Reversal of depot - additional 2 floors See the original savings of (£473k) in line 25 of appendic 1c and line 14 of appendix 1b	473			473	N	N	N
		<b>Community Total</b>	2,946			2,946			
		<b>Total Growth</b>	<b>3,770</b>	<b>353</b>	<b>678</b>	<b>4,801</b>			
		<b>Net Savings/Growth</b>	<b>2,082</b>	<b>(2,888)</b>	<b>(1,544)</b>	<b>(2,350)</b>			



Summary Savings and Growth 2018/19 to 2019/20 MTFS				Appendix 1B					
Item No	Unique Reference No.	Specific Service Area	Headline Description re: saving / reduction	2020-21 £000	2021-22 £000	Total £000	EQIA Required	Does this proposal impact on another directorate Y/N	Key Stakeholders to consult 'Yes/No Completed
<b>Resources Directorate</b>									
1	RES 2019-20 S1-4	Customer Services	Reduction in Customer Channels (A) - closing telephony & email channels across Council Tax, Housing Benefits, Planning & Building Control and only accepting on-line applications following the release of new on-line services by April 2019.	(135)		(135)	Y - Submitted as part of 20th of February 2019 Budget Report ( Background paper)	Y	Affected services
2	RES 2019-20 S1-5	Customer Services	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)	(350)	Y - Submitted as part of 20th of February 2019 Budget Report ( Background paper)	Y	Affected services
3	RES 2019-20 S1-6	Business Support	Review of Business Support for Children's Services - Lean review of Children's' Services and associated business support.	(20)		(20)	Eia will be needed when the restructure is done and HR procedures will be followed	Y	Staff will be consulted via the usual HR procedures
6	RES 2019-20 S1-13	Legal	Additional Legal Hours 'Growth of £530k was added to the budget for 2019/20 in connection with additional usage within Harrow of legal services. Only 50% of this growth is required in 2019/20 and the remaining 50% can be fully removed in 2020/21.	(265)		(265)	N this is the reversal of 2017/18 growth	N	N
7	RES	Finance	<b>Investment Income :</b>		(1,726)	(1,726)	N	N	N

Summary Savings and Growth 2018/19 to 2019/20 MTFS				Appendix 1B					
Item No	Unique Reference No.	Specific Service Area	Headline Description re: saving / reduction	2020-21 £000	2021-22 £000	Total £000	EQIA Required	Does this proposal impact on another directorate Y/N	Key Stakeholders to consult 'Yes/No Completed
			<b>Resources Total</b>	<b>(595)</b>	<b>(1,901)</b>	<b>(2,496)</b>			
<b>Community</b>									
8	COM	Commissioning & Commercial	Income from expansion of Central Depot	(681)		(681)	<a href="http://www.harrow.gov.uk/www2/documents/b24374/Supplemental%20Agenda%20Thursday%2015-Feb-2018%2018.30%20Cabinet.pdf?T=9">http://www.harrow.gov.uk/www2/documents/b24374/Supplemental%20Agenda%20Thursday%2015-Feb-2018%2018.30%20Cabinet.pdf?T=9</a>	N	N
9	CC_2	Environment & Culture	Library Strategy Phase 2 - delivery of network of libraries and library regeneration The original saving relates to the relocation of Gayton Library and Wealdstone Library. The new town centre library that replaces Gayton Library will be built by the developer as part of the redevelopment of 51 College Road. The latest timescale suggests that the new library will become operational no later than March 2020. Therefore the saving relating to Gayton Library (£159k) needs to be re-profiled to 2020/21 at the earliest.	(159)		(159)	Y - Submitted as part of 20th of February 2019 Budget Report (Background paper)	N	N

Summary Savings and Growth 2018/19 to 2019/20 MTFS				Appendix 1B					
Item No	Unique Reference No.	Specific Service Area	Headline Description re: saving / reduction	2020-21 £000	2021-22 £000	Total £000	EQIA Required	Does this proposal impact on another directorate Y/N	Key Stakeholders to consult 'Yes/No Completed
10	COM18.19_S04	Environment & Culture - Harrow Arts Centre	Reduce subsidy to the arts centre. This savings is reversed in line 18 of Appendix 1C	(137)		(137)	<a href="http://www.harrow.gov.uk/www2/documents/b24374/Supplemental%20Agenda%20Thursday%2015-Feb-2018%2018.30%20Cabinet.pdf?T=9">http://www.harrow.gov.uk/www2/documents/b24374/Supplemental%20Agenda%20Thursday%2015-Feb-2018%2018.30%20Cabinet.pdf?T=9</a>	N	N

Summary Savings and Growth 2018/19 to 2019/20 MTFS				Appendix 1B					
Item No	Unique Reference No.	Specific Service Area	Headline Description re: saving / reduction	2020-21 £000	2021-22 £000	Total £000	EQIA Required	Does this proposal impact on another directorate Y/N	Key Stakeholders to consult 'Yes/No Completed
11	COM_19.20S01	Libraries	<p>Review of Libraries Service</p> <p>Review of operational arrangements to consider minimum staffing level and/or opening hours of libraries in the next 6-9 months through the work with the cross party working group. The estimated financial saving will be available once the proposal is developed.</p> <p>To deliver a service model in line with the new vision for Libraries which is to be developed by the cross party working group. Externalisation of the service will also be considered, to identify a suitable provider to deliver the service for the Council. It should be noted that, the libraries budget was insufficient to pay for Carillion's cost in the past due to the unbudgeted contract indexation. It remains the case for the in-house service provision, with an estimated budget pressure of circa £150k in 18/19 (to be met from one-off libraries reserve). There is a growth budget in the existing MTFS, originally intended for contract indexation (£175k in 19/20 and £25k in 20/21). This will be needed to fund the in-house service to meet the current operating arrangements.</p>	(50)		(50)	Y - Submitted as part of 20th of February 2019 Budget Report (Background paper)	N	Y - Public and staff consultation done in September

Summary Savings and Growth 2018/19 to 2019/20 MTFS				Appendix 1B					
Item No	Unique Reference No.	Specific Service Area	Headline Description re: saving / reduction	2020-21 £000	2021-22 £000	Total £000	EQIA Required	Does this proposal impact on another directorate Y/N	Key Stakeholders to consult 'Yes/No Completed
12	COM_19.20S02	Development Management	Increase in Planning fees Income NB: this is predicated on diverting further CIL monies to fund Harrow Local Plan Review instead of using planning income as originally planned. This proposal is still subject to confirmation that the use of CIL monies to fund local plan review are compliant with CIL regulations.	50		50	N - It is a national change	N	N
13	COM_19.20S04	Commissioning & Commercial	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.	(80)	(643)	(723)	Y - Submitted as part of 20th of February 2019 Budget Report (Background paper)	N	Y for any planning application
14	COM_19.20S05	Commissioning & Commercial	Redevelopment of Central Depot (Additional areas) Further maximisation of the use of the depot site to deliver additional areas for commercial income generation, following Cabinet approval of the increase in capital programme for the site. (This saving is reversed on line 23 of appendix 1c)	(473)	-	(473)	Y	N	Y for any planning application

Summary Savings and Growth 2018/19 to 2019/20 MTFS					Appendix 1B				
Item No	Unique Reference No.	Specific Service Area	Headline Description re: saving / reduction	2020-21 £000	2021-22 £000	Total £000	EQIA Required	Does this proposal impact on another directorate Y/N	Key Stakeholders to consult 'Yes/No Completed
15		Commissioning & Commercial	<b>Additional Financing Income :</b> Banister (25k) Harrow Weald Toilet (£11k) Probation Centre (£275k) Drones (unmanned aerials) (£92k)		(403)	(403)	N	N	N
			<b>Community and Culture</b>	(1,530)	(1,046)	(2,576)			
			<b>Savings Total</b>	(2,125)	(2,947)	(5,072)			
<b>Growth</b>									
<b>Resources Directorate</b>									
1	RES 2019-20 G1-2	Revenue & Benefits	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%).	95	90	185	N	N	N

Summary Savings and Growth 2018/19 to 2019/20 MTFS				Appendix 1B					
Item No	Unique Reference No.	Specific Service Area	Headline Description re: saving / reduction	2020-21 £000	2021-22 £000	Total £000	EQIA Required	Does this proposal impact on another directorate Y/N	Key Stakeholders to consult 'Yes/No Completed
2	RES 2019-20 G1-3	Revenue & Benefits	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
<b>Resources Total</b>				<b>95</b>	<b>140</b>	<b>235</b>			
<b>People Services</b>									
3	PA01	Adult Services	Growth to reflect existing demands in Adult Social Care and to reflect anticipated demographic pressures in 2018/19	(90)		(90)	N	N	N

Summary Savings and Growth 2018/19 to 2019/20 MTFS				Appendix 1B					
Item No	Unique Reference No.	Specific Service Area	Headline Description re: saving / reduction	2020-21 £000	2021-22 £000	Total £000	EQIA Required	Does this proposal impact on another directorate Y/N	Key Stakeholders to consult 'Yes/No Completed
4	Adults	Adults	<p>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.</p> <p><b>'Growth 2019-20.</b> This relates to £650k for transitions funding (additional 24pa) and £345k for personal budgets (additional 1 per week).</p> <p><b>Growth 2020-21.</b> 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)</p> <p><b>Growth 2021-22</b> - this relates to £300k for transitions (assumes additional 10 pa) and £352k for Personal Budgets (a further 1 new PB every</p>	971	652	1,623	N	N	N
			<b>Adult's Total</b>	<b>881</b>	<b>652</b>	<b>1,533</b>			
			<b>People Total</b>	<b>881</b>	<b>652</b>	<b>1,533</b>			
<b>Community</b>									
5	COM18.19_G01	Libraries Service	Additional costs following in-sourcing of libraries service	25		25	N	N	N



Summary Savings and Growth 2018/19 to 2019/20 MTFS				Appendix 1B					
Item No	Unique Reference No.	Specific Service Area	Headline Description re: saving / reduction	2020-21 £000	2021-22 £000	Total £000	EQIA Required	Does this proposal impact on another directorate Y/N	Key Stakeholders to consult 'Yes/No Completed
			<b>Communty Total</b>	<b>25</b>	<b>-</b>	<b>25</b>			
<b>Corporate</b>									
6			Capital Financing costs associated with the capital investment of the redevelopment of the Vernon Lodge and Atkins House site	140	244	384	N	N	N
7			Capital Financing costs associated with the additional capital investment of the redevelopment of the Central Depot site.	190	-	190	N	N	N
			<b>Corporate Total (financing Cost)</b>	<b>330</b>	<b>244</b>	<b>574</b>			
			<b>Total Growth</b>	<b>1,331</b>	<b>1,036</b>	<b>2,367</b>			
			<b>Net Savings and Growth</b>	<b>(794)</b>	<b>(1,911)</b>	<b>(2,705)</b>			

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Total Savings and Growth 2020/21 to 2022/23							Appendix 1C			
Item No	Unique Reference No.	Headline Description re: saving / reduction	2020-21 £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	
<b>Resources Directorate</b>										
1	RES 2	Access Harrow /Contact Cente - delete one post in the Adults team	(35)			(35)	N - Vacant Post. HR procedures will be followed and eia will be doneas required.	Y	Adult Social Care	
2	RES 3	Revenues - delete 0.5 FTE which covers the Capita contract resilience	(25)			(25)	N - Vacant Post. HR procedures will be followed and eia will be doneas required.	N	N	
3	RES 4	Benefits - delete two posts over two years	(33)	(33)		(66)	N - Vacant Post. HR procedures will be followed and eia will be doneas required.	N	N	

Total Savings and Growth 2020/21 to 2022/23							Appendix 1C		
Item No	Unique Reference No.	Headline Description re: saving / reduction	2020-21 £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
4	RES 5	Delete one FTE across finance function	(30)			(30)	N - Vacant Post. HR procedures will be followed and eia will be done as required.	N	N
5	RES 2019-20 S1-4	Reduction in Customer Channels (A) - closing telephony & email channels across Council Tax, Housing Benefits, Planning & Building Control and only accepting on-line applications following the release of new on-line services by April 2019.	(135)			(135)	Y - Submitted as part of 20th of February 2019 Budget Report ( Background paper)	Y	Affected services
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)		(350)	Y - Submitted as part of 20th of February 2019 Budget Report ( Background paper)	Y	Affected services

Total Savings and Growth 2020/21 to 2022/23				Appendix 1C					
Item No	Unique Reference No.	Headline Description re: saving / reduction	2020-21 £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
7	RES 2019-20 S1-6	Review of Business Support for Children's Services - Lean review of Children's Services and associated business support.	(20)			(20)	Eia will be needed when the restructure is done and HR procedures will be followed	Y	Staff will be consulted via the usual HR procedures
8	RES 2019-20 S1-13	Additional Legal Hours Growth of £530k was added to the budget for 2019/20 in connection with additional usage within Harrow of legal services. Only 50% of this growth is required in 2019/20 and the remaining 50% can be fully removed in 2020/21.	(265)			(265)	N this is the reversal of 2017/18 growth	N	N
9	RES	<b>Investment Income :</b>  Income from investing in commercial properties		(1,726)		(1,726)	N	N	N
		<b>Resources total</b>	<b>(718)</b>	<b>(1,934)</b>	<b>-</b>	<b>(2,652)</b>			
<b>People Directorate</b>									

Total Savings and Growth 2020/21 to 2022/23							Appendix 1C		
Item No	Unique Reference No.	Headline Description re: saving / reduction	2020-21 £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
10	PC_01	<b>Reduction in expenditure in relation to children's placements, accommodation and client related spend.</b> 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.	(410)	(410)		18,940	N - Reduction in cost of provision rather than the provision. Assesment will be done on individual bases.	N	N
<b>Children and Young People Total</b>			<b>(410)</b>	<b>(410)</b>		<b>(820)</b>			
<b>Community Directorate</b>									
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.	(90)	45		(45)	Y	N	N

Total Savings and Growth 2020/21 to 2022/23							Appendix 1C			
Item No	Unique Reference No.	Headline Description re: saving / reduction	2020-21 £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	
13	COM_20.21_S02	Automatic Public Convenience (APC) 'The removal of the APC situated at Pinner Road in previous year results in a saving on hire and maintenance costs.	(25)			(25)	N	N	N	
14	COM_20.21_S03	Removal of base budget from October 2020 for 4 positions that are currently 67% grant funded - either securing further external funding to 100% fund these posts or deleting the posts. 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.	(22)	(22)		(44)	Y	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)	Y - require in 2021/22	N	N	

Total Savings and Growth 2020/21 to 2022/23							Appendix 1C		
Item No	Unique Reference No.	Headline Description re: saving / reduction	2020-21 £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
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.		(68)		(68)	Y - require in 2021/22. Individual assessments will be done.	N	N
17	COM_20.21_S06	Removal of GF funded base budget for 1 position from April 2020 - As part of the Housing Services management re organisation the vacant post of Head of Service for Business Development & Transformation has been deleted.	(18)			(18)	N	N	N
18	COM_20.21_S07	Building Control - Additional income from commercialisation of the service		(20)		(20)	N	N	N
19	COM	Income from expansion of Central Depot	(681)			(681)	<a href="http://www.harrow.gov.uk/www2/documents/b24374/Supplemental%20Agenda%20Thursday%2015-Feb-2018%2018.30%20Cabinet.pdf?T=9">http://www.harrow.gov.uk/www2/documents/b24374/Supplemental%20Agenda%20Thursday%2015-Feb-2018%2018.30%20Cabinet.pdf?T=9</a>	N	N



Total Savings and Growth 2020/21 to 2022/23							Appendix 1C		
Item No	Unique Reference No.	Headline Description re: saving / reduction	2020-21 £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
20	CC_2	Library Strategy Phase 2 - delivery of network of libraries and library regeneration The original saving relates to the relocation of Gayton Library and Wealdstone Library. The new town centre library that replaces Gayton Library will be built by the developer as part of the redevelopment of 51 College Road. The latest timescale suggests that the new library will become operational no later than March 2020. Therefore the saving relating to Gayton Library (£159k) needs to be re-profiled to 2020/21 at the earliest.	(159)			(159)	Y - Submitted as part of 20th of February 2019 Budget Report ( Background paper)	N	N
21	COM18.19_S04	Reduce subsidy to the arts centre - See reversal of this saving in line 18.	(137)			(137)	<a href="http://www.harrow.gov.uk/www2/documents/b24374/Supplemental%20Agenda%20Thursday%2015-Feb-2018%2018.30%20Cabinet.pdf?T=9">http://www.harrow.gov.uk/www2/documents/b24374/Supplemental%20Agenda%20Thursday%2015-Feb-2018%2018.30%20Cabinet.pdf?T=9</a>	N	N

Total Savings and Growth 2020/21 to 2022/23							Appendix 1C		
Item No	Unique Reference No.	Headline Description re: saving / reduction	2020-21 £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
22	COM_19.20 S01	<p>Review of Libraries Service</p> <p>Review of operational arrangements to consider minimum staffing level and/or opening hours of libraries in the next 6-9 months through the work with the cross party working group. The estimated financial saving will be available once the proposal is developed.</p> <p>To deliver a service model in line with the new vision for Libraries which is to be developed by the cross party working group. Externalisation of the service will also be considered, to identify a suitable provider to deliver the service for the Council.</p> <p>It should be noted that, the libraries budget was insufficient to pay for Carillion's cost in the past due to the unbudgeted contract indexation. It remains the case for the in-house service provision, with an estimated budget pressure of circa £150k in 18/19 (to be met from one-off libraries reserve). There is a growth budget in the existing MTFs, originally intended for contract indexation (£175k in 19/20 and £25k in 20/21). This will be needed to fund the in-house service to meet the current operating arrangements.</p>	(50)			(50)	Y - Submitted as part of 20th of February 2019 Budget Report ( Background paper)	N	Y - Public and staff consultation done in September

Total Savings and Growth 2020/21 to 2022/23							Appendix 1C			
Item No	Unique Reference No.	Headline Description re: saving / reduction	2020-21 £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	
23	COM_19.20 S02	Increase in Planning fees Income NB: this is predicated on diverting further CIL monies to fund Harrow Local Plan Review instead of using planning income as originally planned. This proposal is still subject to confirmation that the use of CIL monies to fund local plan review are compliant with CIL regulations.	50			50	N - It is a national change	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.	(80)	(643)		(723)	Y - Submitted as part of 20th of February 2019 Budget Report ( Background paper)	N	Y for any planning application	
25	COM_19.20 S05	Redevelopment of Central Depot (Additional areas) Further maximisation of the use of the depot site to deliver additional areas for commercial income generation, following Cabinet approval of the increase in capital programme for the site. Additional planning income.	(473)			(473)	Y	N	Y for any planning application	
26		Banister (25k) Harrow Weald Toilet (£11k) Probation Centre (£275k) Drones		(403)		(403)	N	N	N	

