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TRAFFORD COUNCIL

AGENDA PAPERS FOR EXECUTIVE MEETING

Date: Wednesday, 17 February 2016

Time: 6.00 pm

Place: Committee Rooms 2 and 3, Trafford Town Hall, Talbot Road, Stretford
M32 0TH

AGENDA	PART I	Pages
1.	ATTENDANCES	
	To note attendances, including officers, and any apologies for absence.	
2.	DECLARATIONS OF INTEREST	
	Members to give notice of any interest and the nature of that interest relating to any item on the agenda in accordance with the adopted Code of Conduct.	
3.	BUDGET 2016/17 - CONSULTATION PROCESS AND FEEDBACK	1 - 184
	To consider a report of the Executive Member for Transformation and Resources.	
4.	EXECUTIVE'S REVENUE BUDGET PROPOSALS 2016/17	
	To consider a report of the Executive Member for Finance and Director of Finance, comprising a number of sections (a-e) as follows.	
	<u>Please note:</u> All these documents are to be published on the Council's website. With the exception of the Executive's Response to Scrutiny (Item 4c), they are not being printed in hard copy with this agenda; and Members are asked to refer to the identical reports accompanying the Summons (Item 5) for the Budget Council Meeting on 17/2/16.	
(a)	Executive's Revenue Budget Proposals 2016/17 (To Follow) The Council received the final government settlement on 8 February 2016 and is assessing what impact this will have on its budget.	To Follow

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| (b) | Fees, Charges and Allowances 2016/17 | To Follow |
| (c) | Executive's Response to Scrutiny Committee's Recommendations on the Budget Proposals | To Follow |
| (d) | Capital Programme and Prudential Indicators 2016-9 | 185 - 200 |
| (e) | Treasury Management Strategy 2016/17 - 2018/19 | 201 - 226 |
| 5. | REVENUE BUDGET MONITORING 2015/16 PERIOD 9 (APRIL - DECEMBER) | 227 - 276 |

To consider a report of the Executive Member for Finance and Director of Finance.

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| 6. | CAPITAL INVESTMENT PROGRAMME MONITORING 2015/16 3RD QUARTER (APRIL - DECEMBER) | 277 - 286 |
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To consider a report of the Executive Member for Finance and Director of Finance.

7. URGENT BUSINESS (IF ANY)

Any other item or items which by reason of:-

- (a) Regulation 11 of the Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012, the Chairman of the meeting, with the agreement of the relevant Overview and Scrutiny Committee Chairman, is of the opinion should be considered at this meeting as a matter of urgency as it relates to a key decision; or
- (b) special circumstances (to be specified) the Chairman of the meeting is of the opinion should be considered at this meeting as a matter of urgency.

8. EXCLUSION RESOLUTION

Motion (Which may be amended as Members think fit):

That the public be excluded from this meeting during consideration of the remaining items on the agenda, because of the likelihood of disclosure of "exempt information" which falls within one or more descriptive category or categories of the Local Government Act 1972, Schedule 12A, as amended by The Local Government (Access to Information) (Variation) Order 2006, and specified on the agenda item or report relating to each such item respectively.

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Membership of the Committee

Councillors S.B. Anstee (Chairman), Mrs. L. Evans, M. Hyman, J. Lamb, P. Myers, J.R. Reilly, A. Williams and M. Young (Vice-Chairman)

Further Information

For help, advice and information about this meeting please contact:

Jo Maloney, 0161 912 4298

Email: joseph.maloney@trafford.gov.uk

This agenda was issued on Tuesday 9th February, 2016 by the Legal and Democratic Services Section, Trafford Council, Trafford Town Hall, Talbot Road, Stretford M32 0TH.

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Please contact the Democratic Services Officer 48 hours in advance of the meeting if you intend to do this or have any queries.

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TRAFFORD COUNCIL

Report to: The Executive
Date: 17th February 2016
Report for: Information
Report of: The Executive Member for Transformation and Resources

Report Title

Budget 2016/17 – Consultation Process and Feedback.

Purpose of Report

The purpose of the report is to set out the approach taken to the budget consultation for 2016/17 and provides a summary of the feedback received through the various methods. The report also sets out a suggested approach to future consultation exercises.

Recommendations

It is recommended that the Executive notes;

- The extensive consultation opportunities made available to the public for the budget proposals.
- The methodology and approach used for the consultation process.
- The feedback received from the consultation process
- The next steps to be undertaken.
- The Equality Impact Assessments in relation to the budget proposals and the Public Sector Equality duty.

Contact person for access to background papers and further information:

Name: Dianne Geary Extension: x1821
Background Papers: None.

Finance Officer Clearance (type in initials)...**ID**.....

Legal Officer Clearance (type in initials)...**HK**.....

[CORPORATE] DIRECTOR'S SIGNATURE

(electronic).....

To confirm that the Financial and Legal Implications have been considered and the Executive Member has cleared the report.

Implications:

Relationship to Policy Framework / Corporate Priorities	This report relates to the following Corporate Priorities. <ul style="list-style-type: none"> – Low Council Tax and Value for Money. – Economic Growth and Development. – Services focused on the most vulnerable people. – Reshaping Trafford Council.
Financial	As set out in the main budget report.
Legal Implications:	Any legal implications are as set out in the main body of the report.
Equality/Diversity Implications	The equality implications are as set out in the report and in the Equality Impact Assessments which have been published within this report.
Sustainability Implications	No direct implications.
Staffing / E-Government / Asset Management Implications	No direct implications for E-Government. Staffing – the budget proposals will have a direct impact upon staff. Given the number of staff affected, statutory processes have been followed, in line with collective consultation requirements. In addition, upon implementation of the proposals, consultation will be undertaken at a local level, in line with Council procedures. Any Asset Management Implications arising from the Ascot House and Pathways proposals will be managed by Corporate Landlord.
Risk Management Implications	No direct implications.
Public Health Implications	No direct implications.
Health and Safety Implications	No direct implications as proposals are in accordance with national guidelines.

