

Cabinet

10 December 2018

Agenda item:

Business Plan Update 2019-2023

Lead officer: Caroline Holland

Lead member: Councillor Mark Allison

Key Decision Reference Number: This report is written and any decisions taken are within the Budget and Policy Framework Procedure Rules as laid out in Part 4-C of the Constitution.

Contact officer: Roger Kershaw

Urgent report:

Reason for urgency: The chairman has approved the submission of this report as a matter of urgency as it provides the latest available information on the Business Plan and Budget 2019/20 and requires consideration of issues relating to the Budget process and Medium Term Financial Strategy 2019-2023. It is important that this consideration is not delayed in order that the Council can work towards a balanced budget at its meeting on 6 March 2019 and set a Council Tax as appropriate for 2019/20.

Recommendations:

1. That Cabinet considers and agrees the draft savings/income proposals (Appendix 7 (a)) and associated draft equalities analyses (Appendix 9 (a)) put forward by officers and refers them to the Overview and Scrutiny panels and Commission in January 2019 for consideration and comment.
 2. That Cabinet considers and agrees the savings and the associated draft equalities analyses for the savings noted in October (Appendices 8 and 9(b))
 3. That Cabinet agrees the latest amendments to the draft Capital Programme 2019-2023 which was considered by Cabinet on 15 October 2018 and by scrutiny in November 2018.(Appendix 5)
 4. That Cabinet considers and agrees the proposed amendments to savings previously agreed. (Appendix 7 (b) and (c))
 5. That Cabinet agrees the proposed Council Tax Base for 2019/20 set out in paragraph 2.6 and Appendix 1.
 6. That Cabinet consider the draft service plans. (Appendix 3)
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1. PURPOSE OF REPORT AND EXECUTIVE SUMMARY

- 1.1 This report provides an update to Cabinet on the Business Planning process for 2019-23 and in particular on the progress made so far towards setting a balanced revenue budget for 2019/20 and over the MTFS period as a whole.
- 1.2 Specifically, the report provides details of revenue savings and income proposals put forward by officers towards the savings/income targets agreed by Cabinet in September 2018.
- 1.3 The report also provides an update on the capital programme for 2019-23 and the financial implications for the MTFS.
- 1.4 The report provides a general update on all of the latest information relating to the Business Planning process for 2019-23 and an assessment of the implications for the Medium Term Financial Strategy 2019-23.
- 1.5 This report is one of the budget updates through the financial year and will be referred to the Overview and Scrutiny Panels and Commission in January 2019 as part of the information pack.

2. DETAILS

Introduction

- 2.1 A review of assumptions in the MTFS was undertaken and reported to Cabinet on 17 September 2018. There was also a report to Cabinet on 15 October 2018 which provided an update on progress made towards achieving savings previously agreed and proposed some amendments to these, and also provided details of the latest capital programme, including new bids for 2022/23 and an indicative programme for 2023- 2028. The report referred them to the Overview and Scrutiny panels and Commission for consideration.
- 2.2 Taking into account the information contained in both the September and October Cabinet reports, the overall position of the MTFS reported to Cabinet on 15 October 2018 was as follows:-

(Cumulative Budget Gap)	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000
MTFS Gap before Savings	5,092	22,055	24,763	26,591
Savings identified	(4,439)	(6,710)	(6,825)	(6,825)
MTFS Gap (Cabinet October 2017)	653	15,345	17,938	19,766

2.3 Review of Assumptions

Since Cabinet in October, work has been continuing to review assumptions, identify new savings/income proposals and analyse information which has been received since then.

2.3.1 Pay

The current assumptions regarding pay inflation incorporated into the MTFS reflect the agreed two year pay award for 2018/19 and 2019/20 and then 1% per year thereafter.

- 2.8% in 2019/20 and 1% in each other year of the MTFS

The latest estimates for pay inflation included in the MTFS are:-

(Cumulative)	2019/20	2020/21	2021/22	2022/23
Pay inflation (%)	2.8%	1.0%	1.0%	1.0%
Revised Estimate (cumulative £000)	2,166	2,939	3,712	4,485

Further details on the pay negotiations for 2020/21 and beyond, and the impact on the MTFS, particularly in the latter part of it, will be reported when they are known.

2.3.2 Prices

The estimates for price inflation agreed by Council in February 2018 were reviewed and included in the September 2018 report to Cabinet. The latest forecast is set out in the following table:-

(Cumulative)	2019/20	2020/21	2021/22	2022/23
Price inflation (%)	1.5%	1.5%	1.5%	1.5%
Revised Estimate (cumulative £000)	2,270	4,540	6,810	9,080

The Consumer Prices Index (CPI) 12-month rate was 2.4% in October 2018, unchanged from September 2018. The Consumer Prices Index including owner occupiers' housing costs (CPIH) 12-month inflation rate was 2.2% in October 2018, unchanged from September 2018. The large downward contributions to the change in the 12-month rate from food and non-alcoholic beverages, clothing and footwear, and some transport elements were offset by upward contributions from rising petrol, diesel and domestic gas prices. Other smaller upward contributions came from items in the miscellaneous goods and services, recreation and culture, and communication sectors.

The RPI 12-month rate for October 2018 was 3.3%, unchanged from September 2018.

Outlook for inflation:

The Bank of England's Monetary Policy Committee (MPC) sets monetary policy to meet the 2% inflation target and in a way that helps to sustain growth and employment. At its meeting ending on 31 October 2018, the MPC voted unanimously to maintain the Bank

Rate at 0.75%. The Committee voted unanimously to maintain the stock of sterling non-financial investment-grade corporate bond purchases, financed by the issuance of central bank reserves, at £10 billion. The Committee also voted unanimously to maintain the stock of UK government bond purchases, financed by the issuance of central bank reserves, at £435 billion.

The MPC’s updated projections for inflation and activity are set out in the November Inflation Report published on 1 November 2018. In the November Inflation Report, the MPC considers what the prospects for inflation are for the period under review. It states that "CPI inflation was 2.4% in September, in line with the MPC’s expectation at the time of the August Report. Inflation has been boosted by the effects of higher energy and import prices. The contributions from these factors are projected to fade over the forecast period. UK GDP growth in 2018 Q3 is expected to be somewhat stronger than projected in August, but the outlook for growth over the forecast period is little changed. The MPC judges that supply and demand in the economy are currently broadly in balance. Conditioned on a path for Bank Rate that rises gradually over the next three years, and the assumption of a smooth adjustment to new trading arrangements with the EU, the MPC judges that a margin of excess demand is likely to build. That raises domestic inflationary pressures, which partially offset diminishing contributions from energy and import prices. CPI inflation is projected to be above the target for most of the forecast period, before reaching 2% by the end. The economic outlook will depend significantly on the nature of EU withdrawal. The MPC judges that the monetary policy response to Brexit, whatever form it takes, will not be automatic, and could be in either direction."

The latest inflation and unemployment forecasts for the UK economy, based on a summary of independent forecasts are set out in the following table:-

Table 11: Forecasts for the UK Economy

Source: HM Treasury - Forecasts for the UK Economy (November 2018)			
	Lowest %	Highest %	Average %
2018 (Quarter 4)			
CPI	2.1	2.6	2.4
RPI	2.9	3.8	3.3
LFS Unemployment Rate	3.8	4.3	4.0
2019 (Quarter 4)			
CPI	1.6	3.5	2.0
RPI	2.2	4.2	3.0
LFS Unemployment Rate	3.5	4.8	4.1

Clearly where the level of inflation during the year exceeds the amount provided for in the budget, this will put pressure on services to stay within budget and will require effective monitoring and control.

Independent medium-term projections for the calendar years 2018 to 2022 are summarised in the following table:-

Source: HM Treasury - Forecasts for the UK Economy (November 2018)					
	2018	2019	2020	2021	2022
	%	%	%	%	%
CPI	2.5	2.1	2.0	2.0	2.1
RPI	3.4	3.2	3.1	3.3	3.3
LFS Unemployment Rate	4.1	4.1	4.2	4.4	4.4

2.3.3 Inflation > 1.5%:

There is also a corporate provision which is held to assist services that may experience price increases greatly in excess of the 1.5% inflation allowance provided when setting the budget. This will only be released for specific demonstrable demand.

	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000
Inflation exceeding 1.5%	450	450	450	450

The cash limiting strategy is not without risks but if the Government's 2% target levels of inflation were applied un-damped across the period then the budget gap would increase by c. £2.9m by 2022/23.

2.3.4 Income

The MTFS does not include any specific provision for inflation on income from fees and charges. However, service departments can identify increased income as part of their savings proposals.

2.3.5 Taxicards and Freedom Passes

These schemes are administered by London Councils on behalf of London boroughs. Latest information from London Councils indicates that negotiations with Transport for London (TfL) and the Association of Train Operating Companies (ATOC) will be concluded at the end of November 2017.

The MTFS includes the following amounts for Taxicards and Freedom Passes:-

	Current Estimate 2018/19 £000
Freedom Passes	8,931
Taxicards	113
Total	9,044
Uplift in MTFS	450
Provision in MTFS for 2019/20	9,494

Initial indications are that the charge to Merton for 2019/20 will be within the provision but this provision will be reviewed and reported when the figures are finalised.

2.3.6 Revenuisation

In recent budgets it has been recognised that some expenditure formerly included in the capital programme could no longer be justified as it did not meet the definition of expenditure for capital purposes. Nevertheless, it is important that some of this expenditure takes place and the following amounts have been included in the latest MTFS for 2018-22:-

	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000
Revenuisation	2,000	2,000	2,000	2,000

The expenditure charged to capital during the current year is being closely monitored and is being reported through the monitoring report.

2.3.7 **Budgetary Control 2018/19**

The revenue budgetary control information below summarises the corporate position using the latest available information as at 31 October 2018 as shown in a separate report on the agenda for this meeting. As at 31 October 2018, there is a forecast overspend for the Council of £1.042m.

The main causes of the overspend are:-

- Children's Social Care, SEN transport
- Greenspaces, Property Management, Building and Development Control income
- Housing General Fund, mainly temporary accommodation

The MTFS reported to Cabinet in October 2018 does not include any new provision for growth from 2019/20 to 2022/23 and future years.

The full year effect of growth previously agreed, in 2017/18, is as follows

	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000
Adult Social Care	(2,891)	0	0	0
Waste and Regeneration	(115)	0	0	0
Children's Services	500	500	0	0
Total	(2,506)	500	0	0
Cumulative total	(2,506)	(2,006)	(2,006)	(2,006)

2.3.8 Capital Financing Costs

Revenue Implications of Current Capital Programme

As previously reported the Capital Programme has been reviewed and revised and a draft programme for 2019-2023 was approved by Cabinet on 15 October 2018, along with an indicative programme for 2023-28.

Section 6 of this report sets out details of progress made towards preparing the draft capital programme 2019-23.

The estimated capital financing costs, net of investment income and based on the latest draft programme, which includes the best estimate of new schemes commencing over the period 2019-23, the effect of estimated government grant funding, estimated funding from the Education Funding Agency (EFA) and slippage/reprofiling based on 2017/18 outturn and latest monitoring information, are set out in the following table. This also includes an element of revenue contribution to fund short-life assets:-

	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000
Capital Programme (including slippage)	34,895	26,984	16,219	23,692
Revenue Implications	9,806	10,873	12,294	12,324

2.4 Forecast of Resources and Provisional Local Government Finance Settlement

2.4.1 Background

In recent years at the end of November to mid-December, the government (formerly via the DCLG, now MHCLG) has notified local authorities of their Provisional Local Government Finance Settlement. This has included the amounts of funding allocated to each local authority in terms of Revenue Support Grant, share of Business Rates and other major allocations of grant. The final Settlement figures are published the following January/February but are generally unchanged from the provisional figures. The total amount of funding available for local authorities is essentially determined by the amount of resources that Central Government has allocated as part of its annual Departmental Expenditure Limit which is set out in the Autumn Budget which this year took place on 29 October. The Autumn Budget sets out the government's plans for the economy based on the latest forecasts from the Office for Budget Responsibility's (OBR) "Economic and Fiscal Outlook" which was also published on 29 October 2018.

2.4.2 Autumn Budget 2018

In the Autumn Budget the Chancellor of the Exchequer published details of Government Department Expenditure Limits (DELs) from which the Provisional Local Government Finance Settlement follows in December 2018. Officers are currently reviewing the

potential impact on the Finance Settlement. There is a summary of the key points included as Appendix 4.

2.4.3 Funding Forecasts for 2019/20 to 2022/23

Forecasting resources for 2019/20 and beyond is fraught with difficulties since it requires making assumptions about a wide variety of variables which the Government are not prepared to release at the current time. The continuation of the London-wide Pilot Business Rates Pool from 2018/19 to 2019/20 has been confirmed, subject to signing a revised Memorandum of Understanding, but with a reduced retention level of 75% and removal of the “no detriment” guarantee. Under the pilot, responsibilities previously funded by Revenue Support Grant and other grants will be expected to be met by business rates.

2.4.4 Share of Business Rates Yield

Under the 2018/19 London pilot, the yield from Business Rates was shared 64% to Merton and 36% to the GLA. The latest forecast of the share based on the 2019/20 proposed pilot has not yet been finalised.

There will be an update in future reports when further details are known.

2.4.5 The Government announced on 5 December 2018 that the announcement of the Provisional Local Government Finance Settlement has been postponed until after the “meaningful vote” on Brexit. An analysis on the potential financial impact of the provisional Settlement will be included in the report to Cabinet in January 2019.

2.5 **London Business Rates Pilot Pool 2019-20**

2.5.1 On 8 November 2018, the Secretary of State for Housing, Communities and Local Government wrote to the GLA and London Councils responding to the joint proposal from London Government of 25 September 2018 to extend the business rates retention pilot in London. In his response the Secretary of State wrote that he will be “happy to continue the pilot in 2019/20 but only at the level of 75% business rates retention and without the ‘no detriment’ clause. I would also expect to see continuation of the Strategic Investment Pot with a focus on projects that bring strategic benefits across the London government.” A response was requested by 14 November 2018.

2.5.2 Whilst the reduction from 100% to 75% and withdrawal of the “no detriment” guarantee represents a worsening of the financial deal between London and central government it is anticipated that there is still a financial benefit of a London pool and the Mayor of London and Chair of London Councils replied on 14 November 2018 agreeing to continue with the pool on the basis of a 75% retention pilot “on the assumption that, in common with other pilots, the London pilot will not be subject to a levy on growth.” The London Government reply also pointed out that “you will understand that a 75% retention pilot does not fully meet our ambitions for London. We cannot help but observe that other parts of the country will continue to retain 100% of their business rates growth, and we look forward to working with you and your colleagues in government to explore ways in

which greater local control of the revenues we raise in London can be matched with greater responsibility and accountability for the vital local services we deliver.”

2.5.3 Final projections for Business Rates retention in 2019/20 under the revised pool will be based on London Boroughs NNDR1 returns for 2019/20 which are due to be returned to Central government by 31 January 2019.

2.6 Council Tax Base

2.6.1 The Council Tax Base is a key factor which is required by levying bodies and the Council for setting the levies and Council Tax for 2019/20. The council tax base is the measure of the number of dwellings to which council tax is chargeable in an area or part of an area. The Council Tax Base is calculated using the properties from the Valuation List together with information held within Council Tax records. The properties are adjusted to reflect the number of properties within different bands in order to produce the Council Tax Base (Band D equivalent). This will be used to set the Council Tax at Band D for 2019/20. The Council is required to determine its Council Tax Base by 31 January 2019.

2.6.2 Regulations set out in the Local Authorities (Calculation of council Tax Base) Regulations 2012 (SI 2012:2914) ensure that new local council tax support schemes, implemented under the Local Government Finance Act 2012, are fully reflected in the council tax base for all authorities.

2.6.3 The Council Tax Base Return to central Government takes into account reductions in Council Tax Base due to the Council Tax Support Scheme and also reflects the latest criteria set for discounts and exemptions. The CTB Return for October 2018 is the basis for the calculation of the Council Tax Base for 2019/20.

2.6.4 Details of how the Council Tax Base is calculated are set out in Appendix 1. A summary of the Council Tax Bases for the Merton general area and the addition for properties within the Wimbledon and Putney Commons Conservators area for 2019/20 compared to 2018/19 is set out in the following table:-

Council Tax Base	2018/19	2019/20	Change
			%
Whole Area	74,124.0	74,951.7	1.1
Wimbledon & Putney Common Conservators	11,308.8	11,464.4	1.4

2.7 Proposed Amendments to Previously Agreed Savings

2.7.1 Cabinet on 15 October 2018 approved some proposed amendments to savings which had been agreed in previous year’s budgets and also agreed that the financial implications should be incorporated into the draft MTFs 2019-23.

2.7.2 Details of further requests to defer and/or replace savings are set out in Appendix 7 (b) for replacement savings and Appendix 7 (c) for deferred savings. Including the changes approved by Cabinet in October, the change over the four year MTFS period resulting from these proposals is set out in the following table:-

Deferred Savings and Replacement Savings (Net impact)	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Total £000
Corporate Services	(106)	106	-	-	-
Children, Schools and Families	-	-	-	-	-
Environment and Regeneration	-	-	-	-	-
Community and Housing	(100)	100	-	-	-
Total	(206)	206	-	-	-
Cumulative Total	(206)	-	-	-	-

3. **FEEDBACK FROM THE OVERVIEW AND SCRUTINY PROCESS IN NOVEMBER 2018**

- 3.1 The information available on the Business Planning process reported to Cabinet on 15 October 2018 was reviewed by the Overview and Scrutiny Panels and Commission in November 2018.
- 3.2 Feedback is included in a separate report to Cabinet on the agenda.

4. **SAVINGS PROPOSALS 2019-23 AND SERVICE PLANNING**

Controllable budgets and Savings Targets for 2019-23

- 4.1 Cabinet on 17 September 2018 agreed savings targets to be identified by service departments over the period 2019-23 as follows:-

Savings Targets	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Total £000
Corporate Services*	138	2,205	426	379	*3,148
Children, Schools & Families	143	2,740	438	299	3,620
Environment & Regeneration	263	5,066	807	495	6,631
Community & Housing	247	4,751	762	600	6,360
Total	791	14,762	2,433	1,773	19,759
Net Cumulative total	791	15,553	17,986	19,759	

* The Corporate Services target has been adjusted by £0.445m to reflect an increase in income achieved by CS staff improving the Council Tax collection rate by 0.5%.

4.2 An initial tranche of savings was considered by Cabinet on 15 October 2018 as set out in the following table:-

SUMMARY (cumulative)	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Total £000
Corporate Services	75	15	0	0	90
Children, Schools & Families	0	550	0	0	550
Environment & Regeneration	0	0	0	0	0
Community & Housing	0	100	0	0	100
Total	75	665	0	0	740
Net Cumulative total	75	740	740	740	

4.3 Details of the initial tranche of savings were considered by Overview and Scrutiny Panels and the Commission during November and feedback is included in a separate report on the agenda.

4.4 Service departments have continued to review their budgets and have formulated further proposals to address their targets. The progress made to date is set out in this report.

4.3 Proposals that are agreed by Cabinet at this meeting will be referred to the Overview and Scrutiny Commission and panels as part of the information pack for review and comment in January 2019.

4.4 The new savings proposals submitted by each department in this cycle are detailed in Appendix 7 (a) and are summarised in the following table:-

SUMMARY (cumulative)	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Total £000
Corporate Services	97	2,031	353	91	2,572
Children, Schools & Families	143	300	0	0	443
Environment & Regeneration	2,015	1,970	26	14	4,025
Community & Housing	247	628	1,000	0	1,875
Total	2,502	4,929	1,379	105	8,915
Net Cumulative total	2,502	7,431	8,810	8,915	

4.5 If all of these are approved, the total new savings including those agreed in October are:-

SUMMARY (cumulative)	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Total £000
Corporate Services	172	2,046	353	91	2,662
Children, Schools & Families	143	850	0	0	993
Environment & Regeneration	2,015	1,970	26	14	4,025
Community & Housing	247	728	1,000	0	1,975
Total	2,577	5,594	1,379	105	9,655
Net Cumulative total	2,577	8,171	9,550	9,655	

4.5 Summary of progress to date

4.5.1 If all of the proposals are accepted, the balance remaining to find is:-

	Targets £'000	Proposals £'000	Balance £'000	Balance %
Corporate Services	3,148	2,662	486	15.4
Children, Schools & Families	3,620	993	2,627	72.6
Environment & Regeneration	6,631	4,025	2,606	39.3
Community & Housing	6,360	1,975	4,385	68.9
Total	19,759	9,655	10,104	51.1

4.5.2 Where departments have not met their target or put forward options that are deemed not to be acceptable then the shortfall will be carried forward to later meetings and future years' budget processes to be made good.

4.6 Service Plans

4.6.1 Draft Service Plans are included in Appendix 3.

4.7 Equality Assessments

4.7.1 Draft Equalities Assessments where applicable are included in Appendix 9.

4.8 Use of Reserves in 2018/19 and 2019/20

4.8.1 The application of current revenue reserves in 2018/19 to address any level of overspend will have an ongoing impact on the MTFs going forward. If the actual level of overspend is at the level currently forecast it is possible that the budgeted contribution of £0.091m from the Reserve for Use for Future Years Budgets will have to be increased with a consequent impact on the amount of reserve available in 2019/20. The reduction in the anticipated level of the Reserve for Use for Future Years Budgets will have an adverse impact on the budget gap. Officers are anticipating a contribution from the Business Rates pilot 2018/19, due to be confirmed by the summer of 2019, which will supplement the Reserve for Use for Future Years Budgets.

5. UPDATE TO MTFs 2019-23

5.1 The MTFs gap in October 2018 was c. £20m and with savings proposals of c. £9.7m and other reductions, primarily due to revisions in capital financing costs arising from the capital programme and increases in council tax yield arising from the new council tax

base for 2019/20, subject to the impact of the Budget 2018 announcement on 29 October 2018 and Provisional Local Government Finance Settlement in December, the latest budget gap forecast is:-

	2019/20	2020/21	2021/22	2022/23
	£000	£000	£000	£000
Budget Gap in MTFS	0	3,496	7,352	8,779

5.2 A more detailed MTFS is included as Appendix 2.

5.3 Draft Service department budget summaries based on the information in this report will be included in the pack available for scrutiny.

6. CAPITAL PROGRAMME 2019-23: UPDATE

6.1 The proposed draft Capital Programme 2019-23 and an Indicative Capital Programme 2023-28 were presented to Cabinet on 15 October 2018.

6.2 The programme has been reviewed by scrutiny panels.

6.3 Monthly monitoring of the approved programme for 2018/19 has been ongoing and there will inevitably be further changes arising from slippage, reprofiling and the announcement of capital grants as part of the local government finance settlement.

6.4 Further changes that have been made to the proposed capital programme since it was presented to Cabinet in October 2018 are set out in Appendix 5. These include reprofiling of existing schemes and addition of some new bids commencing over the period of the MTFS.

6.5 The estimated revenue implications of funding the draft capital programme are summarised in paragraph 2.3.8 and these have been incorporated into the latest draft MTFS 2019-23.

7. BUDGET STRATEGY

7.1 The council has a statutory duty to set a balanced budget.

7.2 The MTFS assumes 2% ASC Council Tax flexibility in 2019/20 and a 2.99% general Council Tax increase in 2019/20, with 2% general Council Tax increases in 2020/21, 2021/22 and 2022/23.

- 7.3 Under current Council Tax Referendum principles, Councils are able to have a social care precept of up to 6% over the three year period 2017-2020. Merton agreed social care precepts of 3% in 2017/18, and 1% in 2018/19, leaving a maximum of 2% available in 2019/20, and this has been included in the draft MTFs 2019-23.

8. GLA BUDGET AND PRECEPT SETTING 2019-20 – PROVISIONAL TIMETABLE

- 8.1 The Greater London Authority (GLA) sets a budget for itself and each of the four functional bodies: Transport for London, the London Development Agency, the Metropolitan Police Authority, and the London Fire and Emergency Planning Authority. These budgets together form the consolidated budget.
- 8.2 The GLA expects to issue the Mayor's draft 2019-20 GLA Group budget for consultation before Christmas and details on this will be circulated to Chief Financial Officers and key contacts once published. The date on which the consultation budget will be published is, however, dependent on the timing of the provisional Local Government Finance and Fire and Police Grant settlements which will be announced during December. If these announcements are delayed significantly then it is possible that the publication date of the Mayor's consultation budget may be later than envisaged currently.
- 8.3 The Mayor's draft budget is expected to be considered by the London Assembly on 24 January 2019. The final draft budget is scheduled to be considered by the Assembly on 25 February following which the Mayor will confirm formally the final precept and GLA group budget for 2019-20. It is expected that the final GLA council tax precept will be formally approved on 28 February 2019.
- 8.4 NNDR1 returns will be required to be submitted to the DCLG by 31 January 2019 and, with the addition of information required for the London pilot pool, it is essential that all authorities meet this deadline for the GLA to be able to achieve its timetable. It is anticipated that the percentage shares for 2019-20 used for the returns for London authorities will be the same or similar to those in 2018/19 (i.e. 64% for the 32 boroughs and City of London and 36% for the GLA. This is expected to be confirmed in the provisional local government finance settlement.

9. CONSULTATION UNDERTAKEN OR PROPOSED

- 9.1 There will be consultation as the business plan process develops. This will include the Overview and Scrutiny panels and Commission, business ratepayers and all other relevant parties.
- 9.2 In accordance with statute, consultation is taking place with business ratepayers and a meeting will be arranged for February 2019.

9.3 As previously indicated, a savings proposals information pack will be prepared and distributed to all councillors at the end of December 2018 that can be brought to all Scrutiny and Cabinet meetings from 9 January 2019 onwards and to Budget Council. As it was last year, this should be an improvement for both councillors and officers - more manageable for councillors and it will ensure that only one version of those documents is available so referring to page numbers at meetings will be easier. It will also keep printing costs down and reduce the amount of printing that needs to take place immediately prior to Budget Council.

9.4 The pack will include:

- Savings proposals
- A draft Equality impact assessment for each saving proposal.
- Service plans (these will also be printed in A3 to lay round at scrutiny meetings)

10. **TIMETABLE**

10.1 In accordance with current financial reporting timetables.

11. **FINANCIAL, RESOURCE AND PROPERTY IMPLICATIONS**

11.1 All relevant implications have been addressed in the report.

12. **LEGAL AND STATUTORY IMPLICATIONS**

12.1 All relevant implications have been addressed in the report.

13. **HUMAN RIGHTS, EQUALITIES AND COMMUNITY COHESION IMPLICATIONS**

13.1 Draft Equalities assessments of the savings proposals are included in Appendix 9.

14. **CRIME AND DISORDER IMPLICATIONS**

14.1 Not applicable.

15. **RISK MANAGEMENT AND HEALTH AND SAFETY IMPLICATIONS**

15.1 Not applicable.

APPENDICES – THE FOLLOWING DOCUMENTS ARE TO BE PUBLISHED WITH THIS REPORT AND FORM PART OF THE REPORT

Appendix 1: Council Tax Base 2019/20

Appendix 2: MTFS Update

Appendix 3: Service Plans 2019-23

Appendix 4: Budget 2018 – Summary of key Points

Appendix 5: Draft Capital Programme 2019-23 and Capital Strategy 2019/20

Appendix 6: Draft Treasury Management Strategy 2019/20

Appendix 7: Savings Proposals – December Cabinet

- (a) New proposals
- (b) Replacement savings
- (c) Deferred savings

Appendix 8: Savings Proposals – October Cabinet

- (a) New proposals
- (b) Replacement savings

Appendix 9: Equalities Assessments

- (a) December Cabinet Savings Proposals
- (b) October Cabinet Savings Proposals

BACKGROUND PAPERS

Budget files held in the Corporate Services department.

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Council Tax Base 2019/20**1. INTRODUCTION**

- 1.1 The council tax base is the measure of the number of dwellings to which council tax is chargeable in an area or part of an area. The Council Tax base is calculated using the properties from the Valuation List together with information held within Council Tax records. The properties are adjusted to reflect the number of properties within different bands in order to produce the Council Tax Base (Band D equivalent).
- 1.2 Since 2013/14 the Council Tax Base calculation has been affected by the introduction of the new local council tax support scheme and technical reforms to council tax. On 30 November 2012, new regulations set out in the Local Authorities (Calculation of council Tax Base) Regulations 2012 (SI 2012:2914) came into force. These regulations ensure that new local council tax support schemes, implemented under the Local Government Finance Act 2012, are fully reflected in the council tax base for all authorities.
- 1.3 Under the regulations, the council tax base is the aggregate of the relevant amounts calculated for each valuation band multiplied by the authority's estimated collection rate for the year.
- 1.4 The relevant amounts are calculated as
- number of chargeable dwellings in each band shown on the valuation list on a specified day of the previous year,
 - adjusted for the number of discounts, and reductions for disability, that apply to those Dwellings
- 1.5 All authorities notify the DCLG of their unadjusted Council Tax Base using a CTB Form using valuation list information as at 10 September 2018. The deadline for return was 12 October 2018 and Merton met this deadline.
- 1.6 The CTB form for 2018 includes the latest details about the Council Tax Support Scheme and the technical reforms which impacted on discounts and exemptions.
- 1.7 There is a separate council tax base for those properties within the area covered by Wimbledon and Putney Commons Conservators. The Conservators use this, together with the Council Tax bases from RB Kingston, and Wandsworth to calculate the levy which is charged each year.

2. ASSUMPTIONS IN THE MTFS

- 2.1 Other than changes in the actual council tax rates levied, in producing a forecast of council tax yield in future years, there are two key variables to be considered:-

- the year on year change in Council Tax Base
- the council tax collection rate

2.2 The draft MTFS previously reported to Cabinet during the business planning process has assumed that the Council Tax Base increases 0.5% per year and that the collection rate was 98% in each of the years. Given the levels of collection received in recent years it is proposed to increase this to 98.5% in 2019/20.

2.3 These assumptions have been applied to the latest Council Tax Base information included on the CTB return completed on 12 October 2018 to produce the Council Tax Base 2019/20.

2.4 Information from the October 2018 Council Tax Base Return

2.4.1 The Council makes two CTB returns, one for the whole area of the borough and the other for the area covered by the Wimbledon and Putney Common Conservators for which an additional levy is applied.

2.4.2 The information in the CTB returns has been used to calculate the council tax bases and these are summarised in the following table compared to 2018/19:-

Council Tax Base	2018/19	2019/20	Change
			%
Whole Area	74,124.0	74,951.7	1.1%
Wimbledon & Putney Common Conservators	11,308.8	11,464.4	1.4%

3. **IMPLICATIONS FOR COUNCIL TAX YIELD 2019/20**

3.1 On a like for like basis (i.e. assuming council tax charges do not change) the estimated income in 2019/20 compared to 2018/19 is summarised in the following table:-

Council Tax: Whole area	2018/19	2019/20
Tax Base	74,124.0	74,951.7
Band D Council Tax	£1,169.36	£1,169.36
Estimated Yield	£86.678m	£87.646m
Change: 2018/19 to 2019/20 (£m)		+ £0.968m
Change: 2018/19 to 2019/20 (%)		+ 1.1%

3.2 Analysis of changes in yield 2018/19 to latest 2019/20

3.2.1 There are a number of reasons for the change in estimated yield between 2018/19 and the latest estimate based on the CTB data.

3.2.2 Over this period the Council Tax Base increased by 827.7 from 74,124.0 to 74,951.7 which multiplied by the Band D Council Tax of £1,169.36 results in additional yield of £0.968m.

3.2.3 An exact reconciliation for the change between years is not possible because of changes in distribution of Council Tax Support and discounts and benefits, and premiums between years and bands. However, broadly the changes can be analysed as follows:-

a) Number of Chargeable Dwellings and Exempt Dwellings

Between years the number of properties increased by 493 from 84,312 to 84,805 and the number of exempt dwellings increased by 22 from 772 to 794. This means that the number of chargeable dwellings increased by 471 between years. Based on a full charge, this equates to additional council tax of £0.551m.

b) Amount of Council Tax Support Reduction

In 2018/19 there was a reduction of 8,192.1 to the Council Tax Base for local council tax support. This has reduced to 8,177.1 in 2019/20 which is a change of 15 and equates to additional council tax of about £17,540.

c) Changes in Discounts, Exemptions and Premiums

Overall, the number of properties subject to discounts or exemption reduced by 483 and those subject to premiums reduced by 4 between 2018/19 and 2017/18.

d) Change in collection rate

There has been a change made to the estimated collection rate with an increase of 0.5% from 98% to 98.5%.

Summary

The following puts the individual elements together to show how the potential council tax yield changes between 2018/19 and 2019/20:-

	Approx. Change in Council Tax Base	Approx. Change in Council Tax yield
		£m
Increase in number of chargeable dwellings	493	0.576
Change in Council Tax Support Reductions	15	0.018
Change in discounts, exemptions, premiums and distribution	(61)	(0.071)
Increase in Collection Rate from 98% to 98.5%	381	0.445
Total	828	0.968

3.10 Council Tax Yield 2019/20

3.10.1 Assuming no change in Council Tax for 2019/20 the estimated Council Tax yield for 2019/20 is:-

Council Tax: Whole area	Tax Base	Band D 2018/19	Council Tax Yield 2019/20	Council Tax Yield 2018/19
Merton	74,951.7	£1,169.36	£87.646m	£86.678m
WPCC	11,464.4	£29.30	£0.336m	£0.331m
GLA	74,951.7	£294.23	£22.053m	£21.810m

The amounts collected for the GLA and WPCC are paid over to each of them as precepts.

3.10.2 The updated MTF5 is based on the following assumptions:-

	2019/20	2020/21	2021/22	2022/23
Increase in CT Base	0.5%	0.5%	0.5%	0.5%
Collection Rate (+0.5%)	98.5%	98.5%	98.5%	98.5%
Council Tax - General	2.99%	2%	2%	2%
Council Tax – Adult Social Care	2%	0%	0%	0%

3.10.3 Based on the new Council Tax Base but using the same assumptions as in the MTF5 set out in the table in 3.10.2 above, the change in Council Tax Yield is as follows:-

MTF5 Council Tax Yield (excluding WPCC)	2019/20 £'000	2020/21 £'000	2021/22 £'000	2022/23 £'000
CT Yield (Cabinet 15 October 2018)	91,458	93,722	96,034	98,395
CT Yield (New Council Tax Base)	92,019	94,298	96,624	98,999
Change in CT Yield from new Base	561	576	590	604

DRAFT MTFS 2019-23:				
	2019/20	2020/21	2021/22	2022/23
	£000	£000	£000	£000
Departmental Base Budget 2018/19	149,808	149,808	149,808	149,808
Inflation (Pay, Prices)	4,244	7,094	9,945	12,796
Autoenrolment/Nat. ins changes	0	0	0	0
FYE – Previous Years Savings	(4,464)	(6,070)	(6,185)	(6,185)
FYE – Previous Years Growth	(2,506)	(2,006)	(2,006)	(2,006)
Amendments to previously agreed savings/growth	206	0	0	0
Change in Net Appropriations to/(from) Reserves	99	242	398	335
Taxi card/Concessionary Fares	450	900	1,350	1,800
Adult Social Care - Additional Spend	1,054	0	0	0
Growth	0	0	0	0
Other	2,479	4,566	4,846	4,922
Re-Priced Departmental Budget	151,369	154,534	158,156	161,470
Treasury/Capital financing	9,806	10,873	12,294	12,324
Pensions	3,552	3,635	3,718	3,801
Other Corporate items	(16,781)	(16,705)	(16,654)	(16,229)
Levies	607	607	607	607
Sub-total: Corporate provisions	(2,816)	(1,590)	(35)	503
Sub-total: Repriced Departmental Budget + Corporate Provisions	148,554	152,944	158,121	161,972
Savings/Income Proposals 2018/19	(2,577)	(8,171)	(9,550)	(9,655)
Sub-total	145,977	144,773	148,571	152,317
Appropriation to/from departmental reserves	(1,350)	(1,493)	(1,649)	(1,586)
Appropriation to/from Balancing the Budget Reserve	(3,220)	(2,804)	0	0
BUDGET REQUIREMENT	141,407	140,475	146,922	150,731
Funded by:				
Revenue Support Grant	(5,076)	0	0	0
Business Rates (inc. Section 31 grant)	(35,360)	(37,726)	(38,286)	(38,501)
Adult Social Care - Improved Better Care Fund	(1,054)	0	0	0
PFI Grant	(4,797)	(4,797)	(4,797)	(4,797)
New Homes Bonus	(2,028)	(1,304)	(1,008)	(800)
Council Tax inc. WPC	(92,350)	(94,629)	(96,955)	(99,330)
Collection Fund – (Surplus)/Deficit	(742)	0	0	0
TOTAL FUNDING	(141,407)	(138,456)	(141,046)	(143,428)
GAP including Use of Reserves (Cumulative)	0	2,020	5,876	7,303
Potential Unfunded ASC commitments due to Loss of Better Care Funding	0	3,218	3,218	3,218
GAP assuming no new ASC Government Grant (Cumulative)	0	5,238	9,094	10,521
Possible Offset if 2019/20 ASC CT hypothecation can be used to replace Better Care Funding	0	(1,742)	(1,742)	(1,742)
GAP assuming no new ASC Government Grant but 2019/20 CT hypothecation can be used(Cumulative)	0	3,496	7,352	8,779

First Draft Service Plans

Attached are our 20 First Draft Service Plans, in departmental order.

It should be noted that as these are First Draft Service Plans they are subject to revision as the Service Planning process continues. At this stage, the financial figures do not take into account any new savings proposed. Figures in the Second Draft Service Plans will be updated to include any agreed savings.

Second Draft Service Plans are due to be completed on the 20 December 2018, after which they will be presented to all Cabinet and Budget Scrutiny meetings throughout January 2019.

Final plans will be completed on the 30 January 2019 and these plans will form part of our 2019/23 Business Plan.

Also included are 3 First Draft Commissioning Plans for our commissioned services, which are also subject to review as the process continues.

Index of Departmental Service and Commissioning Plans

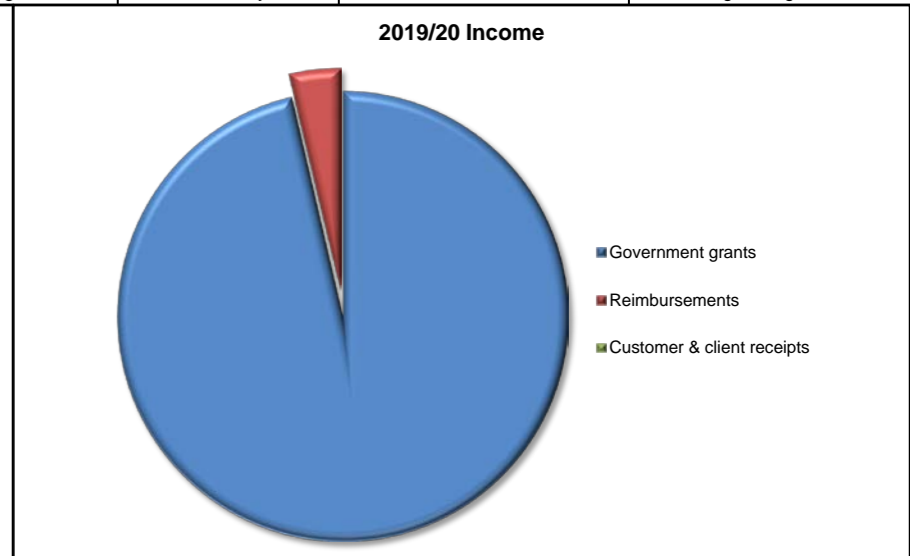
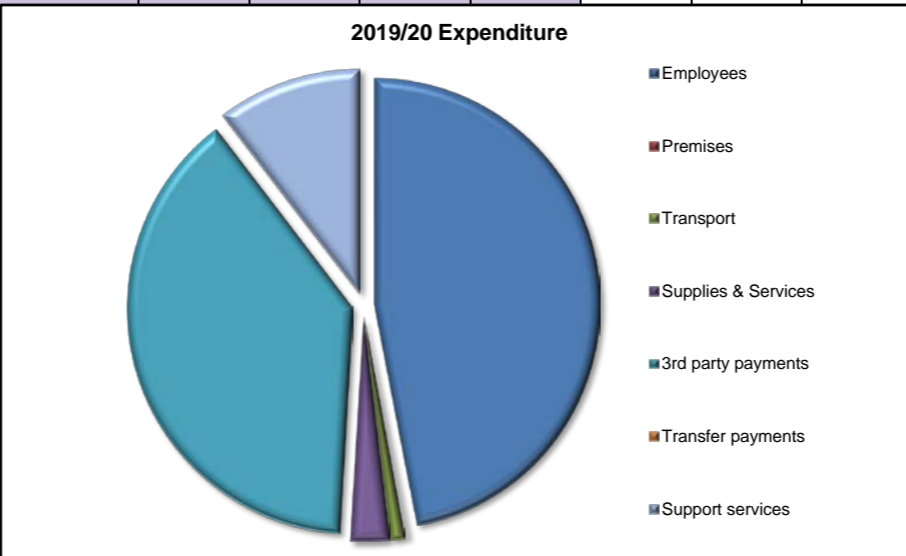
Children, Schools and Families	Community and Housing	Corporate Services	Environment and Regeneration
Children's Social Care	Adult Social Care	Corporate Governance	Development & Building Control
Education	Housing Needs & Enabling	Customers, Policy and Improvement	Future Merton
	Libraries	Human Resources	Leisure & Cultural Development
	Merton Adult Education*	Infrastructure & Transactions	Parking
	Public Health	Resources	Parks & Green Spaces*
		Shared Legal Services	Property
			Regulatory Services Partnership
			Safer Merton
			Transport
			Waste Management and Cleansing *

*Commissioning Plan

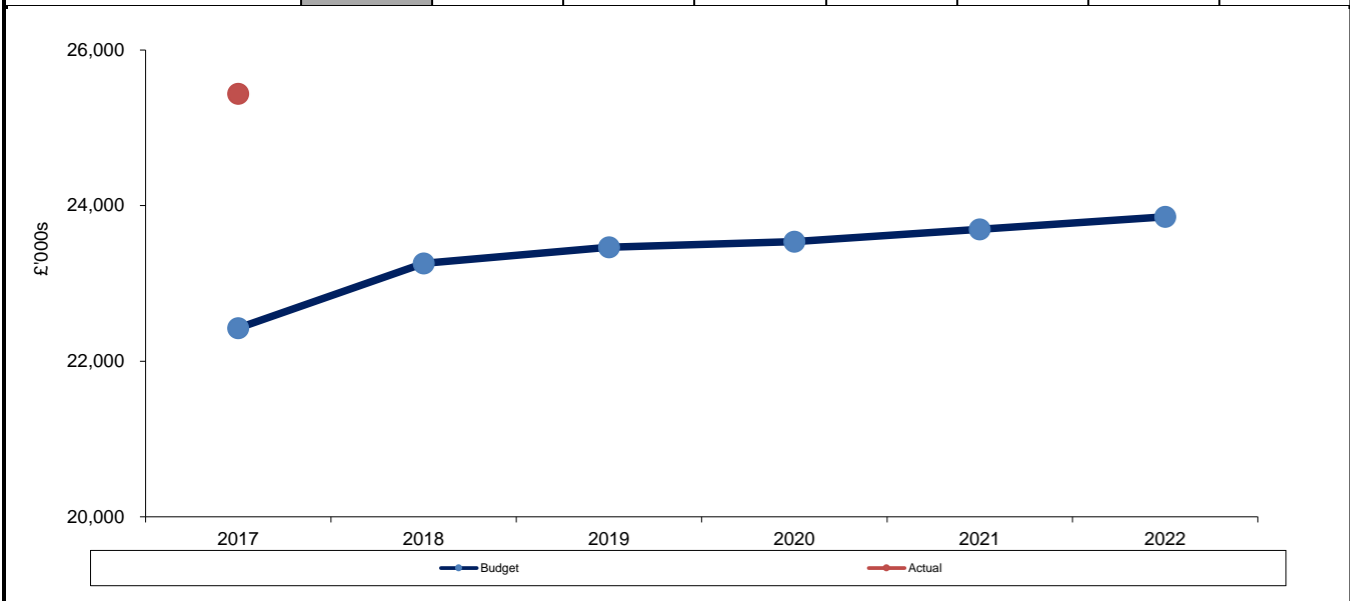
Children Schools & Families

Children's Social Care & Youth Inclusion	Planning Assumptions						The Corporate strategies your service contributes to				
	Anticipated demand	2017/18	2018/19	2019/20	2020/21	2021/22		2022/23			
Enter a brief description of your main activities and objectives below	Population growth - Care leavers	30		40-60							
	Population growth - Child Protection Plans	60		60							
	Increase in 0-19 population	900		3,210							
	UASC - increased numbers and impact on resources	15		30-32							
Children's Social Care (CSC) delivers a range of government prescribed & legislated functions to children at risk of harm, children in care, children with disabilities, care leavers & young offenders, as well as wider services for families.	Anticipated non financial resources	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23				
	Staff (FTE subject to change as a result of restructures)	216	219	212	212	212					
CSC works within an integrated context co-ordinating multi agency support to those families at all levels of Merton's Child & Young Person (CYP) Well-being Model. The service works with approximately 1,300 children at any one time who have the greatest needs in the borough across a range of outcomes: safety, well-being, health, education & life chances.	Performance indicator (LBC2020 indicators highlighted in purple)	Actual Performance (A) Performance Target (T) Proposed Target (P)					Polarity	Reporting cycle	Indicator type	Main impact if indicator not met	
		2017/18(A)	2018/19(T)	2019/20(P)	2020/21(P)	2021/22(P)					2022/23 (P)
Merton's CYP Well-being Model sets out Merton's approach to supporting families which seeks to provide services at the time they are needed to prevent further need arising & escalation up the model. This is the most efficient use of resources & CSC undertakes a range of family support activity to prevent children entering either child protection or care systems at every stage of childhood. This necessitates a strong commitment to robust assessment & thresholds, which require a quality assurance function to ensure on-going success of the model.	% children subject of a timely safeguarding assessment	N/A	93	93				High	Monthly	Business critical	Safeguarding issues
	Average duration for care and supervision (s31) applications	31	26	26				Low	Quarterly	Quality	Safeguarding issues
	% CYP on Child Protection Plan for 2nd or subsequent time	13%	16	16				Low	Monthly	Quality	Safeguarding issues
	% NEET aged 16-17	1.6%	3	3				Low	Monthly	Outcome	Social exclusion
	Number YJS first time entrants	47	50	50				Low	Monthly	Outcome	Social exclusion
	% LAC (2.5 years or over) in same placement for 2 years	N/A	65	65				High	Monthly	Outcome	Safeguarding issues
	% LAC experiencing 3 or more placements moves	N/A	11	10				Low	Monthly	Outcome	Social exclusion
	% fostered LAC in independent agency FC placements	N/A	40	40				Low	Quarterly	Business critical	Increased costs
	Number of in house foster carers recruited	11	15	15				High	Quarterly	Quality	Increased costs
	Care Leavers who are ETE (17-21 year olds)	N/A	70	70				High	Quarterly	Outcome	Social Exclusion
	% of care leavers in touch (17-21 year olds)	N/A	90	90				High	Quarterly	Outcome	Social exclusion
	% of care leavers (aged 19-21) in suitable accommodation	N/A	91	91				High	Quarterly	Outcome	Safeguarding issues

DEPARTMENTAL BUDGET AND RESOURCES								
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Expenditure	23,903	27,022	24,385	2,902	24,594	24,664	24,824	24,984
Employees	10,918	11,461	11,375	204	11,548	11,551	11,554	11,557
Premises	55	74	57	(4)	58	58	59	60
Transport	244	273	238	18	242	245	249	252
Supplies & Services	795	1,042	668	1,175	679	688	698	708
3rd party payments	9,592	11,751	9,495	1,509	9,517	9,569	9,712	9,854
Transfer payments	0	1	0		0	0	0	0
Support services	2,299	2,420	2,552		2,552	2,552	2,552	2,552
Depreciation	0	0	0		0	0	0	0
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Income	1,477	1,584	1,127	(187)	1,127	1,127	1,127	1,127
Government grants	1,126	909	1,086	141	1,086	1,086	1,086	1,086
Reimbursements	205	401	41	(175)	41	41	41	41
Customer & client receipts	146	274	0	(152)	0	0	0	0
Reserves								
Capital Funded								
Council Funded Net Budget	22,426	25,438	23,258	2,715	23,467	23,537	23,696	23,856
Capital Budget £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
	0	0	0	0	0	0	0	0



Summary of major budget etc. changes	
2019/20	Reduced costs/offer through the national centralised adoption initiative - £30,000. Reorganisation of the Children with Disability (CWD), Fostering and Access to Resources (ART) teams and a review of the Common and Shared Assessment (CASA) service - £130,000. Delivery of preventative services through the Social Impact Bond - £45,000.
2020/21	Delivery of preventative services through the Social Impact Bond - £45,000. South London Family Drug and Alcohol Court commissioning - £45,000. Radically reduce support for LAC/CSE/respite - £200,000
2021/22	
2022/23	

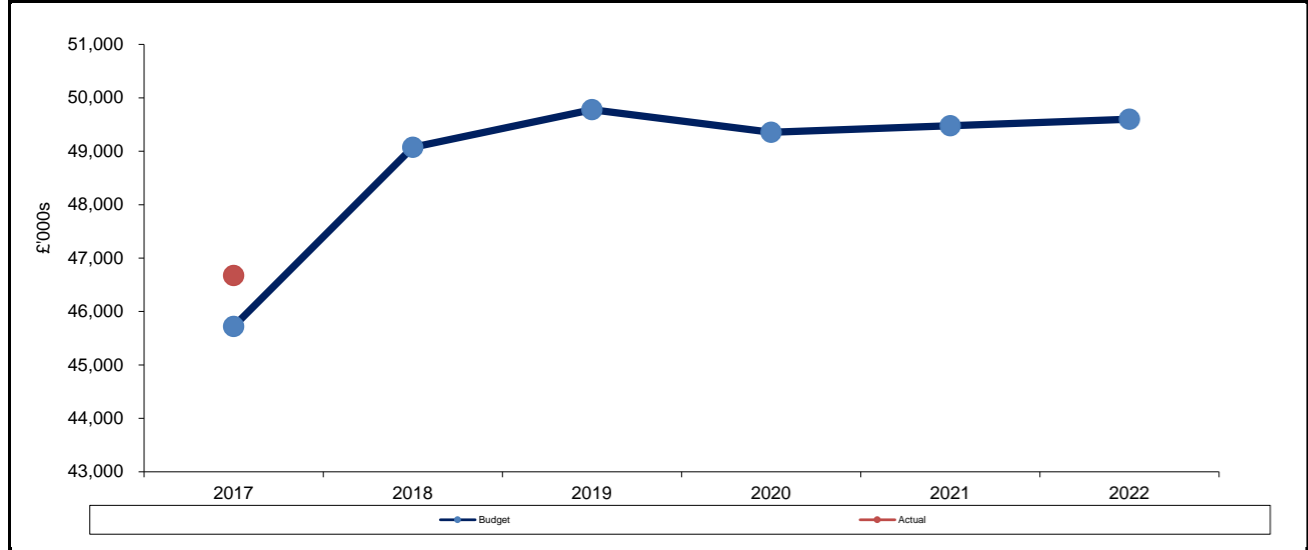
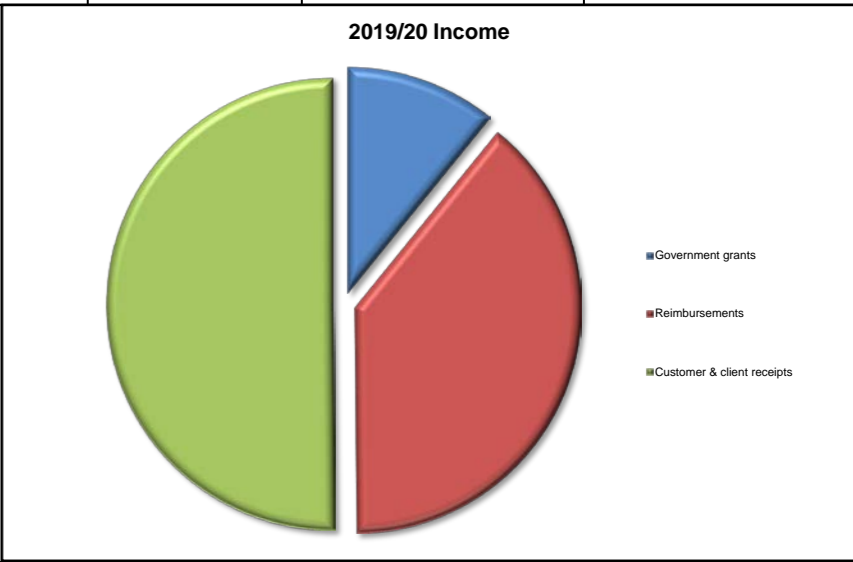
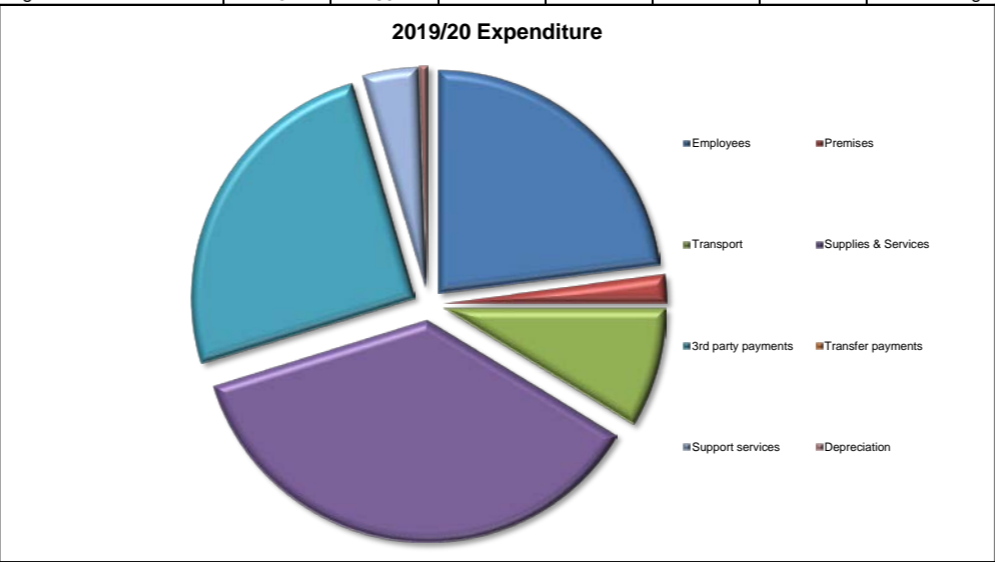


Children's Social Care & Youth Inclusion

		PROJECT DESCRIPTION		MAJOR PROJECT BENEFITS		Risk			
						Likelihood	Impact	Score	
Project 1		Project Title:	Well Being Model - CSC & CYPWB/TOM		Improved effectiveness		4	3	12
Start date	2016-17	Project Details:	The review of the well being model is now complete, the next phase is to embed agreed structure changes in CSC, our Early Help model and points of access. we will deliver the CSC and EH Tom programme through a range of projects and programmes including: recruitment and retention strategy; restructuring of central teams; Flexible working ; Care proceedings as outlined in the relevant TOM; rationalising access points; raising thresholds; increased targeting and practice.						
End date	2019-20								
Project 2		Project Title:	Continuous Improvement and Inspection Readiness		Improved effectiveness		4	3	12
Start date	2013-14	Project Details:	Delivery of key priorities: Early Help, Think Family and Neglect. To improve data quality, filing & retention, case records & management oversight.. Embed SMART targets & strengthen reporting to provide improved and easily accessible information.To continually improve the day to day management across our services, delivery of improvement plans and embedding our revised QA framework. Continue to utilise all data sources to inform best practice sources include; JTAI's,YJ,EY's,SEND, QA framework and Ofsted Action Plan.						
End date	2018-19								
Project 3		Project Title:	MOSAIC (CYPWB & TOM) Phase 1 and 2.		Improved efficiency (savings)		3	3	9
Start date	2013-14	Project Details:	Cross-cutting project to provide system for both CSF & C&H including financial aspects; the new system has full casework management capability to deal with statutory requirements, management information & reporting for both case management and inspection purposes. Implementation phase will include extensive work to improve associated processes. Also interim project is delivering improvements re data quality & reporting in CF. Involves parts of Education Division dealing with casework. System also used by R&I & ART within CSP .						
End date	2018-19								
Project 4		Project Title:	Workforce development		Improved staff skills and development		4	3	12
Start date	2015-16	Project Details:	We will continue to work towards our ambition to be London's Best Council, as part of this aspiration all our managers are engaged in a differentiated leadership programme. Strong focus remains on our recruitment and retention strategy and to support this we have developed a 'Practice Model' which is now established. We have continued the development and delivery of Signs of Safety/Signs of Well Being and this is being rolled out across the department. We are supporting/complimenting this this with a programme to deliver both Systemic Practice and Motivational Interviewing across the department. We have a clear time line for this programme with appropriate milestones to ensure we have a strong, highly skilled workforce. Our workforce strategy alongside our overarching practice model has been developed to support our transformation plan.						
End date	2019-20								
Project 5		Project Title:	Innovation work streams		Improved effectiveness		3	2	6
Start date	2016-17	Project Details:	Regionalisation of Adoption. The government requires Local Authorities will establish regional arrangements for some elements of adoption services. Merton is part of the developing Pan London Approach approved by Cabinet (Sept 2016). The Social Impact Bond (SIB) will provide upfront social capital to deliver services, designed to keep young people out of care, using the Multi-Systemic (MST) and Functional Family Therapy (FFT) methodologies. The Council will repay the investors for their initial investment plus a return for the financial risks taken. 48 referrals to be provided within the first 3 years of the contract. Longer term savings to the council will be made through avoidance of care costsLeanne to provide narrative. The Family Drug and Alcohol Court (FDAC) is a specialist problem-solving court approach to improving outcomes for children involved in care proceedings. it offers an alternative way of supporting parents overcome the sunstance misuse, mental health and domestic abuse which have put their children at serious risk of harm. The Transforming Families (TF) is moving to the next phase in its Maturity Model development and is planning to bid as part the 'Earned Autonomy' initiative.						
End date	2019-20								
Project 6		Project Title:			Select one major benefit				0
Start date		Project Details:							
End date									
Project 7		Project Title:			Select one major benefit				0
Start date		Project Details:							
End date									
Project 8		Project Title:			Select one major benefit				0
Start date		Project Details:							
End date									
Project 9		Project Title:			Select one major benefit				0
Start date		Project Details:							
End date									
Project 10		Project Title:			Select one major benefit				0
Start date		Project Details:							
End date									

Education	Planning Assumptions							The Corporate strategies your service contributes to			
Cllr Kelly Braund: Cabinet Member for Children's Services	Anticipated demand	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23				
Cllr Caroline Cooper-Marbiah: Cabinet Member for Education	Early Years population (0-3) (mid year 2016 based BPO)	12531	12522	12413	12386	12390	12405	Children and Young People's Plan			
Enter a brief description of your main activities and objectives below	Primary age Population (4-11)	23069	23184	23065	22895	22704	22476	SEN and Disabilities Strategy			
<p>Merton School Improvement (MSI)</p> <ul style="list-style-type: none"> monitor, analyse & evaluate pupil & school performance developing skills in planning, teaching, assessment, leadership & management working with schools to reduce inequality & improve achievement for vulnerable groups strengthening partnership working and school to school support <p>Special Education Needs & Disabilities Integrated Service (SENDIS)</p> <ul style="list-style-type: none"> building early help capacity in schools & settings, families & the community focus on safeguarding, early intervention & prevention as well as direct support for families implementing the requirements of the Children and Families Act ensuring that families are central Specialist placement provision for pupils with SEN. <p>Early Years Services ensure the supply of good quality funded early education provision for children aged 2, 3 and 4 in accordance with statutory duties</p> <ul style="list-style-type: none"> delivering Children's Centre services through a locality model with a focus on early help & targeted services for vulnerable families working with the early years sector to improve quality, reduce inequality and improve outcomes for vulnerable children and their families Developing the work force to deliver holistically to vulnerable families and young children <p>Education Inclusion</p> <ul style="list-style-type: none"> providing universal & targeted in house & commissioned services for YP & schools providing support to prevent bullying, substance misuse & teenage pregnancy, to improve attendance developing alternative education offerings to enable YP to stay in ETE leading on the council's partnership with the police & CAMHS for education improving attendance and reduce P Excl in Merton schools <p>My Futures Service</p> <ul style="list-style-type: none"> pupil place planning, & schools admissions school expansion & capital programme management Contracts including SEN, transport commissioning and PFI <p>Policy Planning and Performance</p> <ul style="list-style-type: none"> Service Planning, Performance Information and Performance Management, Policy and Communications <p>MSCB - is responsible for agreeing local child protection procedures and for monitoring the</p>	Secondary age population including post 16 (12-18)	14863	15269	15671	16254	16884	17426	School Expansion Strategy			
	Children & Y/P with EHCP (NB 17/18 is Jan 17 and so on)	1264	1486	1740	1900	2050	2150	2150	SEN and Disabilities Strategy		
	Expansion for secondary school (total across all schools)	2 foe (cumulative)	6 foe (cumulative)	8 foe (cumulative)	Review	Review	Review	Review	School Expansion Strategy		
	Increased demand for special school places (total across all schools)	40		60 more SEN places by 19-20			60 further SEN by 2021/22		School Expansion Strategy		
	Anticipated non financial resources	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23				
	Staff (FTE subject to change as a result of restructures)	286	286	284	284	284					
	Performance indicator (LBC2020 indicators highlighted in purple)	Actual performance (A) Performance Target (T) Proposed Target (P)						Polarity	Reporting cycle	Indicator type	Main impact if indicator not met
		2017/18(A)	2018/19(T)	2019/20(P)	2020/21(P)	2021/22(P)	2022/23 (P)				
	Merton pupil average Attainment 8 score	50.2	51	51	52	53	54	High	Annual	Outcome	Reputational risk
	Merton pupil Average Progress 8 score	0.5	0.51	0.51	0.51	0.51	0.51	High	Annual	Outcome	Reputational risk
% outcome of Ofsted school inspections good or outstanding	93	91	91	93	95	95	High	Monthly	Outcome	Inspection outcomes	
% secondary school attendance	95.2	95.6	95.6	95.6	95.6	95.6	High	Annual	Outcome	Increased costs	
% primary school attendance	96.1	96.2	96.2	96.2	96.2	96.2	High	Annual	Outcome	Breach statutory duty	
% of new EHCP requests completed within 20 weeks	42.25	55	65	75	85	85	High	Quarterly	Outcome	Safeguarding issues	
% Good or Outstanding children's centres per Ofsted	100	100	100				High	Quarterly	Outcome	Inspection outcomes	
% reception year surplus places	7.7	8	8	10	10	10	Low	Annual	Business critical	Parental choice	
% secondary school Yr7 surplus places Inc. Academies	9.6	5	5	5	5	5	Low	Annual	Business critical	Parental choice	
% reaching the expected standard at Key Stage 2 in reading, writing and maths	66	58	58				Low	Annual	Outcome	Inspection outcomes	
% spend on approved capital programme	73	80	80	80	80	80	High	Annual	Business critical	Increased costs	

DEPARTMENTAL BUDGET AND RESOURCES								
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Expenditure	51,714	51,809	54,557	5,968	55,352	54,974	55,096	55,218
Employees	12,495	11,631	12,546	(422)	12,696	12,346	12,347	12,348
Premises	1,186	950	1,133	(216)	1,142	1,159	1,175	1,192
Transport	4,211	4,614	4,251	853	4,814	4,877	4,939	5,002
Supplies & Services	17,435	16,251	20,136	656	20,207	20,094	20,131	20,169
3rd party payments	13,605	15,674	13,971	5,097	13,973	13,978	13,983	13,988
Transfer payments	10	10	0		0	0	0	0
Support services	2,464	2,371	2,212		2,212	2,212	2,212	2,212
Depreciation	308	308	308	0	308	308	308	308
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Income	5,993	5,135	5,483	97	5,575	5,620	5,620	5,620
Government grants	724	(101)	553	(62)	604	604	604	604
Reimbursements	2,152	2,336	2,134	142	2,174	2,174	2,174	2,174
Customer & client receipts	3,117	2,900	2,796	17	2,796	2,841	2,841	2,841
Interest								
Reserves								
Capital Funded								
Council Funded Net Budget	45,721	46,674	49,073	6,065	49,778	49,355	49,477	49,599
Capital Budget £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Primary Schools		1,045	836	(3)	1,900	1,900	1,900	1,900
Secondary Schools		3,083	5,345	0	2,944	0	0	0
Special Schools		1,542	2,236	0	4,852	3,718	1,250	0
Other		366	709	0	0	0	0	0
		6,036	9,126	(3)	9,696	5,618	3,150	1,900



2019/20
Review Early Years : raise income or cease some services in preparation for 2020 where we'd consider withdrawing from direct provision of a childcare offer -£49,000.
Review schools trade offer, raise charges or consider ceasing services from 2020 - £30,000.
2020/21
Review schools trade offer, raise charges or consider ceasing services from 2020 - £60,000.
Review Early Years service: radically reduce some services and/or consider withdrawing the Early Years offer - £150,000.
Radically reduce some statutory education functions - £200,000.
2021/22
2022/23

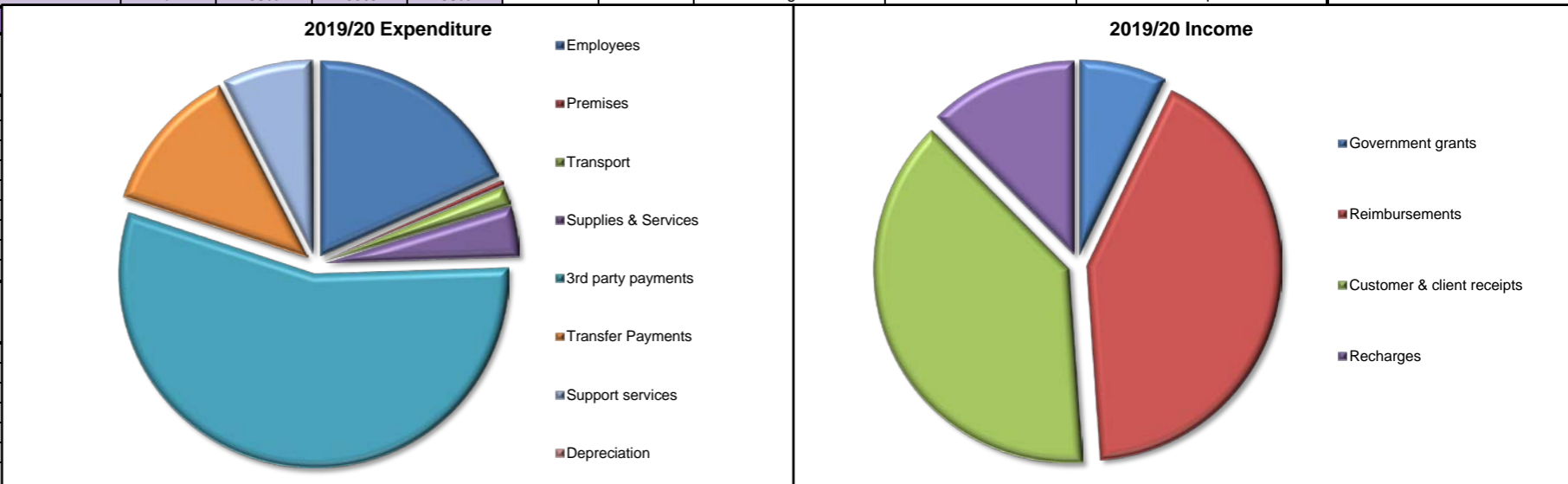
Education

PROJECT DESCRIPTION		MAJOR PROJECTS BENEFITS		Risk					
				Likelihood	Impact	Score			
Project 1		Project Title:	Well Being Model - CSC & CYPWB/TOM		Improved effectiveness				
Start date	2016-17	Project Details:	The review of the well being model is now complete, the next phase is to embed agreed structure changes in CSC, our Early Help model and points of access. we will deliver the CSC and EH Tom programme through a range of projects and programmes including: recruitment and retention strategy; restructuring of central teams; Flexible working ; Care proceedings as outlined in the relevant TOM; rationalising access points; raising thresholds; increased targeting and practice.	4	3	12			
End date	2019-20								
Project 2		Project Title:	Improving pupil outcomes at KS5 & School Improvement through partnership with schools(Edn TOM)		Improved effectiveness				
Start date	2018-19	Project Details:	Rigorous support for all all schools, including support and challenge for schools in RI or vulnerable to RI including implementation of Support and Challenge Groups. Targeted improvement plan for secondary schools, focusing on academic outcomes (A levels) in the 6th form. Training and briefings on Ofsted, assessment, curriculum and improving teaching. Implementation of programmes to focus on Ofsted outstanding judgement for identified schools. The embedding of strengthened school to school support through the schools' partnership - 'Attain'. Brokerage of school to school support through National Leaders of Education, Merton Leaders of Education, primary expert teachers and liaison with Teaching Schools. Partnership with schools on redefining LA functions as part of Education TOM.	2	3	6			
End date	2020-21								
Project 3		Project Title:	Transforming Early Years (EY's TOM)		Improved effectiveness				
Start date	2013-14	Project Details:	Securing supply of good quality sufficient number of funded early education places for 2, 3 and 4 year olds responding to national policy and the new national funding framework and Merton's local priorities to include new 30 hour offer and support for children with SEND. Deliver the reshaped Children's Centre and early help services and programmes in accordance with local service practice standards and evidence based practice. Continue to secure good and above outcomes for all directly managed Ofsted inspected services. Maximise opportunities for external funding through ongoing review of charging structures and use of buildings by external agencies. Develop an "e strategy" and associated action plan for early years transactional services. Continue to promote use of self serve and publicise the range of directories managed within the service in partnership with key stakeholders. (Directories of Local Services)	2	3	6			
End date	2019-20								
Project 4		Project Title:	Implementation of requirements of Children & Families Act (Edn TOM & CYPWB) & Education TOM/CYPWB Model & Personal Budgets (Education TOM/C+F Act)		Improved customer experience				
Start date	2013-14	Project Details:	Continue to strengthen collaboration between parents forum and partner agencies. further strengthen the Education, Health & Care Plan, and widen the Local Offer. Preparation for adulthood pathways are being developed by ASC, CWD and SEN Teams. Procurement for an SEN recording and reporting system is in the first stage. Addressing new statutory duty for age 19-25 a joint commissioning group across Health and Social Care has been developed to strengthen the tri-parite panel to support and process cases within available funding streams. Develop and deliver the Education TOM & CYPWB Model across CSF Services. Progress further rollout of Personal Budgets for families of children subject to education, health and care plans. Work with SENDIS service to maintain focus of encouraging Personal Budgets for SEN travel assistance and support implementation of next phase of PBs for Short Breaks services.	3	3	9			
End date	2019-20								
Project 5		Project Title:	Impelentation of EHCP Hub		Improved effectiveness and customer expereince				
Start date	2018-19	Project Details:	Securing an on line system for the EHC assessment process to enable professionals to submit reports and parents and young people to access real time information about the progress and status of the assessment. This will lead to greater efficiencies in terms of reduced paper based reports and printing, reduced posting of lengthy documents, less need for telephone responses to queries and more timely completion of the statuory process. the EHCP Hub will also provide an on line management of the Annual Review process agan reducing printing and process and streamlining the system. the Hub will also provide capacity to assist wiht data returns to the DfE etc whcih are currently manually completed. it will provide a case work function where officer records can be kept reducing the risk of the current paper based and excel spreadsheet records.	4	3	12			
End date	2020-21								
Project 6		Project Title:	Implementation of Secondary & Special School (SEN) Places Strategy (EducationTOM)		Infrastructure renewal				
Start date	2015-16	Project Details:	Continue liaison with the Education and Skills Funding Agency and Harris Federation and manage related projects to deliver the opening and permanent build for the new Harris Academy Wimbledon School by September 2020, and review need for any further secondary school expansion required to ensure the council provides sufficient secondary places to meet growing demand. Complete agreed expansion of Cricket Green Special Schools to provide additional in-house SEN places in Merton, and on the basis of evidence from strategic needs assessment of SEN provision, obtain capital support on a 'spend to save' basis and implement proposals and capital projects.	4	3	12			
End date	2021-22								
Project 7		Project Title:	Workforce development		Improved staff skills and development				
Start date	2015-16	Project Details:	We will continue to work towards our ambition to be London's Best Council, as part of this aspiration all our managers are engaged in a differentiated leadership programme. Strong focus remains on our recruitment and retention strategy and to support this we have developed a 'Practice Model' which is now established. We have continued the development and delivery of Signs of Safety/Signs of Well Being and this is being rolled out across the department. We are supporting/complimenting this this with a programme to deliver both Systemic Practice and Motivational Interviewing across the department. We have a clear time line for this programme with appropriate milestones to ensure we have a strong, highly skilled workforce. Our workforce strategy alongside our overarching practice model has been developed to support our transformation plan.	4	3	12			
End date	2019-20								
Project 8		Project Title:	SEN Transport commissioning review		Improved efficiency (savings)				
Start date	2019-20	Project Details:	Work with C&H and E&R departments to review the most efficient means of commissioning SEN transport, including 'make or buy' review of in-house buses and review of most efficient mix between taxi and bus commissioning. Review of SEND Transport policy including use of Personal Budget to reduce Merton commissioned transport dependence	4	3	12			
End date	2021-22								
Project 9		Project Title:			Select one major benefit				
Start date		Project Details:						0	
End date									
Project 10		Project Title:			Improved staff skills and development				
Start date		Project Details:						0	

Community & Housing

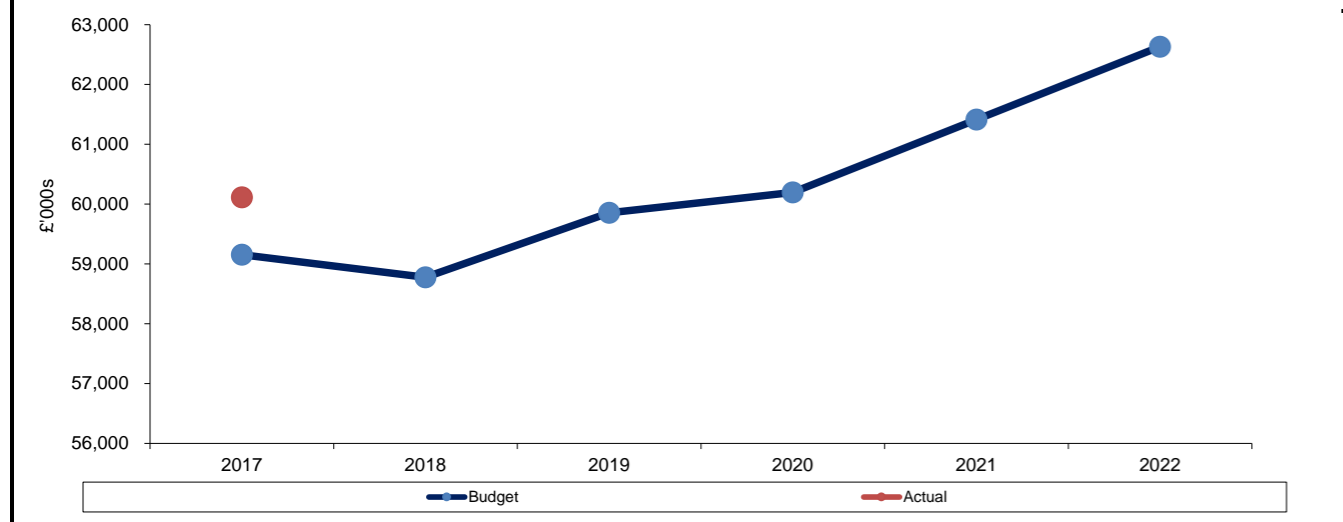
Adult Social Care	Planning Assumptions						The Corporate strategies your service contributes to	
Cllr Tobin Byers: Cabinet Member for Adult Social Care	Anticipated demand	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23	Health & Wellbeing Strategy
Enter a brief description of your main activities and objectives below The Care Act 2014 is the legislation that underpins the statutory function of ASC; the Act came in to force on 1 April 2015. ASC works with people 18 and above and their carers who are in need of support. The Act sets a new national eligibility criteria to define eligibility for services. The Act gives new duties around safeguarding with a greater emphasis on protecting the most vulnerable people in our society from abuse or neglect. The Act also puts prevention at the heart of the work we undertake and we are well placed with our reablement team in fulfilling this duty. Our approach to the redesign of services is to keep the customer as independent as possible, for as long as possible in their own home. We aim to keep people in their communities with their friends and family network around them and out of institutionalised care or hospital. We aim to maximise people's independence with the use of equipment, telecare, reablement, utilising the voluntary sector to limit isolation and loneliness, working with CLCH and our partners in health to ensure that people's health needs are met keeping people healthy and out of hospital. We will work with our partners in health and the voluntary sector to integrate services where possible and limit duplication. We aim to complete our duties by putting the customer at the heart of the assessment and maximising and utilising their strengths to ensure that they are enabled to be as independent as possible with minimum, or no, support from the council.	No. of people requiring services	3278	3252	3191	3170			
	People aged 85-89	358	335	315	293			
	People aged 95+	190	185	180	175			
	No. of people aged 65+ with dementia	407	419	431	448			
	Anticipated non financial resources	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23	
	Staff (FTE)	324.50	340.59	595.00	340.59	340.59		

DEPARTMENTAL BUDGET AND RESOURCES								
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2017/18 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Expenditure	80,159	83,067	81,751	4,206	83,328	83,868	85,087	86,306
Employees	13,614	14,154	13,597	409	15,250	15,250	15,250	15,250
Premises	346	380	351	(50)	349	354	359	365
Transport	1,507	1,697	1,379	186	1,380	1,400	1,421	1,442
Supplies & Services	3,121	4,293	3,281	374	3,442	3,491	3,540	3,589
3rd party payments	45,354	46,619	46,992	3,210	46,315	46,330	47,023	47,716
Transfer Payments	9,954	9,296	9,857	77	10,298	10,748	11,199	11,649
Support services	6,152	6,517	6,183	-	6,183	6,183	6,183	6,183
Depreciation	111	111	111	-	111	111	111	111
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2017/18 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Income	21,003	22,954	22,974	(4,408)	23,474	23,674	23,674	23,674
Government Grants	17	387	1,417	(2,430)	1,676	1,676	1,676	1,676
Reimbursements	9,176	9,454	9,544	(2,940)	9,796	9,796	9,796	9,796
Customer & client receipts	8,962	10,199	9,100	963	9,088	9,288	9,288	9,288
Recharges	2,849	2,915	2,913	-	2,913	2,913	2,913	2,913
Reserves	-	-	-	-	-	-	-	-
Capital Funded	-	-	-	-	-	-	-	-
Council Funded Net Budget	59,156	60,112	58,777	(201)	59,854	60,194	61,413	62,632



Capital Budget £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2017/18 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
ASC IT Equipment		34						
LD Supported Living						488	633	462
Telehealth			44	-				
		34	44	0	0	488	633	462

Summary of major budget etc. changes 2019/20
Growth for Concessionary fares increase - £0.450m, and Winter Pressures Grant £748k. Savings previously identified of £301k (CH70) Total Savings target - £1.6m for the year. Savings from home care efficiencies and Merton Art Space income are planned to proceed. Savings proposed in relation to Extra Care contracts has been reduced from £99k to £57k. Previously proposed savings in Public Health spend of £500k are to be replaced. It is proposed that the balance will be found from the full year effect of reductions in placements costs this year, increasing MASCOT income and reviewing community day activities for older people. One off grant for the year was announced in the Autumn Budget, but the details are not yet clear.



2020/21
Growth for Concessionary fares increase - £0.450m. Total savings target is £5,851
We are awaiting the Adult Social Care Green Paper and the Comprehensive Spending Review in 2019 to understand the medium and longer term funding of that service. We are also waiting for the CSR to understand general funding, and in particular the future of Public Health Grant and housing grants.