Total Savings and Growth 2020/21 to 2022/23			Appendix 1C						
Item No	Unique Reference No.	Headline Description re: saving / reduction	2020-21 £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
		<b>Community Total</b>	<b>(1,685)</b>	<b>(1,125)</b>	<b>-</b>	<b>(2,810)</b>			
<b>Corporate</b>									
27	COR 02	Gayton Road - income from 53 PRS units	(450)	(144)	(47)	(641)	N	N	N
28	COR 03	SEN Transport efficiency from Transformation	(400)	(400)		(800)	N	N	N
29	COR 04	Income from £100m Investment Property Purchase	(450)	(3,525)	(3,525)	(7,500)	N	N	N
30	COR 05	Capital Financing Cost of the £100m Investment Property	300	2,350	2,350	5,000	N	N	N
31	COR 06	Transformation Target - additional £1m over and above SEN Transport target per annum		(1,000)	(1,000)	(2,000)	N	N	N
		<b>Corporate Total</b>	<b>(1,000)</b>	<b>(2,719)</b>	<b>(2,222)</b>	<b>(5,941)</b>			
		<b>Total Savings</b>	<b>(3,813)</b>	<b>(6,188)</b>	<b>(2,222)</b>	<b>(12,223)</b>			
<b>Growth</b>									
<b>Resources</b>									

Total Savings and Growth 2020/21 to 2022/23							Appendix 1C			
Item No	Unique Reference No.	Headline Description re: saving / reduction	2020-21 £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	
1	RES G1	With the HR Shared Service Buckinghamshire County Council (BCC) having ceased on 1st October 2019 it has been acknowledged that the capacity and the capability within the HR team is not able to meet the needs and expectations of the Council. The critical gap in the current HR & OD provision, is the requirement for senior HR professionals who are well versed with significant knowledge, experience and cutting edge practice, particularly with regards ER and OD plus delivering dedicated HR support to schools.	426			426	N	N	N	
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.	4	353	678	1,035	N	N	N	
3	RES G3	Brent exit shared service with Procurement Communication - This growth proposal is to support the core Communications activity of the Council by increasing the core budget by £300,000 so that the current structure is both sustainable and also able to deliver on the organisational priorities.	100			100	N	N	N	
4	RES G4	Parking Back Office Team - Additional budget is required to cover County Court Warrants, staff and overhead cost.	176			176	N	N	N	

Total Savings and Growth 2020/21 to 2022/23							Appendix 1C			
Item No	Unique Reference No.	Headline Description re: saving / reduction	2020-21 £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	
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%).	95	90		185	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	
		<b>Resources Total</b>	<b>1,101</b>	<b>493</b>	<b>678</b>	<b>2,272</b>				
		<b>People</b>								
		<b>Adult</b>								
9	PA01	Growth to reflect existing demands in Adult Social Care and to reflect anticipated demographic pressures in 2018/19	(90)			(90)	N	N	N	

Total Savings and Growth 2020/21 to 2022/23							Appendix 1C			
Item No	Unique Reference No.	Headline Description re: saving / reduction	2020-21 £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	
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.  <b>'Growth 2019-20.</b> This relates to £650k for transitions funding (additional 24pa) and £345k for personal budgets (additional 1 per week). <b>Growth 2020-21.</b> 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) <b>Growth 2021-22</b> - this relates to £300k for	971	652		1,623	N	N	N	
8	ADULT G1	Removal of 20/21 growth	(971)			(971)				
		Adult Total	(90)	652	-	562				
		<b>Children And Young People</b>								
11	CHIL G1	SEN Transport growth	789			789	N	N	N	
		<b>People Total</b>	<b>699</b>	<b>652</b>	<b>-</b>	<b>1,351</b>				
		<b>Community</b>								
12	COM G1	Waste disposal cost relating to a reduction in the revenue rebate for dry recyclables (£447k) and Inflationary pressures on the WLWA Levy (£181k).	628			628	N	N	N	

Total Savings and Growth 2020/21 to 2022/23							Appendix 1C		
Item No	Unique Reference No.	Headline Description re: saving / reduction	2020-21 £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
13	COM G2	MTFS - re-instatement of Environment Growth	255			255	N	N	N
14	COM G3	This growth reflect increased public mortuary SLA costs	30			30	N	N	N
15	COM G4	The loss of car parking and rental income, these facilities are either transferred or disposed off to support the Regeneration Programme (Waxwell Lane (£56k) and Vaughan Road (£24k) loss of Car Park income. Mason Avenue (£50k) and Rayners Lane (£30) Loss of rent income)	160			160	N	N	N
16	COM G5	Investment in Corporate Health and Safety Team	200			200	N	N	N
17	COM G6	MTFS saving relating to food waste collection and route optimisation. The collection of food waste from flats is contained within existing crews and reducing a collection round is no longer operationally feasible	150			150	N	N	N
18	COM G7	MTFS savings relating to the Arts Centre is re-profiled beyond the 2020/21 MTFS to reflect the revised timeline for the capital improvements to the Arts Centre.  See the original saving of (£137k) in line 21 of appendix 1c and line 10 of appendix 1b.	137			137	N	N	N



Total Savings and Growth 2020/21 to 2022/23							Appendix 1C		
Item No	Unique Reference No.	Headline Description re: saving / reduction	2020-21 £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
19	COM G8	In 2017/18 an additional income target of £100k was estimated from the Harrow Leisure centre. The council has invested significantly in the leisure centre in terms of providing new equipment and facilities but the overall redevelopment will be considered as part of the Regeneration Programme and the £100k saving is reversed.	100			100	N	N	N
20	COM G9	Parking enforcement - additional staff	213			213	N	N	N
21	COM G10	Cost pressures in facilities management in recognition that the current budget is not sufficient to fund both cleaning and building repairs to corporate sites	500			500	N	N	N
22	COM G11	The Public Protection service has an income budget of £1.33m. Performance against this is strong but it has become apparent in 2019/20, based on licensing activity, that £1.23m is a more achievable target hence the reduction of £100k	100			100	N	N	N
23	COM G12	Reversal of depot - additional 2 floors See the original savings of (£473k) in line 25 of appendix 1c and line 14 of appendix 1b	473			473	N	N	N

Total Savings and Growth 2020/21 to 2022/23							Appendix 1C		
Item No	Unique Reference No.	Headline Description re: saving / reduction	2020-21 £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
24	COM18.19_G01	Additional costs following in-sourcing of libraries service	25			25	N	N	N
		<b>Community Total</b>	<b>2,971</b>	-	-	<b>2,971</b>			
	<b>Corporate</b>								
25		Capital Financing costs associated with the capital investment of the redevelopment of the Vernon Lodge and Atkins House site.	140	244		384	N	N	N
26		Capital Financing costs associated with the additional capital investment of the redevelopment of the Central Depot site.	190			190	N	N	N
		<b>Corporate Total (financing Cost)</b>	<b>330</b>	<b>244</b>	-	<b>574</b>			
		<b>Total Growth</b>	<b>5,101</b>	<b>1,389</b>	<b>678</b>	<b>7,168</b>			
		<b>Net Savings/Growth</b>	<b>1,288</b>	<b>(4,799)</b>	<b>(1,544)</b>	<b>(5,055)</b>			

## MEDIUM TERM FINANCIAL STRATEGY 2020/21 to 2022/23

	2020/21	2021/22	2022/23
	£000	£000	£000
<b>Budget Requirement Brought Forward</b>	167,081	174,116	172,746
Corporate & Technical	5,747	18,757	10,468
People	289	242	0
Community	1,286	-1,125	0
Resources & Commercial	383	-1,441	678
Corporate	-670	-2,475	-2,222
<b>Total</b>	<b>7,035</b>	<b>13,958</b>	<b>8,924</b>
<b>FUNDING GAP</b>	<b>0</b>	<b>-15,328</b>	<b>-8,924</b>
<b>Total Change in Budget Requirement</b>	<b>7,035</b>	<b>-1,370</b>	<b>0</b>
<b>Revised Budget Requirement</b>	<b>174,116</b>	<b>172,746</b>	<b>172,746</b>
Collection Fund Deficit/-surplus	-2,120		
Revenue Support Grant	-1585	-1585	-1585
Top Up	-21,977	-21,977	-21,977
Retained Non Domestic Rates	-14,942	-14,942	-14,942
<b>Amount to be raised from Council Tax</b>	<b>133,492</b>	<b>134,242</b>	<b>134,242</b>
<b>Council Tax at Band D</b>	<b>£1,522.72</b>	<b>£1,522.72</b>	<b>£1,522.72</b>
<b>Increase in Council Tax (%)</b>	<b>3.99%</b>	<b>0.00%</b>	<b>0.00%</b>
Tax Base	87,667	88,160	88,160
Collection rate	98.00%	98.00%	98.00%
Gross Tax Base	89,456	89,959	89,959

**MTFS 2020/21 to 2022/23 – Proposed investments / savings**

<b>TECHNICAL BUDGET CHANGES</b>			
	<b>2020/21</b>	<b>2021/22</b>	<b>2022/23</b>
	<b>£000</b>	<b>£000</b>	<b>£000</b>
<b>Capital and Investment</b>			
25%reduction	-45	0	
Capital Investment reversed	500	0	
Capital Financing costs increasing 2020/21 for depot	681	0	
2018/19 implications in 2021/22		1900	
Use of Regen MRP Provision 2019/20	1000		
Use of Regen MRP Provision 2020/21	-1000	1000	
MRP on Community projects and Property investment		1454	
Interest on Community projects and Property investment		967	
<b>Capital Financing included as part of 2020/21 budget setting process</b>			
Capital Financing costs from additional Capital Programme			1250
Reduced costs of borrowing (from £100m taken between April and July 2019)	-£500		
Application of capital receipt to reduce borrowing costs	-£550		
Additional planned saving on borrowing costs	-£500		
General reduction in Minimum Revenue Provision costs	-£500		
<b>Total Capital and Investment Changes</b>	<b>-914</b>	<b>5,321</b>	<b>1,250</b>
<b>Grant Changes</b>			
New Homes Bonus			
Estimated Grant changes	940	0	
New Homes Bonus 2018	300		
Additional 2019 New Homes Bonus after settlement	176	535	
Additional New Homes Bonus for 2020/21	-1416	1416	
Assumption that New Homes Bonus reduces in 2022/23			728
Better Care Fund			
Estimated additional grant announced Dec 2017	33	0	
Improved Better Care Fund 2019/20 one off grant assumed	5467	0	
Assumed Better Care Fund continues beyond 2019/20 on permanent basis	-5467		
One-off Education Service Grant	902		
Reduction to New NNDR Multiplier Inflation compensation grant	582		
Multiplier Cap Funding - continuation for 2020/21	-1145		
Section 31 Grant 2018/19	779		
Section 31 Grant 2019/20	2170		
Section 31 Grant 2020/21	-2033		
Use of 2019/20 Business Rates Pool Budget in 2020/21	-1800	1800	
Reversal Business Rates Pool Income use in 2018/19	3500		
Continuation of the 2019/20 Adults Social Care funding as permanent funding	-2625		
Allocation of Adult Social Care funding to adults	2625		
Additional Social Care Funding in 2020/21 assumed as permanent funding	-3482	0	
<b>Total Grant Changes</b>	<b>-494</b>	<b>3,751</b>	<b>728</b>
<b>Other Technical Changes</b>			
<b>Corporate Budgets</b>			
Freedom Pass Levy increase. Cost of Freedom passes charged to Harrow by Transport for London	500	0	
Reduction in existing Freedom Pass budget	-500		
Reduction in Inflation provision based on previous allocation	-500		
Reduction in Litigation Reserve budget	-125		
Reduction in levies, grants and subscriptions budget	-70		
<b>Use of Reserves</b>			

**MTFS 2020/21 to 2022/23 – Proposed investments / savings**

<b>TECHNICAL BUDGET CHANGES</b>			
	<b>2020/21</b>	<b>2021/22</b>	<b>2022/23</b>
	<b>£000</b>	<b>£000</b>	<b>£000</b>
Budget planning contingency - Reversal of 2019/20 one-off use	2,000		
Budget planning contingency - Reversal of 2019/20 one-off use	2,200		
One off draw down from the Budget Planning Reserve in 2020-21	-1950	1950	
Use of Business Risk Reserve smoothed over 2 years		-1850	1850
Use of Business Risk Reserve smoothed over 2 years			-1464
<b>Total Other Technical Changes</b>	<b>1,555</b>	<b>100</b>	<b>386</b>
Pay and Inflation			
Pay Award @ 2% pa	2,000	2,000	
Pay Inflation			2000
Inflation on goods and services @ 1.3% p.a.	500	1100	
Non Pay Inflation/budget pressures			2750
<b>Total Pay and Price Inflation</b>	<b>2,500</b>	<b>3,100</b>	<b>4,750</b>
<b>OTHER</b>			
Gayton Road Income - Reversal of 72 units transferred to HRA	0	500	
Capital Receipts Flexibility - Reversal for one-off impact	800	0	
Additional Capital Flexibility - Reversal for one-off impact	2300		
Adults Growth / Pressure		5984	3354
<b>Total Corporate &amp; Technical</b>	<b>5,747</b>	<b>18,757</b>	<b>10,468</b>

**MTFS 2020/21 to 2022/23 – Proposed investments / savings**

<b>PEOPLE DIRECTORATE</b>			
	<b>2020/21</b>	<b>2021/22</b>	<b>2021/23</b>
	<b>£000</b>	<b>£000</b>	<b>£000</b>
<b>Children &amp; Families</b>			
Proposed Savings - see appendix 1a	-410	-410	0
Proposed Growth - see appendix 1a	789	0	0
<b>Sub total Children &amp; Families</b>	<b>379</b>	<b>-410</b>	<b>0</b>
<b>Adults</b>			
Proposed Growth - see appendix 1a	-971	0	0
Proposed Growth - see appendix 1b	881	652	0
<b>Sub total Adults</b>	<b>-90</b>	<b>652</b>	<b>0</b>
<b>Total People Directorate</b>	<b>289</b>	<b>242</b>	<b>0</b>

**MTFS 2019/20 to 2021/22 – Proposed investments / savings**

<b>COMMUNITY</b>			
	<b>2019/20</b>	<b>2020/21</b>	<b>2021/22</b>
	<b>£000</b>	<b>£000</b>	<b>£000</b>
<b>Community and Culture</b>			
Proposed Savings - see appendix 1a	-137	23	0
Proposed Growth - see appendix 1a	2,946	0	0
Proposed Savings - see appendix 1b	-1,530	-1,046	0
Proposed Growth - see appendix 1b	25	0	0
<b>Sub total Environmental Services</b>	<b>1,304</b>	<b>-1,023</b>	<b>0</b>
<b>Housing - General Fund</b>			
Proposed Savings - see appendix 1a	-18	-102	0
<b>Sub total Housing General Fund</b>	<b>-18</b>	<b>-102</b>	<b>0</b>
<b>Total Community</b>	<b>1,286</b>	<b>-1,125</b>	<b>0</b>

**MTFS 2020/21 to 2022/23 – Proposed investments / savings**

<b>RESOURCES &amp; COMMERCIAL</b>			
	<b>2020/21</b>	<b>2021/22</b>	<b>2022/23</b>
	<b>£000</b>	<b>£000</b>	<b>£000</b>
<b>Resources &amp; Commercial</b>			
Proposed Savings - see appendix 1a	-123	-33	0
Proposed Growth - see appendix 1a	1,006	353	678
Proposed Savings - see appendix 1b	-595	-1,901	0
Proposed Growth - see appendix 1b	95	140	
<b>Total Resources &amp; Commercial</b>	<b>383</b>	<b>-1,441</b>	<b>678</b>



**MTFS 2020/21 to 2022/23 – Proposed investments / savings**

<b>CORPORATE</b>			
	<b>2020/21</b>	<b>2021/22</b>	<b>2022/23</b>
	<b>£000</b>	<b>£000</b>	<b>£000</b>
<b>CORPORATE</b>			
Proposed Savings - see appendix 1a	-1,000	-2,719	-2,222
Proposed Growth - see appendix 1b	330	244	0
<b>Total Resources &amp; Commercial</b>	<b>-670</b>	<b>-2,475</b>	<b>-2,222</b>

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## 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.

## Funding Announcements Autumn 2019

2. In September 2019 the government announced an increased investment in school budgets and high needs for the next three years.
3. For Harrow there is a projected increase in school funding of around £6.5m for 2020-21. This is an approximate increase of 4.8% compared with a London average increase of 3.3% (national 4.9%). These figures are indicative and will be updated for the pupil numbers and demographics recorded on the October 2019 census.
4. The per pupil value of all of the key factors will increase in the NFF by 4% with the exception of the Free School Meals factor which will increase by 1.84% in line with inflation.
5. With regards to the High Needs Block the government announced a national increase of £700m. For Harrow there is a projected increase of around £2.7m for 2020-21. This is an approximate increase of 8.9% compared with a London average increase of 10.4% (national 12%).

## Schools Funding for 2020-21

6. 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.
7. 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.
8. The NFF will therefore will continue to be used to distributed school budgets for 2020-21.

9. 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.
10. There are no proposed changes to the **structure** of the formula for 2020-21 however there are a number of changes which Schools Forum, in consultation with schools, need to make a decision on.

**Table 1 – indicative funding formula factor values**

Factor	2019-20		Indicative 2020-21	
	Primary	Secondary	Primary	Secondary
Primary per pupil basic entitlement	£3,016.28		£3,137.07	
KS3 per pupil basic entitlement		£4,241.31		£4,411.88
KS4 per pupil basic entitlement		£4,815.75		£5,008.11
Free School Meals	£483.13	£483.13	£494.11	£494.11
Free School Meals Ever6	£592.94	£861.95	£614.90	£894.89
Deprivation IDACIF	£219.61	£318.43	£230.59	£329.41
Deprivation IDACIE	£263.53	£428.23	£274.51	£444.70
Deprivation IDACID	£395.29	£565.49	£411.76	£587.45
Deprivation IDACIC	£428.23	£614.90	£444.70	£636.86
Deprivation IDACIB	£461.17	£658.82	£477.64	£686.27
Deprivation IDACIA	£631.37	£889.40	£658.82	£922.35
Low Prior Attainment	£1,122.19	£1,701.95	£1,169.40	£1,767.83
English as an Additional Language	£565.49	£1,520.77	£587.45	£1,581.16
Mobility	£2,980.90	£2,668.82	£875.00	£1,250.00
Lump Sum	£120,783.30	£120,783.30	£125,614.63	£125,614.63

### Consultation

11. The LA undertook a consultation with all schools, academies and free schools in Harrow to seek views on aspects of school funding for 2020-21 in the Autumn term.
12. The full outcome of the consultation, proposed final funding formula and final DSG allocations will be reported to Cabinet in February 2020 for approval.