1. BACKGROUND

- 1.1 This report details the consultation process in relation to the Council's budget proposals for the 2016/17 financial year and provides a summary of the feedback received. The budget report will set out the recommendations sought.
- 1.2 Having engaged with the community and special interest groups for the proposals for the 2015/16 budget, the Council wished to build upon the momentum and rapport established during that process.
- 1.3 The process was designed to inform the public of the journey so far, the budget process for 2016/17 and the requirement to save a further £33m over the next two-years; £21m for 2016/17 and an additional £12m in 2017/18. It was also to consult the public about how those savings could be achieved.
- 1.4 It was agreed by the Executive that a two-stage public consultation process should be undertaken. Phase one would consist of the sharing of preliminary ideas with interested parties to seek their views and ideas and phase two would detail the proposals for the Council's proposed budget for 2016/17 taking into account the respondent's views from phase one.
- 1.5 To help shape the proposals, six themes were identified as follows:
 - **Working Smarter:** Looking at the way things are done such as redesign of the workforce;
 - **Buying Better:** Working with our partners and suppliers to ensure we get best value for our expenditure;
 - **Maximising Income:** Maximising income from our services or generating income from assets such as advertising;
 - **Eligibility and Access:** Reviewing the current care packages and all new applications; applying the reshaping social care policy, utilising equipment, assistive technology and adaptations;
 - **Joining Up and Working Together:** Looking at how we deliver community health and social care services for adults in Trafford; and
 - **Promoting Independence:** Helping people to help themselves, through our care strategy.
- 1.6 In addition to the six themes, participant's views would also be sought upon key issues such as the raising of Council Tax and, use of Council reserves as well as soliciting their views and ideas on the running of Council services.
- 1.7 In addition to the above proposals relating to the public, there was also a proposal affecting the workforce; this proposal related to the existing temporary arrangement that requires staff to take three days mandatory unpaid leave and the proposal was that this was extended for a further two years (until 31 March 2018). Formal staff consultation commenced on the 5 November with the issue of a S.188 notice to the recognised trade unions. It concluded on 19 December 2015.

2. APPROACH TO PUBLIC AND STAKEHOLDER CONSULTATION

- 2.1 The aim of the budget consultation was to inform residents and businesses of the themes of the saving proposals, the amount needing to be saved / generated and to gather responses from stakeholders. It should be noted that in addition to the budget consultation an additional and separate statutory consultation is being undertaken for the proposed changes to children's and adults transport services.
- 2.2 The public consultation was staged over two phases, with phase one running from 9 September through to 30 September 2015 and phase two from the 24 November through to the 16 December 2015.
- 2.3 Staff information and consultation on the proposals ran in parallel with the public consultations. The revised proposal recommended a one year extension period for mandatory unpaid leave instead of a two year extension. Formal consultation on the proposals affecting staff commenced on the 5 November with the issue of the S.188 notice, with consultation concluding on the 19 December. In addition, employees were also informed of the public process and events and they were encouraged to also give their views as part of phase one.
- 2.4 Key budget messages were delivered through the following communications channels:
- 15 open public forum meetings held across the borough and at a wide range of days and times to maximise the opportunities for residents to attend.
 - A dedicated website 'Trafford Council Budget 2016/17' open to all residents and interested parties was available for both phases. This included information on the proposals, a link to allow a questionnaire on residents views to be completed and to be able to leave feedback.
 - An information booklet branded as 'Join the conversation' giving details of the proposals, and inviting feedback via the questionnaire, feedback cards or email.
 - A short film setting the context of the budget challenge facing the Council. This was shown at public consultation meetings and was also available to view on the dedicated website.
 - A PowerPoint display at each event and also made available for use with partners giving details of the proposals.
 - A 'Business Breakfast' event to engage with the business community which was held on 19 November 2015.
 - Staff briefings and a Reshaping Trafford Council Newsletter.
 - Reminders and updates on the staff intranet page.
- 2.5 To assist the Council in achieving its consultation objectives an independent organisation, The Campaign Company (TCC), was retained to provide analysis of the consultation process and results. Representatives from TCC attended the consultation events during phase one and two and the report from TCC has informed the contents of this outcomes report.

3. COMMUNICATIONS

3.1 Summary

3.1.1 A wide variety of communication channels have been used to promote the budget proposals and to encourage participation. These are outlined below.

3.2 Website Communications

3.2.1 A dedicated website was set up to support the consultation and was live from 28 August 2015 onwards to promote phase one of the consultation. It contained information about the budget approach and the options available to the Council. The 'Join the conversation' page outlined the various ways in which people could get involved. This included information regarding the consultation events; a link to a detailed on-line survey, or the option to complete a general feedback form.

3.2.2 For phase two of the consultation, the website was further revised following the publication of the Council's budget proposals in November 2015. This consisted of a six-section mobile-enabled website consisting of the following:

- Welcome – including a message from the Leader and links to downloadable or read on line documents;
- Budget background – giving a brief history of savings to date and the need for further additional savings;
- Proposals – providing an overview of the proposals and introducing the themed approach to the savings;
- Join the conversation – giving details of the dates, times and locations for the public meetings. It also includes links to the on-line questionnaire for those unable to attend events;
- Blueprint – detailing the transformational journey that the Council is currently undertaking; and
- Myth buster – answering many of the frequently raised questions.

3.2.3 Each page also contained a link directly to the full budget report should anyone wish to read more details about the proposals.