2021/22
Growth for Concessionary fares increase - £0.450m. Total savings target is £762

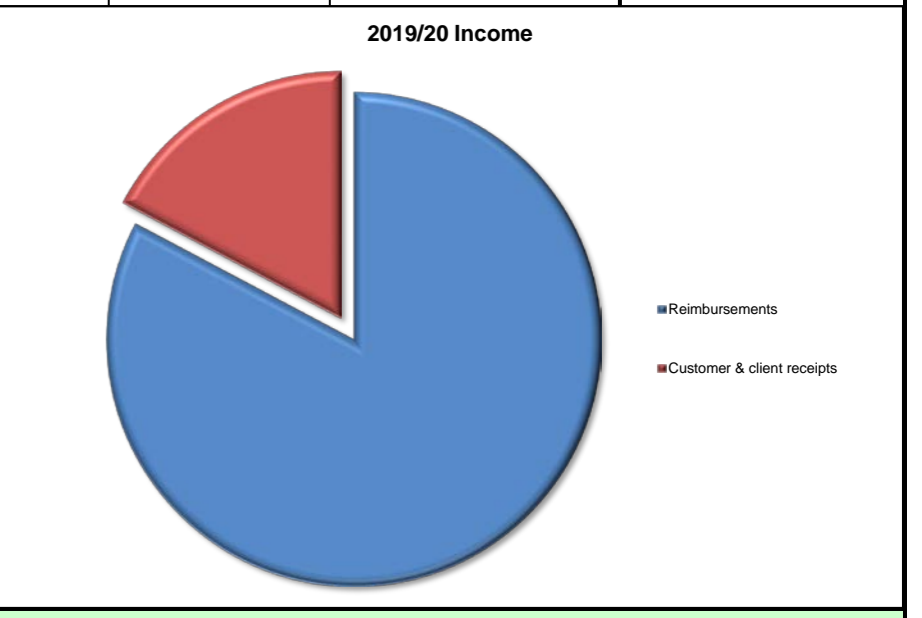
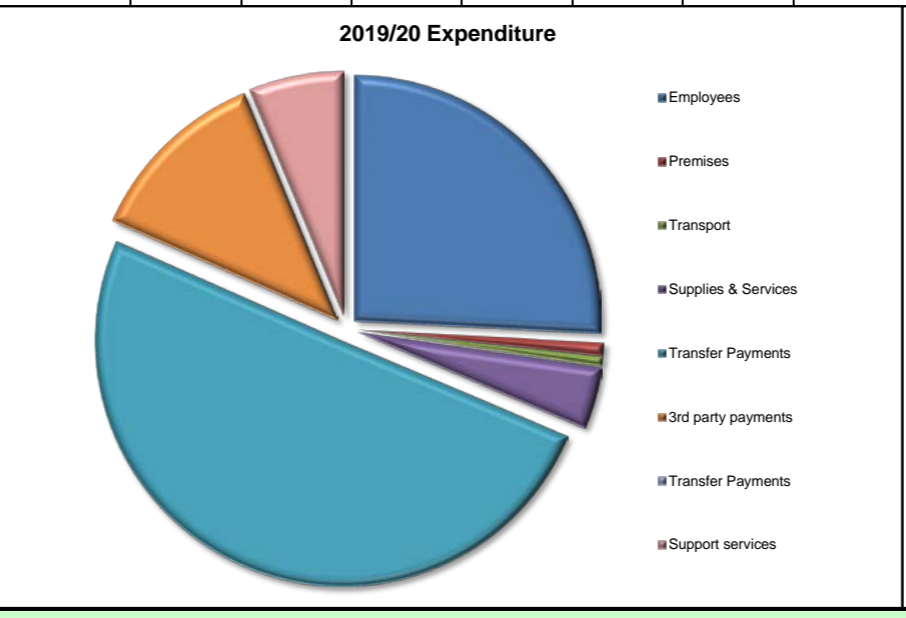
2022/23
Growth for Concessionary fares increase - £0.450m. Total savings target is £600

Adult Social Care

PROJECT DESCRIPTION		MAJOR PROJECTS BENEFITS			Risk		
					Likelihood	Impact	Score
Project 1		Project Title:	Adult Social Care Customer Journey: Pathways		Improved customer experience		
Start date	2019-20	Project Details:	Reorganisation and alignment of the Adult Social Care access points and pathways within the context of the Care Act Principles of Wellbeing and Prevention and within the context of the principles of Merton Health and Care Together. The former being the main driver for better management of demand for more formal adult social care services. The latter has emphasis on whole system integrated working in order to provide 'Right Care, Right Time, Right Place'. Refresh the skills and knowledge of all ASC staff in relation to the Care Act. Develop a training and development plan in line with the needs of the department as it revises its Target operating Model.	4	2	8	
End date	2020-21						
Project 2		Project Title:	Commissioning , Market Capacity & Capability		Improved sustainability		
Start date	2019-20	Project Details:	Following an ADASS led Peer Review. Develop the commissioning, contract management and quality assurance functions necessary to ensure Merton has sufficient supply of diverse and sustainable care provider markets to meet the care and support needs of borough residents either through direct commissioning activity or indirect market shaping activity. This project will also incorporate current commissioning and procurement activity for a range of services provided by third party suppliers	4	2	8	
End date	2021-22						
Project 3		Project Title:	Learning Disability Offer		Improved efficiency (savings)		
Start date	2019-20	Project Details:	A review of our offer to adults with Learning Disabilities to ensure that we can meet the needs of those transitioning into adulthood and those of current service users and their carers within the resources we expect to be available. The project will review all aspects of the local learning disability pathways into Adult Social Care, through transition and preparation for adulthood; the role of the Community Learning Disability Team and the commissioning of services aimed at meeting the needs of people with a learning disability. This will require continual engagement and consultation, which we will look to enlist the support of a local strategic engagement partner. A full review of housing, accommodation and support for people with Learning Disabilities will aim to reduce the use of out of borough placements and support people to remain living in Merton, connected to their community and supported to live the life they want.	5	3	15	
End date	2022-23						
Project 4		Project Title:	Merton Prevention Offer		Improved efficiency (savings)		
Start date	2019-20	Project Details:	A review of the current preventative offer ensuring that we are investing in interventions that deliver improvements in health and reduced demand. This project is in conjunction with Public Health initiatives and will involve the voluntary and community sector as critical partners. The Wellbeing Programme of grant funded prevention and early intervention will be recommissioned and commence in April 2019 as a three year programme	2	2	4	
End date	2021-22						
Project 5		Project Title:	Merton Health & Care Together		Improved effectiveness		
Start date	2018-19	Project Details:	This is the emerging integrated care model within the context of national policy requirements to move towards integrated services. The promised ASC funding Green Paper and NHS Five Year Forward View are expected to reinforce this. Good progress is being made on front line integration and we are also engaged in regional and sub-regional developments. A recent roundtable discussion with the Merton CCG, CEOs across the Acute Hospitals, SWL&ST Georges Mental Trust and our community provider CLCH make a firm commitment to working with Merton in identifying opportunities for joined up care ensuring the best outcomes for Merton residents. The local authority and Merton & Wandsworth CCG are the co-owners of the programme of work, the Programme Board is representative of the Merton health and care economy including statutory, voluntary and community partners	3	3	9	
End date	2022-23						
Project 6		Project Title:	Community Transport		Improved efficiency (savings)		
Start date	2019-20	Project Details:	We will work with colleagues in E&R and CSF to review the council's approach to community transport, reframing the offer of transport within Adult Social Care and ensuring it is delivered in the most efficient and effective way. This review will take into account the clean air strategy for the borough, the effective use of resources when planning community transport and the flexibility of transport provision to support people to be independent and travel independently around the borough	5	2	10	
End date	2020-21						
Project 7		Project Title:					
Start date		Project Details:				0	
End date							
Project 8		Project Title:					
Start date		Project Details:				0	
End date							
Project 9		Project Title:					
Start date		Project Details:				0	
End date							
Project 10		Project Title:					
Start date		Project Details:				0	
End date							

Housing Needs and Enabling Services		Planning Assumptions						The Corporate strategies your service contributes to					
Cllr Martin Whelton: Cabinet Member for Regeneration, Environment & Housing		Anticipated demand		2017/18	2018/19	2019/20	2020/21	2021/22	2022/23				
Enter a brief description of your main activities and objectives below		Housing advice, options, private tenants & landlords advice		11000	11250	11250	11250	11250	11250	Homeless Placements Policy (Interim)			
To fulfil statutory housing functions including the prevention and relief of homelessness and the enforcement and regulation of the private rented sector.		Housing register applicants		9600	10250	10700	11150	11600	12000	Homelessness Strategy			
To plan services in response to changes in national policies and in the housing market, and to develop innovative projects or models of delivery that maximise the use of resources and deliver services that minimise costs to the council.		Housing options casework		1000	1350	1500	1500	1500	1500	Housing Strategy			
The purpose of this service is to		Demand for temporary accommodation		435	400	400	410	420	430				
- Prevent and relieve homelessness in accordance with statutory housing law		Anticipated non financial resources		2017/18	2018/19	2019/20	2020/21	2021/22	2022/23				
- Provide homes to people in housing need		Housing Needs Staff (FTE)		19.50	20.00	21.50	21.50	21.50	21.50				
- Formulate and deliver statutory housing strategies for the borough		Environmental Health (Housing)		5.03	5.03	7.8	7.8	7.8	7.8				
- Maintain the housing register and choice based lettings process and nominate households to vacant housing association homes		TOTALS		24.53	25.03	29.3	29.3	29.3	29.3				
- Maximise supply of homes with private landlords													
- Provide care and housing support to vulnerable adults													
- Carry out a statutory duty to enforce Environmental Health (Housing) legislation													
- Provide mandatory grant assistance for improvements and adaptations													
- Commission and monitor Housing Related and Floating support													
- Relationship management between the council and stock transfer housing associations													
		Performance indicator (LBC2020 indicators highlighted in purple)		Actual Performance (A) Performance Target (T) Proposed Target (P)			Polarity	Reporting cycle	Indicator type	Main impact if indicator not met			
				2017/18(A)	2018/19(T)	2019/20(P)					2020/21(P)	2021/22(P)	2022/23(P)
		Homelessness / HRA Prevention and Relief		465	450	450	450	450	450	High	Monthly	Business critical	Increased costs
		No. of households in temporary accommodation		180	230	230	230	230	230	Low	Monthly	Business critical	Increased costs
		Highest no. of families in B&B		1.8	10	10	10	10	10	Low	Monthly	Business critical	Increased costs
		Highest no. of adults in B&B		2.4	10	10	10	10	10	Low	Monthly	Business critical	Increased costs
		Social housing lets		347	320	305	305	305	305	High	Quarterly	Outcome	Increased waiting times
		Rent deposit - new tenancies		70	40	40	40	40	40	High	Annual	Outcome	Increased waiting times
		No. of enforcement/improvement notices		64	70	80	80	80	80	High	Quarterly	Outcome	Reduced enforcement
		Number of Disabled Facilities Grants approved		90	60	60	60	60	60	High	Quarterly	Outcome	Customer hardship

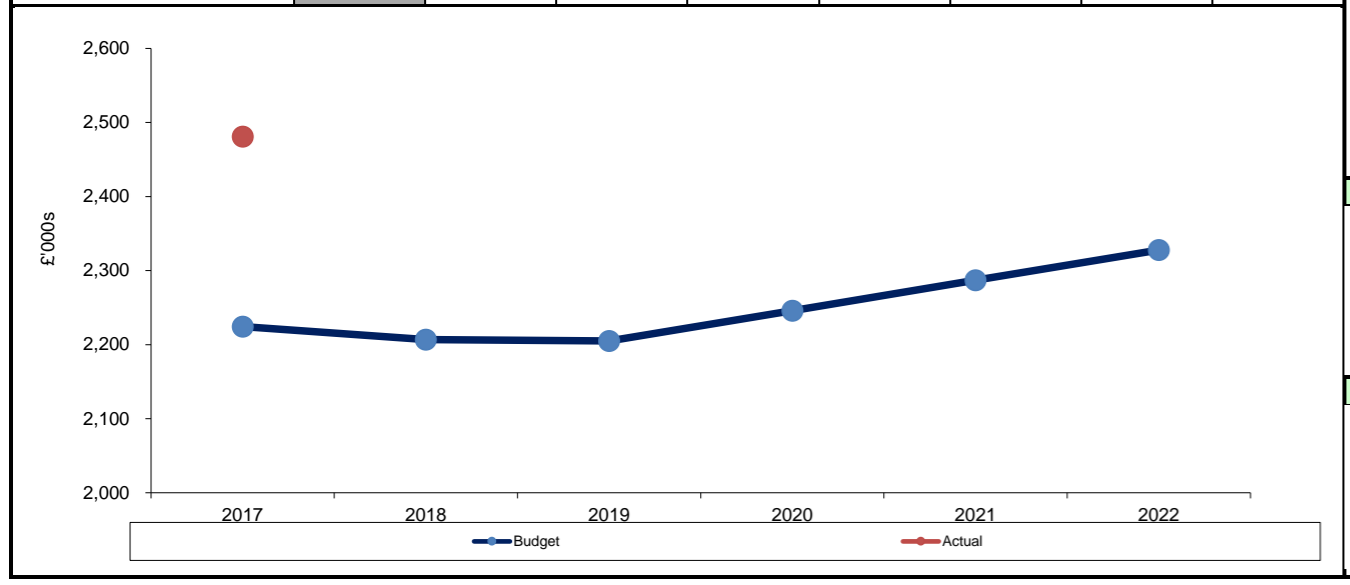
DEPARTMENTAL BUDGET AND RESOURCES								
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Expenditure	4,619	6,131	4,621	1,287	4,709	4,750	4,791	4,831
Employees	1,014	1,061	1,024	41	1,215	1,215	1,215	1,215
Premises	39	21	40	4	40	41	41	42
Transport	29	19	29	(8)	30	30	31	31
Supplies & Services	383	381	189	(38)	192	194	197	200
Transfer Payments	2,296	3,099	2,475	689	2,368	2,405	2,442	2,479
3rd party payments	571	1,261	571	598	571	571	571	571
Transfer Payments	0	0	0	0	0	0	0	0
Support services	287	288	293	0	293	293	293	293
Depreciation								
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Income	2,395	3,650	2,414	(1,040)	2,504	2,504	2,504	2,504
Government grants	197	582	144	(467)	75	75	75	75
Reimbursements	2,020	2,259	2,010	33	2,010	2,010	2,010	2,010
Customer & client receipts	178	810	260	(606)	418	418	418	418
Recharges	0	0	0	0	0	0	0	0
Reserves	0	0	0	0	0	0	0	0
Capital Funded	0	0	0	0	0	0	0	0
Council Funded Net Budget	2,224	2,481	2,207	247	2,205	2,246	2,287	2,328



Capital Budget £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Disabled Facilities Grant		820	815	-	280	280	280	280
Affordable Housing Projects								
		820	815	0	280	280	280	280

Summary of major budget etc. changes 2019/20

Homelessness reduction grant with new responsibilities £136, 288 and flexible homelessness support grant of £715,812
Increased income from Extended HMO Mandatory Licencing Scheme and revised fee structure
Disabled facilities grant



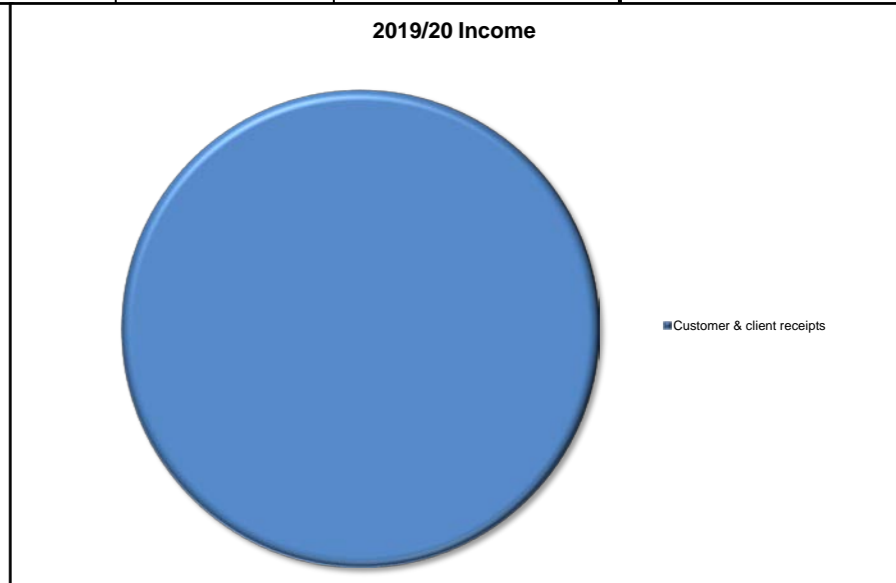
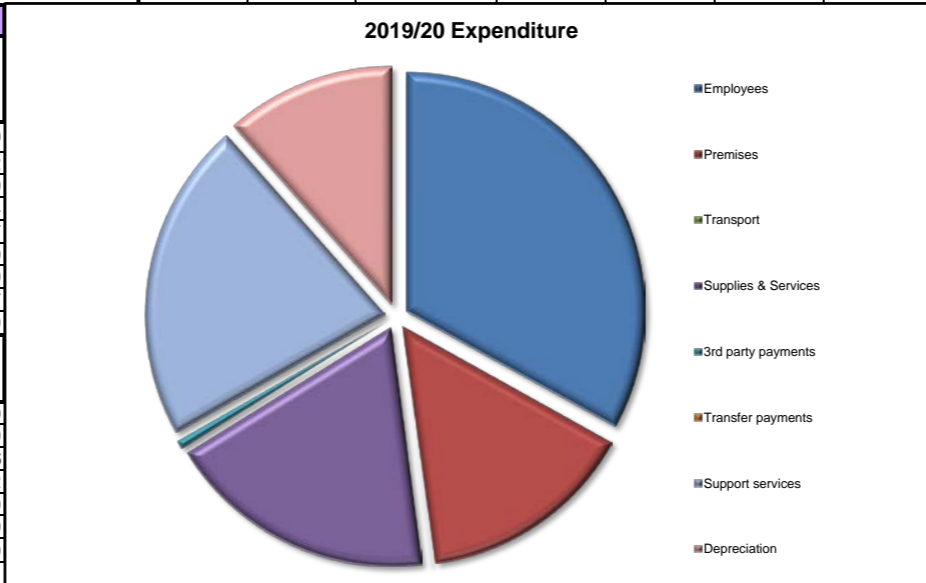
2020/21
2021/21
2022/23

Housing Needs and Enabling Services

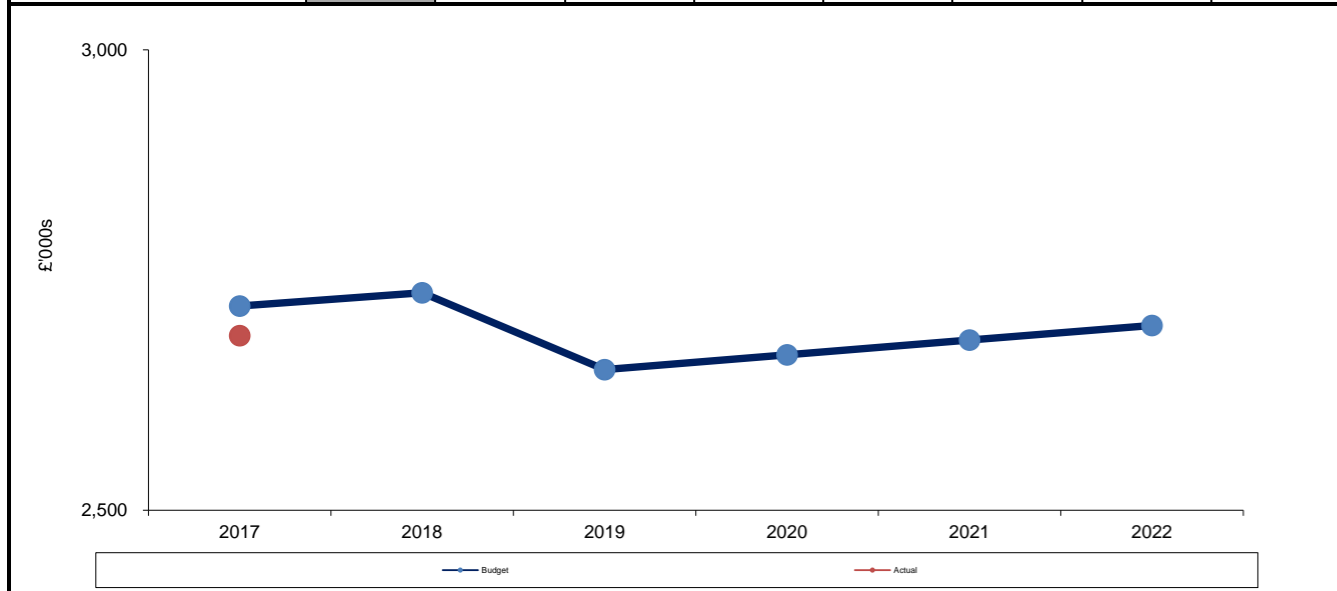
PROJECT DESCRIPTION		MAJOR PROJECTS BENEFITS			Risk		
					Likelihood	Impact	Score
Project 1		Project Title:	Homeless Reduction Act - Review		Risk reduction and compliance		
Start date	2018-19	Project Details:	Review impact of Homelessness Reduction Act on business, performance, customers and staff and amend any processes where necessary and appropriate.		2	2	4
End date	2019-20						
Project 2		Project Title:	Housing Enforcement Policy		Improved effectiveness		
Start date	2018-19	Project Details:	Introduce and monitor Civil Penalties, Rent Repayment Orders by implementation of Housing Enforcement Policy		2	2	4
End date	2019-20						
Project 3		Project Title:	Public Protection Technology Upgrade		Improved effectiveness		
Start date	2016-17	Project Details:	Work with IT / E&R on re-procurement / replacement of M3PP, cloud hosting and subsequent upgrade of M3PP to Assure.		2	1	2
End date	2019-20						
Project 4		Project Title:	Extended HMO Mandatory Licencing Scheme		Economic outcomes		
Start date	2018-19	Project Details:	Monitor the implementation of the Extended HMO Mandatory Licencing Scheme and new Licence fee structure.		2	2	4
End date	2019-20						
Project 5		Project Title:	EDRMS Workflow		Improved effectiveness		
Start date	2016-17	Project Details:	Work with Corporate to implement EDRMS in Housing and then update workflow processes accordingly		2	2	4
End date	2019-20						
Project 6		Project Title:	Housing Related Support		Improved efficiency (savings)		
Start date	2018-19	Project Details:	Implement and monitor revised commissioning plans for Housing Related Support		2	1	2
End date	2019-20						
Project 7		Project Title:	Housing IT software re-procurement		Improved effectiveness		
Start date	2018-19	Project Details:	Re-procure all IT Software solutions for Housing Needs (Homelessness, Temporary Accommodation & Rent Accounts, Housing Register and Choice Based Lettings.)		2	2	4
End date	2020-21						
Project 8		Project Title:	Homelessness Strategy		Improved reputation		
Start date	2018-19	Project Details:	Re-draft the Homelessness Strategy to reflect the impact of the Homelessness Reduction Act and the Government's Rough Sleeper strategy		2	1	2
End date	2019-20						
Project 9		Project Title:			Select one major benefit		
Start date		Project Details:					0
End date							
Project 10		Project Title:			Select one major benefit		
Start date		Project Details:					0
End date							

Libraries	Planning Assumptions						The Corporate strategies your service contributes to					
Cllr Nick Draper: Cabinet Member for Community & Culture	Anticipated demand	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23					
Enter a brief description of your main activities and objectives below	Active users	56,000	56,000	56,500	57,000	57,500	58,000					
<p>The purpose of the service is to provide a 'comprehensive and efficient' library service, addressing the 'needs of adults and children' according to the Public Libraries and Museums Act 1964.</p> <p>Local authorities have a statutory duty to make provision for a library service but may decide on how this is delivered.</p> <p>Certain aspects of the service must be provided for free:</p> <ul style="list-style-type: none"> - Free lending of books - Free access to information - Free library membership <p>The Library Service aims to provide a modern, high quality and cost effective service that is responsive to the needs of customers. Our vision is to remain the most efficient library service in London whilst continuing to achieve some of the highest customer satisfaction and usage levels.</p>	Stock issues	950,000	900,000	900,000	900,000	900,000	900,000	Customer Contact Strategy				
	Registered members	135,000	135,000	135,000	135,000	135,000	135,000	Children and Young People's Plan				
	Visitor figures	1,200,000	1,200,000	1,200,000	1,200,000	1,200,000	1,200,000	Community Plan				
	Anticipated non financial resources	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23	Equality and Community Cohesion Strategy				
	Staff (FTE)	33.30	31.35	30.85	30.85	30.85	30.85	Health & Wellbeing Strategy				
	Accommodation (Libraries)	7	7	7	7	7	7	Heritage Strategy				
	Equipment (PC's)	144	152	159	159	159	159	Procurement Strategy				
	Performance indicator (LBC2020 indicators highlighted in purple)	Actual Performance (A) performance target (T) Proposed Target (P)						Polarity	Reporting cycle	Indicator type	Main impact if indicator not met	
		2017/18(A)	2018/19(T)	2019/20(P)	2020/21(P)	2021/22(P)	2022/23(P)					
	Number of visitors accessing the library service online	250,011	220,000	235,000	240,000	245,000	250,000	High	Monthly	Quality	Reduced uptake of service	
Active users - peoples network terminal	65,154	56,000	56,500	57,000	57,500	58,000	High	Monthly	Outcome	Reduced uptake of service		
% self service usage for stock transactions	98	97	97	98	98	98	High	Monthly	Business critical	Increased costs		
Active volunteers in libraries	293	230	230	230	230	230	High	Monthly	Business critical	Reduced service delivery		
Maintain Income	£401,422	£376,000	£414,000	£414,000	£414,000	£414,000	High	Monthly	Unit cost	Increased costs		
Visitor figures - physical visits to libraries	N/A	1,200,000	1,200,000	1,200,000	1,200,000	1,200,000	High	Monthly	Quality	Reduced service delivery		
% customer satisfaction (Libraries' own survey)	N/A	95%	95%	95%	95%	95%	High	Annual	Perception	Reduced customer service		

DEPARTMENTAL BUDGET AND RESOURCES								
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Expenditure	3,204	3,215	3,195	5	3,121	3,137	3,153	3,169
Employees	1,117	1,150	1,092	8	1,032	1,032	1,032	1,032
Premises	322	439	445	18	460	466	473	480
Transport	5	5	4	(2)	4	4	4	4
Supplies & Services	694	607	587	(18)	571	580	589	597
3rd party payments	18	18	31	0	18	19	19	20
Transfer payments	0	0	0	0	0	0	0	0
Support services	688	637	677	0	677	677	677	677
Depreciation	359	359	359	0	359	359	359	359
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Income	482	525	459	7	469	469	469	469
Government grants	0	0	0	0	0	0	0	0
Reimbursements	175	144	139	8	96	96	96	96
Customer & client receipts	307	381	321	(1)	372	372	372	372
Recharges	0	0	0	0	0	0	0	0
Reserves	0	0	0	0	0	0	0	0
Capital Funded	0	0	0	0	0	0	0	0
Council Funded Net Budget	2,722	2,690	2,736	12	2,653	2,669	2,685	2,701
Capital Budget £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Library Buildings		257	17	0	235	350	0	0
Library IT		0	140	0	0	0	0	140
		257	157	0	235	350	0	140



Summary of major budget etc. changes	
2019/20	Savings CH67 Merton Art Space £38k
2020/21	
2021/22	
2022/23	



Libraries

PROJECT DESCRIPTION		MAJOR PROJECTS BENEFITS			Risk		
					Likelihood	Impact	Score
Project 1		Project Title:	Partnership development		Improved customer experience		
Start date	2015-16	Project Details	Continue to develop partnership approach to delivering services in libraries. Increase health partnerships and lead on key actions agreed within the C&H TOM relating to prevention.		3	1	3
End date	2020-21						
Project 2		Project Title:	Heritage Strategy		Improved effectiveness		
Start date	2015-16	Project Details	Promote the Heritage Strategy and increase community participation in heritage activities. Continue to draw in external funding, improve income streams and undertake work to revise the Heritage Strategy.		3	1	3
End date	2020-21						
Project 3		Project Title:	London Libraries Consortium		Improved effectiveness		
Start date	2015-16	Project Details	Complete the procurement of the new library management system with LLC colleagues and deliver enhanced digital services for customers.		3	2	6
End date	2019-20						
Project 4		Project Title:	Children & Young People's projects		Improved customer experience		
Start date	2018-19	Project Details	Continue to develop the Schools and Libraries Membership schemes for primary and high schools. Further develop the youth offer in libraries and further develop staff skills in youth engagement.		3	1	3
End date	2021-22						
Project 5		Project Title:	Customer consultation, marketing and promotion		Improved customer experience		
Start date	2016-17	Project Details	Undertake customer surveys to gain user views and consult on any significant changes to service delivery. Continue to develop e-marketing services and undertake promotional activities such as Library Connect.		2	1	2
End date	2020-21						
Project 6		Project Title:	Income Generation		Improved efficiency (savings)		
Start date	2016-17	Project Details	Implement agreed savings from the rollout out of coffee shops in libraries and further develop income sources such as Merton Arts Space whilst identifying new opportunities.		3	2	6
End date	2019-20						
Project 7		Project Title:	Assisted digital support		Improved customer experience		
Start date	2018-19	Project Details	Increase volunteer numbers and skills in supporting customers with more complex IT needs and promote 'channel shift' to online services.		2	2	4
End date	2020-21						
Project 8		Project Title:	Security services contract		Improved efficiency (savings)		
Start date	2015-16	Project Details	On-going monitoring of performance. Develop security guard services to play a more active role in service transformation and to facilitate lone working arrangements.		3	2	6
End date	2019-20						
Project 9		Project Title:	Library redevelopments		Improved customer experience		
Start date	2015-16	Project Details	Continue to develop the new Colliers Wood Library and maximise the use of space in existing libraries. Work with other departments to identify new development opportunities.		3	2	6
End date	2019-20						
Project 10		Project Title:			Select one major benefit		
Start date		Project Details					0
End date							

Commissioned Service		Description of main activities and objectives The London Borough of Merton is committed to providing high quality and sustainable adult learning in order to improve the social, economic, health and wellbeing of our residents. The service is delivered through a commissioning model, contracting services to the best providers in the field and by developing sophisticated evidence based approaches to what we deliver. The service will continue to provide popular courses whilst expanding provision for families and enhancing our range of maths, English and employability courses.
Merton Adult Learning		
Cllr Nick Draper: Cabinet Member for Community & Culture		
Service Providers: South Thames College Groundwork London		

Planning Assumptions							The Corporate strategies the service contributes to
Anticipated demand	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23	
Total number of learners	3285	3285	3285	3285	3285	3285	Culture and Sport Framework
Number of accredited learners	1467	1467	1467	1467	1467	1467	Employment and Skills Action Plan
Total number of enrolments	3964	3964	3964	3964	3964	3964	Special Educational Needs and Disabilities Strategy
							Medium Term Financial Strategy
Anticipated non financial resources	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23	
Staff (Commissioning Team)	3.8	3.8	3.8	3.8	3.8	3.8	
Staff (LDD Curriculum manager)	1	0	0	0	0	0	
South Thames College	Sufficient resources to provide service						
Global Solution Services	Sufficient resources to provide service						

Performance indicator	Actual Performance (A) Performance Target (P) Proposed Target (T)						Polarity	Reporting cycle	Indicator type	Main impact if indicator not met
	2017/18(A)	2018/19(T)	2019/20(P)	2020/21(P)	2021/22(P)	2022/23(P)				
Number of enrolments per annum	3598	3964	3964	3964	3964	3964	High	Quarterly	Outcome	Reduced uptake of service
Number of new learners per annum (not registered as learners in previous year)	2032	45%	40%	40%	40%	40%	High	Quarterly	Outcome	Reduced uptake of service
Number of completers (% retention rate per annum)	96%	94%	95%	95%	95%	95%	High	Annual	Outcome	Reduced service delivery
% overall success rate of accredited courses per annum	74% (TBC)	86%	88%	90%	90%	90%	High	Annual	Outcome	Reduced uptake of service
% of end of course evaluations where teaching and learning is rated as good or above	99%	95%	95%	95%	95%	95%	High	Annual	Perception	Reduced service delivery
% of learners from deprived wards	29%	30%	32%	35%	35%	35%	High	Quarterly	Quality	Reduced uptake of service
Average cost per learner	£374	£247	£247	£247	£247	£247	Low	Annual	Unit cost	Reduced uptake of service

Financial Information									Additional Expenditure Information	
Revenue	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23		
Expenditure	1,410	1,150	1,415	2	1,383	1,399	1,416	1,432		
Old Service	0	0	0	0	0	0	0	0		
Contractor's Fee	1,038	803	1,038	0	1,124	1,140	1,155	1,171		
Employees (Commissioning Team)	184	182	231	2	189	189	189	189		
Employees (LDD Curriculum Manager)	122	42	77	0	0	0	0	0		
Support Service	28	28	31	0	31	31	31	31		
Other Costs	38	95	38	0	39	39	40	40		
Revenue	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23		
Income	1,378	1,125	1,380	2	1,347	1,347	1,347	1,347		
Adult Education Block Grant	1,346	1,111	1,346	2	1,347	1,347	1,347	1,347		
Adult Apprenticeships Grant	28	5	28	0	0	0	0	0		
Other Income	4	9	7	0	0	0	0	0		
Council Funded Net Budget	32	25	35	0	36	52	68	84		
Capital Expenditure	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23		

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DETAILS OF MAJOR PROJECTS
Merton Adult Learning

PROJECT DESCRIPTION		MAJOR PROJECTS BENEFITS			Risk				
					Likelihood	Impact	Score		
Project 1		Project Title:	Improve Ofsted rating Implement agreed actions in Post Ofsted Improvement Action Plan (PIAP) ready for re-inspection to achieve a 'Good' rating	Improved effectiveness			3	2	6
Start date	2016-17	Project Details:							
End date	2018-19								
Project 2		Project Title:	Embed employability, maths and English strands in courses where applicable Embed key threads around employability, maths and English into courses delivered by new providers.	Economic outcomes			2	1	2
Start date	2016-17	Project Details:							
End date	2018-19								
Project 3		Project Title:	Promote and embed British Values and Prevent within the classroom Tutors and learners to be able to demonstrate a better understanding of British Values and Prevent and to be more aware of how to keep safe.	Risk reduction and compliance			2	1	2
Start date	2016-17	Project Details:							
End date	2019-20								
Project 4		Project Title:	Expand provision in deprived areas of the borough and / or amongst deprived communities Deliver a range of community and family learning initiatives in the borough to increase take up and proactively market services to residents with the greatest needs.	Improved effectiveness			3	1	3
Start date	2016-17	Project Details:							
End date	2018-19								
Project 5		Project Title:	Embed new evidence base and overhaul course provision Make more effective usage of learner and community data to inform the commissioning of adult learning courses whilst retaining a healthy breadth of provision.	Improved customer experience			2	1	2
Start date	2017-18	Project Details:							
End date	2018-19								
Project 6		Project Title:	Embed new commissioning arrangements across all services Embed new contractor arrangements and undertake regular contract reviews. Identify improvement plans to embed and improve the quality of the new adult learning services and further develop the provider market in the borough.	Improved effectiveness			3	2	6
Start date	2016-17	Project Details:							
End date	2019-20								
Project 7		Project Title:		Select one major benefit					0
Start date		Project Details:							
End date									
Project 8		Project Title:		Select one major benefit					0
Start date		Project Details:							
End date									
Project 9		Project Title:		Select one major benefit					0
Start date		Project Details:							
End date									
Project 10		Project Title:		Select one major benefit					0
Start date		Project Details:							
End date									

Public Health
Cllr Tobin Byers: Cabinet Member for Adult Social Care
Enter a brief description of your main activities and objectives below

Public Health services currently comprise:

- Services to improve health and wellbeing that are the commissioning responsibility of PH in LA (including the following mandatory services: sexual health, NHS health checks, Healthy Child 0-5 services, National Child Measurement Programme)
- Commissioning support function to the CCG (mandatory) and council;
- Health protection oversight function (mandatory)
- Health intelligence including JSNA (mandatory)

Our vision for public health in Merton over the next five years is to:

- Protect and improve physical and mental health outcomes for the whole population in Merton throughout the life course, and reduce health inequalities, especially between the West and East of the borough, within the shrinking financial envelope available.
- Fulfill our statutory PH duties.
- Contribute to Merton becoming London's best council in 2020

Our strategic objectives are:

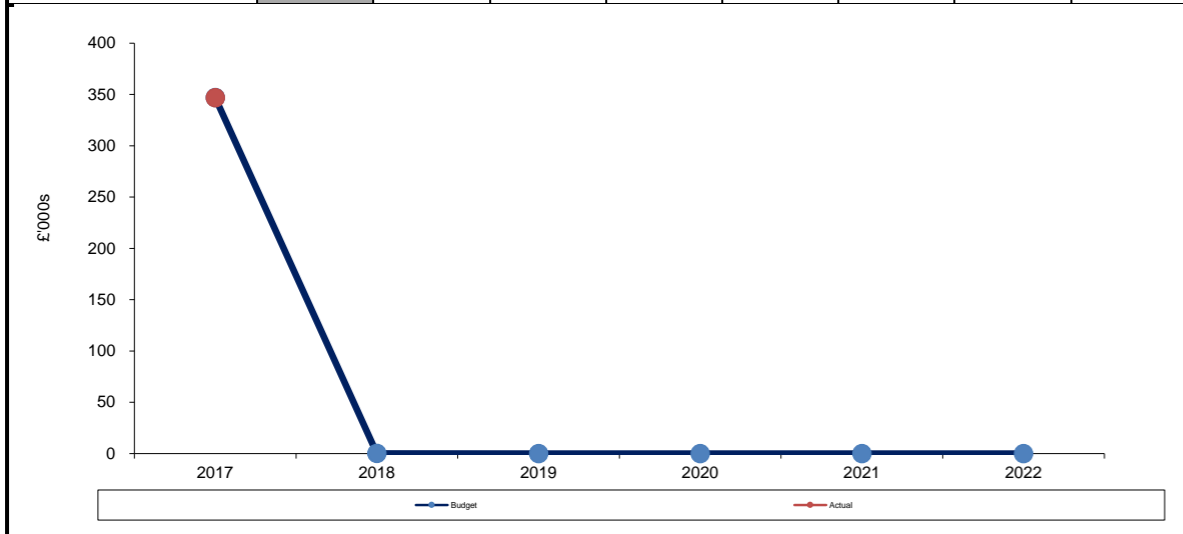
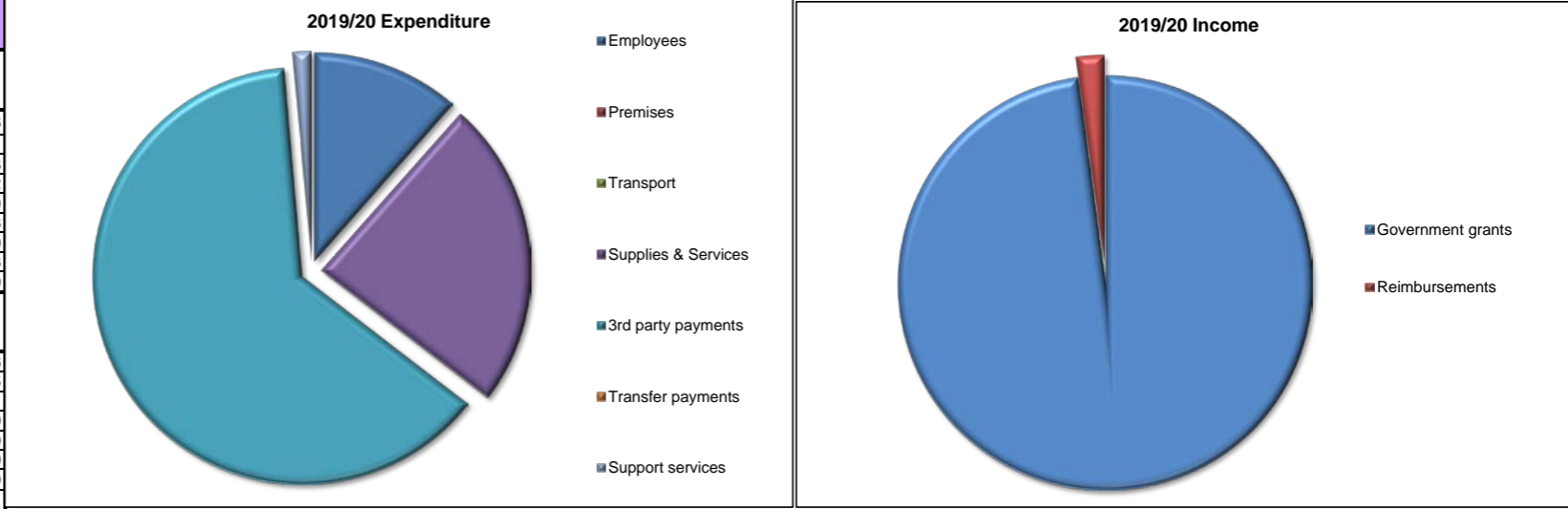
Objective 1: Service transformation - Deliver East Merton Model of Health and Wellbeing and Wilson health and community campus; deliver a personal prevention offer for adults; whole systems approaches to Diabetes and child hood obesity.

Objective 2: Embedding health & wellbeing into council business - Embed health and wellbeing as relevant outcome across the whole council business (and partners) including establishing health as marker for good government and as investment rather than expenditure, integral to 2020 vision of best London council

Objective 3: Strengthening commissioning and commissioning support – Develop public health strategic commissioning (end-to-end) & public health support to commissioning for health and wellbeing outcomes using a range of specific purposefully chosen collaborative commissioning approaches for development and delivery of integrated service models

Anticipated demand		2017/18	2018/19	2019/20	2020/21	2021/22	2022/23	The Corporate strategies your service contributes to			
Sexual health		20,080	19,972	19,735	19,498	19,261	19,024	Sexual Health Strategy			
Drugs & alcohol - new service in mobilisation April 2018		400 drugs/220 alcohol	400 drugs/220 alcohol	400 drugs/250 alcohol	400 drugs/270 alcohol	400 drugs/270 alcohol	400 drugs/270 alcohol	Substance Misuse Strategic framework			
Support to CCG (% of PH staff capacity)		40%	40%	40%	40%	40%	40%	Merton Health & Care Together			
NHS Health Checks		2,180	2,893	2,600	2,600	TBC	TBC	Health & Wellbeing Strategy			
National Child Measurement Programme		Reception Cohort : 2,396 Year 6 Cohort: 2,362	Reception Cohort : 2,475 Year 6 Cohort: 2,296	Reception Cohort: 2,478 Year 6 Cohort: 2,371	Reception Cohort: 2,481 Year 6 Cohort: 2,447	Reception Cohort: 2,483 Year 6 Cohort: 2,522	Reception Cohort: 2,486 Year 6 Cohort: 2,598	Health & Wellbeing Strategy			
Health Visiting New Birth Visits: estimated new births		3,222	3,271	3,248	3,242	3,225	3,202	Health & Wellbeing Strategy			
Risk & Resilience Service		29 treatment / 500 detached	41 treatment / 500 detached	52 treatment / 500 detached	2 treatment / 500 detached	73 treatment / 500 detached	83 treatment / 500 detached	Children and Young People's Plan			
Falls Prevention		1082	1100	1125	1150	1175	1200	Health & Wellbeing Strategy			
Dementia Action Alliance		36	30	40	40	40	40	Health & Wellbeing Strategy			
Anticipated non financial resources		2017/18	2018/19	2019/20	2020/21	2021/22	2022/23				
Staff (FTE)		16.56	18.66	18.06	18.06	18.06					
Staff (Trainees)		2	2	2	2	2					
Performance indicator (LBC2020 indicators highlighted in purple)		Actual performance (A) Performance Target (T) Proposed Target (P)					Polarity	Reporting cycle	Indicator type	Main impact if indicator not met	
		2017/18(A)	2018/19(T)	2019/20(P)	2020/21(P)	2021/22(P)	2022/23(P)				
Health Visiting - % of New Birth Reviews in 14 days of birth		96.2% (16/17) 17/18 Nov 19	95%	95%	95%	95%	95%	High	Monthly	Outcome	Reduced uptake of service
Breastfeeding at the 6-8 weeks review (partially or totally)		69.4% (16/17) 17/18 Nov 19	70%	70% TBC	70% TBC	70% TBC	70% TBC	High	Monthly	Outcome	Babies not given the best start in life through breastfeeding
% of participation in NCMF at age 10-11 years (Year 6)		97.8% (16/17) 17/18 Dec 19	95%	95%	95%	95%	95%	High	Monthly	Output	Breach statutory duty
Reduce % gap in age 10-11 obesity between E & W Merton		TBC	9.2%	8%	8%	7.7%		Low	Annual	Outcome	Increase prevalence of long term conditions
New Dementia action alliance members		36	30	40	40	40	40	High	Quarterly	Output	Reduced customer service
Number of referrals to the falls service		1082.00	1100	1125	1150	1175	1200	High	Quarterly	Output	Reduced uptake of service
Number of completed health checks		1,887	2,893	2,600	2,600	0	0	High	Quarterly	Output	Breach statutory duty
The estimated proportion of residents who are dependent on alcohol but not in the treatment system		83.7%	82.7%	81.7%	80.7%	79.7%	78.7%	Low	Quarterly	Output	Increase of potential health harms
Proportion of all in treatment, who successfully completed treatment and did not re-present within 6/12 months - Alcohol		54.4%	57.3%	58%	59%	60%	61%	High	Quarterly	Outcome	Increase of potential health harms
% young people (under 25) leaving treatment where substance misuse has reduced or client become drug free.		100.0%	90%	90%	90%	90%	90%	High	Quarterly	Outcome	Increase of potential health harms
% of eligible people offered an HIV test and who accept		87%	90%	90%	90%	90%	90%	High	Quarterly	Output	Increase of potential health harms
% of total attendances of eligible service users within the 15-24 age group who accepted and received a Chlamydia test		70%	80%	80%	80%	80%	80%	High	Quarterly	Output	Increase of potential health harms

DEPARTMENTAL BUDGET AND RESOURCES								
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Expenditure	11,335	11,353	10,107	(14)	10,396	10,396	10,396	10,396
Employees	1,116	1,081	1,188	(51)	1,191	1,191	1,191	1,191
Premises	4	1	3	(2)	3	3	3	3
Transport	2	0	2	(1)	2	2	2	2
Supplies & Services	3,172	3,047	2,406	4	2,489	2,489	2,489	2,489
3rd party payments	6,889	7,069	6,365	36	6,568	6,568	6,568	6,568
Transfer payments	0	0	0	0	0	0	0	0
Support services	151	155	143	0	143	143	143	143
Depreciation	0	0	0	0	0	0	0	0
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Income	10,988	11,006	10,107	14	10,396	10,396	10,396	10,396
Government grants	10,727	10,727	10,451	0	10,175	10,175	10,175	10,175
Reimbursements	261	279	256	14	221	221	221	221
Customer & client receipts	0	0	0	0	0	0	0	0
Recharges	0	0	0	0	0	0	0	0
Reserves	0	0	-600	0	0	0	0	0
Capital Funded	0	0	0	0	0	0	0	0
Council Funded Net Budget	347	347	0	0	0	0	0	0
Capital Budget £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
		0	0	0	0	0	0	0



Summary of major budget etc. changes

2019/20

The PH grant will continue to be ring-fenced in 2019/20. The notional allocation is expected with a further reduction of £276k. This equates to a total allocation of £10,175k. Recognising the budget constraints due to recurrent annual funding cuts, the service currently has a savings shortfall of £224k against a £600k target to ASC. We keep under tight review, taking into account final local government settlements, opportunities arising from NHS 10yr plan, social care green paper and prevention green paper. The shrinking resources limits Public Health's ability to meet its essential prevention, treatment and protection outcomes. In cash terms the ring-fenced grant has been reduced by £1.486m since 2015/16 (£663k in 2015/16-2016/17, £271k in 2017/18, £276k in 2018/19 and £276k in 2019/20). Concurrently the Department will have contributed savings of £1.932m to ASC and £1,600m to CSF by 2019/20. Included was drawdown of £656k PH reserves in 2015/16, distributed equally to offset costs pressures in ASC and CSF.

2020/21

Based on the letter from the Chief Executive of Public Health England (PHE) dated 21 December 2017, it is anticipated the grant will be replaced by an allocation from retained business rates. Public Health England is working with the Department of Health to agree the assurance arrangements before the grant comes to an end and expect to confirm those measures by spring 2019. Should this not be possible, the Government may wish to consider continuing with the ring-fenced grant beyond 2020. In addition, work on an updated ACRA formula to describe and compare PH need is under way. Pending an outcome on the Government Spending Review and Green Paper, PH is currently estimating that it would continue to require at least £10m in order to meet its key obligations. This would exclude any savings targets.

2021/22

2022/23

Public Health

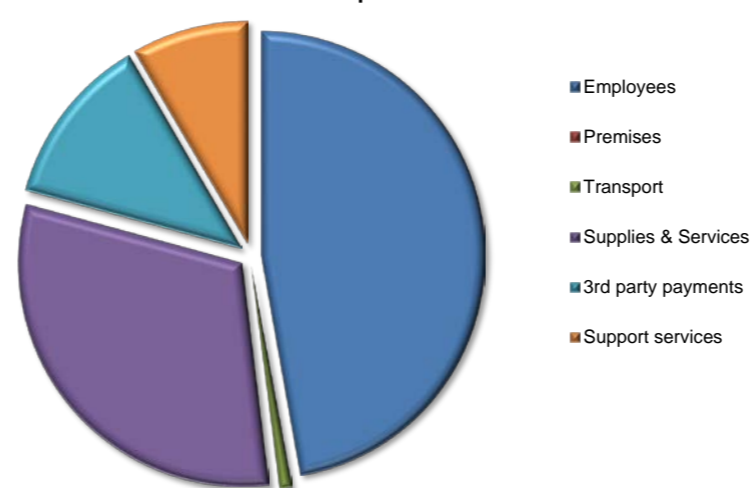
PROJECT DESCRIPTION		MAJOR PROJECTS BENEFITS			Risk			
					Likelihood	Impact	Score	
Project 1		Project Title:	East Merton Model of Health and Wellbeing and Wilson Development			Improved effectiveness		
Start date	2018-19	Project Details:	<u>EAST MERTON MODEL OF HEALTH AND WELLBEING AND WILSON DEVELOPMENT</u> Public Health, Merton CCG and the East Merton GP Locality are working in partnership to develop and deliver the East Merton Model of Health and Wellbeing and Wilson health and community campus. This is a major programme aimed at co-creating a model for East Merton, incorporating design of health and community campus, community engagement, better use of wider public sector estate. the focus will be on the wellbeing offer and development of a social enterprise to enable this and build social investment funding models.			3	3	9
End date	2021-22							
Project 2		Project Title:	Embed Health and Wellbeing in all policies			Improved effectiveness		
Start date	2018-19	Project Details:	<u>HEALTH IN ALL POLICIES AND HEALTH AND WELLBEING STRATEGY</u> Embed "health in all policies" (HIAP) as a relevant outcome across the whole council business (and partners) incl establish health as marker for good government and as investment rather than expenditure; This will be embedded in the development of the Health and Wellbeing Strategy 2019-2024 and further development of the Health and Wellbeing Board. Priorities for HIAP include healthy workplace; child healthy weight (see Project 7) and air pollution.			2	2	4
End date	2020-21							
Project 3		Project Title:	Sexual Health Strategy and Integrated sexual health services			Improved effectiveness		
Start date	2018-19	Project Details:	<u>PH SERVICE DEVELOPMENT AND PROCUREMENT</u> Development and implementation of a Sexual health framework/strategy that takes a lifecycle approach and focuses on priorities for prevention; further developing integrated sexual health services; and support for high risk and vulnerable groups; strategic approach to managing demand, working collaboratively with London Sexual Health Programme.			3	3	9
End date	2021-22							
Project 4		Project Title:	Whole System Approaches to Diabetes			Improved effectiveness		
Start date	2018-19	Project Details:	<u>PH SERVICE DEVELOPMENT AND PROCUREMENT</u> WHOLE SYSTEM APPROACH TO DIABETES:Following a 'Diabetes Truth' programme, the Health and Wellbeing Board have agreed to develop a whole systems Diabetes Action Plan. This will be an exemplar for future work, and identify ideas and ways to tackle diabetes across partners. The Action Plan will have four key themes (diagnosis and treatment, prevention (population), prevention (personal) and holistic care. This will align with a whole systems approach to childhood obesity (Project 7):			2	2	4
End date	2020-21							
Project 5		Project Title:	Personal Prevention Offer for Adults			Improved effectiveness		
Start date	2018-19	Project Details:	<u>Personal Prevention offer and collaborative commissioning for adults:</u> a strategic approach to personal prevention offer will be developed with partners including adult social care and Merton CCG.This will focus on 5 themes: knowledge and information; connecting and improving access to services; embedding prevention in pathways; healthy workplaces and staff; exploring new financial models e.g. social impact bonds. Social prescribing is part of the programme and a major component in the CCG's Primary Care Strategy and the development of the model of multi-speciality community provider, which will strengthen relationships between primary care and the voluntary and community sector and services.			2	2	4
End date	2020-21							
Project 6		Project Title:	Development of integrated Children's Services			Improved effectiveness		
Start date	2016-17	Project Details:	<u>COLLABORATIVE COMMISSIONING ARRANGEMENTS (CYP)</u> Lead transformation of Community health services for children and young people: undertake a review of community health services, develop vision and development of closer integration of services to provide seamless care pathways for children and young people; develop plans for procurement of integrated services from 2021/22; continue to develop a CYP integrated commissioning function between PH, CSF and MCCG, towards fully integrated commissioning by 2021/22.			2	3	6
End date	2020-21							
Project 7		Project Title:	Whole System Approaches to Childhood obesity			Improved effectiveness		
Start date	2018-19	Project Details:	Childhood obesity is a complex problem and the evidence is clear that a preventative, whole systems approach to tackling obesity is needed. The implementation of a refreshed Child Healthy Weight Action Plan (CHWAP) 2019/22, will build on implementation of the first CHWAP; extensive community engagement (Great Weight Debate Merton) and national evidence. The CHWAP has 4 key themes (1) Communication, leadership and engagement, (2) Food environment and increasing the availability of healthy food, (3) Physical environment and physical activity promoting environments, (4) Early years, school-age settings and pathways . This aligns with the WHOLE SYSTEMS APPROACH TO DIABETES (Project 4).			2	2	4
End date	2021-22							
Project 8		Project Title:				Select one major benefit		
Start date		Project Details:						0
End date								
Project 9		Project Title:				Select one major benefit		
Start date		Project Details:						0
End date								
Project 10		Project Title:				Select one major benefit		
Start date		Project Details:						0
End date								

Corporate Services

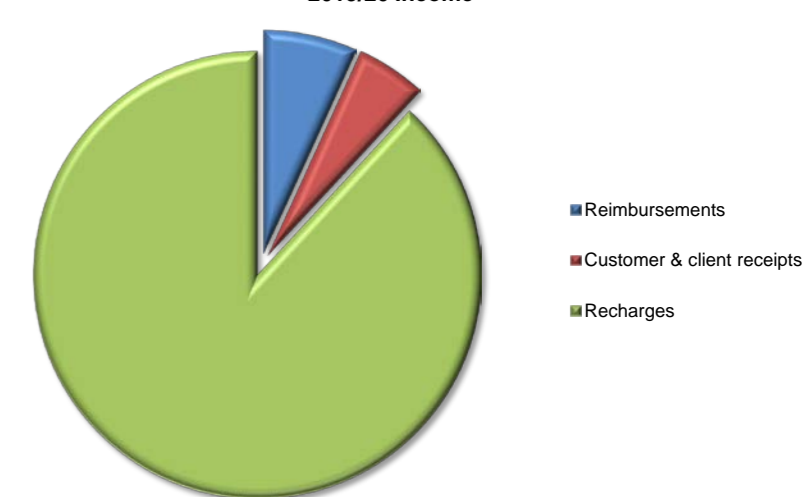
Corporate Governance		Planning Assumptions						The Corporate strategies your service contributes to				
Cllr Mark Allison: Deputy Leader & Cabinet Member for Finance		Anticipated demand	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23				
Enter a brief description of your main activities and objectives below		Residents	207,410	209,421	210,452	212,658	214,740		Information Governance Policy			
Corporate Governance is made up of 5 core services:		Officers	↓						Equality Strategy			
Information Governance - ensuring organisational compliance with Data Protection Act /GDPR and the Transparency agenda, including maintaining the Publication Scheme; managing complaints, MP and member enquiries, FOI/EIR requests; provides the Local Land Charges function. GDPR - General Data Protection Regulation		Councillors	60	60	60	60			Risk Management Strategy			
Democracy Services - maintains independent scrutiny function, support to Councillors and Mayor & ensures council has robust decision making arrangements.		Elections	1	1		1		2	Procurement Strategy			
Electoral Services - Electoral Services carries out the statutory maintenance of the register of electors, administers elections and referendums and undertakes the work needed on boundary and electoral reviews. The move to a system of individual electoral registration has provided new challenges to the way the UK's electoral offices work and has resulted in a significantly increased work load.		Anticipated non financial resources	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23				
Internal Audit and Investigations- Merton has joined the audit and fraud partnership with its neighbouring authorities. Internal Audit covered by SWLAP (South West London Audit Partnership) and Investigations covered by SWLFP (South West London Fraud Partnership) covering Merton, Kingston, Richmond, Sutton and Wandsworth). The service provides independent, objective appraisal of risk management, governance & internal control processes and fraud risks including planned & unplanned audits. Investigates allegations of poor control and conflicts of interest. Coordinates the Annual Governance Statement. Reviews and updates anti fraud policies. Reports poor practice/weak controls to members. Investigation of external and internal fraud.		Staff (FTE)	28.9	28.9	28.9	28.9						
There is also the shared Legal service with the London Borough of Richmond, Wandsworth, Sutton and Kingston; this service has its own Service Plan.		Staff - Election	800	800	0	500	0	1600				
		Staff - Canvas	150	150	150	150	50	50				
		Performance indicator (LBC2020 indicators highlighted in purple)	Actual Performance (A) Performance Target (T) Proposed Targets (P)				Polarity	Reporting cycle	Indicator type	Main impact if indicator not met		
			2017/18(A)	2018/19(T)	2019/20(P)	2020/21(P)	2021/22(P)	2022/23(P)				
		Audit actions implemented by agreed date	91.1%	90%	90%	90%			High	Quarterly	Business critical	Increased fraud
		Audits completed against plan	98.11%	90%	90%	90%			High	Quarterly	Business critical	Increased fraud
		Complaints - dealt with in time	67.96%	85%	90%	90%			High	Monthly	Perception	Reduced customer service
		Complaints progressed to stage 2	5%	9%	9%	9%			Low	Quarterly	Perception	Reduced customer service
		FOI requests - dealt with in time	75.95%	85%	90%	90%			High	Monthly	Perception	Reduced customer service
		Number of supplementary agendas issued	19	18	16	14			Low	Quarterly	Perception	Government intervention
		% of councillors who agree scrutiny function effective	89	75	80	80			High	Annual	Perception	Poor decision making
		Ombudsman complaints answered in time	66.28%	90%	90%	90%			High	Monthly	Quality	Rework
		% of FOI refusal notices not upheld at review	0%	4%	4%	4%			Low	Quarterly	Perception	Government intervention
		No. of new electors added to the register of electors	26,265	25,000	25,000	25,000			High	Annual	Perception	Reduced customer service

DEPARTMENTAL BUDGET AND RESOURCES								
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Expenditure	3,441	3,529	3,143	117	3,171	3,195	3,220	3,244
Employees	1,413	1,668	1,443	(15)	1,497	1,497	1,497	1,497
Premises	0	15	0	17	0	0	0	0
Transport	28	12	27	(16)	27	28	28	29
Supplies & Services	1,091	958	1,021	124	989	1,006	1,023	1,041
3rd party payments	461	420	386	6	392	399	405	412
Support services	448	456	266	0	266	266	266	266
Depreciation								
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Income	2,179	2,398	1,918	(252)	1,918	1,918	1,918	1,918
Government grants	58	74	0	0	0	0	0	0
Reimbursements	105	253	130	(57)	130	130	130	130
Customer & client receipts	232	370	98	(196)	98	98	98	98
Recharges	1,784	1,701	1,690		1,690	1,690	1,690	1,690
Reserves								
Capital Funded								
Council Funded Net Budget	1,261	1,131	1,225	(135)	1,253	1,278	1,302	1,327
Capital Budget £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
		0	0	0	0	0	0	0

2019/20 Expenditure



2019/20 Income



Summary of major budget etc. changes

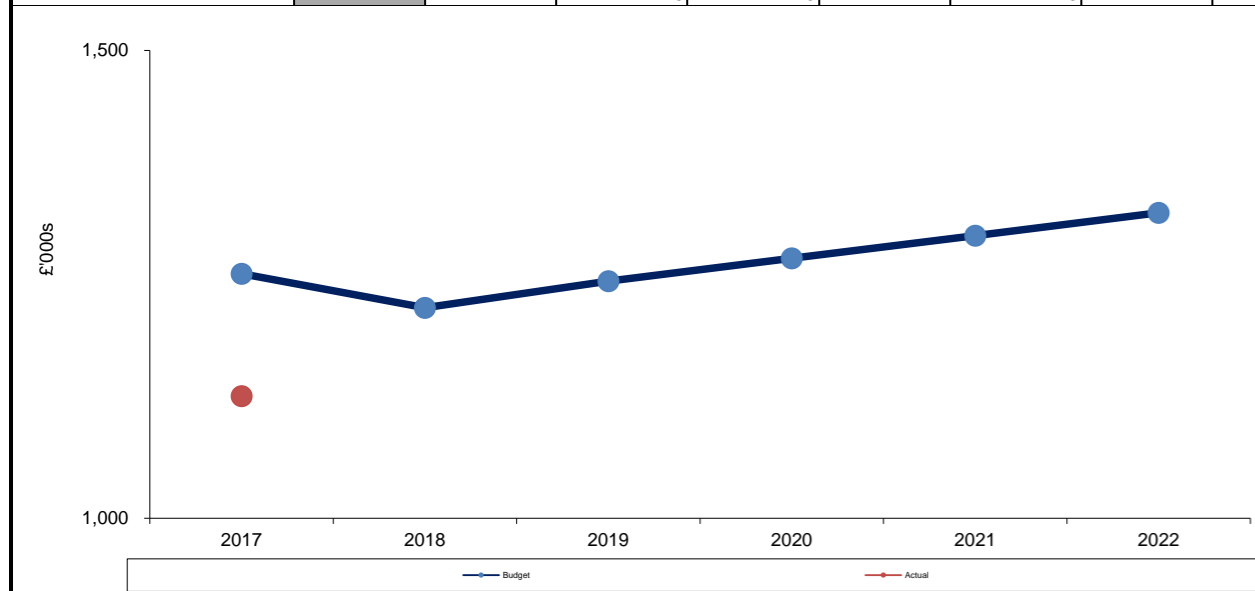
2019/20

2018-19 CS13 Audit and investigations - Reduction in service £50k

2020/21

2021/22

2022/23



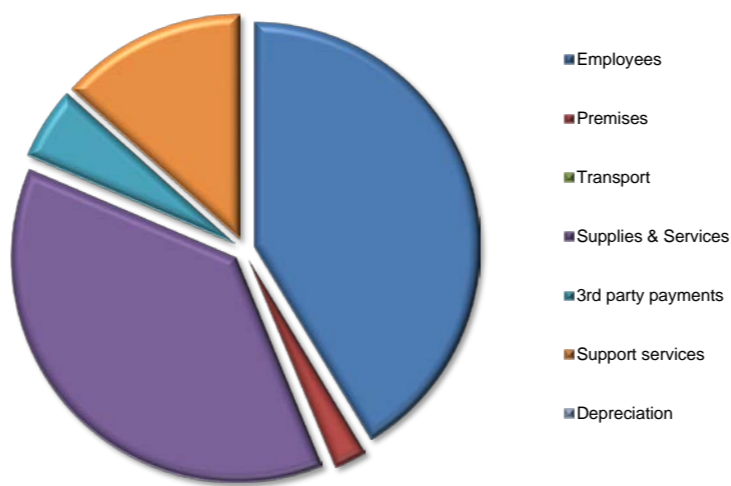
Corporate Governance

PROJECT DESCRIPTION		MAJOR PROJECTS BENEFITS			Risk		
					Likelihood	Impact	Score
Project 1		Project Title:	Support new intake of councillors		Improved customer experience		
Start date	2017-18	Project Details:	To prepare for and then support new intake of councillors following May 2018 council elections and support to councillors who are in new roles (Cabinet, Mayor, Committee chairs). To ensure a smooth introduction of any consequent changes to decision making structure or process. Project plan to prepare for May 2018 to be drafted October 2017.		2	2	4
End date	2021-22						
Project 2		Project Title:	Efficiency programme in Mayor's Office		Improved efficiency (savings)		
Start date	2015-16	Project Details:	To monitor and review the impact of the Service Level Agreement in the Mayor's Office, particularly in relation to spend on drivers, and negotiate further changes as required to achieve manageable levels of activity and further reduction in spend. To maintain reduction in spend on petrol due to SLA and purchase of hybrid car. To promote online event booking to save staff time and provide improved service for customers.		3	1	3
End date	2019-20						
Project 3		Project Title:	Scrutiny Improvement Programme		Improved customer experience		
Start date	2018-19	Project Details:	To continue to improve effectiveness and impact of the scrutiny function and to engage new councillors in scrutiny activities. Programme comprises objectives and actions agreed by the Overview and Scrutiny Commission each year when it receives the Annual Member Survey. Increase public involvement and use of external expert witnesses.		2	1	2
End date	2021-22						
Project 4		Project Title:	Creation of centralised Local Land Charges Register		Improved customer experience		
Start date	2014-15	Project Details:	Review of LLC service delivery; dependent on national directive		3	1	3
End date	2019-20						
Project 5		Project Title:	2018/22 Administer statutory elections, referendums and ballots.		Risk reduction and compliance		
Start date	2018-19	Project Details:	Administer full borough council elections in 2022, Mayor of London and London Assembly elections in 2020, and the next parliamentary General Election (currently scheduled for 2022) together with any other referendums and ballots that may be required.		3	3	9
End date	2021-22						
Project 6		Project Title:	Work with Local Government Boundary Commission on planned Electoral Review of Merton - implementation for 2022 Council elections		Infrastructure renewal		
Start date	2019-20	Project Details:	Council size proposal due March 2019, warding patterns proposal due July 2019. Draft recommendations published September 2019. Final recommendations published February 2020.		3	2	6
End date	2020-21						
Project 7		Project Title:	Data Protection Act (DPA18) / General Data Protection Regulation (GDPR)		Risk reduction and compliance		
Start date	2017-18	Project Details:	To implement action plan targets to introduce new requirements and embed principles as business as usual.		4	3	12
End date	2019-20						
Project 8		Project Title:	To reduce printing costs		Improved efficiency (savings)		
Start date	2019-20	Project Details:	Roll out Modern Gov App to encourage councillors and senior officers to go paperless at Committee meetings. Identify champions. Cascade from CMT.		3	1	3
End date	2020-21						
Project 9		Project Title:			Select one major benefit		
Start date		Project Details:					0
End date							
Project 10		Project Title:			Select one major benefit		
Start date		Project Details:					0
End date							

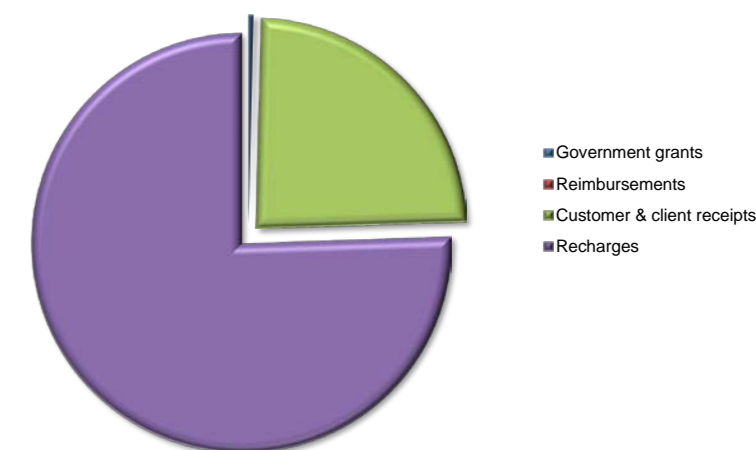
Customers, Policy & Improvement (previously called Business Improvement)	Planning Assumptions						The Corporate strategies your service contributes to			
	Anticipated demand	2017/18	2018/19	2019/20	2020/21	2021/22		2022/23		
<p>Customer Services will:</p> <ul style="list-style-type: none"> Through Merton Link provide a first point of contact for most council customers and visitors both face-to-face and by the telephone. Deliver a Translations service and discharge the Concessionary Travel Scheme. Discharge the council's responsibilities for the registration of births, deaths, marriages and civil partnerships, citizenship ceremonies and nationality services. Act as a client for the multi-borough coroners service. <p>Continuous Improvement and Corporate Change will:</p> <ul style="list-style-type: none"> Support DMTs to embed a culture of continuous business improvement within the organisation through the provision of tools, techniques, advice and support – including but not limited to Lean. Ensure change is effectively planned for and managed across the organisation, embedding change management principles and methodologies. Drive and facilitate the Targeting Operating Models (TOM) refresh process Quality assure the Improvement Portfolio on behalf of Merton Improvement Board (MIB), DMTs and CMT. <p>The Policy, Strategy and Partnerships team supports the Council's approach to partnership working, including the Merton Partnership, and its annual Conference. It provides advice on equalities and the Council's approach to Equality Assessments. It has the lead role on the Council's Prevent duties and is the key liaison point. It manages the relationship with the voluntary sector, leading on the Voluntary Sector and Volunteering Strategy and the Merton Compact</p> <p>The Communications team is responsible for promoting and protecting the reputation of the council by communicating with Merton's key stakeholders using a range of channels including media relations, My Merton, social media, campaign marketing as well as corporate events. It also oversees Consultation and Engagement corporately.</p>	Telephone callers	450000	400000	375000	350000	350000	300000	Customer Contact Strategy		
	Continuous improvement & Corporate Change (days)	880	880	660	440	440	440	Communications Strategy		
	Policy, Strategy & Partnerships	770	770	770	550	550	550	Information Management Strategy		
	Comms & Engagement	1120	880	880	880	880	880	Voluntary Sector Strategy Equality and Community Cohesion Strategy		
	Anticipated non financial resources	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23	Community Plan		
	Staff - CI & CC (FTE & fixed term)	4.8	4.8	3.0	2.0	2.0	2	Social Media Strategy		
	Staff - Policy, Strategy & Partnerships	4.8	4.8	5.8	4.8	4.8	4.8			
	Staff - Customer Services	TBC	TBC	TBC	TBC	TBC	TBC			
	Comms & Engagement	7.0	5.5	5.5	5.5	5.5	5.5			
	Performance indicator (LBC2020 indicators highlighted in purple)	Actual Performance (A) Performance Target (P) Proposed Target (T)					Polarity	Reporting cycle	Indicator type	Main impact if indicator not met
	2017/18(A)	2018/19(T)	2019/20(P)	2020/21(P)	2021/22(P)	2022/23(P)				
% positive and neutral coverage tone	87.58%	92%	92%	92%	92%	92%	High	Monthly	Perception	Reputational risk
No. of new volunteers recruited	618	350	350	350	350	350	High	Quarterly	Outcome	Reduced customer service
% who agree people from different backgrounds get on (ARS)	N/A	90	90	90	90	90	High	Annual	Perception	Reputational risk
% agree Merton is making the area a better place to live (ARS)	N/A	76	N/A	76	N/A	N/A	High	Annual	Perception	Reputational risk
% of residents who feel informed about council services (ARS)	N/A	81	N/A	81	N/A	N/A	High	Annual	Perception	Reputational risk
% of residents agree the council involves them in making decisions (ARS)	N/A	62	N/A	62	N/A	N/A	High	Annual	Perception	Reputational risk
% of on-line transactions	72.59%	63%	TBC	TBC	TBC	TBC	High	Monthly	Business critical	Reduced customer service
First contact resolution	78.65%	75%	75%	75%	75%	75%	High	Monthly	Perception	Reduced customer service
Event income (Marriages, Civil Partnerships etc.)	554,520	440,000	450,000	460,000	460,000	460,000	High	Monthly	Business critical	Loss of income

DEPARTMENTAL BUDGET AND RESOURCES								
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Expenditure	5,667	5,766	5,203	-59	5,213	5,204	5,245	5,286
Employees	2,546	2,539	2,098	83	2,157	2,107	2,107	2,107
Premises	66	140	120	(22)	122	124	126	128
Transport	5	1	3	(2)	3	3	3	3
Supplies & Services	1,980	2,252	2,017	6	1,961	1,996	2,030	2,064
3rd party payments	314	24	268	(123)	272	277	281	286
Support services	755	810	697	-	697	697	697	697
Depreciation								
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Income	4,555	4,738	4,729	28	4,744	4,744	4,744	4,744
Government grants	66	51	16	(50)	16	16	16	16
Reimbursements	3	7	3	0	3	3	3	3
Customer & client receipts	1,117	1,128	1,127	78	1,142	1,142	1,142	1,142
Recharges	3,369	3,552	3,583	0	3,583	3,583	3,583	3,583
Reserves					0			
Capital Funded								
Council Funded Net Budget	1,112	1,028	474	(30)	468	459	500	541
Capital Budget £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Customer Contact Programme		157	1,999	0	250	0	1,900	0
	0	157	1,999	0	250	0	1,900	0

2019/20 Expenditure

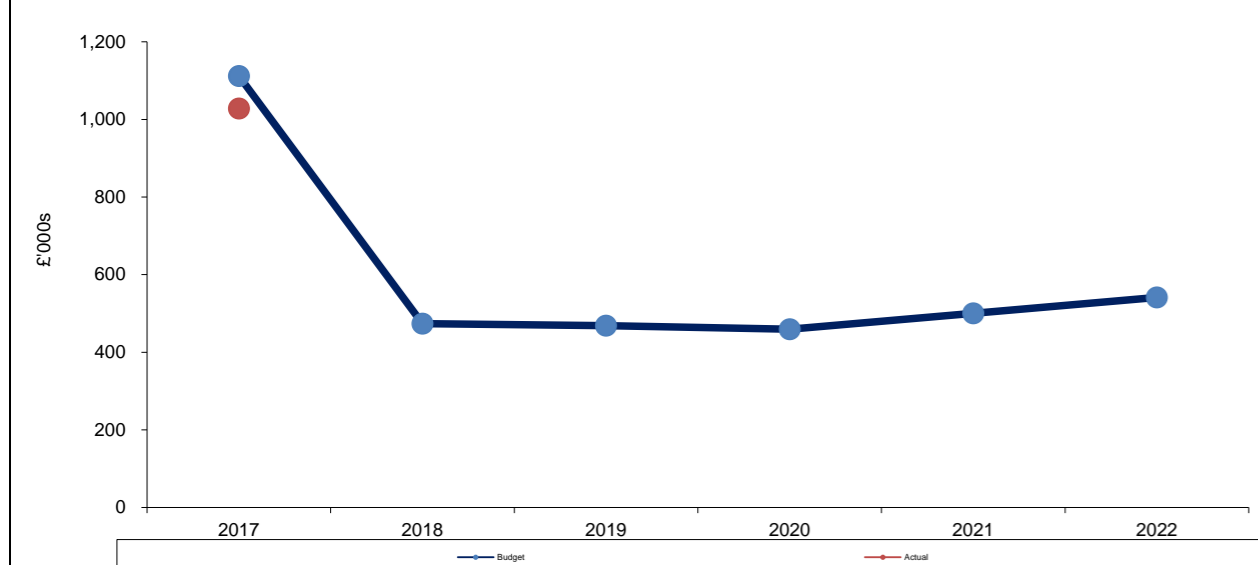


2019/20 Income



Summary of major budget etc. changes

	2019/20
	CS2016-05 Increase income through translations £15k
	CS2016-07 Cash Collection Reduction £30k
	2018-19 CS09 Reduction/rationalisation in running costs budgets across multiple budgets £35k
	CS2016-06 Merton Link - efficiency savings £30k
	2020/21
	2018-19 CS15 Policy & Partnerships -reduce headcount £50k
	2021/22
	2022/23



DETAILS OF MAJOR PROJECTS (INCLUDING PROCUREMENT) - MAXIMUM OF 10 OVER THE FOUR YEAR PERIOD
Customers, Policy & Improvement (previously called Business Improvement)

PROJECT DESCRIPTION		MAJOR PROJECT BENEFIT			Risk		
					Likelihood	Impact	Score
Project 1		Project Title:	Customer Contact project		Improved customer experience		
Start date	2018-9	Project Details:	Build on the deliverables of the CC Programme to deliver enhancements and improvements to increase automated service requests via the website in support of a refreshed Customer Contact Strategy.		5	2	10
End date	2019-20						
Project 2		Project Title:	Redesign of Merton Link		Improved customer experience		
Start date	2018-9	Project Details:	Implement the redesign of Merton Link to improve the customer experience and increase self service.		5	2	10
End date	2019-20						
Project 3		Project Title:	Strategic Partner Programme		Improved effectiveness		
Start date	2017-18	Project Details:	Selecting new strategic partners from the voluntary sector to provide Information, Advice and Guidance plus support and advice to the sector as a whole. This will involve co-producing specifications with the voluntary sector and statutory partners. The new programme will start in April 2019.		3	2	6
End date	2018-19						
Project 4		Project Title:			Select one major benefit		
Start date		Project Details:					0
End date							
Project 5		Project Title:			Select one major benefit		
Start date		Project Details:					0
End date							
Project 6		Project Title:			Select one major benefit		
Start date		Project Details:					0
End date							
Project 7		Project Title:			Select one major benefit		
Start date		Project Details:					0
End date							
Project 8		Project Title:			Select one major benefit		
Start date		Project Details:					0
End date							
Project 9		Project Title:			Select one major benefit		
Start date		Project Details:					0
End date							
Project 10		Project Title:			Select one major benefit		
Start date		Project Details:					0
End date							

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Human Resources

PROJECT DESCRIPTION		MAJOR PROJECT BENEFIT			Risk			
					Likelihood	Impact	Score	
Project 1		Project Title:	Workforce Strategy			Improved staff skills and development		
Start date	2018-19	Project Details:	Deliver the 5 key strands of the Council's workforce strategy to support the wider TOM programme for organisational change			3	3	9
End date	2020-21							
Project 2		Project Title:	Establishment and workforce			Improved staff skills and development		
Start date	2017-18	Project Details:	Embed systems to maintain, monitor and control an accurate establishment and vacancy position across the Council for both permanent and interim staff			3	4	12
End date	2019-20							
Project 3		Project Title:	Apprenticeships			Improved effectiveness		
Start date	2017-18	Project Details:	Processes in place to increase the number of apprentices in schools and the organisation. Maximise the use of the Levy			3	3	9
End date	2019-20							
Project 4		Project Title:	Review and retender key HR contracts			Improved effectiveness		
Start date	2017-18	Project Details:	Commission Occupational Health, Agency contract, Schools SLAs and Recruitment system			3	3	9
End date	2019-20							
Project 5		Project Title:	Member Development			Improved effectiveness		
Start date	2017-18	Project Details:	Ensure induction and development activities are in place to enable them to undertake their role.			2	2	4
End date	2019-20							
Project 6		Project Title:				Select one major benefit		
Start date		Project Details:						0
End date								
Project 7		Project Title:				Select one major benefit		
Start date		Project Details:						0
End date								
Project 8		Project Title:				Select one major benefit		
Start date		Project Details:						0
End date								
Project 9		Project Title:				Select one major benefit		
Start date		Project Details:						0
End date								
Project 10		Project Title:				Select one major benefit		
Start date		Project Details:						0
End date								

Page 5 of 5

Infrastructure and Technology (previously Infrastructure & Transactions)
Cllr Mark Allison: Deputy Leader & Cabinet Member for Finance
Enter a brief description of your main activities and objectives below

Infrastructure & Technology Division (I&T) is a support service made up of seven functions:

IT Service Delivery - IT(SD) supports the councils operations by providing IT infrastructure, desktop equipment and associated software. Fixed and mobile telecommunications, Service Desk facilities, IT Disaster Recovery and Business Continuity arrangements together with IT governance and data security.

IT Business Systems - IT (BS) will work with the organisation to establish and deliver the IT strategy and associated implementation plan, ensure a coordinated and planned approach for the implementation and support of technology whilst complying with the agreed corporate IT strategy, standards to support business efficiency and improve service delivery.

Facilities Management - FM provides the infrastructure to deliver services through accommodation, building repairs and maintenance for the portfolio of corporate buildings, energy management and conservation, cleaning, catering, print and post room services, security and other associated hard and soft FM services.

Transactional Services - Incorporates Accounts Payable, Accounts Receivable, Carefirst Administration and Vendor Maintenance. Ensuring prompt and accurate payment for all goods and services provided to LBM. Raise and issue invoices promptly and accurately to maximise revenue received. Ensuring that Vendor Maintenance database is controlled, accurate and cleansed, Providing training and support for all users of the systems required for payments or invoicing

Safety Services - Provides Health and Safety, Emergency Planning and Business Continuity services across the Council as required by duties imposed under the Health and Safety At Work Etc. Act 1974, The Management of Health and Safety At Work Regulations 1999, The Civil Contingencies Act 2004 and all sister regulations.

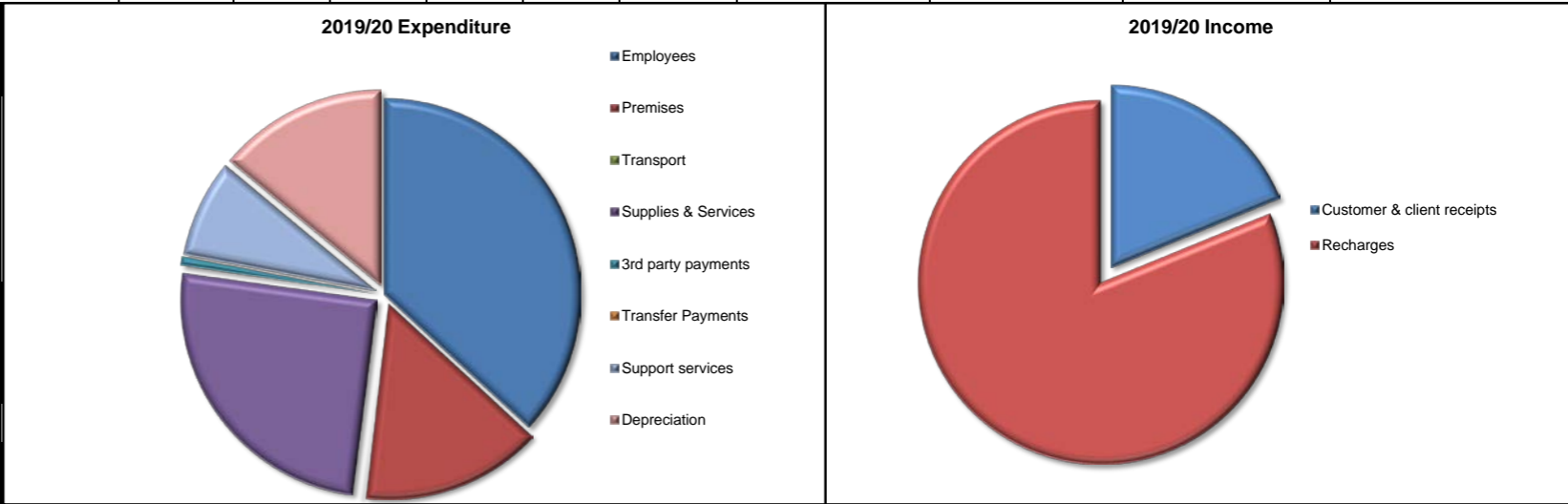
Client Financial Affairs - Act as court appointed deputies for vulnerable clients who do not have the capacity to make their own decisions or manage their own personal financial affairs. These decisions are for issues involving the person's property, financial affairs and health and welfare working in accordance with the statutory principles set out in the Mental Capacity Act Code of Practice to ensure that they act in the best interests of the person who lacks capacity.

Commercial Services - Are the strategic centre of excellence for procurement and category management, guidance, training and advice including ownership of the Council's Procurement Strategy, involvement in key tender processes, identification of savings opportunities and commercial benefits, compliance with EU and UK procurement legislation, benchmarking and best practice and ownership of the contracts register.

Anticipated demand	Planning Assumptions						The Corporate strategies your service contributes to			
	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23				
Repairs & Maintenance of Corporate Buildings (Revenue)	740,000	700,00	600,00	500,00	500,000	500,000	Civic Centre Accommodation Strategy			
IT Service Calls	28,500	27,800	25,500	25,000	25,000	25,000	IT Strategy and Implementation Plan			
Health & Safety Statutory Inspections	100	100	100	100	100	100	Risk Management Strategy			
Transactions requested by departments	85,000	80,000	80,000	80,000	80,000	80,000	Local Plan			
Number of Client Affairs cases being managed	250	250	250	250	250	250	Procurement Strategy			
Procurement Support (Number of projects)	50	42	80	80	80	80	Workforce Strategy			
Core IT Systems support and management (days)	5720	5720	5720	5720	5720	5720	IT Strategy and Implementation Plan			
Anticipated non financial resources	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23				
FM (FTE)	32.9	35.5	33.5	33.5	30.5	30.5				
Transactional Services (FTE)	13.3	13.3	10.3	10.3	10.3	10.3				
IT Service Delivery (FTE)	29	27	27	27	27	27				
Safety Services (FTE)	5	4	4	4	4	4				
Client Financial Affairs (FTE)	7	7	7	7	7	7				
Commercial Services & Procurement (FTE)	5	9	9	9	7	7				
Management (FTE)	2	2	2	2	2	2				
Business Systems (FTE)	28.7	28.7	26.2	26.2	26.2	26.2				
Performance indicator (LBC2020 indicators highlighted in purple)	Actual Performance Target (A) Performance Target (T) Proposed Target (P)						Polarity	Reporting cycle	Indicator type	Main impact if indicator not met
	2017/18(A)	2018/19(T)	2019/20(P)	2020/21(P)	2021/22(P)	2021/22(P)				
Customer Satisfaction - IT incident resolution	96.33%	90%	90%	90%	90%	95%	High	Monthly	Outcome	Reduced customer service
First time fix rate for IT Service Desk	79.57%	75%	75%	75%	75%	80%	High	Monthly	Outcome	Reduced service delivery
Systems availability	99.77%	99%	99%	99%	99%	99%	High	Monthly	Business critical	Reduced service delivery
Health and Safety workplace inspections completed on time	51	50	50	50	50	50	High	Quarterly	Outcome	Breach statutory duty
Income - External Fees	320,282	320,000	320,000	320,000	320,000	320,000	High	Quarterly	Output	Loss of income
Invoices paid within 30 days from invoice date	91%	95%	95%	95%	95%	95%	High	Monthly	Business critical	Reduced service delivery
Invoices paid within 30 days of receipt by LBM	88%	95%	95%	95%	95%	95%	High	Monthly	Business critical	Reduced service delivery
Number of staff working from Civic Centre	1,200	1,200	1,300	1,400	1,400	1,400	High	Quarterly	Outcome	Underused resource
Repairs & Maintenance ratio of Reactive to Planned	34/66	30/70	30/70	30/70	30/70	30/70	High	Annual	Outcome	Increased costs
New referrals processed within 21 days	100%	94%	95%	95%	95%	95%	High	Monthly	Outcome	Reduced customer service
Client Post Office voucher acc't balance falls below £2.5K	0	0	0	0	0	0	Low	Monthly	Outcome	Customer hardship
% of influencible spend published on contracts register	50%	85%	85%	95%	99%	99%	High	Quarterly	Outcome	Reputational risk
% of suppliers accounting for the 20% of influencible spend	91%	65%	80%	75%	70%	70%	Low	Annual	Output	Increased costs
CO2 emissions from corporate buildings (tonnes)	5849	7434.32	7128.8	6914.94	6800	6800	Low	Annual	Output	Environmental issues

DEPARTMENTAL BUDGET AND RESOURCES

Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Expenditure	14,721	15,572	14,061	(620)	14,033	14,074	14,189	14,303
Employees	5,386	5,966	5,097	118	5,174	5,100	5,100	5,100
Premises	2,763	3,106	2,143	64	2,099	2,135	2,172	2,208
Transport	27	18	27	(6)	28	28	29	29
Supplies & Services	3,274	3,259	3,596	(699)	3,533	3,609	3,685	3,761
3rd party payments	112	0	98	(98)	100	102	103	105
Transfer Payments	9	1	9	0	9	9	9	9
Support services	1,191	1,262	1,130	0	1,130	1,130	1,130	1,130
Depreciation	1,960	1,960	1,961	0	1,961	1,961	1,961	1,961
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Income	14,341	14,801	14,287	392	14,497	14,497	14,497	14,497
Government grants	0	0	0	0	0	0	0	0
Reimbursements	81	183	81	(61)	81	81	81	81
Customer & client receipts	2,481	2,886	2,501	453	2,711	2,711	2,711	2,711
Recharges	11,780	11,732	11,705	0	11,705	11,705	11,705	11,705
Reserves								
Capital Funded								
Council Funded Net Budget	380	772	(225)	(229)	(464)	(423)	(308)	(193)
Capital Budget £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Capital Building Works		430	801	0	1,150	650	650	650
Invest to Save		1,398	2,038	0	300	300	300	300
Water/Fire Safety Works		211	350	0	0	0	0	0
IT Systems projects		306	386	9	1,055	275	50	340
Social Care IT System		402	150	0	400	0	0	0
IT Modernisation		1,034	1,965	0	1,735	1,060	970	1,005
Multi Function Devices					600			
		3,782	5,690	9	5,240	2,285	1,970	2,295



Summary of major budget etc. changes

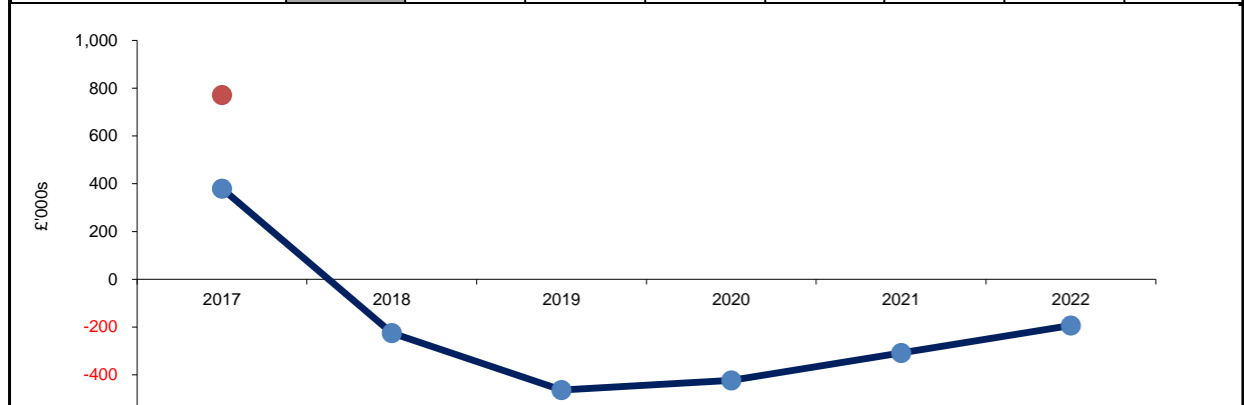
CS2016-08 Income from letting two floors vacant space in Civic Centre £190k
 CS2015-03 Restructure of Transactional Services team £50k
 CSD7 Restructure Print and Post service and delete one post £23k
 2018-19 CS01 Revenue Saving associated with current MFD contract £150k
 2018-19 CS02 Reduction in the level of building repairs and maintenance undertaken on the corporate buildings £100k
 2018-19 CS03 Adjust current Local Authority Liaison Officer (LALO) arrangements to require Assistant Directors to undertake the duties as part of their job description. £33k
 2018-19 CS04 Delete or full cost recovery of one post within FM £36k

2020/21

CS2015-03 Restructure of Transactional Services team £50k
 CSD7 Restructure Print and Post service and delete one post £24k

2021/22

2022/23



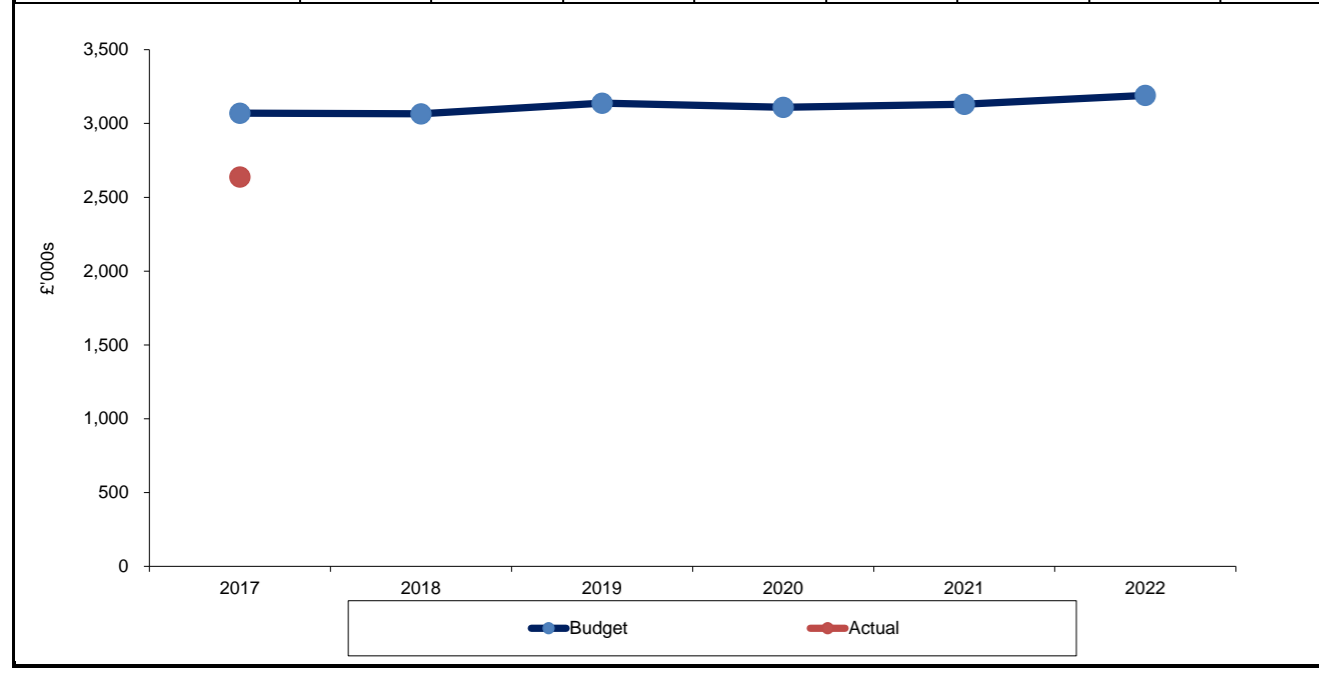
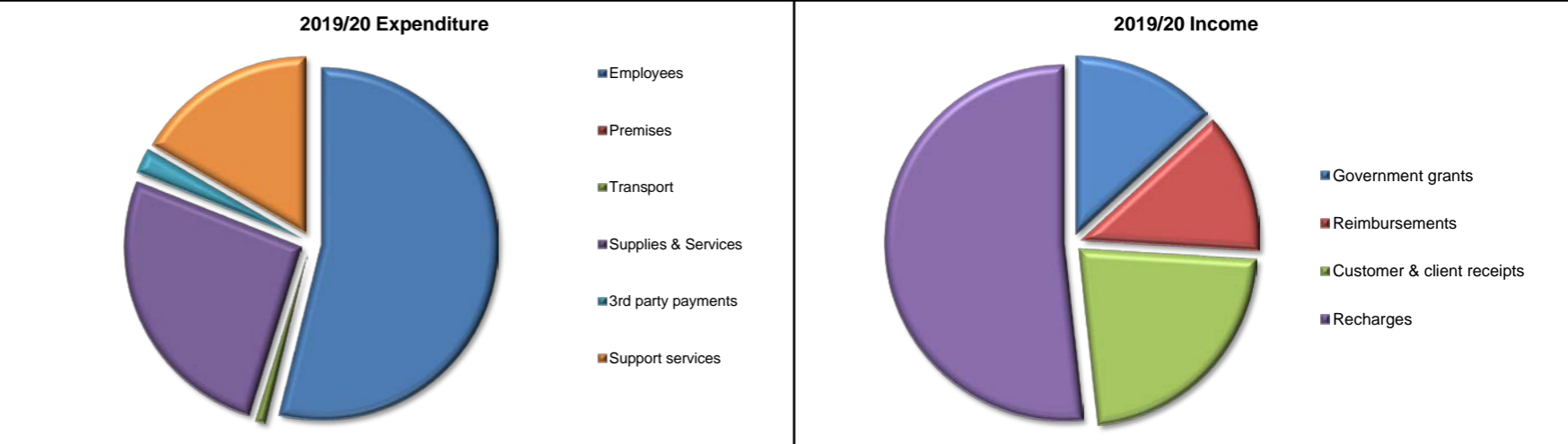
DETAILS OF MAJOR PROJECTS (INCLUDING PROCUREMENT) - MAXIMUM OF 10 OVER THE FOUR YEAR PERIOD

Infrastructure and Technology (previously Infrastructure & Transactions)

PROJECT DESCRIPTION		MAJOR PROJECT BENEFIT		Risk		
				Likelihood	Impact	Score
Project 1		Project Title:	Implementation of IT Strategy & Plan	Improved efficiency (savings)		
Start date	2018-2019	Project Details:	Implementation of corporate IT Strategy & Plan which has been developed on the basis of information derived from departmental Target Operating Models.	3	3	9
End date	2022-23					
Project 2		Project Title:	Implementation of 4P's project	Improved efficiency (savings)		
Start date	2018-19	Project Details:	Procure and implement M3LP and M3PP hosted environment to facilitate the delivery of the three borough shared Regulatory Service.	3	2	6
End date	2019-20					
Project 3		Project Title:	Upgrading of IT Disaster Recovery Arrangements	Risk reduction and compliance		
Start date	2017-18	Project Details:	Complete works to improve disaster recovery arrangements for the Councils main IT systems and minimise any potential loss of service in the event of a major incident or IT equipment failure.	2	3	6
End date	2018-19					
Project 4		Project Title:	Replacement of PABX Equipment	Risk reduction and compliance		
Start date	2017-18	Project Details:	Replace obsolete PABX and associated telephony equipment.	2	3	6
End date	2018-19					
Project 5		Project Title:	Implement New Procurement Service Delivery Model	Improved effectiveness		
Start date	2016-17	Project Details:	Implement a new "Centre led" procurement operating model and embed category management across the Council.	4	2	8
End date	2018-19					
Project 6		Project Title:	Energy "Invest to Save" Initiatives	Improved efficiency (savings)		
Start date	2017-18	Project Details:	Completion of a range of projects across the councils entire portfolio of properties which will reduce energy consumption and associated CO2 emissions and that are designed to have a maximum financial pay back of between 7 and 10 years.	3	2	6
End date	2018-19					
Project 7		Project Title:	Undertake 'Make/Buy/Share' reviews of key service provision	Improved efficiency (savings)		
Start date	2017-18	Project Details:	Review of current operational service delivery models to ensure that the Council is utilising the most cost effective and efficient means of providing services to both internal and external customers.	3	2	6
End date	2019-20					
Project 8		Project Title:	Review Departmental Business Continuity/Disaster Recovery plans	Risk reduction and compliance		
Start date	2017-18	Project Details:	Undertake a review and refresh of the Councils Business Continuity and Disaster Recovery plans and arrangements in order to ensure that they are robust and fit for purpose.	2	2	4
End date	2018-19					
Project 9		Project Title:	Upgrade to Office 365	Improved effectiveness		
Start date	2018-19	Project Details:	Complete works to upgrade from current version of Microsoft Office to Office 365 and implement cloud based services, including telephony.	4	3	12
End date	2019-20					
Project 10		Project Title:	Flexible Working (Phase 2)	Improved efficiency (savings)		
Start date	2018/19	Project Details:	Phase two of the Flexible Working will further promote the innovative use of modern IT technology, infrastructure and office accommodation in order to enable the Council to continue to deliver its services in the most efficient and cost effective manner possible.	3	2	6
End date	2020-21					

Resources	Planning Assumptions						The Corporate strategies your service contributes to				
	Anticipated demand	2017/18	2018/19	2019/20	2020/21	2021/22		2022/23			
<p>Cllr Mark Allison: Deputy Leader & Cabinet Member for Finance</p> <p>Enter a brief description of your main activities and objectives below</p> <ul style="list-style-type: none"> Accountancy - manage financial health of the council through advice & support to officers and Members, production of council's financial accounts, revenue & budget setting, profiling and reporting & monitoring. Over the next four years we will transform by improving use of technology /reviewing processes /how information is stored in our financial systems. Business planning - manage Financial Strategy & Capital Strategy/Monitoring, Financial Systems Liaison & Development, Business & Service Planning, Performance Management (PM) & Risk Management. The team facilitate multi-year planning, target resources, manage risk & integrate financial, business & performance information. Over the next four years we will improve robustness of our systems & projections, challenge services to improve their performance management to facilitate transformation, data quality and risk management. The Team is also responsible for the development and maintenance of e5 in accordance with legislation and best practice. Treasury and pensions - to manage the Council's treasury (including the day to day cashflow, banking and cash), pension and insurance funds and oversee the contract for pensions administration. Local Taxation - responsible for Council Tax & Business Rates collection and Debt Recovery. Housing Benefit - responsible for administering housing and council tax benefit schemes & identification and prevention of fraud; Bailiffs - collection of outstanding warrants in a shared service between Sutton & Merton for all areas especially council tax and parking fines. Front line service for Universal Credit - local authorities will be responsible for delivering front line services for universal credit for those claimants that cannot claim and access on-line. It is anticipated that this new service will be delivered towards the end of this service plan period but details are vague due to the uncertainty of the roll-out of the scheme and the continual deferral from central government. It is also unclear how the roll out of Universal Credit will impact on the Housing Benefit caseload and workload 	Revenue/Capital Budget Managers supported	136/23	136/23	136/23	136/23	136/23	Capital Strategy				
	Budget, Service, Performance & Risk Monitoring Reports	10	10	10	10	10	Medium term Financial Strategy				
	Benefit/Council Tax support claimants	14,500	14,000	14,000	13,000	13,000	Procurement Strategy				
	Telephone callers	450,000	400,000	375,000	350,000	350,000	Risk Management Strategy				
	Face to face customers	80,000	70,000	65,000	60,000	55,000	Treasury Management Strategy				
	Council tax properties	84,000	85,000	85,500	86,000	86,500					
	Anticipated non financial resources	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23				
	Staff (FTE)	193.6	190.6	185.6	185.6	185.6					
	Staff (Trainees)	2	1	1	1	1					
	Performance indicator (LBC2020 indicators highlighted in purple)	Actual Performance (A) Performance Target (T) Proposed Target (P)						Polarity	Reporting cycle	Indicator type	Main impact if indicator not met
		2017/18(A)	2018/19(T)	2019/20(P)	2020/21(P)	2021/22(P)	2022/23(P)				
	Accuracy of P10 Revenue Forecast (compared to outturn)	91%	90%	90%	90%	90%		High	Annual	Outcome	Poor decision making
	Accuracy of P8 Capital Forecast	82%	90%	90%	90%	90%		High	Annual	Outcome	Poor decision making
	Number of Adjustments to Draft Accounts	3	0	0	0	0%		Low	Annual	Business critical	Reputational Risk
	Action plans in place for 'red' risks	100%	90%	90%	90%	90%		High	Quarterly	Outcome	Poor decision making
% of Loans Paid on Time	94.56%	100%	100%	100%	100%		High	Quarterly	Business critical	Reputational risk	
% of Claims Responded to within 5 Working Days	77%	95%	96%	96%	96%		High	Quarterly	Outcome	Reduced customer service	
Delivery against current year MTFs savings target	69.48%	100%	100%	100%	100%		High	Quarterly	Business critical	Poor decision making	
% of Merton Bailiff files paid in full (exc parking & misc debt)	50.78%	52%	52%	52%	52%		High	Monthly	Outcome	Loss of income	
Business Rates collected	98.79%	97.50%	97.50%	97.50%	97.50%		High	Monthly	Business critical	Loss of income	
Council Tax Collected	97.69%	97.25%	97.25%	97.25%	97.25%		High	Monthly	Business critical	Loss of income	
Time taken to process Housing Benefit COC	8.67 days	9 days	8 days	8 days	8 days		Low	Monthly	Business critical	Customer hardship	
Time taken to process new Housing Benefit claims	13 days	15 days	14 days	14 days	13 days		Low	Monthly	Business critical	Customer hardship	

DEPARTMENTAL BUDGET AND RESOURCES								
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Expenditure	12,186	12,941	12,001	658	12,172	12,165	12,200	12,260
Employees	6,688	7,311	6,445	486	6,556	6,556	6,556	6,556
Premises	2	2	2	2	2	2	2	2
Transport	111	125	112	42	114	116	118	120
Supplies & Services	3,172	3,336	3,137	202	3,191	3,177	3,205	3,259
3rd party payments	275	227	279	(75)	284	289	294	298
Support services	1,938	1,940	2,026	0	2,025	2,025	2,025	2,025
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Income	9,115	10,303	8,935	(1,063)	9,035	9,055	9,070	9,070
Government grants	1,195	1,174	1,195	0	1,195	1,195	1,195	1,195
Reimbursements	1,021	1,522	1,149	(210)	1,149	1,149	1,149	1,149
Customer & client receipts	1,917	2,631	1,917	(853)	2,017	2,037	2,052	2,052
Recharges	4,982	4,976	4,674	0	4,674	4,674	4,674	4,674
Reserves								
Council Funded Net Budget	3,071	2,638	3,066	(405)	3,137	3,110	3,130	3,190
Capital Budget £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Financial Systems		33	212	0		125		700
Acquisitions Budget		4,271	67	0				6,985
Capital Bidding Fund								1,186
Corporate Capital Contingency								3,000
Housing Company			1,300	0	22,325	1,810		
Westminster Coroners Court					460			
Westminster Coroners Court								
		4,304	1,579	0	22,785	1,935	0	11,871