### Central School Services Block

13. The CSSB funds the following services:
- School Admissions
  - Servicing of Schools Forum
  - LA retained duties for schools and academies.
14. The indicative funding for 2020-21 has remained unchanged at £1.2m.

### Growth Fund

15. 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

16. 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

17. 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

18. 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. The schools consultation for 2020-21 requests a further transfer of 0.5% and Schools Forum will be asked to vote to agree this. The LA has the power to apply for disapplication to the Secretary of State if Schools Forum does not agree to the transfer.

19. The implication of the High Needs NFF is that there is reduction in funding available compared with 2017-18 of approx. £2.9m. This is because there was an overall shortfall in the DSG in 2017-18 which was funded by the use of a schools brought forward contingency. This means that the funding baseline of which 50% of the allocation is based is lower than the budget being spent.

20. In 2018-19 there was an overspend on the HNB of £590k. This was funded by the schools brought forward contingency. In 2019-20 there is a projected deficit of £4.1m. Schools Forum has not agreed to use any of the remaining £1.7m brought forward contingency to mitigate the deficit instead voting to allocate it to the schools funding formula for 2020-21.

### DSG deficits

21. The government is currently consulting on the accounting treatment of deficits on the DSG. The consultation focuses on changing the conditions of grant and regulations applying to the DSG so as to clarify that the DSG is a ring-fenced specific grant separate from the general funding of local authorities. Therefore any deficits an authority may have on its DSG account is expected to be carried forward and does not require to be covered by the authority's general reserves.
22. An increasing number of local authorities have been incurring a deficit on their overall DSG account, largely because of overspends on the high needs block.
23. 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.
24. This is the second year in which the DfE will require a report from any local authority 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 to 2020, gross of recoupment, as at the end of the 2019 to 2020 financial year, compared with the deficit shown in the authority's published draft accounts.
25. Harrow's projected deficit of £4.1m as a proportion of the gross budget of £217m would equate to approx. 1.9% and will therefore require a deficit recovery plan.
26. Recovery plans will need to be discussed with Schools Forum and should set out the authority's plans for bringing the DSG account back into balance. The Chief Finance Officer (CFO) must also review and sign off the report before submitting to the DfE.
27. Where a local authority has a cumulative overspend of more than 1%, producing a deficit on its DSG reserve, its recovery plan should look to bring the overall DSG account into balance within a timely period. There is recognition that this may prove difficult for some local authorities; particularly where authorities are accelerating moving their schools to mirror the NFF allocations in full. Where this is the case there would need to be evidence explaining the pressures.
28. The evidence to support the recovery plan will need to address whatever the main causes of overspending on the DSG have been as well as
29. The evidence should include:
  - A full breakdown of specific budget pressures locally that have led to the local authority incurring a cumulative DSG deficit of over 1%.
  - Where the deficit has resulted from high needs pressures, an assessment and understanding of the specific local factors that have caused an increase in high needs costs to a level that has exceeded the local authority's high needs funding allocations; and a plan to change the pattern of provision where this is necessary, as well as to achieve greater efficiency and better value for money in other ways; together with

evidence of the extent to which the plan is supported by schools and other stakeholders.

30. If the authority judges that it cannot recover the whole of its cumulative DSG deficit within a timely period, it must explain the reasons for this.
31. Details of any previous movements between blocks, what pressures those movements covered, and why those transfers have not been adequate to counter the new cost pressures.
32. This means that the LA will start 2020-21 with a brought forward deficit of approx. £4.1m. The additional investment in HNB from 2020-21 will therefore only contribute to offsetting existing deficits.
33. A recent survey by the Association of Local Authority Treasurers reveals that 83% of responding LAs reported a HNB deficit in 2018-19 totalling £210m, rising to 88% (90% in London) forecasting a deficit in 2019-20.

### **Early Years Funding**

34. 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.
35. 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.
36. Funding rates and allocations will be announced in December 2019.

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**Draft Public Health Funding 2020-21****Appendix 4**

<b>Mandatory Services</b>	£000	
Sexual Health (incl Family Planning)	2,192	
0-19 Services	3,536	
Health Checks	<u>176</u>	5,904
<b>Discretionary Services</b>		
Tobacco Control	100	
Drug & Alcohol Misuse	1,946	
Physical Activity	<u>30</u>	2,076
<b>Staffing &amp; Support Costs</b>		
Staffing	711	
Non-Staffing	59	
Overheads	<u>163</u>	933
Health Improvement	284	
Wider Determinants of Health	<u>1,651</u>	1,935
<b>Total Expenditure</b>		<u><u><b>10,848</b></u></u>

**Funded by**

Department of Health Grant	<u>10,848,000</u>	
<b>Total Income</b>		<u><u><b>10,848,000</b></u></u>
		10,858,848

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## **REPORT FOR: PERFORMANCE & FINANCE SUB- COMMITTEE**

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<b>Date of Meeting:</b>	20 <sup>th</sup> January 2020
<b>Subject:</b>	Children and Families Services Complaints Annual Report 2018/19
<b>Responsible Officer:</b>	Paul Hewitt, Corporate Director People Services
<b>Scrutiny Lead Member area:</b>	Councillor Jerry Miles Councillor Janet Mote
<b>Exempt:</b>	No
<b>Enclosures:</b>	No

### **Section 1 – Summary and Recommendations**

This report sets out the statutory Children and Families Services Complaints Annual Report for 2018/19.

**Recommendations:**

None. For Information purposes only.

### **Section 2 – Report**

#### **Financial Implications**

There are no specific budget issues associated with this report. All payments are agreed by Service Managers and are funded within existing budgets.

## **Performance Issues**

There are no specific particular performance issues associated with this report.

## **Environmental Impact**

N/A

## **Risk Management Implications**

Risk included on Directorate risk register? No

Separate risk register in place? No

## **Equalities implications**

N/A

## **Corporate Priorities**

The Council's vision:

Working Together to Make a Difference for Harrow

- Build a Better Harrow
- Be More Business-like and Business Friendly
- **Protect the Most Vulnerable and Support Families**

## Annual Complaints Report for Children and Families Services 2018/19

<u>Section</u>	<u>Contents</u>
1	Executive Summary
2	Summary of Activity
3	Outcomes for key actions in 2018/19
4	Priorities for 2019/20
5	Stage 1 Complaints
6	Stage 2 Complaints
7	Stage 3 Complaints
8	Ombudsman (LGO) Complaints
9	Escalation comparison over time
10	Remedy payments
11	Mediation and Alternative Dispute Resolution
12	Joint NHS and social care complaints
13	Learning Lessons/Practice Improvements
14	Compliments
15	Equalities Information
16	The Complaints Process explained

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<b>1</b>	<p><b>Executive Summary:</b></p> <p>There were some 194 “transactions<sup>1</sup>” within the statutory complaints process during the year, i.e. representations, formal complaints, members enquiries and referrals to the Local Government Ombudsman. Given the nature of some of the work undertaken, such as child protection and looked after children, it is positive that numbers of complaints are so minimal. During 2018/19:</p> <ul style="list-style-type: none"> <li>• There were 3727 children who were considered to be children in need (CIN) throughout 2018/19 of which 53% were male and 47% were female. The ethnic breakdown is predominantly BME with approx. a quarter being of white ethnicity. On the last day of the year (31<sup>st</sup> March) a total of 1,820 children were receiving a service from Social Care with the rest having ceased throughout the year.</li> </ul>
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<sup>1</sup> The total of representations, Stage 1, Stage 2, Stage 3, member enquiries & LG Ombudsman referrals within Children and Families Services.

- A total of 2,518 referrals were received in 2018/19 by Children’s Social Care with the most common referral source being Police and Schools both accounting for 54% of referrals received. The service completed 2,421 assessments.
- A total of 1073 child protection investigations were initiated in the period with 373 leading to an initial child protection conference.
- There were 571 Child Protection Plans (CPP) active at some point during 2018/19, 339 new plans were started & 291 ceased during the year. At the time of 31<sup>st</sup> March 280 children were being supported and monitored through a Child Protection Plan
- A total of 281 children were looked after (CLA) at some point during 2018/19, during the year 124 children became newly looked after and 112 stopped being looked after. On 31<sup>st</sup> March Harrow had 169 looked after children.
- At 31<sup>st</sup> March 2019 Harrow had 65 approved fostering households offering 120 placements.
- During 2018/19 about 8200 families accessed the Cedars and Hillview Early Support hubs and 335 young people accessed the Wealdstone Early Support hub.

Children’s Social Care Teams<sup>2</sup> continued to attract the most complaints (80%). This reflects the nature of the statutory social work undertaken by these services, where difficult decisions regarding children and their families sometimes leads to necessary actions which are unpopular with service users.

This report contains both positive messages and indications of areas needing more work.

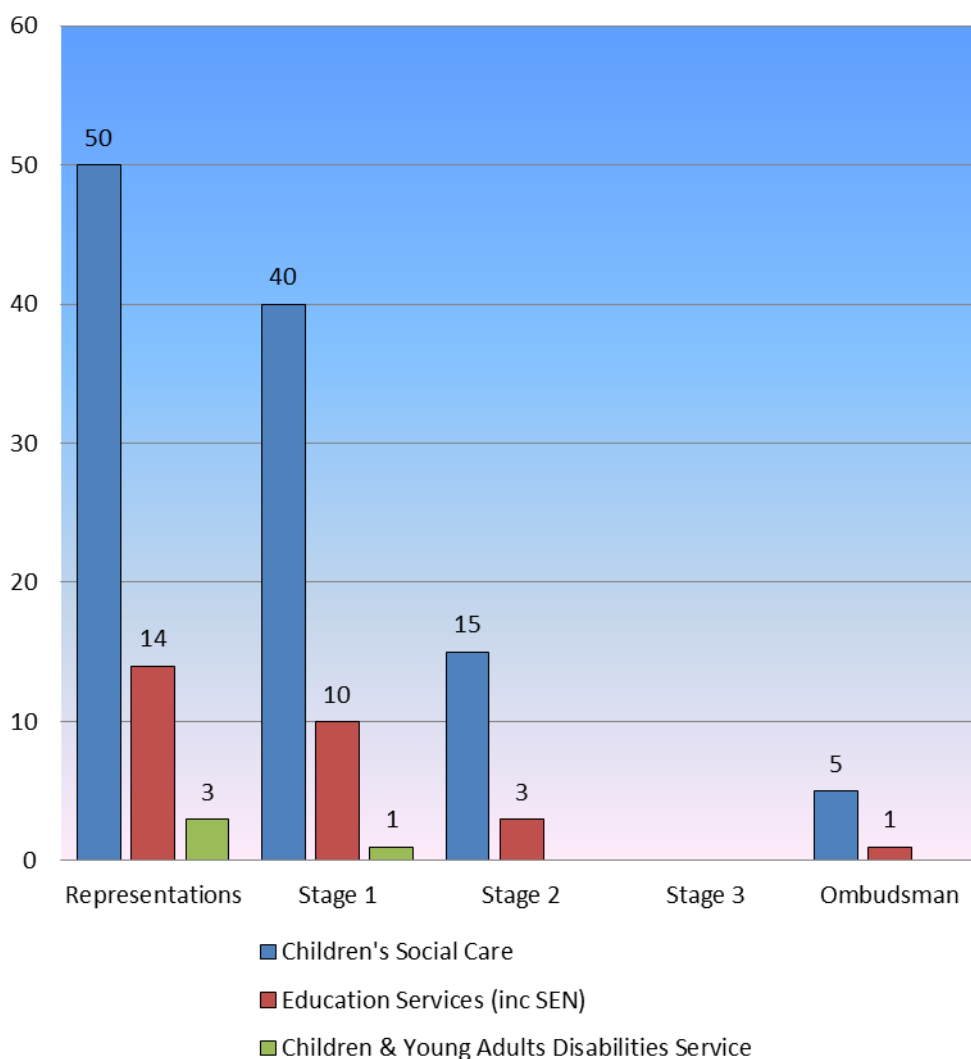
- Of particular note is the high level of representations (67) which were potential statutory complaints but were resolved/actioned informally. This is significant in showing that the Council is able to listen to concerns expressed and act promptly to resolve them. Whilst this is positive in terms of the service users’ experience, it also endorses that early resolution is more cost effective for the Council by avoiding escalation with associated costs of any investigations

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<sup>2</sup> Please note any reference to “Targeted Services” in previous reports is in reference to Children’s Social Care Teams and these terms are interchangeable throughout these reports and refer to the same services.

	<ul style="list-style-type: none"> <li>• The proportion of Stage 1 complaint responses sent within timescales has decreased to 89% in 2018/19, from 94% in 2017/18. This is primarily due to an increase of overall transactions throughout the year but still above the target of 85%. The Complaints Service did not have a Complaints Officer in role from November 2018 to January 2020 (due to secondment/interim role requiring the position to be kept open) which has impacted the services ability to perform at full capacity.</li> <li>• The relative escalation rate of complaints between the stages of the complaints process is low and reflects the successful efforts made by officers to understand and address concerns when they arise as complaints and representations. Escalation of all initial representations and Stage 1 responses to the next formal Stage (2) was 15%. This means around 85% of representations and formal complaints are resolved with the first initial response from the Council demonstrating the quality of first attempt resolution.</li> <li>• Key actions that were set for 2018/19 in the previous year have been met.</li> </ul>
<b>2</b>	<b>Summary of Activity</b>
<b>2.1</b>	<p><b>Overall Complaint Activity:</b></p> <p>Between 1 April 2018 and 31 March 2019 the Council received:</p> <ul style="list-style-type: none"> <li>• 67 representations i.e. potential statutory complaints that did not lead to a formal complaint;</li> <li>• 51 statutory Stage 1 complaints;</li> <li>• 18 Stage 2 complaints;</li> <li>• No (zero) Stage 3 complaint received (no panel hearings);</li> <li>• Six formal Local Government Ombudsman (LGO) complaints.</li> </ul> <p>Additionally, there were 52 MP and Councillor enquiries managed by the Complaints Team. In comparison, 36 enquiries were received last year.</p>

**Table 1: Number of Complaints by Service area: April 2018 to March 2019**



**Number of Complaint Transactions by Service area: April 2018 - March 2019**

Service Area	Representations	Stage 1	Stage 2	Stage 3	Ombudsman	Total
Children's Social Care	50	40	15	0	5	110
Education & Commissioning	14	10	3	0	1	28



<b>CYAD</b>	3	1	0	0	0	4
<b>Total</b>	67	51	18	0	6	142

**Key message:** Overall the picture suggests a continuation of high quality investigative and governance standards.

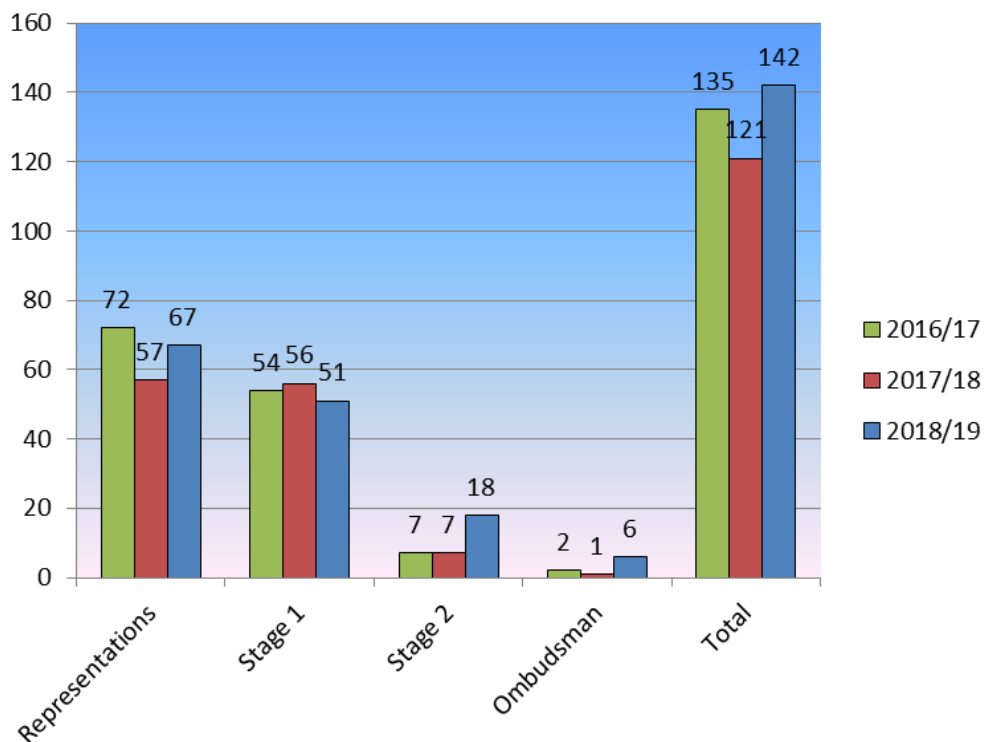
**Analysis:** During 2018/19 there was a slight decrease in the number of formal Stage 1 complaints received (a reduction of six from the previous year). However, there was an increase in representations (67 in comparison to 57 last year) which shows an increased willingness to provide solutions via informal means which are usually faster and more direct.

As with previous years, the majority of received transactions (both representations and formal complaints) are via Children’s Social Care (80%).

There were 18 Stage 2 complaints received. This represents an escalation rate of 31% of all Stage 1 complaints and 15% escalation of all initial transactions. No (zero) complaints progressed to a Stage 3 panel hearing.

There were six new LGO referrals within the year.

**Table 2: Comparison of Complaints over the last 3 years**



	Representations	Stage 1	Stage 2	Stage 3	Ombudsman	Total
2018/19	67(47%)	51(36%)	18(13%)	0(0%)	6(4%)	142
2017/18	57(47%)	56(46%)	7(6%)	0(0%)	1(1%)	121
2016/17	72(53%)	54(40%)	7(5%)	0(0%)	2(2%)	135

**Analysis:** There was an increase in the number of total complaints or 'transactions' in 2018/19 (142) compared to 2017/18 (121). This was mainly due to a higher number of informal representations (an increase of 10 from the previous year) and higher number of Stage 2 and LGO referrals.