3.2.4 In addition the website also had links to two versions of the separately running survey on the future of assisted travel and a link to a further separate questionnaire regarding opinions surrounding an increase in Council Tax.

3.2.5 The budget consultation website was signposted from the home page of the Council's website for the duration. The website received a total of 2,260 page views with 1,691 of these being unique visitors to the site.

3.2.6 During the Comprehensive Spending Review on 25th November, the Government announced that Councils could raise Council Tax by up to a 2% precept to contribute towards the cost of adult social care. As the Council did not consult on this question as part of its initial proposals, an online poll was

launched which ran from 14 – 31 December asking whether residents agreed with the proposals. Details of the outcome can be found in section 8.8.2.

3.3 Media Communications

- 3.3.1 For phase two of the consultation, a media briefing took place to ensure the local press were fully aware of the proposals. The attendees were taken through a presentation which outlined the budget situation, the budget proposals and the approach to consultation.
- 3.3.2 The media were then given the opportunity to speak to the relevant Corporate Director, Leader of the Council or Executive Member for Finance for wider context where required. This briefing resulted in coverage in the two main local newspapers and the main Manchester evening paper. The Leader of the Council was also interviewed by BBC Radio Manchester and Key 103 about the proposals. Both interviews were played that evening.
- 3.3.3 A number of press enquiries have also been received throughout the consultation process. These varied broadly across most of the proposals. The response to each reiterated where people could feedback and ‘Join the conversation’.

3.4 Publicity

- 3.4.1 For both phase one and two of the consultation, public events and the opportunities and methods to provide feedback were promoted as follows:
- Five press releases were issued to newspapers which included consultation event details.
 - Quarter page adverts including the forum details in the Sale & Altrincham and Stretford & Urmston Messenger’s.
 - Quarter page adverts including the forum details in the Trafford Advertiser.
 - The website, which was mobile-enabled for easy viewing via a number of devices, contained a summary of all the proposals and a link to the budget report. It also promoted the opportunities to register for the forums and provide feedback.
 - The Council website, Twitter and Facebook have been used to promote the events and feedback mechanisms.
 - Posters have been displayed in local libraries, leisure centres, some council owned car parks and local businesses where possible and flyers were also produced and circulated to the same venues to allow people to take information away with them. In addition, questionnaires were available for completion in some of our libraries. All of these items contained a link to the Council’s dedicated budget website.
 - The Council were made aware of groups and organisations who communicated the message such as Friends of Parks groups.
 - Seymour Park Primary School promoted the meeting taking place on their premises by texting parents informing them of the details of the event.
 - All ward Councillors were made aware of the consultation activity.

- 500 leaflets were distributed by a volunteer resident in Altrincham to homes in his locality.

4. PUBLIC AND STAKEHOLDER CONSULTATION

4.1 Consultation support materials

4.1.1 A 12-page summary document was produced which was given to all those who attended the consultation meetings. This document summarised all of the proposals for each theme and sign-posted people to the budget report for further information. A four minute animated film was produced (an update of the film used last year) which sets out how the Council is changing and why.

4.1.2 This was further supported with a presentation at each of the public events detailing the proposals by theme. This was made available to all hosts of the public events and also to those staff who were engaging with partners or special interest groups.

4.1.3 To gather feedback and responses a 12-page questionnaire was produced which had been designed by The Campaign Company to help stimulate debate, and elicit views on the proposals. Additional feedback cards were distributed at events and made available to interested parties.

4.2 Business Breakfast

4.2.1 A Business Breakfast event took place on 19 November 2015 to inform local businesses of the Council's budget proposals. There are 2,500 businesses on the Council's business database and all were sent invitations to the event. It was also promoted on the Council's website, Twitter, through the GM Chamber and through Altrincham Forward. A total of 19 delegates representing 16 businesses and third sector organisations attended the event.

4.3 Trafford Partnership

4.3.1 The Council also promoted both phases of the consultation process through its partners and the following actions were taken:

- An email was sent to all Trafford Partnership members some 300 public and third sector people, informing them of all the consultation events on two occasions.
- The four Locality Partnerships (totalling 450 community people) received details.
- The details were also emailed to the following neighbourhood partnerships:
 - Sale Moor Stakeholders;
 - Sale West and Ashton Partnership;
 - Our Sale West;
 - Sale Town Centre Partnership; and

- Lostock Partnership.
- Budget consultation posters were also provided to the following venues:
 - Broomwood Community & Wellbeing Centre;
 - Altrincham Town Hall;
 - The Square Shopping Centre (Sale)
 - All Trafford Libraries;
 - Sale West Community Centre;
 - The Avenue Methodist Church (Sale);
 - Harry Lord House;
 - Waterside Arts Centre;
 - Old Trafford Wellbeing Centre;
 - St John's Centre;
 - Stretford Mall; and
 - Partington shopping centre.

4.3.2 As previously noted, consultation for the 2016/17 budget process has been split into two sections, phase one being conducted during September and phase two during November and December 2015.

4.4 Phase One

4.4.1 A total of seven public events were undertaken in this phase, scheduled to maximise opportunities to attend. Five events were conducted in the early evening, one event in the morning and one event on a Saturday. All events followed the same format:

- A 15-minute presentation from the Leader or other senior Councillor setting out the narrative and explaining the six themes;
- A short question and answer session to clarify anything from the presentation;
- An hour of structured discussions in table setting using the six themes to frame the conversation; and
- A session for each table to feedback their key points to all present.

4.4.2 All participants were provided with copies of the narrative and encouraged to complete feedback cards and the questionnaire. Discussions were recorded on table responses.

4.4.3 A total of 83 residents attended the seven events, 54 surveys in all forms were completed and 29 feedback cards were received. Whilst this is a disappointing level of attendance, the quality of participation and discussion was judged to be high by TCC, who independently assessed the feedback.