Summary of major budget etc changes	
2019/20	2018-19 CS05 Reduction in permanent staffing £30k CS2016-02 Restructure of Housing Benefits section due to roll out of Universal Credit £66k 2018-19 CS08 Increase in income from Enforcement Service £100k 2018-19 CS10 Revenues & Benefits - Reduction in staffing £60k
2020/21	2018-19 CS06 Miscellaneous budgets within Resources £17k 2018-19 CS07 Retender of insurance contract £50k 2018-19 CS08 Increase in income from Enforcement Service £20k
2021/22	2018-19 CS07 Retender of insurance contract £25k 2018-19 CS08 Increase in income from Enforcement Service £15k
2022/23	

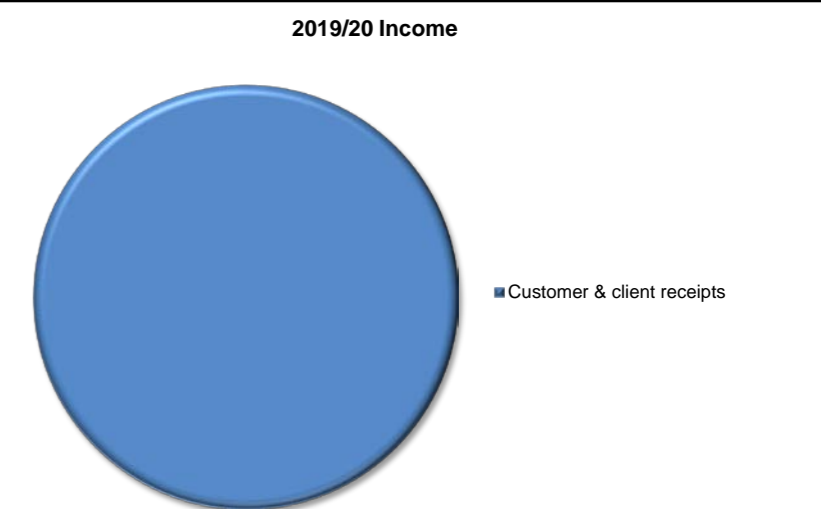
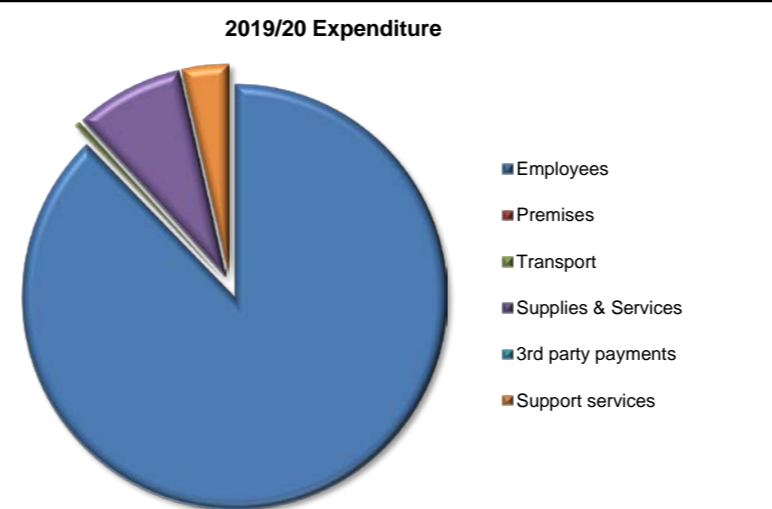
DETAILS OF MAJOR PROJECTS (INCLUDING PROCUREMENT) - MAXIMUM OF 10 OVER THE FOUR YEAR PERIOD

Resources

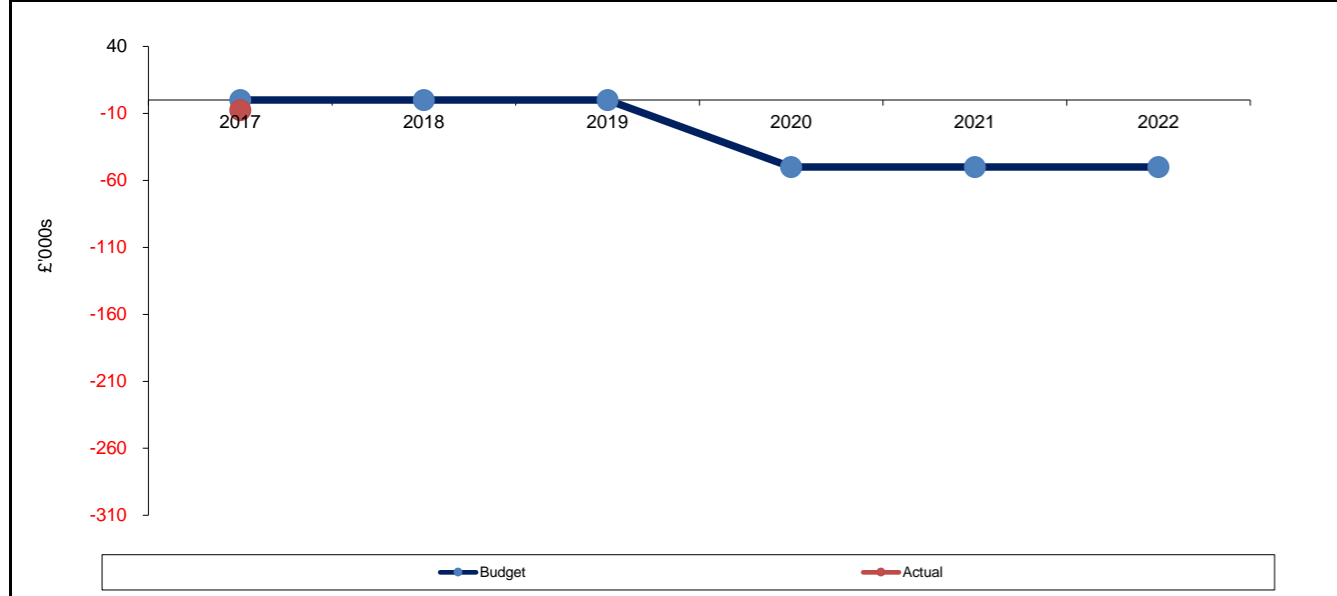
PROJECT DESCRIPTION		MAJOR PROJECT BENEFIT		Risk			
				Likelihood	Impact	Score	
Project 1		Project Title:	Evaluation of future funding levels	Risk reduction and compliance			
Start date	2017-18	Project Details:	Analysis of all relevant information relating to local government finance. This will include details provided in annual Local Government Finance Settlements, Annual Budgets, Spending Reviews and other financial information published by the Government. This information is incorporated into the Council's MTFS and updated as part of annual Budget Setting Procedures. Modelling of the retained NNDR system will be undertaken along with sensitivity analysis.	Requires considerable horizon spotting activity a performance indicator would be developed comparing the estimated grant levels compared to those actually received.	2	3	6
End date	2021-22						
Project 2		Project Title:	Financial systems re-engineering programme	Improved effectiveness			
Start date	2013-14	Project Details:	Procurement of a single integrated financial system to replace the suite of products that are currently used to provide GL, AP, P2P & AR functions. This will involve a new chart of accounts and new ways of working, driving efficiencies throughout the organisation. The potential for joint working with neighbour boroughs is currently being investigated. The system went live on 06/02/17 and the accounts were closed using the new system. A post-implementation review has been completed with a system controls Internal Audit Review scheduled for 2018. A programme of development has been agreed and a permanent team of three people is being established within Business Planning to develop and maintain the system in accordance with legislation and best practice.	Lean reviews being undertaken on to areas of operation.	2	2	4
End date	2018-19						
Project 3		Project Title:	Develop and implement whole life costing for capital projects	Improved effectiveness			
Start date	2018-19	Project Details:	This project will be undertaken in four stages 1) Develop a template to capture appropriate information 2) Pilot the template on two selected schemes 3) Amend the template 4) Apply the temple to selected schemes		3	2	6
End date	2019-20						
Project 4		Project Title:	Improve joint finance and business planning	Improved effectiveness			
Start date	2016-17	Project Details:	The project requires the quarterly update of service plans scheduled to start with September 2017 information. Provision made this year to update financial information for Period 7 monitoring		2	2	4
End date	2018-19						
Project 5		Project Title:	Pilot Early closure of Accounts	Improved effectiveness			
Start date	2015-16	Project Details:	2 years of early closing of accounts was undertaken in preparation of 17/18 when the early close deadlines apply. Work is currently underway to ensure the lessons learned from the 16/17 closedown process and external auditors comment are addressed and changes implemented for 17/18. Additional resource has been allocated to the closing of accounts team.		1	3	3
End date	2018-19						
Project 6		Project Title:	Universal Credit Implementation	Economic outcomes			
Start date	2015-16	Project Details:	Implement the role out of UC in Merton and provide a support framework to assist claimants claim UC and receive budgeting advice. Process has been delayed by Central Government - All job centres in Merton will implement UC for new claims by April 18		2	1	2
End date	2019-20						
Project 7		Project Title:	Council Tax support scheme	Economic outcomes			
Start date	2017-18	Project Details:	During 18/19 options for a revised scheme will be reviewed for Council decision and possible implementation for 19/20. Moving forward we will review our discretionary rate relief for implementation in 2019/20		2	1	2
End date	2018-19						
Project 8		Project Title:	Review Debt Collection Processes	Improved effectiveness			
Start date	2015-16	Project Details:	With the implementation of the new Financial management computer systems a review of the existing debt collection processes will be undertaken as part of the system implementation.		2	1	2
End date	2018-19						
Project 9		Project Title:		Select one major benefit			
Start date		Project Details:					0
End date							
Project 10		Project Title:		Select one major benefit			
Start date		Project Details:					0
End date							

Shared Legal Services Cllr Mark Allison: Deputy Leader & Cabinet Member for Finance Enter a brief description of your main activities and objectives below	Planning Assumptions						The Corporate strategies your service contributes to Contribute to all Corporate Strategies			
	Anticipated demand	2017/18	2018/19	2019/20	2020/21	2021/22		2022/23		
	Chargeable hours for Merton	19,125	19,125	19,125	18,367	18,367				
Chargeable hours for Richmond	13,828	13,828	13,828	13,828	13,828					
Chargeable hours for Sutton	22,835	22,835	22,835	22,835	22,835					
Chargeable hours for Kingston	11,329	11,329	11,329	11,329	11,329					
Chargeable hours for Wandsworth	22,487	22,487	22,487	22,487	22,487					
Chargeable hours for Achieving for Children	11,222	11,222	11,222	11,222	11,222					
Chargeable hours for Sutton Housing Partnership	2,516	2,516	2,516	2,516	2,516					
Anticipated non financial resources	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23				
Staff (FTE)	108.3	108.3	108.3	107.3	107.3					
Apprentices	2	2	4	4	4					
Performance indicator	Actual performance (A) Performance Target (T) Proposed Target (P)						Polarity	Reporting cycle	Indicator type	Main impact if indicator not met
	2017/18(A)	2018/19(T)	2019/20(P)	2020/21(P)	2021/22(P)	2022/23(P)				
Chargeable hours	105,229	103,722	102,736	102,584	102,584		High	Monthly	Business critical	Loss of income
Income for SLLP	58,291	£100,000	£100,000	£100,000	£100,000		High	Quarterly	Outcome	Loss of income
1st draft S106 agreement sent to client dept within 10 days	98.92%	90%	95%	95%	95%		High	Quarterly	Perception	Reputational risk
Prosecutions - number of successful outcomes	99.75%	80%	85%	85%	85%		High	Quarterly	Perception	Reputational risk
Provide FOI/EIR reviews within 20 working days	55%	80%	80%	80%	80%		High	Quarterly	Perception	Breach statutory duty

DEPARTMENTAL BUDGET AND RESOURCES								
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Expenditure	6,759	10,200	6,892	77	6,892	6,842	6,842	6,842
Employees	5,928	6,140	6,047	179	6,047	5,997	5,997	5,997
Premises	5	6	5	0	5	5	5	5
Transport	28	19	28	-7	28	28	28	28
Supplies & Services	559	3,596	567	(95)	567	567	567	567
3rd party payments	0	199	0	0	0	0	0	0
Support services	240	240	245	0	245	245	245	245
Depreciation								
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Income	6,759	10,207	6,892	(67)	6,892	6,892	6,892	6,892
Government grants	0	0	0	0				
Reimbursements	0	3,137	0	0				
Customer client receipts	6,759	7,070	6,892	(67)	6,892	6,892	6,892	6,892
Recharges	0	0	0	0	0	0	0	0
Capital Funded								
Council Funded Net Budget	(0)	(8)	(0)	10	(0)	(50)	(50)	(50)
Capital Budget £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
	0	0	0	0	0	0	0	0



Summary of major budget etc. changes
2019/20
2020/21
2021/22
2022/23



2018-19 CS12 SLLP - reduction in legal demand £50k

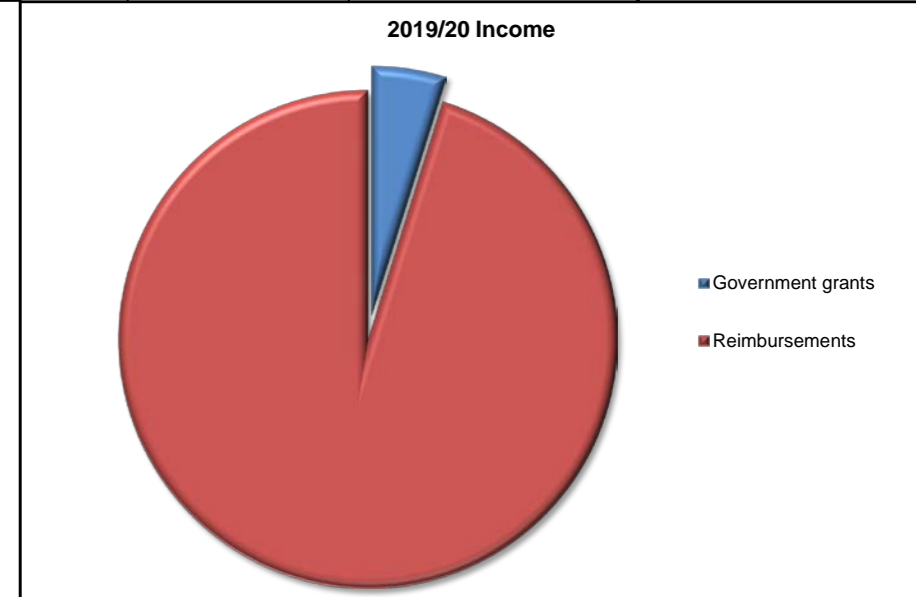
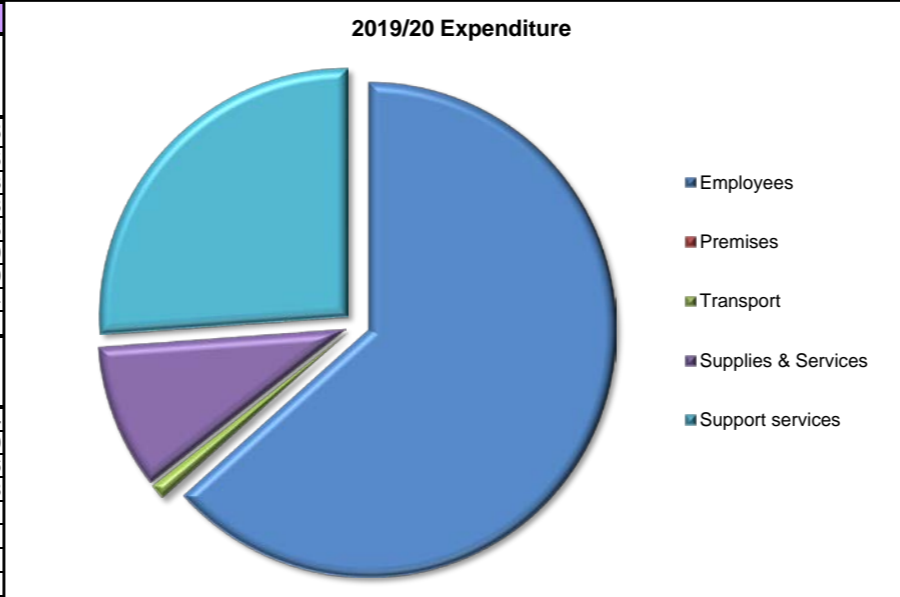
Shared Legal Services

PROJECT DESCRIPTION		MAJOR PROJECTS BENEFITS			Risk		
					Likelihood	Impact	Score
Project 1		Project Title:	Increase 3rd party income		Economic outcomes		
Start date	2018-19	Project Details:	To increase income from fees and charges of 3rd parties by £150k (£25k per council)		4	2	8
End date	2018-19						
Project 2		Project Title:	Increase Productivity		Improved efficiency (savings)		
Start date	2018-19	Project Details:	To identify productivity improvements as a result of the implementation of workflows in debt, housing, property matters and prosecutions.		2	1	2
End date	2018-19						
Project 3		Project Title:	Future Model		Improved sustainability		
Start date	2018-19	Project Details:	Subject to Governance Board approval to obtain a licence from the Solicitors Regulatory Authority to be an Alternative Business Structure		2	2	4
End date	2018-19						
Project 4		Project Title:	In House Advocates		Improved efficiency (savings)		
Start date	2018-19	Project Details:	The in house advocacy team to deliver £300k of savings on counsel expenditure on children's social care matters across Merton, Sutton, AFC and Wandsworth		2	2	4
End date	2018-19						
Project 5		Project Title:			Select one major benefit		
Start date		Project Details:					0
End date							
Project 6		Project Title:			Select one major benefit		
Start date		Project Details:					0
End date							
Project 7		Project Title:			Select one major benefit		
Start date		Project Details:					0
End date							
Project 8		Project Title:			Select one major benefit		
Start date		Project Details:					0
End date							
Project 9		Project Title:			Select one major benefit		
Start date		Project Details:					0
End date							
Project 10		Project Title:			Select one major benefit		
Start date		Project Details:					0
End date							

Environment & Regeneration

Development and Building Control	Planning Assumptions						The Corporate strategies your service contributes to				
Cllr Martin Whelton: Cabinet Member for Regeneration, Environment & Housing	Anticipated demand	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23				
<p>Enter a brief description of your main activities and objectives below</p> <p>Building Control Building Control competes with Approved Inspectors.(AIS). We provide a Building Control Service in competition with AIS to deliver high quality Building Control advice and regulation. We also regulate safety of structures and also sports grounds.</p> <p>Development control Promote sustainable regeneration by assessing and determining planning applications against the adopted policies for the built environment contained within the council's Core Strategy. Continue to implement the Mayoral, Community Infrastructure Levy (CIL) charging regime.</p> <p>Objectives - continue to concentrate on the commercialisation of the Building Control (BC) service and maintain or improve the market share -investigate formal sharing of BC with Kingston and Sutton - review the pre-application charging regime for Development Control (DC) and to investigate whether additional income generation is possible especially through Planning Performance Agreements. - implement mobile/flexible working to improve efficiency -as part of sustainable communities to enable a comprehensive development management process to encourage regeneration. -establish a formal collaboration regime with Sutton and Kingston boroughs. - re-procure the M3 database - move away from expensive and transient temporary staff towards a more established and reliable staffing base</p>	Enforcement cases	510	500	500	500	500		Economic Development Strategy			
	Planning applications (economy dependant)	2800	2800	2850	2900	2900		Merton Regeneration Strategy			
	BC applications (economy dependant)	1600	1650	1700	1750	1750		Medium Term Financial Strategy			
	Tree applications	600	600	600	600	600					
	Pre applications	120	125	125	125	125					
	Planning performance agreements	25	30	30	30	30					
	Prior approvals (permitted development)	640	640	640	650	650					
	Anticipated non financial resources	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23				
	Staff (FTE)	34	35	35	35	35					
	Performance indicator (LBC2020 indicators highlighted in purple)	Actual Performance (A) Performance Target (T) Proposed Target (P)					Polarity	Reporting cycle	Indicator type	Main impact if indicator not met	
		2017/18(A)	2018/19(T)	2019/20(P)	2020/21(P)	2021/22(P)	2022/23(P)				
	% Major applications processed within 13 weeks	73.16	67	67	68	68		High	Monthly	Quality	Reduced customer service
	% Minor applications processed within 8 weeks	63.04	67	68	69	69		High	Monthly	Quality	Reduced customer service
% Other applications processed within 8 weeks	69.53	80	80	80	80		High	Monthly	Quality	Reduced customer service	
Volume of Planning applications Total	3077	4500	4400	4400	4400		High	Monthly	Quality	Reduced customer service	
% appeals lost	27.13	35	35	35	35		Low	Quarterly	Perception	Reputational risk	
Income (Development and Building Control)	£1.579m	£1.888m	£1.888m	£1.888m	£1.888m		High	Monthly	Business critical	Loss of income	
% Market share retained by LA (BC)	51.88	54	55	56	56		High	Monthly	Perception	Loss of income	
Number of enforcement cases closed	231	450	450	450	450		High	Monthly	Quality	Reduced service delivery	
Backlog of enforcement cases	731	650	700	750	800		Low	Monthly	Output	Reduced service delivery	

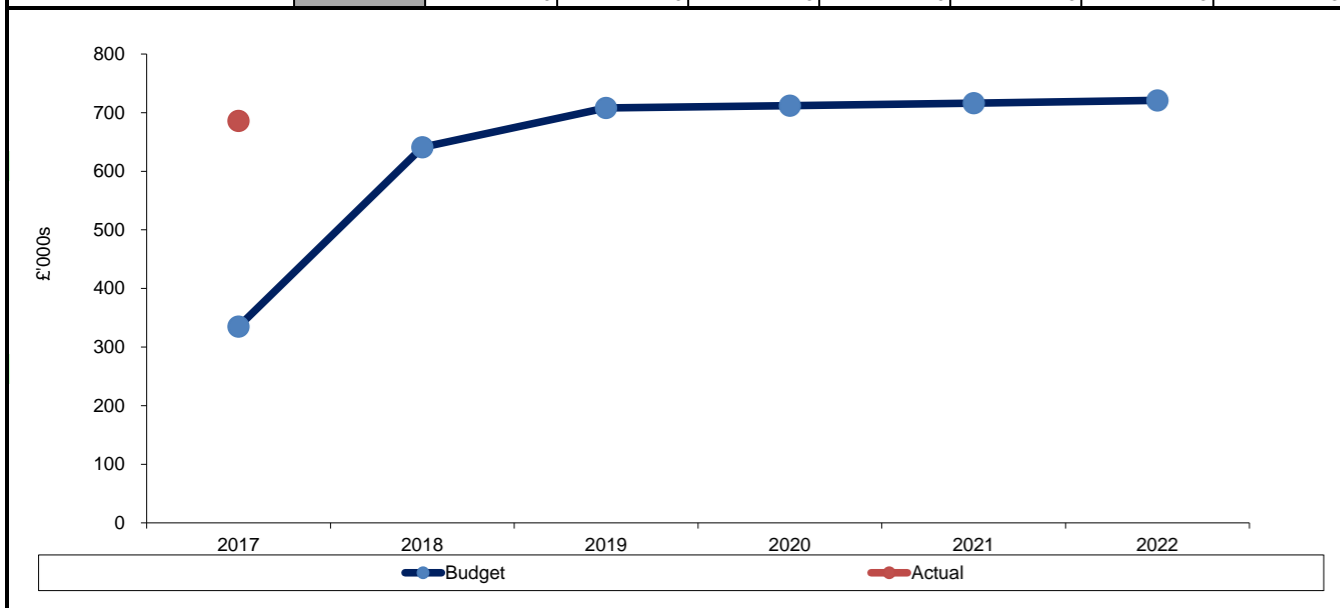
DEPARTMENTAL BUDGET AND RESOURCES								
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Expenditure	2,537	2,454	2,616	(2)	2,692	2,696	2,700	2,705
Employees	1,594	1,645	1,642	53	1705	1705	1705	1705
Premises	2	7	2	(1)	2	2	3	3
Transport	26	13	26	(13)	27	27	27	28
Supplies & Services	180	100	242	(41)	254	258	261	265
3rd party payments	0		0	0	0	0	0	0
Transfer payments	0		0	0	0	0	0	0
Support services	735	689	704	0	704	704	704	704
Depreciation								
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Income	2,202	1,768	1,975	233	1,984	1,984	1,984	1,984
Government grants	0		0	0	0	0	0	0
Reimbursements	84	207	87	(149)	96	96	96	96
Customer & Client receipts	2,118	1,561	1,888	382	1888	1888	1888	1888
Recharges								
Reserves								
Capital Funded								
Council Funded Net Budget	335	686	641	231	708	712	716	721



Capital Budget £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
		0	0	0	0	0	0	0

Summary of major budget etc. changes

2019/20



2020/21

2021/22

2022/23

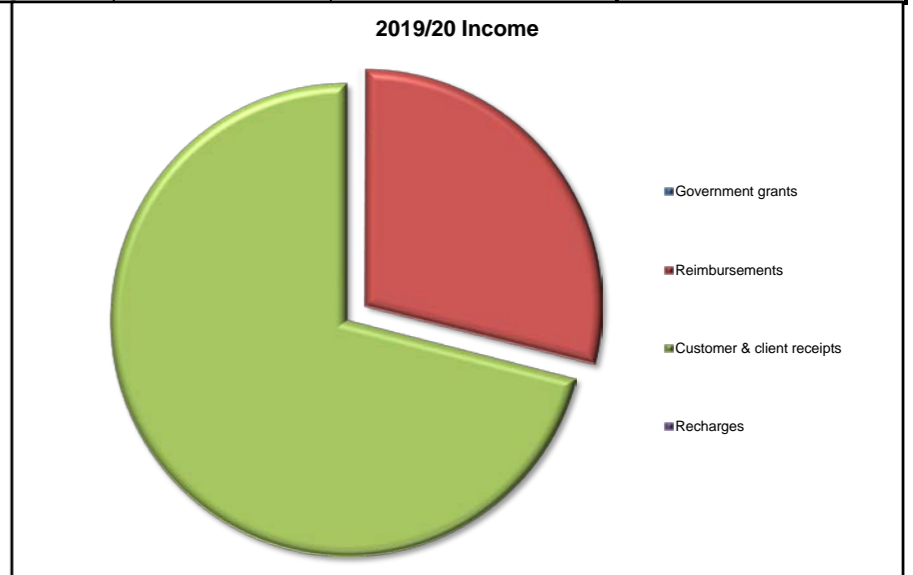
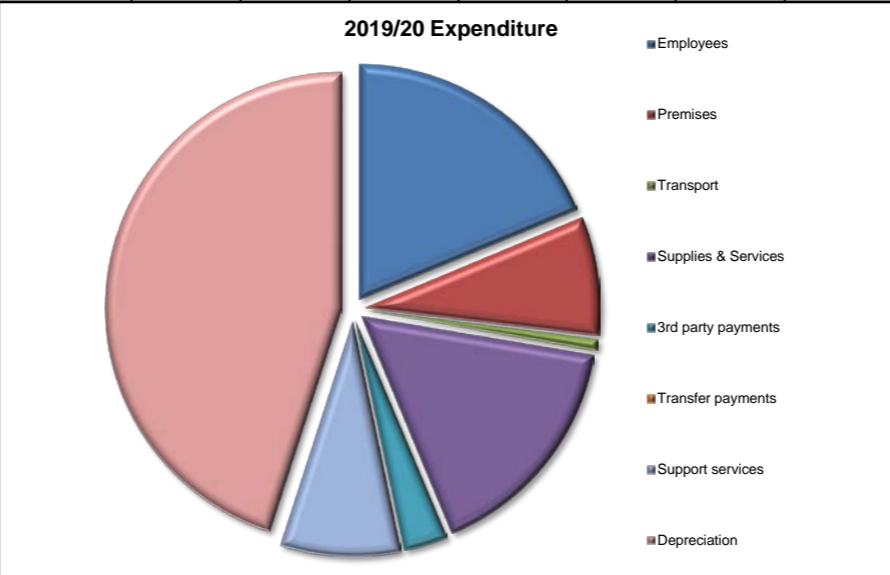
Development and Building Control

PROJECT DESCRIPTION		MAJOR PROJECT BENEFIT			Risk																																																																																																																																																														
					Likelihood	Impact	Score																																																																																																																																																												
Project 1		Project Title:	Commercialisation of Building Control		Improved efficiency (savings)																																																																																																																																																														
Start date	2013-14	Project Details:	This is to ensure Building Control is more commercially aware in a more competitive market.	Additional income generation	6	2	12																																																																																																																																																												
End date	2018-19							Project 2		Project Title:	Improving the development management processes		Improved effectiveness			Start date	2015-16	Project Details:	As part of sustainable communities to provide an end to end development management process to deliver regeneration objectives.	Improve regeneration opportunities	2	2	4	End date	2018-19	Project 3		Project Title:	developing eforms and M3 capability and e-payments		Improved customer experience			Start date	2014-15	Project Details:	Enforcement eforms, BC eforms and DC e-payments	Channel shift	4	1	4	End date	2018-19	Project 4		Project Title:	Lean review of pre-application process (part of TOM)		Improved effectiveness			Start date	2016-17	Project Details:	To ensure the process is efficient and robust from a customer perspective and to investigate any further income opportunities.	income generation opportunities	6	1	6	End date	2018-19	Project 5		Project Title:	Re-procurement of M3 or equivalent IT system		Improved effectiveness			Start date	2014-15	Project Details:	Either M3 engage cloud based system or equivalent. Potentially shared with nearby authorities	savings through contract negotiation.	3	1	3	End date	2018-19	Project 6		Project Title:	Further develop Planning Performance agreements potential		Economic outcomes			Start date	2014-15	Project Details:	Ensure cost neutral or better staffing levels to ensure this can be delivered	Regeneration certainty	1	2	2	End date	2018-19	Project 7		Project Title:			Select one major benefit			Start date		Project Details:					0	End date		Project 8		Project Title:			Select one major benefit			Start date		Project Details:					0	End date		Project 9		Project Title:			Select one major benefit			Start date		Project Details:					0	End date		Project 10		Project Title:			Select one major benefit			Start date		Project Details:	
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Future Merton & Traffic and Highways		Planning Assumptions						The Corporate strategies your service contributes to							
Cllr Martin Whelton: Cabinet Member for Regeneration, Environment & Housing		Anticipated demand		2017/18	2018/19	2019/20	2020/21	2021/22	2022/23						
Enter a brief description of your main activities and objectives below		Population		207,410	209,421	210,452	212,658	214,740		Air Quality Action Plan					
Future Merton is the council's lead on growth and strategic development for the long-term sustainability of the borough. Everything we do is about making Merton a great place and enhancing the quality of life of our residents.		Homes (includes those under construction)		86,500	87,000	88,000	89,300	90,600		Climate Change Strategy					
		Businesses (includes enterprises)		12,070	12,960	13,500	14,000	14,500		Community Plan					
		Electric Vehicles		250	300	350	400	500		Economic Development Strategy					
		Anticipated non financial resources		2017/18	2018/19	2019/20	2020/21	2021/22	2022/23						
The team plans and monitors the delivery of new housing in Merton and supports the creation of new businesses and jobs. We manage the council's Highway & Street Lighting contracts and ensure the borough's network of roads, footways, cycleways and street lighting are well maintained and safe.		Staff (FTE)		49	72	72	72	62		Employment and Skills Action Plan					
										Health & Wellbeing Strategy					
The team also manage major town centre and estate regeneration projects and lead on the coordination of infrastructure projects such as Crossrail 2 and Tramlink. We are responsible for delivering locally, objectives in the Mayor's London Plan and Mayor's Transport Strategy.										Local Plan					
										Local TfL Implementation Strategy					
Future Merton contributes to the Merton Partnership via the activities of the Sustainable Communities & Transport Partnership (SCTP), Economic Wellbeing Group, Housing Group and Climate Change Steering Group. The team also services the Borough Plan Advisory Committee (BPAC) and Design Review Panel (DRP) and leads on South London Partnership's Transport, Growth & Skills boards.		Performance indicator (LBC2020 indicators highlighted in purple)		Actual Performance (A) Performance Target (T) Proposed Target (P)			Polarity	Reporting cycle	Indicator type	Main impact if indicator not met					
				2017/18(A)	2018/19(T)	2019/20(P)					2020/21(P)	2021/22(P)	2022/23(P)		
				New homes built (annual target)		434	435	1328	1328	1328		High	Annual	Outcome	Loss of Government grant
				Affordable Homes delivered		N/A	80	TBC	TBC	TBC		High	Annual	Outcome	Reduced service delivery
				Number of public Electric Vehicle Charging Points		21	30	49	125	150		High	Annual	Outcome	Reputational risk
				Number of business premises improved		29	10	10	10	10		High	Annual	Outcome	Reputational risk
				Street light repairs (days taken to attend)		1.90	3	3	3	3		Low	Quarterly	Quality	Reduced customer service
				Road emergency call outs (% attended to)		99.72	98	98	98	98		High	Monthly	Business critical	Reduced customer service
				Footway & Carriageway condition		96	95	95	95	95		High	Annual	Quality	Increased costs
				Streetwork inspections		32.79	37	37	38	38		High	Quarterly	Quality	Increased costs
		Streetwork permitting (% issued on time)		99.92	98	98	98	98		High	Monthly	Output	Loss of income		

DEPARTMENTAL BUDGET AND RESOURCES								
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Expenditure	15,409	14,966	14,905	154	14,579	14,636	14,693	14,750
Employees	2,754	2,716	2,470	158	2734	2734	2734	2734
Premises	1,273	1,346	1,358	(9)	1187	1204	1221	1238
Transport	106	92	110	(12)	110	112	113	115
Supplies & Services	2,693	2,381	2,556	42	2343	2374	2407	2438
3rd party payments	420	410	644	(25)	438	445	451	458
Transfer payments	0	0	0	0	0	0	0	0
Support services	1,596	1,454	1,200	0	1200	1200	1200	1200
Depreciation	6,567	6,567	6,567	0	6567	6567	6567	6567
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Income	4,106	3,972	3,093	(155)	2,645	2,645	2,645	2,645
Government grants	295	282	1	50	1	1	1	1
Reimbursements	1,615	1,712	1,222	3	766	766	766	766
Customer & client receipts	1,943	1,778	1,870	(208)	1878	1878	1878	1878
Recharges	253	200	0	0	0	0	0	0
Council Funded Net Budget	11,303	10,994	11,812	(1)	11,934	11,991	12,048	12,105

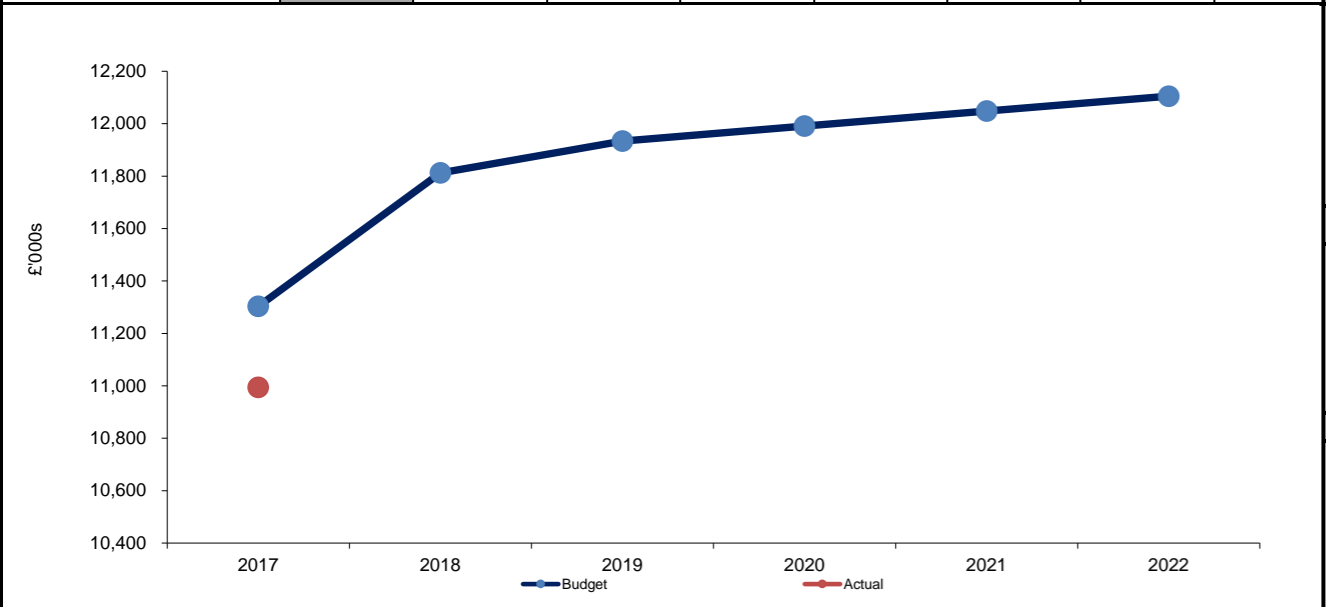


Capital Budget £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Highway Maintenance		4,495	4,678	0	3,577	3,377	3,377	3,127
Transport Improvement		1,515	818	1	425	0	0	0
Regeneration		2,063	771	0	2,271	3,025	3,033	0
Other		11	0	0	0	0	35	0
		8,085	6,267	1	6,273	6,402	6,445	3,127

Summary of major budget etc changes

2019/20

E4 = (£49k)
ERG1 (Growth) = (£150k)



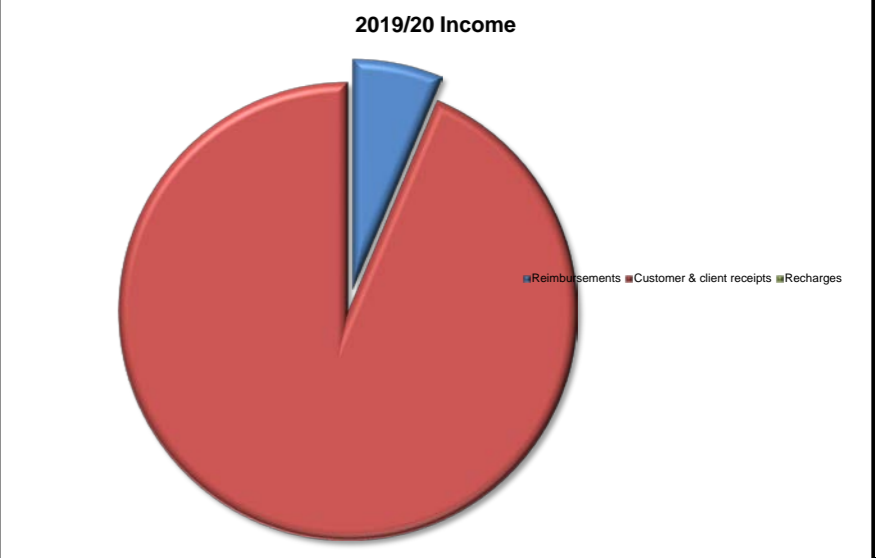
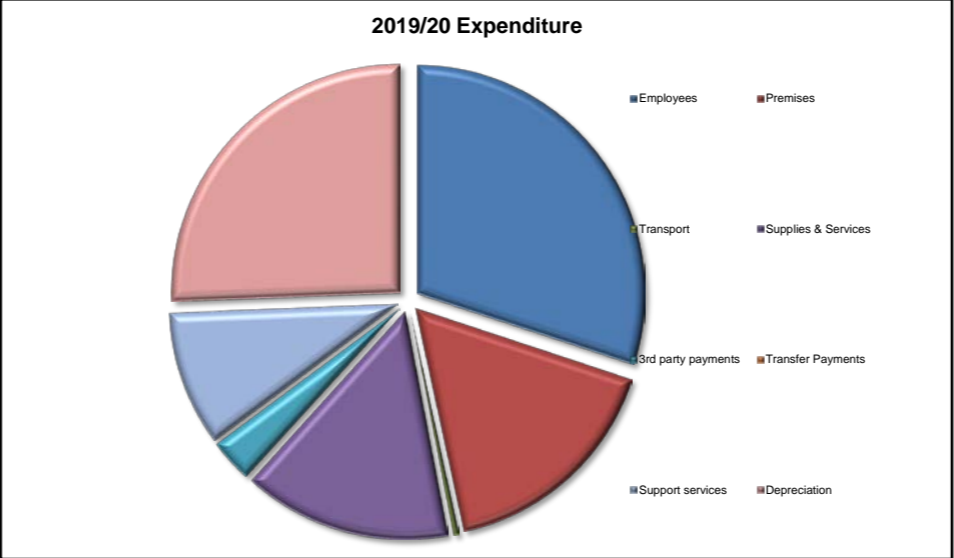
2020/21
2021/22
2022/23

Future Merton & Traffic and Highways

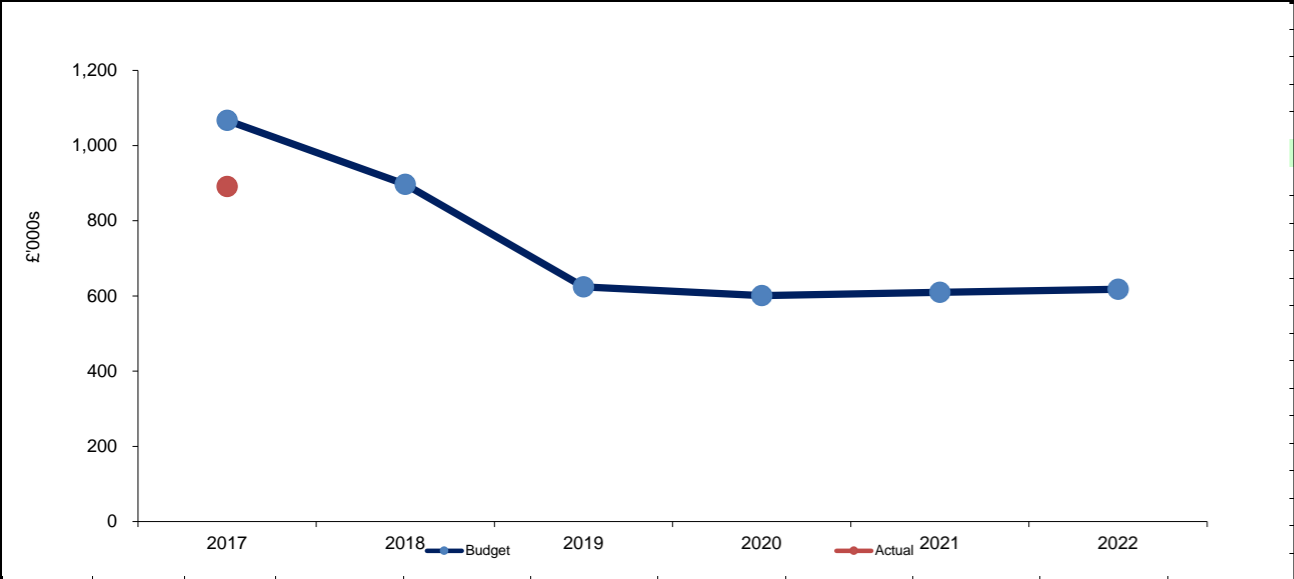
PROJECT DESCRIPTION		MAJOR PROJECT BENEFITS			Risk		
					Likelihood	Impact	Score
Project 1		Project Title:	Estate Regeneration		Infrastructure renewal		
Start date	2014-15	Project Details:	Working with Clarion Housing Group to deliver investment in new homes and the regeneration of High Path, Eastfields and Ravensbury estates. Supported by the preparation of a Local Plan (DPD) Also working with Moat housing to coordinate investment in regenerating Pollards Hill.		3	2	6
End date	2024-25						
Project 2		Project Title:	Future Wimbledon & Crossrail 2		Economic outcomes		
Start date	2014-15	Project Details:	Identifying the growth potential of Wimbledon as the premier business hub in South London. Explore investment and development opprtunities linked to Crossrail 2 and improving the quality of architecure, design and placemaking. Conference (2013) Ideas Competition (2014) Masterplan linked to Crossrail 2 (2017/18)		3	4	12
End date	2022-23						
Project 3		Project Title:	Local Authority Property Company		Economic outcomes		
Start date	2016-17	Project Details:	Establish a Local Authority owned Property Company to develop sites to generate revenue income to assist the MTFS		2	2	4
End date	2020-21						
Project 4		Project Title:	Morden Town Centre Regeneration		Economic outcomes		
Start date	2014-15	Project Details:	Growth, investment and intensification to support regeneration in Morden. Collaborative partnership with TFL Commercial Property to attract a development partner to Morden in 2019. New development and investment in the streetscape and public realm from 2019-2022		3	2	6
End date	2025-26						
Project 5		Project Title:	Merton's New Local Plan 2020		Economic outcomes		
Start date	2017-18	Project Details:	Refreshing Merton's current Local Plan suite of docuemnts (Core Strategy 2011, Sites & Policies 2014) to form a new statutory Local Plan for 2020. The plan will guide new development, infrastructure, growth areas, sustainability and design quality.		3	2	6
End date	2020-21						
Project 6		Project Title:			Select one major benefit		
Start date		Project Details:					0
End date							
Project 7		Project Title:			Select one major benefit		
Start date		Project Details:					0
End date							
Project 8		Project Title:			Select one major benefit		
Start date		Project Details:					0
End date							
Project 9		Project Title:			Select one major benefit		
Start date		Project Details:					0
End date							
Project 10		Project Title:			Select one major benefit		
Start date		Project Details:					0
End date							

Leisure & Cultural Development	Planning Assumptions						The Corporate strategies your service contributes to			
Cllr Nick Draper Cabinet Member for Community & Culture	Anticipated demand	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23			
<p>Enter a brief description of your main activities and objectives below</p> <p>Main Activities:</p> <p>Build infrastructure to enable local people to engage in healthy living and lifestyle changes through increased involvement and participation in sports, arts, cultural and physical activities and events, by working with partners to increase the number, scope and quality of facilities, programmes, activities and events on offer.</p> <p>Main Objectives:</p> <ul style="list-style-type: none"> - Develop solutions and implement plans to de-silt & mitigate flood risk at Wimbledon Park Lake - Deliver the London Borough of Culture Impact Award in partnership with the Culture Advisory Group and the GLA - Commission works to determine the most effective management solution for the Watersports Centre and implement the approved solution - Deliver a Playing Pitch Strategy and take it through a formal process to be adopted by the Council - Commission culture, arts & sports services where funding allows or with external funding - Deliver core service functionalities including operation of Watersports Centre, Morden Assembly Hall, Ride London, Mini Marathon, AELTC Tennis Staff Draw, Tennis Car Parking, Fireworks, etc. - Manage the Leisure Centres Contract; Wimbledon Theatre Lease; Dudley Hall Lease; ACAVA leases; Polka Grant; Attic Theatre Grant; GLA - LB0C Grant; etc - Develop and deliver invest to save proposals, wherever possible. 	Population	207,410	210,245	210,452	212,658	214,740	216,661	Asset Management Plan		
	No. of Children & Young People aged 8-17 in west of borough	8,200	10,755	11,090	11,457	11,713	11,854	Children & Young person's Plan		
	Population of most disadvantaged wards	128,100	110,368	110,843	112,038	113,198	114,260	Cultural Strategy		
	Users of Merton's Leisure Centres	1,028,879	1,092,592	1,092,000	1,102,026	1,115,078	1,124,265	Community Plan		
	Anticipated non financial resources	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23			
	Staff (FTE)	7.8	7.8	7.8	7.8	7.8	7.8	Open Spaces Strategy		
	Accommodation	7	7	7	7	7	7	Social Inclusion Strategy		
	Volunteers	20	25	30	35	40	40	Voluntary Sector Strategy		
	Staff seasonal	30	30	30	30	30	30			
	Performance indicator	Actual Performance (A) Performance Target (T) Proposed Target (P)						Polarity	Reporting cycle	Indicator type
	2017/18(A)	2018/19(T)	2019/20(P)	2020/21(P)	2021/22(P)	2022/23(P)				
Income £ from Watersports Centre	376,165	365,000	370,000	375,000	380,000	385,000	High	Monthly	Business critical	Loss of income
11-25 yr old Fitness Centre Participation at leisure centres	110,239	104,000	103,100	106,120	108,546	109,626	High	Monthly	Output	Reduced uptake of service
% residents rating facilities Good to Excellent	N/A	80	N/A	80	N/A	80	High	Biennial	Output	Reduced customer service
Total Number of Users of Merton's Leisure Centres	997,395	1,092,592	1,092,000	1,102,026	1,115,078	1,124,265	High	Monthly	Outcome	Reduced customer service
Total Number of Users of Polka Theatre	94,035	87,226	18,700	97,000	101,670	111,030	High	Quarterly	Output	Reduced uptake of service

DEPARTMENTAL BUDGET AND RESOURCES								
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Expenditure	1,844	1,918	1,729	127	1,756	1,733	1,742	1,750
Employees	538	547	509	4	528	528	528	528
Premises	282	370	286	150	290	294	299	303
Transport	8	5	7	(1)	7	7	7	7
Supplies & Services	326	353	255	26	259	232	236	240
3rd party payments	40	2	54	(52)	54	54	54	54
Transfer Payments	0	0	0	0	0	0	0	0
Support services	200	191	168	0	168	168	168	168
Depreciation	450	450	450	0	450	450	450	450
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Income	777	1,027	832	(192)	1,132	1,132	1,132	1,132
Government grants								
Reimbursements	58	58	72	51	72	72	72	72
Customer & client receipts	719	969	760	(243)	1,060	1,060	1,060	1,060
Recharges	0							
Reserves								
Capital Funded								
Council Funded Net Budget	1,067	891	897	(65)	624	601	610	618
Capital Budget £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Morden Leisure Centre		6,254	6,203	0	242	0	0	0
Wimbledon Park Lake de-silting		0	107	0	1250	0	0	0
Other		628	340	0	400	250	250	250
		6,883	6,650	0	1,892	250	250	250



Summary of major budget etc changes	
2019/20	ENR10 = (£300k)
2020/21	
2021/22	
2022/23	



Summary of major budget etc changes	
2020/21	E3 = (£30k)
2021/22	
2022/23	

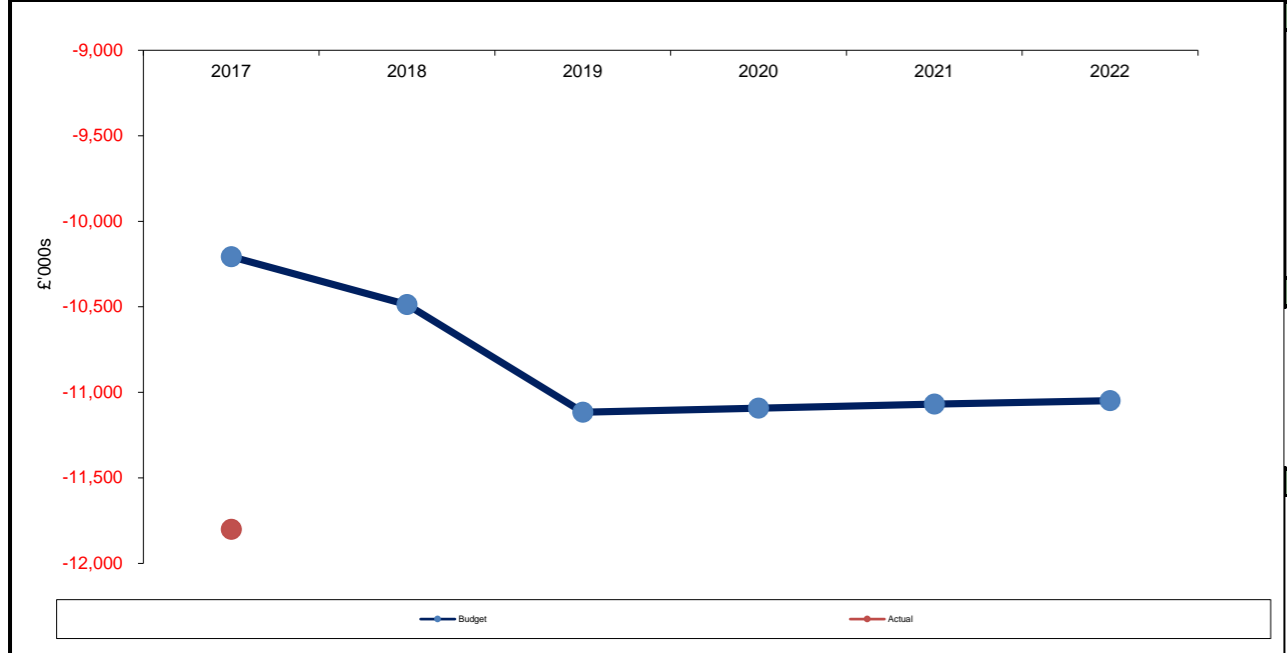
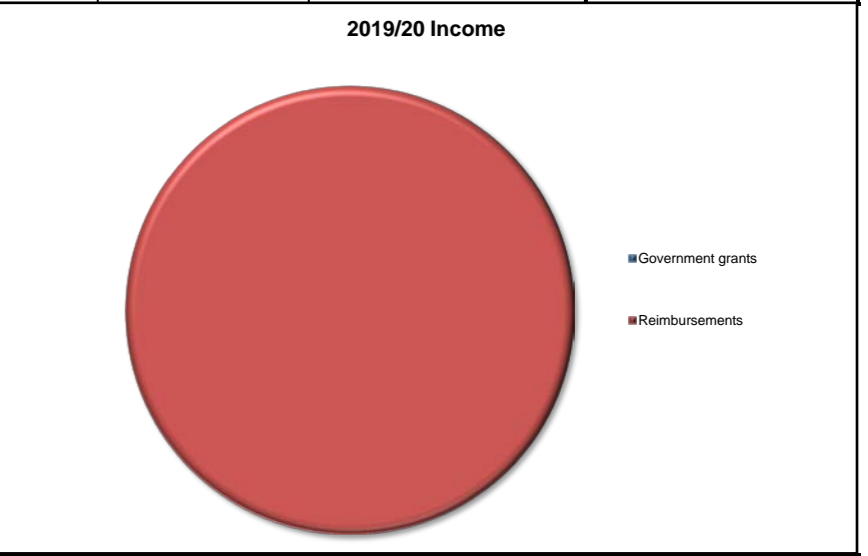
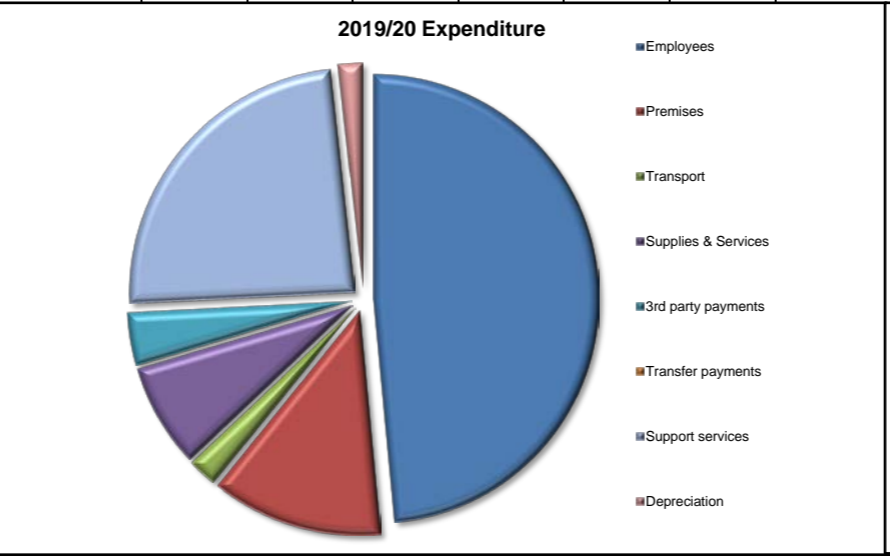
DETAILS OF MAJOR PROJECTS (INCLUDING PROCUREMENT) - MAXIMUM OF 10 OVER THE FOUR YEAR PERIOD

Leisure & Cultural Development

PROJECT DESCRIPTION		MAJOR PROJECT BENEFIT		Risk			
				Likelihood	Impact	Score	
Project 1		Project Title:	Implement the Wimbledon Park Lake Flood Risk & De-silting Plans	Risk reduction and compliance			
Start date	2017-18	Project Details:	Develop solutions and plans to de-silt and mitigate flood risk at Wimbledon Park lake.	Flood risk alleviation works implemented. De-silting of lake within financial envelope	4	3	12
End date	2021-22						
Project 2		Project Title:	London Borough Of Culture - Merton	Improved customer experience			
Start date	2017-18	Project Details:	Deliver the London Borough of Culture Impact Award in partnership with the Culture Advisory Group and the GLA	Increased cultural activities through film primarily to the east of the borough. Enhancing the lives of many of the community through culture.	2	2	4
End date	2020-21						
Project 3		Project Title:	Wimbledon Park Watersports Centre	Improved sustainability			
Start date	2018-19	Project Details:	Commission works to determine the most effective management solution for the Watersports Centre and implement the approved solution.	Established best business model for centre's future	2	2	4
End date	2020-21						
Project 4		Project Title:	Playing Pitch Strategy	Improved reputation			
Start date	2017-18	Project Details:	Deliver a Playing Pitch Strategy and take it through a formal process to be adopted by the Council	Adopted Merton Playing Pitch Strategy	2	1	2
End date	2019-20						
Project 5		Project Title:	Commission Culture & Sport Services	Improved customer experience			
Start date	2018-19	Project Details:	Commission culture, arts and sports services where funding allows or with external funding	Increased culture, sports and arts offer.	2	1	2
End date	2022-23						
Project 6		Project Title:	Leisure & Culture Development Services	Improved customer experience			
Start date	2017-18	Project Details:	Deliver core service functionalities including operation of Watersports Centre, Morden Assembly Hall, Ride London, Mini Marathon, AELTC Tennis Staff Draw, Tennis Car Parking, Fireworks, etc.	Effective and efficient service deliver	2	2	4
End date	2022-23						
Project 7		Project Title:	Contract and Grants Administration	Risk reduction and compliance			
Start date	2017-18	Project Details:	Manage the Leisure Centres Contract; Wimbledon Theatre Lease; Dudley Hall Lease; ACAVA leases; Polka Grant; Attic Theatre Grant; GLA - LBOC Grant; etc	Compliant delivery of services producing benefits expected within budget available	2	2	4
End date	2022-23						
Project 8		Project Title:	Invest to Save Projects	Improved efficiency (savings)			
Start date	2019-20	Project Details:	Develop and deliver invest to save proposals, wherever possible.	Generate Savings	1	1	1
End date	2022-23						
Project 9		Project Title:		Select one major benefit			
Start date		Project Details:					0
End date							
Project 10		Project Title:		Select one major benefit			
Start date		Project Details:					0
End date							

Parking & CCTV Services	Planning Assumptions						The Corporate strategies your service contributes to			
	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23				
Cllr Mike Brunt: Cabinet Member for Street Cleanliness & Parking	Anticipated demand						Transport Plan			
Enter a brief description of your main activities and objectives below The service is required to enforce the parking regulations to ensure the through flow of traffic can be maintained and ensuring residents and blue badge holders have the ability to park in bays they have a permit or badge for. Surplus income generated by traffic management must be used for transport related areas. Objectives <ul style="list-style-type: none"> enforce parking regulations across the borough including Controlled Parking Zones and bus lanes to implement measures to improve traffic enforcement efficiency, specifically the introduction of Automatic Number Plate Recognition (ANPR) cameras at bus lane and moving traffic locations. This will improve compliance and ease congestion at key points across the borough to maintain a survey of parking needs, hours of operation, the availability of parking spaces and the charging structure to monitor the borough's parking infrastructure to ensure that locations subject to regulatory controls can be effectively enforced thus improving compliance and ultimately congestion to take account in business planning of the increase in population and changes in planning legislation allowing business premises to be changed to residential use which could result in an increase in demand for parking spaces in existing CPZ's and pressure in areas with no controlled parking to introduce CPZ's. Since January 2016 Public Space CCTV camera team, whose core activity is to review the operational structure, processes and number of CCTV cameras throughout the borough with the aim of achieving efficiencies without reducing the level of service to the residents, customers and our partners, was amalgamated with Parking Services.	Number of resident permits issued based upon 5% growth	23,699	24,883	26,128	27,434	28,805	Safer & Stronger Strategic Assessment			
	Number of visitors permits issued based upon 5% growth	314,412	330,132	346,639	363,970	382,169				
	Number of CPZ's based upon 5% growth	61	64	67	70	73				
	Number of diesel Permits issued. Please note that as the CPZs increase the numbers of permits is likely to remain constant as the growth is balanced against the change/reduction in behaviour	5,919	5,919	5,919	5,919	5,919				
	Staff (FTE) The number of staff will remain constant as compliance in the ANPR PCN's has not occurred and the increase in CPZs causing the sections workload to increase.	83.57	83.00	83.00	83.00	83.00				
Anticipated non financial resources										
Transport	12	12	12	12	12					
Performance indicator										
	Actual Performance (A) Performance Target (T) Proposed Target (P)					Polarity	Reporting cycle	Indicator type	Main impact if indicator not met	
	2017/18(A)	2018/19(T)	2019/20(P)	2020/21(P)	2021/22(P)	2022/23(P)				
% of parking permits issued within 5-7 days	82.50%	95%	95%	95%	95%		High	Monthly	Outcome	Loss of income
Sickness- No of days per FTE (12 month rolling average)	18.51	8	8	8	8		Low	Monthly	Quality	Loss of income
Number of cases won at London Tribunals	N/A	532	558	586	615		High	Monthly	Business critical	Loss of income
Percentage of Public Space CCTV Cameras working	96.65%	98%	98%	98%	98%		High	Monthly	Business critical	Loss of income

DEPARTMENTAL BUDGET AND RESOURCES								
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Expenditure	6,139	6,681	6,479	312	5,887	5,910	5,934	5,955
Employees	3,078	3,423	3,140	182	2,855	2,855	2,856	2,856
Premises	646	719	716	48	727	738	749	759
Transport	103	115	121	6	123	125	127	129
Supplies & Services	476	512	472	38	441	447	454	460
3rd party payments	268	305	272	38	222	226	229	232
Transfer payments	0	0	0	0	0	0	0	0
Support services	1,380	1,419	1,586	0	1,415	1,415	1,415	1,415
Depreciation	188	188	172	0	104	104	104	104
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Income	16,346	18,482	16,966	(1,312)	17,003	17,003	17,003	17,003
Government grants								
Reimbursements	162	69	118	(4)	0	0	0	0
Customer & client receipts	16,184	18,413	16,848	(1,308)	17,003	17,003	17,003	17,003
Reserves								
Capital Funded								
Council Funded Net Budget	(10,207)	(11,801)	(10,487)	(1,000)	(11,116)	(11,093)	(11,069)	(11,048)
Capital Budget £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2018/19 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Parking Improvements		28			60			
CCTV Investment		191	230	0				
		220	230	0	60	0	0	0



Summary of major budget etc. changes	
2019/20	
2020/21	
2021/22	
2022/23	

Parking & CCTV Services

PROJECT DESCRIPTION		MAJOR PROJECT BENEFIT		Risk			
				Likelihood	Impact	Score	
Project 1		Project Title:	Review CEO Shift Patterns	Improved effectiveness		2	
Start date	2017-18	Project Details:					Consult on the introduction of a more efficient shift patterns
End date	2018-19						
Project 2		Project Title:	Review CCTV Shift Patterns	Improved effectiveness		2	
Start date	2018-19	Project Details:					Consult on the introduction of a more efficient shift patterns
End date	2018-19						
Project 3		Project Title:	Procurement of a replacement PCN & Permit and FPN processing system	Improved efficiency (savings)		2	
Start date	2018-19	Project Details:					Procuring of a new PCN system which may be linked with Enforcement and Safer Merton
End date	2018-19						
Project 4		Project Title:		Select one major benefit		0	
Start date		Project Details:					
End date							
Project 5		Project Title:		Select one major benefit		0	
Start date		Project Details:					
End date							
Project 6		Project Title:		Select one major benefit		0	
Start date		Project Details:					
End date							
Project 7		Project Title:		Select one major benefit		0	
Start date		Project Details:					
End date							
Project 8		Project Title:		Select one major benefit		0	
Start date		Project Details:					
End date							
Project 9		Project Title:		Select one major benefit		0	
Start date		Project Details:					
End date							
Project 10		Project Title:		Select one major benefit		0	
Start date		Project Details:					
End date							

Commissioned Service
Parks & Green Spaces
Cllr Nick Draper Cabinet Member for Community & Culture
Service Provider: i dverde UK Ltd

The service maintains and develops Merton's numerous parks & open spaces (more than 115 separate sites), including sports facilities (including pavilions), gardens, playgrounds (more than 40), the borough's highways verges, and the management of its cemetery and allotments services. The portfolio also includes support for, and the production of, a varied programme of outdoor events from small community to large commercial ones in parks, including the annual civic fireworks displays, Mitcham Carnival and elements of the Wimbledon (tennis) Championships. The service manages more than 50,000 Council-owned trees and several nature reserves. Greenspaces serves as the managing agent for Mitcham Common (for the Mitcham Common Conservators) and the Merton & Sutton Joint Cemetery (for the Merton & Sutton Joint Cemetery Board).

The grounds maintenance elements of the service are outsourced to i dverde UK Limited, under a long-term contract (up to 24 years from 2017) and is overseen by the Greenspaces client team who, in addition, retain overall responsibility for policy, strategy & investment in the borough's parks & open spaces.

Planning Assumptions							The Corporate strategies the service contributes to			
Anticipated demand	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23				
Increased sports pitch demand (Total number of bookings)	1%	1%	1%	1%	1%	1%	Open Space Strategy			
Attendance at major community outdoor events (No. of people)	60,000 (estimated)	70,000 (estimated)	75,000	80,000	85,000	90,000	Culture and Sport Framework			
Number of funerals at LBM cemeteries (not MSJC)	155	160 (estimated)	165	170	175	180				
Anticipated non financial resources	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23				
Contractors	Contract price and schedule of rates									
Client-side team (Lot 2 contract, retained services & policies)	9.1(A)	9.1(A)	8.9	8.9	8.9	8.9	Open Space Strategy			
Performance indicator (LBC2020 indicators highlighted in purple)	Performance Targets (T) & Provisional Performance Targets (P)						Polarity	Reporting cycle	Indicator type	Main impact if indicator not met
	2017/18(A)	2018/19(T)	2019/20(P)	2020/21(P)	2021/22(P)	2022/23(P)				
% of residents (all service users) rating parks & green spaces good or very good	N/A	76	77	78	79	80	High	Biennial	Perception	Reputational risk
Young peoples % satisfaction with parks & green spaces	N/A	75	76	77	78	79	High	Biennial	Perception	Reputational risk
Number of Green Flag Awards	5	6	6	7	7	7	High	Annual	Quality	Reputational risk
Number of outdoor event-days in parks	130	135	140	145	150	155	High	Monthly	Output	Reputational risk

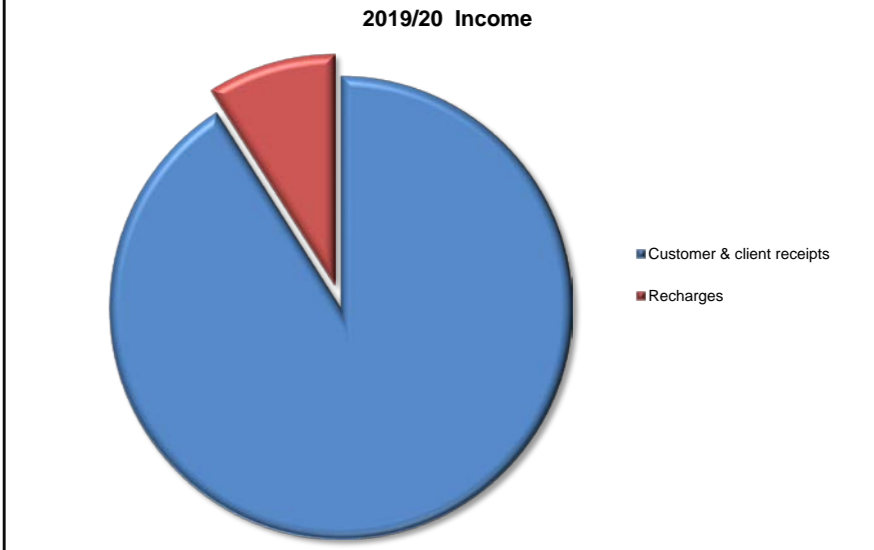
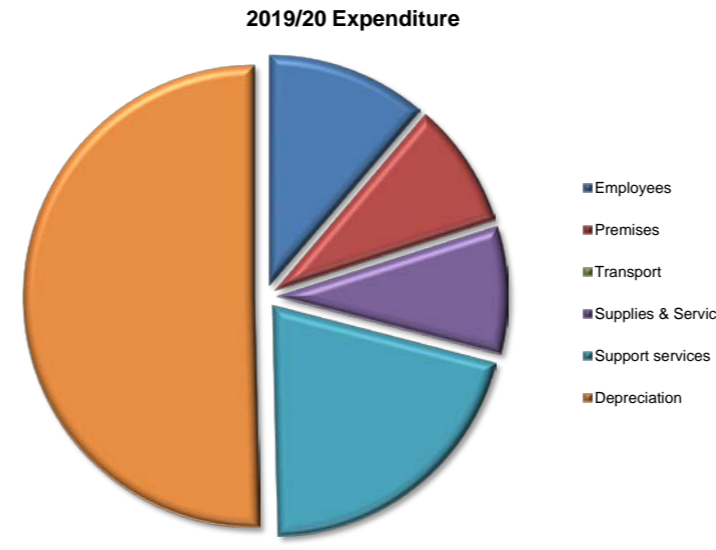
Financial Information									Additional Expenditure Information	
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2017/18 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23	E5 (2019/20) = (£50k) E6 (2019/20) = (£40k)	
Expenditure	4,660	5,763	4,175	181	4,241	4,284	4,325	4,368		
Employees	462	476	459	60	476	476	476	476		
Premises	600	799	582	-33	598	607	615	623		
Transport	82	86	82	-1	83	84	85	87		
Supplies & Services	350	378	306	56	310	315	319	324		
3rd party payments	1,685	2,177	1,857	99	1,885	1,913	1,941	1,969		
Transfer payments	0	0	0	0	0	0	0	0		
Support services	1,147	1,513	543	0	543	543	543	543		
Depreciation	334	334	346	0	346	346	346	346		
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2017/18 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23		
Income	2,786	3,137	2,239	84	2,337	2,337	2,337	2,337		
Government grants	0	9	0	0	8	8	8	8		
Reimbursements	275	311	354	(2)	354	354	354	354		
Customer & client receipts	1,888	1,827	1,885	86	1,975	1,975	1,975	1,975		
Recharges	623	990								
Reserves										
Council Funded Net Budget	1,874	2,626	1,936	265	1,904	1,947	1,988	2,031		
Capital Budget £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2017/18 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23		
Parks Investment		245	638	0	991	800	479	300		
		245	638	0	991	800	479	300		

**DETAILS OF MAJOR PROJECTS
Parks & Green Spaces**

PROJECT DESCRIPTION		MAJOR PROJECTS BENEFITS			Risk				
					Likelihood	Impact	Score		
Project 1		Project Title:	Greenspaces TOM Production & implementation of Target Operating Model for Greenspaces	Improved effectiveness			3	2	6
Start date	2017-18	Project Details:		Various benefits & enhancements across a range of services & themes					
End date	2022-23								
Project 2		Project Title:	Greenspaces Commercialisation Increased commecialisation across a range of Greenspaces services and open spaces	Improved efficiency (savings)			3	2	6
Start date	2017-18	Project Details:		Diversifying the outdoor events portfolio, including new commercial events to increase income. Working with our new grounds maintenance service provider, idverde, to increase income for the service, especially from sport & recreational activities					
End date	2022-23								
Project 3		Project Title:	Canons House & Rec Restoration Delivery of Lottery-funded Canons Restoration Project	Improved customer experience			3	2	6
Start date	2017-18	Project Details:		Multi-million pound investment project to restore, conserve & improve recreational opportunities at Canons Recreation Ground & Canons House.					
End date	2021-22								
Project 4		Project Title:	Morley Park Transfer, opening & establishment of Morley Park as a community space with public access	Improved customer experience			2	1	2
Start date	2017-18	Project Details:		Opening & development of a brand new public open space in West Wimbledon, comprising informal recreational areas, nature conservation features & sports facilities					
End date	2019-20								
Project 5		Project Title:	Phase C, Lot 2 Contract Embedding new systems & processes and ensuring quality & performance standards in relation to Phase C, Lot 2 grounds maintenance contract	Improved reputation			3	2	6
Start date	2017-18	Project Details:		Working with our grounds maintenance contractor, idverde, to maintain & improve green spaces & recreational services at a lower cost					
End date	2022-23								
Project 6		Project Title:	Re-use of Parks Assets Re-use of surplus & redundant parks facilities and re-modelling of under-utilised properties: pavilions, yards & mess rooms and other parks assets	Improved efficiency (savings)			2	1	2
Start date	2017-18	Project Details:		Increased income & preservation of some existing parks assets					
End date	2022-23								
Project 7		Project Title:	Review of Arboricultural Services Review & reconfiguration of current arboricultural service provisions, systems & polices in order to drive efficiency	Improved efficiency (savings)			3	2	6
Start date	2017-18	Project Details:		Improved service integration, policy clarification & consolidation & improved operational efficiency					
End date	2019-20								
Project 8		Project Title:		Select one major benefit					0
Start date		Project Details:							
End date									
Project 9		Project Title:		Select one major benefit					0
Start date		Project Details:							
End date									
Project 10		Project Title:		Select one major benefit					0
Start date		Project Details:							
End date									

Property	Planning Assumptions						The Corporate strategies your service contributes to				
Cllr Mark Allison: Deputy Leader & Cabinet Member for Finance Enter a brief description of your main activities and objectives below To ensure that all property transactions provide value for money and comply with statute To maintain an accurate record of the property assets of the council and to provide asset valuations to support the council's accounts.(Section 151) To manage the council's investment portfolio to maximise income, managing the council's asset base to ensure that it has the accommodation necessary to support its services at a standard it can afford. To support regeneration, deal with occupation of council land by Gypsies and Travellers and to attend and provide timely advice to the Property Asset Management Board to deliver a programme of property sales to maximise capital receipts and acquisitions to improve revenue income. Community Right to Bid -to manage applications for community assets to be listed and claims for compensation. To maintain publicly available list of property assets as required by transparency agenda under Localism Act 2011.TOM will lead to increased efficiency the possibility of acting for other authorities on specialisms and most significantly driving economic development and regeneration through closer working with Future Merton. This may impact on the timing of sales and capital receipts. Objectives <ul style="list-style-type: none"> • complete Asset Valuations to timetable agreed with Director of Corporate Services • Implement review of non operational property to maximise revenue income • critically examine operational property to ensure the council has the minimum necessary to support the business plan • maximise revenue income by letting vacant property • provide timely advice to inform regeneration projects • ensure team is arranged to support objectives 	Anticipated demand	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23				
	The number of proposed disposals	Not known	Not known	Not known	Not known	Not known	Not known	Not known	Corporate Asset Management Plan		
	The number of proposed lettings.	8	8	8	8	8	8	8	Economic Development Strategy		
	The number of proposed rent reviews	31A	30	28	20	31	23		Medium Term Financial Strategy		
	The number of commercial properties	394	394	394	394	394	394	394	Corporate Asset Management Strategy		
	Anticipated non financial resources	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23				
	Staff (FTE)	4.60	4.60	4.60	4.60	4.60	4.60	4.60			
	Performance indicator	Actual Performance (A)		Performance Target (T)		Proposed Target (P)		Polarity	Reporting cycle	Indicator type	Main impact if indicator not met
		2017/18(A)	2018/19(T)	2019/20(P)	2020/21(P)	2021/22(P)	2022/23(P)				
	% Vacancy rate of prop. owned by council	0.05	3.3	3.0	3.0	2.5	2.5	Low	Quarterly	Outcome	Loss of income
	% Debt owed to LBM by tenants Inc. businesses	10.5	8.0	7.5	7.5	7.0	7.0	Low	Quarterly	Outcome	Loss of income
	Asset Valuations	297	150	150	150	150	150	High	Annual	Business critical	Breach statutory duty

DEPARTMENTAL BUDGET AND RESOURCES								
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2017/18 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Expenditure	2,102	2,357	1,972	912	1,987	1,992	1,997	2,002
Employees	213	242	214	-3	224	224	224	224
Premises	183	272	172	734	175	177	180	182
Transport	1	1	1	0	1	1	1	1
Supplies & Services	238	305	175	181	177	180	182	185
3rd party payments	0	0	0	0	0	0	0	0
Transfer payments	0	0	0	0	0	0	0	0
Support services	479	549	409	0	409	409	409	409
Depreciation	988	988	1,001	0	1,001	1,001	1,001	1,001
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2017/18 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Income	4,642	5,351	4,912	(647)	4,912	4,912	4,912	4,912
Government grants	0	0	0	0	0	0	0	0
Reimbursements	0	0	0	0	0	0	0	0
Customer & client receipts	4,162	4,768	4,469	(647)	4,469	4,469	4,469	4,469
Recharges	480	583	443	0	443	443	443	443
Reserves								
Capital Funded								
Council Funded Net Budget	(2,540)	(2,994)	(2,940)	265	(2,925)	(2,920)	(2,915)	(2,910)
Capital Budget £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2017/18 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
		0	0	0	0	0	0	0



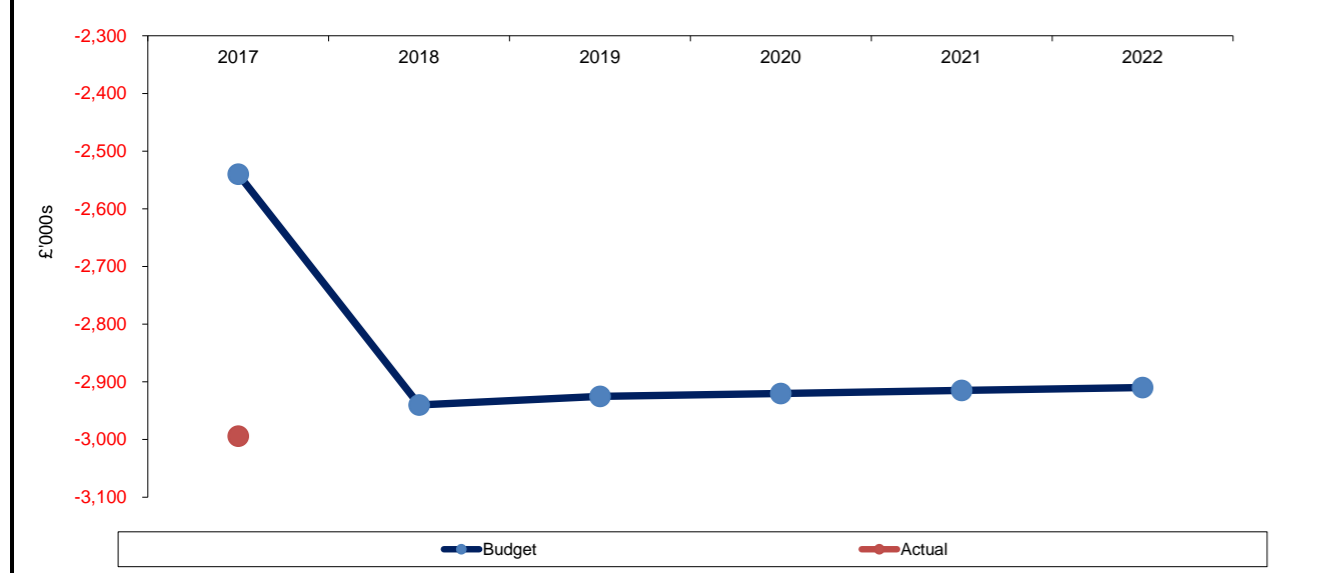
Summary of major budget etc. changes

2019/20

2020/21

2021/22

2022/23



Property

PROJECT DESCRIPTION		MAJOR PROJECT BENEFIT			Risk				
					Likelihood	Impact	Score		
Project 1		Project Title:	New secondary school Land acquisition and granting of new leases.	Infrastructure renewal			2	2	4
Start date	2016-17	Project Details:							
End date	2019-20								
Project 2		Project Title:		Select one major benefit					0
Start date		Project Details:							
End date									
Project 3		Project Title:		Select one major benefit					0
Start date		Project Details:							
End date									
Project 4		Project Title:		Select one major benefit					0
Start date		Project Details:							
End date									
Project 5		Project Title:		Select one major benefit					0
Start date		Project Details:							
End date									
Project 6		Project Title:		Select one major benefit					0
Start date		Project Details:							
End date									
Project 7		Project Title:		Select one major benefit					0
Start date		Project Details:							
End date									
Project 8		Project Title:		Select one major benefit					0
Start date		Project Details:							
End date									
Project 9		Project Title:		Select one major benefit					0
Start date		Project Details:							
End date									
Project 10		Project Title:		Select one major benefit					0
Start date		Project Details:							
End date									
Project 10		Project Title:		Select one major benefit					0
Start date		Project Details:							
End date									

Regulatory Services - Merton element only Cllr Nick Draper: Cabinet Member for Community & Culture Cllr Ross Garrod: Cabinet Member for Street Cleanliness & Parking	Planning Assumptions						The Corporate strategies your service contributes to			
	Anticipated demand	2017/18	2018/19	2019/20	2020/21	2021/22		2022/23		
	Total number of food premises	1803	1816	1829	1829	1829			Air Quality Action Plan	
Total number of service requests	6113	6234	6357	6357	6357		Climate Change Strategy			
Licence/permit applications	1900	1900	1900	1900	1900		Merton Regeneration Strategy			
							Medium Term Financial Strategy			
Anticipated non financial resources	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23				
Staff (FTE) (Merton)	39.48	40.75	40.75	40.75	40.75					
Performance indicator	Actual Performance (A) Performance Target (T) Proposed Target(P)						Polarity	Reporting cycle	Indicator type	Main impact if indicator not met
	2017/18(A)	2018/19(T)	2019/20(P)	2020/21(P)	2021/22(P)	2022/23(P)				
% service requests replied in 5 working days	94.46	97	98	98	98		High	Monthly	Perception	Reduced customer service
Income generation by EHTSL	£450,576	£524,380	£400,000	£410,000	£420,000		High	Monthly	Outcome	Loss of income
% of category A,B & non-compliant C food premises inspected	98	99	100	100	100		High	Annual	Business critical	Government intervention
No. of underage sales test purchases	100	105	110	110	110		High	Annual	Business critical	Anti social behaviour
Annual average amount of Nitrogen Dioxide per m3	37	40	40	40	40		Low	Annual	Outcome	Political risk
Nitrogen Dioxide Diffusion Tube Monitoring Sites in the Borough exceeding National Levels	N/A	0/50	0/50	0/50	0/50		Low	Quarterly	Outcome	Political risk
Annual average amount of Particulates per m3	37.6	40	40	40	40		Low	Annual	Outcome	Political risk
Number of licence applications determined within 28 days	96.13%	97%	98%	99%	100%		High	Quarterly	Business critical	Reputational risk
% of food premises rated 2 or below	7.84%	10%	9%	8%	7%		Low	Quarterly	Outcome	Reputational risk

A brief description of your main activities and objectives:
Provide statutory environmental health, trading standards and licensing functions across those councils that make up the Regulatory Services Partnership (currently LB Merton, LB Richmond and LB Wandsworth).