This was while the number of formal Stage 1 complaints received dropped from last year (51 as opposed to 56). This shows that more disputes are being resolved without involving the formal process.

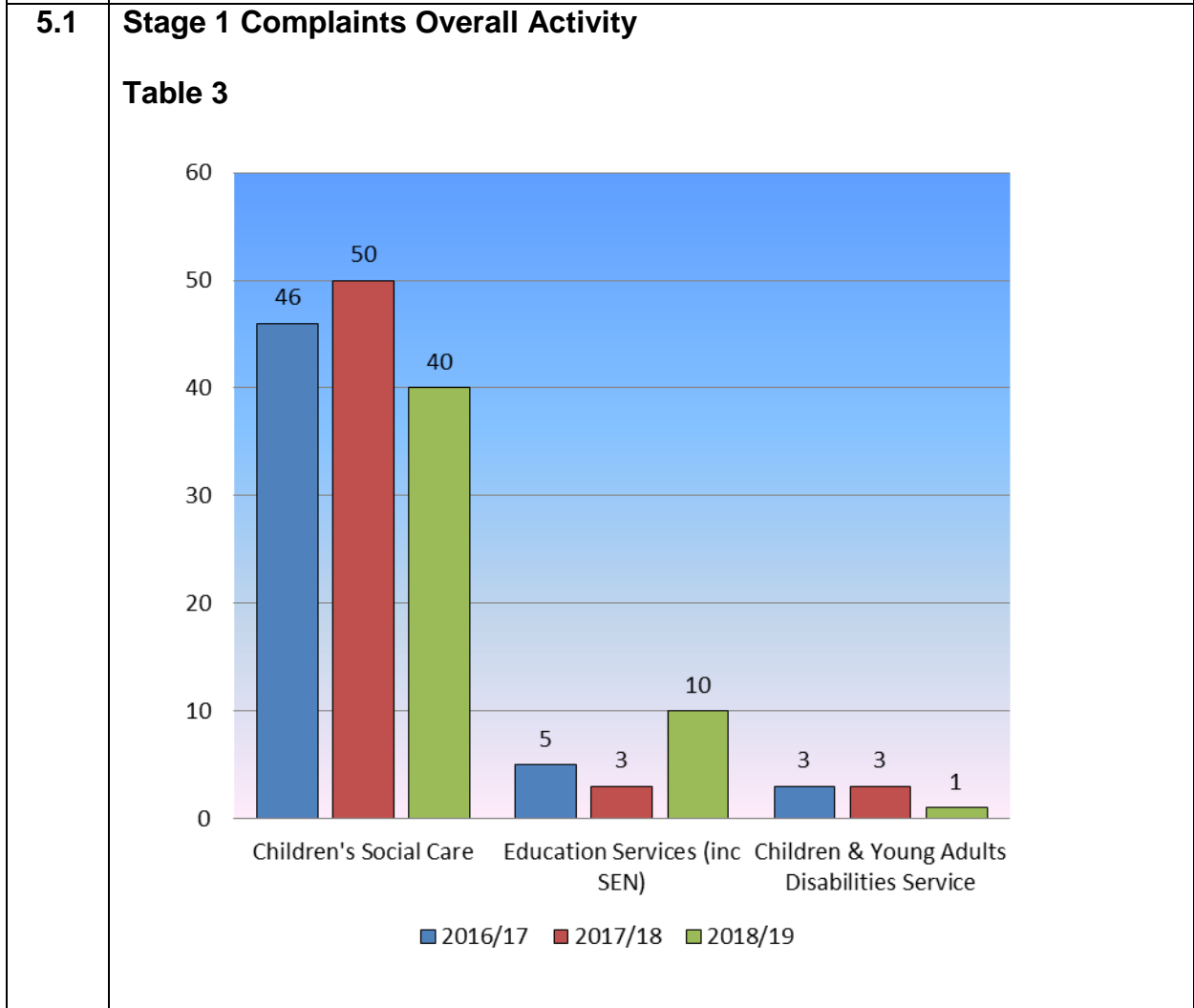
Escalations beyond Stage 1 have remained low in line with previous years.

**Key message:** Previous research (e.g. Jerry White, Local Government Ombudsman & Steve Carney, Head of Complaints, CQC) has suggested that Councils with high levels of Stage 1 complaints/representations tended to receive good performance ratings and demonstrated a willingness to hear concerns, address them and improve services as a result.

**Key action:** To attempt to maintain a balance of representations against actual complaints, as this demonstrates good early resolution for service users.

3	<b>Outcomes for key actions in 2018/19</b>
	<p>All of these outcomes have been met or are currently being progressed.</p> <p>The timeline of responses was above the 85% target.</p> <p>Improvements have been made by working more closely with Team Managers who have helped to drive improvements in performance. Trends in cases and escalations have been consistently monitored in weekly catch up meetings by the Complaints Team and as part of quarterly improvement board reports. The Complaints Service also continually directly speaks to Managers, Heads of Service and Directors to ensure a constant line of feedback and complaint resolution and prevention based suggestions and solutions.</p> <p>The Complaints team also offered more one to one sessions for staff members in handling complaints and reflective discussions with managers who were involved in complaints received to manage future situations where complaints may arise. This work has likely fed into the reduced amount of formal complaints received in this area.</p> <p>The complaints literature and communications are currently being reviewed to be updated in 2019/2020.</p>
4	<b>Priorities for 2019/20:</b>
	<ul style="list-style-type: none"> <li>• To ensure that on time Stage 1 complaint response rates continue to exceed the target of 85%</li> <li>• To continue the core offer of training for front line staff and managers on complaint handling</li> <li>• To update and finalise complaints literature and communications.</li> </ul>

**5 Stage 1 Complaints:**



**Stage 1 Complaints Received**

	2016/17	2017/18	2018/19
Education & Commissioning	5	3	10
Children's Social Care	46	50	40
CYAD	3	3	1
<b>Total</b>	<b>54</b>	<b>56</b>	<b>51</b>

**Key message:** Almost inevitably Children's Social Care attracts a higher level of complaints. The data below will evidence the majority of complaints are from parents/family members. As the "nature of complaints" section will demonstrate below, many complaints arise from parents having a negative view of social care intervention as this will often involve some assessment of their parenting or family relationship.

However, in 2018/19, there was an increase in complaints with respect to Education and in particular, SEND. This is likely attributed to the increase in SEN students overall and may indicate that this area may continue to present

more complaints in future in line with national trends.

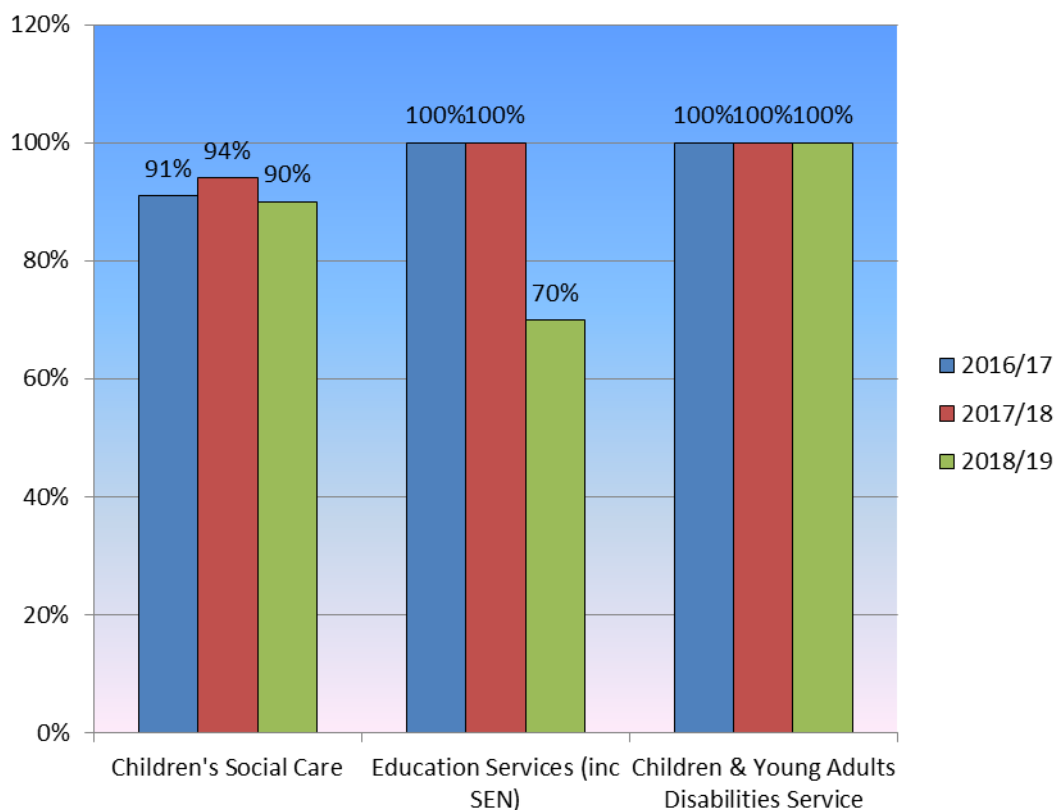
*“The number of public with special education needs (SEN) has increased for a third consecutive year to 1,318,300 in January 2019 representing 14.9% of the total population”* – Special Education Needs in England Department for Education

Children’s Social Care is child focused and based on statutory duties which can be at odds with the initial expectation of Children’s Services involvement from parents. However, Children’s Social Care has seen a decrease since last year likely due to additional work around informally resolving complaints by Children’s Services.

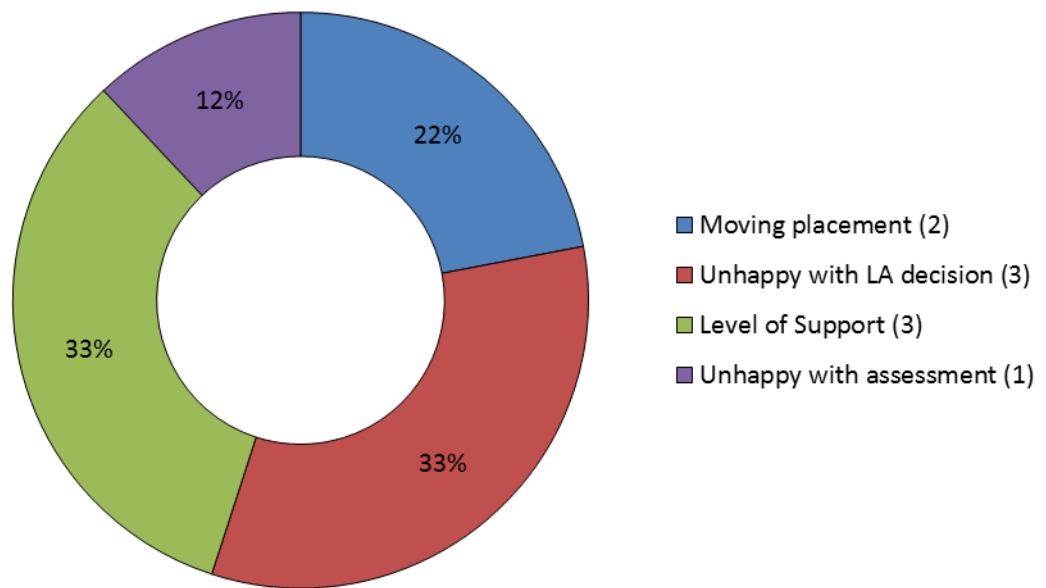
There were 52 MP and Councillor enquiries managed by the Complaints team, which is a significant increase from 36 in the previous year. MP and Councillor enquiries varied greatly in nature and it is not possible to determine if they would have actually led to a formal complaint. Due to this variation, it also allows responses to queries such as asking about free school meals etc. which would not necessarily come under any complaints procedures. This ensures the Complaints Service are able to assist with responses and resolutions to a wide area of issues beyond the usually defined complaint remit.

**5.2 Stage 1 Response Times**

**Table 4**



	<p><b>Key message:</b> There has been a decrease in the level of Stage 1 complaints completed on time during 2018/19 compared to the previous year. Education Services had a particular drop as there were a few in progress complaints at the same time as an Ofsted inspection. The priority was the inspection and as such some responses were delayed.</p> <p>The overall level of on time complaints during 2018/19 was 89%. The primary reason for the decrease is the overall increase in transactions (and member enquiries), in particular the level of Stage 2 and LGO referrals which often require a significant amount of preparation and investigation to allow for a higher quality level of response.</p> <p><b>Analysis:</b> On time response rates decreased this year but were still above the 85% target. The Complaints Service values that responses are provided with adequate investigation and preparation time and this will always be kept as a priority.</p> <p><b>Key action 1:</b> To continue to meet and exceed the 85% local target timescales for on time Stage 1 complaints throughout 2019/20.</p>
5.3	<b>Stage 1: Nature of Complaints</b>
	<p><b>Table 5</b></p> <p><b>Nature of Stage 1 Complaints from Young People 2018/2019</b></p>



## Complaints Examples from Young People

### Moving Placement

*Did not want to move placement due to connections made in current area*

This type of complaint will usually be due to the young person having settled into a placement and surrounding area. Usually sensitive and honest conversations are required to help both young person and services reach an understanding which values young person's feelings but also ensure their best interests are promoted.

### Level of Support

*Unhappy that CS would not pay for requested £730 fridge*

Young people require support with a wide range of issues from books for university to appliances to within their home. Sometimes a young person may be unhappy with not getting specifically what they want which presents the difference between fulfilling a need and fulfilling a want.

### Unhappy with LA decision

*Not being accommodated under s20 of the Children Act*

At times the local authority will make a decision based on policy, procedure or statute/statutory guidance. A young person may raise their objections to this

via the complaints procedure.

### Unhappy with assessment

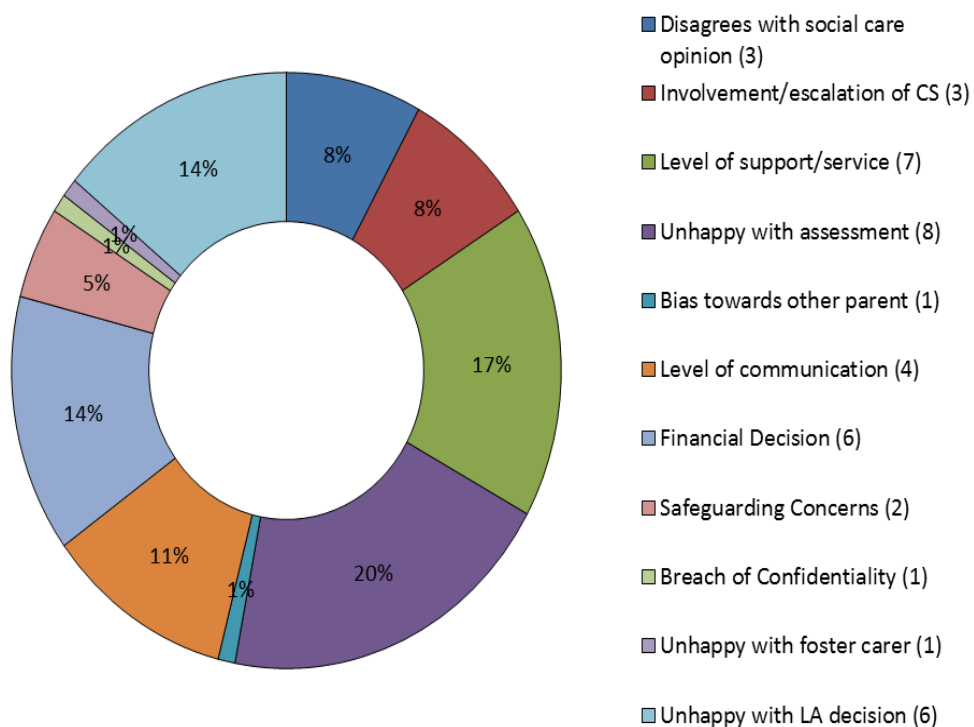
*Did not like how age assessment was carried out as well as outcome*

An assessment can directly impact the level of support a young person may receive so they are able to formally raise concerns about how an assessment has been carried out.

**Analysis** – As noted in the previous year’s report, young people tend to raise more practical complaints usually based around managerial decisions with reference to their living or financial circumstances which their social worker usually does not have the authority to resolve individually. This trend has not changed in 2018/19.

**Table 6**

**Nature of Stage 1 Complaints from Parents/Guardians and Relatives 2018/2019**



### Complaints Examples from Parents/Guardians and Relatives

#### Disagrees with Social Care Opinion

This category has the greatest number of complaints last year with 14. This



has now dropped to three and this is likely due to dealing with these type of complaints more informally (e.g. with a manager calling the individual to help address their concerns) as the next section will evidence.

An example of this complaint is:

*Unhappy that social worker has considered alcohol consumption in their opinion of parent*

### **Involvement/escalation of Children's Services**

This category contains complaints where the parent or involved family feel the level of involvement of social care is not justified and often want the case to be closed as an outcome. As above, this has dropped with respect to formal complaints due to Children's Services working with the complaints service to address these concerns informally which often involves helping parents/family understand the importance and statutory nature of children's safeguarding work. An example of this complaint was:

*Section 47 process should not have occurred or initiated – family communicated that can manage internally*

### **Level of support/service**

These complaints normally are from the perspective that the local authority is not doing either enough or not doing specifically what the family would like as support.

An example of this complaint is:

*Requesting that local authority provides for a (non looked after) child beyond 18*

### **Unhappy with assessment**

Parents or family members who are unhappy with the contents of an assessment (e.g. social work assessment) often raise this via the formal complaints route to address these. An example of this is:

*Disputing the inclusion/discussion of historic allegations with respect to a risk assessment*

### **Bias towards other parent**

Children's Services are often in a position where they have to work with parents who are in a difficult or even acrimonious relationship – as such one

parent may perceive bias from Children's Service towards the other:

*Feels that Children's Services have a preference for the paternal side of family*

#### **Level of communication**

Families can often have expectations for when they are meant to receive a callback or correspondence which if not met, can lead to a complaint.