4.5 Phase Two

4.5.1 Phase two of the consultation process was designed to present the outcomes from phase one along with the Council's 2016/17 Budget proposals and to seek the public's views on these.

4.5.2 A further eight public events were undertaken during phase two, and again these were scheduled to give the widest range of attendance opportunities. Six events were conducted in the early evening, one event in the morning and one event on a Saturday. As in phase one, events were staged at locations around the borough.

4.5.3 All events followed the same format:

- A 15-minute presentation from the Leader or other senior Councillor setting out the narrative and presenting the six themes and the proposals associated with them;
- An hour of structured discussions in table setting using the six themes to frame the conversation;
- A session for each table to feedback their key points to all present; and
- A question and answer session for attendees.

4.5.4 All participants were provided with a copy of the Budget Consultation booklet detailing the proposals. Attendees were encouraged to complete feedback cards and the questionnaire. Discussions were recorded on table responses.

4.5.5 A total of 77 residents attended the eight events, 63 surveys in all forms were completed and 32 feedback cards were received. In addition the Council received 11 emails and 2 letters regarding the budget proposals.

4.6 Pathways Day Centre

4.6.1 Given the specialist nature of this service and the impact the proposed changes will have; one to one meetings were held with the families of people using the Pathways service to gather their views about alternative arrangements for the day care provision for their relatives. The feedback was recorded and has been incorporated as part of the overall feedback.

4.7 All Age Travel Assistance Policy

4.7.1 It should be noted that in addition to the budget consultation, the Council is also undertaking a separate consultation with regards to its proposed revisions to its All Age Travel Assistance Policy. Elements of this exercise have been conducted simultaneously with the budget process – the public have been encouraged to attend meetings and give their views.

4.7.2 Given the specialist nature of this service, a Council Officer with specialist knowledge of the proposed changes has been available at the budget public events to discuss them with interested parties. The public has also been encouraged to use the on-line questionnaires for this topic via links from the

budget consultation web pages. There will also be separate public meetings with specialist interest groups and service users.

- 4.7.3 This is a statutory consultation exercise and consequently will run through to the 2 February. The results will be independently analysed by The Campaign Company and the results and outcomes will be presented to the Executive in a separate report in March.

4.8 Approach to Staff Consultation

- 4.8.1 The statutory consultation process was aligned to the budget consultation process for 2016/17. In this respect, formal collective consultation commenced on 5th November 2015, with the issue of a S.188 notice to the recognised trade unions. The consultation concluded on 19th December 2015.

- 4.8.2 During this period, there were four formal collective consultation meetings involving Elected Members, Senior Managers and trade union officials. The purpose of these meetings was to discuss the proposal, receive feedback and try to reach a collective agreement.

- 4.8.3 Running parallel with the collective consultation process, the Council also engaged directly with employees on an individual basis. Individual letters were issued to all staff, communications were posted on the intranet via the 6-boxes and the weekly update and a survey was also undertaken. The aim of this individual consultation was to seek feedback from staff on the proposal and also to obtain voluntary sign up to the extension, where possible.

5. SCRUTINY

- 5.1 Two Task and Finish Groups of Scrutiny Members were held in December 2015 to review the proposals on a directorate and theme basis. Scrutiny comments were submitted to the Executive on 25 January and their comments are reflected in the budget report.

6. OUTCOMES OF THE PUBLIC CONSULTATION – PHASE ONE

6.1 Introduction

6.1.1 It was planned that this first stage would stimulate conversation and interest with the residents regarding areas where savings may be made and also to obtain their views across a range of matters including on whether there should be a rise in Council Tax.

6.1.2 The responses have been independently analysed by The Campaign Company on behalf of the Council to ensure impartiality and report upon the feedback in an objective manner. This section summarises the key feedback from the consultation process. There was support for the themes and all comments were taken into consideration when reviewing the proposals.

6.1.3 The Phase One findings and report by The Campaign Company are included as Appendix 1 of this budget outcomes report.

6.2 Council Tax

6.2.1 At the time of consultation a general question was posed as regarding increasing Council Tax, no specific level of increase was proposed. There were 44 responses in favour of raising the charge by up to 2% and 9 comments favouring a rate of increase above that. This area stimulated comments regarding increasing tax but continuing to cut services in the future.

6.3 Use of Council Reserves

6.3.1 Participants were asked their view on the use of Council reserves to meet any shortfall. Of those who took part, 18 comments were made to support this approach, whilst 25 commented against. Comments were mixed; some were in favour of using reserves to offset cuts, with others appreciating the role of reserves in the Council's budget planning.

6.4 Working Smarter

6.4.1 This proposal involves looking at the way the Council provides services and does things. Of those who responded 40 comments were received in favour. Although there were no comments against the proposal 8 comments expressed concerns about how it is done and the potential impacts.

6.5 Buying Better – commissioned services

6.5.1 This proposal involves getting the best value from spending and drew a mixed response from participants; of those who responded 24 were in favour, noting that this was a good way to get value for money. However, although no one was against the proposal there were comments (28) regarding outsourcing, the quality of service delivery by outside contractors and the duration of the contracts.

6.6 Maximising Income – income generation

6.6.1 This area involves potential new charges for some services and consideration to increasing current charges as well as possible renting out our buildings and other assets. The responses received produced a broad range of comments; including ideas for income generation and school crossing patrol sponsorship along with general comments regarding the level of parking charges and rents. There were however, some concerns voiced regarding the impact of increasing rents and parking charges upon town centres, which many felt are struggling in competition with out of town shopping centres.