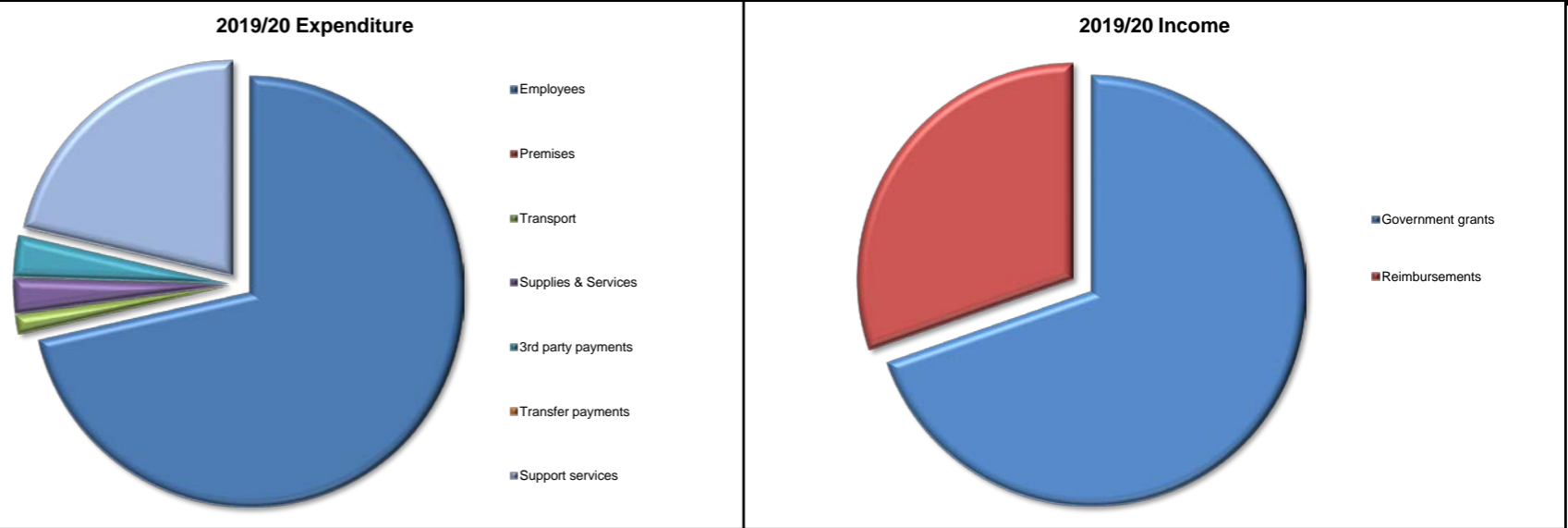
Deliver savings and efficiencies by:

- reducing overheads
- generating additional income
- attracting new business
- rationalising ICT systems

Transform the service by:

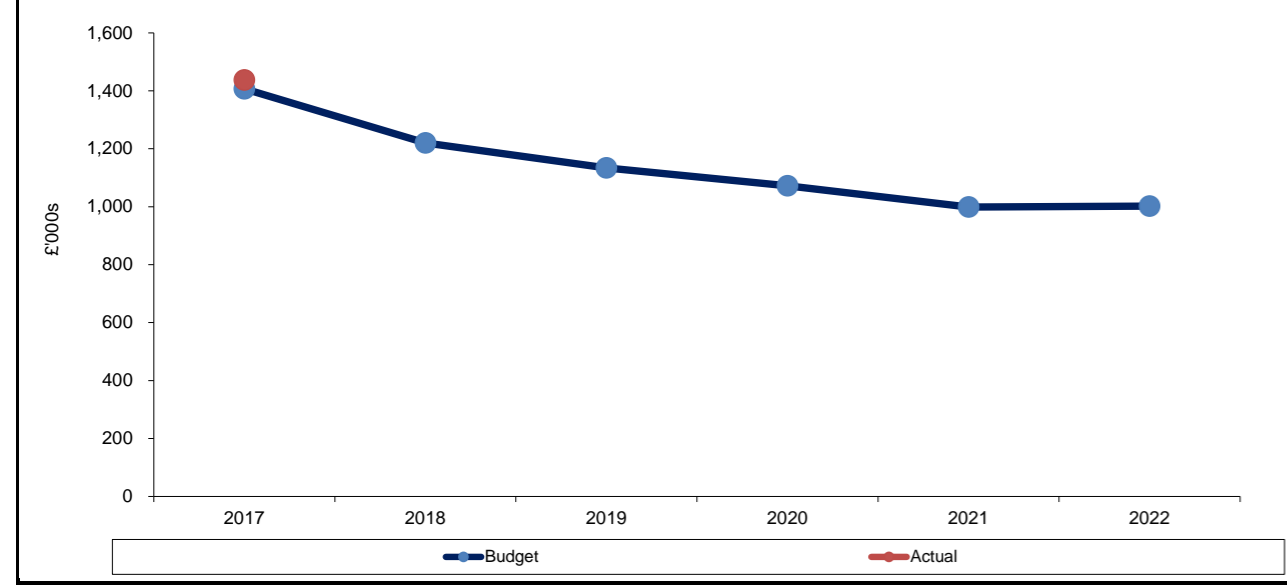
- demand management
- streamlining business processes
- implementing new ways of working

DEPARTMENTAL BUDGET AND RESOURCES								
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2017/18 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Expenditure	3,056	4,244	2,950	(189)	3,131	3,134	3,136	3,139
Employees	1,978	3,241	2,070	(174)	2,237	2,237	2,237	2,237
Premises	0	4	0	3	0	0	0	0
Transport	47	50	44	0	45	46	46	47
Supplies & Services	160	131	59	7	81	81	82	83
3rd party payments	95	88	107	(25)	98	100	101	102
Transfer payments	0	0	0	0	0	0	0	0
Support services	776	730	670	0	670	670	670	670
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2017/18 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Income	1,649	2,806	1,730	365	1,997	2,062	2,137	2,137
Government grants	0	1	0	0	0	0	0	0
Reimbursements	1,179	1,252	1,206	228	1391	1391	1391	1391
Customer & Client receipts	470	1,553	524	137	606	671	746	746
Recharges								
Reserves								
Capital Funded								
Council Funded Net Budget	1,407	1,438	1,220	176	1,134	1,072	999	1,002
Capital Budget £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2017/18 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
		0	0	0	0	0	0	0



Summary of major budget etc. changes

Year	ENR1 (£100k)	E1 (£60k)
2019/20	ENR1 = (£100k)	E1 = (£60k)
2020/21	E1 = (£65k)	
2021/22	E1 = (£75k)	
2022/23		



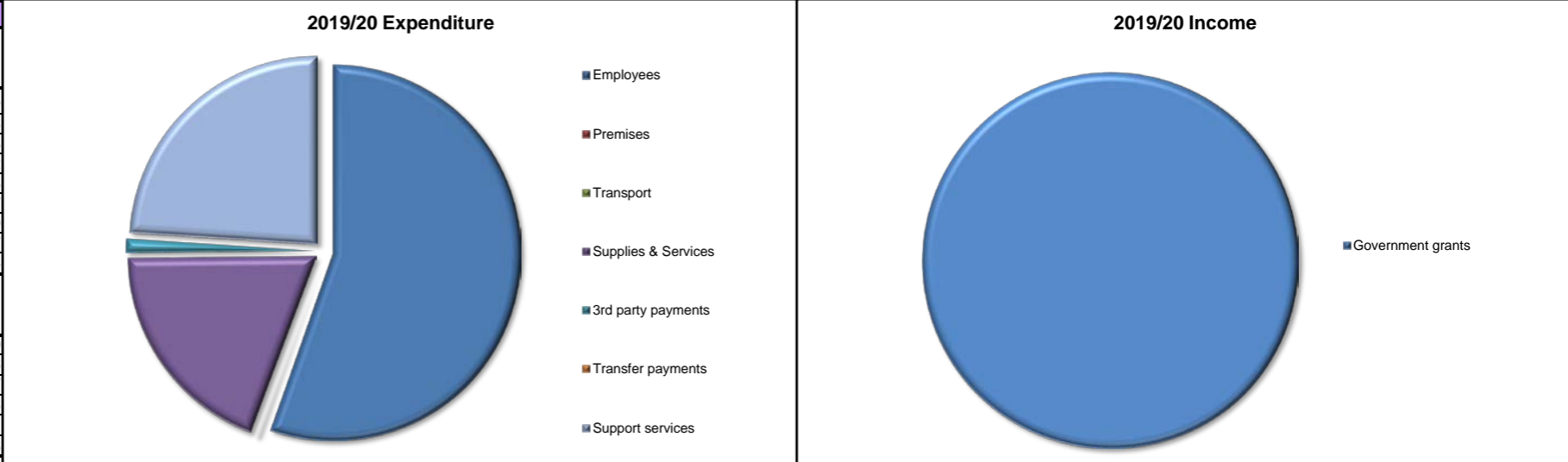
DETAILS OF MAJOR PROJECTS (INCLUDING PROCUREMENT) - MAXIMUM OF 10 OVER THE FOUR YEAR PERIOD

Regulatory Services - Merton element only

PROJECT DESCRIPTION		MAJOR PROJECT BENEFITS			Risk			
					Likelihood	Impact	Score	
Project 1		Project Title:	Procurement of a new ICT case management system			Improved efficiency (savings)		
Start date	2016-17	Project Details:	Contribution to the ICT led procurement of a new computer system for E&R and potential joint procurement with Richmond and Wandsworth			2	1	2
End date	2019-20							
Project 2		Project Title:	Design and implement a joint Merton/Richmond budget			Economic outcomes		
Start date	2015-16	Project Details:	Design and implement a joint revenue (income & expenditure) budget on a to be determined costs apportionment model			2	1	2
End date	2018-19							
Project 3		Project Title:				Select one major benefit		
Start date		Project Details:						0
End date								
Project 4		Project Title:				Select one major benefit		
Start date		Project Details:						0
End date								
Project 5		Project Title:				Select one major benefit		
Start date		Project Details:						0
End date								
Project 6		Project Title:				Select one major benefit		
Start date		Project Details:						0
End date								
Project 7		Project Title:				Select one major benefit		
Start date		Project Details:						0
End date								
Project 8		Project Title:				Select one major benefit		
Start date		Project Details:						0
End date								
Project 9		Project Title:				Select one major benefit		
Start date		Project Details:						0
End date								
Project 10		Project Title:				Select one major benefit		
Start date		Project Details:						0
End date								

Safer Merton Cllr Edith Macauley: Cabinet Member for Community Safety, Engagement & Equalities Enter a brief description of your main activities and objectives below	Planning Assumptions						The Corporate strategies your service contributes to			
	Anticipated demand	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23			
	Number of new, actionable, ASB cases	400	400	400	350	350	350	Safer & Stronger Strategic Assessment		
Population	208,225	209,421	210,452	212,658	214,740	216,662	Violence Against Women and Girls Strategy			
No. Multi Agency Risk Assessment cases (domestic abuse)	170	170	170	200	210	210	Children and Young People's Plan			
% of all residents actively engaged in Neighbourhood Watch schemes	40%	35%	38%	40%	40%	40%	Community Cohesion Strategy			
Anticipated non financial resources	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23	Health & Wellbeing Strategy			
Staff (FTE)	7.99	7.49	17.49	17.49	17.49	16.49	Safeguarding Children's Board Annual			
Performance indicator	Actual Performance (A) Performance Target (T) Proposed Target (P)						Polarity	Reporting cycle	Indicator type	Main impact if indicator not met
	2017/18(A)	2018/19(T)	2019/20(P)	2020/21(P)	2021/22(P)	2022/23(P)				
Multi Agency Risk Assessment cases - domestic abuse	340	153	310	300	300	290	High	Monthly	Business critical	Safeguarding issues
Number of Community Protection Warnings Issued	22	24	24	36	36	24	Low	Quarterly	Outcome	Reduced enforcement
Number of Community Protection Notices Issued	3	2	2	3	3	2	Low	Quarterly	Quality	Reduced enforcement
Number of premise closure orders used	N/A	10	8	6	6	6	Low	Quarterly	Outcome	Anti social behaviour
Total number of Neighbourhood Watches	N/A	580	535	535	555	565	High	Annual	Output	Community engagement
ASB cases acknowledged within service timescales	N/A	90%	95%	95%	95%	95%	High	Quarterly	Output	Anti social behaviour
% of public realm cameras working at all times		95%	95%	95%	95%	95%	Low	Quarterly	Output	Reduced enforcement
Number of external contracts managed by CCTV			2	4	6	6	Low	Annual	Outcome	Loss of income
Percentage of CCTV cameras working at any time	95	98	98	98	98	98	High	Quarterly	Business critical	Reduced service access

DEPARTMENTAL BUDGET AND RESOURCES								
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2017/18 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Expenditure	671	663	684	49	1,431	1,436	1,440	1,445
Employees	346	357	342	(16)	755	755	755	755
Premises	3	3	3	8	3	3	3	3
Transport	1	1	1	0	1	2	2	2
Supplies & Services	190	179	144	58	261	265	269	273
3rd party payments	12	5	38	(1)	16	16	16	17
Transfer payments	0	0	0	0	0	0	0	0
Support services	119	116	156	0	327	327	327	327
Depreciation	0	0	0	0	68	68	68	68
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2017/18 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Income	76	121	76	(51)	299	299	299	299
Government grants	76	121	76	76	76	76	76	76
Reimbursements	0	0	0	(132)	117	117	117	117
Customer & client receipts	0	0	0	5	106	106	106	106
Recharges								
Council Funded Net Budget	595	542	608	(2)	1,132	1,137	1,141	1,146



Capital Budget £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2017/18 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
			0	0	0	0	0	0

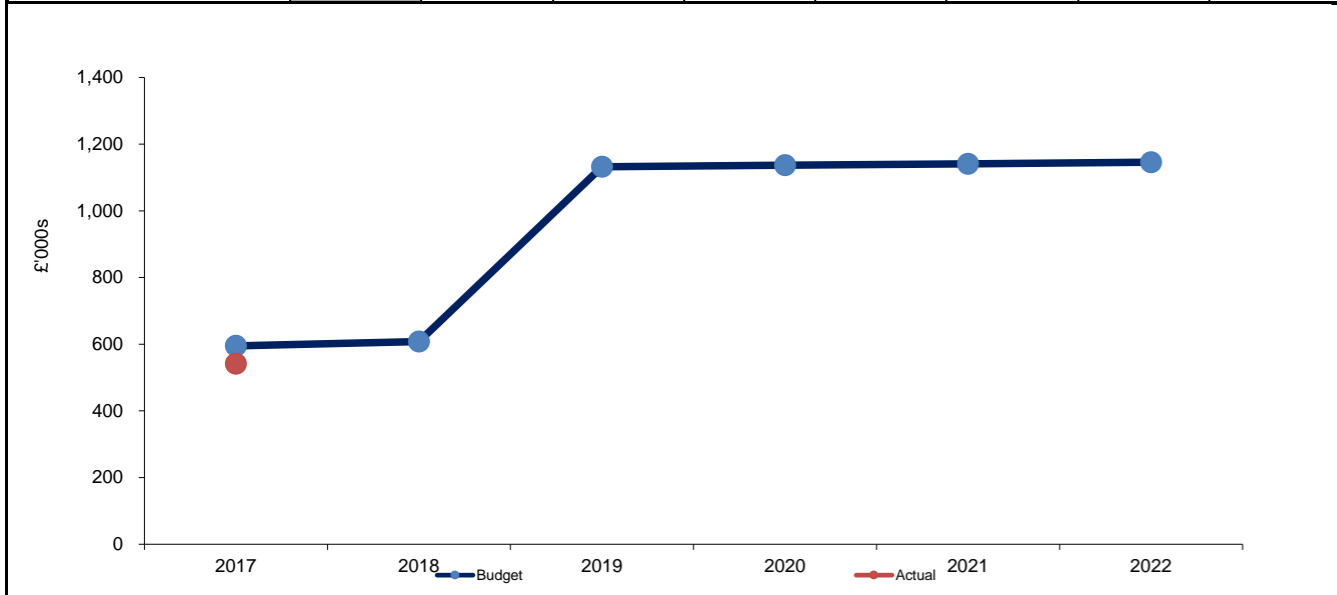
Summary of major budget etc. changes

2019/20
ENR4 = (£100k)

2020/21

2021/22

2022/23



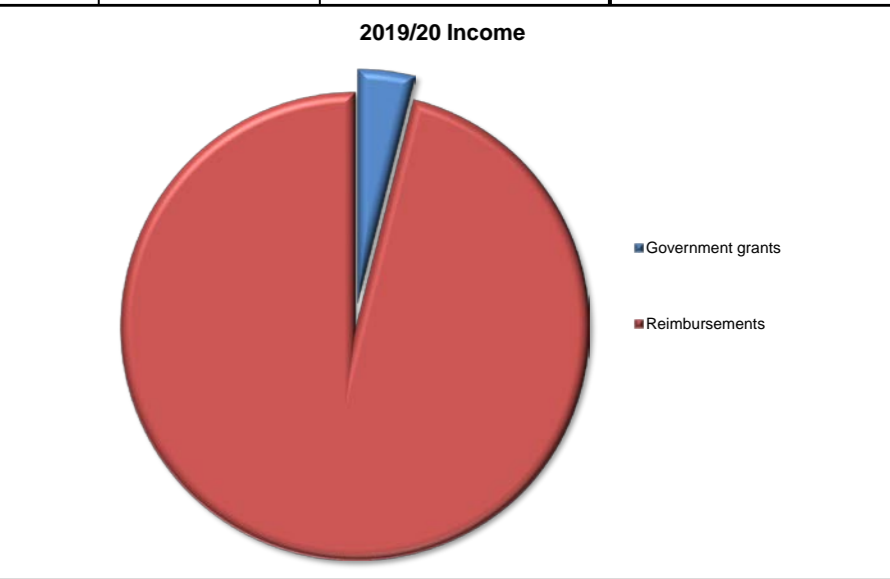
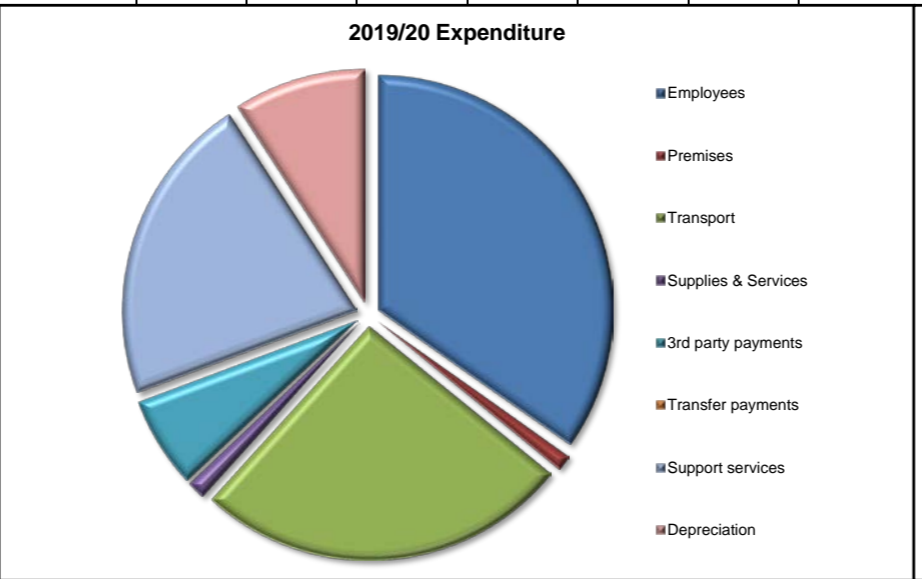
Safer Merton

PROJECT DESCRIPTION		MAJOR PROJECT BENEFITS			Risk				
					Likelihood	Impact	Score		
Project 1		Project Title:	Merton says NO MORE - Sexual Violence Focus	Improved customer experience					
Start date	2017-18		Building on the success of the UK SAYS NO MORE launch in September 2016, where Merton was the second London borough to launch the campaign to condemn Domestic Violence and Sexual Violence, the Community Safety Partnership, and VAWG board wish to now focus more on sexual violence. Since September 2016 a lot of work has been undertaken on DV and now work on SV will commence - this is to align with the #MeToo campaign, increased awareness of sexual violence and the need to respond to this more coherently	Improved victim awareness, increased profile for Merton as a pro-active borough in addressing crime and ASB and associated reputational benefits across London			2	2	4
End date	2021-22								
Project 2		Project Title:	DVA commissioning	Improved customer experience					
Start date	2018-19		To bring together the two contracts for Independent Domestic Violence Advocates (IDVAs) and Merton's Refuge provision together to recommission. The recommission will be under a 3+1+1 term seeing a rise in investment from across the directorates of CSF, C&H and E&R. This work will improve the victims journey ensuring that the victims receive the right support, at the right time	Improved victim journey, improved outcomes for families, improved safety and an improved reputation for Merton as a borough whom delivers good quality service to victims			2	3	6
End date	2019-20								
Project 3		Project Title:	ECINS procurement	Improved efficiency (savings)					
Start date	2017-18		Procurement of a new risk and information management system to improve safety for vulnerable people with partners from across all sectors coming together to share information and safeguard. Commissioned for use by safer Merton and the YOT in CSF initially this software, which is cloud based, will deliver real time benefits to the public purse as we work to support, safeguard and/or enforce against some of our most complex and in need residents	By utilising information/intelligence in a more direct and real time environment we can identify a range of outcomes which, when met, will reduce risk of crime, ASB, risk of exploitation, missing etc.			3	2	6
End date	2019-20								
Project 4		Project Title:	ASB Enforcement - Tackling Law Breakers	Improved reputation					
Start date	2018-19		As part of work to meet the manifesto pledge to "tackle non law abiding citizens" Safer Merton, and the Community Safety Partnership, will increase enforcement work across key areas of business such as ASB and public space protection orders (PSPO)	Residents understand, and can see, what work is being undertaken to address poor behaviour and how their support contributes to this			5	1	5
End date	2019-20								
Project 5		Project Title:	Public Space Protection Order (PSPO) consultation	Risk reduction and compliance					
Start date	2019/20		The current street drinking PSPO expires in October 2020. In Autumn 2019 a thorough consultation and engagement process must be undertaken to ascertain if PSPOs should continue in Merton beyond 2020 and if so in which area(s). Consultation will involve residents, businesses, elected members and any other person(s) whom have an involvement with Merton	Residents state the street drinking is one of their top three crime concerns. Any extension of the current PSPO will allow for continued work to enforce against problematic persons			5	2	10
End date	2020/21								
Project 6		Project Title:	CCTV lean review	Improved staff skills and development					
Start date	2019/20		As identified in the Safer Merton TOM the CCTV service will undergo a Lean Review via the Business Improvement team. This work will explore how the service currently operates and how it could be ran more effectively and efficiently to improve outcomes and service	Staff are more engaged and are able to work in a more effective and efficient manner. Outcomes and improvements are seen across the CCTV service			2	2	4
End date	2019/20								
Project 7		Project Title:		Select one major benefit					
Start date									0
End date									
Project 8		Project Title:		Select one major benefit					
Start date									0
End date									
Project 9		Project Title:		Select one major benefit					
Start date									0
End date									
Project 10		Project Title:		Select one major benefit					
Start date									0
End date									

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Transport	Planning Assumptions						The Corporate strategies your service contributes to			
Cllr Martin Whelton: Cabinet Member for Regeneration, Environment & Housing	Anticipated demand	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23			
Enter a brief description of your main activities and objectives below	CSF Passenger Journeys - In-House	70,000	70,000	70,000	70,000	70,000		Children and Young People's Plan		
	C&H Passenger Journeys - In-House	70,000	70,000	70,000	70,000	70,000		Special Educational Needs and Disabilities Strategy		
To provide effective Home to School and Vulnerable Adults transport service, using the in-house fleet of buses and assorted vehicles										
To provide health & safety and vehicle related in-house training to all council staff and external organisations utilising the Councils fleet of vehicles.	Anticipated non financial resources	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23			
	No.Transport Fleet vehicles	40	40	40	40					
	Staff	48.35	44.84	44.84	44.84	44.84				
Performance indicator	Actual Performance (A) Performance Target (T) Proposed Target (P)						Polarity	Reporting cycle	Indicator type	Main impact if indicator not met
	2017/18(A)	2018/19(T)	2019/20(P)	2020/21(P)	2021/22(P)	2022/23(P)				
% Client user satisfaction	N/A	97	97	97	98		High	Annual	Outcome	Reduced customer service
Average % passenger vehicles in use	88	85	85	85	85		High	Annual	Unit cost	Reduced customer service
% in-house journey that meet timescales	84	85	85	85	85		High	Annual	Outcome	Reduced customer service
Sickness - average days per FTE	16.34	10.5	9.5	8	8		Low	Monthly	Unit cost	Increased costs

DEPARTMENTAL BUDGET AND RESOURCES								
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2017/18 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Expenditure	4,322	4,121	4,133	115	4,214	4,214	4,214	4,214
Employees	1,509	1,535	1,373	92	1,465	1,465	1,465	1,465
Premises	46	27	46	0	46	46	46	46
Transport	1,091	983	1,092	0	1,091	1,091	1,091	1,091
Supplies & Services	63	51	63	6	53	53	53	53
3rd party payments	266	232	266	17	266	266	266	266
Transfer payments	0							
Support services	952	897	907	0	907	907	907	907
Depreciation	395	395	386	0	386	386	386	386
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2017/18 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Income	4,264	4,171	4,168	0	4,168	4,168	4,168	4,168
Government grants	0							
Reimbursements	155	141	165	0	165	165	165	165
Customer & Client receipts	4,109	4,030	4,003	0	4,003	4,003	4,003	4,003
Recharges								
Reserves								
Capital Funded								
Council Funded Net Budget	58	(50)	(35)	115	46	46	46	46
Capital Budget £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2017/18 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23
Fleet Vehicles		155	503	(78)	300	300	300	300
GPS Vehicle Tracking		192	0	0	0	0	0	0
Alleygating		33	38	(13)	30	30	30	30
Other		0	6	0	0	0	0	0
		380	547	(91)	330	330	330	330



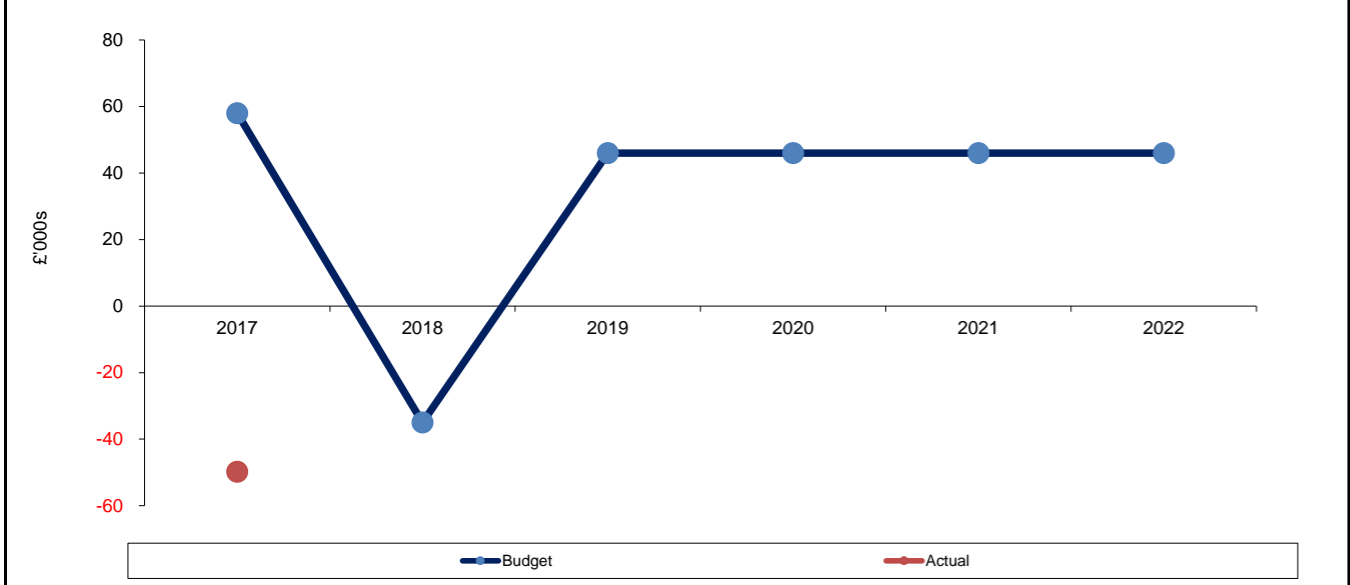
Summary of major budget etc. changes

2019/20

2020/21

2021/22

2022/23



Transport

PROJECT DESCRIPTION		MAJOR PROJECT BENEFIT		Risk		
				Likelihood	Impact	Score
Project 1		Project Title:	Review of Fleet provision (Vehicles)	Select one major benefit		
Start date		Project Details:	Undertake a vehicle replacement programme including a review of shared / pool vehicles. This will take into account the findings / recommendations of the parking review.	Finacial savings from reduced fleet through shared vehicles	3	2
End date						
Project 2		Project Title:	Passenger transport	Select one major benefit		
Start date		Project Details:	Undertake a joint review of the current service offer provided to SEN and C&H.	service efficiency	3	2
End date						
Project 3		Project Title:	In Cab technology	Select one major benefit		
Start date		Project Details:	Undertake a business case to asses the benefits of vehicle tracking and dash camera recording devices	service improvement leading to finacial savings (reduced insurance claims)	3	2
End date						
Project 4		Project Title:	Passenger Transport Review	Select one major benefit		
Start date		Project Details:	Commision review of Passenger transport (Make or buy supply chain management)			0
End date						
Project 5		Project Title:		Select one major benefit		
Start date		Project Details:				0
End date						
Project 6		Project Title:		Select one major benefit		
Start date		Project Details:				0
End date						
Project 7		Project Title:		Select one major benefit		
Start date		Project Details:				0
End date						
Project 8		Project Title:		Select one major benefit		
Start date		Project Details:				0
End date						
Project 9		Project Title:		Select one major benefit		
Start date		Project Details:				0
End date						
Project 10		Project Title:		Select one major benefit		
Start date		Project Details:				0
End date						

Commissioned Service
Waste Management and Cleansing
Cllr Mike Brunt: Cabinet Member for Street Cleanliness & Parking
Cllr Martin Whelton Cabinet Member for Regeneration, Environment & Housing
Service Providers:
Veolia UK Ltd
Viridor Waste Management
Kingdom Ltd (Environmental Protection)
Noah's Ark (Stray Dogs / Enforcement)

The London Borough of Merton is committed to managing the provision of high quality and sustainable waste management and cleansing services to residents, businesses and those passing through the borough. The service ambition is to maintain a clean, green and safe environment that meet the standards of London's Best Council.

These services are delivered through a combination of commissioned services and in-house engagement and enforcement activities.

The key objectives of the service are:

To fulfil the council's statutory responsibilities and duties with respect to waste management, street cleaning, waste enforcement and the management of stray animals.

To provide value for money services that meet the needs of the community

To provide a safe and supportive environment for our community and all employees engaged in delivering services.

To promote and encourage sustainable waste management activities, maximising resource efficiency and securing value from all waste streams as far as practicably possible

Planning Assumptions										
Anticipated demand	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23				
Housing Properties	84,000	85,000	86,000	86,500	86,500					
Kilometres of Roads	375	375	375	375	375					
Population	207,410	209,421	210,452	212,658	214,740					
Total household waste tonnage	71,000	71,000	71,000	71,000	71,000					
Anticipated non financial resources	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23				
Clienting and Commissioning Team	6.69	3.19	3.19	3.19	3.19					
Community Engagement and Enforcement	9	9	9	9	9					
SLWP	4	2	2	2	2					
Client Neighbourhood team	1.5	2.4	2.4	2.4	2.4					
Veolia UK Ltd	Contract price and schedule of rates									
Viridor										
Kingdom Ltd										
Noah's Ark										
Performance indicator (LBC2020 indicators highlighted in purple)	Actual Performance (A) Performance Target (T) Proposed Target (P)						Polarity	Reporting cycle	Indicator type	Main impact if indicator not met
	2017/18(A)	2018/19(T)	2019/20(P)	2020/21(P)	2021/22(P)	2022/23(P)				
% Residents satisfied with street cleanliness	N/A	57	58	60			High	Annual	Perception	Reputational risk
% Sites surveyed below standard for litter	12.6	8	6	4			Low	Monthly	Perception	Reputational risk
% Sites surveyed below standard for Detritus	14.58	10	9	7			Low	Quarterly	Perception	Reputational risk
% Sites surveyed below standard for graffiti	6.1	5.0	5.0	5.0			Low	Quarterly	Perception	Reputational risk
% Sites surveyed below standard for weeds	6.22%	11	10	9			Low	Quarterly	Perception	Reputational risk
No. of fly tips in streets and parks recorded by contractor	8429	8400	8400	8400			Low	Monthly	Outcome	Reputational risk
% of fly tips removed within 24 hours	68%	90%	95%	95%			High	Monthly	Outcome	Reputational risk
% Sites surveyed below standard for flyposting	1.74%	1	1	1			Low	Quarterly	Perception	Reputational risk
% of FPNs issued that have been paid	74%	70%	70%	70%			High	Monthly	Output	Loss of income
% Household waste recycled	37.39%	46%	48%	50%			High	Monthly	Business critical	Reputational risk
% Residents satisfied with refuse collection	N/A	73	74	75			High	Annual	Perception	Reputational risk
Residual waste kg per household pa	536.72	500	475	435			Low	Monthly	Outcome	Increased costs
% Municipal solid waste landfilled	55%	65%	10%	5%			Low	Monthly	Outcome	Increased costs
Number of missed bins per 100,000	95.33	50	40	30			Low	Monthly	Outcome	Reduced customer service
Total waste arising per household Kg	857.17	910	910	910			Low	Monthly	Outcome	Reputational risk
% Residents satisfied with recycling facilities	N/A	72	74	75			High	Annual	Perception	Reputational risk

Financial Information - Waste Management and Cleansing									Additional Expenditure Information			
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2017/18 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23	2019/20 ENR9 = (£200k) EV08 = (£250k) ERG2 = £35k E2 = (£30k)			
Expenditure	17,808	17,658	15,672	-605	17,768	18,016	18,262	18,511				
Employees	1,108	1,014	823	366	829	829	829	830				
Premises	387	244	338	(128)	343	348	353	358				
Transport	298	327	298	(60)	302	307	311	316				
Supplies & Services	7,120	9,859	6,154	1,424	8,375	8,507	8,639	8,771				
3rd party payments	7,948	5,286	7,032	(2,207)	6,892	6,998	7,103	7,209				
Transfer payments	0	0	0	0	0	0	0	0				
Support services	366	347	406	0	406	406	406	406				
Depreciation	581	581	621	0	621	621	621	621				
Revenue £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2017/18 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23				
Income	3,467	3,237	1,373	(102)	3,698	3,698	3,698	3,698	3,698			
Government grants	0	0	0	0	0	0	0	0	0			
Reimbursements	449	326	360	(35)	360	360	360	360	360			
Customer & client receipts	3,018	2,911	1,013	(67)	3,338	3,338	3,338	3,338	3,338			
Recharges	0	0	0	0	0	0	0	0	0			
Reserves												
Capital Funded												
Council Funded Net Budget	14,341	14,421	14,299	(707)	14,070	14,318	14,564	14,813				
Capital Budget £'000s	Final Budget 2017/18	Actual 2017/18	Budget 2018/19	Forecast Variance 2017/18 P7	Budget 2019/20	Budget 2020/21	Budget 2021/22	Budget 2022/23				
Waste Bins		0	2,674	2,674								
Fleet Vehicles		972	2,670	2,670					340			
Other		56	56	56								
P		1,028	5,400	5,400	0	0	0	340				

DETAILS OF MAJOR PROJECTS

PROJECT DESCRIPTION		Major Projects Benefits		Risk			
				Likelihood	Impact	Score	
Project 1	Project Title:	New Waste collection Service (Wheelie Bins)		Improved effectiveness			
Start date	01/04/2018	Project Details:	deliver both core and value adding services in line with contractual service standards.	Improved service delivery	5	3	15
End date							
Project 2	Project Title:	Waste disposal		Improved effectiveness			
Start date	2012-13	Project Details:	review current disposal arrangements and develop a new commissioning and procurement plan for each of the main waste streams. This will be undertaken in partnership with SLWP	Environmental benefits from diverting waste from landfill, sustainable waste management	3	2	6
End date	2018-19						
Project 3	Project Title:	Neighbourhood Recycling Centres		Select one major benefit			
Start date	01/04/2019	Project Details:	Following the implementation of the new waste collection service and the introduction of new containers for recycling are NRC required and adding value. A review of the service is to be conducted in Partnership with our contractor to assess the effectiveness of this service.	Resident satisfaction / reduced level of fly tips. Improved public realm	3	2	6
End date	30/07/2019						
Project 4	Project Title:	Environmental Enforcement		Select one major benefit			
Start date		Project Details:	Undertake a commissioning review of the external enforcement arrangements. (make or buy review) Taking into account the wider scope for shared working of enforcement activities.	Service efficiency	3	2	6
End date							

BUDGET 2018

SUMMARY OF KEY POINTS

The Budget 2018 was presented to Parliament in the House of Commons on 29 October 2018. At the same time the Office for Budget Responsibility (OBR) published its October 2018 “Economic and Fiscal Outlook”

This is a summary of the key points arising from the Budget that may have a potential impact on the Council. Specific allocations for Merton will not be confirmed until the Provisional Local Government Finance Settlement for 2019-20 is announced in December 2018.

Business Rates

Small business rate relief – for businesses with a rateable value of less than £51,000 there will be a cut of one-third in business rates. This will be for two years from April 2019.

Public Lavatories – The government are introducing 100% business rates relief for these.

Local Newspaper Discount – The government will continue the £1,500 discount for office space occupied by local newspapers in 2019-20.

Local authorities will be fully compensated for the loss of income arising from these business rates measures.

Investing in UK Towns and Cities – Future High Streets

As part of the government’s “Our Plan for the High Street” and alongside changes to business rates, it will launch a new Future High Streets Fund to invest £675 million in England to support local areas to develop and fund plans to make their high streets and town centres fit for the future. This will invest in town centre infrastructure, including to increase access to high streets and support redevelopment and densification around high streets.

The Future High Fund includes £55 million for heritage-based regeneration, restoring historic high streets to boost retail and bring properties back into use as homes, offices and cultural venues. The Fund will also establish a new High Streets Taskforce to disseminate best practice among local leaders.

High streets planning – The government will consult on planning measures to support high streets to evolve. As part of this, it will consult on creating a more flexible and responsive ‘change of use’ regime with new Permitted Development Rights that make it easier to establish new mixed-use business models on the high street. It will also trial a register of empty shops with selected local authorities, and trial a brokerage service to connect community groups to empty shops.

Social Care

Green Paper on Social Care – In the Budget 2018, the government state that “In the longer term, the government is committed to putting social care on fairer and more sustainable footing and will set out proposals for adult social care in the forthcoming green paper.” The date of publication of the green paper is not yet known.

The budget provides an additional £240m in 2018-19 (previously announced) and £240m in 2019-20 for Adult Social Care. Merton’s share of each £240m is estimated to be £0.748m.

An additional £410m is provided in 2019-20 for adults and children’s social care. Merton’s estimated share of this is £1.278m.

The budget provides an additional £55m in 2018-19 for Disabled Facilities Grant.

The budget provides £84m over five years for up to 20 local authorities for Children’s Social Care Improvement to help more children stay at home with their families.

Schools and Youth Service

School equipment and maintenance uplift – The budget provides £400m in 2018/19 for schools in England to spend on equipment and facilities.

Maths and Physics Teacher Retention Trial – The budget provides £10m to fund a regional trial to test how to improve retention.

Youth Endowment Fund – The budget provides £200m to fund activities for 10 -14 year olds in England and Wales over at least 10 years, specifically working with those most at risk of youth violence.

Local roads

The government will allocate £420 million to local authorities in 2018-19 to tackle potholes, repair damaged roads, and invest in keeping bridges open and safe. This is available immediately and has been allocated using the Department for Transport’s needs-based formula. Merton’s allocation is £489,000.

To support projects across England that ease congestion on local routes, the government will also make £150 million of National Productivity Investment Fund (NPIF) funding available to local authorities for small improvement projects such as roundabouts.

Housing

The immediate removal of the HRA borrowing cap was confirmed (from 29 October 2018) and the government estimates an additional 10,000 homes a year will be built, costing the policy at £4.6 billion over 5 years (£1.3 billion a year by 2022-23).

The Housing Infrastructure Fund, funded by the NPIF, will increase by £500 million to a total of £5.5 billion.

British Business Bank: The British Business Bank will provide guarantees to support up to £1 billion of lending to SME housebuilders.

Housing associations: £663 million will be provided up to 2020/21 to fund strategic partnerships with nine housing associations.

Community Infrastructure Levy: the government will simplify the system of developer contributions, including removing all restrictions on section 106 pooling for single pieces of infrastructure and simplifying the process for setting a higher zonal CIL in areas of high value uplift. A new Strategic Infrastructure Tariff will also be made available to Combined Authorities.

Help to Buy equity loan: The Help to Buy equity loan scheme will be extended by two years to March 2023, with new regional price caps introduced from 2021. The scheme will end from 2023.

The National Health service (NHS)

The NHS is the government's number one spending priority. Based on the multi-year funding plan announced in June, the NHS budget will increase by £20.5 billion more a year in real terms by 2023/24 at an average real growth rate of 3.4% per year.

The government has set the NHS five financial tests to meet in producing a 10 year plan:

- the NHS (including providers) will return to financial balance
- the NHS will achieve cash-releasing productivity growth of at least 1.1% a year (with a final number to be confirmed in the plan), with all savings reinvested in frontline care
- the NHS will reduce the growth in demand for care through better integration and prevention (with a final number to be confirmed in the plan)
- the NHS will reduce variation across the health system, improving providers' financial and operational performance
- the NHS will make better use of capital investment and its existing assets to drive transformation

Mental Health: Funding for mental health services will grow as a share of the overall NHS budget over the next 5 years with up to £250 million a year invested into mental health crisis services across the country. This will include the establishment of a mental health crisis hotline, extending mental health support to every A&E, improving community services, increasing the fleet of mental health ambulances, and

increasing schools-based mental health support. Additionally, the Individual Placement Support programme will be expanded, assisting the employment of people with severe mental illness.

Welfare

Universal Credit Work Allowance: households with children and people with disabilities will have their work allowance threshold increased by £1,000 per annum.

Movement onto Universal Credit: benefit claimants on jobseeker's allowance, Employment and Support allowance, and Income support will receive an extra fortnights' support during their transition to Universal Credit from 2020.

Self-Employment: the 12 month grace period before the Minimum Income Floor applies will be extended

Deductions: the maximum rate at which deductions can be made from a Universal Credit award will reduce from 40% to 30%.

Implementation period for Universal Credit: Implementation of Universal Credit will take place from July 2019 to December 2023.

Housing Benefit: rent support will remain with housing benefit rather than pension credit for three years, funding for supported housing will remain in a welfare system, and 18-21 year olds will be entitled to housing support under Universal Credit.

Pay

National Living Wage: to increase from £7.83 to £8.21 (4.9%) an hour in April 2019.

Crossrail 2

The government is considering the recommendations of the Independent Affordability Review of Crossrail 2, and will consider the case for the project at the Spending Review.

Office for Budget Responsibility– Fiscal and economic outlook (October 2018)

In the Economic and fiscal outlook (EFO), the Office for Budget Responsibility (OBR) set out forecasts to 2023-24 and also assess whether the Government is on course to meet the medium-term fiscal and welfare spending objectives that it has set itself.

The Office for Budget Responsibility (OBR) published its 2018 “Economic and fiscal outlook” at the same time as the Budget 2018 on 29 October 2018.

There is a legal requirement for the OBR to base its forecasts on current Government policy.

The OBR look at economic developments since their previous forecast, the economic and the fiscal outlooks and how the economy has performed against the Government’s fiscal targets. It concludes that there has been “a significant improvement in the underlying pace of deficit reduction, that on its own would have put the Government on course to achieve its objective of a balanced budget for the first time. As it happens, this underlying improvement had already been swallowed up by the Prime Minister’s promise of higher spending on the NHS made in June. The remaining Budget policy measures are a further near-term giveaway that gradually diminishes over the forecast, leaving the deficit in 2022-23 little changed overall.”

In terms of progress towards achieving its fiscal targets the OBR concludes that the government remains on track to meet three out of four fiscal objectives: bringing the structural deficit below 2% in 2020/21 (‘fiscal target’); ensuring debt falls as a percentage of GDP by 2020/21 (‘supplementary target’); and keeping welfare spending below its cash limit (‘welfare cap’). The OBR believes that the fourth objective of delivering a balanced budget by 2025/26 remains “challenging”, but falls outside of its formal forecasting period. The OBR stresses that its forecasts are based on the assumption of a “relatively smooth exit from the EU next year” and that there would be “severe short-term implications” of a “disorderly” exit.

Some of the key forecasts for the economy and public finances are included in the following table:-

	Outturn 2017/18	Forecast 2018/19	Forecast 2019/20	Forecast 2020/21	Forecast 2021/22	Forecast 2022/23	Forecast 2023/24
Gross Domestic Product (GDP) Growth (%)	1.7	1.3	1.6	1.4	1.4	1.5	1.6
Public Sector Net Borrowing (£bn)	39.8	25.5	31.8	26.7	23.8	20.8	19.8
Public Sector Net Borrowing (% of GDP)	1.9	1.2	1.4	1.2	1.0	0.9	0.8
Public Sector Net Debt (%)	85.0	83.7	82.8	79.7	75.7	75.0	
CPI (%)	2.7	2.6	2.0	2.0	2.1	2.1	2.0
RPI (%)	3.6	3.5	3.1	3.1	3.2	3.1	3.1
LFS Unemployment Rate (%)	4.4	4.0	3.7	3.8	3.9	3.9	4.0

DRAFT CAPITAL STRATEGY 2019-23

1 Introduction

1.1 Merton's Capital Strategy for 2019-23 has been aligned and integrated with the Business Plan for the period 2019-23. The Business Plan sets out how the Authority's objectives have been shaped by Merton Partnership in the Community Plan. The Community Plan sets out the overall vision and strategic direction of Merton which are embodied into five strategic themes:-

- Children's Trusts;
- Health and Wellbeing Board;
- Safer and Stronger Communities;
- Sustainable Communities and Transport;
- Corporate Capacity

1.2 Merton Partnership works towards improving the outcomes for people who work, live and learn in the borough and, in particular, to 'bridge the gap' between the eastern and western wards in the borough.

1.3 The financial reality facing local government dominates the choices the council will make for the future of the borough. The development of the Business Plan 2019-23 is therefore based on the set of guiding strategic priorities and principles, as adopted by the council on 13 July 2011:

- Merton should continue to provide a certain level of essential services for residents. The order of priority of 'must' services should be:
 - i) Continue to provide everything that is statutory.
 - ii) Maintain services – within limits – to the vulnerable and elderly.
- After meeting these obligations Merton should do all that it can to help residents who aspire. This means we should address the following as priorities in this order:
 - i) Maintain clean streets and keep council tax low.
 - ii) Keep Merton as a good place for young people to go to school and grow up.
 - iii) Be the best it can for the local environment.
 - iv) All the rest should be open for discussion.

1.4 Merton's scrutiny function reflects the five strategic themes above and the themes have been incorporated into the bidding process for capital funding to ensure that scarce financial resources are targeted towards strategic objectives.

2 Planning Infrastructure

2.1 Business Plan 2019-2023

2.1.1 The Business Plan sets out the council's vision and ambitions for improvement over the next four years and how this will be achieved. Business Planning and financial planning frameworks are closely aligned and integrated.

2.2 Target Operating Models (TOMs)

2.2.1 TOMs, or Target Operating Models are a series of strategy documents that set out how the organisation will respond to and manage change over the coming months and years. TOMs have been produced for Service Areas or Departments throughout the council.

2.2.2 A TOM is a statement of how an organisation will deliver its services within a certain structure as a future point in time, TOMs are living documents and will change as the organisation develops. There are a number of elements to a TOM, for Merton these are – Customer Segments, Channels, Services, Organisation, Processes, Information, Technology, Physical Location and People

2.2.3 Developing a TOM is about planning and preparing for change and improvement in a given service. Taking the time to prepare/refresh a TOM allows those within a service to consider its many facets and dependencies and determine how these will change over the coming years. Having an ambitious vision for what the future looks like for the service (which is what a TOM provides), ensures that improvement activity will be more disciplined and controlled and therefore more likely to succeed.

2.3 Service Plans

2.3.1 In developing the Capital Strategy, clear linkages have also been identified with not only the Business Plan, TOMs but also departmental service and commissioning plans beneath this. It reflects the capital investment implications of the approved objectives of those plans, which themselves reflect the council's proposals set out in service based strategies such as the Primary Places Strategy, Local Implementation Plan (Transport), and Asset Management Plans. Priorities for the Corporate Services department are based around how the council manages its resources effectively and how it carries out its wider community leadership role.

- 2.3.2 This Capital Strategy is a fundamental component of our approach since it reflects our strategic priorities across the council and endeavors to maximise the contribution of the council's limited capital resources to achieving our vision. We will work closely with residents, community organisations and businesses to focus our resources and those of our partners effectively. The strategy also sets out the management arrangements for allocating resources to individual schemes, establishing funding for projects, monitoring progress, managing performance and ensuring that scarce capital resources are allocated efficiently.
- 2.3.3 Attached as Annex 6 is the Capital Investment Strategy for the investments/loans the Authority will hold/holds primarily to generate financial returns.

3 Accounting Definitions and Practices

- 3.1 The council's approach to Capital Accounting follows the Code of Practice on Local Authority Accounting, which itself is based on the International Financial Reporting Standards (IFRS) and guidance issued by CIPFA and professional accounting networks.
- 3.2 As in previous years, there has been continual review of the Capital Programme to ensure that expenditure meets the strict definition and to identify any items which would be more appropriate to be charged to revenue. This has not resulted in any major changes to the future programme.
- 3.3 The de-minimis of capital expenditure for the authority is set at £10,000 per project. This applies to all schemes within our capital programme, however in exceptional circumstances thresholds below this may be considered where specific items of expenditure are below this de-minimis level but meet proper accounting definitions of capital expenditure.
- 3.4 Individual schools may choose to adopt the above de-minimis limit or use the limit of £2,000 as mentioned in some Department for Education and HMRC guidance for various types of school.
- 3.5 IFRS 9 requires that investment in risk capital will need to be valued annually at fair value with any loss being written through the profit and loss account in the year it occurs

4 Corporate and strategic capital expenditure appraisal planning and control

4.1 Capital Programme Board

4.1.1 Merton's Capital Strategy is coordinated by the Capital Programme Board. The board, which is effectively a sub-group of the Corporate Management Team (CMT). The Board comprises the Directors of Corporate and Environment and Regeneration Services with selected Level 2/3 managers from each service department.

4.1.2 The Terms of Reference of the Board are:

- Lead on the development and maintenance of the capital investment strategy and ensure it is consistent with the council's strategic objectives, TOMs and service plans.
- Ensure that the capital investment strategy informs and is informed by the asset management plan.
- Ensure there is a transparent and clearly communicated process for allocation of capital funds with clear and well documented criteria and decision making process.
- Monitor progress of capital funded schemes and any other critical schemes as determined by CMT. Receive joint reports from Finance/departmental staff on progress against deliverables, milestones and budget forecasts.
- In conjunction with other governing bodies, consider/approve business cases that involve capital investment.
- Monitor issues arising as a result of changes in accounting treatment of capital expenditure and ensure the organisation responds accordingly.
- Assess capital schemes in the context of the Medium Term Financial Strategy to ensure they are affordable in revenue terms.
- Receive reports from the Property Management and Review Manager relating to capital funds coming from the disposal of property, in collaboration with the Property and Asset Management Board.
- Receive benefits reports from Programme/Project Managers when capital projects/programmes are closed. Monitor key benefits to ensure they are realised for large capital schemes.

4.1.3 The role of the Board is to:

- Set framework and guidelines for capital bids;
- Draft the capital programme for consideration by CMT and Cabinet;
- Review capital bids and prioritise in accordance with the council's strategic objectives;
- Identify and allocate capital funds;
- Monitor progress of capital programmes/projects and key variances between plans and performance;
- Monitor budgets of capital programmes/projects against forecasts;
- Monitor benefits and ensure they are realised. Monitor capital receipts
- Develop and share good practice

4.1.4 The Board will be accountable to the Corporate Management Team who will receive reports and escalated matters from the Board on a regular basis. CMT will set the strategy and direction, the Capital Programme Board will operationalise this and escalate concerns and ideas. The Board will refer to, and take advice from, the Procurement Board on any proposals and/or decisions that have a procurement dimension. The Board will work closely with the Property and Asset Management Board on any property/asset related proposals.

4.1.5 The Board will make agendas and minutes available to the other Governance Boards within 5 working days of the meeting.

4.1.6 During the budget process the Director of Corporate Services recommends to Cabinet an initial view as to how the Capital Programme should be funded. However, this recommendation will be informed by the Capital Programme Board's consideration of the capital receipts available and the forecast of future property disposals and the final funding during the closure of accounts will depend on the precise financial position. At this stage it is intended to utilise internal borrowing, capital grant, direct revenue financing, capital receipts and earmarked reserves. Any capital loans given out by the authority, dependent on the size, will normally be funded from capital receipts as the repayments will be received as capital receipts. It will be reported to Members in advance when it is proposed to use external borrowing.

4.1.7 The council has had a robust policy for many years of reviewing its property holding and disposing of surplus property, this is detailed in the Asset Management Plan (AMP) which also includes policy and procedures for land and property acquisition. All capital receipts are pooled, unless earmarked by Cabinet, and are used either to finance further capital investment or for the payment of premiums on repayment of higher interest loans.

4.2 Capital Programme Approval and Amendment

4.2.1 The Capital Programme is approved by Council each year. Any change which substantially alters the programme (and therefore the Prudential Indicators) requires full Council approval. Rules for changes to the Capital Programme are detailed in the council's Constitution Financial Regulations and Financial Procedures and the key points are summarised here.

4.2.2 For virements which do not substantially alter the programme the below approval limits apply:

- Virements up to £5k can be signed off by the budget manager and the Chief Financial Officer (CFO) is informed of these changes as part of the monthly financial monitoring
- Virements £5k up to £100k must be approved by the Chief Officer of the area or areas affected along with the Chief Financial Officer, typically this will be as part of the monthly financial monitoring report to CMT however approval can be sought from these officers at any time if necessary
- Virements £100k and upwards go to Cabinet
- Any virement which diverts resources from a scheme not started, resulting in a delay to that scheme, will be reported to Cabinet

(Please note virement rules are cumulative i.e. two virements of £5,000 from one code; the latter would require the approval of Chief Officers)

4.2.3 For increases to the programme for existing schemes up to £100,000 must be approved by the Director of Corporate Services. Increases above this threshold must be approved by Cabinet. In accordance with the Prudential Code if the increase in the Capital Programme will substantially change prudential indicators it must be approved by Council.

4.2.4 For new schemes, the source of funding and any other financial or non-financial impacts must be reported and the limits below apply:

- Budgets of up to £50k can be approved by the Chief Financial Officer in consultation with the relevant Chief Officer
- Budgets of £50k up £500k will be submitted to Cabinet for approval
- Budgets over £500k will be submitted to full Council for approval

Approval thresholds are being reviewed as part of the review of processes after the implementation of the new Financial Information System.

4.3 Capital Monitoring

4.3.1 The Council approves the four year Capital Programme in March each financial year. Amendments to the programme are approved appropriately by CMT, Cabinet and Council. Budget managers are required to monitor their budget monthly, key reviews are undertaken in September and November. December monitoring provides the final opportunity for budget managers to re-profile their budgets for the current financial year.

4.3.2 November monitoring information feeds into the Authority's Medium Term Financial Strategy (MTFS) and is used to assess the revenue impact over the period of the strategy with minor amendments in the later months. November monitoring is also used to measure the accuracy of year end projections.

4.3.3 Councillors receive regular monitoring reports on the overall position of capital expenditure in relation to the budget. They also receive separate progress reports on key spend areas.

4.4 Risk Management

4.4.1 The management of risk is strategically driven by the Corporate Risk Management group. The group collates on a quarterly basis the headline departmental risks and planned mitigation activity from each department, project and partnership. From this information a Key Strategic Risk Register is compiled and presented to CMT quarterly for discussion and onto Cabinet and Standards and General Purposes Committee annually. The Authority's Risk Management Strategy is reviewed and updated annually and presented to CMT, Cabinet and Council.

4.4.2 Risk Appetite - The council recognises that its risk appetite to achieve the corporate priorities identified within its business plan could be described in general as an "informed and cautious" approach. Where significant risk arises, we will take effective control action to reduce these risks to an acceptable level.

5 Revenue budget implications of capital investment

5.1 Revenue cost or savings

5.1.1 The capital strategy recognises that the prudential framework provides the council with flexibility, subject to the constraints of the council's revenue budget. This flexible ability to borrow, either from internal cash resources or by external borrowing, coupled with the revised treatment of finance leases with effect from 1 April 2010, means that prudential borrowing is used for the acquisition of equipment, where it is prudent, affordable and sustainable. Since 2012/13 it has been possible to borrow from internal cash resources rather than external borrowing and it is forecast that this will continue to be the case alongside the use of capital receipts within the current planning period (up to 2020/21). This will be kept under review as part of general Treasury Management.

5.1.2 The revenue effects of the capital programme are from capital financing charges and from additional revenue costs such as annual maintenance charges. The capital financing charges are made up of interest payable on loans to finance the expenditure and of principal repayments on those loans. The principal repayments commence in the year after the expenditure is incurred and are calculated by the application of the statutory Minimum Revenue Provision. The interest commences immediately the expenditure is incurred. The revenue effects of the capital programme are fully taken account of in the MTFs, with appropriate adjustments for slippage, timing of capital payments and the use of internal investment funds.

The revenue effects of the capital programme are built into the MTFs and are summarised below:

	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000
MRP	4,141	5,012	6,267	7,107
Interest	6,315	6,356	6,422	6,595
Capital financing costs	10,456	11,368	12,689	13,702
Investment Income	(650)	(495)	(395)	(395)
Interest on Housing Company Loan	0	0	0	(983)
Net	9,806	10,873	12,294	12,324

6 Capital resources 2019-23

6.1 Variety of sources

6.1.1 Capital expenditure is funded from a variety of sources:-

- Grants which are not ring-fenced to be spent on a specific project or service
- Specific grants - earmarked for a specific project or purpose
- Capital receipts from the disposal of surplus and under-utilised land and property and repayment of principal
- Other contributions such as Section 106/CIL
- Council Funding – through revenue funding, use of reserves or borrowing.

6.2 Annual Minimum Revenue Provision (MRP) Statement

6.2.1 Under guidance from the Department for Communities and Local Government, authorities are required to prepare an annual statement on their policy on making MRP. This mirrors the existing requirements to report to the council on the Prudential borrowing limit and investment policy.

6.2.2 The statement is set out in the Treasury Management Strategy.

7 Asset management review

7.1 Capital receipts

7.1.1 Capital receipts generated from the disposal of surplus and under-utilised land and property are a major source of funding and the potential available capital resources are under constant review and revision. The forecast of capital receipts included in this report are based on a multi-year forecast of planned land and property disposals. In addition, after the transfer of the housing stock to Merton Priory Homes, the council continues to receive a share of the receipts from Right to Buy applications and through future sharing arrangements, receipts from the sales of void properties, sales of development land and VAT saving on expenditure on stock enhancements.

7.2 Property as a corporate resource

7.2.1 The council treats its property as a corporate resource, oriented towards achieving its overall goals, underpinned by:

- Clear links to financial plans and budgets.
- Effective arrangements for cross-service working.
- Champions at senior officer and member level.
- Significant scrutiny by councilors.

7.2.2 It ensures that its properties are fit for purpose by making proper provision and action for maintenance and repair. The organisation makes investment and disposal decisions based on thorough option appraisal. The capital programme gives priority to potential capital projects based on a formal objective approval process.

7.2.3 Whole life project costing was used at the design stage for significant projects where appropriate, incorporating future periodic capital replacement costs, projected maintenance and decommissioning costs.

7.2.4 Whole life costing of significant projects, which span more than one year, also forms part of the regular monitoring reports.

7.2.5 The Asset Management Plan is being reviewed and will include greater emphasis on the use of the council's property assets to support the council's Transformation Programme, regeneration and increased income/revenue generation.

7.2.6 A new IT system for asset accounting has been brought into use and the possibility of this system being used for more widespread asset management will be explored.

8 Summary of estimated disposals 2019-2023

8.1 Flexibility in the use of Capital Receipts

- 8.1.1 In December 2017, the Secretary of State announced the continuation of the capital receipts flexibility programme for a further three years, to give local authorities the continued freedom to use capital receipts from the sale of their own assets (excluding Right to Buy receipts) to help fund the revenue costs of transformation projects and release savings. By virtue of his powers under sections 16(2)(b) and 20 of the Local Government Act 2003 (“the Act”), that the local authorities listed in Annex A (“the Authorities”) treat as capital expenditure, expenditure which:
- i. is incurred by the Authorities that is designed to generate ongoing revenue savings in the delivery of public services and/or transform service delivery to reduce costs and/or transform service delivery in a way that reduces costs or demand for services in future years for any of the public sector delivery partners; and
 - ii. is properly incurred by the Authorities for the financial years that begin on 1 April 2016 up to and including 1 April 2021.
- 8.1.2 In further exercise of the Secretary of State’s powers under section 20 of the Act, it is a condition of this direction that expenditure treated as capital expenditure in accordance with it only be met from capital receipts, within the meaning of section 9 of the Act and regulations made under that section (for current provisions see Part 4 of S.I. 2003/3146, as amended), which have been received in the years to which this direction applies; and
- 8.1.3 This direction is given for the purposes of Chapter 1 of Part 1 of the Act only. It does not convey any other consent that may be required or any view as to the propriety of the expenditure. It is for the Authority to be satisfied that any amount to which this direction is applied is properly incurred in the financial year concerned.
- 8.1.4 When applying the direction, the Authorities are required to have regard to the Guidance on Flexible Use of Capital Receipts. The Guidance recommends that the Strategy setting out details of projects to be funded through flexible use of capital receipts be prepared prior to the start of each financial year (Flexible Use of Capital Receipts Strategy). Failure to meet this requirement does not mean that an authority cannot access the flexibility in that year. However, in this instance, the Strategy should be presented to full Council or the equivalent at the earliest possible opportunity.
- 8.1.5 As a minimum, the Strategy should list each project that plans to make use of the capital receipts flexibility and that on a project by project basis details of the expected savings/service transformation are provided. The Strategy should report the impact on the local authority's Prudential Indicators for the forthcoming year and subsequent years. The Strategy should also contain details on projects approved in previous years, including a commentary on whether the planned savings or service transformation have been/are being realised in line with the initial analysis.

8.2 Projected Capital Receipts

8.2.1 Due to difficulties in the property market since the economic recession a cautious view has been taken of the potential capital receipts identified. Much of the anticipated capital receipts are as a result of the VAT shelter agreement entered into with Merton Priory Homes as part of the housing stock transfer. There are current proposals for some of the properties under this agreement to be redeveloped which could result in a reduction in receipts from the VAT shelter agreement, however a Development and Disposals Clawback Agreement was entered into as part of the same transfer and this could result in a significant capital receipt should these development plans go ahead. The following table represents an estimate of an anticipated cash flow and therefore these future capital receipts these have been utilised to fund the capital programme:-

Anticipated Capital Receipts	2019/20	2020/21	2021/22	2022/23
	£000s	£000s	£000s	£000s
Sale of Assets	0	0	0	0
Housing Company Loan Repayment	0	0	0	3,590
Right to buy/VAT Shelter	900	900	900	900
Repayment of One Public Estate	0	0	(260)	0
Total	900	900	640	4,490

As there is currently not a need to enter into external borrowing, investment balances will rise with the addition of capital receipts. Average expected interest rates on investments across the years of the capital programme are approximately 1.1%, as such an increase in receipts of £1m would be expected to generate a £11,000 increase in interest in a full year.

The table below shows the funding of the capital programme utilising capital receipts, capital grants and contributions, capital reserves and revenue provisions.

Capital Expenditure	2018/19 Estimate £000	2019/20 Estimate £000	2020/21 Estimate £000	2021/22 Estimate £000	2022/23 Estimate £000
Capital Expenditure	39,144	48,031	18,738	15,437	21,296
Slippage	(7,291)	(13,135)	8,246	783	2,397
Total Capital Expenditure *	31,853	34,895	26,984	16,219	23,692
Financed by:					
Capital Receipts *	19,209	3,954	900	640	4,490
Capital Grants & Contributions	12,219	8,070	3,824	3,089	3,084
Revenue Provisions	222	3,560	48	50	56
Net financing need for the year	203	19,311	22,211	12,441	16,061

* Finance lease expenditure is included in the table in Treasury Management Strategy but excluded from this Table

8.1.7 Under the requirements of the Localism Act 2011 parish councils and local voluntary and community organisations have the right to nominate local land or buildings they would like to see included in a list of assets of community value which is maintained by the Local Authority. Once listed the owner must allow community interest groups up to six months to make an offer before the property can be sold to another. It is envisaged that this may lengthen the disposal time for some properties if they are listed as assets of community value by the council.

8.3 Debt repayment

8.3.1 The council has had a strategy to reduce its level of debt when opportunity arises in the market. The average interest payable on outstanding debt is 5.22%. For the period 2019-23, capital receipts may continue to be used to pay the premiums on the repayment of those authority debts which have high fixed interest charges, if the terms offered will result in appropriate revenue savings. Any decision to repay debt early will be considered alongside the funding however, this is unlikely to be the case in the short to medium term requirement of the programme.

9 Grant Funding Capital Resources

9.1 Environmental and Regeneration

E&R	2018/19 £000s	2019/20 £000s	2020/21 £000s	2021/22 £000s	2022/23 £000s
Heritage Lottery Fund	0	1,693	1,500	712	0
Transport for London LIP (earmarked) Capital	1,000	TBA	TBA	TBA	TBA
Total: E&R	1,000	1,693	1,500	712	TBA

TBA – To Be Advised

9.2 Children, Schools and Families

CSF	2018/19 £000s	2019/20 £000s	2020/21 £000s	2021/22 £000s	2022/23 £000s
School Condition (non-ringfenced)*	1,900	1,900	TBA	TBA	TBA
Basic Need (non-ringfenced)	7,471	446	0	TBA	TBA
Special Provision Grant	491	834	491	TBA	TBA
Healthy Schools	189	TBA	TBA	TBA	TBA
Total Grant Funding	10,051	3,180	491	TBA	TBA
New School (Expected Ringfenced)*	5,149	0	0	0	0
Devolved Formula Capital (Earmarked)	353	TBA	TBA	TBA	TBA
TOTAL: CS&F	15,553	3,180	491	TBA	TBA
Balance added for outstanding grant allocations - CSF	0	0	1,900	1,900	1,900

* Based on Indicative Information

TBA – To Be Advised

9.3 Community and Housing

C&H	2018/19 £000s	2019/20 £000s	2020/21 £000s	2021/22 £000s	2022/23 £000s
Better Care Fund including Disabled Facilities Grant)	*1,186	TBA	TBA	TBA	TBA

*It is envisaged that some of this fund will be applied to revenue

9.4 Summary of Grant Funding 2018-2023

9.4.1 The new resources notified to date are summarised in the following table. It is expected that there will be additional earmarked resources notified during the financial year 2019/20:

Grant Funding	2018/19 £000s	2019/20 £000s	2020/21 £000s	2021/22 £000s	2022/23 £000s
Environment and Regeneration	1,000	1,693	1,500	712	TBA
Children, Schools and Families	15,553	3,180	491	TBA	TBA
Community and Housing	1,186	TBA	TBA	TBA	TBA
Total Grant Funding*	17,739	4,873	1,991	712	0
Balance added for outstanding grant allocations - CSF	0	0	1,900	1,900	1,900

* This shows the known grant funding being received by the authority

10 Summary of Total Resources 2019-23:

10.1 Summary

10.1.1 The total anticipated resources over the plan period 2019-23, including existing grant funding and anticipated CS&F grants, is summarised in the following table:-

	2019/20 £000s	2020/21 £000s	2021/22 £000s	2022/23 £000s
Grant & Contributions *	26,824	23,159	13,131	20,608
Council Funding	8,070	3,824	3,089	3,084
Total	34,895	26,984	16,219	23,692

* This table shows the grants and contributions applied to fund the programme allowing for slippage.

10.1.2 Projects for which earmarked resources have been notified have been given authority to proceed, subject to a detailed specification and programme of works being agreed which ensures that the maximum benefits accrue to the council within the overall constraints of the approved funding. Those schemes, on their own, represent a considerable capital investment.

10.1.3 The Table below summarises the Indicative Capital Programme for 2021 to 2026. Additional detail is provided as Annex 5:

Merton	Updated Budget 2023/24 £000s	Updated Budget 2024/25 £000s	Updated Budget 2025/26 £000s	Updated Budget 2026/27 £000s	Updated Budget 2027/28 £000s
Corporate Services	4,521	2,955	3,335	2,970	3,380
Community and Housing	425	280	630	280	420
Children, Schools & Families *	1,900	1,900	1,900	1,900	1,900
Environment & Regeneration *	4,007	4,067	8,005	4,042	4,007
Total Merton	10,853	9,202	13,870	9,192	9,707

* Please note these figures do not include any allowance of grant funding for Transport for London and Disabled Facilities.

10.1.4 For every £1 million capital expenditure that is funded by external borrowing it is estimated that there will be annual revenue debt charges of between £219k for assets with a life of 5 years to £51k for an asset life of 50 years.

11 Capital Bids and Prioritisation Criteria

11.1 Prioritisation of schemes 2022/23

The allocation of capital resources, on those schemes to be funded by borrowing, is focused towards the achievement of the council's key strategic objectives as agreed by councillors as highlighted in section 1 of this strategy.

The prioritisation criteria used in respect of growth were 'Statutory', Need (demand and / or priority), attracts match funding and revenue impact (including invest to save). Due to officers' awareness of the need to restrain the capital programme to affordable levels, the revisions put forward over the period 2019-23, on the basis of these criteria by the board to Cabinet was £7 million (excluding TfL) as shown below.

	2019/20	2020/21	2021/22	2022/23
Corporate Services	923	275	(8,214)	11,517
Community and Housing	35	488	633	502
Children, Schools and Families	(6,499)	2,416	2,500	1,250
Environment and Regeneration	1,110	265	240	330
Total	(4,431)	3,444	(4,841)	13,599

12 Detailed Capital Programme 2019-23

12.1 Corporate Services

12.1.1 This department is responsible for the administration of finance and staff, together with the corporate buildings including IT and utility services. Its main capital expenditure is on IT software and hardware, and on improvements to buildings (including invest to save schemes).

12.1.2 Infrastructure and Transactions

Infrastructure and transactions are responsible for the maintenance and development of IT Systems and replacement of existing IT equipment at the end of its useful life. The Table below details the capital schemes for this area:

Corporate IT Projects	Updated Budget 2019/20 £000s	Updated Budget 2020/21 £000s	Updated Budget 2021/22 £000s	Updated Budget 2022/23 £000s
Customer Contact Programme	250	0	1,900	0
Ancillary Systems	0	0	50	0
Youth Justice	100	0	0	0
School Admissions System	0	125	0	0
Aligned Assets	75	0	0	0
Environmental Asset Management	0	0	0	240
Revenue and Benefits	400	0	0	0
Capita Housing	100	0	0	100
Planning&Public Protection Sys	330	0	0	0
GIS Mapping	50	150	0	0
Replacement SC System	400	0	0	0
Financial System	0	0	0	700
ePayments	0	125	0	0
Planned Replacement Programme ⁽¹⁾	1,015	200	970	1,005
Data Centre Support Equipment	290	0	0	0
IT Equipment ^(in ⁽¹⁾ above from 21/22)	430	860	0	0
Total Business Improvement	3,440	1,460	2,920	2,045

Infrastructure and transactions are responsible for the capital maintenance of council buildings excluding schools and community centres, the schemes are detailed in the Table below:

Facilities Management	Updated Budget 2019/20 £000s	Updated Budget 2020/21 £000s	Updated Budget 2021/22 £000s	Updated Budget 2022/23 £000s
Repair and Maintenance	650	650	650	650
Civic Centre Boilers	200	0	0	0
Civic Centre Lightning Upgrade	300	0	0	0
Invest to Save schemes	300	300	300	300
Total Facilities Management	1,450	950	950	950

12.1.3 Corporate Items

There are also budgets held centrally under Corporate Services to ensure funds are available to take up opportunities arising in the local property market, to leverage match funding or to enable transformation of services, these are detailed in the Table below:

Corporate Items	Updated Budget 2019/20 £000s	Updated Budget 2020/21 £000s	Updated Budget 2021/22 £000s	Updated Budget 2022/23 £000s
Acquisitions Budget	0	0	0	6,985
Capital Bidding Fund	0	0	0	1,186
Corporate Capital Contingency	0	0	0	3,000
Multi-Functioning Device (MFD)	600	0	0	0
Housing Company	22,325	1,810	0	0
Westminster Coroners Court	460	0	0	0
Total Corporate Items	23,385	1,810	0	11,172

12.2 Children, Schools and Families

12.2.1 This department's main capital focus is the need for increased provision for secondary pupils. The provision in the 2019-23 programme has been revised to that shown in the table below:

Children, Schools & Families	Updated Budget 2019/20 £000s	Updated Budget 2020/21 £000s	Updated Budget 2021/22 £000s	Updated Budget 2022/23 £000s
Primary School Expansions	1,900	1,900	1,900	1,900
Secondary School Expansions	2,944	0	0	0
SEN	4,852	3,718	1,250	0
Children, Schools & Families	9,696	5,618	3,150	1,900

*School Capital Maintenance Budget

12.2.2 CSF Capital Programme 2019-23

The requirement to provide sufficient school places is a key statutory requirement and the Authority must also maintain existing school buildings for non-PFI community primary and special schools. The government provides capital grant to meet some of this need.

12.2.3 Primary schools

No further primary school expansion is planned. From 2019/20 £1.9 million per annum is provided for community primary and special schools this will be limited to urgent health and safety related needs, with the council expecting schools to fund all works below £20,000. Work for the next few years will be prioritised using a conditions survey undertaken in late 2017.

12.2.4 Secondary school places

The demand for secondary places is monitored regularly and trends in demand are analysed. The secondary expansion programme has been reviewed downwards as part of the current bidding process.

The capital programme for 2019/23 includes £2.92 million for secondary expansions including some council funding to enable the new Harris Academy Wimbledon School site to be made available.

12.2.5 Special school places

The increase in demand for special school provision is proportionally greater for special schools than mainstream schools, though the numbers involved are significantly smaller. Capital funding is provided in the 2019/23 programme for the expansion of SEN provision within the borough. The largest planned project is the expansion of Cricket Green School.

12.3 Environment and Regeneration

This department provides a co-ordinated approach to managing the public realm (all borough areas to which the public has access), as well as the regeneration of our town centres and neighbourhoods.

The individual projects for this department are all listed in Annex 3. Other than the grant funded Transport for London scheme for the upgrade of principal roads, the departments main schemes relate to 17 areas:

Environment & Regeneration	Updated Budget 2019/20 £000s	Updated Budget 2020/21 £000s	Updated Budget 2021/22 £000s	Updated Budget 2022/23 £000s
Parking Improvements	60	0	0	0
Public Protection & Development	0	0	35	0
Fleet Vehicles	300	300	300	300
Alley gating	30	30	30	30
Smart Bin Leases	0	0	0	0
SLWP Waste	0	0	0	340
Street Trees	60	60	60	60
Highways & Footways	3,517	3,317	3,317	3,067
Mitcham Transport Improvements	425	0	0	0
Transport for London	0	0	0	0
Mitcham Area Regeneration	1,301	1,000	533	0
Wimbledon Area Regeneration	300	0	0	0
Morden Area Regeneration	500	2,000	2,500	0
Borough Regeneration	170	25	0	0
Morden Leisure Centre	242	0	0	0
Sports Facilities	1,650	250	250	250
Parks	991	800	479	300
Environment & Regeneration	9,545	7,782	7,504	4,347

12.3.1 Highways and Footways

Footways and Borough Roads budgets will be spent in accordance with the results of annual condition surveys of the whole of the borough. As a result, items are prioritised and drawn up in programmes of works. These programmes may be amended as circumstances alter.

Highways and Footways	Updated Budget 2019/20 £000s	Updated Budget 2020/21 £000s	Updated Budget 2021/22 £000s	Updated Budget 2022/23 £000s
Street Lighting	290	290	290	290
Traffic Schemes	150	150	150	150
Surface Water Drainage	77	77	77	77
Footways	1,000	1,000	1,000	1,000
Antiskid & Coloured Surfacing	90	90	90	90
Borough Roads	1,700	1,200	1,200	1,200
Highways & Bridges	60	260	260	260
Various Culverts Strengthening & Upgrade	150	250	250	0
Highways and Footways	3,517	3,317	3,317	3,067

12.3.2 Regeneration

Regeneration is a major part of the council's strategy. A vision for Morden town centre is being developed and Mitcham town centre will be sustainably developed. The main areas of expenditure over the Capital Programme period will be those below.

Regeneration	Updated Budget 2019/20 £000s	Updated Budget 2020/21 £000s	Updated Budget 2021/22 £000s	Updated Budget 2022/23 £000s
Mitcham Area Regeneration				
Canons Parks for the People	1,301	1,000	533	0
Wimbledon Area Regeneration				
Crowded Places/Hostile Vehicle Mitigation	300	0	0	0
Morden Area Regeneration				
Transportation Enhancements	500	2,000	2,500	0
Borough Regeneration				
Premises Capital Refurbishment	75	25	0	0
Christmas Decorations	95	0	0	0
Total Regeneration Partnerships	2,271	3,025	3,033	0

12.3.3 Sports Facilities

An annual provision exists for the capital works at our three leisure centres. In addition there is a one off scheme to de-silt Wimbledon Park Lake.

Sports facilities	Updated Budget 2019/20 £000s	Updated Budget 2020/21 £000s	Updated Budget 2021/22 £000s	Updated Budget 2022/23 £000s
Leisure Centre Plant & Machine	250	250	250	250
Wimbledon Park Lake De-Silting	1,250	0	0	0
Polka Theatre	150	0	0	0
Total Leisure Centres	1,650	250	250	250

12.3.4 Parks

An annual provision exists for the capital works at our Parks. In addition there is a one off scheme in respect of the Canon's Park.

Parks	Updated Budget 2019/20 £000s	Updated Budget 2020/21 £000s	Updated Budget 2021/22 £000s	Updated Budget 2022/23 £000s
Parks Investment	295	300	300	300
Canons Parks for the People	696	500	179	0
Total Parks	991	800	479	300

12.4 Community and Housing

12.4.1 This department aims to provide residents with the chance to live independent and fulfilling lives, in suitable homes within sustainable communities, with chances to learn, use information, and acquire new skills. The departmental Capital Programme for 2019-23 comprises:

Community and Housing	Updated Budget 2019/20 £000s	Updated Budget 2020/21 £000s	Updated Budget 2021/22 £000s	Updated Budget 2022/23 £000s
Housing				
Disabled Facilities Grant	280	280	280	280
LD Supported Living	0	488	633	462
Libraries				
West Barnes Library Re-Fit	200	0	0	0
Installation of Public Toilets at Mitcham Library	35	0	0	0
Library Self Service	0	350	0	0
Libraries Management System	0	0	0	140
Total Community and Housing	515	1,118	913	882

12.5 Overall Programme

12.5.1 The approved Capital Programme for 2019/23 follows at Annex 1, Annex 3 provides an additional breakdown detail of the approved schemes. The summary is as follows:

Merton	Proposed 2019/20	Proposed 2020/21	Proposed 2021/22	Proposed 2022/23
	£000	£000	£000	£000
Corporate Services	28,275	4,220	3,870	14,167
Community and Housing	515	1,118	913	882
Children Schools & Families	9,696	5,618	3,150	1,900
Environment and Regeneration	9,545	7,782	7,504	4,347
Capital	48,031	18,738	15,437	21,296

12.5.2 The funding details for the programme follow at Annex 2

12.5.3 Within the funding details the authority has anticipated some slippage for schemes that require a consultation process or a planning application or where the implementation timetable is not certain. The slippage anticipated reduces the spend in the year it is budgeted but increases the spend in the following year when it is incurred. When slippage from 2018/19 is approved, the 2019/20 Capital Programme will be adjusted accordingly.

- 12.5.4 Annex 1 Capital Investment Programme - Schemes for Approval
 Annex 2 Funding the Capital Programme 2019-23
 Annex 3 Detailed Capital Programme 2019-23
 Annex 4 Analysis of Growth/(Reduction) from current approved programme
 Annex 5 Indicative Capital Programme 2023-28
 Annex 6 Capital Investment Strategy

Annex1

Capital Investment Programme - Schemes for Approval

Merton	Proposed 2019/20	Proposed 2020/21	Proposed 2021/22	Proposed 2022/23
	£000	£000	£000	£000
Corporate Services	28,275	4,220	3,870	14,167
Community and Housing	515	1,118	913	882
Children Schools & Families	9,696	5,618	3,150	1,900
Environment and Regeneration	9,545	7,782	7,504	4,347
Capital	48,031	18,738	15,437	21,296

Merton	Proposed 2019/20	Proposed 2020/21	Proposed 2021/22	Proposed 2022/23
	£000	£000	£000	£000
Customers, Policy & Improvement	250	0	1,900	0
Facilities Management	1,450	950	950	950
Infrastructure & Transactions	3,190	1,335	1,020	1,345
Resources	0	125	0	700
Corporate Items	23,385	1,810	0	11,172
Corporate Services	28,275	4,220	3,870	14,167
Housing	280	768	913	742
Libraries	235	350	0	140
Community and Housing	515	1,118	913	882
Primary Schools	1,900	1,900	1,900	1,900
Secondary School	2,944	0	0	0
SEN	4,852	3,718	1,250	0
CSF Schemes	0	0	0	0
Children Schools & Families	9,696	5,618	3,150	1,900
Public Protection and Developm	60	0	35	0
Street Scene & Waste	330	330	330	670
Sustainable Communities	9,155	7,452	7,139	3,677
Environment and Regeneration	9,545	7,782	7,504	4,347
Capital	48,031	18,738	15,437	21,296

Please Note

- 1) Excludes expenditure budgets relating to Disabled Facilities Grant funding from 2019/20.
- 2) Excludes expenditure budgets relating to Transport for London Grant from 19/20 as grant funding has not been announced.

FUNDING THE CAPITAL PROGRAMME 2017-22Annex2

Merton	Capital Programme £000s	Funded by Merton £000s	Funded by grant and capital contributions £000s
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2018/19 Current Budget	39,144	23,599	15,544
Potential Slippage b/f	0	0	0
2018/19 Revised Budget	39,144	23,599	15,544
Potential Slippage c/f	(5,960)	(2,806)	(3,154)
Potential Underspend not slipped into next year	(1,331)	(1,161)	(172)
Total Spend 2018/19	31,853	19,633	12,219

2019/20 Current Budget	48,031	42,302	5,729
Potential Slippage b/f	5,960	2,806	3,154
2019/20 Revised Budget	53,990	45,108	8,882
Potential Slippage c/f	(17,222)	(16,788)	(433)
Potential Underspend not slipped into next year	(1,873)	(1,494)	(379)
Total Spend 2019/20	34,895	26,824	8,070

2020/21 Current Budget	18,738	14,080	4,659
Potential Slippage b/f	17,222	16,788	433
2020/21 Revised Budget	35,960	30,867	5,092
Potential Slippage c/f	(6,526)	(5,763)	(763)
Potential Underspend not slipped into next year	(2,450)	(1,945)	(505)
Total Spend 2020/21	26,984	23,159	3,824

2021/22 Current Budget	15,437	11,912	3,525
Potential Slippage b/f	6,526	5,763	763
2021/22 Revised Budget	21,963	17,676	4,288
Potential Slippage c/f	(3,654)	(3,057)	(597)
Potential Underspend not slipped into next year	(2,089)	(1,487)	(602)
Total Spend 2021/22	16,219	13,131	3,089

2022/23 Current Budget	21,296	18,654	2,642
Potential Slippage b/f	3,654	3,057	597
2022/23 Revised Budget	24,950	21,711	3,239
Potential Slippage c/f	(840)	(794)	(45)
Potential Underspend not slipped into next year	(417)	(308)	(109)
Total Spend 2022/23	23,692	20,608	3,084

* Funded by Merton refers to expenditure funded through Capital Receipts, Revenue Reserves and by borrowing.

Detailed Capital Programme 2019-23

Annex 3

	Scrutiny	Proposed 2019/20	Proposed 2020/21	Proposed 2021/22	Proposed 2022/23
Corporate Services		£000	£000	£000	£000
Customer Contact Programme	OSC	250	0	1,900	0
Works to other buildings	OSC	650	650	650	650
Civic Centre	OSC	500	0	0	0
Invest to Save schemes	OSC	300	300	300	300
IT Systems Projects	OSC	1,055	275	50	340
Social Care IT System	OSC	400	0	0	0
Planned Replacement Programme	OSC	1,735	1,060	970	1,005
Infrastructure & Transactions		3,190	1,335	1,020	1,345
Major Projects		0	125	0	700
Financial System	OSC	0	0	0	700
ePayments System	OSC	0	125	0	0
Acquisitions Budget	OSC	0	0	0	6,985
Capital Bidding Fund	OSC	0	0	0	1,186
Corporate Capital Contingency	OSC	0	0	0	3,000
Multi Functioning Device (MFD)	OSC	600	0	0	0
Housing Company	OSC	22,325	1,810	0	0
Westminster Coroners Court	OSC	460	0	0	0
Corporate Services		28,275	4,220	3,870	14,167
Community and Housing		£000	£000	£000	£000
Disabled Facilities Grant	SC	280	280	280	280
LD Supported Living	SC	0	488	633	462
West Barnes Library Re-Fit	SC	200	0	0	0
Installation of Public Toilets at Mitcham Library	SC	35	0	0	0
Library Self Service	SC	0	350	0	0
Library Management System	SC	0	0	0	140
Community and Housing		515	1,118	913	882
Children Schools & Families		£000	£000	£000	£000
Schs Cap Maint & Accessibility	CYP	1,900	1,900	1,900	1,900
Harris Academy Morden	CYP	0	0	0	0
St Mark's Academy	CYP	0	0	0	0
Harris Academy Wimbledon	CYP	2,944	0	0	0
Perseid	CYP	0	0	0	0
Cricket Green	CYP	4,152	0	0	0
Secondary School Autism Unit	CYP	272	1,088	0	0
Further SEN Provision	CYP	188	0	0	0
Melrose primary SEMH annex - 16 places	CYP	100	1,500	0	0
Primary ASD base 1 - 20 places	CYP	100	800	0	0
Secondary SEMH/medical PRU - 20 places	CYP	20	80	800	0
New ASD Provision	CYP	20	250	450	0
Admissions IT System	CYP	0	0	0	0
Children Schools & Families		9,696	5,618	3,150	1,900

OSC= Overview and Scrutiny Commission, CYP = Children and Young People, HCOP = Healthier Communities and Older People
SC = Sustainable Communities,

Detailed Capital Programme 2019-23 Continued.....

	Scrutiny	Proposed 2019/20	Proposed 2020/21	Proposed 2021/22	Proposed 2022/23
Environment & Regeneration		£000	£000	£000	£000
Parking Improvements	SC	60	0	0	0
Public Protection and Development	SC	0	0	35	0
Fleet Vehicles	SC	300	300	300	300
Alley Gating Scheme	SC	30	30	30	30
Smart Bin Leases - Street Scene	SC	0	0	0	0
Waste SLWP	SC	0	0	0	340
Street Trees	SC	60	60	60	60
Highways & Footways	SC	3,517	3,317	3,317	3,067
Mitcham Transport Improvements	SC	425	0	0	0
Unallocated Transport for London	SC	0	0	0	0
Mitcham Area Regeneration	SC	1,301	1,000	533	0
Wimbledon Area Regeneration	SC	300	0	0	0
Morden Area Regeneration	SC	500	2,000	2,500	0
Borough Regeneration	SC	170	25	0	0
Morden Leisure Centre	SC	242	0	0	0
Sports Facilities	SC	1,650	250	250	250
Parks	SC	991	800	479	300
Environment and Regeneration		9,545	7,782	7,504	4,347
Capital		48,031	18,738	15,437	21,296

* OSC= Overview and Scrutiny Commission, CYP = Children and Young People, HCOP = Healthier Communities and Older People
SC = Sustainable Communities,

- 1) Excludes expenditure budgets relating to Disabled Facilities Grant funding from 2019/20.
- 2) Excludes expenditure budgets relating to Transport for London Grant from 19/20 as grant funding has not been announced.

Growth/(Reductions) against Approved Programme 2019-22 and Indicative Programme 2022-23

Merton	Scrutiny	Proposed 2019/20	Proposed 2020/21	Proposed 2021/22	Proposed 2022/23
		£000	£000	£000	£000
Infrastructure & Transactions	OSC	923	275	8	345
Corporate Items	OSC	0	0	(8,222)	11,172
Corporate Services		923	275	(8,214)	11,517
Housing	SC	0	488	633	462
Libraries	SC	35	0	0	40
Community and Housing		35	488	633	502
Primary Schools	CYP	1,250	1,250	1,250	1,250
Secondary School	CYP	(5,796)	(2,552)	0	0
SEN	CYP	(1,848)	3,718	1,250	0
CSF Schemes	CYP	(105)	0	0	0
Children Schools & Families		(6,499)	2,416	2,500	1,250
Street Scene & Waste	SC	(10)	(10)	(10)	330
Sustainable Communities	SC	1,120	275	250	0
Environment and Regeneration		1,110	265	240	330
Capital		(4,431)	3,444	(4,841)	13,599

Annex 5

Indicative Capital Programme 2023-28

	Scrutiny	Proposed Indicative 2023/24	Proposed Indicative 2024/25	Proposed Indicative 2025/26	Proposed Indicative 2026/27	Proposed Indicative 2027/28
Corporate Services		£000	£000	£000	£000	£000
Customer Contact Programme	OSC	0	0	1,000	1,000	1,000
Works to other buildings	OSC	650	650	650	650	650
Invest to Save schemes	OSC	300	300	300	300	300
Planned Replacement Programme	OSC	720	905	1,060	970	1,005
IT Systems Projects	OSC	751	500	325	50	425
Ancillary Systems	OSC	0	0	0	50	0
Youth Justice	OSC	0	100	0	0	0
School Admissions System	OSC	0	0	125	0	0
Regulatory Services	OSC	0	0	0	0	0
Parking System	OSC	126	0	0	0	0
Aligned Assets	OSC	75	0	0	0	75
Environmental Asset Management	OSC	0	0	0	0	250
Revenue and Benefits	OSC	0	400	0	0	0
Capita Housing	OSC	0	0	0	0	100
Planning & Public Protection Sys	OSC	550	0	0	0	0
Spectrum Spatial Analys	OSC	0	0	200	0	0
Social Care IT System	OSC	2,100	0	0	0	0
Multi Functioning Device (MFD)		0	600	0	0	0
Corporate Services		4,521	2,955	3,335	2,970	3,380
Community and Housing		£000	£000	£000	£000	£000
Disabled Facilities Grant	SC	280	280	280	280	280
LD Supported Living	SC/HCOP	145	0	0	0	0
Library Enhancement Works	SC	0	0	350	0	0
Library Management System	SC	0	0	0	0	140
Community and Housing		425	280	630	280	420
Children Schools & Families		£000	£000	£000	£000	£000
Schools Cap Maint & Accessibility	CYP	1,900	1,900	1,900	1,900	1,900
Children Schools & Families		1,900	1,900	1,900	1,900	1,900
Environment and Regeneration		£000	£000	£000	£000	£000
Parking Improvements	SC	0	60	0	0	0
Public Protection and Development	SC	0	0	0	35	0
Fleet Vehicles	SC	300	300	300	300	300
Alley Gating Scheme	SC	30	30	30	30	30
Waste SLWP	SC	0	0	3,998	0	0
Street Trees	SC	60	60	60	60	60
Highways & Footways	SC	3,067	3,067	3,067	3,067	3,067
Unallocated Transport for London	SC	0	0	0	0	0
Sports Facilities	SC	250	250	250	250	250
Parks	SC	300	300	300	300	300
Environment and Regeneration		4,007	4,067	8,005	4,042	4,007
Capital		10,853	9,202	13,870	9,192	9,707

Capital Investment Strategy

ANNEX 6

1. Overview

This annex is new to the Capital Strategy and details the approach adopted in non-core investment activity and sets out how this will help the Authority deliver core functions. The definition of Investment covers all financial assets of a local authority as well as non-financial assets that the organisation holds primarily to generate financial returns, such as investment property portfolios.

The annex will detail the security, liquidity and yield of investments and consider risk management and capacity, skills and culture.

2. Detail

During the 2018-19 financial year the Authority has undertaken and agreed to undertake one investment transaction:

- i) The purchase of the leasehold interest in Battle Close (the Council already owned the freehold interest). The asset will be added to the Authority's balance sheet as an investment asset.
- ii) The Authority establishes a Wholly Owned Housing Company (Merantun) to provide an investment opportunity for the Authority

During 2018/19 IFRS 9 will come into force, this will impact on the balance sheet as it requires certain transactional arrangements being shown on the balance sheet at fair value:

3. Security

The proposals in Section 2 of this Annex have and will result in:

- i) Loan to the Wholly Owned Housing Company estimated at circa £13 million combined with (*loan funding currently under review*)
- ii) Equity estimated circa £11.5 million (£8.2 Land Equity and £3.3 million Working Capital - *funding currently under review*)
- iii) IFRS 9 requires that investment in risk capital will need to be valued annually at fair value with any loss being written through the profit and loss account in the year it occurs

For example to review the security of the investment in Merantun - The Authority utilised two externally developed models and a detailed business case to underpin the proposals to assess the financial viability. Legal documentation requires that all assets are returned to Merton at the cessation of the company.

4. Liquidity

Investments are held in CHAS 2013 Limited and Merantun. It is not currently envisaged that these investments need to be redeemed in the short to medium term. If such a need did arise the following example demonstrates the flexibility available to the council:

Merantun – the following three approaches are possible:

- i) Sites could be sold by the company at a profit once planning permission has been obtained
- ii) the business model proposed development of housing on four sites within the first three years, at this juncture housing can be sold at any time to generate receipts through to the Council
- iii) The Housing Company itself could be sold

The authority has loans with MSJCB and intends to enter into a loan with Merantun should the Authority need to liquidate these loans could be sold.

If the Authority needed to release the money invested in Battle Close it could sell the site with or without planning permission.

5. Yield

The yield in the financial return generated to the Authority for example:

The Loan to Merantun will be made at a rate 6.5+% (*loan amount, timing/flexibility and interest rate are currently under review*)

The Model Assessed the Internal Rate of Return as 6.39% (*currently under review*)

In assessing whether investment assets retain sufficient value to provide security of investment officers will be mindful of the fair value model in the International Accounting Standard 40: Investment Property.

6. Borrowing in Advance of Need

Section 5.2 of the Treasury Management Strategy sets out the Authority's borrowing strategy and the extent to which the Authority has internally borrowed. Current indications are that interest rates are likely to rise making it more expensive to borrow. Consideration will be given to the timing of required borrowing to minimise the cost to the Authority and with regard to the current debt portfolio (detailed in Section 5.6 of the Treasury Management Strategy)

7. Risk Assessment

The council recognises that its risk appetite to achieve the corporate priorities identified within its business plan could be described in general as an "informed and cautious" approach. Where significant risk arises, we will take effective control action to reduce these risks to an acceptable level.

It is also recognised that a higher level of risk may need to be accepted, for example, to generate higher returns from loans and investment. To offset this there are areas where the council will maintain a very cautious approach for example in matters of compliance with the law, and public confidence in the council, supporting the overall “informed and cautious” position on risk. For example:

Merantun – as part of the business case for the setting up of a wholly owned housing company detailed assessment was made of competitor activity and build costs. Flexibility is available in the timing of site and property disposal, but decisions by the company would be made on a commercial basis.

The greatest risk exposure to the Authority is when the sites are being developed after obtaining planning permission. The enhanced value of the site will not be realisable until the housing units are completed as the greatest value added will be from completed site. Once units are built there is flexibility over those sold and those retained for rental. Rental units present a longer term business model which should provide dividend income. Early marketing and sales coupled with progressing rent guarantees will be used to minimise the risk to the company and the council

8. Capacity, Skills and Culture

The Authority will where appropriate, buy in expertise to progress loan and investment activity. It is also appropriate in some cases to develop expertise internally.

Within the Business model for Merantun it is recognised that the company may set up joint ventures with trusted partners for the development of some larger sites that would require specialist land assembly skills and larger sums of cash to assist with delivering the development if this is deemed to be appropriate and support the business case. It would contract with construction specialists and construction companies for the development of sites – this should minimise the risk exposure during site development.

LONDON BOROUGH OF MERTON

DRAFT TREASURY MANAGEMENT POLICY STATEMENT- 2019-20

1. INTRODUCTION

1.1 Background

London Borough of Merton have adopted the Chartered Institute of Public Finance and Accountancy (CIPFA) definition of Treasury Management, which is:

“The management of the local authority’s investments and cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks.”

The Council is required to update and approve its policy framework and strategy for treasury management, annually, to reflect the changing market environment, regulation, and the Council’s financial position. The key issues and decisions are:

- a) To set the Council’s Prudential Indicators for 2019/20 to 2022/23
- b) Approve the Minimum Revenue Provision (MRP) policy for 2019/20; and
- c) To agree the Treasury Management Strategy for 2019/20.

This will include the annual investment strategy, containing the parameters of how the investments are to be managed.

1.2 Statutory Requirement

The Local Government Act 2003 (the Act) as amended and supporting regulations, require the Council to ‘have regard to’

- (a) such guidance as the Secretary of State may issue; and
- (b) such other guidance as the Secretary of State may by regulations specify for the purposes of this provision

<http://www.legislation.gov.uk/ukpga/2003/26/section/15>

The Guidance requires the Council to set out its Treasury strategy for borrowing and to prepare an Annual Investment Strategy. The Council has adopted CIPFA’s revised Code of Practice on Treasury Management.

1.3 Balanced Budget Requirement

Section 33 of the Local Government Finance Act 1992 requires the Council to set a balanced budget. This means that cash raised during the year will meet cash expenditure. Part of the treasury management function is to ensure that this cash flow is adequately planned, with cash being available when it is needed. Cash yet to be used are invested in low risk and good credit quality counterparties or instruments with the consideration first for security, liquidity and yield.

The other main function of treasury management is the funding of the Council’s capital plans. These capital plans provide a guide to the long or short-term borrowing need of the

Council, essentially the longer term cashflow planning, to ensure that the Council can meet its capital spending obligations. The management of longer term cash may involve arranging long or short dated loans, or using longer term cashflow surpluses. Subject to S151 Officer's approval, any debt previously drawn may be restructured or repaid to meet the Council's risk or cost objectives.

1.4 Treasury Management Strategy for 2019/20

The strategy for 2019/20 covers two main areas:

Capital Programme

- To determine the Council's capital plans and prudential indicators for 2019/20 to 2022/23;
- To approve the Minimum Revenue Provision (MRP) policy for 2019/20.

The LG Act 2003 require local authorities to set an affordable borrowing limit (<http://www.legislation.gov.uk/ukpga/2003/26/section/3>).

Treasury Management Programme

- To agree the Council's treasury management strategy for 2019/20
- current treasury position as at December 2018;
- treasury indicators which limit the treasury risk and activities of the Council;
- prospects for interest rates;
- borrowing strategy;
- policy on borrowing in advance of need;
- debt rescheduling and early repayment of debt review;
- Annual Investment Strategy and alternative investment instruments (Policy on new lending and borrowing instruments);
- creditworthiness policy;
- Treasury Management Practices (**Appendix 5**);and
- cash flow policy

These elements cover the requirements of the Local Government Act 2003, the CIPFA Prudential Code, the Communities and Local Government (CLG) MRP Guidance, the CIPFA Treasury Management Code and the CLG Investment Guidance.

2. CURRENT TREASURY POSITION

2.1 Use of the Council's Resources and the Investment Position

The application of resources (capital receipts and reserves etc.) to either finance capital expenditure or other budget decisions to support the revenue budget will have an ongoing impact on investments unless resources are supplemented each year from new sources, for example, asset sales.

The table below shows the position as at November 2018.

Year End Resources	2017/18 Actual £'000	30 November 2018 Actual £'000	31 March 2018/19 Estimate £'000	31 March 2019/20 Estimate £'000
Investments	59,500	86,500	51,900*	28,500*
Interest on investments	762	527	900	495
Borrowing				
Long-term Borrowing	113,010	113,010	113,010	113,010
Short-term Borrowing				
Total External Debt	113,010	113,010	113,010	113,010
Interest on External Debt				
Long-term	6,592	2,745	6,315	6,315
Short-term	0	0	0	0
Total Interest on External Debt	6,692	2,745	6,315	6,315

Interest on investments figures above do not include interest from policy investments.

* It is assumed that the council will use the internal borrowing to meet the capital expenditure and as a result cash available to invest will reduce and the interest income too.

3. CAPITAL PRUDENTIAL INDICATORS 2018/19 - 2021/22

The Council is required to calculate various indicators for the next 3 years. The aim of prudential indicators is to ensure that the Council's capital investment plans are affordable, prudent and sustainable. The prudential indicators set out in **Appendix 6** are calculated for the Medium Term Financial Strategy (MTFS) period. The indicators relate to capital expenditure, external debt and treasury management.

The Council will monitor performance against the indicators and prepare indicators based on the Statement of Accounts (SoA) at year end.

3.1 Capital Expenditure

The Council's capital expenditure plans are fundamental to its treasury management activity. The output of the capital expenditure plans is reflected in prudential indicators, which are designed to provide Council members an overview and confirm the impact of capital expenditure plans.