*Unhappy with not providing EHC plan when it was expected*

#### **Financial Decisions**

Formal complaints can be raised where the local authority has either not satisfied a request for funding/monies or not provided to the level that the family were expecting or wanting:

*Requesting private funding package of child therapy*

#### **Safeguarding Concerns**

There is where a parent/family member may feel not enough is being done by Children's Services usually due to how they negatively perceive the individual who has parental responsibility or contact with child:

*Stating that Children's Services should be taking further measures against their former partner due to safeguarding concerns*

#### **Breach of Confidentiality**

An individual may be unhappy how certain information or correspondence may have been shared by Children's Services:

*Unhappy that social worker spoke to health service in carrying out their duties*

#### **Unhappy with foster carer**

An individual may see the actions of a foster carer and the local authority as being linked:

*Did not like how foster carer spoke to them*

#### **Unhappy with LA decision**

This can be a wide ranging area but is often regarding some kind of decision made by a local authority team or employee that can impact a family:

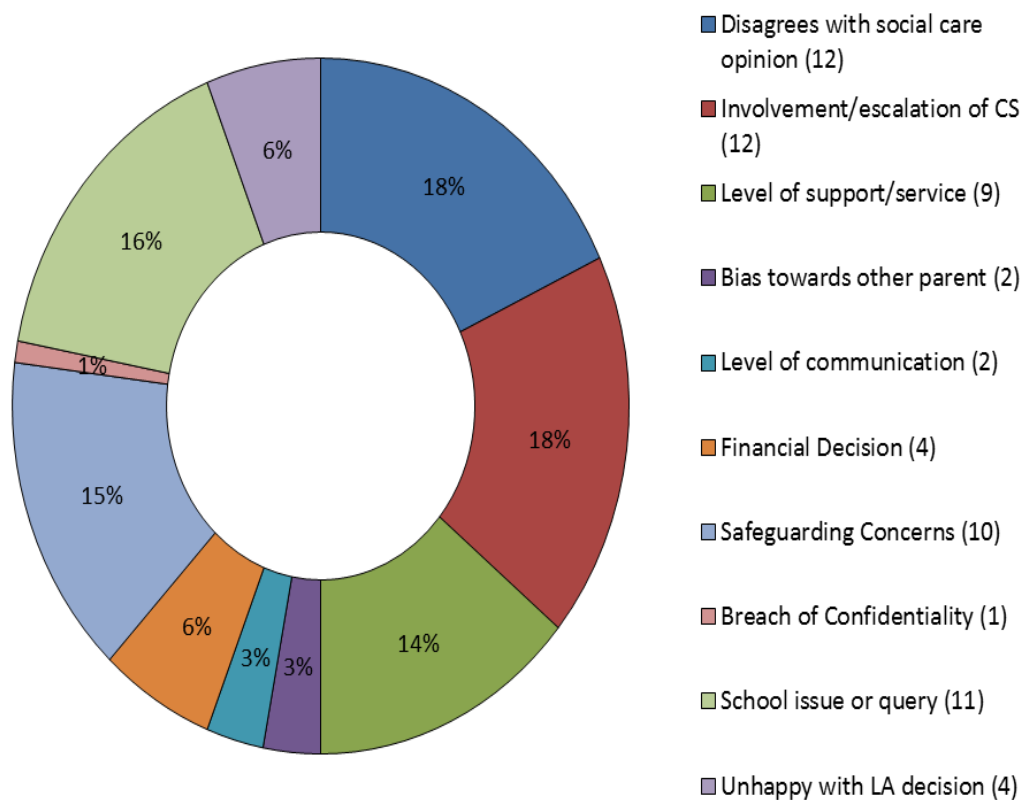
*Unhappy that LA employee made safeguarding referral about their child*

*without consulting them*

**Analysis** – While the above shows a varied basis of complaints, it shows that parent/guardians/family members are using the complaints procedure as a means of challenging or addressing issues they may have with local authority support, financing, decisions etc. while formal complaints which are normally based around perceptions of Children’s Services have reduced in comparison to last year.

This suggests that the formal process is mainly being used to challenge decisions or local authority documentation (such as assessments) and disagreements about social care opinion or involvement are being addressed more informally.

#### Nature of representations 2018/19 – Table 7



**Analysis** – As discussed above, these representations that were resolved informally took on a large number of “perception/disagreement” complaints. I.e. ones where family members were unhappy with what social workers were saying in their professional opinions or due to them being involved at all. These alone made up 36% of all representations.

The representation mechanism was also used to address any safeguarding concerns that were raised via the Complaints Services or where the assistance of our service was sought in responding to these particular concerns.

Lastly, schools admissions queries that were raised via the Complaints Service were usually resolved directly via our Admissions Team which is the correct process.

**5.4 Stage 1: Complaints Outcomes**

**Table 8**

		Not Upheld			Partially Upheld			Upheld			Total		
		18/19	17/18	16/17	18/19	17/18	16/17	18/19	17/18	16/17	18/19	17/18	16/17
	Education & Commissioning	9	2	3	1	0	2	0	0	0	10	2	5
	Children’s Social Care	33	41	29	13	7	13	1	2	4	47	50	46
	CYAD	1	2	2	0	1	1	0	0	0	1	3	3
	Total	43	45	34	14	8	16	1	2	4	58	55	54
	Total of overall Stage 1 outcomes, by percentage	74%	82%	63%	25%	14%	30%	1%	4%	7%			

**Analysis:** Managers and staff within service areas and the Complaints Service have worked towards a more balanced and open approach to complaints, where concerns from service users are recognised and receive appropriate responses. This includes the need to listen to complainants and adopt a less defensive approach when reflecting on practices and making

	<p>decisions on the outcomes of each complaint.</p> <p>This approach is evidenced in consideration of the complaints discussed above directly from young people. Out of the nine complaints, six were partially upheld providing a 67% rate of upholding elements of the complaints. This evidences not only a willingness to listen and carefully consider the wishes and feelings of young people by management, but also that young people are able to correctly be signposted to when they should escalate a complaint when they had such important concerns and issues to highlight.</p> <p>Children’s Social Care has 33 non-uphold complaints out of a total of 47 complaints. This fits the ongoing trend that as a consequence of statutory duty of Children’s Social Care to investigate safeguarding concerns and/or to provide support to children as identified as being in need, this can lead to some parents feeling that they have been negatively judged or that their interests or personal requests are not being prioritised. As a result they raise complaints to address these or to get additional support – not due to the quality of work or specific service issues.</p>			
<b>6</b>	<b>Stage 2 Complaints</b>			
<b>6.1</b>	<b>Percentage of Complaints escalating to Stage 2 (2018/19)</b>			
	<b>Table 9</b>			
	Service	Stage 1	Stage 2	% escalation
	Education & Commissioning	10	3	30%
	Children’s Social Care	47	15	32%
	CYAD	1	0	0%
	Total	58	18	31%
<b>6.2</b>	<b>Escalations to stage 2 trend over time</b>			
	<b>Table 10</b>			
	Service	Escalations to Stage 2		
		2016/17	2017/18	2018/19
	Education & Commissioning	0%	33%	30%
	Children’s Social Care	13%	12%	32%
	CYAD	33%	0%	0%
	Total	12%	12%	31%
	Some 31% of Stage 1 complaints went on to be considered at Stage 2. This is			

a higher percentage than previous years as the above shows. However, the uphold rate for Stage 2 (below) was approximately 24% so for many of these complaints that went to Stage 2, the findings did not change. This shows a good level of consistency in investigation between Stage 1 and Stage 2 despite the higher numbers.

Ultimately, individuals are clearly informed of their right to go to Stage 2 and are not dissuaded from exercising this. Stage 2 is taken as an opportunity to again fairly investigate the issues raised and provide a considered line of reasoning to any outcomes reached.

The majority (15) of the 18 Stage 2 complaints were for Children’s Social Care, which reflects the difficult statutory social work discussed above undertaken by the service.

Some families were also regular complainants often raising similar issues through different individuals and at different times to try and have an issue re-assessed multiple times. As the threshold for declaring an individual as a vexatious complainant is incredibly high – this is rarely met and often difficult individuals will request Stage 2 regardless of the reasonableness of their Stage 1 response.

**6.3 Stage 2 Outcomes 2018/19  
Table 11**

Service	Not Upheld	Partially Upheld	Upheld
Education & Commissioning	3	0	0
Children’s Social Care	10	3	1
CYAD	0	0	0
Total [Grand Total = 17]	13	3	1

During 2018/19, 13 Stage 2 complaints were not upheld and the remaining three complaints were partially upheld with one upheld.

The summarised reasons for the four partial/upholds were

- (1) Not happy with how the birthday allowance for a child was spent by carer
- (2) Lack of communication and clear support path for adopting parents
- (3) Avoidable delays and pre-emptively cancelling a referral for support
- (4) Requested meeting did not take place

**6.4 Stage 2 Response Times of known outcomes  
Table 12**

Service	Within	Over
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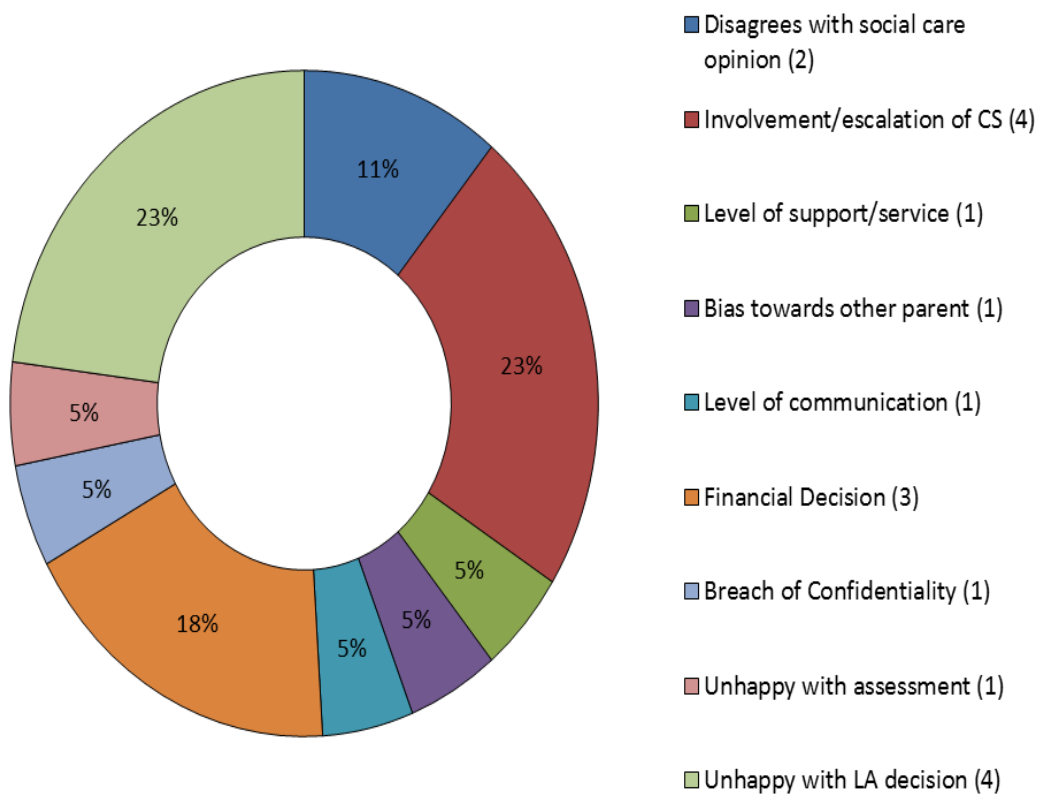
		Timescale 2018/19 (2017/18)	Timescale 2018/19 (2017/18)
Education & Commissioning		2(1)	1(0)
Children's Social Care		12(5)	2(0)
CYAD		0(0)	0(0)
Total		14(6)	3(0)

At Stage 2, there is more emphasis on thoroughness than speed. Nevertheless, the majority of Stage 2 complaints (82%) were completed within timescale.

### 6.5 Stage 2: Nature of Complaints

**Table 13**

**Nature of Stage 2 Complaints 2018/2019**



**Analysis:** Stage 2 complainants remained diverse in their reasoning for dissatisfaction after Stage 1. With respect to any Stage 1 complaints that may have not changed a local authority decision that the individual was unhappy with, would have likely been referred to Stage 2 to provide the individual with

	<p>another opportunity for that decision to change.</p> <p>With some complaints involving finance or financial support, as sometimes the requested outcome was significant (£1000.00+), it is understandable that individuals would choose another opportunity for the potential to receive such a large sum of funds/value of support.</p> <p>Other complaints that did not revolve around a local authority decision or request for support of finance, would have been to do with continued protest or disapproval of Children’s Services involvement or perspective.</p>			
<b>7</b>	<b>Stage 3 Complaints:</b>			
	There were no requests for a Stage 3 review in 2018/19			
<b>8</b>	<b>Ombudsman (LGO) Complaints</b>			
<b>8.1</b>	<b>Complaints made to the LGO</b> <b>Table 14</b>			
	Service	No finding against Council	Partial finding	Total
	Education and Commissioning	1	0	1
	Children’s Social Care	3	2	5
	<p>The Council received six referrals/complaints from the (LGO).</p> <p>While this is an increase from previous years, it has to be noted according to the figures from the LGO (from their website) about their received complaints from 2018-19, in total for Children and Education complaints they received 3196 and the London Borough of Harrow was not in the top 100 Councils by complaints received.</p> <p>Of the six complaints, only three of these led to full investigations with the LGO. Three complaints that did not proceed was due to finding no fault with how the Council had considered the complaints due to:</p> <ul style="list-style-type: none"> <li>• Being outside of complaints remit due to court process</li> <li>• Local authority had already referred to individual to report to police about a criminal allegation that they wanted LA to investigate</li> <li>• Local authority allowed a subsequent appeal in the case and was insufficient continuing injustice to warrant the Ombudsman’s</li> </ul>			



	<p>investigation</p> <p>The full investigation where the LGO found no fault with the Council was due to:</p> <ul style="list-style-type: none"> <li>No evidence of fault found in how the local authority dealt with a safeguarding referral</li> </ul> <p>The investigations where the LGO found partial fault with the Council were due to:</p> <ul style="list-style-type: none"> <li>For the way it assessed a child's needs, the way it handled a request for funding and for failing to provide clear information and advice about the post adoption support process</li> <li>Did not fully assess support needs of adoptive parents and daughter.</li> </ul>				
<b>9</b>	<b>Escalation comparison over time: Table 15</b>				
		Stage 1	Stage 2	Stage 3	LGO
	2018/19	51	18	0	6
	2017/18	56	7	0	1
	2016/17	54	7	0	2
	<p><b>Analysis:</b> The escalation between the complaints stages and LGO stage over the past three years has remained low overall (keeping in mind the additional 67 representations) despite having a clear method of escalation for complainants.</p>				
<b>10</b>	<b>Remedy Payments:</b>				
	<p>A "remedy payment" is made in line with the LGO guidance on Remedy Payments. Two payments were made in 2018/19.</p> <ul style="list-style-type: none"> <li>£1000.00 remedy payment to a family for delay and distress.</li> <li>£1300.00 remedy payment to a family to reflect delay and distress in the case</li> </ul> <p>Both these of these remedy payments were for post-adoption support cases where lessons were learned and the LGO was satisfied with the internal actions taken (discussed in section 13).</p>				
<b>11</b>	<b>Mediation and Alternative Dispute Resolution:</b>				
	<p>During 2018/19 the Complaints Team facilitated the following as mediation/ADR and to assist with reaching a resolution and preventing further</p>				

	<p>formal escalation:</p> <ul style="list-style-type: none"> <li>• Arranging and chairing a mediation meeting between an advocate, young person and the Leaving Care team to discuss his reasons for not wanting to leave his current placement. Due to the open conversation that was able to take place, a positive outcome was reached and young person was happy.</li> <li>• A teleconference call between the Complaints Service and school governor to provide guidance and advice on ensuring an ongoing complaint within the school process was properly and most effectively concluded.</li> <li>• Asking Leaving Care team to set up a viewing and discussion of an alternative placement for a young person so that they could consider this placement without feeling like a decision was simply being made on paper about them.</li> <li>• Attending a mediation meeting between a parent, the Disability Law Centre and a Head of Service to help clarify and explain the legal position of how the local authority will consider the needs of a child with a disability with respect to the Children Act 1989.</li> </ul>
<b>12</b>	<b>Joint NHS and social care complaints</b>
	<p>During 2018/19 there was one complaint investigation carried out jointly between Harrow Council and NHS bodies. In this instance, it was with Harrow Children’s Services and Harrow Child and Adolescent Mental Health Services (CAMHS) with respect to a complaint saying a young person was not receiving the appropriate level of support.</p>
<b>13</b>	<b>Learning Lessons/Practice Improvements</b>
	<p>Examples of lessons learnt/practice improvements include the following:</p> <ul style="list-style-type: none"> <li>• Significant feedback was passed on with respect to recognised gaps in securing and identifying a clear pathway for post adoption support. This was done directly with the relevant Head of Service who passed on this feedback via managers and team meetings as well as arranging training in January 2019</li> <li>• To be more open for considering funding requests for (private) services not previously used/known by local authority if no alternatives are available</li> <li>• Better signposting and explanation of external services or pathways of support that may fall outside of local authority services providing more of a cohesive area of support</li> </ul>

	<ul style="list-style-type: none"> <li>• More detail and clearer pathway of support information should be available on our website</li> </ul>
<b>14</b>	<b>Compliments</b>
	<p>The majority of service users that compliment staff and the Council provide their feedback through verbal communication in care meetings or by phone.</p> <p>However, both professionals who work with the local authority as well as families who use our services do write in to let us know their positive feedback and experiences. The below is correspondence received in 2018/19 and in total the below equates to around 50% of the received Stage 1 complaints, showing an excellent ratio of positive feedback to accompany received complaint numbers.</p> <ul style="list-style-type: none"> <li>• <i>Good morning, I was just talking to the Head at Hartsbourne Primary School in Bushey to do a welfare check and she told me that she has a number of Harrow children and: "I know how you work and I like how you work" She said that she works with three local authorities and finds Harrow by far the best LA to work with.</i></li> <li>• <i>This morning I was talking to a deputy head about a Brent child and she was saying that she wishes that every local authority had as good a MASH as Harrow. She said that Harrow is the only local authority where she can phone MASH and be given advice and information immediately and that her experiences with other LA's MASH was greatly inferior to her experience with Harrow's.</i></li> <li>• <i>I thought I MUST write to say how impressed with D (Children's Social Worker) I was from our Core Group meeting on Friday. She had in short time built up a rapport with mum, who has now had 6 social workers I know of across three local authorities. D spoke with dignity to mum, empathised with mum and had already made arrangements to get the support mum needs with a very complex case and a very violent partner. D is the only social worker who has looked at how Mum can be protected and supported in making the right decisions to get herself out a vicious cycle, without judging mum and leaving her to fight a mighty battle. I was really impressed , and in light of my recent experiences in other cases we are involved in, I am very pleased. The case is a tough one, and we are all worried that if could all go sour if dad loses it, but I have confidence that mum is being understood and listened to; thank you D. (From a Primary School Headteacher)</i></li> <li>• <i>In coming down on the side of the local authority's argument that</i></li> </ul>