6.7 Eligibility and Access

6.7.1 This proposal considers exploring different ways of meeting people's needs which includes greater use of technology, different types of care or contributing to care for those able to contribute. Of those who responded the majority of respondents commented on the principles of contributing to aspects of one's care costs not currently charged for e.g. deferred payments administration charge, credit checks for third party top ups, and admin fee for financial management. There were 20 comments in favour of this approach, and 13 against drawing a wide range of comments on all aspects of health support and entitlement along with concerns regarding the care of vulnerable groups.

6.8 Joining up services and working together – integration an collaboration

6.8.1 This proposal explores the potential for joining up with other service providers in health, the voluntary, community and private sectors. This may mean some services being provided differently, from different locations for example. Of those that responded, 38 strongly agree/agree with this proposal. There were six objections to this proposal; these expressed concerns regarding the impact upon services and users.

6.9 Promoting Independence

6.9.1 This proposal is an extension of last year's policy change and recognises that it is better for individuals if they can maintain their independence for as long as possible with 28 respondents strongly agree/agreeing with this proposal. There were however, seven comments expressing concerns; these focused on the quality of support and the use of technology.

7. OUTCOMES OF THE PUBLIC CONSULTATION – PHASE TWO

7.1 Introduction

7.1.1 Phase two of the public consultation was designed to build upon the feedback from phase one, and additionally to engage the public with regards to the Council's draft budget proposals for 2016/17 which were published on the 16 November 2015.

- 7.1.2 Feedback was invited through a wide variety of routes. All interested parties could read the summary document and then comment upon the proposals; via the feedback cards or the questionnaire which asked for comments on specific areas, as well as attend the public consultation events. Savings were again presented as themes, with specific proposals or areas of interest highlighted as part of the presentation / facilitated discussions and the questionnaire.
- 7.1.3 The Campaign Company were involved in the design of the questionnaire and the analysis of the results to ensure maximum objectivity. The Phase Two findings and report from The Campaign Company are included as Appendix 2 of this budget outcomes report.

7.2 Working Smarter

- 7.2.1 All Age Travel Assistance Policy – this proposal was included in the main budget consultation questions posed, although it is the subject of a separate consultation exercise and the responses gathered here will be included in that exercise and will be the subject of a separate report to the Executive in March 2016.

7.3 Buying Better – commissioned services

- 7.3.1 One Trafford Partnership – the proposal to introduce new approaches and investment in systems and equipment to save money, for example, to allow for longer grass cutting intervals and the removal of the 8 ‘Bring Sites’. Of those who responded 52% of participants agreed with this approach and 32% disagreed. The lengthening of grass cutting was generally supported, with suggestions made to even further and allow for ‘wild flower’ areas to support wildlife habitats.
- 7.3.2 With regards to the removal of the ‘Bring Sites’ concerns were raised that their removal could lead to an increase in ‘fly tipping’ and dumping around the borough. A wide range of comments received regarding reducing ‘green’ collections in the winter months and increasing paper and recyclables during this period.
- 7.3.3 Other comments arose regarding the decision to partner with Amey; especially the length and scale of the contract, Council claims regarding service improvements; and perceptions of value at such an early stage in the contract life.
- 7.3.4 Extra Care – here the proposal is to introduce a common rate of charge across the four Council supported sites, with 49% of respondents agreeing and 25% disagreeing. There were a limited number of comments supporting this proposal, and those in disagreement related to the fairness of the scheme on individuals.
- 7.3.5 Commissioning / Market Management – participants were asked to comment on the proposal to review contracts, whilst acknowledging the need to consult

with service users if affected. This produced a wide spread of comments, some regarding the Amey contract and its duration, and concerns that the outsourcing of contracts can lead to lower wages and less job security for employees and the effects that may have on communities.

- 7.3.6 Having carefully considered the feedback from the public consultation events; and balancing this with the need to make the savings, it is recommended that the proposals within the Buying Better category are implemented without change.

7.4 Maximising Income – income generation

- 7.4.1 The proposal to increase car parking fees around the borough were accepted by 70% of respondents agreeing to the increase although 23% disagreed.

- 7.4.2 The proposal to introduce charges at car parks which are currently free saw 73% of respondents agreeing to the introduction and 20% disagreeing.

- 7.4.3 Comments with regard to these proposals were broad, some felt that the proposed charges were reasonable, and could possibly be raised by a larger amount compared to the surrounding area. However, there were comments regarding how the charges would deter town centre shoppers, particularly in Altrincham and affect traders and footfall. There were also concerns raised regarding the introduction of charges on poorly maintained car parks.

- 7.4.4 Increasing Trafford's Income – this asked participants to comment upon proposals to increase funding by attracting new businesses to the area. An overwhelming 80% of respondents agreed with the proposal, with 3% disagreeing.

- 7.4.5 Income Generation – here respondents were asked if the Council should continue to invest time and effort to maximise income generation through the better use of Council assets. This produced an overwhelming response of 90% in agreement with the proposal and 10% stating that they neither agreed nor disagreed.

- 7.4.6 Bereavement Services – this asked for comments upon the proposal to introduce new product offerings along with reviewing the Council's rate of fees and charges. This proposal produced a large 'neutral' response with 42% of respondents 'neither agreeing nor disagreeing' with the proposal.

- 7.4.7 There were however a number of comments; regarding the level of charges and that any increase is reasonable and not a method of generating income from the deceased or from relatives.

- 7.4.8 Fees and Charges (Care Services) – this asked for comments upon proposals to introduce charges for services not currently charged for e.g. deferred payments, financial support and introduce credit checks based upon people's ability to pay, 41% of respondents were in agreement with the proposal, whilst some 37% disagreed or strongly disagreed with the proposal. This also drew

a number of comments – 20 in total, ranging from the fairness of the proposal, common pricing should apply to all, and the means testing process.