This indicator is a summary of the Council's capital expenditure plans, both those agreed previously, and those forming part of this budget cycle as reported in the MTFS. Environment and Regeneration figures include projects relating to Public Health programs however these are fully funded and do not have any MRP implications.

Please find below the capital expenditure forecast.

Merton	Proposed 2019/20	Proposed 2020/21	Proposed 2021/22	Proposed 2022/23
	£000	£000	£000	£000
Corporate Services	14,427	14,928	5,382	14,566
Community and Housing	431	725	601	1,318
Children Schools & Families	10,783	5,928	3,288	2,358
Environment and Regeneration	9,255	5,402	6,948	5,450
Capital	34,895	26,984	16,219	23,692

The above financing need excludes other long-term liabilities, such as PFI and leasing arrangements which already include borrowing instruments.

The table below shows how the capital expenditure plans are being financed by revenue or capital resources. A shortfall of resources means a borrowing need. The capital programme expenditure figures used in calculating the financing costs have been adjusted for slippage in the programme as at October 2018

Capital Expenditure	2018/19 Estimate £'000	2019/20 Estimate £'000	2020/21 Estimate £'000	2021/22 Estimate £'000	2022/23 Estimate £'000
Capital Expenditure	39,144	48,031	18,738	15,437	21,296
Slippage*	(7,325)	(13,735)	8,246	783	2,397
Total Capital Expenditure	31,819	34,295	26,984	16,219	23,692
Financed by:					
Capital Receipts	19,209	3,954	900	640	4,490
Capital Grants & Contributions	12,219	8,070	3,824	3,089	3,084
Revenue Provisions	222	3,560	48	50	56
Net financing need for the year (a)	169	18,711	22,212	12,441	16,061

* Includes finance lease expenditure table in Treasury Management Strategy excludes this expenditure

3.2 The Council's Borrowing Need (the Capital Financing Requirement)

The second prudential indicator, Capital Financing Requirement (CFR), is the total historical outstanding capital expenditure which has not yet been paid for from either revenue or capital resources. In other words, a measure of the Council's underlying borrowing need. Any capital expenditure above, which has not immediately been paid for, will increase the CFR.

The CFR includes any other long-term liabilities like PFI schemes and finance leases which have been brought onto the balance sheet. Whilst this increases the CFR, and therefore the Council's borrowing requirement, it should be noted that these types of scheme include a borrowing facility and so the Council is not required to separately borrow for these schemes.

The Council has no Housing Revenue Account (HRA) and no new PFI scheme in 2019/20 is expected.

The 2018/19 forecast movement in CFR shows a decrease of £4.731 million because the expenditure to be funded from borrowing in 2017/18 is less than the amount of MRP charged in the year.

The current cashflow projection as at November 2018 for 2018/19 year end is an estimated cash balance of £100m (including all short term deposits). The current forecast has been based on assumptions in the MTFs and capital programme spend forecast after slippage.

The 2018/19 forecast £31.3m, 2019/20 £35.6m, and 2020/21 £26.1m are based on best estimates which may slip due to unforeseen circumstances and the nature of large projects and the level of grant income. Also, fees and charges for the Council may change. Based on current forecasts the earliest the Council may borrow is in 2018/19 in anticipation for 2019/20. However, the Council can borrow in advance of need if rates are likely to rise and borrowing becomes a lot more advantageous than it would be.

The Council is asked to approve the CFR projections in the following table:

	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23
	Actual	Estimate	Estimate	Estimate	Estimate	Estimate
	£'000	£'000	£'000	£'000	£'000	£'000
Capital Financing Requirement						
CFR (non-housing)	183,712	177,509	188,819	203,396	207,017	213,379
Total CFR	183,712	177,509	188,819	203,396	207,017	213,379
Movement in CFR	(6,288)	(6,203)	11,309	14,578	3,621	6,361
Movement in CFR represented by						
Net financing need for the year (above)	0	169	18,711	22,212	12,441	16,061
Less Capital MRP/VRP (b)	6,789	4,909	5,024	5,886	7,131	7,962
Less Other MRP/VRP - leasing and PFI	876	728	1,590	904	784	768
Less Other MRP/VRP - PFI - Termination	686	735	788	844	905	970
Less Other financing movements						
Adjustment of PFI Liability						
Adjustment of Leasing Liability	(500)					
Adjustment of MRP	(1,563)					
Movement in CFR	(6,288)	(6,203)	11,309	14,578	3,621	6,361

Actual and estimates of the ratio of financing costs to net revenue stream This indicator identifies the trend in the cost of capital (borrowing and other long-term obligation costs net of investment income) against the net revenue stream. The indicator shows the proportion of the income received from Council tax, Revenue Support Grant (RSG) and National Non-Domestic Rate (NNDR) and some specific grants that is spent on paying the borrowing associated with delivery of capital investment (i.e. principal and interest charges of long-term borrowing).

The table below shows the monetary values for the above ratio and includes leasing costs

	2017/18 Actual £'000	2018/19 Estimate £'000	2019/20 Estimate £'000	2020/21 Estimate £'000	2021/22 Estimate £'000	2022/23 Estimate £'000
Net Revenue Financing Costs	16,786	14,499	16,485	16,290	17,511	17,319
Net Revenue Stream	146,066	142,209	139,942	135,735	138,116	140,259
Ratio of Financing Costs to Net Revenue Stream (Non HRA)	11.49%	10.20%	11.78%	12.00%	12.68%	12.35%

Estimates of the incremental impact of capital investment decisions on council tax.

The table below shows the incremental impact of changes in the capital programme (incorporating the effects of changes in treasury forecasts and investment decisions) on the band D Council tax. Merton did not increase Council Tax from 2011/12 until 2017/18 when a 3% increase was applied for Adult Social care purposes therefore there has been little or no incremental impact on Council tax band D properties.

	2017/18 Actual	2018/19 Estimate	2019/20 Estimate	2020/21 Estimate	2021/22 Estimate	2022/23 Estimate
Incremental Change in Capital Financing Costs (£000)	(1,891)	(2,287)	1,986	(195)	1,221	(192)
Council Tax Base	72,442	74,124	74,952	75,327	75,703	76,081
Incremental Impact on Council Tax - Band D (£)	(26.10)	(30.85)	26.49	(2.59)	16.13	(2.53)
Council Tax - Band D (£)	1,139.71	1,169.36	1,227.71	1,252.26	1,277.31	1,302.86

***2017/18 and 2018/19 uses actual council tax amounts. Future years use assumptions in the MTFS. For planning purposes.

4. MINIMUM REVENUE PROVISION (MRP) POLICY STATEMENT

The Council is required to pay off an element of the accumulated General Fund capital spend each year (the CFR) through a revenue charge (the MRP), although it is also allowed to undertake additional voluntary payments if required (voluntary revenue provision - VRP). The Council has not made any provision for VRP in its capital expenditure.

For capital expenditure incurred before 1 April 2008 or by Supported Capital Expenditure, the MRP policy will be the equal annual reduction of 2% of the outstanding debt at 1 April 2017 for the subsequent 50 years. Prior to this date capital expenditure incurred before 1 April 2008 or by Supported Capital Expenditure, the MRP policy followed CLG regulations (option 1). This provided for an approximate 4% reduction in the borrowing need (CFR) each year.

From 1 April 2008 for all unsupported borrowing (including PFI and finance leases) the MRP policy will be based on the Asset Life Method – CLG regulations (option 3).

This option will be applied for any expenditure capitalised under a capitalisation direction. It should be noted that this option provides for a reduction in the borrowing need over the approximate life of the asset.

The Council is required to have regard for the Local Government Involvement in Health Act 2007. This amended the Local Government Act 2003 enabling the Secretary of State to issue guidance on accounting practices and thus on MRP. Also, the Local Authorities (Capital Finance and Accounting) (England) Regulations 2003 (as amended) specifies that "A local authority shall determine for the current financial year an amount of minimum revenue provision which it considers to be prudent". Any MRP implications on how the Council will pay for unfinanced capital assets through revenue will be included in the MRP policy.

Category	Depreciation (Years)
Assets valued over £1m	
Buildings	50
Mechanical & Electrical	20
External	20
Assets valued under £1m	
Buildings	40
Infrastructure (roads etc)	25
15 Year Asset	15
10 Year Asset	10
Computer software	5
Computer hardware	5
Large vehicles – e.g. buses, RCVs	7
Small vehicles – e.g. cars, vans	5
Other equipment e.g. CCTV	5

MRP years where there is no depreciation equivalent	
Land	50
Revenue Expenditure Funded by capital Under Statute e.g. Redundancy costs	20

5. TREASURY MANAGEMENT STRATEGY

5.1 The Prospects for Interest Rates and Economic Forecasts

The Council has appointed Link Asset Services as its treasury advisor and part of their service is to assist the Council to formulate a view on interest rates. The following table gives our central view.

Annual Average %	Bank Rate (%)	PWLB Borrowing Rates (%)			
		5 year	10 year	25 year	50 year
Dec 2018	0.75	2.00	2.50	2.90	2.70
March 2019	0.75	2.10	2.50	2.90	2.70
June 2019	1.00	2.20	2.60	3.00	2.80
Sept 2019	1.00	2.20	2.60	3.10	2.90
Dec 2019	1.00	2.30	2.70	3.10	2.90
March 2020	1.25	2.30	2.80	3.20	3.00
June 2020	1.25	2.40	2.90	3.20	3.10
Sept 2020	1.25	2.50	2.90	3.20	3.10
Dec 2020	1.40	2.50	2.90	3.30	3.10
March 2021	1.40	2.60	3.00	3.40	3.20
June 2020	1.45	2.60	3.00	3.50	3.30
Sept 2020	1.50	2.70	3.10	3.50	3.30
Dec 2020	1.50	2.70	3.10	3.60	3.40
Mar 2021	1.60	2.80	3.20	3.60	3.40

Source: Link Asset Services

The flow of generally positive economic statistics after the quarter ended 30 June meant that it came as no surprise that the MPC came to a decision on 2 August to make the first increase in Bank Rate above 0.5% since the financial crash, from 0.5% to 0.75%. Growth has been healthy since that meeting, but is expected to weaken somewhat during the last quarter of 2018. At their November meeting, the MPC left Bank Rate unchanged, but expressed some concern at the Chancellor's fiscal stimulus in his Budget, which could increase inflationary pressures. However, it is unlikely that the MPC would increase Bank Rate in February 2019, ahead of the deadline in March for Brexit. The next increase in Bank Rate is therefore forecast to be in May 2019, followed by increases in February and November 2020, before ending up at 2.0% in February 2022.

The overall longer run future trend is for gilt yields, and consequently PWLB rates, to rise, albeit gently. However, over about the last 25 years, we have been through a period of falling bond yields as inflation subsided to, and then stabilised at, much lower levels than before, and supported by central banks implementing substantial quantitative easing purchases of government and other debt after the financial crash of 2008. Quantitative easing, conversely, also caused a rise in equity values as investors searched for higher returns and purchased riskier assets. In 2016, we saw the start of a reversal of this trend with a sharp rise in bond yields after the US Presidential election in November 2016, with yields then rising further as a result of the big increase in the US government deficit aimed at stimulating even stronger economic growth. That policy change also created concerns around a significant rise in inflationary pressures in an economy which was already running at remarkably low levels of unemployment. Unsurprisingly, the Fed has continued on its series of robust responses to combat its perception of rising inflationary pressures by

repeatedly increasing the Fed rate to reach 2.00 – 2.25% in September 2018. It has also continued its policy of not fully reinvesting proceeds from bonds that it holds as a result of quantitative easing, when they mature. We have, therefore, seen US 10 year bond Treasury yields rise above 3.2% during October 2018 and also seen investors causing a sharp fall in equity prices as they sold out of holding riskier assets.

Rising bond yields in the US have also caused some upward pressure on bond yields in the UK and other developed economies. However, the degree of that upward pressure has been dampened by how strong or weak the prospects for economic growth and rising inflation are in each country, and on the degree of progress towards the reversal of monetary policy away from quantitative easing and other credit stimulus measures.

From time to time, gilt yields, and therefore PWLB rates, can be subject to exceptional levels of volatility due to geo-political, sovereign debt crisis, emerging market developments and sharp changes in investor sentiment. Such volatility could occur at any time during the forecast period.

Economic and interest rate forecasting remains difficult with so many external influences weighing on the UK. The above forecasts, (and MPC decisions), will be liable to further amendment depending on how economic data and developments in financial markets transpire over the next year. Geopolitical developments, especially in the EU, could also have a major impact. Forecasts for average investment earnings beyond the three-year time horizon will be heavily dependent on economic and political developments.

Investment and borrowing rates

- Investment returns are likely to remain low during 2019/20 but to be on a gently rising trend over the next few years.
- Borrowing interest rates have been volatile so far in 2018-19 and have increased modestly since the summer. The policy of avoiding new borrowing by running down spare cash balances has served well over the last few years. However, this needs to be carefully reviewed to avoid incurring higher borrowing costs in the future when authorities may not be able to avoid new borrowing to finance capital expenditure and/or the refinancing of maturing debt;
- There will remain a cost of carry, (the difference between higher borrowing costs and lower investment returns), to any new long-term borrowing that causes a temporary increase in cash balances as this position will, most likely, incur a revenue cost.

5.2 Borrowing Strategy

Current Borrowing Portfolio Position

The table below shows the CFR as at December 2018 against the gross debt position of the Council. The gross debt includes other long-term liabilities like PFI and finance lease obligations. Gross debt should not exceed CFR in the medium to long-term.

Estimated debt may change as the capital programme spends and financing changes. The lease balances do not include adjustments for new implications in 2018/19.

Narrative	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23
	Estimate	Estimate	Estimate	Estimate	Estimate	Estimate
	£000s	£000s	£000s	£000s	£000s	£000s
External Debt at 1 April	116,976	113,010	113,010	113,010	113,479	119,267
Expected change in Debt (repayment and new debt)	(3,966)	0	0	469	5,788	8,577
Closing External Debt	113,010	113,010	113,010	113,479	119,267	127,844
PFI Balance b/f	18,664	17,869	17,185	15,631	14,826	14,182
In year movement	(795)	(684)	(1,554)	(805)	(644)	(590)
Closing Balance PFI	17,869	17,185	15,631	14,826	14,182	13,592
PFI Partial Termination Balance b/f	14,613	13,927	13,192	12,404	11,560	10,655
In year movement	(686)	(735)	(788)	(844)	(905)	(970)
Closing Partial termination Balance PFI	13,927	13,192	12,404	11,560	10,655	9,685
Total PFI	31,796	30,377	28,035	26,386	24,837	23,277
Finance Leases at 1 April	81	44	36	99	140	178
Expected Change in Finance Leases	(37)	(8)	63	41	38	(2)
Closing Balance Finance Leases	44	36	99	140	178	176
Salix Loan	25	15	5	0	0	0
Salix in year movement	(10)	(10)	(5)	0	0	0
Closing Balance Salix	15	5	0	0	0	0
Actual Gross Debt at 31 March	144,865	143,428	141,144	140,005	144,282	151,297
Capital Financing Requirement	183,712	177,509	188,819	203,396	207,017	213,379
(Under)/over Borrowing	(38,847)	(34,082)	(47,675)	(63,392)	(62,736)	(62,081)

The table contained in section 5.2 shows the CFR forecast for 2018/19 to 2022/23. Also, there is no maturing debt until 2020/21, borrowing pressure from expenditure plans within the capital programme exist from 2019-23. The Council is currently maintaining an under-borrowed position. This means that the capital borrowing need (the Capital Financing Requirement), has not been fully funded with loan debt as cash supporting the Council's reserves, balances

and cash flow has been used as a temporary measure. This strategy is prudent as investment returns are low and counterparty risk is still an issue that needs to be considered.

Against this background and the risks within the economic forecast, caution will be adopted with the 2019/20 treasury operations. The Director of Corporate Services will monitor interest rates in financial markets and adopt a pragmatic approach to changing circumstances:

PFI and finance lease portion of the CFR will not be funded by additional loan. Capital forecasts relating to 2019/20, 2020/21 and 2021/22 are very much subject to change at this stage.

The Council's decision to use internal borrowing is prudent as it eliminates the revenue cost of carry as investment returns remain low, there is sometimes slippage on capital programme budgets and counterparty risks remain to a degree. The Council can fund its entire borrowing requirement now if this is affordable. In which case, borrowing will be up to CFR.

Council's Year End Balance Sheet Position at 31 March 2018

	2016/17	2017/18	Change
	£'000		£'000
CFR	190,000	183,712	(6,288)
PFI and LEASES	(33,383)	(31,855)	1,527
Underlying Borrowing Requirement	156,617	151,857	(4,761)
External Borrowing	116,976	113,010	(3,966)
Under borrowing / Internal borrowing to date	(39,641)	(38,847)	795

Strategy to 'Unwind' Internal Borrowing

Internal borrowing at 31 March 2018 remains at sustainable levels. However, the Council will commence a review of its strategy to 'unwind' internal borrowing.

Debt Liability Benchmarking

In defining its borrowing strategy, the Council considered the true characteristics of all of the debt instruments in its portfolio, most especially the LOBOs and the various options available to the Council.

Consideration was given to the fact that in the current economic climate the LOBOs in the Council's portfolio will not be called due to their very high interest rate. Should they be called, replacement borrowing will not be required because the council will have cash available in 2019/20 to meet the call options based on the current estimates of the use of internal borrowing for the capital programme.

If all LOBOs are called at once (an unlikely event) then future estimated use of cash to temporarily fund the capital programme is likely to be affected.

The borrowing strategy to temporarily finance its capital programme, led the Council to consider setting a minimum amount of projected liquid cash of £10m. This means that cash outflows for capital purposes would primarily be met from cash investments until £10m was reached, and only at that point, would external borrowing be undertaken except if interest

rates were advantageous for long-term loans, then the Council will borrow in advance of need or where interest rates are expected to rise significantly and quickly.

The Council will continue to review, throughout the year, its options around higher and lower levels of cash-backed balances.

5.3 Treasury Indicators: Limits to Borrowing Activity

Operational Boundary - this is the limit beyond which external borrowing is not normally expected to exceed. (The most likely prudent view, not the worst case scenario. Maximum level of external debt projected – Cipfa)

Operational Boundary	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23
	Estimate	Estimate	Estimate	Estimate	Estimate	Estimate
	£000s	£000s	£000s	£000s	£000s	£000s
External Debt	113,010	113,010	113,010	113,479	119,267	127,844
Other Long Term Liabilities	31,855	30,418	28,134	26,526	25,015	23,453
Operational Boundary	144,865	143,428	141,144	140,005	144,282	151,297

Authorised Limit for External Borrowing

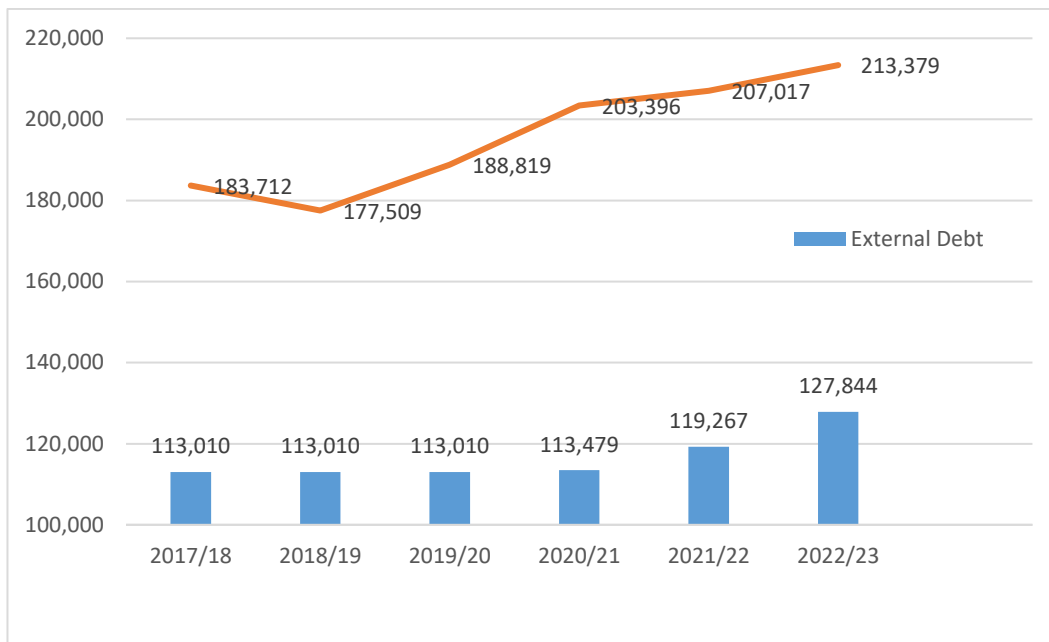
This is the statutory limit determined under section 3 (1) of the Local Government Act 2003. It represents a limit beyond which external borrowing must not go over in the 3 years, and this limit when set is to be revised annually by Council. It reflects the level of external borrowing which, while not desired, could be afforded in the short-term, but is not sustainable in the longer term. (The operational boundary, plus headroom for unusual cash movements – Cipfa)

The Council is asked to approve the following authorised limit:

	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23
	Estimate	Estimate	Estimate	Estimate	Estimate	Estimate
	£000s	£000s	£000s	£000s	£000s	£000s
Operational Boundary	144,865	143,428	141,144	140,005	144,282	151,297
Other Long Term Liabilities	80,000	90,000	100,000	100,000	100,000	100,000
Authorised Limit	224,865	233,428	241,144	240,005	244,282	251,297

Members are required to note that these authorised limits show the gross maximum borrowing for the year and, in year regulatory accounting changes which may affect the level of debt in the balance sheet as well as allow for any potential overdraft position and short-term borrowing for cashflow purposes. All of which will be counted against the overall borrowing. The authorised limit also provides headroom for any debt rescheduling which may occur during the year and any borrowing in advance of need.

The following graph shows projection of the CFR and borrowing.



Within the prudential indicators, there are a number of key indicators to ensure that the Council operates its activities within well-defined limits. One of these is that the Council should ensure that its gross debt does not (except in the short term) exceed the total of the CFR in the preceding year plus the estimates of any additional CFR for 2018/19 and the following two financial years. This allows some flexibility for limited early borrowing for future years, but ensures that borrowing is not undertaken for revenue purposes.

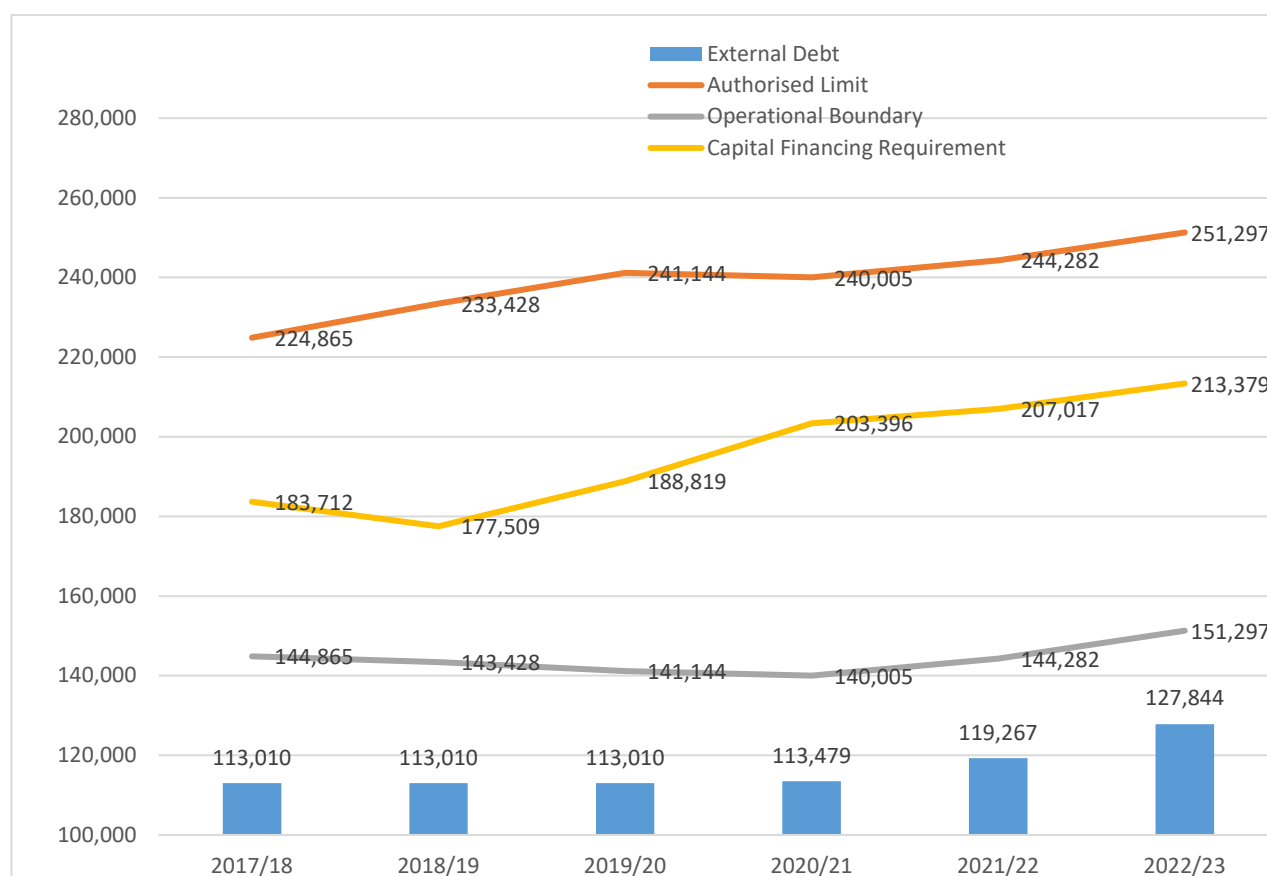
The Director of Corporate Services reports that the Council complied with this key prudential indicator in the current year and does not envisage difficulties for the future. This view takes into account current commitments, existing plans, and the proposals in the budget.

5.4 Treasury Management Limits on Activity

The table below shows the debt related treasury activity limits.

Members are asked to note that the maturity structure guidance changed in the CIPFA 2011 guidance notes for Lenders Option Borrowers Option (LOBO) Loans, the maturity dates is now deemed to be the next call date.

As interest rates begin to rise, it may be beneficial for the Council to go into some variable rate investments to avoid being locked into long-term investments at low rates in a period of rising interest rates or shorter duration borrowing to gain advantage of low rates.



The table below shows the fixed and variable interest rate exposure

	2018/19	2019/20	2020/21	2021/22	2022/23
Interest Rate Exposures	Upper Estimate	Upper Estimate	Upper Estimate	Upper Estimate	Upper Estimate
Upper limit for fixed interest rates based on net debt	100%	100%	100%	100%	100%
Upper limit for variable interest rates based on net debt	50%	50%	50%	50%	50%
Limits on fixed interest rates:					
• Debt only	100%	100%	100%	100%	100%
• Investments only	100%	100%	100%	100%	100%
Limits on variable interest rates					
• Debt only	50%	50%	50%	50%	50%
• Investments only	50%	50%	50%	50%	50%

The table below shows the Limits on the Maturity Structure of Borrowing

	Maturity Structure of fixed interest rate borrowing 2018/19			Maturity Structure of variable interest rate borrowing 2018/19		
	Actual at 21/11/2018	Lower	Upper	Actual 21/11/2017	Lower	Upper
Under 12 months	0%	0%	60%	0%	0%	50%
12 months to 2 years	0%	0%	60%	0%	0%	50%
2 years to 5 years	3.81%	0%	60%	0%	0%	50%
5 years to 10 years	27.17%	0%	80%	0%	0%	50%
10 years to 20 years	11.06%	0%	100%	0%	0%	50%
20 years to 30 years	11.94%	0%	100%	0%	0%	50%
30 years to 40 years	28.32%	0%	100%	0%	0%	50%
40 years to 50 years	17.70%	0%	100%	0%	0%	50%

Local Indicators

In setting the indicators below, the Council has taken into consideration investment risks and returns.

The table below shows target borrowing and investment rates

	2017/18 Actual %	2018/19 Estimate %	2019/20 Estimate %	2020/21 Estimate %	2021/22 Estimate %	2022/23 Estimate %
Average Investment Target Return	0.80%	0.84%	1.00%	1.00%	1.00%	1.25%
Average Investment Target – Property Fund	4.19	4.0%	4.0%	4.0%	4.0%	4.0%
Long Term Borrowing Target						
• Current Portfolio	5.94%	5.72%	5.22%*	5.22%*	5.22%*	5.22%*

** If we are borrowing in future years, will this change?

The average investment target return above is based on the expected target return for the stated periods.

5.5 Policy on Borrowing in Advance of Need

London Borough of Merton will not borrow more than, or in advance of its need, purely in order to profit from the investment of the extra sums borrowed.

Any decision to borrow in advance will be within forward approved CFR estimates, and will be considered carefully to ensure that value for money can be demonstrated and that the Council can ensure the security of such funds.

Borrowing in advance could be made within the constraints that:

- It will be limited to no more than 50% of the expected increase in borrowing need (CFR) over the three year planning period; and
- Would not look to borrow more than 24 months in advance of need. Where possible rates will be locked using forward borrowing to reduce the risk of the Council holding cash in low interest rate environment.

Risks associated with any borrowing in advance activity will be subject to prior appraisal and subsequent reporting through the mid-year or annual reporting mechanism. The probability of this happening is low.

However should the Council need to borrow in advance of need, then the following will apply.

Year	Maximum Borrowing in advance	Notes
2019/20	No more than 50% of under borrowing requirement	Borrowing in advance will be limited to no more than 50% of the expected increase in borrowing need (CFR) over the period of the approved Medium Term Capital Programme, a maximum of 2 years in advance to reduce carrying costs.
2020/21	No more than 50% of under borrowing requirement	
2021/22	No more than 50% of under borrowing requirement	
2022/23	No more than 50% of under borrowing requirement	

5.6. Debt Rescheduling

As short-term borrowing rates will be considerably cheaper than longer term fixed interest rates, there may be potential opportunities to generate savings by switching from long-term debt to short-term debt. However, these savings will need to be considered in the light of the current treasury position and the size of the cost of debt repayment (premiums incurred).

The reasons for any rescheduling to take place will include:

- the generation of cash savings and / or discounted cash flow savings;
- helping to fulfil the treasury strategy;
- enhance the balance of the portfolio (amend the maturity profile and/or the balance of volatility).

Consideration will also be given to identify if there is any residual potential for making savings by running down investment balances to repay debt prematurely as short term rates on investments are likely to be lower than rates paid on current debt.

All rescheduling will be reported to the Cabinet, at the earliest meeting following its action.

The following table shows the maturity profile of the Council's current debt as at November 2018.

Duration	£'000	% of Debt Portfolio
less than 1 year	0	0.00
1 - 2 years	0	0.00
2 - 5 years	4,310	3.81
5 -10 years	30,700	27.17
10 -15 years	1,000	0.88
15- 20 years	11,500	10.18
20 - 25 years	13,500	11.95
25-30 years	0	0.00
30 - 35 years	7,000	6.19
35-40 years	25,000	22.12
40 -45 years	20,000	17.70
45-50 years	0	0

All of the Council's LOBOs are past their non call period, however, should all LOBOs be called at their next interest due date then the maturity profile will be as shown in the table below, an event which is very unlikely in the current low interest rate environment.

Duration	£'000	% of Debt Portfolio
less than 1 year	51,000	45.13
1 - 2 years	0	0
2 - 5 years	310	0.27
5 -10 years	21,200	18.76
10 -15 years	1,000	0.88
15- 20 years	2,500	2.21
20 - 25 years	0	0.00
25-30 years	0	0.00
30 - 35 years	7,000	6.19
35-40 years	15,000	13.29
40 -45 years	15,000	13.27
45-50 years	0	0.00

As short term borrowing rates will be considerably cheaper than longer term fixed interest rates, there may be potential opportunities to generate savings by switching from long term debt to short term debt. However, these savings will need to be considered in the light of the current treasury position and the size of the cost of debt repayment (premiums incurred).

The reasons for any rescheduling to take place will include:

- the generation of cash savings and / or discounted cash flow savings;
- helping to fulfil the treasury strategy;
- enhancing the balance of the portfolio (amend the maturity profile and/or the balance of volatility).

Consideration will also be given to identify if there is any residual potential for making savings by running down investment balances to repay debt prematurely as short term rates on investments are likely to be lower than rates paid on current debt.

The Council tests the markets for redemption opportunities should they exist. The PWLB loans portfolio was elected for the early redemption review as at December 2018. A total loan value of £52m would incur redemption costs of £25million in addition to any accrued interest due.

The high cost of early redemption is not economically viable in current markets. However there may be cases where the Council is able to negotiate with the counterparty (**Appendix 1**).

The Director of Corporate Services will continue to review and identify any potential for making savings and provide Cabinet with updates when such opportunities arise. Any rescheduling activity will be reported to Cabinet at the earliest meeting following the transaction.

Use of Derivatives

The Council may use derivatives for risk management purposes in line with relevant statutory powers, recommended accounting practices and legal opinions on the use of derivatives by Local Authorities in the UK.

5.7 Borrowing Options

The Council will use a number of borrowing sources. These include the Public Works Loans Board (PWLB maturity, EIP or annuity loans), Market loans, Municipal Bond Agency, Retail Bonds, Loans from other Local Authorities and temporary loans. It is hoped that borrowing rates will be lower than those offered by the PWLB. The Council intends to make use of this new source of borrowing as and when appropriate.

5.8 Changes Which May Affect Treasury Management

- *Future Regulatory Changes to Money Market Fund Valuation*
Proposed EU legislative changes will require money market funds with constant net asset value to change to variable net asset value. This will mean that investors in the fund will be liable for their share of losses as a result of counterparty failure. Consultation continues on the expected changes.
- *Proposed Changes to Leasing*
Future changes to accounting for leasing may mean that the cost of service will increase along with increases in MRP and CFR which will affect the Council's underlying borrowing requirement. It is anticipated that there may be some impact on both capital and revenue income and the changes will require all leases to be included on the balance sheet and be measured on PV of future lease payments. The new lease standard (IFRS 13) issued in 2015 is not anticipated to be adopted until 2019/20.
- *Municipal Bond Agency*
It is possible that the Municipal Bond Agency will be offering loans to local authorities in the future. The Agency hopes that the borrowing rates will be lower than those offered by the Public Works Loan Board (PWLB). This Authority may make use of this new source of borrowing as and when appropriate.
- *Future Challenges to Local Government Funding*
Future challenges to local government funding and their effect on cash flow remains a challenge.

6. ANNUAL INVESTMENT STRATEGY

6.1 Investment Policy

London Borough of Merton's investment policy has regard to the CLG's Guidance on Local Government Investments ("the Guidance") and the revised CIPFA Treasury Management in Public Services Code of Practice and Cross Sectoral Guidance Notes ("the CIPFA TM Code"). The Council's investment priorities will be security first, liquidity second, then return.

6.2 Investment Strategy

In-house funds: Investments will be made with reference to the core balance and cash flow requirements and the outlook for short-term interest rates (i.e. rates for investments up to 12 months).

Investment returns expectations

Bank Rate forecasts for financial year ends (March) are:

2018/19	0.75%
2019/20	1.25%
2020/21	1.60%
2021/22	1.60%

The suggested budgeted investment earnings rates for returns on investments placed for periods up to about three months during each financial year are as follows:

	Now
2018/19	0.84%
2019/20	1.00%
2020/21	1.00%
2021/22	1.00%
2022/23	1.25%
2023/24	1.25%
Later years	2.75%

The overall balance of risks to these forecasts is currently skewed to the upside and are dependent on how strong GDP growth turns out, how quickly inflation pressures rise and how quickly the Brexit negotiations move forward positively.

6.3 Alternative Investment Instruments

The Council has in the past restricted its treasury activities to simple investment structures like fixed deposits and money market funds.

However, in the current market, regulatory and economic environment, the Council may be required to utilise various instruments. **Appendix 5** of this report gives a detailed overview of the types of instrument and investment options available to the Council.

The global financial crisis of 2008 led to a major overhaul of regulation, market practices and financial institutions across the world. The changes have been aimed at promoting greater transparency and investor confidence.

Some of these measures include more institution-level regulatory changes like stringent capital, leverage and liquidity requirements in addition to The European Union (EU) Directives on Bank Recovery and Resolution (BRRD) and Deposit Guarantee Schemes (DGSD) among a few are key in this reform. Although these changes are ultimately designed to make financial systems more robust, they are not expected to have a fundamental impact on insolvency creditor hierarchy.

Although the Council does not expect a fundamental change in type of instruments it uses in the delivery of its treasury management activities, a number of new instruments have been included to provide flexibility should there be changes in the economic environment which may warrant their use.

As with any investment, there are varying degrees of risk associated with each instrument or investment options.

Should the Council decide to invest in any asset class a comprehensive analysis will be conducted to understand the associated risk and each instrument will be signed off by the Director of Corporate Services prior to any activity.

6.4 Investment Treasury Indicator and Limit - total principal funds invested for greater than 364 days. These limits are set with regard to the Council's liquidity requirements and are based on the availability of funds after each year-end.

	31 Dec 2018 Actual £'m	2018/19 Estimate £'m	2019/20 Estimate £'m	2020/21 Estimate £'m	2021/22 Estimate £'m	2022/23 Estimate £'m
Estimated Principal sums invested greater than 364 days	5m	18m	40m	40m	30m	30m

In addition to fixed deposits, a number of other financial instruments like Property funds will fall under the category of investments with duration exceeding 364 days. In addition to using money market funds, call accounts and notice accounts, the Council will seek to utilise other liquid and transferable instruments like certificate of deposits and gilts for its cashflow balances.

6.5 Use of Specified and Non-Specified Investments

Investment instruments identified for use in the financial year are as follows:

Specified Investments

These are sterling investments of not more than one-year maturity, or those which could be for a longer period where the Council has the right to be repaid within 12 months if it wishes. These are considered low risk assets where the possibility of loss of principal or investment income is small. These would include sterling investments which would not be defined as capital expenditure by virtue of regulation 25(1)(d) of the Local Authorities (Capital Finance and Accounting) (England) Regulations 2003 [SI 3146 as amended with:

- The investment is denominated in sterling and any payments or repayments in respect of the investment are payable only in sterling;
- The investment is not a long-term investment;
- The making of the investment is not defined as capital expenditure]; and
- The investment is made with a body or in an investment scheme of high credit quality or with one of the following public-sector bodies:
 - The United Kingdom Government;
 - A local authority in England or Wales (as defined under section 23 of the 2003 Act).

Non-Specified Investments

Non-Specified investments are defined as those not meeting the above criteria and exceeding 365 days in duration.

6.6 Investment Risk Benchmarking

These benchmarks are simple guides to maximum risk, so they may be breached from time to time, depending on movements in interest rates and counterparty criteria. The purpose of the benchmark is that officers will monitor the current and trend position and amend the operational strategy to manage risk as conditions change

Revenue Pressures – 0.1% improvement on £20m is £20k income generated and the cost of no risk is lost revenue therefore risks must be balanced to the Council's risk appetite.

- Security - The Council's maximum security risk benchmark for the current portfolio:
- Liquidity – in respect of this area the Council seeks to maintain:
 - Bank overdraft - £1m
 - Liquid short-term deposits of around £5m or more available with one day access.

6.7 Risk Management and Creditworthiness Policy

This Council applies the creditworthiness service provided by Link Asset Services (formerly Capita Asset Services). This service employs a sophisticated modelling approach utilising credit ratings from the three main credit rating agencies - Fitch, Moody's and Standard and Poor's. The credit ratings of counterparties are supplemented with the following overlays:

- Credit watches and credit outlooks from credit rating agencies;
- CDS spreads to give early warning of likely changes in credit ratings;
- Sovereign ratings to select counterparties from only the most creditworthy countries.

This modelling approach combines credit ratings, credit Watches and credit Outlooks in a weighted scoring system which is then combined with an overlay of CDS spreads for which the end product is a series of colour coded bands which indicate the relative creditworthiness of counterparties. These colour codes are used by the Council to determine the suggested duration for investments. The Council will therefore use counterparties within the following durational bands:

Y	Pi1	Pi2	P	B	O	R	G	N/C
1	1.25	1.5	2	3	4	5	6	7
Up to 5yrs	Up to 5yrs	Up to 5yrs	Up to 2yrs	Up to 1yr	Up to 1yr	Up to 6mths	Up to 100days	No Colour
	Colour (and long term rating where applicable)	Money Limit	Time Limit					
Banks	yellow	£35m	5yrs					
Banks	purple	£25m	2 yrs					
Banks	orange	£25m	1 yr					
Banks – part nationalised	blue	£25m	1 yr					
Banks	red	£10m	6 mths					
Banks	green	£5m	100 days					
Banks	No colour	Not to be used						
Limit 3 category – Council's banker	Lloyds bank	£5m	1 day					
Other institutions limit	-	£5m	1yrs					
DMADF	AAA	unlimited	6 months					
Local authorities	Yellow	£35m	5yrs					
	Fund rating	Money Limit	Time Limit					
Money market funds	AAA	£35m	Instant					
Enhanced money market funds with a credit score of 1.25	Dark pink / AAA	£25m	Instant					
Enhanced money market funds with a credit score of 1.5	Light pink / AAA	£10m	Instant					

The Link Asset Services' creditworthiness service uses a wider array of information than just primary ratings. Furthermore, by using a risk weighted scoring system, it does not give undue preponderance to just one agency's ratings.

Typically the minimum credit ratings criteria the Council use will be a Short Term rating (Fitch or equivalents) of F1 and a Long Term rating of A-. There may be occasions when the counterparty ratings from one rating agency are marginally lower than these ratings but may still be used. In these instances consideration will be given to the whole range of ratings available, or other topical market information, to support their use.

All credit ratings will be monitored regularly. The Council is alerted to changes to ratings of all three agencies through its use of the Link Asset Services' creditworthiness service.

- if a downgrade results in the counterparty / investment scheme no longer meeting the Council's minimum criteria, its further use as a new investment will be withdrawn immediately.
- in addition to the use of credit ratings the Council uses other market data on a daily basis via its Passport website, provided exclusively to it by Link Asset Services. Extreme market movements may result in downgrade of an institution or removal from the Council's lending list.

Sole reliance will not be placed on the use of this external service. In addition this Council will also use market data and market information, information on any external support for banks to help support its decision making process.

6.8 Country and Sector Limits

The Council has determined that it will only use approved counterparties from countries with a minimum sovereign credit rating of AA- from Fitch (or equivalent). The list of countries that qualify using this credit criteria as at the date of this report are shown in **Appendix 3**. This list will be added to, or deducted from by officers should ratings change in accordance with this policy.

6.9 Banking Arrangements

The Council's bankers are Lloyds bank. The Council's bank accounts include some school accounts and client bank accounts managed as part of its Appointeeship role for residents that require this support. All schools are responsible for the management of their bank accounts.

From time to time the Council may open bank accounts with other banks for specific reasons, subject to approval by the Director of Corporate Services.

6.10 Lending to Community Organisations, Other Third Parties and RSLs - Any loans to or investments in third parties will be made under the Well Being powers of the Council conferred by section 2 of the Local Government Act 2000 or Localism Act of 2011.

The Well Being power can be exercised for the benefit of some or all of the residents or visitors to a local authority's area. The power may also be used to benefit organisations, schools, local enterprises, local companies or even individuals. Loans of this nature will be under exceptional circumstances and must be approved by Cabinet or by delegated authority to the Director of Corporate Services. Authorisation from the Financial Conduct Authority (FCA) will also be sought where applicable.

Where it is deemed necessary, additional guarantees will be sought. This will be via security against assets and/or through guarantees from a parent company. The Council will also consider other factors like the statutory powers in place, reasonableness of the investment, FCA, objective and revenue earnings for the Council, MRP requirements, accounting issues and categorisation of the expenditure as capital or revenue.

In other instances, the Council may receive soft loans from government agencies.

6.11 Non-Treasury Investment Lending

The Council may be required to make policy investments for the good of its community by lending to local organisations and in some cases schools. Legal agreements are drawn which stipulate the terms of the loan which includes the ability of the organisation to make repayments. The Council may also lend to its wholly owned companies.

7. Cashflow Management

7.1 CIPFA requires all monies to be under the control of the responsible officer and for cashflow projections to be prepared on a regular and timely basis. Cashflow provides outline of operations. Actuals and forecast are recorded using Logotech systems. At the end of each day the net receipts and payments is either invested or borrowed to ensure that the Council's bank account is kept at a minimum.

Forecasts are based on best estimates which may slip due to unforeseen circumstances and the nature of large projects. Please see Appendix 8 for the cash flow forecast.

7.2 Purchase and Corporate Credit Cards

The use of corporate credit cards like other accounts payable methods carries significant risks. The Director of Corporate Services is responsible for ensuring that the Council has appropriate controls in place to protect the Council's funds.

8. Policy on the use of External Service Providers

The Council recognises CIPFA's guidance on Treasury Management that the responsibility for Treasury Management cannot be delegated outside the authority and recognises that any external service provider used by the Council is to support the in-house Treasury Management function. The Council will ensure that the terms of their appointment and the methods by which their value will be assessed are properly agreed and documented, and subjected to regular review. The Council is aware of the CIPFA Treasury Management Advisors Regulation and Services issued in March 2010.

The Council is also mindful of the requirements of the Bribery Act 2011 as amended in its dealings with external providers. A copy of the Council's policy can be found in the link below.

9. Training

A key outcome of the recent investigations into Local Authority investments is the need to ensure that all relevant Treasury Management staff receive appropriate training and knowledge in relation to these activities. Training is provided in-house on the job, via CIPFA seminars and training courses, treasury adviser seminars and training courses and sometimes counterparties conduct training. In addition, members of the team attend national forums and practitioner user groups.

10. The Localism Act

A key element of the Act is the "General Power of Competence": "A local authority has power to do anything that individuals generally may do." CIPFA emphasise that where the legality of the use of derivatives is confirmed, then there is a need for a framework for their use. The Council currently does not use derivatives. Should the need for the use of derivatives arise as a requirement for managing its interest rate exposure or hedging its investments, the Council will take legal advice and report to members before use.

11. Treasury Management Practices

- 11.1 The 2011 Code reinforces a framework of 12 Treasury Management practices (TMPs), which define the manner in which authorities seek to achieve the policies and objectives outlined in their Treasury Management policy statement. The Council's detailed Treasury Management practices approved in March 2018/19 can be found on the Council's intranet. An updated version is included as **Appendix 5**

12. Appendices

- Appendix 1– Early Repayment of Debt Estimate
- Appendix 2 – Policy Investments (Non-Treasury Management Investments)
- Appendix 3 – Approved Countries for Investment
- Appendix 4 – The Treasury Management Role of the S151 Officer
- Appendix 5 – Treasury Management Practices 2019/20
- Appendix 6 – Prudential Indicators for 2018/19 to 2022/23
- Appendix 7 – Glossary
- Appendix 8 – Cashflow Forecast

13. Background Papers

- CIPFA Prudential Code for Capital Finance in Local Authorities 2013 Edition
 - 2017/18 Treasury Management Strategy report
 - The Guide to Local Government Finance (2013 Edition) Module 4: Treasury Management
 - CIPFA Practical Considerations in Using Financial Instruments to Manage Risk in the Public Sector
 - London Borough of Merton Capital Strategy 2019/23

APPENDIX 1 – Early Repayment of Debt Estimates for a Selection of Debt

PWLB loan Early Redemption Estimates at 30 November 2018

Loan Ref	Lender	Loan Start Date	Term	Maturity	Principal	Rate	Last Int paid	Term Left	Next Int Due	Discount Rate	Accrued Int to Nov 30	Premium/Discount	Total Due
1000484711	PWLB	13/11/2000	24	31/10/2024	5,000,000.00	5.00	31/10/2018	5.0	30/04/2019	0.78	20,547.95	1,178,799.94	6,199,347.89
1000484981	PWLB	30/11/2000	24	31/10/2024	1,500,000.00	4.75	31/10/2018	5.0	30/04/2019	0.86	5,856.16	332,076.57	1,837,932.73
1005489969	PWLB	20/05/2005	30	20/05/2035	2,500,000.00	4.45	20/11/2018	16.0	20/05/2019	0.86	3,047.95	997,257.48	3,500,305.43
1005490706	PWLB	21/11/2005	26	21/11/2031	1,000,000.00	4.25	21/11/2018	12.0	21/05/2019	0.86	1,047.95	327,307.92	1,328,355.87
1005490967	PWLB	10/01/2006	50	25/07/2055	10,000,000.00	3.95	25/07/2018	36.0	25/01/2019	0.90	138,520.55	5,750,711.92	15,889,232.47
1005490976	PWLB	10/01/2006	50	25/07/2055	5,000,000.00	3.95	25/07/2018	36.0	25/01/2019	0.90	69,260.27	2,875,355.96	7,944,616.23
1006491475	PWLB	28/04/2006	45.5	28/10/2051	7,000,000.00	4.40	28/10/2018	32.0	28/04/2019	1.67	27,846.58	4,408,923.18	11,436,769.76
1097480120	PWLB	15/10/1997	25.5	31/03/2023	310,000.00	6.63	30/09/2018	4.0	31/03/2019	1.47	3,432.29	77,046.29	390,478.58
1097480121	PWLB	15/10/1997	26.5	31/03/2024	12,000,000.00	6.50	30/09/2018	5.0	31/03/2019	1.80	130,356.16	3,520,230.52	15,650,586.68
1097480232	PWLB	11/11/1997	26.5	31/03/2024	1,700,000.00	6.75	30/09/2018	5.0	31/03/2019	1.80	19,177.40	520,804.79	2,239,982.19
1098480925	PWLB	30/04/1998	26	30/04/2024	6,000,000.00	5.88	31/10/2018	5.0	30/04/2019	1.84	28,972.60	1,589,444.74	7,618,417.34
Total					52,010,000.00						448,065.86	21,577,959.31	74,036,025.17

APPENDIX 2 – Policy Investments (Non-Treasury Management Investments)

Type	Duration	
Joint Development Companies	One month to 10 years	Subject to specific terms
Loans to Registered Landlords	One month to 5 years	Subject to specific terms
Open Loan Facility to RCL's with an affiliation with Merton	One month to 5 years	Subject to specific terms
Loans to wholly owned companies	One month to 30 years	Subject to specific terms
Loan to any other type of organisation	One month to 10 years	Subject to specific terms

APPENDIX 3 – APPROVED COUNTRIES FOR INVESTMENTS (as at 21 November 2018)

Below is the current list of approved countries for investments for use by the Council's treasury team. The countries on the Council's approved list may change from time to time as Sovereign ratings change.

This list is based on those countries which have sovereign ratings of AA- or higher and also, (except - at the time of writing - for Norway and Luxembourg), have banks operating in sterling markets which have credit ratings of green or above in the Link Asset Services credit worthiness service.

AAA

- Australia
- Canada
- Denmark
- Germany
- Luxembourg
- Netherlands
- Norway
- Singapore
- Sweden
- Switzerland

AA+

- Finland
- U.S.A.

AA

- Abu Dhabi (UAE)
- France
- Hong Kong
- U.K.

AA-

- Belgium
- Qatar

APPENDIX 4**(i) Full Council**

- receiving and reviewing reports on treasury management policies, practices and activities;
 - approval of annual strategy.
 - approval of/amendments to the organisation's adopted clauses, treasury management policy statement and treasury management practices;
 - budget consideration and approval;
 - approval of the division of responsibilities;
 - Receiving and reviewing regular monitoring and acting on recommendation
-
- **The S151 Officer (Director of Corporate Services)**
 - recommending clauses, Treasury Management policy / practices for approval, reviewing the same regularly, and monitoring compliance;
 - submitting regular Treasury Management policy reports;
 - submitting budgets and budget variations;
 - receiving and reviewing management information reports;
 - reviewing the performance of the Treasury Management function;
 - ensuring the adequacy of Treasury Management resources and skills, and the effective division of responsibilities within the Treasury Management function;
 - ensuring the adequacy of internal audit, and liaising with external audit;
 - recommending the appointment of Treasury Management external service providers.
 - Approval of appropriate money market funds for the Council to invest in.

APPENDIX 5

LONDON BOROUGH OF MERTON
TREASURY MANAGEMENT PRACTICES 2019/20

TMP 1: RISK MANAGEMENT

The Director of Corporate Services – the responsible officer will implement and monitor all arrangements for the identification, management and control of treasury management risk, will report at least annually on the adequacy / suitability thereof, and will report, as a matter of urgency, the circumstances of any actual or likely difficulty in achieving the organisation's objectives in this respect, all in accordance with the procedures set out in TMP6 Reporting requirements and management information arrangements. In respect of each of the following risks, the arrangements which seek to ensure compliance with these objectives are set out in the schedule to this document.

1.1 Credit and Counterparty Risk Management

The Council regards a key objective of its treasury management activities to be the security of the principal sums it invests. Accordingly, it will ensure that its counterparty lists and limits reflect a prudent attitude towards organisations with which funds may be deposited, and will limit its investment activities to the instruments, methods and techniques referred to in TMP4 Approved Instruments Methods and Techniques and listed in the schedule to this document. It also recognises the need to have, and will therefore maintain, a formal counterparty policy in respect of those organisations from which it may borrow, or with whom it may enter into other financing or derivative arrangements.

Policy on the use of credit risk analysis techniques

- The Council will use credit criteria in order to select creditworthy counterparties for placing investments with.
- Credit ratings will be used as supplied from all three rating agencies - Fitch, Moody's and Standard & Poor's.
- Treasury management consultants will provide regular updates of changes to all ratings relevant to the Council.
- The treasury manager will formulate suitable criteria for assessing and monitoring the credit risk of investment counterparties and shall construct a lending list comprising maturity periods, type, group, sector, country and counterparty limits.

1.2 Liquidity Risk Management

The Council will ensure it has adequate, though not excessive cash resources, borrowing arrangements, overdraft or standby facilities to enable it, at all times, to have the level of funds available to it which are necessary for the achievement of its business/service objectives. The Council will only borrow in advance of need where there is a clear business case for doing so and will only do so for the current capital programme or to finance future debt maturities.

The treasury management team shall seek to minimise the balance held in the Council's main bank accounts at the close of each working day. Borrowing or lending shall be arranged in order to achieve this aim. At the end of each financial day any unexpected surplus funds are transferred to the main bank account.

Bank overdraft arrangements – A £1 million net overdraft at 2% over base rate on debit

balances has been agreed as part of the banking services contract. The overdraft is assessed on a group basis for the Council's accounts. Separate facilities are available for the Pension Fund bank account.

- a. Short-term borrowing facilities
The Council accesses temporary loans through approved brokers on the London money market.
- b. Special payments
Where an urgent clearing house automated payment system (CHAPS) payment is required, a CHAPS payment request form must be completed and forwarded to the Head of Transactional Services who then checks for correct required signatures and supporting paperwork. Further guidance can be found on the Council's intranet.
- c. Inter account transfer
From time to time, transactions occur between the Pension Fund and the Council. Reimbursement where necessary is by inter-account transfers between both bank accounts.

1.3 Interest Rate Risk Management and use of Derivatives

The Council will manage its exposure to fluctuations in interest rates with a view to containing its interest costs, or securing its interest revenues, in accordance with the amounts provided in its budgetary arrangements as amended in accordance with TMP6 Reporting requirements and management information arrangements. It will achieve this by the prudent use of its approved financing and investment instruments, methods and techniques, primarily to create stability and certainty of costs and revenues, but at the same time retaining a sufficient degree of flexibility to take advantage of unexpected, potentially advantageous changes in the level or structure of interest rates. This should be the subject to the consideration and, if required, approval of any policy or budgetary implications.

The Council does not use derivatives, the Council's S151 Officer will ensure that any hedging tools such as derivatives are only used for the management of risk and the prudent management of financial affairs and that the policy for the use of derivatives when used will be clearly stated to members. The treasury management strategy has full details of interest rate exposure limits.

Policies concerning the use of instruments for interest rate management.

- Forward Dealing

Consideration will be given to dealing for forward periods depending on market conditions. When forward dealing is more than a 364 day period forward, the approval of the Director of Corporate Services is required.

- Callable Deposits

The council may use callable deposits as part as of its Annual Investment Strategy (AIS). The credit criteria and maximum periods are set out in the Schedule of Specified and Non Specified Investments appended to the AIS.

Policy on Use of Lender's Option Borrower's Option (LOBO) Loans

LOBOs give the lender the option to propose an increase in the interest rate at pre-determined dates, and the borrower, the option to accept the new rate **or** redeem the loan without penalty.

Use of LOBOs is considered as part of the Council's annual borrowing strategy. All long-term borrowing must be approved by the S151 Officer.

1.4 Exchange Rate Risk Management

Occasionally, the Council has to make foreign exchange payments, the Council will manage its exposure to fluctuations in exchange rates so as to minimise any detrimental impact on its budgeted income/expenditure.

1.5 Refinancing Risk Management

The Council will ensure that its borrowing, private financing and partnership arrangements are negotiated, structured and documented, and the maturity profile of the monies raised are managed, with a view to obtaining offer terms at renewal or refinancing, if required, which are competitive and as favourable to the organisation as can reasonably be achieved in the light of market conditions prevailing at the time.

The Council will actively manage the relationships with counterparties in such a manner as to secure the above objective, and will avoid overreliance on any one source of funding if this might jeopardise achievement of the above.

The Council will establish through its Prudential and Treasury Indicators the amount of debt maturing in any year. Any debt rescheduling will be considered when the difference between the refinancing rate and the redemption rate is most advantageous and the situation will be continually monitored in order to take advantage of any perceived anomalies in the yield curve. The reasons for rescheduling include:

- a) to generate cash savings at minimum risk;
- b) to reduce the average interest rate; and
- c) to amend the maturity profile and/or the balance of volatility of the debt portfolio

Any rescheduling will be reported to the Council at the meeting immediately following the action.

1.6 Legal and Regulatory Risk Management

The Council will ensure that all of its treasury management activities comply with its statutory powers and regulatory requirements. It will demonstrate such compliance, if required to do so, to all parties with whom it deals in such activities. In framing its credit and counterparty policy under TMP1 1.1 Credit and Counterparty Risk Management, it will ensure that there is evidence of counterparties powers, authority and compliance in respect of the transactions they may effect with the organisation, particularly with regard to duty of care and fees charged.

The Council recognises that future legislative or regulatory changes may impact on its treasury management activities and, so far as it is reasonably able to do so, will seek to minimise the risk of these impacting adversely on the organisation.

The Council will ensure that its treasury management activities comply fully with legal statute, guidance, Codes of Practice and the regulations of the Council.

The Council's powers to borrow and invest are contained in the Local Government Act 2003, section 12 and Local Government Act 2003, section 1. The treasury management scheme of delegation is contained in the Corporate Services Scheme of Delegation. This document

contains the officers who are authorised signatories. The Council's monitoring officer is the Assistant Director Corporate Resources while the S151 Officer is the Director of Corporate Services.

1.7 Fraud, Error and Corruption, and Contingency Management

Treasury tasks are segregated and adequate internal checks have been implemented to minimise risks and fraud. Procedures are documented and staff will not be allowed to take up treasury management activities until they have had proper training and are subject to an adequate and appropriate level of supervision.

Records will be maintained of all treasury management transactions so that there is a full audit trail and evidence of the appropriate checks being carried out. Periodic backups will be made to ensure contingency of systems is available.

Details of Systems and Procedures to be Followed, Including Internet Services

The Council uses Logotech Treasury systems as its treasury management recording tool.

- The Corporate Services Scheme of Delegation sets out the delegation of duties to officers and the Council's constitution details delegated authority of treasury management to the Section 151 Officer.
- All loans and investments are negotiated by the Treasury Manager or other authorised persons.
- All long-term loans must be authorised by the Section 151 Officer.

1.8 Market Risk Management

The Council will seek to ensure that its stated treasury management policies and objectives will not be compromised by adverse market fluctuations in the value of the principal sums it invests, and will accordingly seek to protect it from the effects of such fluctuations. This is controlled mainly by setting limits on investment instruments where the principal value can fluctuate. The limits are detailed in the Treasury Management Strategy

TMP 1: SCHEDULE 1 – SPECIFIED AND NON SPECIFIED INVESTMENTS

This is included in the Treasury Management Strategy.

TMP 2: PERFORMANCE MEASUREMENT

2.1 Evaluation and Review of Treasury Management Decisions

Periodic Review During the Financial Year

The Director of Corporate Services will hold treasury management review meetings with the Treasury Manager, periodically or as required to review actual activity against the Treasury Management Strategy Statement (TMSS) and cashflow forecasts. This will include:

- Total debt (both on-and off- balance sheet) including average rate and maturity profile.
- Total investments including average rate and maturity profile and changes to the above from the previous review and against the TMSS.
- Cashflow forecast against the actual.

Annual Review After the end of the Financial Year

Annual Treasury Report will be submitted to the Full Council each year after the close of the financial year.

Comparative Review

Each year or on a quarterly basis, comparative review is undertaken to see how the Council's performance on debt and investments compares to other authorities with similar size portfolios (but allowing for the fact that Prudential and Treasury Indicators are set locally). Such reviews are: -

- CIPFA Treasury Management statistics published each year for the last complete financial year
- CIPFA Benchmarking Club
- CIPFA Risk Study
- Other

2.2 Benchmarks and Calculation Methodology

2.2.1 Debt management

- Average rate on all external debt
- Average rate on external debt borrowed in previous financial year
- Average period to maturity of external debt
- Average period to maturity of new loans in previous year

2.2.2 Investment

The performance of investment earnings will be measured against any of the following benchmarks: In-house benchmark and when necessary other benchmarks such as Bank of England base rate, 7-day LIBID uncompounded, 7-day LIBID compounded weekly, 1-month LIBID and 3-month LIBID compounded quarterly

Performance will also be measured against other local authority funds with similar benchmark and parameters managed by other fund managers using the CIPFA treasury management benchmark service.

2.3 Policy Concerning Methods for Testing Value-for-money in Treasury Management

The process for advertising and awarding contracts will be in-line with the Council's Contract Standing Orders and procurement guidelines.

2.3.1 Money-broking Services

From time to time, the Council will use money-broking services in order to make deposits or to borrow, and will establish charges for all services prior to using them. An approved list of firm of brokers is maintained by the Treasury Manager. The list takes account of both prices and quality of service. No firm of brokers will be given undue preference.

2.3.2 Consultants / Advisers Services

The Council's treasury management adviser is Link Asset Services (formerly Capita Asset Services).

TMP 3: DECISION-MAKING AND ANALYSIS**3.1 Funding, Borrowing, Lending, and New Instruments/Techniques****3.1.1 Records to be kept**

The following records will be retained:

- Daily cash balance forecasts for the day and previous day
- Money market deal booking and deal approval confirmation emails
- Dealing slips for all investment and borrowing transactions
- Brokers' confirmations for all investment and temporary borrowing transactions made through brokers
- Confirmations from borrowing / lending institutions including money market fund portals
- PWLB loan confirmations
- PWLB interest due schedule
- Certificates for market loans, local bonds and other loans
- Deal confirmation letters for deals over one month
- Banking and other contract documents which the treasury team has responsibility for.

3.1.2 Processes to be pursued

- Cashflow analysis
- Debt and investment maturity analysis
- Ledger/Logotech/Bank reconciliations
- Review of counterparty limits in addition to monitoring of counterparties
- Review of opportunities for debt restructuring
- Review of borrowing requirement to finance capital expenditure (and other forms of financing where those offer value for money)
- Performance information (e.g. monitoring of actuals against budget for debt charges, interest earned, debt management; also monitoring of average pool rate, investment returns, etc)
- Treasury contracts management

3.1.3 Issues to be addressed**3.1.3.1 In respect of all treasury management decisions made the Council will:**

- a) Above all be clear about the nature and extent of the risks to which the Council may become exposed
- b) Be certain about the legality of the decision reached and the nature of the transaction, and that all authorities to proceed have been obtained
- c) Be content that the documentation is adequate both to deliver the Council's objectives and protect the Council's interests, and to deliver good housekeeping
- d) Ensure that third parties are judged satisfactory in the context of the council's creditworthiness policies, and that limits have not been exceeded
- e) Be content that the terms of any transactions have been fully checked against the market, and have been found to be competitive; and
- f) Ensure that adequate investigation on security of the Council's funds has been conducted

3.1.3.2 In respect of borrowing and other funding decisions, the Council will:

- a) Consider the ongoing revenue liabilities created, and the implications for the organisation's future plans and budgets
- b) Evaluate the economic and market factors that might influence the manner and timing of any decision to fund
- c) Consider the merits and demerits of alternative forms of funding, including funding from revenue, use of reserves, leasing and private partnerships; and
- d) Consider the alternative interest rate bases available, the most appropriate periods to fund and repayment profiles to use.

3.1.3.3 In respect of investment decisions, the Council will:

- a) Consider the optimum period, in the light of cash flow availability and prevailing market conditions; and
- b) Consider the alternative investment products and techniques available, especially the implications of using any which may expose the Council to changes in the value of its capital

TMP 4: APPROVED INSTRUMENTS, METHODS AND TECHNIQUES**4.1 Approved Activities of the Treasury Management Operation**

- Borrowing;
- Lending;
- Debt repayment and rescheduling;
- Consideration, approval and use of new financial instruments and treasury management techniques;
- Managing the underlying risk associated with the Council's capital financing and surplus funds activities;
- Managing cash flow;
- Banking activities;
- Use of external fund managers (other than Pension Fund)
- Leasing;
- Undertaking all treasury management activities for the Pension Fund including its strategy setting.

4.2 Approved Instruments for Investments

English and Welsh authorities: The Annual Investment Strategy has a list of approved instruments.

4.3 Approved Techniques

- Forward dealing
- LOBOs – Lender's Option, Borrower's Option borrowing instrument
- Structured products such as callable deposits

4.4 Approved Methods and Sources of Raising Capital Finance

Finance will only be raised in accordance with the Local Government Act 2003 and within this limit the Council has a number of approved methods and sources of raising capital finance. These are:

On Balance Sheet	Fixed	Variable
PWLB	●	●
EIB	●	●
Market (long-term)	●	●
Market (temporary)	●	●
Market (LOBOs)	●	●
Bonds administered by the Municipal Bond Agency	●	●
Stock issues	●	●
Local (temporary)	●	●
Local Bonds	●	
Overdraft		●
Negotiable Bonds	●	●
Internal (capital receipts & revenue balances)	●	●
Commercial Paper	●	
Medium Term Notes	●	
Leasing (not operating leases)	●	●
Deferred Purchase	●	●

Other Methods of Financing

Government and EC Capital Grants

Lottery monies

PFI/PPP

Operating and Finance leases

Revenue Contributions

Borrowing will only be done in British Pound Sterling. All forms of funding will be considered dependent on the prevailing economic climate, regulations and local considerations. The Director of Corporate Services has delegated powers in accordance with Financial Regulations, Standing Orders and Scheme of Delegation to Officers to take the most appropriate form of borrowing from the approved sources.

4.5 Investment Limits

The Annual Investment Strategy sets out the limits and the guidelines for use of each type of investment instrument.

4.6 Borrowing Limits

The Treasury Management Strategy Statement and Prudential and Treasury Indicators state all appropriate limits.

TMP 5: ORGANISATION, CLARITY AND SEGREGATION OF RESPONSIBILITIES, AND DEALING ARRANGEMENTS

5.1 Allocation of Responsibilities

(i) Council (Budget)

- Receiving and reviewing reports on treasury management policy, practice and activity; and
- Approval of annual strategy

(ii) Cabinet

- Approval of/amendments to the Council's adopted clauses, treasury management policy statement and treasury management practice;
- Budget consideration and approval;
- Approval of the division of responsibilities; and
- Receiving and reviewing regular monitoring reports and acting on recommendations.

(iii) Overview and Scrutiny Commission (Financial Monitoring Task Group)

- Reviewing all treasury management reports and making recommendations to the Cabinet

5.2 Statement of the Treasury Management Duties/Responsibilities of Each Treasury Post

5.2.1 Responsible Officer

The Responsible Officer is the person charged with professional responsibility for the treasury management function and in this Council it is the Director of Corporate Services and is also the S151 Officer. This person or delegated persons will carry out the following duties: -

- a) Recommending clauses, treasury management policy / practices for approval, reviewing the same regularly, and monitoring compliance
 - b) Submitting regular treasury management policy reports
 - c) Submitting budgets and budget variations
 - d) Receiving and reviewing management information reports
 - e) Reviewing the performance of the treasury management function
 - f) Ensuring the adequacy of treasury management resources and skills, and the effective division of responsibilities within the treasury management function
 - g) Ensuring the adequacy of internal audit, and liaising with external audit
 - h) Recommending the appointment of external service providers.
 - i) The Responsible Officer has delegated powers through this policy to take the most appropriate form of borrowing from the approved sources, and to make the most appropriate form of investments in approved instruments.
- a) The Responsible Officer may delegate her power to borrow and invest to members of her staff. The Treasury Manager, the fund officer. Treasury management team staff must conduct all dealing transactions, or staff authorised by the responsible officer to act as temporary cover for leave / sickness.
 - b) The Responsible Officer will ensure that Treasury Management Policy is adhered to, and if not will bring the matter to the attention of elected members as soon as possible.
 - c) Prior to entering into any capital financing, lending or investment transaction, it is the responsibility of the responsible officer to be satisfied, by reference to the Council's legal department and external advisors as appropriate, that the proposed transaction does not breach any statute, external regulation or the Council's Financial Regulations
 - d) It is also the responsibility of the responsible officer to ensure that the Council complies with

the requirements of The Non-Investment Products Code (formerly known as The London Code of Conduct) for principals and broking firms in the wholesale markets.

5.2.2 Treasury Manager

The responsibilities of this post will be: -

- a) Drafting the treasury management strategy and annual report
- b) Execution of transactions
- c) Adherence to agreed policies and practices on a day-to-day basis
- d) Maintaining relationships with counterparties and external service providers
- e) Supervising treasury management staff
- f) Monitoring performance on a day-to-day basis
- g) Submitting management information reports to the Responsible Officer; and
- h) Identifying and recommending opportunities for improved practices

5.2.3 Head of the Paid Service – the Chief Executive

The responsibilities of this post will be: -

- a) Ensuring that the system is specified and implemented; and
- b) Ensuring that the Responsible Officer reports regularly to the full Council / Cabinet or General Purpose Committee on treasury policy, activity and performance.

5.2.4 Monitoring Officer

The responsibilities of this post will be: -

- a) Ensuring compliance by the Responsible Officer with the treasury management policy statement and treasury management practice and that they comply with the law
- b) Being satisfied that any proposal to vary treasury policy or practice complies with law or any code of practice; and
- c) Giving advice to the Responsible Officer when advice is sought

5.2.5 Internal Audit

The responsibilities of Internal Audit will be: -

- a) Reviewing compliance with approved policy and treasury management practice
- b) Reviewing division of duties and operational practice
- c) Assessing value for money from treasury activity; and
- d) Undertaking probity audit of the treasury function

5.3 Absence Cover Arrangements

Cover for treasury management staff will be to specific delegated staff.

5.4 Dealing Limits

- No investment deal must exceed £5million per transaction
- No borrowing deal at any point in time must exceed £10 million except when existing loans are being repaid.

5.5 List of Approved Brokers

A list of approved brokers is maintained by the Treasury team and a record of all transactions conducted with them can be obtained from Logotech.

Policy on Brokers' Services

It is the Council's policy to rotate business between brokers.

5.6 Policy on Taping of Conversations

The Council currently does not tape conversations with brokers **but** ensures that confirmations are received from counterparties.

5.7 Direct Dealing Practices

The Council will deal direct with counterparties if it is appropriate and the Council believes that better terms will be available. There are certain types of accounts and facilities, however, where direct dealing is required, as follows;

- Business Reserve Accounts
- Call Accounts
- Money Market Funds
- Gilt/CD purchase via custodian; and
- Fixed period account e.g. 15-day fixed period account

5.8 Settlement Transmission Procedures

A confirmation letter signed by an authorised signatory per the Council's bank mandate must be sent to the counterparty if the deal period exceeds one month. Copy of forms folder located in H:/techaccy/treasury/Daily Treasury for PF

For payments, any transfer to be made via Lloyds link CHAPS system must be completed by 2.00 p.m. on the same day to ensure it is authorised. Money market funds may have earlier cut-off time/deadlines.

5.9 Documentation Requirements

For each deal undertaken, a record should be prepared giving details of dealer, amount, period, counterparty, interest rate, dealing date, payment date(s), broker and confirmation fax, email or letter.

5.10 Arrangements Concerning the Management of Third-Party Funds.

The Council holds a number of trust funds, appointeeship and custody bank accounts. The cash in respect of these funds is held in the Council's bank account but transactions are separately coded.

TMP 6: REPORTING REQUIREMENTS AND MANAGEMENT INFORMATION ARRANGEMENTS**6.1 Annual Treasury Management Strategy Statement**

1. The Treasury Management Strategy Statement sets out the specific expected treasury activities for the forthcoming financial year. This strategy will be submitted to the cabinet and then to the Council (budget) for approval before the commencement of each financial year.
2. The formulation of the annual Treasury Management Strategy Statement involves determining the appropriate borrowing and investment decisions in the light of the anticipated movement in both fixed and shorter-term variable interest rates. For instance, this Council may decide to postpone borrowing if fixed interest rates are expected to fall, or borrow early if fixed interest rates are expected to rise.

3. The Treasury Management Strategy Statement is concerned with the following elements:
 - a) Prudential and Treasury Indicators
 - b) Current Treasury portfolio position
 - c) Borrowing requirement
 - d) Prospects for interest rates
 - e) Borrowing strategy
 - f) Policy on borrowing in advance of need
 - g) Debt rescheduling
 - h) Investment strategy
 - i) Creditworthiness policy
 - j) Policy on the use of external service providers
 - k) Any extraordinary treasury issue
 - l) MRP strategy

4. The Treasury Management Strategy Statement will establish the expected move in interest rates against alternatives.

6.2 Annual Investment Strategy Statement

At the same time as the Council receives the Treasury Management Strategy Statement it will also receive a report on the Annual Investment Strategy which will set out the following: -

- a) The Council's risk appetite in respect of security, liquidity and optimum performance
- b) Which specified and non specified instruments the Council will use
- c) The Council's policy on the use of credit ratings and other credit risk analysis techniques to determine creditworthy counterparties for its approved lending list
- d) Which credit rating agencies the Council will use
- e) How the Council will deal with changes in ratings, rating watches and rating outlooks
- f) Limits for individual counterparties and group limits
- g) Country limits
- h) Levels of cash balances
- i) Interest rate outlook
- j) Budget for investment earnings
- k) Policy on the use of external service providers

6.3 Annual Minimum Revenue Provision Statement

This statement sets out how the Council will make revenue provision for repayment of its borrowing using the four options for so doing and will be submitted at the same time as the Annual Treasury Management Strategy Statement.

6.4 Policy on Prudential and Treasury Indicators

- a) The Council approves before the beginning of each financial year a number of treasury limits which are set through Prudential and Treasury Indicators.
- b) The Responsible Officer is responsible for incorporating these limits into the Annual Treasury Management Strategy Statement, and for ensuring compliance with the limits. Should it prove necessary to amend these limits, the Responsible Officer shall submit the changes for approval to the full Council.

6.5 Other Reporting

- Annual report on treasury management activity
- Other management information reports

TMP 7: BUDGETING, ACCOUNTING AND AUDIT ARRANGEMENTS

7.1 Statutory / Regulatory Requirements

The accounts are drawn up in accordance with IFRS. The Council has adopted in full the principles set out in CIPFA's 'Treasury Management in the Public Services - Code of Practice' (the 'CIPFA Code'), together with those of its specific recommendations that are relevant to the Council's treasury management activity.

TMP 8: CASH AND CASHFLOW MANAGEMENT

8.1 Arrangements for Preparing Cashflow

Cashflow projections are prepared annually, monthly and daily. The annual and monthly cash flow projections are prepared from the previous year's cashflow records, adjusted for known changes in levels of income and expenditure, new grant allocations and changes in payments and receipts dates. These details are supplemented on an ongoing basis by information received of new or revised amounts to be paid or received as and when they are known. Logotech is used to record cashflow.

8.2 Bank Statements Procedures

The Council receives daily bank statements on a daily basis, download into the folder below. Estimates on Logotech cashflow is updated with actuals from bank statement.
H:\TECHACCY\TREASURY\Daily Treasury for GF General Fund Daily

TMP 9: MONEY LAUNDERING

9.1 Proceeds of Crime Act 2002 and Amendments

See Council's website and intranet for money laundering process and associated policies
http://intranet/anti_money_laundering_policy.pdf

9.2 The Terrorism Act 2000 and Amendment order

See Council's website and staff intranet on policy. Staff should note that all individuals and businesses in the UK have an obligation to report knowledge, reasonable grounds for belief or suspicion about the proceeds from, or finance likely to be used for, terrorism or its laundering, where it relates to information that comes to them in the course of their business or employment.

9.3 The Money Laundering Regulations 2007 and Updates

The Council's money laundering officer is the Head of Audit. See Council's website and intranet for details http://intranet/anti_money_laundering_policy.pdf

Treasury management and banking staff are required to familiarise themselves with all money laundering regulations.

9.4 Procedures for Establishing Identity / Authenticity of Lenders

It is not a requirement under Proceeds of Crime Act (POCA) for local authorities to require identification from every person or organisation it deals with. However, in respect of treasury management transactions, the Council does not accept loans from individuals except during a bond issue.

All loans are obtained from the PWLB, other local authorities or from authorised institutions under the Financial Services and Markets Act 2000. This register can be accessed through the FCA website on www.fca.gov.uk.

9.5 Methodologies for identifying Deposit Takers

Other than those organisations mentioned in para section 6.10 and Appendix 2 of the treasury strategy, in the course of its Treasury activities, the Council will only lend money to or invest with those counterparties that are on its approved lending list. These will be local authorities, the PWLB, Bank of England and authorised deposit takers under the Financial Services and Markets Act 2000. The FCA Register can be accessed through their website on www.fca.gov.uk.

All transactions will be carried out by CHAPS, faster payments or BACS for making deposits or repaying loans.

TMP 10: TRAINING AND QUALIFICATIONS

The Council recognises that relevant individuals will need appropriate levels of training in treasury management due to its increasing complexity.

All treasury management staff should receive appropriate training relevant to the requirements of their duties at the appropriate time.

In addition, training may be provided on-the-job, and it is the treasury manager's responsibility to ensure that treasury management staff receive appropriate training.

10.1 Details of Approved Training Courses

Treasury management staff and members will go on courses provided by the Council's treasury management consultants, CIPFA, money brokers etc.

10.2 Records of Training Received by Treasury Staff

Staff will keep records on their training.

10.3 Member Training Record

Member training will be provided as required.

TMP 11: USE OF EXTERNAL SERVICE PROVIDERS

11.1 Details of Contracts with Service Providers, Including Bankers, Brokers, Custodian Banks, Consultants, Advisers

This Council may employ the services of other organisations to assist it in the field of treasury management. However, it will ensure that it fully understands what services are being provided and that they meet the needs of the Council, especially in terms of being objective and free from conflicts of interest.

11.1.1 Banking Services

- a) The Council's supplier of banking services is Lloyds Bank. The bank is an authorised banking institution authorised to undertake banking activities in the UK by the FCA
- b) The branch address is:
Lloyds Banking Group
25 Gresham Street, London
EC2V 7HN

11.1.2 Money-Broking Services

The Council will use money brokers for temporary borrowing and investment and long-term borrowing. It will seek to give an even spread of business amongst the approved brokers.

11.1.3 Consultants'/Advisers' Services**Treasury Consultancy Services**

The Council receives mail shots on credit ratings, economic market data and borrowing data. In addition, interest rate forecasts, annual treasury management strategy templates, and from time to time, the Council may receive advice on the timing of borrowing, lending and debt rescheduling. The performance of consultants will be reviewed by the treasury manager to check whether performance has met expectations.

11.1.4 Custodian Banks

The Council will use the services of custodian banks when trading in most transferable instruments like treasury bills. Due procurement process will be followed in the procurement of this service. It should be noted that it is the borrower that pays in most cases and not the lender. Property fund on the other hand do not require custody services, the investor pays all fee.

11.1.5 Credit Rating Information

The Council receives notifications of credit ratings from Link Asset Services.

11.2 Procedures and Frequency for Tendering Services

See TMP2

TMP 12: CORPORATE GOVERNANCE**12.1 List of Documents to be Made Available for Public Inspection**

- a) The Council is committed to the principle of openness and transparency in its treasury management function and in all of its functions.
- b) The Council has adopted the CIPFA Code of Practice on Treasury Management and implemented key recommendations on developing Treasury Management Practices, formulating a Treasury Management Policy Statement and implementing the other principles of the Code.

APPENDIX 6

PRUDENTIAL INDICATORS FOR 2018/19 TO 2022/23

PRUDENTIAL INDICATORS	2018/19 Forecast £'000	2019/20 Forecast £'000	2020/21 Forecast £'000	2021/22 Forecast £'000	2022/23 Forecast £'000
1 CAPITAL EXPENDITURE					
a) Capital Expenditure (includes expenditure funded by supported, unsupported borrowing and other sources)					
i) General Fund estimated (Net of Leasing)	31,819	34,295	26,984	16,219	23,692
Total	31,819	34,295	26,984	16,219	23,692
b) In year Capital Financing Requirement (CFR)					
i) General Fund (Gross of MRP costs)	169	18,711	22,212	12,441	16,061
Total in year CFR	169	18,711	22,212	12,441	16,061
c) Capital Financing Requirement as at 31 March (Balance Sheet figures)					
i) General Fund (Net of MRP costs)	177,509	188,819	203,396	207,017	213,379
Total	177,509	188,819	203,396	207,017	213,379
2 AFFORDABILITY					
a) Ratio of Financing Costs to net Revenue Streams					
i) General Fund	10.20%	11.78%	12.00%	12.68%	12.35%
b) General Fund Impact of Prudential (Unsupported) Borrowing on Band D Council Tax Levels (per annum)					
i) In year Increase £	(30.85)	26.49	(2.59)	16.13	(2.53)
ii) Cumulative Increase (includes MRP costs) £	(56.95)	(30.45)	(33.04)	(16.91)	(19.44)

APPENDIX 6

PRUDENTIAL INDICATORS FOR 2018/19 TO 2022/23

PRUDENTIAL INDICATORS	2018/19 Forecast £'000	2019/20 Forecast £'000	2020/21 Forecast £'000	2021/22 Forecast £'000	2022/23 Forecast £'000
3 LONG-TERM EXTERNAL DEBT					
a) Debt Brought Forward 1 April	113,010	113,010	113,010	113,479	119,267
Debt Carried Forward 31 March	113,010	113,010	113,479	119,267	127,844
Additional Borrowing	0	0	469	5,788	8,577
b) Operational Boundary for External Debt (Excludes Revenue Borrowing)					
i) External Debt 31 March	113,010	113,010	113,479	119,267	127,844
ii) Other Long-term Liabilities	30,418	28,134	26,526	25,015	23,453
c) Total Operating Boundary (Excludes Revenue Borrowing)	143,428	141,144	140,005	144,282	151,297
Add margin for cashflow contingency	90,000	100,000	100,000	100,000	100,000
Affordable Borrowing Limit (Includes Revenue Borrowing)	233,428	241,144	240,005	244,282	251,297
Authorised Limit for External Debt (Includes Revenue Borrowing)					
- Gross Debt 31 March	143,428	141,144	140,005	144,282	151,297
- Headroom for Unusual Cash Movements	90,000	100,000	100,000	100,000	100,000
Authorised Borrowing Limit	233,428	241,144	240,005	244,282	251,297
4 TREASURY MANAGEMENT					
a) Borrowing Limit – Upper Limit for Fixed Interest Rate Exposure Expressed as: Net Principal re Fixed Rate Borrowing/Investments	233,428	241,144	240,005	244,282	251,297
b) Borrowing Limit – Upper Limit for Variable Interest Rate Exposure Expressed as a %: Net Principal re Variable Rate Borrowing/ Investments	50%	50%	50%	50%	50%
c) Lending Limit – Upper Limit for Total Principal Sums Invested for Over 364 Days Expressed as a % of Total Investments	50%	50%	50%	50%	50%

APPENDIX 6

PRUDENTIAL INDICATORS FOR 2018/19 TO 2022/23

	LOWER LIMIT	UPPER LIMIT
d) Maturity Structure of new Fixed Rate Borrowing, if Taken During 2019/20		
i) Under 12 Months	0	10%
ii) 12 Months to 24 Months	0	20%
iii) 24 Months to 5 Years	0	30%
iv) 5 Years to 10 Years	0	40%
v) 10 Years and Above	0	100%

APPENDIX 7

GLOSSARY OF TREASURY MANAGEMENT TERMS

Accrued Interest

Any interest that has accrued since the initial purchase or since the last coupon payment date, up to the date of sale/purchase

Basis Point

One hundredth of 1% e.g. 0.01%

Certificate of Deposit (CD)

A Tradable form of fixed deposit. They can be sold before maturity via the secondary market at a rate that is negotiable. Often issued by banks and Building Societies in any period from 1 month to 5 years.

Coupon

The total amount of interest a security will pay on a yearly basis. The coupon payment period depends on the security.

Covered Bond

Covered bonds are conventional bonds (fixed or floating) issued by financial institutions that are backed by a separate group of loans, usually prime residential mortgages or public sector loans.

Credit Rating

A measure of credit worthiness of a borrower. A credit rating can be assigned to a country, organisation or specific debt issue/ financial obligation. There are a number of credit ratings agencies but the main 3 are Standard & Poor's, Fitch and Moody's.

Credit risk

This is the risk that the issuer of a security becomes temporarily or permanently insolvent, resulting in its inability to repay the interest or to redeem the bond. The solvency of the issuer may change over time due to various factors.

Debt Management Office (DMO)

Debt Management Office is an executive agency of HM Treasury. They are responsible for debt management in the UK, in the form of issuing Treasury Bills and Gilts.

Financial Strength Rating

Rating criteria used by Moody's ratings agency to measure a bank's intrinsic safety and soundness.

Floating Rate Note (FRN)

An instrument issued by Banks, Building Societies and Supranational organisations which has a coupon that re-sets usually every 3 months. The refix will often be set at a premium to 3 month LIBOR.

Gilt

A UK Government Bond, sterling denominated, issued by HM Treasury

Index Linked Gilts

A government bond issued by the DMO whose coupon and final redemption payment are related to movement in the RPI (Retail Price Index)

Interest Rate Risk

The risk that an investment's value will change due to a change in the absolute level of interest rate. Interest rate risk affects the value of bonds more directly than stocks, and it's a major risk to all bond holders. As interest rates rise, bond prices fall and vice versa. The rationale is that as interest rates increase, the opportunity cost of holding a bond decreases since investors are able to realise greater yields by switching to other investments that reflect the higher interest rate

LIBOR

London Interbank Offered Rate: set on a daily basis. The rate at which banks lend to each other for different periods

Long Term

Duration in excess of 1 year

Net Asset Value (NAV)

Often used when funds or investment assets are valued. This term generally means the total assets less total liabilities.

Premium

The sale/purchase of an asset at a level that is above the par value or original price. If a security is trading at a premium, current market interest rates are likely to be below the coupon rate of the security.

Short Term

Duration of up to 1 year

Support Rating

Fitch Ratings Agency's assessment of extraordinary support given to a financial institution either by the parent and or sovereign.

Supranational Bond

A bond issued by a Supranational organisation (multi-lateral development banks). They are AAA rated organisations in which the share capital is jointly owned and guaranteed by leading developed nations in their respective region.

Treasury Bill (T-Bills)

A Treasury Bills is a short dated instrument issued by HM Treasury. They are issued at a discount, therefore they are not coupon bearing.

Viability Ratings

Assessment of a bank's intrinsic creditworthiness applied by Fitch Ratings Agency. Its aim was to enhance visibility on benefits of support. This replaced the individual ratings.

Yield Curve

The yield curve represents the relationship between yield and maturity. The conventional shape being that as the maturity lengthens, the yield will increase. Each security will have its own yield curve, depending on the yield in every time period available.

Cash flow Appendix 8

	Q1 2018/19 '£000	Q2 2018/19 '£000	Q3 2018/19 '£000	Q4 2018/19 '£000	Q1 2019/20 '£000	Q2 2019/20 '£000	Q3 2019/20 '£000	Q4 2019/20 '£000
	Actual	Actual	Actual	Estimated	Estimated	Estimated	Estimated	Estimated
Opening Balance	671	2,426	577	16,034	21,236	26,519	31,884	37,249
CASH OUTFLOW								
BACS	-128,366	-116,853	-123,672	-125,079	-126,539	-128,617	-128,617	-126,539
Payroll and Pension	-38,854	-44,830	-43,666	-43,124	-43,798	-44,471	-44,471	-43,798
Investments, Loans and Interest payments.	-55,269	-36,013	-33,083	-42,113	-42,771	-43,429	-43,429	-42,771
Miscellaneous	-7,952	-6,499	-4,615	-6,456	-6,557	-6,658	-6,658	-6,557
Capital Payments	-7,955	-7,955	-8,063	-7,954	-8,573	-8,573	-8,573	-8,573
Total Payments	-238,396	-212,150	-213,098	-224,726	-228,238	-231,749	-231,749	-228,238
CASH INFLOW								
Business Rates	14,176	14,363	20,234	16,516	16,774	17,032	17,032	16,774
Investments Maturities	37,469	26,435	22,835	29,372	29,831	30,290	30,290	29,831
COUNCIL TAX	25,149	24,957	34,326	28,591	29,038	29,484	29,484	29,038
Grants	78,499	64,650	72,306	72,958	74,098	75,238	75,238	74,098
OTHER INCOME	44,815	50,050	49,518	48,892	49,656	50,419	50,419	49,656
Legal and property	7,675	821	2,354	3,674	3,731	3,789	3,789	3,731
Teachers' Pension Contribution	223	334	291	287	292	296	296	292
SCHOOLS ADVANCES	23,105	23,695	22,704	23,536	23,903	24,271	24,271	23,903
Other Bodies	2,148	159	738	1,031	1,047	1,064	1,064	1,047
VAT Refund	6,892	4,836	3,249	5,072	5,151	5,230	5,230	5,151
Total Receipts	240,151	210,301	228,555	229,928	233,521	237,114	237,114	233,521
Net Position - surplus/(overdrawn)	2,426	577	16,034	21,236	26,519	31,884	37,249	42,533
Money Market investments	17,900	18,800	16,871	16,871	16,871	16,871	16,871	16,871
Total Cash including MMFs	20,326	19,377	32,905	38,107	43,391	48,756	54,120	59,404

The future cash flow is projected based on actuals to date and on information available. The future forecast will change as it gets continuously projected based on actual spent.