*reconciling the children with their mother offered the least bad option, the judge praised the family's "sensible" and "committed" social worker. She noted the social worker's assessment that the "risk of physical chastisement had reduced" and that there were "positive signs for the future". <https://www.communitycare.co.uk/2018/04/27/judge-rules-diplomatic-immunity-barrier-care-proceedings/>*

- Thank you again for all your help we really appreciate everything you have done for us...the Police will be able to carry out sporadic checks on the premises – From Community Safety Officer in reference to Children's Head of Service chairing a multi-agency meeting for a property closure*
- I am writing to you with regards to Social Worker DK. D has recently been assigned to a student in my school. From the first time D contacted me, she has been very professional and has provided a first class service to both the parent and the student. She has kept the school in the loop at all times and has gone above and beyond with regards to ensuring both parent and child's wellbeing are met. D's attention to details is second to none. I have thanked her numerous times, but I felt you had to be informed that you have a fantastic member of staff on your team. She is kind, professional, diligent and goes above and beyond her role as a social worker. She's a pleasure to work with. – From Primary School Learning Mentor*
- On my part it was great to see the MASH, discussed and debated at my time on the borough, fully fledged and delivering for the vulnerable in Harrow. I was instantly reminded of the positive attitude of so many in the local authority – all I spoke to were enthusiastic, committed individuals, well led and focussed. – From Retired Borough Commander*
- I just wanted to relay to you the Judge's warm compliments to the social work team in court, J and R, for the way in which they had supported the family in this case, which had led to the children being able to remain with their mother. The Judge's praise was spontaneous and genuine The judge stated 'I commend the Local Authority for the extensive support they have given to keep the children within the family. There is only one person who is earning money and that is the father. However, the Local Authority has sought to do all it can to provide financial and other support for the benefit of the family' – From*

*Senior Legal Advocate*

- *I am very happy with the service that has been provided to my children and myself and we have had a few very stressful years and when R was appointed to us at the end of 2017 we finally felt like we were being listened to, and she has really helped us move forward in many areas, many of these areas like housing are probably not even something that are part of her job. R has gone above and beyond for my family and we wouldn't be as far along in rebuilding our life without her, the support that she has offered me has been amazing and as I feel I have been let down by other professionals such as my IDVA worker, she has been really appreciated during this difficult journey. We all think very highly of our social worker and I am very happy with the way our case has been handled – Parent/Service user*

- *Hello R*

*Kids are looking forward to seeing you later today. I am not sure if I will be home as I have a meeting.*

*Thank you for ALL your help and support during a really tough time but finally we have the outcome that we wanted. Please keep in touch and you know you will always get a huge welcome if you do drop in for a "play date" with L and J!*

*We were so very lucky to have you working with us and wish you all the very best for the future. Love B - Parent/Service User*

- *Thank you for your email and the excellent service you and your (school admissions) team have given to us over the last two months. – Parent/Service User*
- *Thank you ever so much for the time you have taken today to talk through our attendance procedures especially Children Missing in education. I found the way that you explained the different processes very helpful. It was very evident from our conversation this morning, that you have a wealth of information. You have given us lots of practical advice which we will implement intelligently in order to support our families and raise our attendance. – From Deputy Head*
- *Kenmore Park Juniors has found the work of the MASH team invaluable in our delivery of Safeguarding. In particular, the expert advice and support of individuals such as GB allow the school to fully safeguard pupils with the most complex of needs. Their timely support enhances and expands our provision for vulnerable pupils. We appreciate the many times that GB and the MASH team goes above and beyond the call of duty in order to support the school with often*

*very complex issues. – Deputy Head*

- I would like to take this opportunity to thank NL (social worker) for all of his hard work in the most difficult time of my life. I was extremely sad to see him leave us. He always replied to messages and calls quickly and anything I asked him to help me with always within the social services remit; he never failed to follow through with it. He is and exceptional part of the team and a credit to all of his managers - he is also a credit to himself for being a wonderful and caring human being. There are people in this world who are made for the work that they do and I truly believe that N is one of them. I wish him all the success in the future and have confident hope that he will help many other families the way he has helped me throughout his career. He had been my only constant / consistent source to speak to when I needed it most after going through a terrible time with my abusive partner and being diagnosed with cancer after first thinking I had lost a baby - i felt he always treated me with dignity and respect and I was never anxious or afraid to pick up the phone and talk to him about anything - A (my daughter) thought he was great too. I wish I could put more into words to explain my gratitude . \*Lastly, he went above and beyond his duty bound responsibilities and it always felt like N was helping me because he truly wanted to ;not just because he was required to due to what was expected of him at work. There should be more people in the world like him. Yours kindly A – Parent/Service User*
- We, as a family, knew Canons was the right school for S and I do not think that I will ever be able to convey my sincere gratitude and appreciation to the staff at Harrow Council for giving S this wonderful and privileged opportunity, which will not be wasted. Without sounding too dramatic, this has really saved S's future and his life, thank you so much again. Lastly, I would like to say a personal thank you to you too, I felt I got to know you somewhat over the last year and although there was nothing you could do except offer me advice following Harrow's guidelines, I always got a sense that you cared. You always took the time to listen, understand and offer me the various options available when I called the Admissions team and I think it is your approachability, warm, polite, patient, professional, respectful and reassuring demeanour that played a part in me pressing on with keeping S on the waiting list and appealing. Thank you N, you have been absolutely wonderful and I have really valued you. – Parent/Service User*
- I just wanted to echo my thanks to you for your continued support throughout the process of helping me through choosing my school*

*place for my daughter. Your advice, and general support around the application process made it very easy for me and my wife. I wish they were more helpful people like you. – Parent/Service User about Admissions Team*

- *Just want to feedback on last nights training with G. As much as I was reluctant to come out on a dark Autumn evening, after attending, I could have listened to G for another 2-3 hours! She was fantastic! The training was interactive, informative and very very interesting. Please, could you pass on my message to her and thank her for arranging this (from the request made by childminders at the 2-year progress check meeting.) In no time she arranged this to become viable and the response from other settings to attend was overwhelming! – About SEND training delivered by Early Years*
- *I am writing to commend one of your staff members . J has gone above and beyond to assist us ,in obtaining a place for my niece at Pinner High School . He is absolutely amazing and we as a family ,are extremely grateful to him . Please pass on our sincere thanks – Re Admissions Team by Relative/Service User*
- *I must thank through you to the entire council team for the great job, the effortless way i got my ward's admission into my first choice school. – Parent/Service User*
- *A parent on the group recently complained about a short break issue so I told her you had given permission to give parents your email address (which I do but carefully). She got back to the group to say you quickly replied and she was contacted just as quickly by a short breaks provider to provide support. She was very pleased, pleasantly surprised at the sheer speed of redress and the results. I have had other parents commenting on the how great that was too.*

*I am writing to say; thank you, we are also very impressed and it makes our job easier when parents can experience results for themselves from the progress we know you are making behind the scenes. – Re Head of Service for CYAD from Harrow Parents 4 Disabled Children*

- *Thank you for your training and advice. Your enthusiasm and commitment for Early years is remarkable and no doubt it has given us a lot to think and action. My team feels the same. I will keep in touch*

*with you, for your advise and support. I wish we all are as brave and committed as you are promoting positive outcome - About SEND training delivered by Early Years*

- *I recently came across this page: <http://www.harrow.gov.uk/localoffer/services/local-info-advice> and found it really helpful. Mainly because I'm a student in UK, and I'm hearing impaired, so the resources are extremely valuable to someone like me. One thing I'm always trying to tell people is that one size does not fit all when it comes to students with disabilities, especially when it comes to online information for students in this community. So whenever I find something that provides value, I like to be proactive and share it with other disabled students I know. Thank you for putting that page together'.*
- *It was excellent. The Twilight yesterday was very purposeful. The 3 sessions were very informative! I feel like I have developed my understanding on how to support our SEN students further (and my son's who is still waiting to be diagnosed), so thank you for organising this! Thanks for organising speakers for last night, they were excellent. I thought it was really useful twilight. It has given me a greater understanding about what the students who have hearing impairment face each day. It was so good to get a better understanding of Sofia too. Thanks for yesterday - it really was so helpful. It was very good please thank them – re SEND Training*
- *What a fascinating morning! Thank you so much for the invitation to visit the MASH yesterday morning. You certainly gave us an insight into the sheer scale of the operation, and the beginnings of an understanding into working of the groups. The interaction between the different agencies in the meetings is really impressive. – re School Safeguarding Lead MASH Visit*
- *Please find attached a letter expressing our thanks and appreciation for the support that we have received to date from you and your team, particularly from JC, our Post Adoption Support Worker. – Parents/Service Users*
- *Further to our conversation this week I wanted to put in writing how fantastic E (duty social worker) was when she came to Pinner Wood following a further disclosure of a CIN (SP). She was ultimately professional- calm, factual and an expert at de-escalation. I felt the situation and the child's safety was absolutely safe in her hands. I learned a lot from listening to her speak to the child and her parents. The other SW I want to mention is DMR. Again, I feel the situations for the children in our joint care are improved by her involvement because she is a steady presence, sticks to the facts, listens to everyone, is*



*determined to improve lives and again, is able to manage difficult scenarios. She absolutely has the children's best interests at the heart of everything she says and does. It is a real pleasure to work with her. And- many thanks also to you G for all you do to support us teachers. It is great to have you on the end of the phone and you are always so supportive and helpful. – From Deputy Head re Children's Services*

- *At a governors' meeting at St. Teresa's school this evening the head said, unsolicited, what a good service the school gets from Children's Services in terms of accessibility to social workers and generally and said it was far better than she had been used to in Lambeth where she was a deputy head before coming to us. – From Harrow Councillor*

**15 Equalities Information**

**15.1 Equalities Information – Stage 1 Complaints**

Table 16		2018/19	2017/18
Gender of Service User:			
Male:		23 (45%)	24 (44%)
Female:		28 (55%)	30 (56%)

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Table 17		2018/19	2017/18
Ethnic Origin of Service User:			
ASIAN OR ASIAN BRITISH			
Afghanistani		1	1
Bangladeshi			
Indian		6	3
Pakistani		2	1
Sri Lankan			2
Sri Lankan Tamil			
Other Asian		4	9
BLACK/BLACK BRITISH			
African		4	4
Caribbean		11	5
Somali			
Other Black		2	4

	<b>OTHER ETHNIC GROUP</b>		
	Arab	3	
	Chinese		
	Iranian		
	Iraqi		
	Kurdish		
	Lebanese		
	Other Ethnic Group	3	
	<b>MIXED</b>		
	White & African		2
	White & Caribbean		1
	White & Asian		3
	Other Mixed	2	6
	<b>WHITE</b>		
	Albanian		1
	British	9	7
	Irish		
	Gypsy/Roma Traveller		
	Irish Traveller		
	Polish		
	Romanian	1	
	Serbian		
	Other White	1	5
	<b>PREFER NOT TO SAY/NOT KNOWN</b>	3	2
	<b>Table 17 Origin of Complaints</b>	<b>2018/19</b>	<b>2017/18</b>
	Service User (Young Person)	5	4
	Parent/relative	41	49
	Advocate	4	3
	Solicitor	1	0
	Friend/other	0	0
<b>15.2</b>	<b>Equalities Information – Stage 2 Complaints</b>		
	<b>Table 19</b>	<b>2018/19</b>	<b>2017/18</b>
	Gender of Service User:		
	Male:	8(44%)	4 (57%)
	Female:	10(66%)	3 (43%)
	<b>Table 20</b>	<b>2018/19</b>	<b>2017/18</b>
	Ethnic Origin of Service User:		
	Sri Lankan		1
	African	2	1
	Other Black		

	Mixed Background - Other		1
	Other Asian	1	
	Caribbean	4	1
	White British	6	1
	Unknown	2	2
	Arab	1	
	Chinese	1	
	Indian	1	
	<b>Total</b>	<b>18</b>	<b>7</b>
	<b>Table 21</b>	<b>2018/19</b>	<b>2017/19</b>
	<b>Origin of Complaints</b>		
	Service User		
	Parent/relative	17	7
	Advocate	1	
	Solicitor		

## 16. The Complaints Process explained:

This report provides information about complaints made during the twelve months between 1 April 2018 and 31 March 2019 under the complaints and representations procedures established through the Representations Procedure (Children) Regulations 2006, and the Council’s corporate complaints procedure.

All timescales contained within this report are in working days. Text in quotation marks indicate direct quotations from the 2006 Regulations or Guidance unless otherwise specified.

### 16.1 What is a Complaint?

“An expression of dissatisfaction or disquiet in relation to an individual child or young person, which requires a response.”

However,

“The Children Act 1989 defines the representations procedure as being for ‘representations (including complaints)’.”

Therefore both representations and complaints should be managed under the complaints procedure (unlike for Adult social services, where only complaints need be captured).

### 16.2 Who can make a Complaint?

The child or young person receiving or eligible to receive services from the Council or their representative e.g. parent, relative, advocate, special guardian, foster carer, etc:

“The local authority has the discretion to decide whether or not the representative is suitable to act in this capacity or has sufficient interest in the child’s welfare.”

#### 16.3 What the complaints team do:

- Letter-vetting
- Liaising with services to try resolve the issue informally
- Mediation
- Training
- Raising awareness / staff surgeries
- Learning facilitation and agreed actions monitoring
- Deliver a unique complaints support SLA to schools
- Advocacy commissioning and support

#### 16.4 Stages of the Complaints Procedure

The complaints procedure has three stages:

**Stage 1:** This is the most important stage of the complaints procedure. The Service teams and external contractors providing services on our behalf are expected to resolve as many complaints as possible at this initial point.

The Council’s complaints procedure requires complaints at stage 1 to be responded to within ten working days (with an automatic extension to a further ten days where necessary).

**Stage 2:** This stage is implemented where the complainant is dissatisfied with the findings of stage 1. Stage 2 is an investigation conducted by an independent external Investigating Officer for all statutory complaints and an internal senior manager for corporate complaints. A senior manager adjudicates on the findings.

Under the Regulations, the aim is for stage 2 complaints falling within the social services statutory complaints procedures to be dealt within 25 days, although this can be extended to 65 days if complex.

**Stage 3:** The third stage of the complaints process is the Review Panel under the statutory procedure. Under the corporate complaints process, there is no Stage 3. This panels remit is not to reinvestigate the complaint.

Where complainants wish to proceed with complaints about statutory Children’s Services functions, the Council is required to establish a complaints Review Panel. The panel makes recommendations to the Corporate Director who then makes a decision on the complaint and any action to be taken. Complaints Review Panels

are made up of three independent panellists. There are various timescales relating to stage 3 complaints. These include:

- setting up the Panel within 30 working days;
- producing the Panel's report within a further 5 working days; and
- producing the local authority's response within 15 working days.

### **Local Government Ombudsman**

The Ombudsman is an independent body empowered to investigate where a Council's own investigations have not resolved the complaint.

The person making the complaint retains the right to approach the Local Government Ombudsman at any time. However, the Ombudsman's policy is to allow the local authority to consider the complaint and will refer the complaint back to the Council unless exceptional criteria are met.

### **Section 3 - Statutory Officer Clearance**

The Corporate Director determined the report did not require Financial or Legal clearance.

### **Section 4 - Contact Details and Background Papers**

**Contact:** Usman Zia, Complaints Manager, Adults & Children's Complaints, 020 8424 1627

**Background Papers:**

None

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**REPORT FOR: PERFORMANCE AND  
FINANCE SUB-  
COMMITTEE**

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<b>Date of Meeting:</b>	20 <sup>th</sup> January 2020
<b>Subject:</b>	Adults Services Complaints Annual Report (social care only) 2018/19
<b>Responsible Officer:</b>	Paul Hewitt, Corporate Director People Services
<b>Scrutiny Lead Member area:</b>	Councillor Jerry Miles Councillor Janet Mote
<b>Exempt:</b>	No
<b>Enclosures:</b>	None

**Section 1 – Summary and Recommendations**

This report sets out the statutory Adults Services Complaints Annual report (social care only) 2018/19.

**Recommendations:** None. For Information purposes only.

## **Section 2 – Report**

### **Financial Implications**

There are no specific budget issues associated with this report. All compensation payments are agreed by Service Managers and are funded within existing budgets.

### **Performance Issues**

There are no specific particular performance issues associated with this report.

### **Environmental Impact**

N/A

### **Risk Management Implications**

Risk included on Directorate risk register? No

Separate risk register in place? No

### **Equalities implications**

N/A

### **Corporate Priorities**

The Council's vision:

Working Together to Make a Difference for Harrow

- Build a Better Harrow
- Be More Business-like and Business Friendly
- **Protect the Most Vulnerable and Support Families**



# Annual Complaints Report for Adults Social Care Services 2018/19

<u>Paragraph</u>	<u>Contents</u>
1	Executive Summary
2	Summary of Activity
3	Outcomes for key targets in 2018/19
4	Focus for 2019/20
5	Stage 1 Complaints
6	Stage 2 Complaints
7	Ombudsman Complaints & Enquiries
8	Escalation comparisons over time
9	Remedy payments
10	Mediation
11	Joint and social care complaints
12	Learning Lessons/Practice Improvements
13	Compliments
14	Equalities Information
15	The complaints process explained

## **1. EXECUTIVE SUMMARY**

The overall picture remains very positive and reflects a real commitment from managers and staff to resolve complaints as effectively, and as promptly, as possible. Low levels of escalation to secondary stages or the Local Government Ombudsman (LGO) further reinforces the fact that complainants are satisfied that their concerns are heard and dealt with appropriately and effectively.

There were some **172** “transactions<sup>1</sup>” within the statutory complaints process during the year, i.e. representations, formal complaints, member enquiries and referrals from the LGO. Given the nature of some of the work undertaken in ensuring care for very vulnerable individuals, it is positive that the numbers of complaints are so minimal. Thousands of service episodes are provided each year.

During 2018/19, the number of clients that received Long Term services was **4,070**; whilst **678** clients received Short Term Reablement service and **1,388** clients received either Short Term (other) or On-going Low Level services. Please note that some service users may have been in receipt of two or more services during the year (i.e. a service user received Reablement which ended and then received Long Term services).

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<sup>1</sup> The total of representations, Stage 1, Stage 2, member enquiries and LG Ombudsman referrals.