- 7.4.9 Having reviewed the feedback from the public consultation events; it is recommended that the proposals within the Maximising Income and Income Generation category are implemented without change.

7.5 Eligibility and Access

- 7.5.1 Reshaping Adult Social Care – this focused upon the policy change approved last year to review all individual care packages. The work continues to roll this out and consulted further use of equipment, technology and new care options to meet need. This produced a broad spectrum of responses and comments with 54% in favour of the proposal and 23% against. Comments supporting the proposal were limited 7, the majority 18 against, and this proposal also produced 16 suggestions.

- 7.5.2 Comments in favour focused on the ability to pay, those who can afford it should pay, whilst those against focused on a range of issues, such as lack of resources, staff, and delays in discharging patients from hospital. Suggestions were made on a range of areas, GM devolution, partnership working and the experiences of other Councils.

- 7.5.3 Following evaluation of the feedback from the public consultation events; and considering the need to make savings it is recommended that the proposals within the Eligibility and Access category are implemented without change.

7.6 Joining up services and working together – integration and collaboration

- 7.6.1 Integrated Health and Social Care – here participants were asked to comment on the proposal to join up services across health and social care for children, adults and older people. This proposal received a very positive response from participants with 71% agreeing and 10% disagreeing.

- 7.6.2 The proposal also attracted a large number of comments 75 in total; with 13 in favour, 18 against, 16 neutral and 28 suggestions. Positive comments were expressed regarding customer experience, single point of contact, reducing duplication and breaking down barriers. There were however some very specific comments in disagreeing with the proposal and its possible impact on the Voluntary Community Sector (VCS), sexual and mental health services, and the possible performance of the MARAT team. There were also comments made on lack of information in the proposal and again the lack of substantive detail regarding public health proposal.

- 7.6.3 There were also a wide range of other comments and suggestions made, ranging from the possible impacts upon minority groups, skills retention, staffing levels and the need for streamlined services and adequate signposting for information and services.

- 7.6.4 Keeping Families Together – requested comments upon the proposal to establish a single service to keep families in crisis together and prevent children coming into care. Some 78% of the survey respondents agreed positively with this proposal with just 5% disagreeing. This proposal also received a mixed selection of comments. Those in favour broadly welcomed the whole family approach and the avoidance of placing children into care.
- 7.6.5 However, there were concerns raised that the approach had to meet statutory requirements for safeguarding; and the need to ensure that key workers are retained to develop long-term relationships with families.
- 7.6.6 Development of a ‘Front Door’ for children, family and wellbeing services – here participants were asked to comment on the proposal to develop a single point of access for agencies and professionals. From the responses received, support was overwhelming with 84% agreeing and just 2% disagreeing.
- 7.6.7 Learning Disability, Complex and Additional Needs (CAN) and Personal Budgets – this proposal produced an interesting result. Although 62% of respondents were in agreement and just 7% disagreed, the proposal attracted 67 comments with just 4 in agreement, 26 against, 13 neutral and 24 suggestions.
- 7.6.8 Comments against the proposal referred to the current level of service delivery and how the proposal will only lead to additional staff cuts, the effect it will have on users in terms of their individual care and personal stability. Comments were also made around promoting collaborative service redesign and supporting gifted children in addition to those with disabilities.
- 7.6.9 Following the appraisal of the feedback from the public consultation events; and the savings required it is recommended that the proposals within the Joining up Services and Working Together – Integration and Collaboration category are implemented without change.

7.7 Promoting Independence

- 7.7.1 Pathways (Day Centre for Adults with Learning Disabilities) sort views from families supporting people who are about alternative solutions to meeting their needs at an alternative day care provider currently using this internal day service. From the general consultation the majority of respondents disagreed 43%, whilst 32% agreed. The majority of the comments, 22, disagreed with the proposal with the main worry being the impact on the individuals currently attending the centre.
- 7.7.2 Supported Living – this sought comments from participants upon the proposal to reduce our supported living proposal through closure and working with other providers to offer alternatives in Trafford. On this proposal the majority of respondents disagreed, 37%, whilst 35% agreed and 28% were undecided. Likewise; the majority of comments 16 disagreed, these focussing on the quality of care, treatment of vulnerable people by providers and safeguarding.

- 7.7.3 Ascot House – this asked participants to comment upon our plans to develop Ascot house and the services housed there; in conjunction with the health sector. Given to specialist nature of this establishment, some 34% were unable to offer a view on the proposals. Just 21% of respondents were in agreement with the proposal and 36% against.
- 7.7.4 There were a number of comments regarding the proposal – these focused on any potential loss of respite care and the lack of alternative facilities.
- 7.7.5 Aids and Adaptations – comments were requested on this area, regarding our proposal to review all aspects of the way this service is provided and funded to provide a more cost effective service. 54% of participants responded positively to the proposal, and 28% of respondents disagreed.
- 7.7.6 The feedback from the public consultation events has been reviewed and therefore it is recommended that the proposals within the Promoting Independence category are implemented without change.

7.8 Council Tax

- 7.8.1 This proposal asked participants for their views on freezing Council Tax in return for the Government 'freeze grant'. This proposal produced a mixed response; 44% agreed with the freeze and 37% disagreeing. The proposal also attracted 114 comments; with 6 in agreement, 66 against, 19 neutral and 23 suggestions. The comments against noted that the Council Tax had been frozen for a number of years and that an increase is now necessary to protect services; prevent further cuts and keep existing levels of delivery.
- 7.8.2 Council Tax – Social Care precept – This was an additional question which arose as a result of the Chancellor's autumn announcement. The question was 'Do you think the Council should increase Council Tax by 2% to help pay for some of the cost of adult social services?' There were 244 responses to the questions with 59% agreeing to the 2% increase.