NEW SAVINGS PROPOSALS 2019-23: CABINET 15 OCTOBER 2018

SUMMARY (cumulative)	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Total £000
Corporate Services	75	15	0	0	90
Children, Schools & Families	0	550	0	0	550
Environment & Regeneration	0	0	0	0	0
Community & Housing	0	100	0	0	100
Total	75	665	0	0	740
Cumulative Total	75	740	740	740	

NEW SAVINGS PROPOSALS 2019-23: CABINET 10 DECEMBER 2018

SUMMARY (cumulative)	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Total £000
Corporate Services	97	2,031	353	91	2,572
Children, Schools & Families	143	300	0	0	443
Environment & Regeneration	2,015	1,970	26	14	4,025
Community & Housing	247	628	1,000	0	1,875
Total	2,502	4,929	1,379	105	8,915
Cumulative Total	2,502	7,431	8,810	8,915	

NEW SAVINGS PROPOSALS 2019-23: CABINET OCTOBER + DECEMBER 2018

SUMMARY (cumulative)	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Total £000
Corporate Services	172	2,046	353	91	2,662
Children, Schools & Families	143	850	0	0	993
Environment & Regeneration	2,015	1,970	26	14	4,025
Community & Housing	247	728	1,000	0	1,975
Total	2,577	5,594	1,379	105	9,655
Cumulative Total	2,577	8,171	9,550	9,655	

NEW SAVINGS PROPOSALS 2019-23: CABINET 10 DECEMBER 2018

SUMMARY (cumulative)	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Total £000
Corporate Services	97	2,031	353	91	2,572
Children, Schools & Families	143	300	0	0	443
Environment & Regeneration	2,015	1,970	26	14	4,025
Community & Housing	247	628	1,000	0	1,875
Total	2,502	4,929	1,379	105	8,915
Cumulative Total	2,502	7,431	8,810	8,915	

Savings Type

SS1 Staffing: reduction in costs due to efficiency

SS2 Staffing: reduction in costs due to deletion/reduction in service

SNS1 Non - Staffing: reduction in costs due to efficiency

SNS2 Non - Staffing: reduction in costs due to deletion/reduction in service

SP1 Procurement / Third Party arrangements - efficiency

SG1 Grants: Existing service funded by new grant

SG2 Grants: Improved Efficiency of existing service currently funded by unringfenced grant

SPROP Reduction in Property related costs

SI1 Income - increase in current level of charges

SI2 Income - increase arising from expansion of existing service/new service

DEPARTMENT: CORPORATE SERVICES NEW SAVINGS - BUDGET PROCESS 2018/19

CABINET 10 DECEMBER 2018

Panel	Ref	Description of Saving		Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)
	2019-20 CS03	Service/Section Description Service Implication Staffing Implications Business Plan implications Impact on other departments Equalities Implications TOM Implications	Policy Strategy & Partnerships Remove contribution to E&R for funding premises occupied by VS grant recipients (MVSC and CAB) Both beneficiaries would either need to fund their own premises or alternative premises would need to be provided. None E&R - will need to negotiate with VS to pay rent for the premises they occupy. All departments will be impacted by the cross-cutting nature of the services these beneficiaries offer and the (as yet unknown) impact this would have on them. This will have an impact on affected groups and the services they deliver - these will need to be analysed for their effect on groups with protected characteristics.	99		99			Medium	Very High	SNS2
	2019-20 CS04	Service/Section Description Service Implication Staffing Implications Business Plan implications Impact on other departments Equalities Implications TOM Implications	Policy Strategy & Partnerships Reduce strategic partner grant by 10% (NOTE THIS CANNOT BE REDUCED UNTIL 22/23) This will reduce the level of service commissioned by the council/partnership through voluntary sector. None This will have an impact on affected groups and the services they deliver - these will need to be analysed for their effect on groups with protected characteristics.	794				78	High	High	SNS2
	2019-20 CS05	Service/Section Description Service Implication Staffing Implications Business Plan implications Impact on other departments Equalities Implications TOM Implications	Registrars Reduction in staff (FTE not yet calculated) The removal of a number of functions by the Home Office that were provided through the Registration Service. Reduction in staff (FTE not yet calculated) None A full EIA will need to be undertaken but this is likely to be relatively minor.	370		30			Low	Medium	SS2

DEPARTMENT: CORPORATE SERVICES NEW SAVINGS - BUDGET PROCESS 2018/19

CABINET 10 DECEMBER 2018

Panel	Ref	Description of Saving		Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)
	2019-20 CS06	<p>Service/Section Description Service Implication Staffing Implications Business Plan implications Impact on other departments Equalities Implications TOM Implications</p>	<p>Revenues and Benefits Reduction in staffing Review of staffing structure within the section taking into account impact of universal credit, business rates retention, collection rates for all debt and welfare benefits. There will be service impacts as approximately 7% staffing reduction Loss of 4 FTE Potential drop in PI's, housing benefit processing days and collection rates for council tax and business rates and reduced sundry debt income</p>	1336		146			Medium	Medium	SS2
	2019-20 CS07	<p>Service/Section Description Service Implication Staffing Implications Business Plan implications Impact on other departments Equalities Implications TOM Implications</p>	<p>Treasury Increase in investment income None None None None None</p>	759		20			Low	Low	SI2
	2019-20 CS08	<p>Service/Section Description Service Implication Staffing Implications Business Plan implications Impact on other departments Equalities Implications TOM Implications</p>	<p>Insurance Reduction in staffing delay in claims handling 0.5FTE The services may not be able to meet its key performance indicators. Inability to provide equal and timely services to the other departments and this may impact on their deadlines/targets. May have to prioritise the services the team can provide with the limited resources and continuously increasing legislation and requirement for services (eg new housing company)</p>	217		15			Low	Medium	SS2

DEPARTMENT: CORPORATE SERVICES NEW SAVINGS - BUDGET PROCESS 2018/19

CABINET 10 DECEMBER 2018

Panel	Ref	Description of Saving		Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)
	2019-20 CS09	Service/Section Description Service Implication Staffing Implications Business Plan implications Impact on other departments Equalities Implications TOM Implications	CHAS dividend None None None None None None	0		460			Low	Low	S12
	2019-20 CS10	Service/Section Description Service Implication Staffing Implications Business Plan implications Impact on other departments Equalities Implications TOM Implications	Recharges to Merantun Developments Corporate Services staff to provide services to subsidiary company None None Reduction in service to departments due to Merantun workload None None	0		75			Low	Low	S12
	2019-20 CS11	Service/Section Description Service Implication Staffing Implications Business Plan implications Impact on other departments Equalities Implications TOM Implications	Revenues and Benefits Amend discretionary rate relief policy Amend discretionary rate relief policy, £75k reduction in Merton share from 2019/20 and a further £75k from 2020/21. Reduce overall relief granted by £235k (£525k currently granted) None Some charities, sports clubs, education establishments and non profit making organisations will have a reduction in rate relief	524		75			Low	Low	SNS2

DEPARTMENT: CORPORATE SERVICES NEW SAVINGS - BUDGET PROCESS 2018/19

CABINET 10 DECEMBER 2018

Panel	Ref	Description of Saving		Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)
	2019-20 CS12	Service/Section Description Service Implication Staffing Implications Business Plan implications Impact on other departments Equalities Implications TOM Implications	Revenues and Benefits Increase in Empty Homes Premium for long term empty properties From April 2019 the existing 50% premium charged on empty properties can be increased to 100%. Using October 18 data this will affect 166 properties None Impact on existing owners of long term empty properties within the borough	0	97	36	16		Low	Medium	SI2
	2019-20 CS13	Service/Section Description Service Implication Staffing Implications Business Plan implications Impact on other departments Equalities Implications TOM Implications	Revenues and Benefits Improved collection of HB overpayments and reduce Bad Debt Provision HB overpayments have increased since 2014 and as a result additional income and subsidy received which also allows a reduction in bad debt provision None None Existing collection procedures protects and assists the most vulnerable residents None	0		500			Medium	Medium	SNS1

DEPARTMENT: CORPORATE SERVICES NEW SAVINGS - BUDGET PROCESS 2018/19

CABINET 10 DECEMBER 2018

Panel	Ref	Description of Saving		Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)
	2019-20 CS14	<p>Service/Section Description Service Implication Staffing Implications Business Plan implications Impact on other departments Equalities Implications TOM Implications</p>	<p>legal services budget impose criminal litigation cap at 20k reduce capacity in merton by 50% for enforcement prosecutions</p> <p>non</p> <p>environment and reg services</p>	1,252		20			Medium	Medium	SNS2
	2019-20 CS15	<p>Service/Section Description Service Implication Staffing Implications Business Plan implications Impact on other departments Equalities Implications TOM Implications</p>	<p>legal service budget reduce civil litigation legal support by 50%</p> <p>possible 0.5 post if no work available elsewhere</p> <p>risk that priority work may need to be funded at departments discretion e.g. contractual disputes or JR applications.</p>	1,252		45			Medium	Medium	SNS2

DEPARTMENT: CORPORATE SERVICES NEW SAVINGS - BUDGET PROCESS 2018/19

CABINET 10 DECEMBER 2018

Panel	Ref	Description of Saving		Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)
	2019-20 CS16	<p>Service/Section Description Facilities Management Closure of Morden Park House and relocation of statutory services to operate at the Civic centre</p> <p>Service Implication None for statutory requirements but significant loss of income generation as the service will no longer be able to offer marriage ceremonies and hold wedding fairs.</p> <p>Staffing Implications None</p> <p>Business Plan implications None</p> <p>Impact on other departments None</p> <p>Equalities Implications None</p> <p>TOM Implications The proposal supports the corporate accommodation strategy which looks to reduce the number of buildings that the Council occupies and reduce its operating costs and overheads.</p>		78			78		Medium	Medium	SPROP
	2019-20 CS17	<p>Service/Section Description Facilities Management Closure of Chaucer centre and relocation of operational teams at the Civic centre</p> <p>Service Implication Loss of income generation from external lease arrangements and conference/meeting room facilities which could potentially be provide at other council venues.</p> <p>Staffing Implications None</p> <p>Business Plan implications None</p> <p>Impact on other departments Yes as the conference/meeting facilities are widely used across the Council. In addition lunchtime meals for the SMART centre are currently provided by the Chaucer centre catering contractor and would therefore need to be sourced from elsewhere.</p> <p>Equalities Implications None</p> <p>TOM Implications The proposal supports the corporate accommodation strategy which looks to reduce the number of buildings that the Council occupies and reduce its operating costs and overheads.</p>		102		77		Medium	Medium	SPROP	
	2019-20 CS18	<p>Service/Section Description Facilities Management Closure of Gifford House and relocation of SLLP to the Civic centre</p> <p>Service Implication None</p> <p>Staffing Implications None</p> <p>Business Plan implications None</p> <p>Impact on other departments None</p> <p>Equalities Implications None</p> <p>TOM Implications The proposal supports the corporate accommodation strategy which looks to reduce the number of buildings that the Council occupies and reduce its operating costs and overheads.</p>		69		69		Low	Low	SPROP	

DEPARTMENT: CORPORATE SERVICES NEW SAVINGS - BUDGET PROCESS 2018/19

CABINET 10 DECEMBER 2018

Panel	Ref	Description of Saving		Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)
	2019-20 CS19	<p>Service/Section Description Service Implication</p> <p>Staffing Implications</p> <p>Business Plan implications</p> <p>Impact on other departments</p> <p>Equalities Implications</p> <p>TOM Implications</p>	<p>Facilities Management Reduction in the Repairs and Maintenance budgets for the corporate buildings. The condition of the corporate buildings will deteriorate over time as planned improvement/upgrading works are deferred which will lead to an overall increase in 'backlog maintenance' requirements.</p> <p>None</p> <p>None</p> <p>None</p> <p>None</p> <p>None</p>	515		100			Low	Medium	SPROP
	2019-20 CS20	<p>Service/Section Description Service Implication</p> <p>Staffing Implications</p> <p>Business Plan implications</p> <p>Impact on other departments</p> <p>Equalities Implications</p> <p>TOM Implications</p>	<p>Facilities Management Reduction in the energy 'Invest to Save' budget for the corporate buildings. Reduction in energy invest to save revenue budget will impact the FM teams ability to undertake small energy efficiency and improvement works within the corporate buildings that do not meet the requirements of capital funding.</p> <p>None</p> <p>Will impact on the councils ability to achieve its business plan target of reducing CO2 emissions from its buildings.</p> <p>None</p> <p>None</p> <p>None</p>	242		100			Low	High	SNS2
	2019-20 CS21	<p>Service/Section Description Service Implication</p> <p>Staffing Implications</p> <p>Business Plan implications</p> <p>Impact on other departments</p> <p>Equalities Implications</p> <p>TOM Implications</p>	<p>Facilities Management Implement phase 2 of the Flexible Working Programme to generate additional vacant floor space and generate income from commercial lease arrangements.</p> <p>None</p> <p>None</p> <p>None</p> <p>None</p> <p>None</p> <p>The proposal supports the corporate accommodation strategy which looks to reduce the number of buildings that the Council occupies and reduce its operating costs and overheads.</p>	0			90		Low	Low	SPROP

DEPARTMENT: CORPORATE SERVICES NEW SAVINGS - BUDGET PROCESS 2018/19

CABINET 10 DECEMBER 2018

Panel	Ref	Description of Saving		Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)
	2019-20 CS22	Service/Section Description Service Implication Staffing Implications Business Plan implications Impact on other departments Equalities Implications TOM Implications	Facilities Management Reduction in the frequency of the cleaning within the corporate buildings Reduce the frequency of cleaning within the corporate buildings from 5 to 3 times a week. None None None None None	281		25			Low	Medium	SNS2
	2019-20 CS23	Service/Section Description Service Implication Staffing Implications Business Plan implications Impact on other departments Equalities Implications TOM Implications	Client Financial Affairs Implement a means assessed charging scheme for appointeeships undertaken by the CFA team. Currently clients receive a free service irrespective of the value of assets that they have and therefore the proposal is to introduce a graduated charging mechanism based on an ability to pay for the services delivered. None None None To be determined as part of the Equalities Impact Assessment which will be completed. None.	0			30		Medium	Low	SI1
	2019-20 CS24	Service/Section Description Service Implication Staffing Implications Business Plan implications Impact on other departments Equalities Implications TOM Implications	HR Division Realignment/redesign of HR services to provide services to the organisation and mitigate associated risks Deletion of: 1 FTE Officer 1FTE Reduction of capacity in Pay, Rewards and Employee Relations and the wider OD & Strategy team - in part offset by OD tasks being transferred to learning and development Request for CMT and DMT HR metrics (statistics and trends) reporting to move to quarterly reporting due to reduced capacity in the Pay, Rewards and ER team. Reduced senior HR capacity in OD & Strategy to respond to ad-hoc ER and HR Strategy issues. None identified	1811		50			Low	Low	SS2

DEPARTMENT: CORPORATE SERVICES NEW SAVINGS - BUDGET PROCESS 2018/19

CABINET 10 DECEMBER 2018

Panel	Ref	Description of Saving		Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)
	2019-20 CS25	Service/Section Description HR Support Charge for voluntary sector payroll Pay for service delivered as flagged to organisation two years ago Service Implication		0		7			Low	Medium	SI2
		Staffing Implications No implications Business Plan implications No implications Impact on other departments None Equalities Implications May impact on vulnerable residents TOM Implications None									
	2019-20 CS26	Service/Section Description Procurement savings Review of contract arrangements Service Implication None		0			120		Low	Low	SP1
		Staffing Implications To be determined Business Plan implications No implications Impact on other departments Minimum impact Equalities Implications None TOM Implications									
	2019-20 CS27	Service/Section Description Democratic services/electoral services merge dem services and electoral services Service Implication reduction in managerial capacity		879		70			Medium	Medium	SNS2
		Staffing Implications deletion of one head of service post Business Plan implications reduced capacity at senior level in scrutiny and decision making support Impact on other departments None Equalities Implications None TOM Implications									
	2019-20 CS28	Service/Section Description Cash Collection cash collection reduction Service Implication Contract negotiation to reduce cash collection following introduction and roll-out of cashless parking		166		12	19	13	Low	Low	SNS1
		Staffing Implications None Business Plan implications None Impact on other departments Reduction of parking collections following the roll-out of cashless parking Equalities Implications To be completed. TOM Implications None									
Total Corporate Services Savings					97	2,031	353	91			

DEPARTMENT: Children, Schools and Families

CABINET 10 DECEMBER 2018

Panel	Ref	Description of Saving		Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)
C&YP	CSF2018-11	Service Description	Education Reduction of SENDIS early intervention service and reduction in spend associated with the introduction of the web based EHCP Hub	577	72				Medium	Medium	SS2
		Service Implication	The reduction of the early intervention service will lead to less resource available to support families of children with Special Educational Needs potentially leading to longer waiting times for families to access support or start the statutory assessment process. Implementation of the EHCP Hub (funded from the SEN support grant) will improve the timeliness of the statutory assessment process, enabling channel shift and improved timeliness, streamlining partners contributions to the EHCP process and reducing ongoing costs in relation to the current paper based system.								
		Staffing Implications	Risk of redundancy and costs of redundancy for experienced staff. Affecting one or two posts out of four								
		Business Plan implications	No specific implications								
		Impact on other departments	Will be implications with pressure on other CSF services including children's social care.								
		Equalities Implications	We will use the Council's agreed HR policies and procedures for restructuring and will complete EAs. Our approach is to target our resources on the most vulnerable children and young people and their families, these savings will impact on those already most at risk and vulnerable children at the top end of our Well Being Model.								
		TOM Implications	We have identified the EHCP Hub implementation in our TOM as a key element in our channel shift and timeliness of statutory assessment processes. The TOM sets out an approach to prioritisation but this saving will impact on those already most at risk because of their SEND and their families.								

DEPARTMENT: Children, Schools and Families

CABINET 10 DECEMBER 2018

Panel	Ref	Description of Saving	Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)	
C&YP	CSF2018-12	<p>Service Description</p> <p>Service Implication</p> <p>Staffing Implications</p> <p>Business Plan implications</p> <p>Impact on other departments</p> <p>Equalities Implications</p> <p>TOM Implications</p>	<p>Children Social Care</p> <p>Further reduction in staffing at Bond Road. This will include a FGC post and a contact worker.</p> <p>Reduction in the potential offer at Bond Road for 40 families. Possible impact on keeping children out of care. Cuts to contact provision</p> <p>Potential redundancy for 2 staff involved. Probable increase in caseloads of contact and remaining FGC staff.</p> <p>No immediate implications for other departments.</p> <p>Implications for vulnerable families who utilise this service.</p>	558	71				Medium	High	SS2

DEPARTMENT: Children, Schools and Families

CABINET 10 DECEMBER 2018

Panel	Ref	Description of Saving	Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)
C&YP	CSF2018-13	<p>Service Description</p> <p>Service Implication</p> <p>Staffing Implications</p> <p>Business Plan implications</p> <p>Impact on other departments</p> <p>Equalities Implications</p> <p>TOM Implications</p>	<p align="center">Cross Cutting</p> <p>Review of CSF admin structure</p> <p>With changes to the structure of the department, the implementation of MOSAIC and a focus on minimal education and social care core functions we will redesign our workforce across what will be a smaller department dealing with increasing demands. Less resource and flexibility to meet increasing demands will lead to a risk of decreased timeliness of response to customers and reduced support for vulnerable children and young people.</p> <p>A reduction of 10-12 posts from a total of 65FTE.</p> <p>We will prioritise our core statutory education and social care functions.</p> <p>A smaller workforce will reduce our ability to work on cross cutting issues and new developments.</p> <p>We will use the Council's agreed HR policies and procedures for restructuring. An EA will be developed for the service change staffing proposals.</p> <p>The TOM includes a focus on delivering the restructure as well as flexible working and the embedding of MOSAIC. The CSF workforce needs to be more highly skilled and flexible. Delivery of a functioning MOSAIC product is key to delivering this saving.</p>	1,100	300			Medium	High	SS2
		Total		143	300	0	0			
Total CSF Target Savings				143	2,740	438	299			
Previously submitted					550					
(Shortfall)/Surplus				0	(1,890)	(438)	(299)			

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Savings Type

SS1	Staffing: reduction in costs due to efficiency
SS2	Staffing: reduction in costs due to deletion/reduction in service
SNS1	Non - Staffing: reduction in costs due to efficiency
SNS2	Non - Staffing: reduction in costs due to deletion/reduction in service
SP1	Procurement / Third Party arrangements - efficiency
SG1	Grants: Existing service funded by new grant
SG2	Grants: Improved Efficiency of existing service currently funded by unringfenced grant
SPROP	Reduction in Property related costs
SI1	Income - increase in current level of charges
SI2	Income - increase arising from expansion of existing service/new service

Panel

C&YP	Children & Young People
O&S	Overview & Scrutiny
HC&OP	Healthier Communities & Older People
SC	Sustainable Communities

DEPARTMENT: ENVIRONMENT AND REGENERATION SAVINGS - BUDGET PROCESS 2018/19

CABINET 10 DECEMBER 2018

Panel	Ref	Description of Saving		Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)
	ENV1819 - 05	Service/Section	FutureMerton								
		Description	Highways advertising income through re-procurement of the advertising contract for the public highway. New contract due to be in place by last quarter of 2019/20.	(218)	55				Medium	Low	SP1
		Service Implication	Will know more on service implications following temporary engagement of advisor on digital advertising								
		Staffing Implications	Staffing required to procure new contract, also expertise in digital advertising required to advise on content of new contract								
		Business Plan implications	Additional income meaning more financial resilience for the council.								
		Impact on other departments	Positive impact - New contract will allow for advertising of council services on panels								
		Equalities Implications	None								
		TOM Implications	Delivering part within TOM								
Total Environment and Regeneration Savings					2,015	1,970	26	14			

SAVINGS TARGET

263 5,066 807 495

6,631

SHORTFALL / (SURPLUS)

(1,752) 3,096 781 481

2,606

Savings Type

SI1	Income - increase in current level of charges
SI2	Income - increase arising from expansion of existing service/new service
SS1	Staffing: reduction in costs due to efficiency
SS2	Staffing: reduction in costs due to deletion/reduction in service
SNS1	Non - Staffing: reduction in costs due to efficiency
SNS2	Non - Staffing: reduction in costs due to deletion/reduction in service
SP1	Procurement / Third Party arrangements - efficiency
SP2	Procurement / Third Party arrangements - deletion/reduction in service
SG1	Grants: Existing service funded by new grant
SG2	Grants: Improved Efficiency of existing service currently funded by unringfenced grant
SPROP	Reduction in Property related costs

Panel**C&YP****Children & Young People****CC****Corporate Capacity****HC&OP****Healthier Communities & Older People****SC****Sustainable Communities**

Panel	Ref	Description of Saving	Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Risk Analysis Deliverability	Risk Analysis Reputationa l Impact	Risk Analysis - Reputation al Impact
Adult Social Care										
		Service								
18/19	CH88	Description Service Implication								
		Staffing Implications								
		Business Plan implications								
		Impact on other departments								
		Equalities Implications								
		TOM Implications								

Panel	Ref	Description of Saving	Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Risk Analysis Deliverability	Risk Analysis Reputationa l Impact	Risk Analysis - Reputation al Impact
18/19	CH89	<p>Description Service Implication</p> <p>Older People Day Activities</p> <p>Merton has one internal day provision for 65+ customers in the borough and contracts extra capacity within woodlands day centre. There are also twenty lunch clubs that provide an alternative service. As less people are choosing to attend these formal day centres we increasingly have vacancies within these provisions that exceed expected demand. This proposal seeks to assess and analyse the demand and supply of activity aimed at supporting older people to access community activity. This will objectively look at the supply of building based and non-building based activity, its utilisation and the limitations on providing what people expect and need within the current model. It will provide the department with the rationale, future demand profile and capacity requirements future commissioning intentions of both external and in-house building based provision. It will also provide detail on which a 'Community Activity Market Position Statement can be produced. This aims to provide interested parties and organisation with the information on which they can build their business planning.</p> <p>Staffing Implications</p> <p>The implications will arise from the review and options appraisal.</p> <p>Business Plan implications</p> <p>The implications will arise from the review and options appraisal.</p> <p>Impact on other departments</p> <p>The implications will arise from the review and options appraisal.</p> <p>Equalities Implications</p> <p>The implications will arise from the review and options appraisal.</p> <p>TOM Implications</p> <p>Improving sustainability and efficient use of resources</p>	474	236				Medium	High	SNS2
18/19	CH90	<p>Description Service Implication</p> <p>Out of Area Placements</p> <p>The aim of this proposal is to reduce the council's dependency on Out of Area placements for adults with mental ill health and/or learning disabilities. An 'Out of Area' placement is defined as not being in or near Merton. Out of area placements are more difficult to support and monitor and are, on average, more expensive. An improved local offer will be better for service users and reduce costs. A review is underway across south London in relation to mental health. This replaces CH 82 and CH83</p> <p>Staffing Implications</p> <p>None</p> <p>Business Plan implications</p> <p>The implications will arise from the review and options appraisal.</p> <p>Impact on other departments</p> <p>The implications will arise from the review and options appraisal.</p> <p>Equalities Implications</p> <p>The aim is to have a positive impact on users outcomes and wellbeing. Some MH users might be asked to move to different accommodation, but we will support them through any such decision.</p> <p>TOM Implications</p> <p>Efficient use of resources</p>			100			High	Medium	SP1

Panel	Ref	Description of Saving	Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Risk Analysis - Reputational Impact	
18/19	CH91	<p>Description Service Implication</p> <p>Staffing Implications</p> <p>Business Plan implications</p> <p>Impact on other departments</p> <p>Equalities Implications</p> <p>TOM Implications</p>	<p>Supported Living/Residential Review</p> <p>We are reviewing the in-house Residential and Supported Living accommodation currently used by Merton for people with a Learning Disability. Our aim is to ensure that we fully understand the needs and wishes of the people we support, and can provide and commission the most appropriate accommodation locally, working with a range of partners. The review will take some time and any savings will not arise until 2020/21</p> <p>The implications will arise from the review and options appraisal</p> <p>The implications will arise from the review and options appraisal</p> <p>The implications will arise from the review and options appraisal</p> <p>The aim is to improve outcomes for service users by offering wider choice locally. However, we recognise what some may find change difficult and will need significant support.</p> <p>Improving sustainability and efficient use of resources</p>	1,138		400			High	High	SP1

Panel	Ref	Description of Saving	Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Risk Analysis - Reputational Impact	
18/19	CH92	<p>Description Service Implication</p> <p>Staffing Implications</p> <p>Business Plan implications</p> <p>Impact on other departments</p> <p>Equalities Implications</p> <p>TOM Implications</p>	<p>Mobile Working</p> <p>The aim of the proposal is to increase efficiency and productivity within the directorate through enabling more mobile, remote and flexible working across our workforce.</p> <p>The proposals may change how people work and where their main base is.</p> <p>Not yet known</p> <p>Increased demand for IT to support mobile working</p> <p>The proposal can support a better work life balance, e.g. by reducing travel time, but we recognise that not all solutions suit all staff.</p> <p>Improving efficiency and empowering the workforce</p>	732		50			Medium	Medium	SNS1
18/19	CH93	<p>Description Service Implication</p> <p>Staffing Implications</p> <p>Business Plan implications</p> <p>Impact on other departments</p> <p>Equalities Implications</p> <p>TOM Implications</p>	<p>Learning Disabilities Offer</p> <p>The proposal is to review of our offer to adults with Learning Disabilities (LD) to ensure that we can meet the needs of those transitioning into adulthood and those of current service users and their carers within the resources we expect to be available. The focus will be on those transitioning into adulthood or moving into the borough, who we will support to maximise their independence and reduce our dependency on residential care and other higher cost options.</p> <p>N/A</p> <p>The implications will arise from the review and options appraisal</p> <p>The implications will arise from the review and options appraisal</p> <p>The implications will arise from the review and options appraisal</p> <p>Improving sustainability and efficient use of resources</p>	8,000			£500		Medium	High	SP1

DEPARTMENT: Community and Housing 2019/20 New Savings

CABINET 10 DECEMBER 2018

Panel	Ref	Description of Saving	Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Risk Analysis - Reputational Impact	
18/19	CH94	<p>Description Service Implication</p> <p>Staffing Implications</p> <p>Business Plan implications</p> <p>Impact on other departments</p> <p>Equalities Implications</p> <p>TOM Implications</p>	<p>MHCT integration -pooled funding/resourcing</p> <p>The proposal forms part of the Merton Health & Care Together partnership programme. The aim is to achieve efficiencies in management, administration, process and commissioning. This may be through having a single point of access and triage, to make best use of responsive services. It may also be by jointly commissioning similar and allied services to achieve better outcomes with a focus on recovery and maximising independence.</p> <p>N/k - the model is at an early stage of development. A single point of access and triage may require closer co-location.</p> <p>The implications will arise from the review and options appraisal</p> <p>N/K at this stage</p> <p>The implications will arise from the review and options appraisal, but it is expected to have a positive impact on people with ill health and disabilities</p> <p>Improving sustainability and efficient use of resources</p>	1,766			£500		High	High	SS2
Total Community & Housing			12,204	247	628	1,000	0				
C&H Savings Target				247	4,751	762	600	6,360			
Shortfall/Surplus				0	4,123	238	600	4,485			

Savings Type

- SI1 Income - increase in current level of charges
- SI2 Income - increase arising from expansion of existing service/new service
- SS1 Staffing: reduction in costs due to efficiency
- SS2 Staffing: reduction in costs due to deletion/reduction in service
- SNS1 Non - Staffing: reduction in costs due to efficiency
- SNS2 Non - Staffing: reduction in costs due to deletion/reduction in service
- SP1 Procurement / Third Party arrangements - efficiency
- SP2 Procurement / Third Party arrangements - deletion/reduction in service
- SG1 Grants: Existing service funded by new grant
- SG2 Grants: Improved Efficiency of existing service currently funded by unringfenced grant
- SPROP Reduction in Property related costs

Panel

- C&YP
- CC
- HC&OP
- SC

Children & Young People
 Corporate Capacity

Healthier Communities & Older People
 Sustainable Communities

DEPARTMENT: CORPORATE SERVICES REPLACEMENT SAVINGS - BUDGET PROCESS 2018/19

Panel	Ref	Description of Saving	Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)	
	2018-19 CS11	Service/Section Description Service Implication Staffing Implications Business Plan implications Impact on other departments Equalities Implications TOM Implications	Corporate Services Restructure of management across Corporate Services Will impact significantly on level of support/service offered 5-6 FTE senior managers New ways of working and increased responsibilities Will require increase in self service and potential loss in customer satisfaction None		(400)			Medium	Medium	SS2
	2018-19 CS13	Service/Section Description Service Implication Staffing Implications Business Plan implications Impact on other departments Equalities Implications TOM Implications	Corporate Governance Audit and investigations Reduction in service days Shared service Reduce audit capacity and resource for criminal and civil enforcement None None		(50)			Medium	Medium	SNS2
	CSREP 2019-20 (1)	Service/Section Description Service Implication Staffing Implications Business Plan implications Impact on other departments Equalities Implications TOM Implications	Legal charges income Increase in income from Legal Services relating to S106, property and court fees	130	50			Medium	Medium	SI2

DEPARTMENT: CORPORATE SERVICES REPLACEMENT SAVINGS - BUDGET PROCESS 2018/19

Panel	Ref	Description of Saving		Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)
	CSREP 2019-20 (2)	Service/Section	Insurance							
		Description	Reduction in internal insurance fund contribution	951	250			Low	Low	SNS2
		Service Implication	Reduction of internal insurance provision in line with the actuarial report							
		Staffing Implications	None							
		Business Plan implications	None							
		Impact on other departments	None							
		Equalities Implications	None							
		TOM Implications	None							
	CSREP 2019-20 (3)	Service/Section	Revenues and Benefits							
		Description	Increase in income from Enforcement service	713	50			Medium	Medium	SI2
		Service Implication	High volume of parking warrants due to ANPR implementation and improving processes to increase income and collection							
		Staffing Implications	Have just advertised for another self funding enforcement agent							
		Business Plan implications								
		Impact on other departments	Possible increase in Parking Debt Income							
		Equalities Implications								
		TOM Implications								

APPENDIX 7 (b)

DEPARTMENT: CORPORATE SERVICES REPLACEMENT SAVINGS - BUDGET PROCESS 2018/19

Panel	Ref	Description of Saving		Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)
	CSREP 2019-20 (4)	Service/Section	Treasury							
		Description	Increase in investment income	759	30			Medium	Medium	SI2
		Service Implication	None							
		Staffing Implications	None							
		Business Plan implications	None							
		Impact on other departments	None							
		Equalities Implications	None							
		TOM Implications	None							
	CSREP 2019-20 (5)	Service/Section	CHAS dividend							SI2
		Description	CHAS dividend	0	40			Low	Low	
		Service Implication	None							
		Staffing Implications	None							
		Business Plan implications	None							
		Impact on other departments	None							
		Equalities Implications	None							
		TOM Implications	None							

APPENDIX 7 (b)

DEPARTMENT: CORPORATE SERVICES REPLACEMENT SAVINGS - BUDGET PROCESS 2018/19

Panel	Ref	Description of Saving	Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)
	CSREP 2019-20 (6)	<p>Service/Section legal services budget</p> <p>Description reduce employment and HR support by 50%</p> <p>Service Implication none</p> <p>Staffing Implications potential reduction of 0.5 post if no work elsewhere</p> <p>Business Plan implications</p> <p>Impact on other departments HR team operate at level of legal support consistent with other councils</p> <p>Equalities Implications</p> <p>TOM Implications</p>	1252	30			Medium	Medium	SS2
Total Corporate Services Savings				0	0	0			

Appendix 7 (b)

DEPARTMENT: CHILDREN, SCHOOLS AND FAMILIES - REPLACEMENT SAVINGS

Panel	Ref	Description of Saving	Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)	
C&YP	CSF2018-07	<p>Service Description</p> <p>Service Implication</p> <p>Staffing Implications</p> <p>Business Plan implications</p> <p>Impact on other departments</p> <p>Equalities Implications</p> <p>TOM Implications</p>	<p>Education</p> <p>Reorganisation of Admissions, My Futures and School Improvement Teams and reduction in contribution to the MSCB (Safeguarding Partnership)</p> <p>Less resource and flexibility to meet increasing demands, leading to risk of decreased timeliness of responses to customers, reduced support for NEET young people and less capacity in our Safeguarding Partnership</p> <p>Risk of redundancy and costs of redundancy for experienced staff. Three to four posts from a total of eighteen.</p> <p>No specific implications</p> <p>Will be implications with pressures on other CSF services including children's social care</p> <p>We will use the Council's agreed HR policies and procedures for restructuring and will complete EAs. Our approach is to target our resources on the most vulnerable children and young people and their families, these savings this will impact on some young people who are already most at risk (NEET) and vulnerable young people at the top end of our Well Being Model</p> <p>The TOM sets out an approach to prioritisation but this saving will impact on those already most at risk and vulnerable NEET young people at the top end of our Well Being Model</p>	825	100				Medium	Medium	SS2
Total Children, Schools and Families Savings				100	0	0	0				

DEPARTMENT: Community and Housing 2018/19-Replaced Savings

Panel	Ref	Description of Saving	Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)	
Adult Social Care											
	CH20	<p>Service Description Access Assessment and Commissioning staffing Reduced staffing in social work and commissioning teams</p> <p>Service Implication Original staff savings (£433k) less alternatives (taxis £50k, transport £100k and MH staff £100k)</p> <p>Staffing Implications Reduction in the ability to carry out assessments and reviews, social work support, safeguarding activities, DOLs responsibilities and financial assessments.</p> <p>Business Plan implications Redundancies - Some staff would be subject to redundancy</p> <p>Impact on other departments Equalities Implications This will have an impact on the department's ability to meet it's statutory duties. Conceivable implications include longer waiting lists, delays in assessments and other support and a potential reduction in reviews which may in turn impact our finances. Work will be done to mitigate this impact.</p> <p>TOM Implications The primary impact is on service users and partners, such as the NHS. These changes impact on staff. A detailed EA would be undertaken at the time of any restructure. There is also an equalities implication in terms of service users. An EA would be undertaken and where appropriate work will be done to mitigate the impact. This is consistent with the existing TOM</p>		(183)					High	Medium	SS2

DEPARTMENT: Community and Housing 2018/19-Replaced Savings

Panel	Ref	Description of Saving		Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)
	CH39	Service Description	Extra Care Sheltered Housing Reduction in staff for in-house unit and in contract value for commissioned unit, resulting in less support hours for residents. Original savings £450k less £10k still achievable and less £231k alternatives savings (income maximisation)		(42)				High	High	SP2
		Service Implication	This would lead to a reduction in the extra support provided through the extra care sheltered housing block contracts and in house service.								
		Staffing Implications	There would be potential redundancies within the in-house provision								
		Business Plan implications	This provision is currently an alternative to residential care. After reviewing the contract the support we would continue to offer would be focused on those who meet our eligibility criteria.								
		Impact on other departments	None								
		Equalities Implications	There is an equalities implication in terms of service users. An EA would be undertaken and where appropriate work will be done to mitigate the impact.								
		TOM Implications	This is consistent with the existing TOM								

DEPARTMENT: Community and Housing 2018/19-Replaced Savings

Panel	Ref	Description of Saving		Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)
17/18 & 18/19	CH35/36	Description	Housing Related Support Services Review and Procurement	1,859	309				Medium	High	SS2
	Service Implication	The purpose of the project is to review existing service provision, identify gaps and utilise the data to inform a new set of contract specifications to support the re-procurement of services aligned with the Council's Community and Housing strategic priorities. The objective of the project is to deliver successful procurement of contracted services that demonstrate effective outcomes for service users, effective performance management framework and value for money services.									
	Staffing Implications	Increased capacity for performance monitoring (1.0 fte) funded from savings.									
	Business Plan implications	Transfer of responsibility from ASC to Housing Needs division within C&H									
	Impact on other departments	None									
	Equalities Implications	For many users, there will be a positive impact by a better focus on outcomes. Some older users may no longer receive the same level of subsidy for their community alarms or may be funded by other means. Efficient use of resources									
		TOM Implications									
	CH88	Description	Homecare Monitoring System	94	29				Medium	Low	SP1
	Service Implication	The aim of this proposal is to roll out a home care monitoring system for all home care providers to ensure that we can monitor the delivery of home care visits. This monitoring will enable us to check on a regular basis if the customers commissioned care hours are met in line with the agreed support plans as well as improve the reliability of the service. We also aim to ensure that we only pay for visits that are carried out and do not over pay for shortened or missed visits.									
	Staffing Implications	None									
	Business Plan implications										
	Impact on other departments	Finance and IT. The system is to be upgraded, which may affect the interface with Mosaic and e5.									
	Equalities Implications	The proposals will have a positive impact for users of home care as it will improve monitoring of visits.									
		TOM Implications	Efficient use of resources								

DEPARTMENT: Community and Housing 2018/19-Replaced Savings

Panel	Ref	Description of Saving		Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)
18/19	CH82 & CH83 (Now CH90)	Description	Out of Area Placements	See CH55		1,000			High	Medium	SP1
	Service Implication	The aim of this proposal is to reduce the council's dependency on Out of Area placements for adults with mental ill health and/or learning disabilities. An 'Out of Area' placement is defined as not being in or near Merton. Out of area placements are more difficult to support and monitor and are, on average, more expensive. An improved local offer will be better for service users and reduce costs. A review is underway across south London in relation to mental health. This replaces CH 82 and CH83									
	Staffing Implications	None									
	Business Plan implications	The implications will arise from the review and options appraisal.									
	Impact on other departments	The implications will arise from the review and options appraisal.									
	Equalities Implications	The aim is to have a positive impact on users outcomes and wellbeing. Some MH users might be asked to move to different accommodation, but we will support them through any such decision.									
	TOM Implications	Efficient use of resources									
Total Community & Housing Savings					0	0	0	0			

Savings Type

- SS1 Staffing: reduction in costs due to efficiency
SS2 Staffing: reduction in costs due to deletion/reduction in service
SNS1 Non - Staffing: reduction in costs due to efficiency
SNS2 Non - Staffing: reduction in costs due to deletion/reduction in service
SP1 Procurement / Third Party arrangements - efficiency
SG1 Grants: Existing service funded by new grant
SG2 Grants: Improved Efficiency of existing service currently funded by unringfenced grant
SPROP Reduction in Property related costs
SI1 Income - increase in current level of charges
SI2 Income - increase arising from expansion of existing service/new service

Panel

- C&YP
O&S
HC&OP
SC

APPENDIX 7 (c)

DEPARTMENT: CORPORATE SERVICES DEFERRED SAVINGS - BUDGET PROCESS 2018/19

Panel	Ref	Description of Saving		Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)
	CSD7	Division	Infrastructure & Transactions							
		Description	Restructure Post & Print section and delete 2 FTE posts.	428	(23)	23		L	L	SS2
		Service Implication	The reduction in resources will increase the time taken to process							
		Staffing Implications	Delete 2 FTE posts which will result in two staff redundancies.							
		Business Plan implications	None							
		Impact on other departments	Reduction in current level of service may impact some time critical							
		Equalities Implications	None							
		TOM Implications								
	CS2015-03	Service	Transactional Services							
		Description	Restructure of Transactional Services team	517	(50)	50		L	M	SS2
		Service Implication	Will increase the time taken to process payments and requests for							
		Staffing Implications	Up to 3 FTE posts deleted through voluntary/compulsory redundancy							
		Business Plan implications	Existing BP targets will need to be revised to align with reduced							
		Impact on other departments	Will increase the time taken to process payments and requests for							
		Equalities Implications	TBA							
		TOM Implications	To be determined as the potential benefits of both the new financial and							

APPENDIX 7 (c)

DEPARTMENT: CORPORATE SERVICES DEFERRED SAVINGS - BUDGET PROCESS 2018/19

Panel	Ref	Description of Saving		Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)
	2018-19 CS03	Service/Section	Infrastructure & Transactions - Facilities Management							
		Description	Adjust current Local Authority Liaison Officer (LALO) arrangements to require Assistant Directors to undertake the duties as part of their job description.	33	(33)	33		L	L	SNS1
		Service Implication	None							
		Staffing Implications	Removal of allowance to staff. Duties to be included in job description of Assistant Directors							
		Business Plan implications	None							
		Impact on other departments	None							
		Equalities Implications	None							
		TOM Implications	None							
Total Corporate Services Deferred Savings					(106)	106	-	0		

DEPARTMENT: Community and Housing 2018/19-Deferred Savings

Panel	Ref	Description of Saving	Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)	
Adult Social Care									
		Service	Adult Social Care						
17/18	CH72	Description Service Implication	Adult Social Care: Direct provision Reviewing transport arrangements for in-house units, linking transport more directly to the provision and removing from the transport pool. This is deferred to enable a more comprehensive review of service and community transport.	767	(100)	100	High	High	SP1
Subtotal			767	(100)	100				
Total Community & Housing 2019/20			767	(100)	-				

NEW SAVINGS PROPOSALS 2019-23: CABINET 15 OCTOBER 2018

SUMMARY (cumulative)	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Total £000
Corporate Services	75	15	0	0	90
Children, Schools & Families	0	550	0	0	550
Environment & Regeneration	0	0	0	0	0
Community & Housing	0	100	0	0	100
Total	75	665	0	0	740
Cumulative Total	75	740	740	740	

Savings Type

SS1 Staffing: reduction in costs due to efficiency

SS2 Staffing: reduction in costs due to deletion/reduction in service

SNS1 Non - Staffing: reduction in costs due to efficiency

SNS2 Non - Staffing: reduction in costs due to deletion/reduction in service

SP1 Procurement / Third Party arrangements - efficiency

SG1 Grants: Existing service funded by new grant

SG2 Grants: Improved Efficiency of existing service currently funded by unringfenced grant

SPROP Reduction in Property related costs

SI1 Income - increase in current level of charges

SI2 Income - increase arising from expansion of existing service/new service

DEPARTMENT: CORPORATE SERVICES SAVINGS - BUDGET PROCESS 2019/20

Panel	Ref	Description of Saving		Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)
	2019-20 CS01	Service/Section	Revenues and Benefits								
		Description	Amend discretionary rate relief policy	524	75				L	H	SNS2
		Service Implication	None								
		Staffing Implications	None								
		Business Plan implications	None								
		Impact on other departments	None								
		Equalities Implications	Some charities, sports clubs, education establishments and non profit making organisations will have a reduction in rate relief								
		TOM Implications									

DEPARTMENT: CORPORATE SERVICES SAVINGS - BUDGET PROCESS 2019/20

Panel	Ref	Description of Saving		Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)
	2019-20 CS02	Service/Section Description	Concessionary Travel Charge for Blue Badges	0		15	0		M	H	SI2
		Service Implication	None								
		Staffing Implications	None								
		Business Plan implications	None								
		Impact on other departments	None								
		Equalities Implications	All surrounding LA's currently charge. Maximum of £10.00 per badge. Alrready stated on-line but charge not enforced.								
		TOM Implications	None								
		Corporate Services: New Savings Total			75	15	0	0	90		

DEPARTMENT: Children, Schools and Families

Panel	Ref	Description of Saving		Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)
C&YP	CSF2018-08	Service Description	Education Review Early Years service: reduce some direct services which are delivered through the Early Years Service and the number and location of buildings they are delivered from.	2,071		150			Medium	High	SS2
		Service Implication	This will mean reduced support for vulnerable babies, children and families accessing targeted services as well as the universal offer. This reduced offer could result in increased numbers needing high cost statutory intervention.								
		Staffing Implications	Majority of costs associated with direct services are staffing and building and facility costs as part of this proposal. This will equate to approximately 3-5 members of staff and/or associated building costs.								
		Business Plan implications	No specific Implications								
		Impact on other departments	These reductions will place additional burdens on universal, targeted and specialist services.								
		Equalities Implications	This will reduce support to vulnerable children and families increasing pressure on our parents/carers and universal service's capacity to manage these needs.								
		TOM Implications	The TOM sets out an approach to prioritisation but this level of saving is likely to impact most on those already most at risk.								

DEPARTMENT: Children, Schools and Families

Panel	Ref	Description of Saving		Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)
C&YP	CSF2018-09	Service Description	Education Radically reduce some statutory education functions	8,137		200			High	High	SS2
		Service Implication	We will agree with schools priorities for the use of the retained DSG to support delivery of a reduced statutory service function.								
		Staffing Implications	Majority of costs associated with direct services are staffing costs as part of this proposal. This will equate to approximately 7 members of staff								
		Business Plan implications	No specific Implications								
		Impact on other departments	No specific Implications expected although we could see some legal challenge.								
		Equalities Implications	We will use the Council's agreed HR policies and procedures for restructuring and will complete EAs. This will reduce support to vulnerable and at risk children, increasing pressure on our universal service's capacity to manage these needs.								
		TOM Implications	Statutory Education and Social Care services for C&YP will be further reduced. The department will be reorganised to reflect downsizing. This saving is in line with TOM direction of travel to focus delivery on the council's statutory duties. Detailed work will need to ensure that risk and vulnerability is prioritised and careful consideration of the ability to deliver the statutory minimum required.								

DEPARTMENT: Children, Schools and Families

Panel	Ref	Description of Saving		Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)
C&YP	CSF2018-10	Service Description	Children Social Care Radically reduce support for LAC/CSE/respite During 2019/20 we will review our eligibility criteria and service offer for some of our most vulnerable clients. This is likely to mean reduced therapeutic support to highly vulnerable children including looked after children and care leavers	10,545		200			High	High	SNS2
		Service Implication									
		Staffing Implications	These services are mainly commissioned or spot purchased. There may be staffing implications as the current contract means that some of our own staff are employed and could be eligible for redundancy.								
		Business Plan implications	No specific Implications								
		Impact on other departments	These reductions may place additional burdens on universal, targeted and specialist services.								
		Equalities Implications	This will reduce support to vulnerable and at risk children including C&YP In Need, on a Child Protection Plan, on the edge of care, Looked After C&YP, care leavers or young people with complex disabilities, young people in the youth justice system, increasing pressure on our parents/carers and universal service's capacity to manage these needs.								
		TOM Implications	The TOM sets out an approach to prioritisation but this level of saving is likely to impact on those already most at risk and vulnerable young people at the top end of our Well Being Model								
Total					0	550	0	0			

Panel	Ref	Notes	Description of Saving	Baseline Budget 18/19	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)
Adult Social Care											
18/19		Mascot Telecare provides support for individuals to live at home by a combination of alarms and sensors. The service increasingly underpins packages of care provided via social work and reablement teams and can enable practitioners to be more precise with the amount of care visits required. Mascot also provides this service to a large number of self funders, as well as having contracts with Housing Associations to monitor extra care and supported living sites. A new Telecare hub is due to be installed at Mascot in late 2018 which will enable to staff to have more time and opportunity to widen the support offered and seek new commercial opportunities.	<p>Service Description</p> <p>Mascot Service(Direct Provision) We are planning to maximise income generation from Telecare in a number of ways;</p> <p>Increase individual paying customers Review and renegotiate existing commercial contracts with Housing Associations, and seek more similar business.</p> <p>Service Implication</p> <p>Compete for Telecare contracts in other boroughs. Explore commercial contracts for out of hours and concierge call handling services. Keep abreast of developments in all areas of Assistive Technology, including monitors and sensors, Telehealth, GPS, Robotics and similar. Explore benefits for ASC customers, self funders and as part of a more commercial offer to partner organisations.</p> <p>Staffing Implications</p> <p>There are no staffing implications.</p> <p>Business Plan implications This proposal fits in with the Adult Social Care plan, and Merton's Corporate Business Plan and MTFS</p> <p>Impact on other departments Continued support from IT services, increased liaison with Communications Team</p> <p>Equalities Implications None identified</p> <p>TOM Implications This is in line with the C&H TOM</p>	£470k		£100			Medium	Medium	SNS2
Total Community & Housing 2020/21							100				
							100				

DEPARTMENT: CHILDREN, SCHOOLS AND FAMILIES - SAVINGS TO BE REPLACED

CABINET 16 OCTOBER 2018

Panel	Ref	Description of Saving	Baseline Budget £000	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)	
C&YP	CSF2015-09	<p>Service</p> <p>Description</p> <p>Service Implication</p> <p>Staffing Implications</p> <p>Business Plan implications</p> <p>Impact on other departments</p> <p>Equalities Implications</p> <p>TOM Implications</p>	<p>Cross Cutting</p> <p>Review of CSF staffing structure beneath management</p> <p>Deliver for September 2018 so estimated full year effect of £390k split over two years. With changes to the structure of the department, the implementation of SCIS and a focus on minimal education and social care core functions we will redesign our workforce across the smaller department. We have reviewed our workforce following our strategy to reduce agency cost and changes to team management positions. Due to less experienced staff and increased inspection burdens, we revised the risk score for this saving.</p> <p>Expect a reduction of 7 posts from a total of 65FTE.</p> <p>We will prioritise our core statutory education and social care functions.</p> <p>A smaller workforce will reduce our ability to work on cross cutting issues and new developments.</p> <p>We will use the Council's agreed HR policies and procedures for restructuring. An EA will be developed for the service change staffing proposals.</p> <p>The TOM refresh includes an increased focus on delivering the restructure as well as flexible working and the introduction of the SCIS. The CSF workforce needs to be more highly skilled and flexible. Delivery of a functioning MOSAIC product is key to delivering this saving.</p>	1,049	201				High	Medium	SS2

APPENDIX 8 (b)

DEPARTMENT: CHILDREN, SCHOOLS AND FAMILIES - SAVINGS TO BE REPLACED

CABINET 16 OCTOBER 2018

Panel	Ref	Description of Saving	Baseline Budget £000	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)
C&YP	CSF2016-02	<p>Service</p> <p>Description</p> <p>Service Implication</p> <p>Staffing Implications</p> <p>Business Plan implications</p> <p>Impact on other departments</p> <p>Equalities Implications</p> <p>TOM Implications</p>	<p>Children Social Care & Youth Inclusion</p> <p>Reduced costs/offer through the national centralised adoption initiative</p> <p>It is anticipated that the regional centralisation of adoption services will deliver savings through a larger commissioning base and the benefit of economies of scale.</p> <p>Some staff may TUPE into the regional arrangements but this will not be known until later in the project</p> <p>Will be implications with pressures on other CSF services</p> <p>We will need to ensure the new arrangements maintain the improvement of the adoption process and post adoption support to maintain and improve outcomes for this group of vulnerable children and young people. We will use the Council's agreed HR policies and procedures for restructuring and will complete EAs.</p> <p>In line with CSF TOM</p>	509	78			High	High	SP1
C&YP	CSF2016-03	<p>Service</p> <p>Description</p> <p>Service Implication</p> <p>Staffing Implications</p> <p>Business Plan implications</p> <p>Impact on other departments</p> <p>Equalities Implications</p> <p>TOM Implications</p>	<p>Cross Cutting</p> <p>Further staff savings to be identified across the department.</p> <p>This is likely to impact on managing safe service and failing to meet regulatory requirements</p> <p>3-6 staff - we will follow our usual HR processes</p> <p>These reductions will place additional burdens on universal targeted and specialist services</p> <p>The majority of CSF's General Fund staff are delivering services for highly vulnerable children and young people. We will use the Council's agreed HR policies and procedures for restructuring and will complete EAs.</p> <p>The TOM sets out an approach to prioritisation but this level of saving will impact on those already most at risk and vulnerable young people at the top end of our Well Being Model</p>	811	150			High	High	SS2
Total Children, Schools and Families Savings				429	0	0	0			

APPENDIX 8 (b)

DEPARTMENT: CHILDREN, SCHOOLS AND FAMILIES - REPLACEMENT SAVINGS

CABINET 16 OCTOBER 2018

Panel	Ref	Description of Saving	Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)	
C&YP	CSF2018-01	<p>Service</p> <p>Description</p> <p>Service Implication</p> <p>Staffing Implications</p> <p>Business Plan implications</p> <p>Impact on other departments</p> <p>Equalities Implications</p> <p>TOM Implications</p>	<p>Children Social Care & Youth Inclusion</p> <p>Reduced costs/offer through the national centralised adoption initiative</p> <p>It is anticipated that the regional centralisation of adoption services will deliver savings through a larger commissioning base and the benefit of economies of scale.</p> <p>Some staff may TUPE into the regional arrangements but this will not be known until later in the project</p> <p>Certain services will cease to be provided by Merton as they will be outsourced to a Regional Adoption Agency. Will be implications with pressures on other CSF services departments</p> <p>We will need to ensure the new arrangements maintain the improvement of the adoption process and post adoption support to maintain and improve outcomes for this group of vulnerable children and young people. We will use the Council's agreed HR policies and procedures for restructuring and will complete EAs.</p> <p>In line with CSF TOM</p>	509	30				Medium	High	SP1

APPENDIX 8 (b)

DEPARTMENT: CHILDREN, SCHOOLS AND FAMILIES - REPLACEMENT SAVINGS

CABINET 16 OCTOBER 2018

Panel	Ref	Description of Saving	Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)	
C&YP	CSF2018-02	<p>Service Description</p> <p>Service Implication</p> <p>Staffing Implications</p> <p>Business Plan implications</p> <p>Impact on other departments</p> <p>Equalities Implications</p> <p>TOM Implications</p>	<p>Children Social Care & Youth Inclusion</p> <p>Reorganisation of the Children with Disability (CWD), Fostering and Access to Resources (ART) teams and a review of the Common and Shared Assessment (CASA) service.</p> <p>Potential loss of management oversight and increased pressures on the team managers. Potential loss of focus and input into recruitment of foster carers and/or placements as the capacity to do both roles well will be limited. Less resource available for CASA and Early Help assessments and MSCB training budget will need to be used for training around these assessments.</p> <p>Risk of redundancy and costs of redundancy for experienced staff. Affecting three to four posts.</p> <p>No specific Implications</p> <p>Will be implications with pressures on other CSF services</p> <p>We will use the Council's agreed HR policies and procedures for restructuring and will complete EAs.</p> <p>This is in line with the CSF TOM and our Child and Young Person well-being model approach.</p>	1,290	130				Medium	High	SS1

DEPARTMENT: CHILDREN, SCHOOLS AND FAMILIES - REPLACEMENT SAVINGS

CABINET 16 OCTOBER 2018

Panel	Ref	Description of Saving		Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)
C&YP	CSF2018-03	<u>Service</u> Description	<u>Education</u> Review Early Years : raise income or cease some services in preparation for 2020 where we'd consider withdrawing from direct provision of a childcare offer.	1,008	49				Low	Medium	SNS2
		Service Implication	We could consider a combination of both raising income and reducing some services. We will review and consider the impact of ceasing services on the service as well as service users.								
		Staffing Implications	If services are ceased this would impact on staffing. Would								
		Business Plan implications	No specific Implications								
		Impact on other departments	None								
		Equalities Implications	This will reduce support to vulnerable children and families increasing pressure on our parents/carers and universal service's capacity to manage these needs.								
		TOM Implications	The TOM sets out an approach to prioritisation but this level of saving will impact on those already most at risk and vulnerable young people at the top end of our Well Being Model.								

APPENDIX 8 (b)

DEPARTMENT: CHILDREN, SCHOOLS AND FAMILIES - REPLACEMENT SAVINGS

CABINET 16 OCTOBER 2018

Panel	Ref	Description of Saving	Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)	
C&YP	CSF2018-04	<p>Service Description</p> <p>Service Implication</p> <p>Staffing Implications</p> <p>Business Plan implications Impact on other departments</p> <p>Equalities Implications</p> <p>TOM Implications</p>	<p>Education</p> <p>Review schools trade offer, raise charges or consider ceasing services from 2020.</p> <p>All CSF SLAs as well as de-delegated services with schools will be reviewed to ensure i) full cost recovery; ii) LBM charges are in line with other providers. We will also examine further opportunities to trade with schools.</p> <p>If schools are unwilling/unable to pay for core and enhanced services this will result in approximately 2 posts deleted.</p> <p>Should funding not be secured there will be implications for service volumes and outcomes.</p> <p>Possible impact on child protection services if service reductions result in escalations from schools and others.</p> <p>We will use the Council's agreed HR policies and procedures for restructuring and will complete EAs.</p> <p>Education and Social Care services for C&YP will be reduced with higher thresholds for access. The department will continue to be reorganised to reflect downsizing. This saving is in line with TOM direction of travel to focus delivery on the council's statutory duties.</p>	293	30				Medium	Low	SI1

APPENDIX 8 (b)

DEPARTMENT: CHILDREN, SCHOOLS AND FAMILIES - REPLACEMENT SAVINGS

CABINET 16 OCTOBER 2018

Panel	Ref	Description of Saving	Baseline Budget 18/19 £000	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Risk Analysis Deliverability	Risk Analysis Reputational Impact	Type of Saving (see key)
C&YP	CSF2018-05	<p>Service Description <u>Children Social Care</u> Delivery of preventative services through the Social Impact Bond</p> <p>Service Implication The LA will buy into the Pan-London Care Impact Partnership for the provision of a Social Impact Bond (SIB) to deliver services designed to work with families to keep young people out of care using the well established Multi-Systemic (MST) and Functional Family Therapy (FFT) methodologies. This work takes place in the context of a rising population with increasing complex needs.</p> <p>Staffing Implications None</p> <p>Business Plan implications No specific Implications</p> <p>Impact on other departments None</p> <p>Equalities Implications This is a service for some of our most vulnerable children and young people.</p> <p>TOM Implications This is in line with the CSF TOM and our Child and Young Person well-being model approach.</p>	1,807	45				Low	Low	SP1
C&YP	CSF2018-06	<p>Service Description <u>Children Social Care</u> South London Family Drug and Alcohol Court commissioning</p> <p>Service Implication Enable children to return home safely, thereby reducing cost of care placements. This work takes place in the context of a rising population with increasing complex needs.</p> <p>Staffing Implications None</p> <p>Business Plan implications No specific Implications</p> <p>Impact on other departments Potential impact on legal department.</p> <p>Equalities Implications This is a service for some of our most vulnerable children and young people.</p> <p>TOM Implications This is in line with the CSF TOM and our Child and Young Person well-being model approach.</p>	1,807	45				Low	Low	SP1
Total Children, Schools and Families Savings				329	0	0	0			
Replacements still to be submitted				(100)	0	0	0			

SUMMARY OF EQUALITIES ASSESSMENTS

SAVINGS REFERENCE	CABINET	DEPARTMENT	SAVING	OUTCOME
2019-20 CS01	15 October 2018	Corporate Services	Amend Discretionary Rate Relief Policy	2
2019-20 CS02	15 October 2018	Corporate Services	Concessionary Travel	2
CSF2018-02	15 October 2018	Children, Schools and Families	NB: Replaced by CSF2018 (2) and (12) in December savings	See Dec. (2) & (12)
CSF2018-03	15 October 2018	Children, Schools and Families	Review Early Years Service	2
CSF2018-04	15 October 2018	Children, Schools and Families	Review school trades offer	2
CSF2018-05	15 October 2018	Children, Schools and Families	Children Social Care - delivery of preventative services through the Social Impact Bond	1
CSF2018-06	15 October 2018	Children, Schools and Families	Children Social Care - South London Family Drug and alcohol court commissioning	1
CSF2018-08	15 October 2018	Children, Schools and Families	Review Early Years Service	2
CSF2018-09	15 October 2018	Children, Schools and Families	Reduce some statutory education functions	2
CSF2018-10	15 October 2018	Children, Schools and Families	Reduce support for LAC/CSE/respite	2
CH87	15 October 2018	Community and Housing	Mascot Service	1
2019-20 CS03	10 December 2018	Corporate Services	Policy, Strategy and Partnerships - remove contribution	3
2019-20 CS04	10 December 2018	Corporate Services	Policy, Strategy and Partnerships - reduce strategic partner grant	3
2019-20 CS05	10 December 2018	Corporate Services	Registrars - reduce staffing	3
2019-20 CS06	10 December 2018	Corporate Services	Revenues and benefits - reduce staffing	1
2019-20 CS08	10 December 2018	Corporate Services	Insurance - reduce staffing	1
2019-20 CS11	10 December 2018	Corporate Services	Amend Discretionary Rate Relief Policy	2
2019-20 CS12	10 December 2018	Corporate Services	Increase in Empty Homes Premium for long term empty properties	1
2019-20 CS13	10 December 2018	Corporate Services	Improved collection of Housing Benefit payments and reduce bad debt provision	1
2019-20 CS14	10 December 2018	Corporate Services	Legal services - impose criminal litigation gap at 20k	1
2019-20 CS15	10 December 2018	Corporate Services	Legal services - reduce civil litigation legal support by 50%	1
2019-20 CS23	10 December 2018	Corporate Services	Client Financial Affairs - implement means assessed charging	2
2019-20 CS24	10 December 2018	Corporate Services	HR - realign/redesign HR services	1
2019-20 CS25	10 December 2018	Corporate Services	HR Support - charge for voluntary sector payroll	2
2019-20 CS26	10 December 2018	Corporate Services	Procurement savings	1
2019-20 CS27	10 December 2018	Corporate Services	Democratic services/Electoral Services	3
CSREP 2019-20 (3)	10 December 2018	Corporate Services	Revenues and Benefits - Increase in income from Enforcement Services	1
CSREP 2019-20 (6)	10 December 2018	Corporate Services	Legal Services - Reduce budget allocated to employment advice and support	2

SUMMARY OF EQUALITIES ASSESSMENTS

SAVINGS REFERENCE	CABINET	DEPARTMENT	SAVING	OUTCOME
CSF2018-07	10 December 2018	Children, Schools and Families	Reorganisation of School Admissions, School Improvement and the My Futures teams	3
CSF2018-11	10 December 2018	Children, Schools and Families	Reduction of SENDIS early intervention service	3
CSF2018-(2) & (12)	10 December 2018	Children, Schools and Families	Children's Social Care - reduction in staffing at Bond Road	3
CSF2018-(13)	10 December 2018	Children, Schools and Families	Review of CSF admin. Structure	1
ENV1819 - 01	10 December 2018	Environment and Regeneration	Leisure and Culture - Five year extension of GLL contract	1
ENV1819 - 02	10 December 2018	Environment and Regeneration	Parking Services - Operational efficiencies	1
ENV1819 - 03	10 December 2018	Environment and Regeneration	Parking Services - support the delivery of key strategic council priorities	2
ENV1819 - 04	10 December 2018	Environment and Regeneration	Parking Services - reduction in number of pay and display machines needed	2
ENV1819 - 05	10 December 2018	Environment and Regeneration	Future Merton	1
CH35 & 36	10 December 2018	Community and Housing	Housing related Support Services Review and Procurement	2
CH39	10 December 2018	Community and Housing	Extra Care Housing contracts	2
CH55	10 December 2018	Community and Housing	Promoting independence	3
CH72	10 December 2018	Community and Housing	Community Transport	2
CH85	10 December 2018	Community and Housing	Review of external Woodland Day Care Contract	2
CH86	10 December 2018	Community and Housing	Winter pressures, increased capacity for short term placements	2
CH88	10 December 2018	Community and Housing	Homecare monitoring system	1
CH89	10 December 2018	Community and Housing	Older People Day Activities	2
CH90	10 December 2018	Community and Housing	Out of Area Placements	2
CH91	10 December 2018	Community and Housing	Supported Living/Residential Review	2
CH92	10 December 2018	Community and Housing	Mobile working	2
CH93	10 December 2018	Community and Housing	Learning Disabilities Offer	2
CH94	10 December 2018	Community and Housing	MHCT Integration - pooled funding resourcing	2



Equality Analysis

What are the proposals being assessed?	Withdraw notional rent subsidy for MVSC and Citizens Advice 2019-20 CS03
Which Department/ Division has the responsibility for this?	Corporate Services / Customers, Policy and Improvement

Stage 1: Overview	
Name and job title of lead officer	Sophie Ellis, A/D Customers, Policy and Improvement
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	<p>To achieve MTFSS savings it is proposed to withdraw notional rent funding for MVSC and Citizens Advice Merton and Lambeth (CAML) and charge them full market rents for the premises they occupy from 2020/21 to deliver a saving of £99k. Currently both of these organisations have Strategic Partner Grant funding until March 2019 and both organisations have applied for funding under the new funding round 2019-22.</p> <p>2019-20 CS03</p> <p>MVSC provide advice and support to the 650 or so voluntary sector groups in the borough. They provide advice on starting up, funding, governance and trouble shooting. They provide practical support on mergers and consortia e.g. Merton Accord. They provide training to volunteers and trustees. They provide the only volunteer brokerage service in the borough. They provide information and advice through a regular bulletin. They provide a voice and leadership role within the sector and are the main point of contact for the Council, the rest of the public sector and businesses wanting to fund the VCS through CSR.</p> <p>The Citizens Advice are the main provider of information and advice services in the borough. As well as general advice they also provide a casework service for more vulnerable residents. They assisted 32,000 residents in 2017/18 and the numbers have been steadily increasing. This is via web, phone and face to face. They provided assisted casework to 8,000 people. The bulk of the CAML service is provided by unpaid volunteering – 240 in 2017.18.</p> <p>MVSC and CAML both have lease agreements with the Council for offices that the Council owns. MVSC occupies offices at Vestry Hall and are not charged any rent. CAML occupy a shop front office at 7 Crown Parade, Morden and Kellaway House at 326 London Road Mitcham and again are not charged for the premises. Corporate Services fund an internal transfer to Property Services with E&R to cover the cost of the notional rent. The budget for this is currently £99k.</p> <p>To achieve a saving of £99k we could charge MVSC and CAML market rents. Alternatively we could look to</p>

	accommodate both organisations within the Civic Centre subject to feasibility.
2. How does this contribute to the council's corporate priorities?	Generates a £99k saving towards the MTFS.
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	<p>The Council is the main funder for both MVSC and CAML. If the Council charged rent to both organisations for the offices they occupy there are three possible outcomes:</p> <p>(1) Both organisations will pay the rent using monies they receive from the Strategic Partner Grant programme. This is effectively a cut to their grant. In July 2017 Cabinet agreed to fund the Strategic Partner programme at its current level for the next 3 years. Potentially this proposal goes back on the decision made at Cabinet. Under this scenario both organisations would have to significantly reduce their services.</p> <p>(2) They find alternative funding to pay for the rent. This is highly unlikely as the funding environment for voluntary and charitable organisations is extremely challenging.</p> <p>(3) One or both organisations are forced to shut down.</p> <p>The biggest impact of a reduction in service capacity will be on service users. MVSC will not be able to provide the current levels of advice and support to the voluntary sector. CAML would have to restrict further their information and advice offer. This will also have an impact on demand for LBM services, in particular social care services, as the VCS performs a vital preventative role.</p>
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	Shared with E&R in that property services provide the office accommodation and CS provide the rent to E&R.

Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

It is likely that the services provided by these two organisations will have to reduce. MVSC would have to reduce its support offer to the voluntary sector. The voluntary sector is a major asset in Merton and provides help, support and activities across the spectrum. Often these services support Merton's most vulnerable residents with the highest needs – older people, disabled people and those with long term illnesses, families and individuals living in poverty, vulnerable children etc. There would be an impact on voluntary organisations without MVSC's support. Also, the Council needs MVSC to support and develop the voluntary sector to provide early intervention and preventative services that the Council needs but can no longer afford to provide.

The impact of a reduction in CAML's service would be significant. They would have to lose at least one paid member of staff. Paid staff provides management and support to the volunteers. They would therefore not be able to deliver the level of service because they would have to reduce the number of volunteers being managed. This would mean a direct reduction in front line advice services. Clients of CAML are more likely to be vulnerable and from the poorest parts of the borough. 55% of services users are from BAME communities and 22% of clients are from Merton's two poorest wards – Cricket Green and Figges Marsh). The current location of the CAML main office in Mitcham is pivotal to provide easy access to face to face support.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age		✓	✓		Older residents generally have higher needs and will therefore need more advice and support from the voluntary sector. The highest proportion of VCS organisations provide services related to Health and Wellbeing. The likely outcome is a reduction in service provision to these uses.
Disability		✓	✓		Disabled residents generally have higher needs and will therefore need

					more advice and support from the voluntary sector. The highest proportion of VCS organisations provide services related to Health and Wellbeing. The likely outcome is a reduction in service provision to these users.
Gender Reassignment		✓	✓		People undergoing gender reassignment are likely to have higher support needs, require specialist advice and face discrimination. The likely outcome is a reduction in service provision to these users.
Marriage and Civil Partnership		✓	✓		Some impact for people seeking advice and support on civil partnerships and marital issues if provision reduces.
Pregnancy and Maternity		✓	✓		Some impact for people seeking advice and support on pregnancy and maternity issues if provision reduces – in particular around employment contracts.
Race		✓	✓		BAME groups are over-represented across a range of needs in relation to employment, discrimination, housing, poverty etc. The take up of advice services and voluntary sector support is therefore significantly higher for these groups. A reduction in advice capacity and support to the VCS will therefore affect these users more.
Religion/ belief		✓	✓		Some impact for people seeking advice on issues relating to religion / belief if provision reduces, particularly around discrimination and hate crime.
Sex (Gender)		✓	✓		Some impact for people seeking advice on issues relating their gender if provision reduces, particularly around discrimination and domestic violence.
Sexual orientation		✓	✓		Some impact for people seeking advice on issues relating their sexual orientation if provision reduces, particularly around discrimination and hate crime.
Socio-economic status		✓	✓		Service users for advice services and VCS groups are significantly higher for the east of the borough as users with lower economic status have higher needs and therefore are over-represented in terms of service demand.

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7. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?
<p>It is likely that both MVSC and CAML would have to reduce service delivery to afford to pay for market rents. Service users from groups with protected characteristics are over-represented because they generally have higher advice and support needs.</p>	<p>Advice and support to help both organisations access additional (grant) funding to reduce the shortfall. Monitoring of the impact in terms of service take-up from those with protected characteristics. However, there is a possibility that both organisations would not be able to increase income sufficiently to cover the rental costs.</p> <p>We could explore whether both organisations could move into alternative council accommodation e.g. at the Civic Centre. This would be dependent on a feasibility study. However, this would not be ideal as the majority of service users for both organisations are from the east of the Borough.</p>	<p>Additional grant revenue raised to cover the cost of the rental charges</p>	<p>Funding would need to be secured by March 2021</p>	<p>Existing resources.</p>	<p>John Dimmer, Head of Policy, Strategy and Partnerships</p>	<p>Subject to Cabinet and CMT approval this proposal will be added to the Customers, Policy and Improvement Service Plan.</p>

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 4: Conclusion of the Equality Analysis**8. Which of the following statements best describe the outcome of the EA (Tick one box only)**

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

OUTCOME 1

OUTCOME 2

OUTCOME 3

OUTCOME 4

Stage 5: Sign off by Director/ Head of Service

Assessment completed by	John Dimmer, Head of Policy, Strategy and Partnerships	Signature: John Dimmer	Date: 5 Dec 2018
Improvement action plan signed off by Director/ Head of Service	Sophie Ellis, A/D Customers, Policy and Improvement	Signature: Sophie Ellis	Date: 5 Dec 2018

Equality Analysis

What are the proposals being assessed?	Reduce the Strategic Partner Grant programme by 10% to save £78k from 2022/23 - 2019-20 CS04
Which Department/ Division has the responsibility for this?	Corporate Services / Customers, Policy and Improvement

Stage 1: Overview	
Name and job title of lead officer	Sophie Ellis, A/D Customers, Policy and Improvement
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	To achieve MTFs savings it is proposed to Reduce the Strategic Partner Grant programme by 10% to save £78k from 2022/23. The current Strategic Partner Grant programme funds information and advice services and also advice and support services for the Voluntary and Community Sector (VCS). 2019-20 CS04
2. How does this contribute to the Council's corporate priorities?	Generates a £78k saving towards the MTFs.
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	The immediate impact of a cut to the Strategic Partner Programme will be a decrease in advice and support provision to residents and a cut in support services to the VCS itself. The biggest impact of a reduction in service capacity will be on service users. There would be a reduction in the level of advice and support to the voluntary sector. There would also be a reduction in the support available to voluntary sector organisations in terms of advice, training and representation. This will also have an impact on demand for LBM services, in particular social care services, as the VCS performs a vital preventative role.
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	No, responsibility lies with Corporate Services. However, a reduction in advice and support services provided by the voluntary sector could increase demand for other departments, in particular adult social care and childrens social care.

Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

A reduction in funding for the Strategic Partner programme will reduce the provision of services outlined below:

Citizens Advice Merton and Lambeth (CAML) – 32,000 residents contacted CAML in 2017/18 for help and advice. Assisted residents to gain c. £2 million in benefits.

Southwest London Law Centres (SWLLC) – managed 368 cases in 2017/18, the vast majority through pro-bono legal support. NB 1:3 clients are turned away due to capacity issues.

Springfield Advice and Law Centre (SLC) – 138 cases managed in 2017/18, the majority of service users with complex mental health needs. Mainly dealing with debt, benefits and housing issues.

Merton Community Transport (MCT) – transport for 258 service users in 2017/18

Merton Centre for Independent Living (MCIL) – assisted 165 service users across 365 cases delivering 1,345 advice sessions in 2017/18

Merton Voluntary Services Council (MVSC) – In 2017/19 239 advice sessions delivered, 32 organisational health checks completed, 50 e-bulletins going out to 1000 VCS organisations, regular INVOLVE information sessions, 900 volunteers supported.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age		✓	✓		Older residents generally have higher needs and will therefore need more advice and support from the voluntary sector. The highest proportion of VCS organisations provide services related to Health and Wellbeing. The likely outcome is a reduction in service provision to these uses.

Disability		✓	✓		Disabled residents generally have higher needs and will therefore need more advice and support from the voluntary sector. The highest proportion of VCS organisations provide services related to Health and Wellbeing. The likely outcome is a reduction in service provision to these users.
Gender Reassignment		✓	✓		People undergoing gender reassignment are likely to have higher support needs, require specialist advice and face discrimination. The likely outcome is a reduction in service provision to these users.
Marriage and Civil Partnership		✓	✓		Some impact for people seeking advice and support on civil partnerships and marital issues if provision reduces.
Pregnancy and Maternity		✓	✓		Some impact for people seeking advice and support on pregnancy and maternity issues if provision reduces – in particular around employment contracts.
Race		✓	✓		BAME groups are over-represented across a range of needs in relation to employment, discrimination, housing, poverty etc. The take up of advice services and voluntary sector support is therefore significantly higher for these groups. A reduction in advice capacity and support to the VCS will therefore affect these users more.
Religion/ belief		✓	✓		Some impact for people seeking advice on issues relating to religion / belief if provision reduces, particularly around discrimination and hate crime.
Sex (Gender)		✓	✓		Some impact for people seeking advice on issues relating their gender if provision reduces, particularly around discrimination and domestic violence.
Sexual orientation		✓	✓		Some impact for people seeking advice on issues relating their sexual orientation if provision reduces, particularly around discrimination and hate crime.
Socio-economic status		✓	✓		Service users for advice services and VCS groups are significantly higher for the east of the borough as users with lower economic status have higher needs and therefore are over-represented in terms of service demand.

7. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?
<p>Residents from the groups with Protected Characteristics have higher needs and are over-represented in terms of take-up of advice and support from the voluntary sector. A cut in provision will therefore have a disproportionate negative impact on these groups. For example, clients of Citizens Advice are more likely to be vulnerable and from the poorest parts of the borough. 55% of services users are from BAME communities and 22% of clients are from Merton's two poorest wards – Cricket Green and Figges Marsh).</p>	<p>A 10% funding reduction will have an impact. However, the timing of the reduction in 2022/23 allows time for the voluntary sector to prepare for this change and seek alternative funding sources. They would have 3 years to identify alternative funding either from the public sector or the private sector. The Council is supporting the Merton Giving initiative to seek funding for the voluntary sector from local businesses in Merton and High Net Worth Individuals living in the borough. Whilst this might not cover all of the £87k funding reduction it is reasonable to assume that other sources of funding might cover some of this funding decrease.</p>	<p>Additional funding raised from alternative sources.</p>	<p>Funding would need to be secured by March 2023</p>	<p>Existing resources</p>	<p>John Dimmer, Head of Policy, Strategy and Partnerships</p>	<p>Subject to Cabinet and CMT approval this proposal will be added to the Customers, Policy and Improvement Service Plan.</p>

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 4: Conclusion of the Equality Analysis

8. Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

OUTCOME 1

OUTCOME 2

OUTCOME 3

OUTCOME 4

Stage 5: Sign off by Director/ Head of Service

Assessment completed by	John Dimmer, Head of Policy, Strategy and Partnerships	Signature: John Dimmer	Date: 5 Dec 2019
Improvement action plan signed off by Director/ Head of Service	Sophie Ellis, A/D Customers, Policy and Improvement	Signature: Sophie Ellis	Date: 5 Dec 2019

Equality Analysis

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet
 Text in blue is intended to provide guidance – you can delete this from your final version.

What are the proposals being assessed?	Reduce the establishment in Merton Registration Service by 1 FTE (CS 2019-20 CS05)
Which Department/ Division has the responsibility for this?	Corporate Services / Customer, Policy and Improvement

Stage 1: Overview	
Name and job title of lead officer	Sean Cunniffe, Head of Customer Contact
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	Following the Home Office’s decision to cease the Nationality Checking Service, Nationality Document Return service and the Settlement Checking Service it is proposed to reduce the establishment by one FTE through voluntary redundancy. If this cannot be achieved compulsory redundancy will be applied with those within the affected position. 2019-20 CS05
2. How does this contribute to the council’s corporate priorities?	Helps the Council balance the budget and reflects required resource for this work.
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	Merton registration Service staff.
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	The Home Office dictate what services are managed through the Registration Service. We have no say on this. It is our responsibility to interpret their requirements and manage the service.

Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

Have analysed the workflow following the decision by the Home Office to cease and remove a number of services from the Registration Service.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age					
Disability					
Gender Reassignment					
Marriage and Civil Partnership					
Pregnancy and Maternity					
Race					
Religion/ belief					
Sex (Gender)			Yes		If a volunteer cannot be established we will have to consider compulsory redundancy within a staff group entirely made up of women.
Sexual orientation					
Socio-economic status					

7. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?
Compulsory redundancy of a female employee	Follow agreed HR processes for redundancies	No appeals against selection	31.03.2019	Existing	Sean Cunniffe	No

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 4: Conclusion of the Equality Analysis

8. Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

OUTCOME 1

OUTCOME 2

OUTCOME 3

OUTCOME 4

Stage 5: Sign off by Director/ Head of Service

Assessment completed by	Sean Cunniffe, Head of Customer Contact	Signature: <i>Sean Cunniffe</i>	Date: 21.11.2018
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Stage 5: Sign off by Director/ Head of Service

Improvement action plan signed off by Director/ Head of Service	Sophie Ellis, Assistant Director of Customers, Policy & Improvement	Signature:	Date:
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Equality Analysis

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet
 Text in blue is intended to provide guidance – you can delete this from your final version.

What are the proposals being assessed?	Reduction in Staffing within Revenues and Benefits (CS 2019-20 CS06)
Which Department/ Division has the responsibility for this?	Corporate Services/Resources

Stage 1: Overview	
Name and job title of lead officer	David Keppler Head of Revenues and Benefits
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	Reduction in staffing within Revenues and Benefits (approximately 4 FTE). - 2019-20 CS06
2. How does this contribute to the council's corporate priorities?	Assists with balancing the budget.
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	Depending on the review on staffing levels there may be an impact on the level of service provided, there could be a reduction in performance in housing benefits administration with claims taking slightly longer to process. There may be an impact on advice and support provided to residents
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	None Review of staffing structure within the section taking into account impact of universal credit, business rates retention, collection rates for all debt and welfare benefits. There will be service impacts as approximately 7% staffing reduction

Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

- Reduction in staffing within Revenues & Benefits will where it can be achieved through natural wastage
- Analysis of workload through implementation and roll out of Universal Credit
- Advice and support provided by voluntary sector

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

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Protected characteristic (equality group)	Tick which applies Positive impact		Tick which applies Potential negative impact		Reason Briefly explain what positive or negative impact has been identified
	Yes	No	Yes	No	
	Age				
Disability					
Gender Reassignment					
Marriage and Civil Partnership					
Pregnancy and Maternity					
Race					
Religion/ belief					
Sex (Gender)					
Sexual orientation					
Socio-economic status			Yes		It is possible that claims for housing benefit may take longer to process or the amount of advice and support we provide reduces due to reduced resources

7. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?
Potential discriminatory practice in the selection for redundancy	None as processes and procedures already exist and it is anticipated that the saving will be achieved through natural wastage or voluntary redundancies.	Achievement of saving	2020/21	Existing	David Keppler	Not required
Monitoring of housing benefit performance to ensure claims are paid within a reasonable timeframe	Monitoring of claims and identifying reductions in speed of paying initial claims	Performance indicators / daily staff work queues	2020/21	Existing	David Keppler	Not required
Ensure that any gaps in advice and support are met and delivered by voluntary sector organisations	Discussions with voluntary organisations regarding advice and support available across the borough			Existing	David Keppler	Not required

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 4: Conclusion of the Equality Analysis

8. Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

OUTCOME 1

OUTCOME 2

OUTCOME 3

OUTCOME 4

Stage 5: Sign off by Director/ Head of Service			
Assessment completed by	David Keppler, Head of Revenues & Benefits	Signature: David Keppler	Date: 15.11.18
Improvement action plan signed off by Director/ Head of Service		Signature:	Date:

Equality Analysis

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet
 Text in blue is intended to provide guidance – you can delete this from your final version.

What are the proposals being assessed?	Proposed budget savings (CS 2019-20 CS08)
Which Department/ Division has the responsibility for this?	Corporate services/ Resources

Stage 1: Overview	
Name and job title of lead officer	Nemashe Sivayogan
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	Delete half an Insurance Officer post (CS 2019-20 CS08)
2. How does this contribute to the council's corporate priorities?	Deals with claims made against the Council
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	External claimants and internal Service Departments relating to an insurance claim.
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	Our external insurance partners share this responsibility.

Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

Officers have considered cutting other posts within the division, but believe in the short to medium term that this post as the least impact as it is a vacant post.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age				*	
Disability				*	
Gender Reassignment				*	
Marriage and Civil Partnership				*	
Pregnancy and Maternity				*	
Race				*	
Religion/ belief				*	
Sex (Gender)				*	
Sexual orientation				*	
Socio-economic status				*	

7. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?
N/A						

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 4: Conclusion of the Equality Analysis

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Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

OUTCOME 1

OUTCOME 2

OUTCOME 3

OUTCOME 4

Stage 5: Sign off by Director/ Head of Service

Assessment completed by	Nemashe Sivayogan Head of Treasury and Pensions	Signature:	Date:
Improvement action plan signed off by Director/ Head of Service	Roger Kershaw AD Resources	Signature:	Date:

Equality Analysis

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet
 Text in blue is intended to provide guidance – you can delete this from your final version.

What are the proposals being assessed?	Amend discretionary rate relief policy (2019-20 CS11)
Which Department/ Division has the responsibility for this?	Corporate Services/Resources

Stage 1: Overview	
Name and job title of lead officer	David Keppler, Head of Revenues & Benefits
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	Amend the discretionary rate relief policy for qualifying businesses/charities to reduce the overall amount contributed by Merton taxpayers by £75,000 per year. - 2019-20 CS11
2. How does this contribute to the Council's corporate priorities?	Assists with balancing the budget.
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	Some charities, sports clubs, education establishments and non profit making organisations will have a reduction in or will lose all rate relief
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	None

Page 2 of 7

Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

- It is for the Council to determine the qualifying criteria and at what level it wishes to set for the discretionary rate relief for qualifying organisations. The existing scheme is already known to be more generous than neighbouring LA's and the proposal will bring us closer in sync with them.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age		No	Yes		The policy is discretionary and will be publicised in advance allowing organisations the opportunity to balance their own budgets accordingly. Relief can change annually, dependent on circumstances, and no amount is guaranteed. All organisations are advised that relief is only awarded for a year and a review will be undertaken before the next award period.
Disability		No	Yes		
Gender Reassignment		No		No	
Marriage and Civil Partnership		No		No	
Pregnancy and Maternity		No	Yes		
Race		No		No	
Religion/ belief		No		No	
Sex (Gender)		No		No	
Sexual orientation		No		No	
Socio-economic status		No	Yes		

7. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?
Some organisations will absorb the change, for example, private sports clubs, education establishments, charity shops, however it cannot be identified which organisations may reduce or stop services to residents.	Invite and consider “hardship” relief applications from organisations affected	Monitor number of hardship applications and number of claims awarded	April 19 to March 20	Existing	David Keppler	Business Rates section work plan

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 4: Conclusion of the Equality Analysis

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Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

OUTCOME 1

OUTCOME 2

OUTCOME 3

OUTCOME 4

Stage 5: Sign off by Director/ Head of Service			
Assessment completed by	David Keppler, Head of Revenues & Benefits	Signature: David Keppler	Date: 9.11.18

Stage 5: Sign off by Director/ Head of Service

Improvement action plan signed off by Director/ Head of Service		Signature:	Date:
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Equality Analysis

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet
 Text in blue is intended to provide guidance – you can delete this from your final version.

What are the proposals being assessed?	Increase Empty Homes Premium for long term empty properties (2019-20 CS12)
Which Department/ Division has the responsibility for this?	Corporate Services/Resources

Stage 1: Overview	
Name and job title of lead officer	David Keppler, Head of Revenues & Benefits
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	Increase the empty home premium for long term empty properties – will an additional £97,000 council tax income. - 2019-20 CS12
2. How does this contribute to the council's corporate priorities?	Assists with balancing the budget.
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	Residents in the borough who own long term empty properties. A property is classed as long term empty once it has been empty and substantially unfurnished for two years. Currently the premium is 50% of the council tax and from April 2019 this premium will increase to 100%.
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	None

Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

- An analysis of current data shows that approximately 155 – 170 properties fall into this criteria and are charged the existing premium. As at the end of September 18 there were 166 properties charged the premium.
- The legislation allows a premium of 200% from April 2020 for properties empty for 5 years and 300% from April 2021 for properties empty for 10+ years.
- The change in legislation is aimed at reducing the number of empty properties.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age					.
Disability					
Gender Reassignment					
Marriage and Civil Partnership					
Pregnancy and Maternity					
Race					
Religion/ belief					
Sex (Gender)					
Sexual orientation					
Socio-economic status					

7. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 4: Conclusion of the Equality Analysis

8. Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

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OUTCOME 1

OUTCOME 2

OUTCOME 3

OUTCOME 4

Stage 5: Sign off by Director/ Head of Service

Assessment completed by	David Keppler, Head of Revenues & Benefits	Signature: David Keppler	Date: 12.11.18
Improvement action plan signed off by Director/ Head of Service		Signature:	Date:

Equality Analysis

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet
 Text in blue is intended to provide guidance – you can delete this from your final version.

What are the proposals being assessed?	Improved collection of HB overpayments and reduction of Bad Debt Provision (2019-20 CS13)
Which Department/ Division has the responsibility for this?	Corporate Services/Resources

Stage 1: Overview	
Name and job title of lead officer	David Keppler, Head of Revenues & Benefits
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	Improved collection of HB overpayments and subsequent reduction Bad Debt Provision - 2019-20 CS13 Through continued existing approach to recovery
2. How does this contribute to the council's corporate priorities?	Assists with balancing the budget.
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	Housing benefit claimants and ex housing benefits claimants.
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	None

Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

- An analysis of recent years data, including the total value of overpayments raised, invoices issued, payments and subsidy received and overpayments recovered from on-going benefits.
- There is no change to the existing recovery processes or procedures

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age					.
Disability					
Gender Reassignment					
Marriage and Civil Partnership					
Pregnancy and Maternity					
Race					
Religion/ belief					
Sex (Gender)					
Sexual orientation					
Socio-economic status			Yes		Housing benefit overpayments will only apply to residents on lower income or state benefits. Overpayments are generally incurred when the claimant fails to advise of a change in income or circumstances. Set levels of recovery from on-going benefit are applied using DWP levels. Payment arrangements are agreed with claimants to recover overpayments, income

					and expenditure assessments are undertaken to assist with affordability and the council has the discretion to write off all or parts of overpayments where circumstances are exceptional. – however, it should be noted that this is not a new policy or approach to the recovery of this debt.
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7. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 4: Conclusion of the Equality Analysis

8. Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

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OUTCOME 1

OUTCOME 2

OUTCOME 3

OUTCOME 4

Stage 5: Sign off by Director/ Head of Service

Assessment completed by	David Keppler, Head of Revenues & Benefits	Signature: David Keppler	Date: 14.11.18
Improvement action plan signed off by Director/ Head of Service		Signature:	Date:

Equality Analysis

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet
 Text in blue is intended to provide guidance – you can delete this from your final version.

What are the proposals being assessed?	CS 2019-20 CS14 & 2019-20 CS15
Which Department/ Division has the responsibility for this?	Corporate Governance – legal

Stage 1: Overview	
Name and job title of lead officer	Paul Evans
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	Reduce budget allocated to Council departments to carry out criminal and civil litigation by 50% 2019-20 CS14 and 2019-20 CS15 . The proposal will reduce the resource available to carry out criminal enforcement or civil claims and departments will have to decide to manage demand or commit unfunded resource on one off cases on the merits.
2. How does this contribute to the council's corporate priorities?	Reduced cost
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	The Council's enforcement teams will need to decide which cases to prosecute or fund from elsewhere. Departments will need to consider funding to issue or defend proceedings on a case by case basis.
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	The decision to take any legal proceedings is made by other departments of the council.

Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

Data from comparative council's and work volume. Enforcement case numbers.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age		X		X	There is no identified impact as legal resource will continue to be available.
Disability		X		X	
Gender Reassignment		X		X	
Marriage and Civil Partnership		X		X	
Pregnancy and Maternity		X		X	
Race		X		X	
Religion/ belief		X		X	
Sex (Gender)		X		X	
Sexual orientation		X		X	
Socio-economic status		X		X	

7. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?
n/a						

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 4: Conclusion of the Equality Analysis

Page No. 060

Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

OUTCOME 1

OUTCOME 2

OUTCOME 3

OUTCOME 4

Stage 5: Sign off by Director/ Head of Service

Assessment completed by	Add name/ job title	Signature:	Date:
Improvement action plan signed off by Director/ Head of Service	Add name/ job title	Signature:	Date:

Equality Analysis

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet
 Text in blue is intended to provide guidance – you can delete this from your final version.

What are the proposals being assessed?	Facilities Management – Client Financial Affairs (CS2019-20 CS23) NB: Proposed new budget savings for Infrastructure & Technology division. Savings reference numbers CS16, 17,18,19,20,21, & 22 are new savings in 2020/21 to 2022/23 financial years, which relate to proposed operational changes in how some current services will be delivered in the future. These have been assessed as not having any potential equalities impact implications.
Which Department/ Division has the responsibility for this?	Corporate Services – Infrastructure & Technology Division

Stage 1: Overview	
Name and job title of lead officer	Mark Humphries - Assistant Director Infrastructure & Technology
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	CS25 – Implement a ‘means assessed’ charging scheme for Appointeeships undertaken by the Client Financial Affairs team., - 2019-20 CS23
2. How does this contribute to the council’s corporate priorities?	Reviewing the current arrangements for how this service could be delivered in the future will ensure that we continue to provide an efficient and cost effective solution in order to meet the requirements of the Council’s wider MTFS.
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	I&T07 – External clients currently receive a free service irrespective of the value of assets they have, and therefore the proposal is to introduce a graduated charging mechanism based on the value of the individual client’s assets and their ability to pay for the appointeeship services provided.
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	No

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Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

Following a detailed analysis of information available on the CFA team's client database, in respect to factors such as age, gender and ethnicity, it has been determined that no one particular client group would be negatively impacted by this proposal. This is due to the fact that the proposed charges will be means tested and based purely on the value of an individual's assets and their ability to pay.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age		X		X	None.
Disability		X		X	None.
Gender Reassignment		X		X	None.
Marriage and Civil Partnership		X		X	None.
Pregnancy and Maternity		X		X	None.
Race		X		X	None.
Religion/ belief		X		X	None.
Sex (Gender)		X		X	
Sexual orientation		X		X	None.
Socio-economic status		X	X		The proposal to 'means test' client's assets may disadvantage some particular individuals who have been prudent and have savings set aside. However, this is also an issue because those clients that theoretically could afford to pay are currently receiving a free service and therefore being subsidised by the authority.

7. If you have identified a negative impact, how do you plan to mitigate it?

There may be a negative impact for disability and socio-economic reasons

Stage 4: Conclusion of the Equality Analysis

8. Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

- Outcome 1** – The EA has not identified any potential for discrimination or negative impact and all opportunities to promote equality are being addressed. **No changes are required.**
- Outcome 2** – The EA has identified adjustments to remove negative impact or to better promote equality. **Actions you propose to take to do this should be included in the Action Plan.**
- Outcome 3** – The EA has identified some potential for negative impact or some missed opportunities to promote equality and it may not be possible to mitigate this fully. **If you propose to continue with proposals you must include the justification for this in Section 10 below, and include actions you propose to take to remove negative impact or to better promote equality in the Action Plan. You must ensure that your proposed action is in line with the PSED to have ‘due regard’ and you are advised to seek Legal Advice.**
- Outcome 4** – The EA shows actual or potential unlawful discrimination. **Stop and rethink your proposals.**

Stage 5: Improvement Action Plan

9. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources ?	Lead Officer	Action added to divisional/ team plan?
There may be a negative impact for disability and socio-economic reasons	We will adopt a means tested approach to implementing charges based on the client's ability to pay.	As part of existing management and monitoring arrangements of each individual clients financial resources	As an part of the new charging arrangement	Existing team resources	Jacky Greenfield	Yes

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Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 6: Reporting outcomes

10. Summary of the equality analysis

This section can also be used in your decision making reports (CMT/Cabinet/etc) but you must also attach the assessment to the report, or provide a hyperlink

This Equality Analysis has resulted in an Outcome [2](#) Assessment

Stage 7: Sign off by Director/ Head of Service			
Assessment completed by	Mark Humphries – Assistant Director Infrastructure & Technology	Signature: Mark Humphries	Date: 26/11/18
Improvement action plan signed off by Director/ Head of Service	Caroline Holland	Signature:	Date:

Equality Analysis

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet
 Text in blue is intended to provide guidance – you can delete this from your final version.