During 2018/19 Adults Social Care Services:

- Received **8228** requests for social care support from potential service users.
- Provided information and advice (including referrals to other organisations that could assist) to **1366** clients.
- Ensured a total of **678** clients received home based short term Reablement services
- An additional **1,388** clients received other forms of short term support in response to their request, this included support like mental health counselling.
- A total of **4,070** clients received some form of long term support, which includes personal budgets, direct payments, residential and nursing care. **3,003** of those clients were actively in receipt of such services on 31<sup>st</sup> March 2019.
- Assisted **916** carers during the year. This included **288** instances of information and advice, **465** direct payments to the carer and **155** temporary support packages delivered to the cared-for person (e.g. to give the carer a break from their caring responsibilities

This report contains both positive messages and indications of areas needing more work.

- Of particular note is the high level of representations (79) which are received as potential complaints but resolved informally to the satisfaction of service users. This is significant in showing that the Council is able to listen to concerns expressed and act promptly to resolve them. Whilst this is positive in terms of the service user's experience it also endorses that early resolution is more cost effective for the Council by avoiding escalation with associated costs of any investigations.
- The number of Stage 1 complaints continues to fall and the proportion of Stage 1 complaint responses sent within timescales remains very high at 93%.
- The relative escalation rate of complaints between Stage 1 and Stage 2 has remained relatively low at 17%. This reflects the successful efforts made by officers to understand and address concerns when they arise as complaints and representations.
- Better quality resolution work has meant that fewer representations moved on to a Stage 1 complaint. Indeed there were far more representations (72 at initial contact plus 7 midway through process) than Stage 1 complaints (30) in 2018/19. This meant more than twice as many cases were informally resolved ensuring a swift resolution for our citizens.
- All of the key actions that were set for 2018/19 have been met.

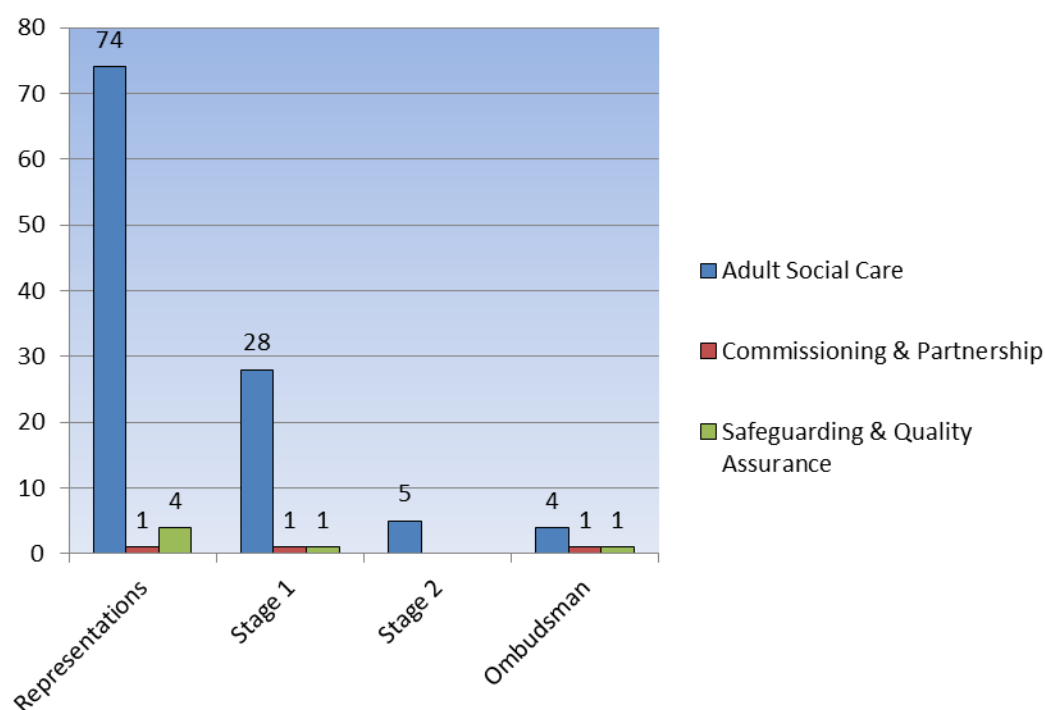
## 2. Summary of Activity

Between 1 April 2018 and 31 March 2019 there was the following activity:-

- The Complaints Service dealt with 79 representations i.e. potential complaints that did not lead to a formal complaint investigation.
- The Council received 30 Stage 1 complaints.
- 5 complaints progressed to the second stage.
- The Ombudsman reviewed 6 complaints during this period

Additionally there were 52 MP and Councillor enquiries managed by the Complaints Team.

**Chart 1: Number of Complaints by Service area: April 2018 to March 2019**



**Number of Complaint Transactions by Service area: April 2018 - March 2019**

Service Area	Representations	Stage 1	Stage 2	Ombudsman	Total
Adult Social Care	74	28	5	4	111
Commissioning & Partnerships	1	1	0	1	3

<b>Safeguarding &amp; Quality Assurance</b>	4	1	0	1	6
<b>Total</b>	79	30	5	6	120

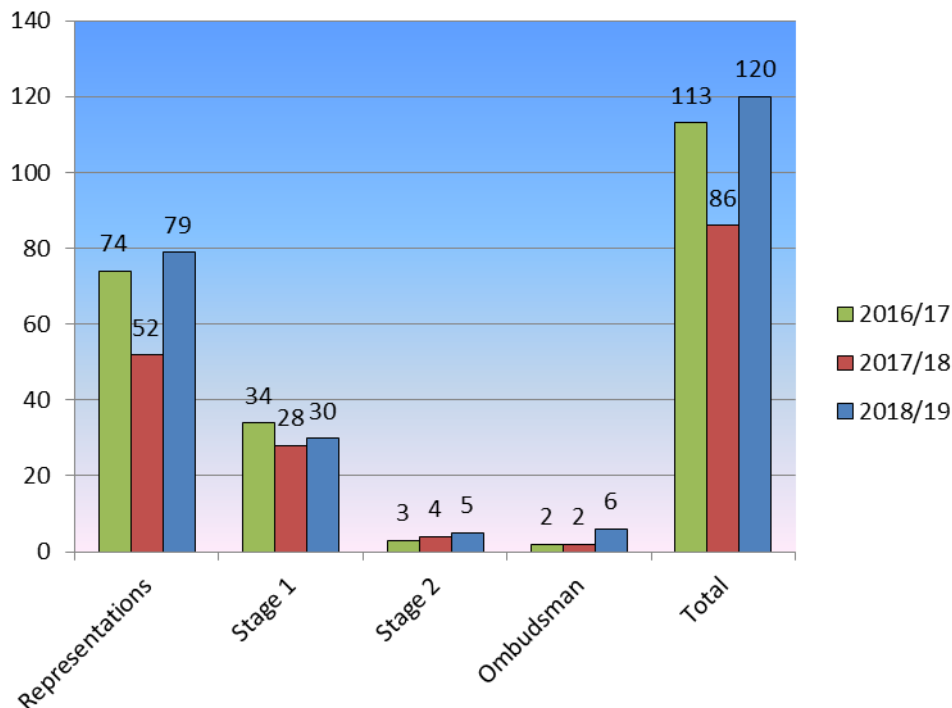
**Key message:** Overall the picture suggests a continuation of high quality investigative and governance standards.

**Analysis:** This year, there has been a slight increase in the number of Stage 1 complaints, up by two compared to 2018/19. This is not unusual and in line with the typical range of received formal complaints.

There were just five Stage 2 complaints; this represents an escalation rate of only 9% of all Stage 1 complaints.

Of the six LGO referrals received, only two had elements that were upheld by the Ombudsman.

## 2.1 Comparison of complaints over the last 3 years



	Representations	Stage 1	Stage 2	Ombudsman	Total
<b>2018/19</b>	79 (60%)	30 (33%)	5 (5%)	6 (2%)	120
<b>2017/18</b>	52 (60%)	28 (33%)	4 (5%)	2 (2%)	86
<b>2016/17</b>	74 (65%)	34 (30%)	3 (3%)	2 (2%)	113

**Key message:** Overall the picture suggests a continuation of high quality investigative and governance standards.

**Analysis:** There was an increase in the number of total complaints or 'transactions' in 2018/19 (120), compared to 2017/18 (86). This was mainly due to the larger number of representations which is a result of continual encouragement from the Complaints Service for managers and front line staff to approach the Complaints Service at the outset of an issue that has potential to become a formal complaint.

This is beneficial for both citizens and staff as it allows additional guidance and potential for resolution by involving the Complaints Service at the first possible instance that resolution to an issue which is often more efficient than the formal process.

This is why a greater number of representations are now forwarded to the complaints team from social care staff, who have become more aware of the benefits of ensuring a third party manages some of the queries raised during casework.

### **3. Outcomes for key targets in 2018/19**

In the previous annual report the following were identified as key focus areas.

- To ensure that on time Stage 1 complaint response rates continue to exceed the local target of 85%
- To continue the core offer of training for front line staff and managers on complaint handling
- To update the complaints database to reflect the new teams within the People Directorate
- To review and update complaints literature and communications.

All of these outcomes have been met, for example, 93% of stage 1 complaints were responded to on time. The Complaints team also offered more one to one training sessions for staff members in handling complaints and reflective discussions with care managers who were involved in complaints received to manage future situations where complaints may arise.

We plan to publish new complaints materials for 2019/20.

### **4. Focus for 2019/20 :**

- To ensure that on time Stage 1 complaint response rates continue to exceed the local target of 85%
- To continue the core offer of training for front line staff and managers on complaint handling

- To update the complaints database to reflect the new teams within the People Directorate
- To review and update complaints literature and communications.

## **5. Stage 1 Complaints**

### **5.1 Overall Activity**

	<b>Commissioning &amp; Partnership</b>	<b>Adult Social Care</b>	<b>Safeguarding, &amp; Quality Assurance</b>	<b>Total</b>
2017/18	<b>1</b>	<b>28</b>	<b>1</b>	<b>30</b>
2017/18	<b>3</b>	<b>25</b>	<b>0</b>	<b>28</b>
2016/17	<b>0</b>	<b>34</b>	<b>0</b>	<b>34</b>

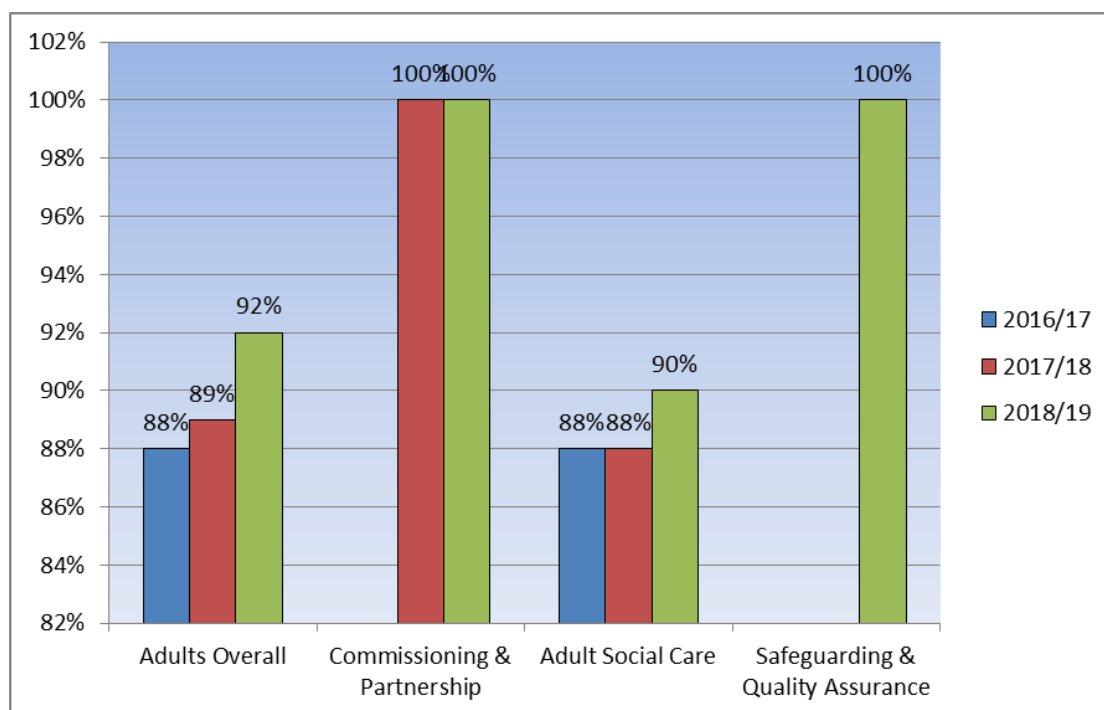
#### **Analysis:**

The number of Stage 1 complaints have continued to stay relatively low over the past three years. The reasons for this include:

- Better quality resolution work has meant that fewer representations moved on to Stage 1 complaints. Indeed there were more than double the number of representations (79) than Stage 1 complaints (30) in 2017/18
- Training for front line staff to offer choice and control has resulted in a positive culture change throughout Adult Services, leading to higher levels of satisfaction.

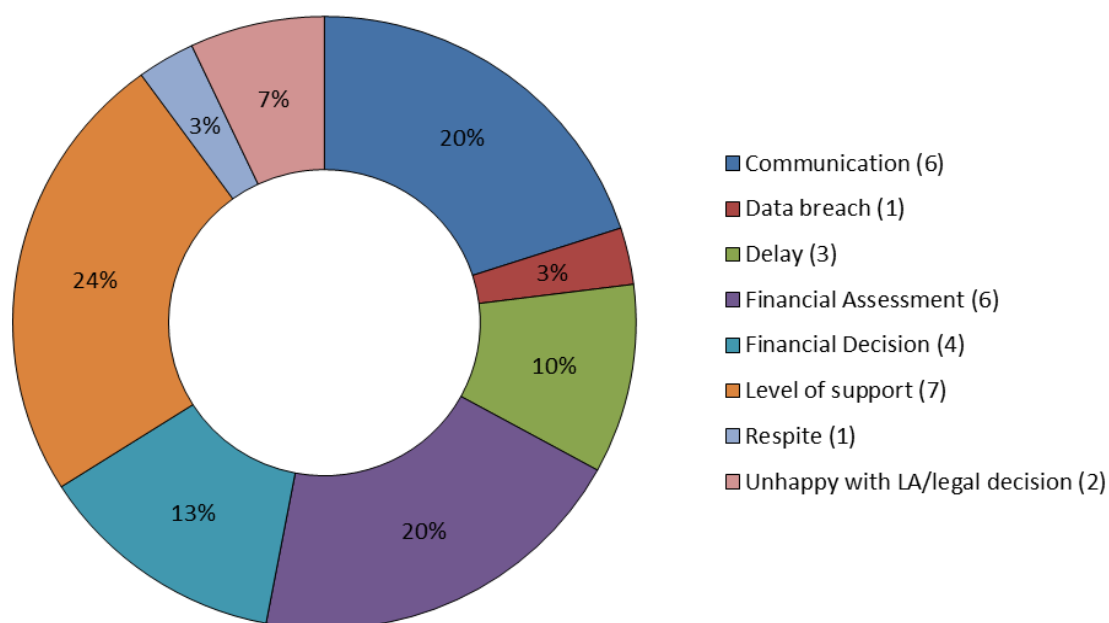
Adult Social Care, which manages all referrals for statutory services under the Care Act and contains the majority of the social work teams within Adults by the nature of the work will always receive the largest share of complaints. Family members are very conscious and sensitive both to the level of care a loved one receives as well as the financial implications of Adult Social Care which is means tested.

## 5.2 Stage 1 response times



**Analysis:** All services areas exceeded the corporate target of 85%, with an overall level of 92% of Stage 1 complaints being dealt within timescale.

## 5.3 Nature of complaints



Examples of complaints by category:	2018/19 examples
Communication	Being sent invoice despite having paid  Not being informed that they were not receiving 12 weeks reablement for free
Data breach	Unhappy that ASC spoke to HAD about the case
Delay	Not arranging the right type of care in time
Financial Assessment	Disagrees with outcome of assessment
Financial Decision	Unhappy that that LA not paying for entire 12 week disregard period
Level of support	Feels father not getting enough support in residential home
Respite	Unhappy with financial arrangement of respite
Unhappy with LA/legal decision	Disagrees with LA having court or protection order with regard to aunt

Analysis: The complaint categories that held the greatest numbers tended to be a reflection of :

- *the information and procedural complexities of the assessing and charging of social care*
- *how social care interacts with the health service (for example the impact of funded nursing care on charging or following discharge expecting free care via reablement)*
- *disagreement with care and charging decisions and assessments.*

These are understandable points to raise through the formal complaints procedure. Every citizen goes through life with at least some exposure to the National Health Service and this experience can catch many families off guard when their first interact with social care when care needs arise in addition to health needs.

Family preferences are important but this a balance every family may come across when the financial implications of preference and top up/contributions etc. are realised.



The Complaints Team continually feedback trends and lessons learned from complaints to Heads of Service and managers to ensure the impact of the above can be lessened. Given how many families interact with Adult Social Care services it is positive that so few of these interactions result in formal complaints despite the above.

## 5.4 Complaints outcomes

Service	Not Upheld	Partially Upheld	Upheld	Total
Adult Social Care	17	7	4	28
Commissioning & Partnership	0	0	1	1
Safeguarding & Quality Assurance	1	0	0	1
<b>2018/19</b>	<b>18 (60%)</b>	<b>7 (23%)</b>	<b>5 (17%)</b>	<b>30</b>
2017/18	16 (57%)	7 (25%)	5 (18%)	28
2016/17	17 (50%)	12 (35%)	5 (15%)	34

**Key message:** Managers and staff within service areas and the complaints team have worked towards a more balanced and open approach to complaints, where concerns from service users are recognised and receive appropriate responses. This includes the need to listen to complainants and adopt a less defensive approach when reflecting on practices and making decisions on the outcomes of each complaint.

Approximately 40% of Stage 1 complaints had some element upheld showing a willingness to improve services and provide suitable remedies and solutions for people who have rightfully raised a concern and had it suitably addressed.

## 6. Stage 2 complaints

### 6.1 Stage 2 complaint numbers and escalation rates

Service	Stage 1	Stage 2	% escalating to formal complaints
2018/19	30	5	17%
2017/18	28	4	14%
2016/17	34	3	9%

**Analysis:** There were five Stage 2 complaints in 2018-19, compared to four for last year. Despite the small increase the escalation rate is still very low.