8. PETITIONS RECEIVED

- 8.1 There have been no petitions received by the Council in relation to the proposals contained within the 2016/17 draft budget.

9. OUTCOME OF STAFF CONSULTATION

- 9.1 A report detailing the outcome of staff consultation on the proposal to extend the mandatory unpaid leave arrangement for a further two years was presented to the Employment Committee on 18th January 2016.
- 9.2 In summary, whilst discussions with the trade unions were productive during consultation, the Council was unable to reach a collective agreement and the trade unions asked for the proposal to be reconsidered.

- 9.3 With regard to individual consultation, out of the 1639 employees directly impacted by the proposal, feedback was received from 83. This represents 5% of staff affected. Of those 83 staff who responded, 40% were in agreement with the proposal to extend the provision, with 55% disagreeing. The general feeling from those staff who did not agree with the proposal was that it was an unfair measure which represented a pay cut and that the provision should be applied on a voluntary rather than a mandatory basis. .
- 9.4 Feedback was also sought on the proposal to offer additional voluntary unpaid leave, with the ability to spread the cost evenly over a 12 month period. Responses to this were much more positive with 64% of the 83 staff who responded in agreement that this was a good idea. However, only 35% of respondents indicated that they would actually take up the offer.
- 9.5 In addition to seeking feedback on the proposal, employees were also invited to voluntarily sign up to the extension, should it be agreed. As at 20th January 2016, 61% of affected staff had signed up.
- 9.6 In response to the feedback received from staff and the trade unions and mindful of the desire to ultimately move to a voluntary sign up position, a revised proposal was presented to the Employment Committee for consideration.
- 9.7 The revised proposal recommended a one year extension period for mandatory unpaid leave instead of a two year extension. This revised proposal was approved by Employment Committee, subject to a further review towards the end of 2016. This review will consider the take up of the additional voluntary unpaid leave arrangement during 2016 and thus determine the potential viability of a purely voluntary arrangement moving forwards. During 2016, active promotion of the voluntary arrangements will be undertaken.
- 9.8 Further to the decision by the Employment Committee, individual communications have been issued to all affected staff. These communications encourage staff to voluntarily sign up to the extension to the mandatory unpaid leave provision so that associated salary deductions can be made over a 12 month period. Where there is no voluntary acceptance, notices of dismissal and re-engagement will be issued to relevant staff, in line with legal requirements.

10. The Public Sector Equality Duty

- 10.1 Under the Equality Act 2010 a public authority in the exercise of its functions must have due regard to the need to eliminate discrimination, harassment, victimisation and any relevant prohibited conduct, advance equality of opportunity between persons sharing a relevant prohibited characteristic and persons who do not; and foster good relations between persons sharing a relevant prohibited characteristic and persons who do not.

- 10.2 Protected characteristics for the purpose of the Act are disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex and sexual orientation.
- 10.3 In order to assist the evaluation of the proposals and to ensure that the Council paid due regard to its duties under the Equality Act, a number of Equality Impact Assessments (EIAs) were carried out as part of the evaluation process to ensure that due consideration was given to those with the protected characteristics and the likely impact of the proposals on each of these groups.
- 10.4 The EIAs were available to officers evaluating the consultation responses and are included in Appendix 3. Any potential impacts have been identified through the EIA and consultation process. Where any potential impact has been identified consideration has been given to whether measures can be taken to mitigate against these impacts and the mitigation measures are set out within the body of the relevant EIA or are reflected, where appropriate, in modifications to the proposals.
- 10.5 In considering the report the Executive is required to have regard to the Public Sector Equality Duty. In order to satisfy this duty the Executive must consider the potential impacts identified in the EIA's and the consultation feedback which are included in the report.

11. NEXT STEPS

- 11.1 A report setting out the outcome of the staff consultation has been presented to the Employment Committee with a recommendation for a one year extension as noted at 9.7. This will be presented to the Executive for information. There has also been a staff communication advising them of the outcome of consultation and Employment Committee's decision.
- 11.2 The consultation responses and the EIA's have been considered as part of the decision making process and have therefore informed the budget report, which is a separate document.
- 11.3 It is proposed that a review of the consultation process, in the light of this years' experience, will now be undertaken; with the purpose of establishing a benchmarked position for Trafford against other AGMA partner authorities. This will allow the Council to consider its options when undertaking future consultation exercises.

12. RECOMMENDATIONS

12.1 It is recommended that the Executive note:

- The extensive consultation opportunities available to the public for the budget proposals.
- The methodology and approach used for the consultation process.
- The next steps to be undertaken.
- The final proposals and consultation outcomes.
- The Equality Impact Assessments in relation to the budget proposals and the Public Sector Equality duty.

Trafford Council Budget 2016/17

Public Consultation: Phase 1

A report from The Campaign Company (TCC)

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1. Executive Summary

1.1 Introduction

This is the report summarising feedback from Phase 1 of Trafford Council's budget consultation for 2016/17, which was held during September 2015.

It has been produced by The Campaign Company (TCC), an independent company that specialises in public engagement, who were appointed following a full tendering process.

[Details in Section 2]

1.2 The Approach

1.2.1 Framing the consultation

TCC worked with Trafford Council to develop a narrative, based around plain English versions of Trafford's six themes:

- Working smarter (Service and Process Optimisation)
- Buying better (Commissioned Services)
- Maximising income (Income Generation)
- Eligibility and access
- Joining up services and working together (Integration and Collaboration)
- Promoting independence

These six themes, along with Council Tax levels and use of council reserves, were used to frame the questions in the public event table discussions and the online survey.