What are the proposals being assessed?	Aligning the service to make the necessary savings 2019-20 CS24
Which Department/ Division has the responsibility for this?	Corporate Services/HR

Stage 1: Overview	
Name and job title of lead officer	Kim Brown – HR Lead
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	To realise the savings there will be a restructure and realignment of the service to meet customers needs. The proposal includes the deletion of vacant posts and there are no risks of redundancy. - 2019-20 CS24
2. How does this contribute to the council's corporate priorities?	Assists with Council achieving a balanced budget and at the same time ensure services are delivered.
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	Schools, the workforce, members and the London Boroughs of Sutton and Kingston. Provides the ability to deliver services. A reduction in reports.
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	N/A

Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

List the type of evidence: data in relation to customer numbers, analysis of vacant posts and the impact this would have on service delivery. What impact has this evidence had on what you are proposing? It demonstrates that the service can be delivered but in relation to service level agreements we must be clear and define the service and expectations.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age					
Disability					
Gender Reassignment					
Marriage and Civil Partnership					
Pregnancy and Maternity					
Race					
Religion/ belief					
Sex (Gender)					
Sexual orientation					
Socio-economic status					

7. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 4: Conclusion of the Equality Analysis

Page No. 668

Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

OUTCOME 1

OUTCOME 2

OUTCOME 3

OUTCOME 4

Stage 5: Sign off by Director/ Head of Service

Assessment completed by	Kim Brown HR Lead	Signature:	Date:22/11/2019
Improvement action plan signed off by Director/ Head of Service	Add name/ job title	Signature:	Date:

Equality Analysis

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet
 Text in blue is intended to provide guidance – you can delete this from your final version.

What are the proposals being assessed?	Charge for Voluntary sector payroll 2019-20 CS25
Which Department/ Division has the responsibility for this?	Corporate Services/HR

Stage 1: Overview	
Name and job title of lead officer	Kim Brown – HR Lead
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	Resources need to be allocated to provide this service and as HR are required to make savings this is not sustainable. The sector will be charge for the delivery of the payroll service and SLAs will be drafted for each organisation. 2019-20 CS25
2. How does this contribute to the Council's corporate priorities?	Assists with Council achieving a balanced budget and at the same time ensure services are delivered.
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	Voluntary groups
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	N/A

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Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

List the type of evidence: data in relation to customer numbers, associated costs.

What impact has this evidence had on what you are proposing? It demonstrates that organisation needs to charge for the service if this does not happen it will impact on other services where customers are charged such as the Schools.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age					
Disability					
Gender Reassignment					
Marriage and Civil Partnership					
Pregnancy and Maternity					
Race					
Religion/ belief					
Sex (Gender)					
Sexual orientation					
Socio-economic status			x		Voluntary groups provide services to residents in the East of the borough that may be passed to service users – although this may be negligible.

7. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?
Voluntary groups provide services to residents in the East of the borough that may be passed to service users	The organisations can buy-in to community accountancy services offered through Merton Voluntary Services.	Buy back of service from HR or buy from Community accounting service.	April 2019		Kim Brown	Yes

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 4: Conclusion of the Equality Analysis

8. Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

OUTCOME 1

OUTCOME 2

OUTCOME 3

OUTCOME 4

Stage 5: Sign off by Director/ Head of Service

Stage 5: Sign off by Director/ Head of Service			
Assessment completed by	Kim Brown HR Lead	Signature:	Date:22/11/2019
Improvement action plan signed off by Director/ Head of Service	Add name/ job title	Signature:	Date:

Equality Analysis



Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet
Text in blue is intended to provide guidance – you can delete this from your final version.

What are the proposals being assessed?	Procurement savings - Review of contract arrangements 2019-20 CS26
Which Department/ Division has the responsibility for this?	Corporate Services/HR

Stage 1: Overview	
Name and job title of lead officer	Kim Brown – HR Lead
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	Review contract arrangements and seek to realise savings through negotiation. - 2019-20 CS26
2. How does this contribute to the Council's corporate priorities?	Assists with Council achieving a balanced budget and at the same time ensure services are delivered.
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	External provider
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	Other boroughs

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Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

List the type of evidence: data in relation to customer numbers, associated costs.
 What impact has this evidence had on what you are proposing? It demonstrates that savings may be realized through reviewing contract arrangements.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age					
Disability					
Gender Reassignment					
Marriage and Civil Partnership					
Pregnancy and Maternity					
Race					
Religion/ belief					
Sex (Gender)					
Sexual orientation					
Socio-economic status					

Page 2/4

7. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 4: Conclusion of the Equality Analysis

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Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

OUTCOME 1

OUTCOME 2

OUTCOME 3

OUTCOME 4

Stage 5: Sign off by Director/ Head of Service

Assessment completed by	Kim Brown HR Lead	Signature:	Date:22/11/2019
Improvement action plan signed off by Director/ Head of Service	Add name/ job title	Signature:	Date:

Equality Analysis

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet
 Text in blue is intended to provide guidance – you can delete this from your final version.

What are the proposals being assessed?	2019-20 CS27
Which Department/ Division has the responsibility for this?	Corporate Governance

Stage 1: Overview	
Name and job title of lead officer	Paul Evans
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	Reduce management cost by merging the democratic services team with the elections team and deleting one head of service post. 2019-20 CS27
2. How does this contribute to the council's corporate priorities?	Increase internal efficiency
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	Proposal to merge democratic services and elections team under one manager. will impact on two teams which currently have 2 team manager roles. No perceived external impact on support to councillors or the electoral process. Risk of reduced availability of support for scrutiny and the elections team at a senior level.
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	The responsibility is not shared.

Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

There is no identified impact on any protected characteristic.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age		x	x		Deletion of a post could impact on protected groups age and sex
Disability		x		x	
Gender Reassignment		x		x	
Marriage and Civil Partnership		x		x	
Pregnancy and Maternity		x		x	
Race		x		x	
Religion/ belief		x		x	
Sex (Gender)		x	x		
Sexual orientation		x		x	
Socio-economic status		x		x	

7. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?
	HR policies will mitigate					

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 4: Conclusion of the Equality Analysis

Page 278

Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

OUTCOME 1

OUTCOME 2

OUTCOME 3

OUTCOME 4

Stage 5: Sign off by Director/ Head of Service			
Assessment completed by	Paul Evans	Signature:	Date:22/11/2018
Improvement action plan signed off by Director/ Head of Service	Paul Evans	Signature:	Date:22/11/2018

Equality Analysis

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet
 Text in blue is intended to provide guidance – you can delete this from your final version.

What are the proposals being assessed?	Increase in Enforcement Income (CSREP 2019-20 (3))
Which Department/ Division has the responsibility for this?	Corporate Services/Resources

Stage 1: Overview	
Name and job title of lead officer	David Keppler, Head of Revenues & Benefits
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	Increase in income from Enforcement Service to be achieved through the increase in number of warrants being generated from ANPR contraventions - CSREP 2019-20 (3)
2. How does this contribute to the council's corporate priorities?	Assists with balancing the budget.
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	This will have limited impact on external customers. The proposals assist the Council with making a balanced budget.
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	None

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Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

- Increase in income from Enforcement Service – following the implementation of ANPR there has been an increase in the number of warrants issued following road contraventions. No impact on external customers or protected characteristics.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age					.
Disability					
Gender Reassignment					
Marriage and Civil Partnership					
Pregnancy and Maternity					
Race					
Religion/ belief					
Sex (Gender)					
Sexual orientation					
Socio-economic status					

7. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 4: Conclusion of the Equality Analysis

8. Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

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OUTCOME 1

OUTCOME 2

OUTCOME 3

OUTCOME 4

Stage 5: Sign off by Director/ Head of Service

Assessment completed by	David Keppler, Head of Revenues & Benefits	Signature: David Keppler	Date: 15.11.18
Improvement action plan signed off by Director/ Head of Service		Signature:	Date:

Equality Analysis

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet
 Text in blue is intended to provide guidance – you can delete this from your final version.

What are the proposals being assessed?	CSREP 2019-20 (6)
Which Department/ Division has the responsibility for this?	Corporate Governance – legal

Stage 1: Overview	
Name and job title of lead officer	Paul Evans
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	Reduce budget allocated to employment advice and support CSREP 2019-20 (6) The council uses considerably more employment support than comparative council's and a reduction in 50% of this should not have an impact.
2. How does this contribute to the council's corporate priorities?	Reduced cost
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	Departments will need to consider funding to use legal employment advise and support. Potential staff reduction if capacity isn't required by other partners.
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	The decision to take any legal proceedings is made by other departments of the council.

Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

Data from comparative council's and work volume. Employment advice resource used.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age		x	x		Potential impact from staff reduction
Disability		x		x	
Gender Reassignment		x		x	
Marriage and Civil Partnership		x		x	
Pregnancy and Maternity		x		x	
Race		x		x	
Religion/ belief		x		x	
Sex (Gender)		x	x		Potential impact from staff reduction
Sexual orientation		x		x	
Socio-economic status		x		x	

7. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?
Potential impact due to possible staff reduction	Follow HR policies					

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 4: Conclusion of the Equality Analysis

Page 28 of 34

Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

OUTCOME 1

OUTCOME 2

OUTCOME 3

OUTCOME 4

Stage 5: Sign off by Director/ Head of Service			
Assessment completed by	Add name/ job title	Signature:	Date:
Improvement action plan signed off by Director/ Head of Service	Add name/ job title	Signature:	Date:

Equality Analysis



Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet
Text in blue is intended to provide guidance – you can delete this from your final version.

What are the proposals being assessed?	CSREP 2019-20 (6)
Which Department/ Division has the responsibility for this?	Corporate Governance – legal

Stage 1: Overview	
Name and job title of lead officer	Paul Evans
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	Reduce budget allocated to employment advice and support CSREP 2019-20 (6) The council uses considerably more employment support than comparative council's and a reduction in 50% of this should not have an impact.
2. How does this contribute to the council's corporate priorities?	Reduced cost
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	Departments will need to consider funding to use legal employment advise and support. Potential staff reduction if capacity isn't required by other partners.
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	The decision to take any legal proceedings is made by other departments of the council.

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Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

Data from comparative council's and work volume. Employment advice resource used.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age		x	x		Potential impact from staff reduction
Disability		x		x	
Gender Reassignment		x		x	
Marriage and Civil Partnership		x		x	
Pregnancy and Maternity		x		x	
Race		x		x	
Religion/ belief		x		x	
Sex (Gender)		x	x		Potential impact from staff reduction
Sexual orientation		x		x	
Socio-economic status		x		x	

7. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?
Potential impact due to possible staff reduction	Follow HR policies					

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 4: Conclusion of the Equality Analysis

Page 287

Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

OUTCOME 1

OUTCOME 2

OUTCOME 3

OUTCOME 4

Stage 5: Sign off by Director/ Head of Service

Assessment completed by	Add name/ job title	Signature:	Date:
Improvement action plan signed off by Director/ Head of Service	Add name/ job title	Signature:	Date:

Equality Analysis

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet
 Text in blue is intended to provide guidance – you can delete this from your final version.

What are the proposals being assessed?	Proposed budget savings CSF2018-02 & CSF2018-12
Which Department/ Division has the responsibility for this?	CSF/Children's Social Care

Stage 1: Overview

Name and job title of lead officer	Paul Angeli (AD Children's Social Care/Youth Inclusion)
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	<p>These savings relate to the financial year 2018-19 The LA will delete a management post in the Children with Disabilities Team. This deletion will require a small restructuring of the team and lead to an increased responsibility for the team manager in this team. This will allow us to secure £50,000 savings.</p> <p>There will be a reduction of 3 family workers and one family group co-ordinator at Bond Road Family Centre. This will allow us to secure £127,000 savings. This will require deletion of posts. The reduction will in effect lead to a reduction of provision to vulnerable children between the ages of 5 and 11. The service works with children in need and subject to child protection plans. The proposals reduce the capacity of the service to work with about 60 families. It will also lead to a reduction of about 25-30 Family Group Conferences in 2018-19.</p> <p>As part of our Early Help offer we administer and provide support to schools and other agencies who complete early help assessments. There will be re grading and reduction in support for early intervention assessments. There will be a re grading of the current post to a social work grade and the administrative staff member will be changed to be part time. This will secure savings of £25,000.</p>
2. How does this contribute to the council's corporate priorities?	This proposal contributes to the corporate priority of setting a balanced budget, while prioritising services to children and families in line with our Wellbeing Model.
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	<p>Proposals to reduce management oversight of cases in Children With Disabilities: will have an impact on the staff in the disabilities service as they will have less access to managerial support.</p> <p>Proposal to reduce Bond Road capacity by reducing Family Support Workers will impact on users of the centre. These are children in need and subject to child protection plans between the ages of 5 and 11. This reduction will lead to an overall drop in service provision to approximately 40 families or about 60-80 children in the year. It constitutes an overall drop in service of about 10%. As this is a service targeted to</p>

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	<p>some of the more vulnerable families in the borough, the reduction in capacity will necessarily impact on some of these. The service will continue to try to identify and prioritise access to services for those families that are most vulnerable.</p> <p>The reduction in resources for early assessment may potentially result in an impact on partners. The role has a promotional role in driving early assessment and early help and the change in the posts' capacity may lead to less use of CASA and a reduction in access to early help over time.</p>
<p>4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?</p>	<p>The CWD works closely with colleagues from SENDIS, Health and Social Care. Delivery of services for children with disabilities is a shared council function and is part of SENDIS. Overall responsibility for delivery remains with the department.</p> <p>Bond Road: These services are not shared with any other departments. Colleagues in Health, Education and Social Care will be impacted through the reduction in capacity to provide a service to families they are working with. Health and Education services refer in to Bond Road. Responsibility sits with Children's Social Care.</p> <p>The CASA post is based in Children's Social Care and works extensively with partners working with children. These include schools, children's centres, early years settings, health and the voluntary sector.</p>

Stage 2: Collecting evidence/ data

9. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

We have information about caseloads and the ratios of staff to managers in the service. Children with Disabilities are known evidentially to be some of the most vulnerable children in our system.

We have data available from our review of Bond Road. This has provided an insight into the impact of the reduction in posts.

We have data about CASA use from 2017-18 and we are able to understand a potential impact on use.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age		*	*		Vulnerable children and families in need of services will be impacted by these changes as there will be fewer resources for this group of children and their parents. In the case of Bond Road this will impact specifically on the age group 5-11 years.
Disability		*	*		The proposals relate to children with disabilities. We anticipate a small impact as the reduction in capacity is managerial.
<input type="checkbox"/> Gender Reassignment					
<input type="checkbox"/> Marriage and Civil <input type="checkbox"/> Partnership					
<input type="checkbox"/> Pregnancy and Maternity					
<input type="checkbox"/> Race					
<input type="checkbox"/> Religion/ belief					
Sex (Gender)		*	*		Women who are the main users of Bond Road and CSC services generally will be impacted. This will be a minor impact as service re design should support access to services through for instance group work.
Sexual orientation					
Socio-economic status		*	*		This work tends to be with the most vulnerable socio-economic groups and therefore the reduction in services will be felt disproportionately by them.

7. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

APPENDIX 9 (a)

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?
There will be some impact on the oversight of children with disabilities	Y	On going performance management and auditing of the service will be required.	On Going	Existing resources	Gordon Murray	Y
There will be a negative impact on provision for young children and their families subject to a child protection plan	Y	Review of Bond Road underway to review service configuration and eligibility criteria. The impact will be minimised by service design that means that the most vulnerable continue to receive a service and group work delivery is explored.	Oct 2018	Existing resources	Gordon Murray	Y
There will be a loss of 1 Family Group Co Ordinator and this will mean less families will be able to access this service. It could lead to more children at risk of entering care.		We will role out a family finding model and train more staff in effectively helping families to develop resources to replace the FGC provision.	April 2019	Existing Resources	Gordon Murray	Y
As above	Y	Early Help review to identify how children in need and subject to a Child Protection Plan can access children's centres provision.	Nov 2018	Existing resources	Gordon Murray	Y
There will be some gaps in the support available for CASA delivery.	Y	Work to take place with partners and MSCB so CASA is promoted as part of early help and safeguarding of children.	Jan 2019	Existing Resources	Paul Angeli	Y

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 4: Conclusion of the Equality Analysis

8. Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

OUTCOME 1

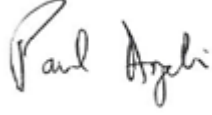

OUTCOME 2

OUTCOME 3

OUTCOME 4

Stage 5: Sign off by Director/ Head of Service

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Assessment completed by	Paul Angeli AD CSC &YI	Signature: 	Date: 17/11/18
Improvement action plan signed off by Director/ Head of Service	Rachael Wardell DCS CSF	Signature: 	Date: 22/11/2018

Equality Analysis

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet
 Text in blue is intended to provide guidance – you can delete this from your final version.

What are the proposals being assessed?	Proposed budget savings CSF 2018-07
Which Department/ Division has the responsibility for this?	CSF/Education

Stage 1: Overview

Name and job title of lead officer	Jane McSherry (AD Education)
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	<p>There will be a reduction in posts across School Admissions, School Improvement and the My Futures teams. These deletions will require restructuring in each of the teams. The reductions in the School Admissions and School Improvement teams will increase the workload of the remaining staff and in one team increase the role and responsibility of a team manager. The reductions in the My Futures team will in effect lead to a reduction of provision to vulnerable young people between the ages of 15 and 19. The service works with young people at risk of being or who are NEET (Not in Education Employment and Training). The proposals reduce the capacity of the service to work with about 40 young people. The above proposals will allow us to secure £70,000 savings.</p> <p>The proposal includes a reduction in the contribution the Council makes to the Safeguarding Partnership. It is hoped that other contributing partners who currently make a much smaller contribution will make up the shortfall but otherwise there will need to be a reduction in the support that is offered across the partnership which may impact on the training offer. This will secure savings of £30,000.</p>
2. How does this contribute to the council's corporate priorities?	This proposal contributes to the corporate priority of setting a balanced budget, while prioritising services to children and families in line with our Wellbeing Model.
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	<p>Schools, service users and partners will be directly impacted by different parts of this proposal. Work will need to be undertaken to ensure that risk and vulnerability are prioritised and careful consideration is needed to ensure that we continue to deliver at least the statutory minimum requirement in relation to vulnerable NEET adolescents particularly. The service will continue to try to identify and prioritise access to services for those families that are most vulnerable.</p> <p>The reduction in contribution to the Safeguarding Partnership will result in an impact on partners who will need to contribute more to offset the potential loss of support needed across the partnership.</p>

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<p>4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?</p>	<p>The My Futures team works closely with the YOT, SENDIS and other social care teams in relation to vulnerable young people who are either vulnerable to or are NEET. It could have a negative impact on higher level threshold services.</p> <p>School Improvement and admissions teams are not shared with other departments.</p> <p>The Safeguarding Partnership is a joint partnership between the Council, Police and Health as the statutory partners and has close links with schools.</p>
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Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

We have substantial data sets, which include information about young people’s primary needs, the type of referrals received by the team and from whom and tracking of young people who are NEET or at risk of being NEET. The team works closely with other services including schools, YOT, social care to ensure that young people are provided with appropriate advice, support and guidance in order to access the right course, apprenticeship or work opportunities with training. The savings will impact on the ability of the team to work as effectively with a range of young people.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age		*	*		Vulnerable young people at risk of or who are NEET in need of services will be impacted by these changes as there will be fewer resources for this cohort this will impact specifically on the age group 15-19 years.

Disability		*	*		The proposals relate to NEET young people of whom a significant minority are children with SEND. We will try to mitigate this risk by prioritising this group and reducing service aimed at earlier intervention across the cohort.
Gender Reassignment				*	
Marriage and Civil Partnership				*	
Pregnancy and Maternity				*	
Race				*	
Religion/ belief				*	
Sex (Gender)		*	*		There are more male young people in the high risk NEET groups We will try to mitigate this risk by prioritising this group and reducing service aimed at earlier intervention across the cohort.
Sexual orientation				*	
Socio-economic status		*	*		This work tends to be with the most vulnerable socio-economic groups and therefore the reduction in services will be felt disproportionately by them.

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Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?
There will be a negative impact on provision for young people who are at risk of or who are NEET	Y	We will prioritise those young people who are most vulnerable or at risk for other reasons e.g. SEND, high risk male NEET	On Going	Existing resources	Keith Shipman	Y

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 4: Conclusion of the Equality Analysis

8. Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

OUTCOME 1

OUTCOME 2

OUTCOME 3

OUTCOME 4

Assessment completed by	Jane McSherry, Assistant Director of Education
Improvement action plan signed off by Director/ Head of Service	

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Equality Analysis

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet
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What are the proposals being assessed?	Proposed budget savings CSF 2018-11
Which Department/ Division has the responsibility for this?	CSF/Education

Stage 1: Overview

Name and job title of lead officer	Jane McSherry (AD Education)
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	<p>The LA will delete posts within the SENDIS 0-25 Early Intervention Team which includes Short Breaks assessment and delivery. This deletion will require a restructuring of the team and will lead to a reduction in the offer to vulnerable children with SEND and their families. The service works with children and young people from 0-25 to provide early intervention and support regarding the SEN and disabilities pathways and these CYP predominantly have complex SEND. This will impact on approximately 130 children and families. This will allow us to secure £47,000 savings.</p> <p>We are proposing to implement an online EHCP Hub which will provide a better standard of service to customers and reduce the unnecessary spend on printing and postage. This will secure savings of £25,000.</p>
2. How does this contribute to the council's corporate priorities?	This proposal contributes to the corporate priority of setting a balanced budget, while prioritising services to children and families in line with our Wellbeing Model.
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	<p>The SENDIS 0-25 Early Intervention Team works with resident families who have children born with complex SEND and those entering the borough from elsewhere in the UK and oversees who are of statutory school age where it is clear that the Child has SEND but no assessment in place. They liaise with schools and other professionals to ensure that children are able to access appropriate education. They also assess families for short breaks and support health professional with their complex pathway planning. Reducing this team will impact on service users as we will need to prioritise those at highest risk of not engaging with education who are of statutory school. This is likely to impact on younger children and their families.</p> <p>It is likely this will also impact on other services both internal to the Council e.g. children's social care, Early Years' service family support as well as external partners e.g. health as there will be less early help resource to offset risk. This constitutes a 30-50% reduction in the service.</p>

	The EHCP Hub will provide a web-based hub which will be a more flexible and accessible resource for parent/carers and for other services both internal and external to the Council. It will also make it easier for all relevant stakeholders to monitor and track the progress of the assessment and improve timeliness.
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	The SENDIS 0-25 Early Intervention Team works closely with colleagues in health and social care. Delivery of services for children with SEND is a shared council function. Overall responsibility for delivery remains with the department.

Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

We have substantial data sets which include information about children's primary needs, the type of referrals received by the team and from whom. Referrals can come from a variety of sources including: health professionals (including health visitors and pediatricians); schools, social workers and the families themselves. The team work with families who have arrived from overseas and who need support with translators etc. Assessments for short breaks would include information to identify need, vulnerability and risk, this assessment and monitoring of enables the team to ensure the package of support provided meets needs and represents the best use of Council resources. The savings will impact on the ability of the team to work as effectively with a range of families.

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Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age		*	*		Vulnerable children and families in need of services will be impacted by these changes, as there will be fewer resources for this group of children and their parents. The service covers children and young people with SEND from 0-25
Disability		*	*		The proposals relate to children with SEND. This will impact on children and their families and partners.
Gender Reassignment				*	
Marriage and Civil Partnership				*	
Pregnancy and Maternity				*	
Race					
Religion/ belief				*	
Sex (Gender)		*	*		There are more male than female children and young people presenting with SEND
Sexual orientation					
Socio-economic status		*	*		This work tends to be with the most vulnerable socio-economic groups and therefore the reduction in services will be felt disproportionately by them.

7. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?
There will be a negative impact on provision for children and young people with SEND and their families	Y	The impact will be reduced by targeting those most at risk of missing their statutory education	Ongoing	Existing resources	Karla Finikin	Y

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 4: Conclusion of the Equality Analysis

8. Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

OUTCOME 1

OUTCOME 2

OUTCOME 3

OUTCOME 4

Stage 5: Sign off by Director/ Head of Service

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Assessment completed by

Jane McSherry, Assistant Director of Education

Improvement action plan signed off by Director/ Head of Service

Equality Analysis

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet
 Text in blue is intended to provide guidance – you can delete this from your final version.

What are the proposals being assessed?	Proposed budget savings CSF2018-13: Review of CSF Admin Structure
Which Department/ Division has the responsibility for this?	CSF/Children’s Social Care/Youth Inclusion and Education.

Stage 1: Overview

Name and job title of lead officer	Rachael Wardell, Paul Angeli Jane McSherry.
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	<p>With changes to the structure of the department, the implementation of MOSAIC and a focus on reduced education and social care core functions we will redesign our administrative workforce across what will be a smaller directorate while dealing with increasing demands.</p> <p>CSF has various business, finance and performance support functions across a number of numerous services. These functions are carried out either by dedicated business support staff or are integrated within other roles. The aim of the review is to understand whether the current set up is efficient, cost effective and delivers good value to the department.</p> <p>The review will cover all roles which carry out functions related to business, finance and performance support .</p> <p>The work will cover roles across both divisions (Education and Social Care & Youth Inclusion), although it is recognised that a review has recently been completed for SC&YI. The findings and outcomes of this review will be taken into consideration, so as not to duplicate this work. However, further changes are not ruled out.</p> <p>A reduction of 10-12 posts from a total of 65FTE is anticipated.</p>
2. How does this contribute to the council’s corporate priorities?	<ul style="list-style-type: none"> • This proposal contributes to the councils’ corporate priorities in ensuring we manage our resources to provide value for money, high standards of governance, financial and budget management. • The desired outcomes of the review are: • More joined up provision of performance information and data across the department • Reduced duplication of work • Increased efficiency and effectiveness of the business, finance and performance support functions

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	<p>across CSF services</p> <ul style="list-style-type: none"> • Release capacity for other work or deliver financial savings
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	Less resource and flexibility to meet increasing demands may lead to a risk of decreased timeliness of response to customers and potentially reduced support for vulnerable children and young people, although the primary impact is likely to be (initially) on colleagues and partners who will have to undertake more 'self service' and may experience reduced response times.
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	This is wholly a Children's Schools and Families workforce.

Stage 2: Collecting evidence/ data

Page 303 What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

We know the staff in this cohort likely to be affected by any reduction in the number and distribution of business support roles. Understanding of equality and diversity impact of any proposal to reduce the numbers of posts forms part of the HR process of service redesign. We have not been able to identify and quantify the predicted impact on colleagues, external stakeholders and service users, as the underlying principle is to seek to be more efficiently organised, rather than to reduce any service provision, but an evaluation of impact forms part of the review.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies	
	Positive impact		Potential negative impact	
	Yes	No	Yes	No
Age				*
Disability				*
Gender Reassignment				*
Marriage and Civil Partnership				*
Pregnancy and Maternity				*
Race				*
Religion/ belief				*
Sex (Gender)				*
Sexual orientation				*
Socio-economic status				*

7. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 4: Conclusion of the Equality Analysis

8. Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

OUTCOME 1



OUTCOME 2




OUTCOME 3



OUTCOME 4



Stage 5: Sign off by Director/ Head of Service			
Assessment completed by	Rachael Wardell, Director CSF	Signature:	Date: 23-11-2018
Improvement action plan signed off by Director/ Head of Service	Rachael Wardell, Director CSF	Signature: 	Date: 23-11-2018

Equality Analysis – ENV1819 - 01

– Leisure & Culture Development Team



Guidance for carrying out Equality Impact Assessments is available on the [intranet](#).

What are the proposals being assessed?	To make Leisure Centre Contract Savings at the time of the opening of the new Morden Leisure Centre (MLC) and the demise of the existing Morden Park Pools (MPP) by way of a Change to the existing Leisure Management Contract with Greenwich Leisure Limited (GLL) (ENV1819 – 01)
Which Department/Division has the responsibility for this?	Environment & Regeneration – Public Space Division
Stage 1: Overview	
Name and job title of lead officer	Christine Parsloe, Leisure & Culture Development Manager
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	<p>Outcome: To achieve leisure management contract savings</p> <p>Aims: To open a new MLC, close & demolition the existing MPP</p> <p>Proposals:</p> <ol style="list-style-type: none"> 1) The new Morden Leisure Centre (MLC) is due to be completed in the Autumn of 2018 and this will result in a Deed of Variation with the contractors Greenwich Leisure Limited (GLL) to discontinue operation of the existing Morden Park Pools (MPP) and move to operate the new MLC. In doing this we expect to be making savings on the contract sum.
2. How does this contribute to the council's corporate priorities?	Delivers savings and transformation of services
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	Customers, community organisations, schools, other departments, stakeholders etc. as we open a new leisure centre and close the existing MPP. The main terms of the contract pricing structures, membership, etc. will not change, rather a new suite of leisure opportunities will be provided generating a saving on the leisure management contract.
4. Is the responsibility shared with another department, authority or organisation? If so: Who are the partners and who has overall responsibility?	No

Stage2: Collecting evidence/data

6. What evidence have you considered as part of this assessment? List the data, results of consultation, research and other sources of evidence reviewed to determine impact on the protected characteristics (equality groups). Where there are gaps in data you may have to address this by including it in the action plan.

Type of evidence

The range and type of facilities to be included in the new MLC has already been fully considered and consulted upon with the community through formal and informal consultations, planning applications and will continue to occur as the plans and designs implemented. This will include local interest groups, disability organisations, schools, those from ethnic minority communities and faith groups.

Stage 3: Assessing impact and analysis

7. From the evidence you have considered, what areas of concern have you identified regarding the potential negative impact on one or more protected characteristics (equality groups)?

Equality group	Positive impact		Potential negative impact		Reason
	Yes	No	Yes	No	
Age	√			√	The facility mix for sports & leisure opportunities will be increased for all. The service contract will remain as is in making this saving.
Disability	√			√	
Gender Reassignment	√			√	
Marriage and Civil Partnership	√			√	
Pregnancy and Maternity	√			√	
Race	√			√	
Religion/ belief	√			√	
Sex	√			√	
Sexual orientation	√			√	
Socio-economic status	√			√	

8. How do you plan to mitigate the negative impact that has been identified above? Also describe how you will promote equality through the policy, strategy, procedure, function or service?

No negative impact identified above.

Stage4: Decision

9. Decision – Please indicate which of the following statements best describe the outcome of the EIA (✓ tick one box only)

Outcome 1 - ✓	Outcome 2 -	Outcome 3	Outcome 4
<p>Outcome 1 – No change required: when the EIA has not identified any potential for discrimination or negative impact and all opportunities to promote equality are being addressed.</p>		<p>Your analysis demonstrates that the proposals are robust and the evidence shows no potential for discrimination and that you have taken all appropriate opportunities to advance equality and foster good relations between groups. If this conclusion is reached, remember to document the reasons for this and the information that you used to make this decision.</p>	
<p>Outcome 2 – Adjustments to remove negative impact identified by the EIA or to better promote equality. List the actions you propose to take to address this in the Action Plan.</p>		<p>This involves taking steps to remove barriers or to better advance equality. It can mean introducing measures to mitigate the potential negative effect. Remember that it is lawful under the Equality Act to treat people differently in some circumstances, for example taking positive action or putting in place single-sex provision where there is a need for it. It is both lawful and a requirement of the general equality duty to consider if there is a need to treat disabled people differently, including more favorable treatment where necessary.</p>	
<p>Outcome 3 – Continue with proposals despite having identified some potential for negative impact or missed opportunities to promote equality. In this case, the justification needs to be included in the EA and should be in line with the PSED to have ‘due regard’. List the actions you propose to take to address this in the Action Plan. (You are advised to seek Legal Advice)</p>		<p>This means a recommendation to adopt your proposals, despite any negative effect or missed opportunities to advance equality, provided you have satisfied yourself that it does not unlawfully discriminate. In cases where you believe discrimination is not unlawful because it is objectively justified, it is particularly important that you record what the objective justification is for continuing with your proposals, and how you reached this decision. This is very important to show that you have paid ‘due regard’ to the Public Sector Equality Duty</p>	

Outcome 4 – Stop and rethink: when your EA shows actual or potential unlawful discrimination.	If a policy shows unlawful discrimination it must be removed or changed.
Note: If your EA is assessed as outcome 3 , explain your justification with full reasoning to continue with your proposals?	Include information as to why you suggest going ahead with your proposals despite negative impact being identified.

Stage 5: Making adjustments – Improvement Action Plan

10. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the assessment and analysis and outlines the action to be taken to mitigate the potential negative impact identified.

Risks or improvements identified in the EIA	Action required	Performance measure & target(s)	By when	Uses existing or additional resources?	Lead Officer	Progress
No negative impacts identified,						

Have you incorporated these actions into your divisional service plan or team plan? Please give details of where they have been included.

Included as part in the existing Leisure & Culture Development Team's transformation and service plans.

11. How will you share lessons learnt from this assessment with stakeholders and other council departments?

We will share any learning from this with others through one to one support, advice and guidance as appropriate and time allows.

Stage 6: Monitoring

The full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

How will you monitor the impact of the proposal once it has been implemented?

Monitoring will be done through the leisure management contract monitoring processes within existing business practices

How often will you do this?

Quarterly through formal meetings, otherwise through day to day working and business operations.

Stage: 7 Reporting outcomes (Completed assessments must be attached to committee reports and a summary of the key findings included in the relevant section with in them)**Summary of the assessment**

- What are the key impacts – both negative and positive?
 - What course of action are you advising as a result of this assessment?
 - Are there any particular groups affected more than others?
- Do you suggest to proceeding with your proposals although a negative impact has been identified?

Summary of the key findings:

None.

Stage 8: Sign off by Head of Service

Assessment completed by: Name/Job Title	Christine Parsloe Leisure & Culture Development Manager	Signature: C A Parsloe	Date: 24 Sept 2018
Improvement action plan signed off by Head of Service	Anita Cacchioli, Head of Public Space Division	Signature: A Cacchioli	Date: 24 Sept 2018
Department	Environment & Regeneration		

Equality Analysis

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet
 Text in blue is intended to provide guidance – you can delete this from your final version.

What are the proposals being assessed?	A review of the Permits section of Parking services and a review of the staffing levels of this team as a result of process efficiencies to be delivered following the procurement of a new permits system, capable of delivering online self service for customers (ENV1819 - 02)
Which Department/ Division has the responsibility for this?	Parking Services, Environment and Regeneration

Stage 1: Overview	
Name and job title of lead officer	Ben Stephens, Head of Parking
<p>1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)</p>	<p>The Permits team are responsible for fulfilling customer orders for permits for use within the Controlled Parking Zones (CPZ), Providing appropriate staff with permits for use in the course of their statutory duties, Co-ordinating permit requests and orders with the implementation of new CPZ's, and processing requests for bay suspensions and dispensations for utility, domestic removal and filming requests</p> <p>The Permits team consists of 1 Supervisor (ME11), and 6.5 admin assistants (ME7). There are also 2 additional admin assistants (ME7) on fixed term contracts, currently employed in the permits team, as a result of increased customer contact resulting from the introduction of the Diesel Levy.</p> <p>Parking Services are currently in the process of procuring a new permits system as the current system supplied by Imperial Civil Enforcement Solutions (Imperial) has been in place for some years now, and is a dated system by todays standards.</p> <p>The new system to be introduced will enable Parking Services to provide a virtual permit solution to customers, as well as allowing customers to self serve on a number of matters e.g. advising of a change in vehicle, thus reducing the number of activities currently undertaken by staff, and therefore reducing the amount of customer contact currently experienced by this team.</p> <p>It is parking services intention to reduce the staffing levels of the permits team by 2 FTE administrative assistant roles from 1 April 2019, and then following the introduction of the new permits system, a further 2</p>

	FTE administrative roles from 1 April 2020.
2. How does this contribute to the council's corporate priorities?	The introduction of a new permits system supports the councils priorities in encouraging a customer channel shift away from customer contact to online self service. The reduction in staffing levels would support the councils financial priorities and ensuring that we are receiving value for money and being as cost efficient as we can.
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	As the new permits solution will enhance the service for our customers while reducing the need for them to contact us, this proposal would only affect staff.
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	The responsibility for this is not shared with other departments or teams.

Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

It is unlikely that this proposal would impact on any of the equality groups.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age					
Disability					
Gender Reassignment					
Marriage and Civil Partnership					
Pregnancy and Maternity					
Race					
Religion/ belief					
Sex (Gender)					
Sexual orientation					
Socio-economic status					

7. If you have identified a negative impact, how do you plan to mitigate it?

Any reduction in staffing levels will involve statutory consultation with the staff affected with support and guidance provided to them by HR and their Unions throughout the process.

Stage 4: Conclusion of the Equality Analysis

8. Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

- Outcome 1** – The EA has not identified any potential for discrimination or negative impact and all opportunities to promote equality are being addressed. **No changes are required.**
- Outcome 2** – The EA has identified adjustments to remove negative impact or to better promote equality. **Actions you propose to take to do this should be included in the Action Plan.**
- Outcome 3** – The EA has identified some potential for negative impact or some missed opportunities to promote equality and it may not be possible to mitigate this fully. **If you propose to continue with proposals you must include the justification for this in Section 10 below, and include actions you propose to take to remove negative impact or to better promote equality in the Action Plan. You must ensure that your proposed action is in line with the PSED to have 'due regard' and you are advised to seek Legal Advice.**
- Outcome 4** – The EA shows actual or potential unlawful discrimination. **Stop and rethink your proposals.**

Stage 5: Improvement Action Pan

9. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 6: Reporting outcomes

10. Summary of the equality analysis

This section can also be used in your decision making reports (CMT/Cabinet/etc) but you must also attach the assessment to the report, or provide a hyperlink

This Equality Analysis has resulted in an Outcome [1](#) Assessment

The Council are currently seeking to channel shift customer contact to more online, self service avenues.

The introduction of a new permits system will present an opportunity for the parking services team to provide customers with a faster, self-serve service, resulting in a reduction in the amount of customer contact to the permits team.

A reduction in the amount of customer contact to the permits team will of necessity result in a review of the staffing levels required for this area, with a proposed reduction of 2 Administrative Assistant (ME7) roles from 1 April 2019, and a further reduction of an additional 2 Administrative Assistant (ME7) roles from 1 April 2020.

Stage 7: Sign off by Director/ Head of Service			
Assessment completed by	Add name/ job title	Signature:	Date:
Improvement action plan signed off by Director/ Head of Service	Add name/ job title	Signature:	Date:

Equality Analysis

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet
 Text in blue is intended to provide guidance – you can delete this from your final version.

What are the proposals being assessed?	A review of the charges levied by Parking Services for on street pay and display charges, off street pay and display charges and permit charges to help deliver key strategic council priorities including public health, air quality and sustainable transportation. (ENV1819 -03)
Which Department/ Division has the responsibility for this?	Parking Services, Environment and Regeneration

Stage 1: Overview	
Name and job title of lead officer	Ben Stephens, Head of Parking
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	There has been no increase in the cost of parking, either on-street, off-street or in relation to the cost of the varying types of permits issued by Parking Services for 9 years. As a result of the high demand for parking in town centres in conjunction with the high levels of air pollution, it has become imperative that a review is undertaken of the charges levied with the aim of rationalising the cost of parking, while also encouraging residents and visitors to use more sustainable forms of transport.
2. How does this contribute to the council's corporate priorities?	While there are an extensive list of benefits accrued from parking management, and how they contribute towards the councils corporate priorities, the external nature of these benefits ensures that they are diffuse in impact and difficult to quantify, however, the main benefits which parking schemes actively seek to deliver, and which have been identified through research are: <ol style="list-style-type: none"> 1. Reduced congestion 2. Improved road safety 3. Improved air quality 4. Ensurance of good access and accessibility 5. Promotion of the local economy 6. Maximisation of the productive use of land resource 7. Promotion of health and wellbeing through travel choice 8. Providing funding for parking and wider transport scheme improvements
3. Who will be affected by this proposal? For example who are	Any increase in the cost of parking, either in terms of pay and display parking or permit parking, will impact on residents of the borough, businesses within the borough, and visitors to the borough, across all socio-

the external/internal customers, communities, partners, stakeholders, the workforce etc.	economic groups.
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	The management of on and off street parking is the responsibility of Parking Services, and actions taken by Parking services contribute towards the Air Quality Action Plan (AQAP) which is the responsibility of the Regulatory Service Partnership team.

Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

The Council acknowledges that convenient parking should be provided for residents to enable them to park near their homes, where practicable, and parking provision is also necessary to meet the needs of people who have no other alternative other than to use their vehicle e.g. individuals with disabilities. There are also areas where public transport is either not available or no very convenient.

Local authorities are not permitted to use parking charges solely to raise income. When setting charges, a local authority must instead focus on how the charges will contribute to delivering the Council's traffic management and key sustainability objectives.

The November Cabinet report set out in detail the traffic management approach to parking charges, specifically the contribution appropriate tariffs can make in contributing to the objectives set out in the Public Health Agenda, and Air Quality Action Plan. Mayor Transport Plan and the council Local Implementation Plan.

Building on these principles, a number of key factors were considered in the review of on and off-street parking and permits, which included:

- (i) Ease of access to public transport:
- (i) Air Quality hotspots
- (ii) Areas of high congestion
- (v) Enforcement requirements

The review also considered the relative cost of owning a car and also transport cost. A recent RAC survey set out cost of car ownership. There are a number of instances where charges have been reduced or removed totally, particularly in respect of Electric Vehicles, and evening parking when demand in some car parks is low. But in the context of owning and running a car in London, the challenges facing London and benchmarking data the charges remain affordable, even if some charges in isolation may be seen as significant.

There is a significant difference in transport infrastructure and accessibility dependent on where a resident lives within the Borough. For example Wimbledon is considered to be better served, Colliers Wood and South Wimbledon, which in turn is better served than for example in Mitcham. This is presented in the form of a 'Public Transport Accessibility Levels' as set out by TfL and formed part of the review.

It is therefore easier in principle for a person living in Wimbledon Town Centre to use alternative sustainable or active modes of transport, compared to residents in the east of the borough, where the 'need' to own a car could be argued as being higher. It is of course accepted that in some cases cars are needed for special purposes, particularly those with physical mobility issues. But in a high number of cases using public transport or active transport is a very viable option, which drivers 'choose' not to use.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age	X				Positive Impact : Improved air quality will positively impact on all equality groups.
Disability	X		X		Positive Impact : Improved air quality will positively impact on all equality groups. Negative Impact : Any increase in parking charges has the potential to negatively impact on those with a disability as they are more likely to have less income. However, any increase in charges is offset by eligibility for a Blue Badge which provides free on street parking at many locations, including on single and double yellow lines.
Gender Reassignment	X				Positive Impact : Improved air quality will positively impact on all equality groups.
Marriage and Civil Partnership	X				Positive Impact : Improved air quality will positively impact on all equality groups.
Pregnancy and Maternity	X				Positive Impact : Improved air quality will positively impact on all equality groups.
Race	X				Positive Impact : Improved air quality will positively impact on all equality groups.
Religion/ belief	X				Positive Impact : Improved air quality will positively impact on all equality groups.
Sex (Gender)	X				Positive Impact : Improved air quality will positively impact on all equality groups.
Sexual orientation	X				Positive Impact : Improved air quality will positively impact on all equality groups.
Socio-economic status	X		X		Positive Impact : Improved air quality will positively impact on all equality groups. Negative Impact : Any increase in parking charges has the potential to negatively impact on those on lower incomes, however in mitigation, it is recognised that the poorer areas of the borough do not have as good transport links as the more affluent areas of the borough, and in recognition of this, any increases in these areas would be less.

7. If you have identified a negative impact, how do you plan to mitigate it?

Disability - Negative Impact - Blue Badge holders are allowed to park for free on-street, providing their blue badge is on display, and resident blue badge holders are issued with a free annual visitors permit for use by their visitors and carers.

Socio-economic status – Negative Impact - There is a significant difference in transport infrastructure and accessibility dependent on where a resident lives within the Borough. For example Wimbledon is considered to be better served than, Colliers Wood and South Wimbledon, which in turn is better served than for example in Mitcham. As such it is easier in principle for a person living in areas of very good transport to use alternative sustainable modes of transport, compared to other areas where accessibility is less good, where the 'need' to own a car could be argued as being higher. The cost of a first permit issued to an address in Mitcham, Haydons Road or Raynes Park would range from £70 - £90 (excluding the diesel levy), compared to the cost of a first permit issued to an address in Wimbledon would range from £110 - £150 (excluding the Diesel levy). The current charge for the first permit in a household is £65.

Stage 4: Conclusion of the Equality Analysis

8. Which of the following statements best describe the outcome of the EA (Tick one box only)

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Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

Outcome 1 – The EA has not identified any potential for discrimination or negative impact and all opportunities to promote equality are being addressed. **No changes are required.**

Outcome 2 – The EA has identified adjustments to remove negative impact or to better promote equality. **Actions you propose to take to do this should be included in the Action Plan.**

Outcome 3 – The EA has identified some potential for negative impact or some missed opportunities to promote equality and it may not be possible to mitigate this fully. **If you propose to continue with proposals you must include the justification for this in Section 10 below, and include actions you propose to take to remove negative impact or to better promote equality in the Action Plan. You must ensure that your proposed action is in line with the PSED to have 'due regard' and you are advised to seek Legal Advice.**

Outcome 4 – The EA shows actual or potential unlawful discrimination. **Stop and rethink your proposals.**

Stage 5: Improvement Action Pan
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9. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?
Economic – Disability	Any rise in permit prices is mitigated by the Blue Badge scheme for disabled persons, providing them with free parking at on street locations. Blue Badge holders also receive 1 free annual visitors permit for their guests and carers to use.	Customer feedback	01/10/2018	Existing	Ben Stephens	
Economic – Socio Economic	While there will be an increase in the cost of permits issued to residents in the less advantaged areas of the borough, those residents in the poorest areas will pay less for their permits in comparison to residents in more advantaged areas with better transport links	Customer Feedback	01/04/2018	Existing	Ben Stephens	

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Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 6: Reporting outcomes**10. Summary of the equality analysis**

This section can also be used in your decision making reports (CMT/Cabinet/etc) but you must also attach the assessment to the report, or provide a hyperlink

This Equality Analysis has resulted in an Outcome **2** Assessment

- There has been no increase in the cost of parking, either on or off street in the last 9 years. As a result of recent government findings relating to air pollution and the negative impact air pollution has to life expectancy, it is incumbent upon enforcing authorities to take steps to encourage residents and businesses to seek to utilize more sustainable forms of transport, and to encourage residents and businesses to choose less polluting
- Enforcing authorities have very few means by which they can influence a residents choice of travel, however, the pricing structure of permits is one means by which an authority can influence this.
- While an increase in the cost of on and off street parking and permits could impact economically on the most disadvantaged residents within the borough, the proposal to band the cost of permits, offering a lower price to those living in the most disadvantaged areas of the borough, would mitigate an impact on the required price increase to these residents.

Stage 7: Sign off by Director/ Head of Service			
Assessment completed by	Add name/ job title	Signature:	Date:
Improvement action plan signed off by Director/ Head of Service	Add name/ job title	Signature:	Date:

Equality Analysis



Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet
Text in blue is intended to provide guidance – you can delete this from your final version.

What are the proposals being assessed?	Parking Services are proposing a review of the number of Pay and Display machines on and off street, with the aim of rationalising their numbers and locations and becoming a cash free borough over the next 4 years. (ENV1819 – 04)
Which Department/ Division has the responsibility for this?	Parking Services, Environment and Regeneration

Stage 1: Overview	
Name and job title of lead officer	Ben Stephens, Head of Parking
1 What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	<p>Parking Services are reviewing the cost and operation of on and off street pay and display machines with the intention of becoming a cashless parking borough over the next 4 years. The removal of these machines will planned and considered so that any proposed machine removals can be managed and monitored so as not to impact on the current provision of pay and display parking.</p> <p>Currently, there are 426 pay and display machines in operation serving the on and off street pay and display locations throughout the borough. Pay and display tickets can only be purchased using coins as these machines do not accept notes or debit/credit cards, and the machines do not give change.</p> <p>The initial phase of this removal will aim to remove between 50 – 70 machines, all of which are machines which are under used, or in locations where it can be rationalised for one machine to serve a number of pay and display locations within its proximity, as opposed to the current practise of one machine per location. In these instances, and in the off street parking locations, the rationalisation of this may involve relocating machines so they are accessible for all customers and equidistant to the locations they serve.</p> <p>Many of the pay by phone providers work in conjunction with local businesses and retailers, facilitating payment for on street parking via services such as allpay, for those motorists who do not have a smartphone or mobile phone, or would simply prefer to pay cash. Retailers benefit from this as they receive a percentage of the parking fee paid, and this in turn feeds into the local economy.</p>

	<p>There are a number of costs involved in maintaining the on and off street pay and display machines including and not necessarily limited to their maintenance, ensuring they are stocked with pay and display tickets, ordering new chips for them following any change in tariffs, accidental damage, deliberate damage by those seeking to steal the money inside the machines, staff costs, and the costs levied by the company that undertake the regular collections from each of these machines.</p> <p>In addition, there are further costs involved in installing new machines during the implementation of new Controlled Parking Zones (CPZ).</p> <p>A review of machine usage has identified a number of locations where the weekly cash collection is less than £25 per week.</p> <p>Currently the London Borough of Merton operate a pay by phone service, allowing customers to pay for on and off street parking using an app on a smart phone, or by calling the service provider direct from their mobile phone and using their automated phone service. A recent review of the usage of this service has shown that there is currently a 50/50 split between customers using this service, and those still using coins to purchase time, with the average value of the pay by phone transactions being significantly higher than the average cash transaction.</p> <p>There have been a number of thefts and attempted thefts from some existing machines, and as a result of this a number of pay and display machines have been closed down, and site notices erected at these locations advising that these locations are now pay by phone only. These signs direct those seeking to pay with coins to alternative locations.</p> <p>While there will be increased transactional costs as a result of increased usage of the pay by phone service, this will be offset by the savings identified above.</p>
2. How does this contribute to the council's corporate priorities?	The removal of pay and display machines will contribute to the councils corporate priorities in that it will reduce the authorities expenditure.
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	The removal of Pay and Display machines will effect residents and visitors to the borough. In addition, the removal of the pay and display machines will impact on staff in that with less pay and display machines in operation, there will be less need for officers to maintain and service them.
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	While the maintenance and upkeep of the pay and display machines falls within the remit of parking services, when planning CPZs, the Traffic and Highways team identify locations where pay and display bays will be installed.

Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

Research undertaken by Deloitte shows that 82% of the UK population currently own a smartphone, and 95% of UK households own a mobile phone.

It is accepted that there is still a proportion of the population that do not own mobile phones, and as the research undertaken by Deloitte shows, smart phone ownership being approx. 54% of the population aged between 54 and 65.

The removal of pay and display machines and the provision of pay and display parking is highly dependent on customers being able to book and pay for their parking either using a smart phone app, or by having the ability to call the service provider from the parking location. For on street locations, most pay by phone service provider's work in conjunction with small, local businesses, allowing those without smartphones or mobile phones to pay for their parking at a local shop, similar to the all pay system.

As a result of thefts in 2017/18, a number of on street pay and display machines were closed, and signage at these locations advises customers that they can only use pay by phone parking at these locations, and if they are seeking to make coin payments, they are directed to alternate pay and display locations. To date, Parking Services have not received any complaints about this.

With this in mind, Parking Services are in the process of reviewing the provision and location of pay and display machines in our car parks, with it being expected a series of works will be undertaken to relocate machines while we seek Disabled Parking Accreditation.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age			X		Those aged 54 and over are less likely to own a smartphone or mobile phone
Disability				X	Blue Badge holders are already entitled to parking benefits at on street locations and are not required to pay for their parking
Gender Reassignment			X		Those aged 54 and over are less likely to own a smartphone or mobile phone
Marriage and Civil Partnership			X		Those aged 54 and over are less likely to own a smartphone or mobile phone
Pregnancy and Maternity			X		Those aged 54 and over are less likely to own a smartphone or mobile phone
Race			X		Those aged 54 and over are less likely to own a smartphone or mobile phone
Religion/ belief			X		Those aged 54 and over are less likely to own a smartphone or mobile phone
Sex (Gender)			X		Those aged 54 and over are less likely to own a smartphone or mobile phone
Sexual orientation			X		Those aged 54 and over are less likely to own a smartphone or mobile phone
Socio-economic status			X		Those aged 54 and over are less likely to own a smartphone or mobile phone

7. If you have identified a negative impact, how do you plan to mitigate it?

As identified above, the removal of on and off street pay and display machines is most likely to impact on those aged 54 and over, as they are least likely to own a smart phone or a mobile phone. The majority of pay by phone suppliers recognise this, and they work in partnership with local businesses and other suppliers, such as all pay, allowing customers without access to a mobile phone to enter a local business and pay with cash for their parking there.

Stage 4: Conclusion of the Equality Analysis

8. Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

- Outcome 1** – The EA has not identified any potential for discrimination or negative impact and all opportunities to promote equality are being addressed. **No changes are required.**
- Outcome 2** – The EA has identified adjustments to remove negative impact or to better promote equality. **Actions you propose to take to do this should be included in the Action Plan.**
- Outcome 3** – The EA has identified some potential for negative impact or some missed opportunities to promote equality and it may not be possible to mitigate this fully. **If you propose to continue with proposals you must include the justification for this in Section 10 below, and include actions you propose to take to remove negative impact or to better promote equality in the Action Plan. You must ensure that your proposed action is in line with the PSED to have 'due regard' and you are advised to seek Legal Advice.**
- Outcome 4** – The EA shows actual or potential unlawful discrimination. **Stop and rethink your proposals.**

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Stage 5: Improvement Action Plan

9. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?
Lack of smartphone/mobile phone ownership	Provision for cash payments with local retailers/businesses	Customer feedback	01/04/2020	Existing	Ben Stephens	

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 6: Reporting outcomes

10. Summary of the equality analysis

This section can also be used in your decision making reports (CMT/Cabinet/etc) but you must also attach the assessment to the report, or provide a hyperlink

This Equality Analysis has resulted in an Outcome [2](#) Assessment

- The continued maintenance and use of on street pay and display machines is becoming less cost effective as mobile solutions are being used more frequently and customer uptake shows that there is a growing trend for customers wanting to pay for their parking via a mobile device, instead of paying by cash.
- On street machines require regular cash collections and there has been an increase in the number of thefts and attempted thefts from pay and display machines across London.
- Provision can be made for those without mobile phones or smart phones to pay for their parking at local retailers and shops

Stage 7: Sign off by Director/ Head of Service			
Assessment completed by	Add name/ job title	Signature:	Date:
Improvement action plan signed off by Director/ Head of Service	Add name/ job title	Signature:	Date:

Equality Analysis

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet
 Text in blue is intended to provide guidance – you can delete this from your final version.

What are the proposals being assessed?	Increased council income from highways advertising on bus stops and council information panels (ENV1819 – 05)
Which Department/ Division has the responsibility for this?	E&R / Sustainable Communities

Stage 1: Overview	
Name and job title of lead officer	Tara Butler, Deputy FutureMerton manager
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	Proposing to re-procure the highways advertising contract during 2019-20 and raise income to the council. Highways advertising takes place on bus stops and council information panels across Merton (not Transport for London roads). The new contract will also be responsible for maintaining the bus stops and advertising panels, reducing the council's outgoings and liabilities for street furniture.
2. How does this contribute to the Council's corporate priorities?	Increased resilience by increasing income and reducing the council's liabilities for maintaining bus stops on the council's public highway
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	Proposal will benefit the council by increasing income from corporate advertising and reducing the council's liabilities
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	No

Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

Considered the impact of re-procuring the highways advertising contract on people with protected characteristics. Conclusion that there will be no harm and that the end result (having a new highways advertising contract) is likely to be a benefit from (a) advertising opportunities for council services that are focused on helping people with protected characteristics (e.g. council initiatives directed towards older or school aged people); these advertising opportunities would be widely visible in the public realm. (b) increased income to the council making the council more financially resilient.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age	X				Increased visibility of council services via highways advertising including those that benefit people of different ages (e.g. social services for older people; "start-well")
Disability	X				Increased visibility of council services via highways advertising including those that benefit people with disabilities
Gender Reassignment	X				Increased visibility of council services via highways advertising including those that promote cohesive communities or target hate crime (e.g. Safer Merton services)
Marriage and Civil Partnership					Neutral / no positives or negatives
Pregnancy and Maternity	X				Increased visibility of council services via highways advertising that benefit people that are pregnant (e.g. services that have been commissioned by the council's Public Health team)
Race	X				Increased visibility of council services via highways advertising that benefit

					people of different heritage (e.g. services that target the improvement of health issues which are more prevalent in people with particular heritage)
Religion/ belief	X				Increased visibility of council services via highways advertising including those that promote cohesive communities or target hate crime (e.g. Safer Merton services)
Sex (Gender)	X				Increased visibility of council services via highways advertising including those that promote cohesive communities or target hate crime (e.g. Safer Merton services)
Sexual orientation	X				Increased visibility of council services via highways advertising including those that promote cohesive communities or target hate crime (e.g. Safer Merton services)
Socio-economic status					Increased visibility of council services via highways advertising including those that promote cohesive communities or target hate crime (e.g. Safer Merton services)

7. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 4: Conclusion of the Equality Analysis

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Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

OUTCOME 1)

OUTCOME 2

OUTCOME 3

OUTCOME 4

Stage 5: Sign off by Director/ Head of Service

Assessment completed by	Tara Butler / Deputy FutureMerton manager	Signature:	Date: 21 November 2018
Improvement action plan signed off by Director/ Head of Service	Add name/ job title	Signature:	Date:

Equality Analysis

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet
 Text in blue is intended to provide guidance – you can delete this from your final version.

What are the proposals being assessed?	CH 35/36 Housing Related Support Services Review and Procurement
Which Department/ Division has the responsibility for this?	Community & Housing

Stage 1: Overview	
Name and job title of lead officer	Steve Langley, Head of Housing
<p>Page 37</p> <p>What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)</p>	<p>Housing Related Support (HRS) is a non-statutory support service for vulnerable Adults and young people. HRS superseded the previous Supporting People (SP) funding regime, introduced in 2003. There are 16 HRS funded organisations schemes operating within Merton, providing services through around 32 contracts. These services are a range of accommodation based and floating support type services. The 2018/19 HRS budget is £1.86m. The HRS programme funds support services for vulnerable adults and young people to enable them to sustain their tenancies and maximise independence. Services also include assistance in finding and settling into a new home following a crisis such as homelessness or a period in hospital or residential care.</p> <p>The current contracts have evolved from the original SP funding regime without recommissioning or effective performance evaluation. This situation combined with recent legislative and regulatory changes mean that contracts are not in line with best practice. The current operating system cannot be demonstrated to be meeting the relevant regulatory and statutory guidance, needs of service users, or delivering value for money.</p> <p>The purpose of the project is to review existing service provision, identify gaps and utilise the data to inform a new set of contract specifications to support the re-procurement of services aligned with the Council’s Community and Housing strategic priorities. The objective of the project is to deliver successful procurement of contracted services that demonstrate effective outcomes for service</p>

	users, effective performance management framework and value for money services.
2. How does this contribute to the council's corporate priorities?	The HRS project proposals will support the Councils' performance of its statutory duties under the Homelessness Reduction Act 2017 (HRA 2017) and Care Act 2014 by maximising the resources to prevent homelessness and demand on statutory services, by enabling vulnerable people to sustain their accommodation. The proposals also contribute to the corporate priority of reviewing its processes to improve them and provide value for money.
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	<p>The Housing Related Support (HRS) programme funds support services for vulnerable adults and young people to enable them to remain living independently in their own homes. Services also include assistance in finding and settling into a new home following a crisis such as homelessness or a period in hospital or residential care. Stakeholders in include current and potential future service providers. There are currently 16 providers delivering services through multiple contracts for over 1000 service users. The providers relevant to delivery of services to the groups affected by the proposals) are:</p> <ul style="list-style-type: none"> • Ability HA • Anchor Trust • Central & Cecil • Comfort Care • Evolve HA • Hanover HA • Hestia Hsg & Support • Housing for Women • Clarion Housing • Kingston Churches HA • Spear • Metropolitan Care • Millat Asian HA • LBM Supported Living • Sanctuary Housing • Wimbledon YMCA <p>Current and potential future users of HRS funded services are:</p> <ul style="list-style-type: none"> • People with mental health needs (accommodation and non-accommodation)

	<ul style="list-style-type: none"> • Older people (accommodation and alarm call teleservices) • Single homeless • Young people at risk • People with learning disabilities • Frail elderly • People with physical disabilities • Teenage parents • Women at risk of domestic violence • Generic floating support <p>The benefits to service users will be that services will be targeted at those that HRS was intended to support, with a focus on clearer objectives, outcomes and transforming lives. The new programme will ensure that services do not become 'silted up' by limited move-on which restricts access to those potential service users that need services but are unable to access them.</p>
<p>4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?</p>	<p>Stakeholders may include other services including Adult Social Care, Children Schools and Families Directorate, Care Looked After Team and external voluntary organisations who may refer potential service users to the service.</p>

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Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

BAME Groups

The HRS service is available to adults of all ages, gender, race, belief, disability and sexuality. In terms of ethnicity it would be expected that the profile of service users broadly reflects Merton's ethnicity data profile. Current service user equalities and diversity reporting has not been required under existing contracts, however under the new contract procurement arrangements providers will report on equalities data as part of the wider service performance monitoring. This will enable the Council to assess the data, identify any trends and take the appropriate steps to ensure that the services are meeting the needs of the population. Ensuring that reasons

for any under or over-representation of specific groups in the services is understood and is subject to further evaluation will be key to ensuring the service focuses on delivering effective outcomes for service users, and maintains a strategic focus on emerging trends in Merton.

Older Persons

Merton has 22,350 people aged 65-84 years old (10.7% of the total population). By 2025 this is predicted to increase to 24,350 (11.2%). An estimated 3,650 people aged 85 years and over (1.7% of the total population) currently live in Merton. By 2025 this is predicted to increase to almost 3,950 (1.8%).

Of the current beneficiaries of the service approximately 65% are in older person's services category (655). These services represent around 9% of the £1.85m HRS budget, reflecting the very limited need for HRS services from this group. This low level of service demand reflects the fact that all of these service users are residents of housing associations, many of which provide services for their older residents as part of their own landlord functions, through housing management, tenancy sustainment and support services. HRS funds elements of the Associations' warden alarm call systems and warden or visiting support worker costs.

In addition the Associations are able to claim IHM funding for enhanced housing management services for vulnerable or older persons. It is therefore not expected that these demographic projections will have a significant impact on the need for HRS service because the needs of older persons are met through existing services. More significant needs are likely to arise in the areas of health and adult social care needs of an increasing older population. Were the need for HRS older persons to increase in future the service delivery and funding model would be reviewed and appropriate changes made to ensure future needs were met.

Young People

Young people and teenage parents are the other age related service category groups potentially affected by the proposed changes. There are 34 accommodation units funded in these categories. Although 28 accommodation units are designated as young persons' accommodation other HRS services have young people within their service user profiles. 6 units of accommodation are designated as the teenage parents' scheme.

The funding for the 34 units of accommodation represents just over 6% of the HRS budget. This low level of service demand reflects the fact that these service users are residents of housing associations, which provide services for their residents as part of their own landlord functions. Associations are able to claim IHM funding from the Council for enhanced housing management services for people with support needs. It is not expected that the proposed changes will adversely affect this service user group.

Since 2006 there has been a decline in under 18's conceptions from 41.1 per 1000 to 16.5 per 1000 in 2016. This is lower than

London (17.1) and England (18.8). Merton has the 16th lowest numbers of under 18 conceptions in London with 49 teenage pregnancies. Were the need for HRS support specifically for young people and teenage parents to increase in future, the service delivery and funding model would be reviewed and appropriate changes made to ensure future needs were met.

Women

On of the services subject to procurement is the Women's Refuge. Research data shows that:

- 1 in 20 people in Merton are affected by DVA
- The annual direction of DVA reports to the police is upwards with 1483 reports made during 2015/16
- The majority of victims are White European with incidents mainly occurring within the family home
- Merton sees peak referrals during the months of August and December with Saturdays being the peak reporting day
- Above 20% of all DVA calls has been influenced by the presence of alcohol and 2% of all calls feature drugs as an influencing factor
- The victim split in Merton varies from the national average with some 35% of reports coming from male victims

HRS review proposals will ensure that there is no reduction in bedspace provision and will seek to increase this where possible, depending of successful tender. The Council will continue to follow best practice and guidance eg London Councils' briefings and the Ministry for Housing Communities and Local Government (MHCLG) Review guidance.

Consultation

Consultation was carried out with Providers through market engagement events, one to one meetings and circulation of outline proposals and updates. Through the consultation and engagement activities Providers were able to set out their issues, perspectives, aspirations, and suggestions for improved service delivery for service users. This co-working with Providers was central to producing this EIA and the new contract specifications.

Consultation was also carried out with the following internal staff; Head of Strategy & Partnerships, C&H Directorate; Housing Strategy Manager; Public Health Team; Looked After Children's Team; Head of Older People and Disabilities; Head of Revenues & Benefits. This valuable input from across the Council ensured a focus on the diverse needs reflected in the local population and these Merton-wide perspectives informed the drafting of the EIA and new contract specifications.

Evidence Base

- HRS Providers' consultation event 08/08/18. Domestic Violence & Abuse (DVA) Market Warming event 17/10/18.
- HRS Consultation circular sent to providers 22/10/18.
- Service category provider workshop feedback 08/08/18. DVA consultation group 17/10/18. Feedback from consultation circular 22/10/18.
- Individual meetings with provider organisations August to October 2018.
- Performance monitoring workbooks and bespoke customer profile reports submitted by providers.
- Merton data on DVA trends.
- Joint Needs Strategic Assessment - The Merton Story – health and wellbeing in Merton in 2018.
- Paying for supported housing: House of Commons Briefing Paper Number 6080 (W. Wilson, 2018).
- London Councils Refuges Roundtable Background Briefing: 17/07/18.
- Ministry for Housing Communities and Local Government (MHCLG) Roundtable: DVA Services Review and Future Funding 08/10/18.
- Funding Supported Housing: Policy Statement and Consultation (Department for Communities and Local Government, Department for Work and Pensions, 2017).
- Developing your local housing offer for health and care: Targeting outcomes (Housing LIN, CIH 2016).
- Supported housing: Understanding need and supply (NHF, 2015).
- Safeguarding Adults: A National Framework of Standards for good practice and outcomes in adult protection work (ADSS, 2005).

A key issue identified as part of the review was lack of information in respect of current and recent service user profiles to assist with evaluation of service impact, access and outcomes. Under the new contract arrangements data will be collected and reviewed by the Council.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age	✓		✓		Services to be re-procured under a new performance management framework with a focus on delivering effective customer outcomes. Final funding model may result in ending of funding for generic older persons services, which could be funded through residents' service charges and Intensive Housing Management (IHM), or where appropriate support services are available through other community support services. Providers of designated young people's services may have their funding reduced, where services being funded do not reflect the purpose for which HRS was provided. Reduction in funding could also result where the required support is able to be funded through Intensive Housing Management (IHM), or where appropriate support services are available through other community support services.
Disability	✓		✓		Services to be re-procured under a new performance management framework with a focus on delivering effective customer outcomes. Final funding model may result in ending of funding for generic older persons who are more likely to have a disability.
Gender Reassignment	✓			✓	Services to be re-procured under a new performance management framework with a focus on delivering effective customer outcomes, and should enable more frequent throughput enabling a wider range of people to access the service over time.
Marriage and Civil Partnership				✓	Services are for single person households. Services to be re-procured under a new performance management framework with a focus on delivering effective customer outcomes, and should enable more frequent throughput enabling a wider range of people to access the service over time.
Pregnancy and Maternity	✓			✓	Services to be re-procured under a new performance management framework with a focus on delivering effective customer outcomes, and

					should enable more frequent throughput enabling a wider range of people to access the service over time.
Race	✓			✓	Services to be re-procured under a new performance management framework with a focus on delivering effective customer outcomes, and should enable more frequent throughput enabling a wider range of people to access the service over time.
Religion/ belief	✓			✓	Services to be re-procured under a new performance management framework with a focus on delivering effective customer outcomes, and should enable more frequent throughput enabling a wider range of people to access the service over time.
Sex (Gender)	✓		✓		Services to be re-procured under a new performance management framework with a focus on delivering effective customer outcomes, and should enable more frequent throughput enabling a wider range of people to access the service over time. One of the services is a Women’s Refuge and there is a potential impact in that under the procurement process an alternative provider could be contracted and funding could reduce.
Sexual orientation	✓			✓	Services to be re-procured under a new performance management framework with a focus on delivering effective customer outcomes, and should enable more frequent throughput enabling a wider range of people to access the service over time.
Socio-economic status	✓		✓		Overall recipients of HRS services are more likely to feature in lower socio-economic groups.

7. If you have identified a negative impact, how do you plan to mitigate it?

Introduce provider equalities monitoring data in new contract and monitoring framework.
 Annual review of provider equalities data and report on findings.
 HRS to fund qualifying OPS services where there is evidence of likely detriment or failure to sustain a tenancy.
 Ensure procurement of services does not result in reduced bedspaces for women that are victims of domestic violence and abuse

Stage 4: Conclusion of the Equality Analysis

8. Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

- Outcome 1** – The EA has not identified any potential for discrimination or negative impact and all opportunities to promote equality are being addressed. **No changes are required.**
- Outcome 2** – The EA has identified adjustments to remove negative impact or to better promote equality. **Actions you propose to take to do this should be included in the Action Plan.**
- Outcome 3** – The EA has identified some potential for negative impact or some missed opportunities to promote equality and it may not be possible to mitigate this fully. **If you propose to continue with proposals you must include the justification for this in Section 10 below, and include actions you propose to take to remove negative impact or to better promote equality in the Action Plan. You must ensure that your proposed action is in line with the PSED to have ‘due regard’ and you are advised to seek Legal Advice.**
- Outcome 4** – The EA shows actual or potential unlawful discrimination. **Stop and rethink your proposals.**

Stage 5: Improvement Action Pan

9. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?
In order to enable the Council to effectively monitor the equalities impact of the HRS service Providers will submit equalities monitoring data.	New contracts to require providers to produce equalities monitoring data.	New contract specifications incorporate requirement for annual equalities monitoring report submission.	12/2018	Existing	Steve Langley	Yes
Provider submission of equalities monitoring data will enable the Council to assess equalities data relating to the impact of, usage or barriers to services for different groups.	Review of provider equalities data and report on findings. Assess service impact, usage and access to services.	Annual review of impact of service, usage and access for different groups.	03/2020	New – subject to agreed resource allocation for new HRS service.	Steve Langley	Yes

Final funding model may result in ending of funding for generic older persons services. This group is more likely to have a disability	In exceptional cases where there is evidence of likely significant detriment to an individual, or a likely demand on statutory services if HRS was not provided, HRS would be able to fund targeted visiting support on an ad hoc basis.	Assessment of HRS referrals on behalf this client group and records of referral outcomes.	03/20	Existing	Steve Langley	Yes
Final contract configuration could result in reduced funding for the Women's Refuge.	HRS proposal will ensure that there is no reduction in bedspace provision and will seek to increase this where possible, depending of the successful tender. The Council will continue to follow best practice and guidance eg London Councils' briefings and Ministry for Housing Communities and Local Government (MHCLG) Review guidance.	Service profile resulting from procurement of contracts will be assessed	03/20	Existing	Steve Langley	Yes
Overall recipients of HRS services are more likely to feature in lower socio-economic groups.	These services will be targeted at the service users that HRS was intended to support, with a focus on clearer objectives and outcomes that will benefit service users overall. This should enable a wider range of people to access the service.	Review of performance metrics and throughput.	03/20	Existing	Steve Langley	Yes

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 6: Reporting outcomes

10. Summary of the equality analysis

This section can also be used in your decision making reports (CMT/Cabinet/etc) but you must also attach the assessment to the report, or provide a hyperlink

This Equality Analysis has resulted in an Outcome [add](#) Assessment

Overall Benefits of the Proposals

The services are to be re-procured under a new performance management framework with a focus on delivering effective customer outcomes, and should enable more frequent throughput enabling a wider range of people to access the service over time.

The HRS review has highlighted a number of areas where service quality, access and value for money can be improved. Although financial savings are anticipated as a product of the change process, this does not mean a reduction in delivery of services that HRS was intended to fund. The new service with an improved performance management framework will enable better services to be delivered to a wider section of the community. These services will be targeted at the service users that HRS was intended to support, with greater emphasis on making a difference and transforming lives. This will be achieved by defining clearer objectives and outcomes that providers will be required to deliver against. The new programme will ensure that services do not become 'silted up' by limited move-on which restricts access to those potential service users that need services but are unable to access them. The new framework will increase the potential for more services users to receive targeted support, at the time they need it, and for the appropriate duration. Where outcomes have not been achieved within a reasonable timeframe the review process will assist in identifying different interventions to be delivered, or alternative service provision. New service access and exit processes will ensure better throughput of service users with clearer focus on delivering tangible outcomes to enable them to sustain accommodation and maximise independence.

This new approach combined with improved equalities reporting will enable the Council to assess how the service is meeting the needs across a wide range of groups in the community.

Disability

Potential impact identified is that the final funding model may result in ending of funding for generic older persons services. This group is more likely to have a disability. Providers charge either all or part of support costs to residents. Reduction in HRS funding may lead to providers increasing charges to residents.

The support services that older persons generally receive are either services not intended to be funded by HRS or should be payable by residents through their services charges. Many providers deliver their own tenancy support, concierge services, and or contract

support services through the not for profit sector to support older persons. Voluntary support and preventative health services are also available for older persons. Intensive Housing Management (IHM) funding is available to providers and covers support services including some services that HRS funds. The availability of this funding will be communicated to providers. In exceptional cases where there is evidence of likely significant detriment to an individual, or a likely demand on statutory services if HRS was not provided, the Council would be able to fund targeted visiting support on an ad hoc basis.

Age

Potential impacts identified are that the final funding model may result in the reduction or ending of funding for generic older persons services, and that providers of designated young people’s services may have their funding reduced.

The support services that older persons generally receive are either services not intended to be funded by HRS or should be payable by residents through their services charges. Many providers provide their own tenancy support, concierge services, and or contract support services through the not for profit sector to support older persons.

Intensive Housing Management (IHM) funding is available to providers and covers support services including some services that HRS funds. The availability of this funding will be communicated to providers. In exceptional cases where there is evidence of likely significant detriment to an individual, or a likely demand on statutory services if HRS was not provided, the Council would be able to fund targeted visiting support on an ad hoc basis.

Current support to young people’s services includes floating support and a 6-unit service is designated for teenage parents. However the services delivered are similar services to the other services delivered by the provider and there is no expectation that the service will cease to be available.

Where there is evidence of a future increase in need for additional HRS support services the Council would consider enhanced targeted visiting support for service users. Evaluation of current usage and funding under the HRS service will enable appropriately priced contract Lots to be subject to the Tender process. The procurement process is not expected to impact on the availability of the units for this customer group

Stage 7: Sign off by Director/ Head of Service

Assessment completed by	Shawn Scott, Project Manager	Signature:	Date: 02/11/2018
Improvement action plan signed off by Director/ Head of Service	Steve Langley, Head of Housing	Signature:	Date: 02/11/2018

Equality Analysis

What are the proposals being assessed?	Proposed budget saving CH39 Extra Care Housing contracts
Which Department/ Division has the responsibility for this?	Community and Housing, Adult Social Care

Stage 1: Overview	
Name and job title of lead officer	John Morgan, Assistant Director of Adult Social Care
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	<p>The proposal was set out as part of the 2014 medium term savings plan for the department with a target of £450k. This was later reduced to a target of £100k following an assessment of the impact this would have on the services. Further work has been undertaken since then, including discussions with the two extra care housing providers and a refresh of the data regarding the social care eligibility of the residents of the two schemes and this found that higher proportion of residents have an eligible social care need that are met by this contract.</p> <p>As a result of that further work, it has been established that the original and revised targets are no longer attainable. The majority of the contract costs now relate to the delivery of eligible social care. The current contracts are also subject to re-procurement.</p> <p>The target has therefore been reduced to £57k. The changes will be targeted on contract efficiencies and non-statutory support hours; eligible social care needs will not be affected. Providers will seek alternative resources to provide this support. We will ensure that new specification requires providers to seek other support for residents. Impact will be reviewed as part of each service users annual review</p>
2. How does this contribute to the council's corporate priorities?	
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	The 66 residents of the two schemes (Pantiles House and Trellis House) of which 54 are Merton social care service users.
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	The two providers (subject to re-procurement)

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Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

The proposal is based on discussions with the two providers regarding what efficiencies could be achieved without affecting the care provided to eligible service users.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age		✓	✓		The schemes are for those aged 55+
Disability		✓	✓		The schemes support older people with disabilities
Gender Reassignment		✓		✓	
Marriage and Civil Partnership		✓		✓	
Pregnancy and Maternity		✓		✓	
Race		✓	✓		Majority of the customers are white however staff are trained to cater for all groups irrespective of their ethnic background. White (51); Black or Black British (8); Asian or Asian British (5) and Mixed (2)
Religion/ belief		✓	✓		The changes might support to attend religious events
Sex (Gender)		✓	✓		Facilities at both schemes are designed to cater for all customers irrespective of their gender. Staff are trained to support all genders however staff support of a specific gender is available if required as per the care plan or requested by a customer. Currently there are 43 females and 23 males.
Sexual orientation		✓		✓	
Socio-economic status		✓	✓		Those with lower incomes have less opportunity to seek their own support

7. If you have identified a negative impact, how do you plan to mitigate it?

The changes will be targeted on contract efficiencies and non-statutory support hours. Eligible social care will not be affected. Providers will seek alternative resources to provide this support. We will ensure that new specification requires providers to seek other support for residents. Impact will be reviewed as part of each service users annual review.

Stage 4: Conclusion of the Equality Analysis

8. Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

- Outcome 1** – The EA has not identified any potential for discrimination or negative impact and all opportunities to promote equality are being addressed. **No changes are required.**
- Outcome 2** – The EA has identified adjustments to remove negative impact or to better promote equality. **Actions you propose to take to do this should be included in the Action Plan.**
- Outcome 3** – The EA has identified some potential for negative impact or some missed opportunities to promote equality and it may not be possible to mitigate this fully. **If you propose to continue with proposals you must include the justification for this in Section 10 below, and include actions you propose to take to remove negative impact or to better promote equality in the Action Plan. You must ensure that your proposed action is in line with the PSED to have 'due regard' and you are advised to seek Legal Advice.**
- Outcome 4** – The EA shows actual or potential unlawful discrimination. **Stop and rethink your proposals.**

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Stage 5: Improvement Action Plan

9. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?
Service Users will have reduced access to support that is outside of their statutory care needs	Working with providers to identify alternative sources of support	Contract monitoring	March 2020	Existing	John Morgan	yes

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

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Stage 6: Reporting outcomes

10. Summary of the equality analysis

This section can also be used in your decision making reports (CMT/Cabinet/etc) but you must also attach the assessment to the report, or provide a hyperlink

This Equality Analysis has resulted in an Outcome 2 Assessment
The proposal will be achieved through contract efficiencies and reductions in support hours that are beyond the council's statutory duty to meet eligible need. These support needs can be met in other ways, such as contact with the voluntary sector and by accessing mainstream services.

Stage 7: Sign off by Director/ Head of Service

Assessment completed by	Richard Ellis, Interim Head of Strategy & Partnerships	Signature: Interim Head of Commissioning	Date: 31 10 18
Improvement action plan signed off by Director/ Head of Service	John Morgan, Assistant Director of Adult Social Care	Signature: John Morgan	Date: 31/10/18

Equality Analysis

What are the proposals being assessed?	CH55 –Promoting Independence
Which Department/ Division has the responsibility for this?	Community and Housing, Adult Social Care

Stage 1: Overview	
Name and job title of lead officer	John Morgan, Assistant Director Adult Social Care
<p>1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)</p> <p>Page 354</p>	<p>The aim of this proposal has been to support people to remain independent and well. To support them to achieve their desired outcomes by enabling them to remain in their own homes, close to their friends, families, support networks and local communities. This proposal has been achieved by a number of initiatives that help people maintain their wellbeing, to access early help and to recover when they become unwell or temporarily lose independence. There has also been an ongoing focus on supporting people to achieve their desired outcome to stay in their own homes and to reduce dependency on residential care.</p> <p>The work includes:</p> <ul style="list-style-type: none"> - Increased access to home care re-ablement for eligible residents on discharge from hospital, - Belter co-ordination around Reablement with our community health provider - improving assessment practice and support planning, - working with the voluntary sector to provide earlier interventions (eg Fresh Start project focussing on people with low level hoarding issues/ wellbeing grant programmes as part of the wider prevention agenda). - Re launching the Strategic Grants programme (in collaboration with the voluntary sector) <p>There was a small drop in the number of people supported with care packages by Adult Social Care between March 2017 and March 2018 from 2,941 to 2,861. The movement between years for each care group was: Older People -4.1%, Learning Disability +4.1%, Physical Disability no change, Mental Health +6.7%.</p> <p>Long stay nursing placements fell by 6%, long stay residential placements fell by 5.2% and actual home care hours increased by 1% (all between March 17 and March 18). The 2018/19 data will be added when available.</p> <p>The actions for this saving were taken during 2018/19. There is therefore a full year effect benefit in 2019/20. The saving shown for 2019/20 is this full-year effect not additional actions.</p>

2. How does this contribute to the council's corporate priorities?	The Adult Social Care Service plan and TOM contribute to the council's overall priorities and will ensure that the savings targets are achieved in line with the corporate Business Plan and the Medium Term Financial Strategy. It is also in line with the July principles, adopted in 2011 by councillors, which sets out guiding strategic priorities and principles, where the order of priority services should be to continue to provide everything which is statutory and maintain services, within limits, to the vulnerable and elderly, with the council being an enabler, working with partners to provide services.
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	Service users
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	Partnership working with health, the voluntary sector and social care providers.

Stage 2: Collecting evidence/ data

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What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

Consultation on this saving was undertaken in 2015. Overall a majority of respondents agreed with the councils approach to making the savings and also a focus on investing in prevention and recovery. However, the consultation also raised concerns about the savings being too much and the risk to potentially vulnerable people. There was less support for reviewing packages of care to seek savings, with 47% of respondents disagreeing or strongly disagreeing with this approach. Since then, the emphasis has changed from reviews to supporting people to recover independence and getting packages of care right at the beginning of care.

On an operational level the evidence considered has been to:

- looked at local information about trends, needs and best practice;
- reviewed national benchmarking information about our performance (Adult Social Care Outcomes Framework (ASCOF) and Personal Social Services Expenditure and Unit Costs) compared to other councils;
- considered the impact of pressures such as new legislation, demographic growth and Public Health Needs Assessments;

- reviewed and monitored contracted services to check if fit for purpose as well as negotiate rates to ensure value for money
- redesigned or remodelled the way we commission services to achieve better outcomes for customers in the most cost effective way;

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age		✓	✓		Needs might be met differently than the past or as expected
Disability		✓	✓		Needs might be met differently than the past or as expected
Gender Reassignment		✓		✓	N/A
Marriage and Civil Partnership		✓		✓	N/A
Pregnancy and Maternity		✓	✓		Needs might be met differently than the past or as expected
Race		✓	✓		Needs might be met differently than the past or as expected
Religion/ belief		✓		✓	N/A
Sex (Gender)		✓		✓	N/A
Sexual orientation		✓		✓	N/A
Socio-economic status		✓	✓		Needs might be met differently than the past or as expected

7. If you have identified a negative impact, how do you plan to mitigate it?

Decisions are made case by case and are reviewed by a team manager or a manager more senior than this. Statutory needs will be met in line with the Care Act 2014. Where support plans were funded by ILF, the shortfall in funding is made up from core budgets.

Support plans are reviewed annually.

Stage 4: Conclusion of the Equality Analysis

8. Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

- Outcome 1** – The EA has not identified any potential for discrimination or negative impact and all opportunities to promote equality are being addressed. **No changes are required.**
- Outcome 2** – The EA has identified adjustments to remove negative impact or to better promote equality. **Actions you propose to take to do this should be included in the Action Plan.**
- Outcome 3** – The EA has identified some potential for negative impact or some missed opportunities to promote equality and it may not be possible to mitigate this fully. **If you propose to continue with proposals you must include the justification for this in Section 10 below, and include actions you propose to take to remove negative impact or to better promote equality in the Action Plan. You must ensure that your proposed action is in line with the PSED to have ‘due regard’ and you are advised to seek Legal Advice.**
- Outcome 4** – The EA shows actual or potential unlawful discrimination. **Stop and rethink your proposals.**

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Stage 5: Improvement Action Plan

9. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?
Needs might be met differently than the past or as expected	Ensuring that assessments and support plans are effective and adequate through supervision and Outcome Forum scrutiny	Activity levels are monitored monthly and trends considered.	March 2020	existing	John Morgan	Yes
	Investment in the voluntary sector		March 2019	Existing		
Funding for former ILF clients is less than actual care costs and the funding is reducing each year	Since the closure of the ILF, the former clients needs have been met under the Care Act 2014. The shortfall in ILF funding is therefore made up from core placement budgets	Individual support plan reviews	Ongoing	Existing	John Morgan	n/a

Page 30 Stage 6: Reporting outcomes

30. Summary of the equality analysis

This section can also be used in your decision making reports (CMT/Cabinet/etc) but you must also attach the assessment to the report, or provide a hyperlink

This Equality Analysis has resulted in an Outcome 3 Assessment
<p>Service users, their families and carers may experience a different response to assessed need than they might expect. However, the support that is offered will be aimed at maximizing their independence.</p> <p>Support that does not meet statutory assessed needs may no longer be provided. They will be supported to understand any changes in their care. Older People are more likely to be affected as they are the majority of our service users.</p> <p>Assessment and Support Plans will be subject to senior manager scrutiny to ensure consistency and that statutory needs are met.</p> <p>The Placements budget is 80% of the services budget and therefore the reduction in resources will inevitably impact on the money available to meet care needs.</p>

Stage 7: Sign off by Director/ Head of Service

Assessment completed by	Richard Ellis, interim Head of C&H Strategy & Partnerships	Signature:RE	Date: 31/10/18
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Stage 7: Sign off by Director/ Head of Service

Improvement action plan signed off by Director/ Head of Service	John Morgan, Assistant Director Adult Services	Signature: JM	Date:31/10/18
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Equality Analysis

What are the proposals being assessed?	CH 72 To review all aspects of Community Transport in Merton
Which Department/ Division has the responsibility for this?	Community and Housing

Stage 1: Overview	
Name and job title of lead officer	Andy Ottaway-Searle, Head of Direct Provision
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria)	<p>We would like to review the quantity and type of Community Transport provided to people in Merton who receive services from Adult Social Care, and those who access activities as part of a preventative strategy. Our aim is to test that the amount spent on transport is actually required; as resources are constantly being tested we need to ensure that as much as possible of our budget is spent on actually providing care and support rather than ancillary services, of which the largest is transport. We are aware also that as services change over the next few years we will require a service which is flexible enough to support this. One aim of increasing community engagement for people with a disability is to increase the support provided to train people to travel independently. However we understand that there will always be a need for people to receive specialist transport in order to access certain activities necessary for their wellbeing, and for these people we need to ensure that their journeys are as short and comfortable as possible.</p> <p>We are determined also to reach a point where all partners and stakeholders agree on the most sustainable model going forward; there has been concern for some years as to how cost effective the current arrangements are. There is also a need to review how our voluntary sector partners receive support from Merton for activities such as Lunch Clubs, and to make this process transparent. Our view is that if after robust examination the model is not altered much, then that will achieve reassurance for those involved in supported transport in Merton.</p>
2. How does this contribute to the council's corporate priorities?	<p>The Adult Social Care Plan and Target Operating Model contribute to the Council's overall priorities and will ensure that the savings targets are achieved in line with the Corporate Business Plan and the Medium Term Financial Strategy. It is also in line with the July principles, adopted in 2011 by councillors, which sets out guiding strategic priorities and principles, where the order of priority services should be to continue to provide everything which is statutory and maintain services, within limits, to the vulnerable and elderly. It is part of a wider review of the Learning disability offer as set out in the refreshed TOM.</p> <p>Merton is also working towards implementing a suite of policies which will improve air quality in the borough.</p>
3. Who will be affected by this proposal? For example who are the external/internal customers,	<p>Service users and their families, potentially staff in Environment and Regeneration and Direct Provision, and colleagues in Voluntary sector organisations. We are mindful also of how operations in Children's Schools and Families would be impacted by major changes to arrangements in ASC, and will work closely with</p>

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<p>communities, partners, stakeholders, the workforce etc.</p>	<p>them. All people who use services and their families will be included in the review of transport. If specific changes are proposed after the review we will consult specifically with those involved. It is not our intention to prevent individuals from attending agreed activities in the community, but we may end up using different methods to achieve this. For example people might have a lift from a volunteer to get to their lunch club rather than be collected by a Council minibus. We are aware that changes to people's daily lives can be upsetting and will ensure that people are supported through this.</p>
<p>4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?</p>	<p>As stated, all Council departments will be involved, and the review will be led by E&R, who will commission independent experts to oversee the process. When the review is complete a Corporate decision will be taken with regards to implementing the proposals.</p>

Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?
 Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

Community transport is currently provided to people with disabilities and older people in Merton. Specialist transport is also provided to children and young people with disabilities and special educational needs, and those might be affected if significant changes were proposed for Adult Services. These groups and their families, as well as staff involved in providing transport would be most affected by changes. Consultation will take place throughout the review and as and when specific proposals are made, consultation will take place with those directly affected.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age	x		x		We are seeking to ensure that transport arrangements are the most suitable, cost effective and sustainable which should be of benefit to all
Disability	x		x		

					service users. However some individuals might have changed arrangements, and we know that discussing changes to daily arrangements causes concern and worry to people. They will be supported through this and through any subsequent changed arrangements. As above.
Gender Reassignment				X	
Marriage and Civil Partnership				X	
Pregnancy and Maternity				X	
Race				X	
Religion/ belief				X	
Sex (Gender)				X	
Sexual orientation				X	
Socio-economic status				X	

7. If you have identified a negative impact, how do you plan to mitigate it?

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 We will work closely with service users and their families to minimise any negative impact. Any changes proposed will be worked through with staff members who are familiar to the people concerned. We are not proposing changes which will leave people unable to attend their usual activities, but may well come up with alternative means to get there.

Stage 4: Conclusion of the Equality Analysis

8. Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

- Outcome 1** – The EA has not identified any potential for discrimination or negative impact and all opportunities to promote equality are being addressed. **No changes are required.**
- Outcome 2** – The EA has identified adjustments to remove negative impact or to better promote equality. **Actions you propose to take to do this should be included in the Action Plan.**
- Outcome 3** – The EA has identified some potential for negative impact or some missed opportunities to promote equality and it may not be possible to mitigate this fully.
- Outcome 4** – The EA shows actual or potential unlawful discrimination. **Stop and rethink your proposals.**

Stage 5: Improvement Action Plan

9. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?
Service users and families can be upset and anxious when changes to their daily arrangements are suggested.	Consultation to be carried out on specific proposals in plenty of time and by staff or agencies who are familiar to the people concerned. We are not proposing measures which will prevent people attending activities, but may suggest alternative means of travel.	By implementing any changes successfully with no changes to the individual's activities.	The review will begin in 2019 and proposals worked through from late 2019/20	External consultant/ group	Andy Ottawa y-Searle	Yes

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Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 6: Reporting outcomes

10. Summary of the equality analysis

This section can also be used in your decision making reports (CMT/Cabinet/etc) but you must also attach the assessment to the report, or provide a hyperlink

This Equality Analysis has resulted in an Outcome [2](#) Assessment

The proposal is for a review of the transport arrangements to seek a more financially and environmentally more sustainable solution. We do not

know at this stage what changes that review will propose. However, we recognise that change, whether actual or prospective, can create anxiety. Those who are most vulnerable and/or who might face change will need to be supported through the process once the options become clear. At that point, this assessment will need to be re-visited.