Factors for this low escalation include the efforts made by the Complaints Service, Managers and Social Work Team leads in meeting with complainants

and families. These resolution meetings have been helpful to resolve issues and also provides a platform to discuss and consider any service changes required to meet citizen and carer needs.

## 6.2 Stage 2 Complaints and outcomes

Service	Not Upheld	Partially Upheld	Upheld	Total
2018/19	4	1		5
2017/18	4			4
2016/17	2	1		3

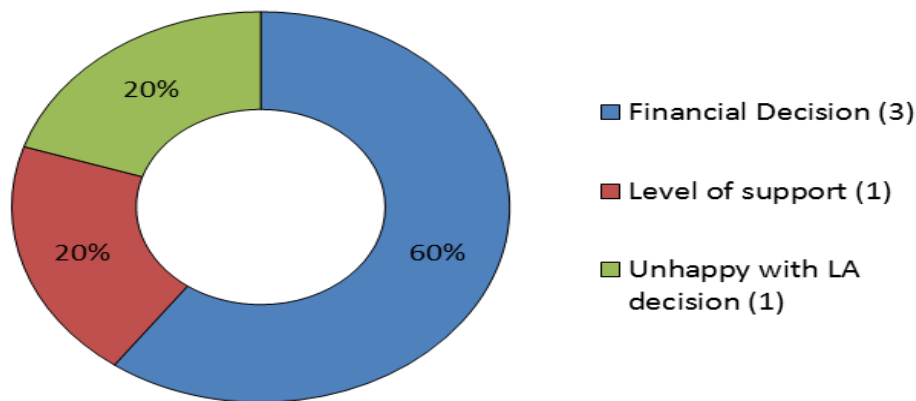
The partial uphold was in respect to a level of support that previously been agreed by a Head of Service. Due to an oversight, this agreement had not been taken into account and such it was upheld to backdate support in reflection of this.

## 6.3 Stage 2 Response Times

Year	Within time	Over timescale	Total
2017/18	5		5
2017/18	4		4
2016/17	2	1	3

All Stage 2 complaints were completed within timescale.

## 6.4 Nature of complaints



**Analysis:** Four of these five complaints at Stage 2 were not upheld. In these cases, the family were requesting support beyond what had been assessed under the Care Act to meet certain preferences or were not happy with the financial contribution they would need to make towards the care options of their preference.

In such circumstances where care costs can run into the hundreds (or £1000+) per week, it is understandable that family members may wish to explore every available avenue to lessen the impact of these – hence why Stage 2 can be requested in cases where there was no fault found in the original Stage 1 determination.

In the complaint that was partially upheld, the local authority had assessed correctly but had made a discretionary decision to assist the family with the top up fee by ensuring it was reduced and this decision had not been enacted due to an oversight which was raised through further investigation via the Complaints Service.

Please note that there is no Stage 3 complaint stage under Adults.

**Context:** The removal of review panels makes it more likely complaints will escalate to the Ombudsman, meaning it becomes even more imperative that errors are identified at an early stage and robust remedial action is taken.

## **7. Ombudsman complaints and enquiries**

**Analysis:** There were five complaints concluded with the Local Government Ombudsman (LGO) during 2018/19.

With respect to the decisions where the LGO had findings against the Council, these were due to:

- Not properly following the Financial Assessment Appeal procedure. The action the LA took was to ensure this was offered
- Delay in OT service and in ensuring care was taken forward by Adaptations/DFG team. The action the LA took was to arrange a report for the Health and Wellbeing Board to address the policy around DFG application and waiting times.

One referral that came through was primarily about services provided by CNWL NHS Trust and as such found no fault with the Council but did ask that the NHS Trust provide an individual with an assessment under their service.

The remainders the LGO found no fault with the Council including how a safeguarding referral was dealt with via a fall that took place while a private agency was providing services and in finding an individual did not have eligible Care Act needs.

Service	No finding against Council	Finding against Council	Total
Adult Social Care	1	2	3
Commissioning and Partnership	1	0	1
Safeguarding and Quality Assurance	1	0	1

## **8. Escalation Comparisons over time**

Service	No finding against Council	Finding against Council	Total
<b>2018-19</b>	3	2	5
<b>2017-18</b>	1	0	1
<b>2016-17</b>	3	0	3
<b>2015-16</b>	2	1	3

**Analysis:** The rate of escalation between Stage 1 and Stage 2 has remained in single figures over the past three years and the number of LGO complaints concluded within the year has remained low also. In 2018-19 the LGO received over 2500 Adult Social Care complaints for context.

This relatively low figures reflects the commitment to finding resolutions and listening to service users and their families, when concerns are raised during representations.

## **9. Remedy Payments**

A payment would usually be termed as a “remedy payment” when it is made in line with the LGO guidance on Remedy Payments.

In line with this, the local authority made one £200.00 remedy payment in line with LGO guidance in 2018/19.

## **10. Mediation**

At times, the Complaints Service will facilitate mediation meetings between parties to resolve more complex situations where a direct remedy is best found by the Complaints Service actively mediating and facilitating mediation and resolution.

Here are some 2018/19 examples of this:

- *Arranging a meeting between Head of Service and family members to explain and clarify the basis of 12 week property disregard support*
- *Arranging a meeting between Head of Service and family to discuss current care needs and arranging respite for carer*
- *Visiting a citizen at home with care manager to discuss concerns over her having to use a care agency and how this may financially impact her*
- *Meeting with an individual and their Mencap Advocate to discuss their concerns on how social care staff would address them following gender realignment and ensuring this feedback was actioned*
- *Working with CNWL Trust to ensure Mencap Advocacy could be arranged for an individual so they could be properly represented through any resolution proceedings*

## **11. Joint NHS and Social Care Complaints**

There was one joint NHS and Social Care complaint.

This was provided as a joint Stage 1 response with respect to a case where a CCG and the LA were providing joint health and social care services to an individual in a residential placement where equipment was required both from health and social care OT.

## **12. Learning Lessons/Practice Improvements**

It is positive to note, none of the lessons themselves were specific due to this new vision but were general points of practice which line up with one of the intentions of the new vision which is to provide a more empowering and efficient service for our citizens.

- There was a general trend of individuals being unhappy with care services charged well after the service has been delivered. While it was found that individuals were informed they would be charged on multiple occasions, it was feedback that evidenced forms of communications (such as email/letter) at the earliest opportunity would be clearer and more beneficial for all parties and prevent charging disputes further down the journey.
- There were no specific complaints of delays caused by internal team referrals within Adult Social Care in comparison to previous years and this appears to have been due to the implementation of the new ASC vision which sought to reduce this. For example, in previous years there would be complaints on the time taken for cases to be allocated from Reablement to P1 to P3 etc.

However, any general complaints of delays with respect to working with external ASC services like Health or the Adaptations Team within Housing still occurred and were passed on as an area of improvement.

- There has been confusion with respect to the complaints process being a “catch all” for complaints – even when there are more specific processes available such as the Financial Assessment Appeal process etc. As such it was feedback that staff considered the more specific processes before defaulting to the complaints process which is not always the most appropriate procedure for every dispute.
- Better communications in how an individual would like their care to be funded. The Complaints Service visited one individual who had personal budget funds paid into a bank account they no longer used and was instead under the impression the agency involved had been paid directly which caused them distress and upset when the agency chased for funds. Staff were reminded to check with citizens on how they would receive LA funding and how it should be used to pay for services.

## **13. Compliments**

The majority of service users, external agencies and organisations that compliment staff and the Council provide their feedback through verbal

communication in care meetings or by phone. Examples of some of the written compliments forwarded to the complaints team by staff include:

- *Ever so often we don't have the opportunity to say thank you to staff who have been of great support to providers like us.*

*I have decided to write this provider to say thank you to two staff in your team for their contributions to our agency with their, work ethic, and communications with us which has added great value to the way we work. They both possess the ultimate "can do" attitude and positive energy every time we communicate with them. Their engaging personalities have enabled us to interact effectively with them, our clients and staff.*

- *Thank you so much for your quick feedback and very kind assistance. I would also like to take this opportunity to thank you so much for kindness and all your help for the care of my mother, Mrs N. The Care visits in place are going very well and my mum is very happy and feels very comfortable with the carer who is visiting her. S is helping my Mum greatly and for that we thank you very much!*

*This is just to say a big thank you for helping our brother N. He is so pleased to have his computer fixed – we are very grateful to you and your team*

- *I wish to express my heartfelt gratitude on behalf of my father for the support and help you provided, for your dedication, attention and for your readiness to help with very prompt response to requests.*

*Your generous, caring and giving attitude helped my father in his long recovery from his disease.*

*You have made a real difference and we are fortunate to have found in you someone whose mission is to care for elderly people like our father in an informed and patient manner.*

*Your support for our father has helped him get through some very difficult times. The visit from you has helped him immensely and the*

*kindness and patience from you has been invaluable. We are extremely grateful.*

*May you be blessed for your empathy to understand us in our endless struggle to manage in these hard times. You have managed to keep your heart open while maintaining your outstanding skilled professionalism. Thank you so much and we wish you all the best in your future career.*

- *Finally I would to say a huge thank you on behalf of my mum and myself for the support you have provided us during the tough time. You have been absolutely amazing.*

*My heartfelt thank you for the sitting service you have put in place to support me. I cannot put into words how grateful I am. As it makes a big difference in my life. Although I would not have it any other way but to care for my mum, it has its own strains. A lot of the time you do feel alone and helpless caring for someone fulltime and be in fulltime employment. Having your support meant a lot to me.*

*I wish you all the very best in life and career*

- *I would like to thank M for her continue support and exemplary service delivery. M has been prompt in responding to my queries. M is a truly and dedicated public sector employee who I know face challenges as result of austerity measures. M has been a shining light since my mother's demise last year and helped me to reorganise my father's care needs. Thank you for your time and patience truly appreciated*
- *As you may know, in 2016 I was selected as one of the 17 inaugural Young Leaders for the United Nations Sustainable Development Goals. 18,000 candidates worldwide were put forward for outstanding work in various areas. I was the only delegate selected from Europe and the only delegate with a disability.*

*I very much hope that this OBE award will benefit AbleChildAfrica and support its work.*

*The support I had from my parents and the education I received have been a major part of my achieving this award. I have also been entirely*



*dependent on support from social services in Harrow and Camden to be able to do anything, so I really want to thank you for all the support you have given me.*

- I am the home manager at a Nursing Home. We had two inspectors come in from Harrow and I will like to give a feedback about them. The inspection process was very detailed, thorough and comprehensive. All the areas they highlighted that we need to develop on was explained in terms of evidence based need and the Nice Guidelines. They gave relevant and constructive criticism and also guide in terms of what we need to do. Their response to emails are also very swift hence it was easy for us to measure our response to the actions plans. Some care plans were suggested for us to be done such as pressure prevention care plan. M suggested I send a draft and she can look through it to see how relevant it is. I sent it and she responded almost immediately. Then they told us that they will come back as soon as possible to revisit the red areas and they sure did come. I am very grateful to M and J as their inspections, support and objective criticism helped in preparing us further for the CQC visit. Kindly extend my regards to them and I have informed them that I will always liaise with them if I need any support.*
- We wanted to record our thanks for your support in gaining the help R required to meet his needs. Your influence in achieving a quick resolution to our latter concerns was very much appreciated.*

*We would also be grateful if you would pass on our thanks to T. He was a very positive advocate for R and went to a great deal of effort to support R application. Our previous complaint was submitted prior to Trevor's involvement and was in no way an adverse comment on his efforts and his wholly professional approach to the issues we raised.*

*The increased funding for R Care Plan will really help R to live independently and to progress in his sport and we'll be sure to keep you updated in respect of the Agency's performance as well as R's achievements.*

*Once again, many thanks for your support.*

- *I am writing to inform you that IG, thank god, has made a wonderful recovery from her hip replacement and elbow replacement operations and is now able to function.*

*Therefore, she and I see no reason for her to receive Carers assistance anyone. Therefore, we would like to cancel the Care Package from today's date.*

*On a personal note, we would like to thank you for all your help and dedication throughout this period and let's hope that IG continues as she's doing.*

- *I would like to thank Harrow Council for all the help given to me, the grip rails in my bathroom and when I came home from hospital all the equipment and care, I could not have coped without.*
- *Just a quick email so you have my details. Also wanted to say a huge thank you for your input today, it is so refreshing to have a service in the community who are really committed to supporting someone and take the time to come to meet the person and the staff working with them. I honestly thought you were incredibly reassuring with H and her family today and I said to my colleagues afterwards, that if I was in her situation I would definitely want you to come work with me! The fact that she actually felt excited about the challenges ahead was definitely testament to how you talked to her about it.*
- *After speaking to numerous members of the Adult Social care team, I was finally given a needs assessment for my mother, GD by one of your Social Support Workers called MA. (i think that is her surname, if it is wrong, please apologise for me). She came and spent a good amount of time talking to my mother who is 89 years old , she didn't*

*rush her and LISTENED to how she was managing in my terraced home in Harrow.*

*GD mentioned all the things she had difficulty doing and how she relied heavily on her daughter, L, which she did not want to do, as she felt she was a burden on her daughter and her family. G was frustrated at how fast she had deteriorated and was unable to do the things she used to do independently in August 2018. Her carer, me, LD was anxious at how best to support my mum and M*

*Gave advice and support to both G and myself. Further equipment has been put in place and I have signed up to the Harrows Carers group for additional support. If it hadn't of been for the patience, kindness, listening ears and support of M, I feel, I would have gone into deep depression and would of been of little support to my mum. She has given mum back some independence and also made her more confident to try new things around the home, which in turn assists me. We both have a long way to go, however, we both feel a lot better knowing that there is support out there and we are not just trudging along on our own, most times getting it totally wrong. I know not to baby my mum and she in turn is starting to attempt more things on her own. Don't get me wrong, G still needs support to do most things, however, it is a process and M and I are both letting her do things in her own time when she feels she can manage it independently. So, a BIG thank you to your Care Needs Social Support Worker, M, you did an amazing job with me and mum, and we would both cannot thank you enough for getting us on the right track to enjoying each other, yet still trying to maintain our own individual lives.*

- I would like to commend AG of the Early Intervention and Prevention Adult Contact Screening Team for her friendly, efficient and supportive service in relation to my 89 year old father. She is the first person who has been able to give me appropriate advice*

## **14. Equalities Information**

### **14.1 Stage 1 - equalities information of the service user**

<b>Gender of Service User</b>	<b>2017/18</b>	<b>2018/19</b>
Male	10	12
Female	18	18

<b>Ethnic Origin of Service User:</b>	<b>2017/18</b>	<b>2018/19</b>
<b>ASIAN OR ASIAN BRITISH</b>		
Afghanistani		
Bangladeshi		
Indian	5	4
Pakistani		
Sinhalese		
Sri Lankan Tamil		
Other Asian		2
<b>BLACK/BLACK BRITISH</b>		
African	1	
Caribbean	1	2
Somali		
Other Black		2
<b>OTHER ETHNIC GROUP</b>		
Arab		
Chinese		
Iranian		
Iraqi		
Kurdish		
Lebanese		
Other Ethnic Group		
<b>MIXED</b>		
White & African		
White & Caribbean		
White & Asian		
Other Mixed		
<b>WHITE</b>		
Albanian		
British	16	19
Irish		
Gypsy/Roma Traveller		
Irish Traveller		
Polish		
Romanian		
Serbian		
Other White		2
<b>PREFER NOT TO SAY/NOT KNOWN</b>	5	

<b>Complaint made by:</b>	<b>2017/18</b>	<b>2018/19</b>
Self	10	5
Relative/Partner (often informal carer)	16	24
Advocate – (instigated by either carer or service user)	1	1
Solicitors	1	0

## **14.2 Stage 2 - equalities information of the service user**

<b>Gender</b>	<b>2017/18</b>	<b>2018/19</b>
Male	1	2
Female	3	3
Unknown	0	0

<b>Ethnic Origin</b>	<b>2017/18</b>	<b>2018/19</b>
British White	2	4
Indian	2	1
Unknown	0	0

<b>Complaints made by</b>	<b>2017/18</b>	<b>2018/19</b>
Service User	2	0
Relative/Partner (often informal carer)	2	5
Advocate – (instigated by either carer or service user)	0	0
Solicitors	0	0

## **15. The Complaints Process explained**

All timescales contained within this report are in working days.

### **15.1 What is a Complaint?**

An expression of dissatisfaction or disquiet about the actions, decisions or apparent failings of a local authority's adult's social services provision which requires a response.

### **15.2 Who can make a Complaint?**

- (a) a person who receives or has received services from the Council; or
- (b) a person who is affected, or likely to be affected, by the action, omission or decision of the Council.

### **15.3 Stages of the Complaints Procedure**

From April 2009, regulations removed the traditional 3 Stage complaints procedure for statutory complaints, replacing it with a duty to provide a senior manager organisational sign-off to every complaint response. The Council is expected to negotiate with the complainant how their complaint should be managed, including agreeing a timescale. If a verbal issue can be resolved by the end of the next working day, the regulations state this does not need to be recorded as a complaint.

Many complainants prefer a defined process and prefer to rely on the Council to identify a process to manage their complaint. To assist such complainants the Council produced a model procedure which complainants can use if they prefer. It is also used where complainants cannot be contacted to discuss how they want their complaint managed. Complainants are always advised in writing of their right to agree a different process if they prefer.

The stages of the Model procedure:

1) Local resolution

Timescale: 10 working days. 20 working days for complex

2) Mediation (optional)

3) Formal investigation

Timescale: 20 working days. 65 working days if complex e.g. requiring independent investigation.

For ease of understanding, the report uses a traditional stages reporting format. Local resolution being a Stage 1 and formal investigation a Stage 2. It is important to emphasise that these stages are very fluid so it is not uncommon to go immediately now to mediation or independent investigation.

#### Local Government Ombudsman

The Ombudsman is an independent body empowered to investigate where a Council's own investigations have not resolved the complaint.

The person making the complaint retains the right to approach the Local Government Ombudsman at any time. However, the Ombudsman's policy is to allow the local authority to consider the complaint and will refer the complaint back to the Council unless exceptional criteria are met.

#### **15.4 What the complaints team do**

- Letter-vetting
- Liaising with services to try resolve the issue informally
- Mediation
- Training
- Surgeries/raising awareness
- Learning identification and agreed actions monitoring
- Advocacy identification
- Chasing complaint responses

### **Section 3 - Statutory Officer Clearance**

The Corporate Director determined the report did not require Financial or Legal clearance.

### **Section 4 - Contact Details and Background Papers**

**Contact:** Report author: Usman Zia, Complaints Manager, Adults & Children's Complaints, 0208 424 1627

**Background Papers:** None

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