Stage 7: Sign off by Director/ Head of Service			
Assessment completed by	Andy Ottaway-Searle – Head of Direct Provision	Signature: AOS	Date: 5/11/18
Improvement action plan signed off by Director/ Head of Service	Andy Ottaway-Searle – Head of Direct Provision	Signature: AOS	Date: 5/11/18

What are the proposals being assessed?	CH85 – Review of external Woodland Day Care Contract
Which Department/ Division has the responsibility for this?	Community and Housing, Adult Social Care

Stage 1: Overview

Name and job title of lead officer	John Morgan, Assistant Director of Adult Social Care
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<p>1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)</p>	<p>Less people are choosing to attend formal day centre provision and are instead opting to attend community and Voluntary sector activities. Merton has a vibrant voluntary and community sector and there are currently 20 Lunch-social clubs/cafes throughout the borough providing a service for older people from different minority ethnic backgrounds. Over 765 meals (which includes social activities) are provided per week and they are hugely popular and well attended. There is also substantial capacity within these lunch-clubs to provide further places and there is capacity for 1100 meals per week.</p> <p>For Older people the borough also has 1 internal day provision and contracts extra capacity within woodlands day centre. As less people are choosing to attend these formal day centre The proposal is to change the contracting mechanism, by negotiation, with Central and Cecil the current external provider of contracted day care provision for older people in Merton.</p> <p>The original contract of 50 places per day was reduced to 40 over 12 months ago based on reducing demand for the services at that time. There has been further reduction in the demand for this service with an average of 22 individuals now attending on any day and a peak of 26 places on one day in the week and we are still contracting for 40 places. At the same time the Council also provides an 'in house' day service at Eastway which is not running to full capacity. This service has seen a similar trend in demand for this type of service with reducing demand, however it does still provide a viable service and would be able to accommodate future clients if demand were to moderately increase for this type of provision.</p> <p>The proposal is to effectively contract with the incumbent provider, Central and Cecil, for a maximum of 30 places per day of external day care provision. This reduces the volume of placements available but does not impact on individuals already accessing the service. The proposal will reduce the costs to adult social care budgets, whilst continuing to make best use of both existing day service resources.</p>
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2. How does this contribute to the council's corporate priorities?	Efficient use of resources
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3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	Indirectly people who need social care in the community and who choose to have their needs met through centre based day care provision. These will exclusively be older people as this is the group of people the service support. There will be no direct effect on people who currently use the services as there is no proposed change to their individual provision and there is no partial closure or change of days required. The incumbent provider Central and Cecil will be impacted through a loss of income/reduction of contractual
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	amount. At this time there is no indication of whether staffing changes will be required.
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	The responsibility is shared between ASC as the commissioner and Central and Cecil as the service provider ASC also has the wider commissioning responsibilities for Market Shaping and as such the fact that Central and Cecil are currently in a process of selling the building from which this service operates, means that we must be mindful that the long term continuation of the service is not secured. Any new owner/occupier of the building may not wish to run a day service from the building.

Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

Page 366	<ul style="list-style-type: none"> • Demand and utilisation of day services data . • Monitoring information and survey of voluntary sector data. • Contractual monitoring of the day service provision • Current utilisation profile and characteristics of customers using the service • Recognition of the alternative support and provision available in communities and evidence base that older people are accessing alternative day services or making use of Direct Payments to meet needs • Demographic profile for Merton using the Merton Story.
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Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age			✓		The proposal is centred on one contract for day care provision, this provision currently caters for older people. Due, predominantly to the ageing process, there is rationale that people may also identify with the protected characteristic of disability.
Disability			✓		
Gender Reassignment				✓	
Marriage and Civil				✓	

Partnership					The proposal is for a reduction in capacity in the external market, however we predict there are suitable available alternatives for people who may in future have chosen this type of service provision. The current users of this service will experience no change in what they access.
Pregnancy and Maternity				✓	
Race				✓	
Religion/ belief				✓	
Sex (Gender)				✓	
Sexual orientation				✓	
Socio-economic status				✓	

7. If you have identified a negative impact, how do you plan to mitigate it?

Continuing to shape the market to provide alternative day time activity and services to older people to mitigate any reduction in formal day centre type services. This is in line with demand trend currently. Conduct a further analysis of day care in the older people's sector to commission based on future plans and evidence/demand for the services.

Stage 4: Conclusion of the Equality Analysis

8. Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

- Page 367
- Outcome 1** – The EA has not identified any potential for discrimination or negative impact and all opportunities to promote equality are being addressed. **No changes are required.**
- Outcome 2** – The EA has identified adjustments to remove negative impact or to better promote equality. **Actions you propose to take to do this should be included in the Action Plan.**
- Outcome 3** – The EA has identified some potential for negative impact or some missed opportunities to promote equality and it may not be possible to mitigate this fully. **If you propose to continue with proposals you must include the justification for this in Section 10 below, and include actions you propose to take to remove negative impact or to better promote equality in the Action Plan. You must ensure that your proposed action is in line with the PSED to have 'due regard' and you are advised to seek Legal Advice.**
- Outcome 4** – The EA shows actual or potential unlawful discrimination. **Stop and rethink your proposals.**

Stage 5: Improvement Action Plan**9. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact**

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?
Day service users may see a change in how their needs are met	The project will ensure that there are sufficient places for those currently accessing day services.	Monitoring of the project	March 2020	Existing	Phil Howell	yes

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Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 6: Reporting outcomes**10. Summary of the equality analysis**

This section can also be used in your decision making reports (CMT/Cabinet/etc) but you must also attach the assessment to the report, or provide a hyperlink

This Equality Analysis has resulted in an Outcome [2](#) Assessment

The proposal may change how we meet day opportunity needs for older people. This proposal will not affect current users of the Woodlands day service.

There is sufficient capacity to meet current day care demand. Alternative day opportunities may require development and investment.

Stage 7: Sign off by Director/ Head of Service

Stage 7: Sign off by Director/ Head of Service			
Assessment completed by	Phil Howell, Interim Head of ASC	Signature: PH	Date: 23 Oct. 18
Improvement action plan signed off by Director/ Head of Service	John Morgan, Assistant Director of Adult Social Care	Signature: John Morgan	Date: 23/10/18

Equality Analysis

What are the proposals being assessed?	Proposed budget saving CH86 Winter pressures, increased capacity for short term placements
Which Department/ Division has the responsibility for this?	Community and Housing, Adult Social Care

Stage 1: Overview	
Name and job title of lead officer	John Morgan, Assistant Director of Adult Social Care
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	<p>Nationally and locally, the winter period sees a spike in demand for support packages in adult social care, in part due to the impact of colder weather, but also because of the impact of pressures within hospitals to admit and discharge higher numbers of people. This spike in demand also adds pressure to the home care market at a time when many carers are taking holidays during the festive period. Sometimes people are also medically ready for discharge from hospital but need further time to recuperate and it is not in their best interests from them to remain in hospital for them to regain their strength. If they are discharged and have not fully regained their strength this can also lead to the need for a larger care package and a lost chance for the resident to regain their lost skills and abilities.</p> <p>The proposal is to reduce the long-term pressures that arise from winter peaks in activity and provide a period of recuperation for some residents in residential or nursing care as well as utilize this service to prevent admission to hospital if needed.</p> <p>We will action this proposal by utilizing the winter planning direct grant to purchase up to 15 residential/nursing beds for a short period over the winter period. Following this period of recuperation residents can be transferred home when they are more well and better able to cope with an appropriate level of support in their homes.</p>
2. How does this contribute to the council's corporate priorities?	HWB Strategy Living Well and Ageing Well
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	The proposal is to purchase up to 15 residential/nursing beds for a short period over the winter period This will allow adult social care the ability to properly assess potential for recovery and to meet those needs in the community and prepare people to return It will prevent delays to discharge or admission due to lack of home care capacity, and thus reduce the risk of deterioration.

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4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	ASC will take the lead, but will work with acute and community hospitals, the voluntary sector and social care providers.
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Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

The proposal is in line with the strategic direction of the Merton Health & Care Together partnership and the local winter plan.

Stage 3: Assessing impact and analysis

From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age	✓		✓		The proposal aims to deliver better outcomes which will reduce long term cost pressures on social care budgets. Service users may be asked to be discharged from hospital into a short term residential or nursing care bed, rather than go straight home. These will predominantly be older people and/or people with disabilities.
Disability	✓		✓		
Gender Reassignment	✓			✓	
Marriage and Civil Partnership	✓			✓	
Pregnancy and Maternity	✓			✓	
Race	✓			✓	
Religion/ belief	✓			✓	
Sex (Gender)	✓			✓	
Sexual orientation	✓			✓	
Socio-economic status	✓			✓	

7. If you have identified a negative impact, how do you plan to mitigate it?

Decisions will be made with individuals and their families. For those that lack capacity, the provisions of the Mental Capacity Act will govern decision making. The choice policies of each hospital will be enacted.

Stage 4: Conclusion of the Equality Analysis

8. Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

- Outcome 1** – The EA has not identified any potential for discrimination or negative impact and all opportunities to promote equality are being addressed. **No changes are required.**
- Outcome 2** – The EA has identified adjustments to remove negative impact or to better promote equality. **Actions you propose to take to do this should be included in the Action Plan.**
- Outcome 3** – The EA has identified some potential for negative impact or some missed opportunities to promote equality and it may not be possible to mitigate this fully. **If you propose to continue with proposals you must include the justification for this in Section 10 below, and include actions you propose to take to remove negative impact or to better promote equality in the Action Plan. You must ensure that your proposed action is in line with the PSED to have ‘due regard’ and you are advised to seek Legal Advice.**
- Outcome 4** – The EA shows actual or potential unlawful discrimination. **Stop and rethink your proposals.**

Stage 5: Improvement Action Pan

9. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?
People may be asked to be discharged into a short term nursing or residential care bed rather than go straight home, which might be their preference	Decisions will be made with individuals and their families.	DToC performance statistics	May 2019	From winter planning grant	John Morgan	Winter plan
	For those that lack capacity, the provisions of the Mental Capacity Act will govern decision making. The choice policies of each hospital will be enacted.					
	Agree consistent messages with hospital trusts	Through ECDG	Dec 2018	Existing	Phil Howell	

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Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 6: Reporting outcomes

10. Summary of the equality analysis

This section can also be used in your decision making reports (CMT/Cabinet/etc) but you must also attach the assessment to the report, or provide a hyperlink

This Equality Analysis has resulted in an Outcome [2](#) Assessment

The aim of the proposal is to make a positive difference to people's wellbeing and independence. However, the option to recuperate in a residential or nursing home after discharge before going home may differ from people's expectations. Some people may fear that it will be more than short term but the choice will be theirs if they want to accept this offer or not. These risks can be mitigated by coherent and consistent communication by partners and working with each individual and their families to explain the options and benefits.

Stage 7: Sign off by Director/ Head of Service			
Assessment completed by	Richard Ellis, Interim Head of Commissioning	Signature: Interim Head of Commissioning	Date: 22 Oct. 18
Improvement action plan signed off by Director/ Head of Service	John Morgan, Assistant Director of Adult Social Care	Signature: John Morgan	Date: 22/10/18

Equality Analysis



What are the proposals being assessed?	Proposed budget saving CH88 - Home Care Monitoring System
Which Department/ Division has the responsibility for this?	Community and Housing, Adult Social Care

Stage 1: Overview	
Name and job title of lead officer	John Morgan, Assistant Director of Adult Social Care
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	<p>The aim of this proposal is to roll out a home care monitoring system for all home care providers to ensure that we can monitor the delivery of home care visits. This monitoring will enable us to check on a regular basis if the customers commissioned care hours are met in line with the agreed support plans as well as improve the reliability of the service. We also aim to ensure that we only pay for visits that are carried out and do not over pay for shortened or missed visits.</p> <p>Merton already uses a home care monitoring system called CM2000, and we have plans to re-commission a system. The current system is only currently used by some of our home care providers. We have and aim to re-procure this system in line with procurement regulations, some providers are now utilising this system and we aim to implement the system for the majority of home care providers when the new system is in place.</p> <p>The primary aim is to provide a monitoring tool for home care visits to ensure that residents receive their assessed care hours to ensure that their care package and agreed outcomes are met A secondary benefit, however, is that the council will save money by not paying for missed or significantly shortened visits.</p> <p>With the fragility of the home care market, it is important that we have the tools to provide assurance about the delivery of care to vulnerable residents.</p>
2. How does this contribute to the council's corporate priorities?	It is consistent with the departmental TOM and the council's drive for efficiency
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	The main impact is on home care providers that we contract with, who will have to use the system procured. Service users may see a small impact in that we may require access to their landline for the care worker to make call a Freephone telephone number, or to install a tag or sensor at their front door, depending on the system procured. The main impact for the residents is that they will receive the agreed support package and that their agreed outcomes will be met.
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	Contracted Home Care providers. Provider of the chosen monitoring system.

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Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

The council has operated a home care monitoring system for over a decade and therefore has good knowledge of the benefits and impacts.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age	✓			✓	The proposal should improve the reliability of home care visits and the settlement of complaints regarding missed or late calls. Whatever system is deployed will make allowance for those service users. without landlines, object to their use, or do not wish to cooperate with the solution chosen.
Disability	✓			✓	
Gender Reassignment	✓			✓	
Marriage and Civil Partnership		✓		✓	
Pregnancy and Maternity		✓		✓	
Race		✓		✓	
Religion/ belief		✓		✓	
Sex (Gender)		✓		✓	
Sexual orientation		✓		✓	
Socio-economic status		✓		✓	

7. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

Negative impact / gap in information identified in the Equality Analysis	There will be minimal impact of service users and their families. The main impact will be the use of their landline for Freephone calls or attached of a tag to their door/hallway etc depending on the technological solution procured.
Action required to mitigate	The implementation will respect the choices of individual service users who may not like the solution chosen
How will you know this is achieved? e.g. performance measure / target	
By when	March 2021
Existing or additional resources?	N/A
Lead Officer	Phil Howell, Head of Older People & Disabilities
Action added to divisional / team plan?	To include in 2019/20 and 2020/21 service plans.

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 4: Conclusion of the Equality Analysis

8. Which of the following statements best describe the outcome of the EA (Tick one box only)

OUTCOME 1

The EA has not identified any potential for discrimination or negative impact and all opportunities to promote equality are being addressed. No changes are required.

OUTCOME 2

The EA has identified adjustments to remove negative impact or to better promote equality. Actions you propose to take to do this should be included in the Action Plan.

OUTCOME 3

The EA has identified some potential for negative impact or some missed opportunities to promote equality and it may not be possible to mitigate this fully.

OUTCOME 4

The EA shows actual or potential unlawful discrimination. Stop and rethink your proposals.

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Stage 5: Sign off by Director/ Head of Service

Assessment completed by	Richard Ellis, Interim Head of Commissioning	Signature: Interim Head of Commissioning	Date: 22 Oct. 18
Improvement action plan signed off by Director/ Head of Service	John Morgan, Assistant Director of Adult Social Care	Signature: John Morgan	Date: 22/10/18

Equality Analysis

What are the proposals being assessed?	CH89 Older People’s Community Activities
Which Department/ Division has the responsibility for this?	Community & Housing

Stage 1: Overview	
Name and job title of lead officer	John Morgan
<p>1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)</p> <p>Page 379</p>	<p>Less people are choosing to attend formal day centre provision and are instead opting to attend community and Voluntary sector activities. Merton has a vibrant voluntary and community sector and there are currently 20 Lunch-social clubs/cafes throughout the borough providing a service for older people from different minority ethnic backgrounds. Over 765 meals (which includes social activities) are provided per week in these schemes and they are hugely popular and well attended. There is also substantial capacity within these lunch-clubs to provide further places and there is capacity for 1100 meals per week.</p> <p>For Older people the borough also has 1 internal day provision and contracts extra capacity within woodlands day centre. As less people are choosing to attend these formal day centre we currently having increasingly vacancies within these provisions which are not been utilised. he proposal seeks to assess and analyse the demand and supply of activity aimed at supporting older people to access community activity. This will objectively look at the supply of building based and non-building based activity, its utilisation and the limitations on providing what people expect and need within the current model. It will provide the department with the rationale, future demand profile and capacity requirements future commissioning intentions of both external and in-house building based provision. It will also provide detail on which a ‘Community Activity Market Position Statement can be produced. This aims to provide interested parties and organisation with the information on which they can build their business planning.</p> <p>It is envisaged that this will include a rationalisation and reduction of the current level of building based ‘day centre’ activity. This is based on current demand statistics and will include consideration of the effect of 2018/19 reductions in contracted day centre services; which is covered in a separate EIA for that specific proposal.</p>
2. How does this contribute to the council’s corporate priorities?	<p>This proposal supports the corporate objectives of improving sustainability and improving effectiveness and also increased independence for residents. Based on the current demographic and demand trends it is clear that older people, in the majority, do not use building based day centres to engage in meaningful daytime activity. However, there is evidence of growing trends in use of alternative community, building based, spaces such as libraries. It is important to ensure the needs of vulnerable older people are met whilst ensuring that people are able to and encouraged to engage in activity in their local community. The local authority and more specifically Adult Social Care has a responsibility for market shaping under the</p>

	<p>Care Act 2014 and as such our commissioning and market development should reflect trends in demand for a range of provision.</p>
<p>3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.</p> <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 380</p>	<p>Predominantly this proposal will broadly affect older people (people aged 65+) living in the borough. This population is set to grow over the next 10-15 years. The majority of older people will not be affected as they are unlikely to need or choose day care. The impact will be on those that might choose this option but as shown above Merton has a vibrant voluntary provision currently in place.</p> <p>This may impact or affect people in terms of the range and choice of available community activity at the point they wish to engage with these services. More specifically the proposal will affect, directly, the individuals who currently use building based day centre activities, either provided by the local authority or a third party supplier.</p> <p>Currently the number of users who attend:</p> <p style="padding-left: 40px;">Eastways (internal day centre) is 30 spaces per day and there are 20 places been used on average per day</p> <p style="padding-left: 40px;">Woodlands (external commissioned day centre) is 23 but we are funding 40 places and the excess is not utilised</p> <p>This proposal will also, to varying degrees, directly and indirectly impact on carers of individuals who access day services or access community facilities for part of their day, which in turn provide carers with a break from their caring role.</p> <p>(Does not look like this needs to be here??)</p>
<p>4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?</p>	<p>The lead is Community & Housing, Adult Social Care. However, the proposal has shared responsibility for mitigation with the voluntary and community sector as well as culture, leisure and library services.</p>

Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

- Demand and utilization data for both internal and external building based day centre services
- Evidence, demand and utilization of alternative community provision use
- Data relating to 'self-funding' clients of current provision/activities; though this is acknowledged a significant gap in respect of detailed data
- Demographic information and trend analysis, specifically around older people, dementia, age related disability
- Range and availability of voluntary and community organisation led day activities in the borough

The evidence and data suggests that the proportion of older people who use formal day services in the borough is relatively small and expected to be a smaller proportion over time. Where individuals use formal services their use is repeat use within a week/month rather than one off attendance. Therefore, the assumption is that proposals will affect a small number of people but across a number of days in any given week. The evidence (predominantly anecdotal) suggests that formal day services have a role in sustaining the ability of carers to continue in their caring role. There is also some supplementary 'soft' evidence that use of day services delays, reduces or in some cases avoids the need for further formal service intervention, for example a package of domiciliary care or change of accommodation and support for individuals.

There is counter evidence that the demand trend for formal day services has reduced dramatically in recent years, of which some could be down to the inflexibility of service provision to accommodate people around the times of day, days of the week and weekends and that more people have exercised choice and control in finding alternatives to traditional 'formal' day services.

The evidence would suggest the impact is limited to age predominantly, there is no clear evidence that the impact is disproportionate to other protected characteristics though disability, gender and socio-economic status will be key considerations in the mitigation.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age					The services focus is on adults over the age of 65. The negative impact is the potential change to current make up and provision of service in regard to dedicated building based day centre services. However, the positive impact (and negative impact mitigation) is that market shaping will be in keeping with expectation and build on demonstrable demand trends for alternative community based day activities and Merton already has in place a vibrant and well utilised voluntary sector provision which has capacity to increase its current numbers.
Disability					There will be some association with age related disability, cognitive impairment and disability in general for a number of people directly affected. On this basis the same rationale as above is identified
Gender Reassignment					
Marriage and Civil Partnership					
Pregnancy and Maternity					
Race					
Religion/ belief					
Sex (Gender)					We will review fully the current user profile and establish the proportions/split of and impact on male and female users of services. Equally consideration of the gender of carers will be taken into account wherever possible
Sexual orientation					
Socio-economic status					We will include consideration of the socio-economic status of individuals directly affected, for example the proportion of people who contribute to the cost of their care, those who self fund and those who are nil contribution. This is relevant to the means testing and financial assessment of contributions. It may also be possible to understand wider factors such as home ownership status.

7. If you have identified a negative impact, how do you plan to mitigate it?

Commissioning intentions and decisions will take into account views of individuals who currently use services, potential future users of day activity services and a wider range of stakeholders, including providers. The intention is to use this engagement alongside financial and utilisation data and trends to develop a range of community based provisions that continue to meet the core needs of people who currently use services.

In rationalising buildings based services it is not to say they will not exist. This proposal is more about ensuring we have sufficiency of supply of the right type of activities and providers of day activities generally in order to match that supply with anticipated future demand.

The mitigation will be to support providers to develop activity and events that cater for individual needs within local communities and that wherever possible older people in the borough are able to access and enjoy ordinary community facilities to support their independence, social support and benefit their health and wellbeing

Stage 4: Conclusion of the Equality Analysis

8. Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

Outcome 1 – The EA has not identified any potential for discrimination or negative impact and all opportunities to promote equality are being addressed. **No changes are required.**

Outcome 2 – The EA has identified adjustments to remove negative impact or to better promote equality. **Actions you propose to take to do this should be included in the Action Plan.**

Outcome 3 – The EA has identified some potential for negative impact or some missed opportunities to promote equality and it may not be possible to mitigate this fully. **If you propose to continue with proposals you must include the justification for this in Section 10 below, and include actions you propose to take to remove negative impact or to better promote equality in the Action Plan. You must ensure that your proposed action is in line with the PSED to have 'due regard' and you are advised to seek Legal Advice.**

Outcome 4 – The EA shows actual or potential unlawful discrimination. **Stop and rethink your proposals.**

Stage 5: Improvement Action Pan

9. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?
People's day activities needs may be met differently	Liaise with direct provision and external providers to ascertain the numbers of self-funding clients services support	We will have obtained clear data on self-funders	Feb 2019	existing	PH	NO
	Research day activity options		Sept 2019			
	Consult on the options		Sept 2019			


Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 6: Reporting outcomes

10. Summary of the equality analysis

This section can also be used in your decision making reports (CMT/Cabinet/etc) but you must also attach the assessment to the report, or provide a hyperlink

This Equality Analysis has resulted in an Outcome 2 Assessment
<ul style="list-style-type: none"> The proposal affects older people and their carers as current users or beneficiaries of day activity. There is some identified potential negative impact, though the proposal also identifies potential positive impact on the same characteristics given this is aimed at providing day activities in ways which meet with expectations and the likely demand trends Mitigation will include engagement with a range of stakeholders to help inform commissioning and market shaping. This engagement will support the intent that people should be able to engage in activities in their community that provide the leisure, learning or social opportunities and provide the opportunity for carers to continue to take short breaks from the caring role

Stage 7: Sign off by Director/ Head of Service			
Assessment completed by	Phil Howell Interim Head of Adult Social Care – Operations & Commissioning	Signature: 	Date: 5 th November 2018
Improvement action plan signed off by Director/ Head of Service	Add name/ job title	Signature:	Date:

Equality Analysis

What are the proposals being assessed?	CH90 Out of Area Placements
Which Department/ Division has the responsibility for this?	Community and Housing, Adult Social Care

Stage 1: Overview

Name and job title of lead officer	John Morgan, Assistant Director of Adult Social Care
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria c) Page 386	<p>The aim of this proposal is to reduce the council’s dependency on Out of Area placements for adults with mental ill health and/or learning disabilities. An ‘Out of Area’ placement is defined as not being in or near Merton.</p> <p>Given the size of the borough, some placements in neighbouring boroughs is inevitable. This is around the complexity of some of the residents who we work with. However, at present we are not supporting enough people to remain close to their families, friends and familiar neighbourhoods because there are insufficient suitable housing options in the borough for those people that need support and care to live independently.</p> <p>At present only 13% of the mental health residential care bed capacity in Merton is utilised by Merton residents. The rest are used by other authorities. 4 out of the 6 registered MH homes had no London placements. 73% of residential MH placements are out of borough. This suggests that local provision does not meet local need. More work is require on supported living placements (we are awaiting the benchmarking data), but a similar dependency on out of borough placements is expected. Out of borough placements can be appropriate, eg where a specialist placement is needed, but the level suggest that we are not currently offering a local choice. This puts people at a distance from family and support networks. It also makes it more difficult to sustain professional social work support and to ensure that people are supported to regain independence.</p> <p>We are working with South London Mental Health Partnership. By working with this partnership across South London, we believe that there is an opportunity to improve outcomes for mental health service users at less cost. This will be achieved by better commissioning and market management, as well as ensuring that people are in the least restrictive setting that supports their needs. Less restrictive and more independent settings cost less on average, although not necessarily in every case. The aims of the South London programme are to ensure that support is the most appropriate, least restrictive, close to home and based on clear outcomes. This approach is in line with the principles of the Adult Social Care Target Operating Model (TOM).</p>

Approximately 64% of Learning Disability residential placements are out of borough, with approx. 40% being out of London. Meanwhile, other local authorities make as many LD residential placements in Merton as we do. Approximately 40% of mental health placements are out of London, with approx. 23% in other London boroughs. Data in relation to supported living is subject to a current London wide exercise.

We will consult on options with service users, their families, care and housing providers to create new capacity and options in or near the borough; we want a local offer to be our first offer.

We will also consult on options to offer repatriation back to their Merton for those currently placed out of area where that is appropriate and desirable. In the case of adult mental health, we will work with service users and their families to review whether their needs can be met in a less restrictive, less institutionalised and more independent setting, providing further support where needed to help towards this objective.

Changes to the care and support of any individual will be subject to full discussion and consultation with them and, as appropriate, their family. The timing of any changes will be by agreement and following any necessary support to develop independent living skills.

The proposal is also about increasing the local offer for those transitioning into adulthood, with local housing with support and access to adult education, employment and volunteering opportunities.

Discussions have taken place with learning disability and housing providers along with the voluntary sector. There is an opportunity in relation to people with learning disabilities to work with the sub-regional Transforming Care Partnership and the CCG to try to align health and care commissioning and market development activities.

2. How does this contribute to the council's corporate priorities?

The approach of the South London Mental Health Complex Care programme is aligned with the councils' aim to live well and age well, maximising their independence and wellbeing.

The Adult Social Care Service plan and TOM contribute to the council's overall priorities and will ensure that the savings targets are achieved in line with the corporate Business Plan and the Medium Term Financial Strategy. It is also in line with the July principles, adopted in 2011 by councillors, which sets out guiding strategic priorities and principles, where the order of priority services should be to continue to provide everything which is statutory and maintain services, within limits, to the vulnerable and elderly, with the council being an enabler, working with partners to provide services.

3. Who will be affected by this proposal? For example who are

Mental Health and Learning Disability staff, service users and their families, providers and the voluntary sector.

the external/internal customers, communities, partners, stakeholders, the workforce etc.	
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	South London & St George's Mental Health Trust. South London Mental Health Partnership and its Complex Care Programme. South West London Transforming Care partnership Wandsworth & Merton Clinical Commissioning Group

Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

- The proposal has been based on benchmarking of London wide commissioning of residential care beds carried out of behalf of London ADASS by Care Analytics Ltd.
- It is also based on a review of health investment in mental health, a local review of integrated arrangements with SWLStG MHT and the early findings of the South London MH Partnership Complex Care Programme.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age	✓		✓		The proposals are aimed at improving outcomes for individual users of, particularly those in residential and supported living placements. The work will aim to offer care nearer to their home borough of Merton and to improve their levels of independence and reduce restrictions on their daily lives. However, it also has to be recognised that some may find change difficult and that in some cases it might require a change in where they live.
Disability	✓		✓		
Gender Reassignment	✓		✓		
Marriage and Civil Partnership	✓		✓		
Pregnancy and Maternity	✓		✓		
Race	✓		✓		
Religion/ belief	✓		✓		
Sex (Gender)	✓		✓		
Sexual orientation	✓		✓		
Socio-economic status	✓		✓		

7. If you have identified a negative impact, how do you plan to mitigate it?

Service users may receive a different response to their needs, and may be asked to change their location to a different setting that is closer to home, is less restrictive and is able to support them to be more independent. Some may have been in their current location for a number of years and may find the change difficult. The project will work at the level of each individual, assessing their capacity for greater independence. Key workers will support them to be part of decision making about their care and support, and they will be supported to make changes over time. In the most complex cases, change may take place over years, with several key steps along the way.

Stage 4: Conclusion of the Equality Analysis

8. Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

- Page 390
- Outcome 1** – The EA has not identified any potential for discrimination or negative impact and all opportunities to promote equality are being addressed. **No changes are required.**
- Outcome 2** – The EA has identified adjustments to remove negative impact or to better promote equality. **Actions you propose to take to do this should be included in the Action Plan.**
- Outcome 3** – The EA has identified some potential for negative impact or some missed opportunities to promote equality and it may not be possible to mitigate this fully. **If you propose to continue with proposals you must include the justification for this in Section 10 below, and include actions you propose to take to remove negative impact or to better promote equality in the Action Plan. You must ensure that your proposed action is in line with the PSED to have ‘due regard’ and you are advised to seek Legal Advice.**
- Outcome 4** – The EA shows actual or potential unlawful discrimination. **Stop and rethink your proposals.**

Stage 5: Improvement Action Plan

9. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?
Service users needs may be met differently and/or in a different location	Individuals will be supported to understand and to be involved in any change. Change will happen at the pace of each individual	Project monitoring at case level. Reviews at case level	March 2021	TBC	Richard Ellis	yes
	Options will be developed and consulted on as appropriate					

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 6: Reporting outcomes

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10. Summary of the equality analysis

This section can also be used in your decision making reports (CMT/Cabinet/etc) but you must also attach the assessment to the report, or provide a hyperlink

This Equality Analysis has resulted in an Outcome [2](#) Assessment

The project will result in changes for service users, potentially including moving accommodation in the case of some mental health service users. However, this can be managed as a positive experience that increases their independence and quality of life. The aim is to increase the local offer and thereby opportunities to live independently and remain close to family and friends.

Stage 7: Sign off by Director/ Head of Service

Assessment completed by	Richard Ellis, interim Head of Strategy & Partnerships	Signature: RE	Date:31/10/18
Improvement action plan signed off by Director/ Head of Service	Richard Ellis, interim Head of Strategy & Partnerships	Signature: RE	Date:31/10/18

Equality Analysis

What are the proposals being assessed?	CH91 Residential/Supported Living Review
Which Department/ Division has the responsibility for this?	Community and Housing

Stage 1: Overview	
Name and job title of lead officer	Andy Ottaway-Searle
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria)	<p>We are reviewing the in-house Residential and Supported Living accommodation currently used by Merton for people with a Learning Disability. Our aim is to ensure that we fully understand the needs and wishes of the people we support, and can provide and commission the most appropriate accommodation locally, working with a range of partners.</p> <p>There is a wider review of Learning Disability services which will overlap with this piece of work. One of the main aims of that work is to ensure that there is a wider range of living opportunities in and close to Merton, as currently the majority of such placements are out of borough. These placements can be expensive and are more difficult to monitor in terms of quality and outcomes.</p> <p>We are also aware that some of the residential provision, both in-house and commissioned, is based in properties which need investment and updating. There are people living in residential homes who could be living more independently with the right support.</p> <p>Residential homes will always be required, particularly for people with high support needs, and we will need to make sure that they are in good condition with scope for the necessary aids and adaptations.</p> <p>Increasingly though Merton, along with other local authorities, has developed Supported Living as the preferred option for disabled people. This model provides more independence and community integration for the individual, as well as giving them the security of a tenancy. There are usually cost advantages for the Council, as tenants claim Housing Benefits to pay their rent while Social Services pay for the support staff. We have also found that Housing Associations are more willing to develop this type of property than residential homes.</p> <p>The opportunity to move to a flat of one's own can be a great incentive especially for younger people who wish to live as independently as possible. Experience shows that these tenants increasingly develop their own networks of activities within the local community with support and guidance from staff and get to rely less on organised day care. We also need to provide for a group of older people who are currently living with elderly carers and will need support, often at very short notice when that person is no longer able to provide care.</p>
2. How does this contribute to the council's corporate priorities?	The Adult Social Care Service Plan and Target Operating Model contribute to the Council's overall priorities and will ensure that the savings targets required are achieved in line with the Corporate Business Plan and

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	<p>the Medium Term Financial Strategy. It is also in line with the July principles, adopted in 2011 by councillors, which sets out guiding strategic priorities and principles, where the order of priority services should be to continue to provide everything which is statutory and maintain services, within limits, to the vulnerable and elderly. It is part of a wider review of the Learning Disability offer as set out in the refreshed TOM, and fit's the Council's aim of working to provide a good local housing offer.</p>
<p>3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.</p>	<p>Service users and their families may be affected if we agree with partners that a specific home needs updating, or changes purpose from residential care to supported living. If that arises we will assess the impact and consult specifically with all those involved. No-one will be left without accommodation and we would expect all moves to be positive. However we recognise that changes to people's living arrangements are extremely sensitive and needed to be handled carefully. This will be an initial scoping of the subject, with more detailed work to follow.</p> <p>Residential and Supported Living providers will be involved in our review and subsequent planning and may change some properties and/or schemes following this.</p> <p>Staff at in-house residential and Supported Living sites might be affected if the review leads to a change of use on those sites. All staff will be consulted with and supported through any changes.</p>
<p>4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?</p>	<p>We will work with colleagues in Housing Needs and also in Environment and Regeneration as we look at developing new sites and possibly changing the use of existing sites.</p>

Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

We have gained evidence and experience from providing and commissioning a range of both residential and supported living services in Merton and beyond. We will be working with local and national housing providers, as well as partners in the voluntary sector who all specialise in supporting people with disabilities. A major part of the review will be consulting with people with disabilities and their families, both through existing fora such as the Learning Disability Partnership Board, carers groups and self advocacy groups.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age	x			x	As a result of the review we hope to seek a wider range of accommodation offers for older people in the L D group.
Disability	x			x	As above we are seeking a wider range of more independent units closer to Merton, whilst improving residential services for those who need this provision.
Gender Reassignment				x	
Marriage and Civil Partnership				x	
Pregnancy and Maternity				x	
Race				x	
Religion/ belief				x	
Sex (Gender)				x	
Sexual orientation				x	
Socio-economic status				x	

7. If you have identified a negative impact, how do you plan to mitigate it?

There will potentially be concern from some people and their families if plans are made to make changes to where they live. We will make any such changes carefully and will fully involve people in the planning.

Stage 4: Conclusion of the Equality Analysis

8. Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

- Outcome 1** – The EA has not identified any potential for discrimination or negative impact and all opportunities to promote equality are being addressed. **No changes are required.**
- Outcome 2** – The EA has identified adjustments to remove negative impact or to better promote equality. **Actions you propose to take to do this should be included in the Action Plan.**
- Outcome 3** – The EA has identified some potential for negative impact or some missed opportunities to promote equality and it may not be possible to mitigate this fully. **If you propose to continue with proposals you must include the justification for this in Section 10 below, and include actions you propose to take to remove negative impact or to better promote equality in the Action Plan. You must ensure that your proposed action is in line with the PSED to have 'due regard' and you are advised to seek Legal Advice.**
- Outcome 4** – The EA shows actual or potential unlawful discrimination. **Stop and rethink your proposals.**

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Stage 5: Improvement Action Pan

9. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?
Concern from individuals and carers to possible changes to their living arrangements.	Careful and well planned consultation, high quality alternative accommodation offers, ongoing support.	Successful moves to new properties or upgraded/improved living situation.	This work will begin in 2018/19 and go through to 2023	There might be some external specialist support brought in at points in the review.	Andy Ottawa y-Searle	Yes

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 6: Reporting outcomes

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10. Summary of the equality analysis

This section can also be used in your decision making reports (CMT/Cabinet/etc) but you must also attach the assessment to the report, or provide a hyperlink

This Equality Analysis has resulted in an Outcome [2](#) Assessment

The aim of the proposal is to promote better outcomes through promoting and developing independent living models. A better local offer would give people more options
We recognise, however, that people find change difficult. Therefore, there will be a focus on supporting people through transition into adulthood into local independent living.

Stage 7: Sign off by Director/ Head of Service

Assessment completed by	Andy Ottaway-Searle, Head of Direct Provision	Signature: AOS	Date: 1 October 2018
Improvement action plan signed off by Director/ Head of Service	Andy Ottaway-Searle, Head of Direct Provision	Signature: AOS	Date: 1 October 2018

Equality Analysis

What are the proposals being assessed?	Mobile Working (CH92)
Which Department/ Division has the responsibility for this?	Community & Housing

Stage 1: Overview	
Name and job title of lead officer	Phil Howell – interim Head of Adult Social Care
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	<p>The aim of the proposal is to increase efficiency and productivity within the directorate through enabling more mobile, remote and flexible working across our workforce.</p> <p>The objective is to build a capable network of workplaces that extend beyond the traditional office base of the Civic centre and make best use of technology, infrastructure, estates and working practices to promote and enable staff to carry out their work duties in the borough.</p> <p>The proposal may lead to more efficient use of estates, offices and desk space; a reduction in duplication of IT resources, productivity gains in respect of time spent on processes and the removal of ‘waste’ processes within working practices. Productivity gains will relate to increased efficiency of the workforce meaning either less staff resource is required to do the same level of work or the same levels of staff can increase the volume of work completed. This may lead to customers experiencing quicker, smarter and more efficiency services.</p>
2. How does this contribute to the council’s corporate priorities?	Improving efficiency and empowering the workforce. Improving the customer experience by reducing processing and waiting times and improving the timeliness of interventions.
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	<p>The workforce of Community & Housing directly.</p> <p>Indirectly the proposal will affect partners, internal and external customers and other stakeholders as they will benefit from the improved efficiency of the directorate.</p>
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	The lead is C&H though the development and enhancement of mobile and flexible working will rely on partnership and engagement with corporate resources in particular, ICT, Infrastructure and HR

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Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

HR Equality and Diversity data for C&H workforce is set out below:

		% ethnic minorities	% female	% disabled	16-24	25-39	40-49	50-64	65+
COMMUNITY & HOUSING	Adult Social Care	48.7%	86.7%	5.2%	1.8%	15.8%	27.3%	52.1%	3.0%
	Housing Services	45.5%	66.7%	4.4%	0.0%	8.3%	20.8%	70.8%	0.0%
	Libraries, Heritage and Adult Education Service	27.9%	72.7%	2.4%	6.8%	45.5%	20.5%	27.3%	0.0%
	Provider Services	45.7%	73.8%	4.8%	0.8%	17.5%	31.8%	46.0%	3.9%
	Public Health Team	36.4%	73.3%	0.0%	13.3%	26.7%	33.3%	26.7%	0.0%
COMMUNITY & HOUSING Total		44.1%	79.1%	4.4%	2.4%	19.6%	28.6%	46.8%	2.7%

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Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The general profile of the workforce is of older working age adults. The impact of mobile and flexible working can benefit quality of life and work life balance for workers of all ages. There is evidence to suggest, from implementation elsewhere, that it also contributes to more work and job

					satisfaction and empowerment across age groups.
Disability					Any mobile working policy and set up must consider the reasonable adjustments and workplace adaptations required to accommodate members of the workforce who have disabilities, physical or sensory impairments to ensure they are able to carry out their work the same as anyone else. The use of a wider range of ways of working will need to mitigate risk of disadvantage through such adaptations and adjustments
Gender Reassignment					
Marriage and Civil Partnership					
Pregnancy and Maternity					
Race					
Religion/ belief					
Sex (Gender)					The gender breakdown across the directorate as whole shows that 79.1% of the workforce is female. This suggests a ratio of 3:1. However, it is suggested there is no negative impact to consider against this characteristic
Sexual orientation					
Socio-economic status					The use of more mobile and flexible shows evidence that time spent travelling on public transport or in owner vehicles can significantly reduce and provides benefits in terms of the cost of coming to work. However, the workforce at the lower end of the directorate pay spectrum carry out roles which are often time dependent and in fixed locations and are 'customer facing', for example day centre staff. Staff in these roles may benefit less from a mobile and flexible working approach

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7. If you have identified a negative impact, how do you plan to mitigate it?

Put in place clear policies and guidelines. Audit all teams to understand capabilities and limitations on mobile working. Organise the infrastructure and ICT requirements against each team, and individually tailored solutions where required.

Put in place management approaches, policies and guidelines for managing through change and managing remote working.

Stage 4: Conclusion of the Equality Analysis

8. Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

- Outcome 1** – The EA has not identified any potential for discrimination or negative impact and all opportunities to promote equality are being addressed. **No changes are required.**
- Outcome 2** – The EA has identified adjustments to remove negative impact or to better promote equality. **Actions you propose to take to do this should be included in the Action Plan.**
- Outcome 3** – The EA has identified some potential for negative impact or some missed opportunities to promote equality and it may not be possible to mitigate this fully. **If you propose to continue with proposals you must include the justification for this in Section 10 below, and include actions you propose to take to remove negative impact or to better promote equality in the Action Plan. You must ensure that your proposed action is in line with the PSED to have ‘due regard’ and you are advised to seek Legal Advice.**
- Outcome 4** – The EA shows actual or potential unlawful discrimination. **Stop and rethink your proposals.**

Stage 5: Improvement Action Pan

9. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?
Audit the directorate to understand the opportunities and limitation on mobile and flexible working	Understanding which staff, functions and teams will least benefit from mobile working and ensure protected characteristics within this specific staff group are not overly disadvantaged	Clear understanding of which teams and staff will move to mobile working	Feb 2020	existing	PH	NO
Reasonable adjustment for workers with disabilities	Ensure the reasonable adjustments and adaptations required are in place across the mobile working arrangements, with specific regard to OH adaptations and policies in respect of lone and remote working	Clear policy and guidelines in place that include management guidance for supporting individuals with disabilities to adopt mobile working practices	Feb 2020	Existing and potential additional (through HR/ ICT/OH)	PH	YES

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.


Stage 6: Reporting outcomes**10. Summary of the equality analysis**

This section can also be used in your decision making reports (CMT/Cabinet/etc) but you must also attach the assessment to the report, or provide a hyperlink

This Equality Analysis has resulted in an Outcome [2](#) Assessment

- The proposal is aimed at having a significant positive impact on the workforce and those we interact with through our work
- The proposal aims to benefit the corporate agenda of improved efficiency, productivity and customer experience
- There is potential for some impact on protected characteristics though it is felt there is sufficient mitigation and actions taken to limit disproportionate affect.
- We recognize that not all solutions suit all staff.

Stage 7: Sign off by Director/ Head of Service

Page 402	Assessment completed by	Phil Howell Interim Head of Adult Social Care – Operations & Commissioning	Signature: 	Date: 8th November 2018
	Improvement action plan signed off by Director/ Head of Service	John Morgan Asst Director ASC	Signature: JM	Date: 15/11/18

Equality Analysis

What are the proposals being assessed?	CH93 - Learning Disability Offer
Which Department/ Division has the responsibility for this?	Community & Housing

Stage 1: Overview	
Name and job title of lead officer	John Morgan- Assistant Director- Adult Social Care.
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	<p>The proposal is to review of our offer to adults with Learning Disabilities (LD) to ensure that we can meet the needs of those transitioning into adulthood and those of current service users and their carers within the resources we expect to be available. This review will be conducted in consultation with service users, their families and carers.</p> <p>This review will look at the whole pathway of learning disability services from:</p> <ul style="list-style-type: none"> • Transition from Children’s services to adult social care including working with Children and parents earlier to prepare for transition • Using a Strengths Based Approach to social work where we see the person for what they are and what skills they have and work with them to achieve a more fulfilling life • New residents moving into Merton with an LD • The support offered by the Community Learning Disability Team • The range of care and support service for people to meet assessed needs (the LD offer), including activities, education and employment • Housing options ,including tenancies and shared lives • Building on the existing relationships with the voluntary sector, around pathways and networks • Access to health and wellbeing services aimed at prevention and early intervention <p>It will aim to support more residents of Merton with a learning disability to remain living independent lives within Merton close to friends, families and local support networks. We aim to ensure that when individuals do require support, this is available in the local community, reducing the need for out of borough placements.</p> <p>Savings will be achieved by reduced dependency on residential placements and out of area placements in residential and supported living care. Out of area placements tend to be more expensive and are more difficult to monitor. We do not plan to disturb established care and support packages if they are working successfully, but will continue to review on a person centred basis.</p>

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	<p>The overall aim of the review is to understand current and future needs relating to learning disability and plan the resources, pathways and services that meet those needs and the expectations of younger people transitioning into adulthood and the expectations of an ageing learning disability population.</p>
<p>2. How does this contribute to the council's corporate priorities?</p>	<p>This proposal supports the corporate objectives of improving sustainability and improving effectiveness. The local authority and more specifically Adult Social Care has a responsibility for market shaping under the Care Act 2014 and as such, our commissioning and market development should reflect trends in demand for a range of provision.</p> <p>This proposal is a long-term review of the learning disability offer in its entirety within Merton with the aim of ensuring people with a learning disability, living in the borough, can be independent and active participants in their community and have access to the same opportunities as others.</p>
<p>3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.</p> <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 404</p>	<p>This proposal will affect people with learning disabilities and their carers. Merton provides a package of care to 501 people with a learning disability. On 2016/17 there were 691 Merton residents 18+ who were registered with a Learning Disability with their GP. Not all have current interaction with Adult Social Care. Therefore it is assumed the review will directly and indirectly affect the learning disability as a whole, not just those who currently interact with formal statutory services.</p> <p>This proposal will also, to varying degrees, directly and indirectly impact on carers of individuals with learning disabilities, many of whom would qualify as protected under the characteristic of age. There are significant numbers of the current population of adults with a learning disability who are in their 40's and 50's and supported by elderly relatives and family carers. Equally the carers of younger adults and current children/young people who will transition to adulthood.</p> <p>The proposal will need the engagement and involvement of a range of stakeholders, these include;</p> <ul style="list-style-type: none"> • individuals with a learning disability • Family and carers • elected members • Service providers • Statutory services and partners • Local area committees • Housing, leisure, cultural services. • Merton CCG and SWLStG MH
<p>4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?</p>	<p>The lead is Community & Housing, Adult Social Care. However, the proposal has shared responsibility for mitigation with local health partners, the voluntary and community sector, service providers as well as culture, leisure and library services.</p>

Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

- Joint Strategic Needs Assessment, census and disability population profile sources of data.
- Current Mosaic Client Record Management information
- Continuing Healthcare and GP registration of LD population
- Current utilisation of the full range of services provided to people with a learning disability, including those who access Direct Payments, Personal Health Budgets.
- Merton local authority in-house provision, detailed knowledge of service user profiles.
- Transition and Preparation for Adulthood data sets
- Children & Young People with an Education Health and Care Plan.

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 There is cross reference to published information, for example, in the local Autism Strategy.

At this stage in the assessment, this is a non-exhaustive list of evidence and data that will be used to inform detailed proposals as they are developed as part of the review. Initially however this is to ensure the impact and affected individuals are considered base on available data sources that give further information about the characteristics of the affected group(s)

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age					<p>Recognising that two of the key groups affected is the older adults learning disability population and young adults who will be or have recently made the transition to adult services. The positive impact is the outcome of the review is to design a system of support and service provision that meets the expectations and needs of people with Learning Disabilities.</p> <p>The potential negative impact is any change to current services or provision of support that requires change. This also encompasses any de-commissioning decisions that may result from the review.</p>
Disability					<p>This is the predominant protected characteristic that is affected by this review.</p> <p>Positive impacts include improvements and increased life chances and access to a broader range of health and wellbeing opportunities as well as formal service provision that is fit for purpose for a future generation of people with a Learning Disability and services that are better able to support carers. It is intended that the proposal supports improved health outcomes and reduced health inequalities for people with Learning Disabilities. It is also intended to positively impact on people who are currently placed out of borough, owing to a gap in supply of the appropriate services, enabling them to live in Merton</p> <p>Negative impact may potentially be as a result of changes to the current model of services and provision which as a result mean an individual's care and support changes or is re-provided</p>
Gender Reassignment					
Marriage and Civil Partnership					
Pregnancy and Maternity					
Race					
Religion/ belief					

Sex (Gender)				<p>We will review fully the current user profile and establish the proportions/split of and impact on male and female users of services. Equally consideration of the gender of carers will be taken into account wherever possible</p>
Sexual orientation				
Socio-economic status				<p>We will include consideration of the socio-economic status of individuals directly affected, for example the proportion of people who contribute to the cost of their care, those who self fund and those who are nil contribution. This is relevant to the means testing and financial assessment of contributions.</p> <p>It is well documented that individuals with a learning disability have difficulty in securing paid employment opportunities and this can impact on socio-economic wellbeing. It is therefore envisaged that the proposal will focus on individual who have low income, rely on state benefits and experience barriers to employment.</p>

7. If you have identified a negative impact, how do you plan to mitigate it?

Commissioning intentions and decisions will take into account views of individuals who currently use services, potential future users of services and a wider range of stakeholders, including providers. The intention is to use this engagement alongside financial and utilisation data and trends to develop a range of community based provisions that continue to meet the core needs of people who currently use services. The overarching aim of this proposal is to develop an improved offer for people with Learning Disabilities living in Merton.

This proposal is more about ensuring we have sufficiency of supply of the right type of housing, accommodation and service provision to support people in the borough and not rely on out of borough placements, even where the needs are complex and challenging to services.

The mitigation will also be sought in full engagement and consultation with stakeholders to coproduce within the learning disability community. This coproduction will be taken forward into service design and commissioning plans. The Council will continue to meet its statutory responsibilities, in full, for people with a learning disability, their families and carers.

Stage 4: Conclusion of the Equality Analysis

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Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

Outcome 1 – The EA has not identified any potential for discrimination or negative impact and all opportunities to promote equality are being addressed. **No changes are required.**

Outcome 2 – The EA has identified adjustments to remove negative impact or to better promote equality. **Actions you propose to take to do this should be included in the Action Plan.**

Outcome 3 – The EA has identified some potential for negative impact or some missed opportunities to promote equality and it may not be possible to mitigate this fully. **If you propose to continue with proposals you must include the justification for this in Section 10 below, and include actions you propose to take to remove negative impact or to better promote equality in the Action Plan. You must ensure that your proposed action is in line with the PSED to have 'due regard' and you are advised to seek Legal Advice.**

Outcome 4 – The EA shows actual or potential unlawful discrimination. **Stop and rethink your proposals.**

Stage 5: Improvement Action Pan

9. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?
Future demand and demographic profiling	Work with CSF to develop the dataset for transition planning and preparation for adulthood, including financial profiling	This will be the dataset referred to and owned by the preparation for adulthood board	April 2019	existing	JM/JMcS	NO
Develop housing and support options	Develop a housing strategy that incorporates the needs of people with a learning disability	Housing Strategy agreed	March 2020	Additional	SL	Yes
Develop an educational and employment offer	Review the national evidence of best practice as a first step to developing the local offer		March 2019	Existing	AH	Yes
Clear data and up to date review/re-assessment of all out of borough placements	Reviews to be undertaken to ensure the current needs are reflected in in-borough commissioning intentions	Measured reductions in out of borough placement	April 2020	existing	JM	YES


Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 6: Reporting outcomes

10. Summary of the equality analysis

This section can also be used in your decision making reports (CMT/Cabinet/etc) but you must also attach the assessment to the report, or provide a hyperlink

This Equality Analysis has resulted in an Outcome 2 Assessment	
<ul style="list-style-type: none"> The proposal affects people living with a learning disability and their carers as current users or beneficiaries of services in the borough. There is some identified potential negative impact, though the proposal also identifies potential positive impact on the same characteristics given this is aimed at improving the offer of services, support and opportunities to people with a learning disability. There is potential for some service provision to be considered for de-commissioning, change of purpose. Equally, there is impact on the wider market shaping proposals and this will be articulated in a, Learning Disability specific, Market Position Statement Mitigation will include engagement with a range of stakeholders to help inform commissioning and market shaping. This engagement will support the intent that people should be able to live in their community and access the leisure, learning or social opportunities as well as statutory services and support as they require. 	

Stage 7: Sign off by Director/ Head of Service				
Page 410	Assessment completed by	Phil Howell Interim Head of Adult Social Care – Operations & Commissioning	Signature: 	Date: 5 th November 2018
	Improvement action plan signed off by Director/ Head of Service	John Morgan, Asst Director	Signature:JM	Date: 15/11/18

Equality Analysis



What are the proposals being assessed?	CH 94 Integration
Which Department/ Division has the responsibility for this?	Community & Housing – Adult Social Care

Stage 1: Overview	
Name and job title of lead officer	John Morgan, Assistant Director ASC
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	<p>The proposal forms part of our commitment to integrating health and social care in relation to physical and mental health to support people to Live Well and to Age Well.</p> <p>The aim is to achieve efficiencies in management, administration and commissioning.</p> <p>This will be through developing an integrated pathway that includes a single point of access and triage, to make best use of responsive services. We will develop a joint approach to re-ablement and recovery.</p> <p>It may also be by jointly commissioning similar and allied services to achieve better outcomes with a focus on recovery and maximising independence. It may also incorporate pooling budgets to focus resources where they will have the greatest impact on health and wellbeing. The proposals may involve combining roles across health and social care that are currently separate, which may mean a reduction in posts.</p> <p>The aim is to deliver better outcomes for the adult population with less resources across health and social care, housing and public health. It will follow from the Adult Social Care Green Paper and the NHS Ten Year Forward plan that are due to be published in the new year.</p>
2. How does this contribute to the council's corporate priorities?	Living Well and Ageing Well
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	<p>People with health and care needs may get a different and more cohesive response, which should provide a more positive experience.</p> <p>There may be reductions in posts and changes in employer, role and locations for staff.</p> <p>The proposal is about working with health partners, but may also impact on commissioned providers and the voluntary sector.</p>
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	Shared with Merton CCG and local health providers

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Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

The proposal is part of the ongoing integration of health and social care. That programme is based on a wide range of data and research, including national research on best practice and health outcomes, and local data such as the Joint Strategic Needs Assessment.

Stage 3: Assessing impact and analysis

Page 42
 6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age	X			X	The proposal should have a positive impact on those who use health and care services, which will include all people with these protected characteristics. There may be a negative impact on staff with the reduction of and changes in posts. Women are a high proportion of the health and social care workforce.
Disability	X			X	
Gender Reassignment	X			X	
Marriage and Civil Partnership	X			X	
Pregnancy and Maternity	X			X	
Race	X			X	
Religion/ belief	X			X	
Sex (Gender)	X		X		
Sexual orientation	X			X	
Socio-economic status	X			X	

7. If you have identified a negative impact, how do you plan to mitigate it?

Changes or reductions in posts will be subject to staff consultation at group and individual level. Where posts are removed, redeployment will be an option for staff affected.

Stage 4: Conclusion of the Equality Analysis

8. Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

- Outcome 1** – The EA has not identified any potential for discrimination or negative impact and all opportunities to promote equality are being addressed. **No changes are required.**
- Outcome 2** – The EA has identified adjustments to remove negative impact or to better promote equality. **Actions you propose to take to do this should be included in the Action Plan.**
- Outcome 3** – The EA has identified some potential for negative impact or some missed opportunities to promote equality and it may not be possible to mitigate this fully. **If you propose to continue with proposals you must include the justification for this in Section 10 below, and include actions you propose to take to remove negative impact or to better promote equality in the Action Plan. You must ensure that your proposed action is in line with the PSED to have ‘due regard’ and you are advised to seek Legal Advice.**
- Outcome 4** – The EA shows actual or potential unlawful discrimination. **Stop and rethink your proposals.**

Stage 5: Improvement Action Plan

9. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?
Loss of employment where management posts are shared	Consultation and offer of redeployment	Project monitoring	March 2022	Existing	TBC	yes

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 6: Reporting outcomes

10. Summary of the equality analysis

This section can also be used in your decision making reports (CMT/Cabinet/etc) but you must also attach the assessment to the report, or provide a hyperlink

This Equality Analysis has resulted in an Outcome [2](#) Assessment

The proposal is aimed at producing positive impacts by creating a more seamless and efficient offer across health and care. Staff may be affected by changes in roles and loss of employment.

Stage 7: Sign off by Director/ Head of Service

Assessment completed by	Richard Ellis, Head of Strategy & Partnerships	Signature: RE	Date: 29/11/18
Improvement action plan signed off by Director/ Head of Service	John Morgan, Asst Director ASC	Signature: JM	Date: 29/11/18



Equality Analysis

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet
Text in blue is intended to provide guidance – you can delete this from your final version.

What are the proposals being assessed?	Amend discretionary rate relief policy (Reference 2019-20 CS01)
Which Department/ Division has the responsibility for this?	Corporate Services/Customer Services

Stage 1: Overview	
Name and job title of lead officer	David Keppler, Head of Revenues & Benefits
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	Amend the discretionary rate relief policy for qualifying businesses/charities to reduce the overall amount contributed by Merton taxpayers by £75,000 per year.
2. How does this contribute to the Council's corporate priorities?	Assists with balancing the budget.
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	Some charities, sports clubs, education establishments and non profit making organisations will have a reduction in or will lose all rate relief
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	None

Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

- It is for the Council to determine the qualifying criteria and at what level it wishes to set for the discretionary rate relief for qualifying organisations. The existing scheme is already known to be more generous than neighbouring LA's and the proposal will bring us closer in synch with them.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age		No	Yes		The policy is discretionary and will be publicised in advance allowing organisations the opportunity to balance their own budgets accordingly. Relief can change annually, dependent on circumstances, and no amount is guaranteed. All organisations are advised that relief is only awarded for a year and a review will be undertaken before the next award period.
Disability		No	Yes		
Gender Reassignment		No		No	
Marriage and Civil Partnership		No		No	
Pregnancy and Maternity		No	Yes		
Race		No		No	
Religion/ belief		No		No	
Sex (Gender)		No		No	
Sexual orientation		No		No	
Socio-economic status		No	Yes		

7. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?
Some organisations will absorb the change, for example, private sports clubs, education establishments, charity shops, however it cannot be identified which organisations may reduce or stop services to residents.	Invite and consider “hardship” relief applications from organisations affected	Monitor number of hardship applications and number of claims awarded	April 19 to March 20	Existing	David Keppler	Business Rates section work plan

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

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Stage 4: Conclusion of the Equality Analysis

Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

OUTCOME 1

OUTCOME 2

OUTCOME 3

OUTCOME 4

Stage 5: Sign off by Director/ Head of Service

Assessment completed by	David Keppler, Head of Revenues & Benefits	Signature: David Keppler	Date: 27.9.18
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Stage 5: Sign off by Director/ Head of Service			
Improvement action plan signed off by Director/ Head of Service		Signature:	Date:



Equality Analysis

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet
Text in blue is intended to provide guidance – you can delete this from your final version.

What are the proposals being assessed?	Proposed budget savings for 2019 – 2022. The introduction of a flat charge of £10.00 for the issuing of Blue Badges to residents. (Reference 2019-20 CS02)
Which Department/ Division has the responsibility for this?	Corporate Services/Customer, Performance and Improvement

Stage 1: Overview	
Name and job title of lead officer	Sean Cunniffe, Head of Customer Contact
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	<p>The proposal is to introduce a charge of £10.00 to be paid by any resident who successfully applies for, and is issued by the Council with, a Blue Badge under the Concessionary Travel scheme. This is a change from the current arrangement, whereby no fee is levied for any applicants for the scheme.</p> <p>The Council receives approximately 2000 applications per year, and issues approximately 1700 Blue Badges per year. Each Blue Badge entitles the holder to free parking in designated areas for a period of 5 years.</p> <p>The aims of introducing the charge are to recover some of the costs of administering the Blue Badge Concessionary Travel scheme and to discourage applications (and driving) by those who do not need the service.</p> <p>The Blue Badge Scheme Local Authority Guidance issued by the Department for Transport in 2014 states the regulations give local authorities the discretion to charge a fee on the issue of a badge. The fee cannot exceed £10.00.</p> <p>During an internal audit review in 2017 they stated -</p> <p>Local authorities are permitted to charge up to £10 for the processing of a blue badge. Merton's six immediate neighbouring boroughs, all currently charge a fee of £10 for every blue badge issued. Merton is the only local borough not charging a fee.</p> <p>They then made the following recommendation - "Approval must be sought to enable the application of the maximum fees allowable when issuing a Blue Badge. The fee must be set at the current recommended level as set by the Departments of Transport. The fee must be reviewed annually to ensure that it does not exceed the maximum set by the Department of Transport."</p> <p>The online tool, operated and administered by the Department for Transport already alerts applicants that</p>

	<p>there may be a charge in the event of a successful application. The criteria for the Scheme will not alter.</p>
2. How does this contribute to the council's corporate priorities?	<p>Recovering the administrative costs of issuing Blue Badges will support the Council to continue to deliver services within its financial envelope.</p>
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	<p>Successful applicants to the scheme will be affected. Therefore residents of Merton who are impacted by these conditions and deemed eligible for a Blue Badge will be affected financially, in that they will need to pay a £10.00 charge in order to receive a Blue Badge once their application has been processed.</p> <p>The proposals will allow the Council to recover some of the administrative cost associated with the provision of this service. The reductions in funding facing the Council over the coming months and years would otherwise divert unnecessary costs to administer the scheme from other more vulnerable services.</p>
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	<p>None – the Council has responsibility for delivering this service.</p>

Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

Concessionary Travel – audit recommendation following review of Blue Badge process and benchmark with neighboring Boroughs. Guidelines state a charge can be levied, up to a maximum of £10.00, for each successful application. Already stated on-line but charge not enforced. Limited impact as charge is minimal and covers each Blue Badge with a lifespan of 5 years. No impact on protected characteristics.

The policies and charges applied by neighbouring London boroughs have been reviewed and taken into account.

Guidance from Department for Transport on the appropriateness of levying fees for the issuing of Blue Badges has been reviewed and taken into account.

In 2017 a review of the service was undertaken by Internal Audit which resulted in a series of recommendations.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age					None
Disability			Yes		A small charge may dissuade disabled people from applying for a Blue Badge
Gender Reassignment					None
Marriage and Civil Partnership					None
Pregnancy and Maternity					None
Race					BAME residents tend to be on lower incomes or have higher unemployment rates and may be adversely affected by the introduction of a charge
Religion/ belief					None
Sex (Gender)					None

Sexual orientation					None
Socio-economic status					Residents on low incomes or who are unemployed may be adversely affected by the introduction of a charge. This may disproportionately affect residents in the East of the borough

7. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?
<p>Disabled people may be dissuaded from applying for a Blue Badge following introduction of a charge</p> <p>Disabled residents tend to be on lower incomes and may be adversely affected by the introduction of a charge.</p>	<p>The charge will only be applied when a Blue Badge has been successfully awarded. Clearer guidance and criteria will be provided to residents to increase confidence in making applications.</p> <p>Support disabled residents to get Welfare Benefit advice to ensure that they are claiming their full benefit entitlement.</p>	<p>Monitor number of completed applications received.</p> <p>Monitor number of completed applications received and benefit take up rates by disability</p>	2020	Existing	Sean Cunniffe	Yes
<p>BAME residents tend to be on lower incomes or have higher unemployment rates and may be adversely affected by the introduction of a charge.</p>	<p>Support residents to get Welfare Benefit advice to ensure that they are claiming their full benefit entitlement.</p>	<p>Monitor number of completed applications received and benefit take up rates by BAME residents</p>				
<p>Residents on low incomes or who are unemployed may be adversely affected by the introduction of a charge. This may disproportionately affect residents in the East of the borough</p>	<p>Support residents on low incomes to get Welfare Benefit advice to ensure that they are claiming their full benefit entitlement.</p>	<p>Monitor number of completed applications received.</p>				

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 4: Conclusion of the Equality Analysis

8. Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

OUTCOME 1

OUTCOME 2

OUTCOME 3

OUTCOME 4

Stage 5: Sign off by Director/ Head of Service

Assessment completed by	Sean Cunniffe	Signature: <i>Sean Cunniffe</i>	Date: 28.09.2018
Improvement action plan signed off by Director/ Head of Service	Sophie Ellis	Signature:	Date:



Equality Analysis

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet
Text in blue is intended to provide guidance – you can delete this from your final version.

What are the proposals being assessed?	Proposed budget savings CSF2018-03
Which Department/ Division has the responsibility for this?	CSF/Education Division

Stage 1: Overview	
Name and job title of lead officer	Jane McSherry (AD Education)
<p>2. What are the aims, objectives and desired outcomes of your proposal? Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)</p>	<p>Raise income or cease some services in preparation for 2020 where we would consider withdrawing from direct provision of a childcare offer:</p> <p>The proposal is to raise income, by raising fees, to achieve the proposed saving in 2019/20 of 49K.</p> <p>The objective is to raise fees for a relatively small cohort of families who access the Lavender Nursery at a universal level of need, whilst protecting targeted services for more vulnerable families.</p> <p>The desired outcome is to introduce a new fee structure which protects services for vulnerable families and raises income for fee paying customers to deliver the 2019- 2020 savings</p> <p>The impact of this proposal will mean increased fees for the 71* fee paying customers using the Lavender Nursery. Whilst the support to vulnerable children and their families will remain, the increase in charges will impact on families where household income is lower. However, the monthly charges for childcare will continue to be broadly in line with the average hourly rate for childcare in Merton. Since September 2017 children aged 3 and 4 are entitled to 30 hours of free childcare, which will contribute to mitigating the impact of these fee increases for this cohort of families. There is a wide choice of childcare services available in the borough, and families are</p>

	<p>able to source alternative provision if required. The majority of families using the paid for services at Lavender Nursery are not considered to be vulnerable/in need. The **60 places for children aged 2 who meet eligibility for 2 year funded places (low household income, LAC and children claiming DLA) will not be affected</p> <p>(*To note the number of 71 is not fixed and can move up or down depending on patterns of take up. **To note the number of 60 is not fixed and can move up or down depending on patterns of take up.)</p>
<p>2. How does this contribute to the council's corporate priorities?</p>	<p>This is contributing to the councils' corporate priorities in ensuring we manage our resources to provide value for money, high standards of governance, financial and budget management. The Early Years' Service contributes significantly to giving our children and young people the best start in life and is a key component of our Child, YP and Family Well Being Model. It contributes significantly to our MSCB priorities of Early Help; Think Family and the cross cutting theme of neglect. By raising income through an increase in fees for working households, the remaining targeted services are protected in this financial year and support for families eligible for 2 year funded places continues and remains a priority</p>
<p>3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.</p>	<p>Families affected by this proposal will be the *71 fee paying families that currently use the Lavender Nursery, and new customers taking up places once existing service users leave. (*To note the number of 71 is not fixed and can move up or down depending on patterns of take up)</p>
<p>4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?</p>	<p>No</p>

Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

We have substantial data sets and information to identify need, vulnerability and risk. We are aware of the overall impact of this proposal.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

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Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age				*	Whilst it is families with young children who use the services, the negative impact is minimal as there are sufficient alternative services available locally which families could access, if they so choose to do so. For children who are eligible for 2 year funded places there is no impact in terms of this proposal
Disability				*	Existing levels of support will continue for children where there may be disabilities, therefore there is minimal negative impact. For parents where there is a disability there may be a negative impact in terms of the increase in fees and accessibility to alternative provision may be more challenging. However, overall the potential impact is generally minimal but this proposal may impact more so on some individual families depending on their particular circumstances.

Gender Reassignment				*	
Marriage and Civil Partnership				*	
Pregnancy and Maternity				*	The nursery provides childcare for children aged 2 and above and therefore will not directly impact on pregnancy and maternity. However, families with more than one child and with a baby, will see their overall childcare costs increase. Costs for childcare tend to be highest for children between the ages 0 – 2. Overall the potential impact is generally minimal but this proposal may impact more so on some individual families depending on their particular circumstances.
Race				*	
Religion/ belief				*	
Sex (Gender)				*	
Sexual orientation				*	
Socio-economic status			*		For families with lower household income, a raise in childcare fees will have an impact on their disposable income, possibly causing stress and debt for some families. Families are supported to take up the free childcare entitlement and maximise tax credits and tax free childcare

7. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?
This level of saving will impact on the fee paying customers using Lavender Nursery.	Provide sufficient notice to families so they can plan for the increase and maximise use of free entitlements, tax free childcare and credits	Fee structure introduced and take up in the nursery by fee paying customers is stable	March 2020	existing	Allison Jones	Y
	Provide information about alternative providers and their costs so parents/families can make informed decisions					

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Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 4: Conclusion of the Equality Analysis

8. Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal


OUTCOME 1

OUTCOME 2

yes

OUTCOME 3

OUTCOME 4

Stage 5: Sign off by Director/ Head of Service			
Assessment completed by	Allison Jones Head of Early Years	Signature:	Date: 30/10/18
Improvement action plan signed off by Director/ Head of Service	Rachael Wardell, Director CSF	Signature: 	Date: 30/10/2018



Equality Analysis

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet
Text in blue is intended to provide guidance – you can delete this from your final version.

What are the proposals being assessed?	Proposed budget saving CSF2018-04
Which Department/ Division has the responsibility for this?	CSF/Education Division

Stage 1: Overview	
Name and job title of lead officer	Jane McSherry (AD Education)
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	<p>Review of school traded services offer and raise charges or consider ceasing certain services. This will entail a review of all current SLA's as well as de-delegated services with schools to ensure i) full cost recovery ii) that LBM charges are aligned with other providers.</p> <p>We will also explore future opportunities to trade with schools. If schools are unwilling or unable to pay for core and enhanced services, this will result in approximately 1 post being deleted in the relevant education service area. This will deliver a saving of £30k in 2019/20.</p> <p>It will also potentially impact negatively on service volumes and children's outcomes as there may be an increase in escalations of referrals to child protection services from schools.</p>
2. How does this contribute to the council's corporate priorities?	<p>If additional funding is secured from schools, then this proposal would enable work to continue under the 'Opportunity Merton' theme: our programme to improve education from nursery level to adult provision. CSF services support our most vulnerable children and young people getting the best start in life. We are particularly focused on those facing obstacles and challenges and how we 'bridge the gap' in outcomes between some children and their more advantaged peers.</p> <p>However, if no additional funding is secured, this would lead to a reduction in our offer (outlined above) and the contribution to the corporate priorities would be the delivery of the £30k saving.</p>
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	<p>Partners and (dependant on outcome) staff will be affected by this proposal. If schools agree to the raising of our charges and continue to buy back these services, they will incur additional costs. However our children and young people will continue to benefit from the current offer.</p> <p>If the offer is reduced the proposal may potentially impact negatively on service volumes and children's outcomes as there may be an increase in escalations of referrals to child protection services from schools.</p>
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall	We require agreement from schools to deliver this saving (in the case of increases in charging). If this is not agreed the decision to cease certain services will require stakeholder engagement in agreeing priorities for delivery.

responsibility?	
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Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

We have comprehensive data and information in relation to costing models to review our current SLA's. We have comprehensive data in relations to schools and where need is more prevalent.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

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Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age			*		The proposal could impact in terms of schools not agreeing to increase in charging and therefore, certain current services to children would cease. Stakeholder engagement will be undertaken to prioritise these services.
Disability			*		The proposal could impact in terms of schools not agreeing to increase in charging and therefore, certain current services to children with disabilities may cease. Stakeholder engagement will be undertaken to identify which services to prioritise.
Gender Reassignment				*	
Marriage and Civil Partnership				*	
Pregnancy and Maternity				*	
Race				*	
Religion/ belief				*	
Sex (Gender)				*	
Sexual orientation				*	
Socio-economic status			*		The proposal could impact in terms of schools not agreeing to increase in charging and therefore, certain current services to children would cease. This may disproportionately affect children with lower socio-economic

					status as being the children most likely to be in receipt of additional services. Stakeholder engagement will be undertaken to prioritise these services.
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7. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?
Further work and stakeholder engagement is needed to identify the most high risk impacts and to mitigate them, if schools' funding is not secured and services have to reduce. Steps will be taken to avoid or mitigate the highest risk impacts.	Stakeholder engagement will be undertaken to identify and mitigate highest risks.	Evidence that services, even where reduced, continue to be provided to those in highest need.	March 2020			

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 4: Conclusion of the Equality Analysis

8. Which of the following statements best describe the outcome of the EA (Tick one box only)

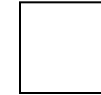
Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal


OUTCOME 1

OUTCOME 2

OUTCOME 3

OUTCOME 4



Stage 5: Sign off by Director/ Head of Service			
Assessment completed by	Carol Camiss	Signature:	Date: 01/12/17 (original) Updated 31/10/2018
Improvement action plan signed off by Director/ Head of Service	Rachael Wardell	Signature: 	Date: 1/11/2018



Equality Analysis

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet
Text in blue is intended to provide guidance – you can delete this from your final version.

What are the proposals being assessed?	Proposed budget savings CSF 2018-05 and CSF 2018-06
Which Department/ Division has the responsibility for this?	CSF/Children's Social Care

Stage 1: Overview	
Name and job title of lead officer	Paul Angeli (AD Children's Social Care/Youth Inclusion)
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	<p>CSF2018-05. The LA will buy into a Social Impact Bond (SIB) with 5 other boroughs. The SIB is designed to support delivery of service to keep children and young people out of the care system. This is in line with our TOM and our Children & Young People Well-Being Model. This will deliver 45K savings in 2019/20 & 45K savings in 2020/21. This work, however, takes place within a rising population demographic and increased complex needs.</p> <p>CSF2018-06. The South London Family Drug and Alcohol Court commissioning programme will enable more children to return home safely, thereby, reducing the costs of care placements. This is in line with our TOM and will deliver 45K savings in 2019/20 and 45K savings in 2020/21. This work, however, takes place within a rising population and increased complex needs.</p>
2. How does this contribute to the council's corporate priorities?	This proposal supports Healthy Merton and supports our most vulnerable children and young people getting the best start in life. It reflects our MSCB priorities of Early Help, Vulnerable Adolescents, Think Family and the cross cutting priority of tackling neglect.
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	This will benefit our most vulnerable clients. There are no staffing implications. The proposals benefit the council in terms of a potential to deliver future savings.
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	These are commissioned services and will require ongoing investment to meet the savings targets.

Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

We have rising population and an increase in complexity of need.

The impact of both increase in numbers and complexity requires the LA to consider a range of options to meet demand and need.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Page 138

Protected characteristic (equality group)	Tick which applies Positive impact		Tick which applies Potential negative impact		Reason Briefly explain what positive or negative impact has been identified
	Yes	No	Yes	No	
	Age	*			
Disability	*				The proposal will be effective across all children's services
Gender Reassignment		*			
Marriage and Civil Partnership		*			
Pregnancy and Maternity		*			
Race	*				
Religion/ belief	*				
Sex (Gender)	*				
Sexual orientation	*				
Socio-economic status	*				This work is with the most vulnerable groups.

7. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?
No negative gap identified						

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 4: Conclusion of the Equality Analysis

Page 439

Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

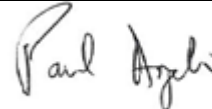
OUTCOME 1


OUTCOME 2

OUTCOME 3

OUTCOME 4

Stage 5: Sign off by Director/ Head of Service

Assessment completed by	Paul Angeli Assistant Director CSF	Signature: 	Date: 9/10/2018
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Stage 5: Sign off by Director/ Head of Service			
Improvement action plan signed off by Director/ Head of Service	Rachael Wardell Director CSF	Signature: 	Date: 14/10/2018



Equality Analysis

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet
Text in blue is intended to provide guidance – you can delete this from your final version.

What are the proposals being assessed?	Proposed budget savings CSF2018-08
Which Department/ Division has the responsibility for this?	CSF/Education Division

Stage 1: Overview	
Name and job title of lead officer	Jane McSherry (AD Education)
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	<p>Review Early Years' Service: the proposal is to cease some services or consider withdrawing the Early Years' Offer. Proposed saving in 2020/21 of 150K.</p> <p>The impact of this proposal will mean reduced support to vulnerable children and families accessing targeted services as much of the 'universal offer' is grant funded. This could lead to an increase in numbers requiring higher cost statutory intervention.</p>
2 How does this contribute to the Council's corporate priorities?	<p>The Early Years' Service contributes significantly to giving our children and young people the best start in life and is a key component of our Child, YP and Family Well Being Model. It contributes significantly to our MSCB priorities of Early Help; Think Family and the cross cutting theme of neglect.</p> <p>This proposal for a reduction in these services is contributing to the councils' corporate priorities in ensuring we manage our resources to provide value for money, high standards of governance, financial and budget management.</p>
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	<p>There will be an impact on our service users currently accessing services provided by the Council. This will also mean reduced support for vulnerable children and families accessing targeted services and these reductions may place additional burdens on universal, targeted and specialist services to manage these needs.</p>
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	<p>There is a risk this could lead to an increase in numbers requiring higher cost statutory intervention.</p>

Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

We have substantial data sets and information to identify need, vulnerability and risk. We are aware of the areas of service provision this will affect.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Page 442

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age			*		A preliminary assessment has been made based on the information to hand, but a full/more detailed assessment will be carried out if the decision is made.
Disability			*		A preliminary assessment has been made based on the information to hand, but a full/more detailed assessment will be carried out if the decision is made.
Gender Reassignment				*	
Marriage and Civil Partnership				*	
Pregnancy and Maternity			*		A preliminary assessment has been made based on the information to hand, but a full/more detailed assessment will be carried out if the decision is made.
Race			*		
Religion/ belief			*		
Sex (Gender)			*		
Sexual orientation			*		
Socio-economic status			*		

7. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?
This level of saving will impact on those already at risk and could potentially affect vulnerable young people at the higher end of our Wellbeing Model.	The EY’s service plan and EY’s TOM sets out an approach to prioritisation in detail, this is being further developed as a result of the TOM refresh in early 2018	TBC			Allison Jones	Y

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 4: Conclusion of the Equality Analysis

8. Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal


OUTCOME 1

OUTCOME 2

OUTCOME 3

OUTCOME 4

Stage 5: Sign off by Director/ Head of Service

Stage 5: Sign off by Director/ Head of Service			
Assessment completed by	Carol Cammiss Business Partner CSF	Signature:	Date: 01/01/17 (original) Updated: 31/10/2018
Improvement action plan signed off by Director/ Head of Service	Rachael Wardell; Director CSF.	Signature: 	Date: 1/11/2018



Equality Analysis

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet
Text in blue is intended to provide guidance – you can delete this from your final version.

What are the proposals being assessed?	Proposed budget savings CSF2018-09
Which Department/ Division has the responsibility for this?	CSF/Education Division

Stage 1: Overview	
Name and job title of lead officer	Jane McSherry (AD Education)
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	Cease or radically reduce some statutory education functions. We will agree with schools priorities for the use of retained Dedicated Schools Grant (DSG) to support the delivery of a reduced statutory service function. In order to meet the proposed saving in 2020/21 of 200K, Statutory Education Services will have to be further reduced. This proposal is in line with the CSF TOM which outlines the direction of travel and focus on delivery of statutory duties. This reduced provision may impact on support to vulnerable and 'at risk' children. The department will be reorganised to reflect the downsizing should this proposal be accepted.
2. How does this contribute to the Council's corporate priorities?	This is contributing to the councils' corporate priorities in ensuring we manage our resources to provide value for money, high standards of governance, financial and budget management. However, there are potential consequences in relation to this, in the medium to longer terms as increased pressure on Social Care may result in escalating costs across the department.
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	Schools and service users will be directly impacted by this proposal. Work will need to be undertaken to ensure that risk and vulnerability are prioritised and careful consideration is needed to ensure that we continue to deliver at least the statutory minimum requirement. Statutory functions in education contribute to our MSCB priorities of Early Help; Think Family and the cross cutting theme of neglect. Should these proposals be accepted, there will be an inevitable reduction in council staff and this equates to approximately 7 FTE's. We will use the Council's agreed HR policies and procedures for restructuring and complete EA's accordingly.
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	One of the consequences of this proposal is a potential impact on Children's Social Care. This could, over time, increase the numbers of children requiring higher cost social care interventions.

Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

We have substantial data sets and information to identify need, vulnerability and risk. We are aware of the areas of service provision this will affect.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Page 446

Protected characteristic (equality group)	Tick which applies		Tick which applies		
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age			*		Should this saving be accepted there will be impact on equality groups with one or more protected characteristic. A preliminary assessment has been made based on the information to hand, but a full/more detailed assessment will be carried out if the decision is made.
Disability			*		Should this saving be accepted there will be impact on equality groups with one or more protected characteristic. A preliminary assessment has been made based on the information to hand, but a full/more detailed assessment will be carried out if the decision is made.
Gender Reassignment				*	
Marriage and Civil Partnership				*	
Pregnancy and Maternity				*	
Race			*		Should this saving be accepted there will be impact on equality groups with one or more protected characteristic. A preliminary assessment has been made based on the information to hand, but a full/more detailed assessment will be carried out if the decision is made.
Religion/ belief				*	
Sex (Gender)			*		Should this saving be accepted there will be impact on equality groups

					with one or more protected characteristic. A preliminary assessment has been made based on the information to hand, but a full/more detailed assessment will be carried out if the decision is made.
Sexual orientation				*	
Socio-economic status			*		Should this saving be accepted there will be impact on equality groups with one or more protected characteristic. A preliminary assessment has been made based on the information to hand, but a full/more detailed assessment will be carried out if the decision is made.

7. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?
This level of saving will potentially impact on those already at risk and vulnerable young people at the higher end of our Wellbeing Model.	The CSF TOM sets out an approach to prioritisation in detail. This is being further developed as a result of the TOM refresh in early 2018				TBC	If agreed (yes)

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 4: Conclusion of the Equality Analysis

8. Which of the following statements best describe the outcome of the EA (Tick one box only)

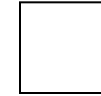
Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal


OUTCOME 1

OUTCOME 2

OUTCOME 3

OUTCOME 4



Stage 5: Sign off by Director/ Head of Service			
Assessment completed by	Carol Cammiss Business Partner CSF	Signature:	Date:01/01/17 (original) Updated: 31/10/2018
Improvement action plan signed off by Director/ Head of Service	Rachael Wardell, Director CSF.	Signature: 	Date: 1/11/2018



Equality Analysis

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet
Text in blue is intended to provide guidance – you can delete this from your final version.

What are the proposals being assessed?	Proposed budget savings CSF2018-10
Which Department/ Division has the responsibility for this?	CSF/Children's Social Care/Youth Inclusion.

Stage 1: Overview	
Name and job title of lead officer	Paul Angeli (AD Children's Social Care and Youth Inclusion)
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	<p>Cease or radically reduce support to Looked After Children, Children at risk of Child Sexual Exploitation and reduce Respite Services to vulnerable and 'at risk' families in order to meet the proposed saving in 2020/21 of 200K.</p> <p>This will require us to review our eligibility criteria and 'service offer' for our more vulnerable clients. We will begin this process in 2019/20. This may mean reduced therapeutic support to our highly vulnerable children, our Looked After Children and our Care Leavers, potentially leaving these groups at higher risk of harm and exploitation.</p>
2. How does this contribute to the Council's corporate priorities?	<p>This proposal contributes to the councils' corporate priorities in ensuring we manage our resources to provide value for money, high standards of governance, financial and budget management.</p> <p>There are potential consequences in relation to this, in the medium to longer term; as increased pressure on families and universal services becomes a reality this may result in increased numbers of children and young people meeting the threshold for Social Care, however, the need and risk is likely to be higher given the increase in eligibility. This may result in escalating costs across the department.</p>
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	<p>This proposal will have a direct impact on our service users and is likely to reduce support to our vulnerable and 'at risk' children and young people. Reviewing our eligibility criteria will include thresholds relating to Children and young people in Need (CIN), Children subject to a child protection plan, those children and young people on the 'edge of care', Looked After Children, Care Leavers and those children and young people in the youth offending system. In addition, we will need to review our eligibility criteria for those children with complex needs and disabilities.</p>
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	<p>Any reduction in our current levels of provision will increase pressure on parents/carers and universal services' capacity to manage these needs.</p>

Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

We have substantial data sets and information to identify need, vulnerability and risk. We are aware of the areas of service provision that will be affected by this proposal.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies Positive impact		Tick which applies Potential negative impact		
	Yes	No	Yes	No	
	Age			*	
Disability			*		Should this saving be accepted there will be impact on equality groups with one or more protected characteristic. A preliminary assessment has been made based on the information to hand, but a full/more detailed assessment will be carried out if the decision is made.
Gender Reassignment				*	
Marriage and Civil Partnership				*	
Pregnancy and Maternity			*		Should this saving be accepted there will be impact on equality groups with one or more protected characteristic. A preliminary assessment has been made based on the information to hand, but a full/more detailed assessment will be carried out if the decision is made.
Race			*		Should this saving be accepted there will be impact on equality groups with one or more protected characteristic. A preliminary assessment has

					been made based on the information to hand, but a full/more detailed assessment will be carried out if the decision is made.
Religion/ belief				*	
Sex (Gender)			*		Should this saving be accepted there will be impact on equality groups with one or more protected characteristic. A preliminary assessment has been made based on the information to hand, but a full/more detailed assessment will be carried out if the decision is made.
Sexual orientation			*		Should this saving be accepted there will be impact on equality groups with one or more protected characteristic. A preliminary assessment has been made based on the information to hand, but a full/more detailed assessment will be carried out if the decision is made.
Socio-economic status			*		Should this saving be accepted there will be impact on equality groups with one or more protected characteristic. A preliminary assessment has been made based on the information to hand, but a full/more detailed assessment will be carried out if the decision is made.

7. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?
The TOM sets out an approach to prioritisation but this level of saving will impact on those already more at risk and vulnerable young people at the higher end of our Wellbeing Model	Review of eligibility criteria and thresholds; ensure continued prioritisation of most vulnerable.				TBC	(if agreed) all SP's will be updated.

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 4: Conclusion of the Equality Analysis

8. Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal


OUTCOME 1

OUTCOME 2

OUTCOME 3

OUTCOME 4

Stage 5: Sign off by Director/ Head of Service

Assessment completed by	Carol Cammiss Business Partner CSF	Signature:	Date: 01/01/17 (original) Updated 31/10/2018
Improvement action plan signed off by Director/ Head of Service	Rachael Wardell, Director CSF	Signature: 	Date: 1/11/2018

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Equality Analysis

What are the proposals being assessed?	CH 87 Proposed budget saving – Mascot Income v3
Which Department/ Division has the responsibility for this?	Community & Housing – Adult Social Care

Stage 1: Overview	
Name and job title of lead officer	Andy Ottaway-Searle, Head of Direct Provision
1. What are the aims, objectives and desired outcomes of your proposal? (Also explain proposals e.g. reduction/removal of service, deletion of posts, changing criteria etc)	<p>We are seeking to maximise the commercial opportunities to generate additional revenue via Telecare and other assistive technologies.</p> <p>Currently Telecare is provided or made available to ASC customers as part of a package of care or following hospital discharge. Mascot also has a large number of self funding customers who are happy to pay for a service which enables them to live at home for longer. In addition, we have contracts with a number of Housing Associations to monitor their tenants in a range of locations across the borough and beyond. We are currently reviewing these contracts and will seek to drive up the value, as well as securing more business from similar organisations.</p> <p>We will also have further promotional drives to acquire more self funding customers.</p> <p>Working with equipment providers we will explore all possible options to utilise the ever growing range of assistive technologies which are being introduced.</p> <p>Additionally, we will look at opportunities to bid for Telecare contracts in other London Boroughs, and continue to explore with health colleagues opportunities to manage Telehealth services locally.</p> <p>We will also seek opportunities with small businesses to manage calls and out of hours monitoring. Mascot provides an out of hours service to all Council departments.</p> <p>These developments will be enabled by the planned updating of Mascot's Telecare Hub, due to take place in late 2018. This will give officers more free time by being faster, more efficient in terms of running reports and allowing direct input to systems remotely. We have already created specialist installer posts at Mascot to enable other officers to support customers and staff will increasingly have time to develop the service in the ways listed above.</p> <p>It is proposed to increase the weekly charges to customers by the rate of inflation in April 2019, the first price rise since 2012.</p> <p>No officer posts are at risk, and increasing income on a regular basis will provide further stability to the service.</p> <p>Our core business of supporting vulnerable people at home will continue to be the main priority and each new development will be monitored and reviewed to ensure that front line staff are supported in this.</p>
2. How does this contribute to the	Merton is committed to enabling it's residents to live well and age well, maximising their independence and

council's corporate priorities?	<p>wellbeing. A successful local Telecare service is a significant partner in this undertaking.</p> <p>The Adult Social Care Service Plan and TOM contribute to the council's overall priorities and will ensure that the savings targets are achieved in line with the Corporate Business Plan and the Medium Term Financial Strategy. It is also in line with the July principles, adopted in 2011 by Councillors, which sets out guiding strategic priorities and principles, where the order of priority services should be to continue to provide everything which is statutory and maintain services, within limits, to the vulnerable and elderly, with the Council being an enabler, working with partners to provide services.</p>
3. Who will be affected by this proposal? For example who are the external/internal customers, communities, partners, stakeholders, the workforce etc.	<p>Mascot currently provides support to around 1500 individuals in Merton, and works closely with colleagues across Community and Housing and other Council departments, as well as external partners such as Housing Associations and other Voluntary Sector groups.</p> <p>The staff group consists of 19 posts, the majority of whom are trained in all aspects of call handling, installing equipment and providing a mobile response to customers.</p>
4. Is the responsibility shared with another department, authority or organisation? If so, who are the partners and who has overall responsibility?	<p>We will require the ongoing support of colleagues in IT to install and maintain the hub equipment, and continued close working with ASC colleagues such as Social Workers and OTs.</p> <p>In terms of marketing and promotion we will explore with the Council's Communications Team the most effective means to develop the service.</p>

Stage 2: Collecting evidence/ data

5. What evidence have you considered as part of this assessment?

Provide details of the information you have reviewed to determine the impact your proposal would have on the protected characteristics (equality groups).

Telecare is developing at various rates across local authorities, but all Adult Social Care departments use Assistive Technologies to underpin and support packages of care for vulnerable people, and as part of a range of preventative measures which enable people to live well at home for longer. Mascot has been working in partnership with local housing providers for some years and we know that their reliance on Telecare to support tenants who are based in multiple sites has continued to grow. The range of Assistive Technologies is growing all the time and we are confident that as this happens more opportunities will be available to support both individuals and groups.

Stage 3: Assessing impact and analysis

6. From the evidence you have considered, what areas of concern have you identified regarding the potential negative and positive impact on one or more protected characteristics (equality groups)?

Protected characteristic (equality group)	Tick which applies		Tick which applies		Reason Briefly explain what positive or negative impact has been identified
	Positive impact		Potential negative impact		
	Yes	No	Yes	No	
Age	✓				A price increase in April could affect the ability of some customers to pay.
Disability	✓		X		As above
Gender Reassignment	✓			✓	
Marriage and Civil Partnership	✓			✓	
Pregnancy and Maternity	✓			✓	
Race	✓			✓	
Religion/ belief	✓			✓	
Sex (Gender)	✓			✓	
Sexual orientation	✓			✓	
Socio-economic status	✓			✓	

7. If you have identified a negative impact, how do you plan to mitigate it?

Individual customers affected will be supported by staff to have a financial assessment, and if necessary a social service assessment if their need is sufficiently high that there is a risk to their wellbeing if they cancel their Mascot subscription.

Stage 4: Conclusion of the Equality Analysis

8. Which of the following statements best describe the outcome of the EA (Tick one box only)

Please refer to the guidance for carrying out Equality Impact Assessments is available on the intranet for further information about these outcomes and what they mean for your proposal

Outcome 1 – The EA has not identified any potential for discrimination or negative impact and all opportunities to promote equality are being addressed. **No changes are required.**

Outcome 2 – The EA has identified adjustments to remove negative impact or to better promote equality. **Actions you propose to take to do this should be included in the Action Plan.**

Outcome 3 – The EA has identified some potential for negative impact or some missed opportunities to promote equality and it may not be possible to mitigate this fully. **If you propose to continue with proposals you must include the justification for this in Section 10 below, and include actions you propose to take to remove negative impact or to better promote equality in the Action Plan. You must ensure that your proposed action is in line with the PSED to have 'due regard' and you are advised to seek Legal Advice.**

Outcome 4 – The EA shows actual or potential unlawful discrimination. **Stop and rethink your proposals.**

Stage 5: Improvement Action Pan

9. Equality Analysis Improvement Action Plan template – Making adjustments for negative impact

This action plan should be completed after the analysis and should outline action(s) to be taken to mitigate the potential negative impact identified (expanding on information provided in Section 7 above).

Negative impact/ gap in information identified in the Equality Analysis	Action required to mitigate	How will you know this is achieved? e.g. performance measure/ target)	By when	Existing or additional resources?	Lead Officer	Action added to divisional/ team plan?

Note that the full impact of the decision may only be known after the proposals have been implemented; therefore it is important the effective monitoring is in place to assess the impact.

Stage 6: Reporting outcomes

10. Summary of the equality analysis

This section can also be used in your decision making reports (CMT/Cabinet/etc) but you must also attach the assessment to the report, or provide a hyperlink

This Equality Analysis has resulted in an Outcome 1 Assessment
The proposal is to promote the service to increase the service’s income. Prices will be increased in line with inflation.

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Stage 7: Sign off by Director/ Head of Service			
Assessment completed by	Andy Ottaway-Searle, Head of Direct Provision	Signature: AOS	Date: 1 October 2018
Improvement action plan signed off by Director/ Head of Service	Andy Ottaway-Searle, Head of Direct Provision	Signature: AOS	Date: 1 October 2018