[Narrative at Appendix A, details in Section 3.1]

1.2.2 Consultation elements

There were three elements to the consultation:

- Seven public events at various times and locations across the borough (details in Appendix B)
- An online survey, hosted by TCC, with a link from the front page of the council's website (paper copies of the survey were also made available)
- Feedback cards – free format cards made available at each of the public events and at numerous public buildings

As well as these three elements people were also able to feedback by email or in writing to the council's general consultation address.

1.2.3 Promoting the consultation

A significant range of activities were undertaken to promote the consultation to the public; including using the press, social media, mass emails, the intranet and fliers in numerous public buildings.

[Details in Section 3.2 and Appendix B]

1.3 Findings

1.3.1 Responses

722 comments were received in total, with participation as follows:

- 83 people attended the public events
- 54 people completed the online survey (10 through paper copies)
- 29 feedback cards were completed
- 14 emails were received

We believe the main reasons for this disappointing response are:

- The general, high level nature of the consultation – people are more likely to engage with specific proposals
- A new approach – this is the first time Trafford have consulted on their budget this early in the process; people were not expecting or looking out for it
- Lack of awareness – despite extensive efforts by the council to promote the consultation there were many reports of people not being aware of them

1.3.2 Findings

Trafford provided multiple channels and opportunities for members of the public, businesses and other stakeholders to respond over the consultation period. Those who have responded to this consultation have been motivated by the issues and made a choice to do so. The qualitative feedback provides a rich temperature check of a mix of Trafford residents.

Council tax levels

Overall there was a three to one response in favour of raising Council Tax, with two thirds of those who expressed a view supporting a rise of up to 2% (that is up to the referendum threshold.) This support was driven by a desire to reduce savings required and on the condition it is used wisely.

The most common reason mentioned by those who were against a rise was affordability.

[Details in Sections 4.2.1 and 5.2.1]

Use of council reserves

On balance, slightly more people expressed views against using council reserves than for. Even a number of those that were in favour of using reserves accepted the need to maintain a minimum level (£6m) and to only use reserves above this level. There were a number of

comments that recognised that reserves can only be used once and are not a sustainable solution to the savings target required.

[Details in Sections 4.2.2 and 5.2.2]

Working smarter (Service and Process Optimisation)

Unsurprisingly, the vast majority were in favour of this approach; many saying it's just common sense. Several ideas were suggested, including relying less on consultants and using front line staff, like refuse collectors, to report potholes and broken streetlights.

[Details in Sections 4.2.3 and 5.2.3]

Buying better (Commissioned Services)

The focus was on outsourcing, with just under half in favour provided the quality of services did not suffer. Concerns were around private firms prioritising profits over service and maintaining quality. Concern was also expressed over the length of the Amey contract.

[Details in Sections 4.2.4 and 5.2.4]

Maximising income (Income Generation)

The majority were in favour of this approach, reasoning that the more income that can be generated the less the savings that need to be found.

A number of people thought parking charges could be increased significantly and there were ideas such as sponsoring school crossing patrols and spending more effort in pursuing EU and other grants.

[Details in Sections 4.2.5 and 5.2.5]

Eligibility and access

The focus was on contributing to care costs. A majority supported this provided they were means tested; recognising that this enabled scarce resources to be best used.

Those against thought people who had paid taxes during their lifetimes should not have to pay for care and were concerned that the vulnerable should not have to bear the brunt of savings.

[Details in Sections 4.2.6 and 5.2.6]

Joining up services and working together (Integration and Collaboration)

This was a very popular approach, with over 85% in favour. A number of people mentioned joining up services across the whole of Greater Manchester. Concerns were around the risks of using third sector organisations to deliver services (citing the Kids Company collapse) and the impact of change on vulnerable people.

[Details in Sections 4.2.7 and 5.2.7]

Promoting independence

Another popular theme with 80% of comments in favour, saying people are better off in their own homes, providing there is sufficient support available. Concern was expressed about the use of technology as a replacement for people and being confusing for some.

[Details in Sections 4.2.8 and 5.2.8]

Other comments

There were a number of suggestions for improving services and saving money

[Details in Section 4.2.9]

2. Introduction

Trafford Council are undertaking a two phase consultation process to develop options and consult upon budget savings for 2016/17 and inform the budget for 2017/18.

Phase 1 ran during September 2015 and sought the views of the public and other key stakeholders on how best to make the £20m savings required in 2016/17.

Phase 2 will run during November and December 2015 and will again seek to engage the public and other key stakeholders on the savings and income generation options developed by the council following the feedback from Phase 1.

Following a competitive tendering process The Campaign Company were selected as an independent company to support these consultation phases and, crucially, to analyse and report on feedback in an objective manner.

This is the report of Phase 1.

3. The approach

3.1 Framing the consultation

The Campaign Company worked closely with Trafford Council to develop a narrative setting out what was being consulted upon and providing information to help consultees to make informed comments and provide practical and relevant suggestions. The narrative is attached at Appendix A.

As part of this narrative, six themes were identified to help frame the consultation:

- **Working smarter** – *looking at the way we do things such as redesigning our workforce and systems*
- **Buying better** – *working with our partners and suppliers to ensure we get best value for our expenditure*
- **Maximising income** – *maximising our income from our services and generating income from assets such as advertising*
- **Eligibility and access** – *ensuring the most needy receive support and making more use of technology and equipment to support people in their own homes wherever possible*
- **Joining up services and working together** – *looking at how we deliver community health and social care services for adults in Trafford*
- **Promoting independence** – *helping people to help themselves, through our care strategy*

These six themes were used to structure the discussions at the public events and to shape the online survey. In addition to these six themes the consultation asked whether council tax should be increased or not and whether to use council reserves to reduce savings required.

3.2 Consultation elements

Phase 1 consists of three key elements:

- Public events
- An online survey
- Feedback cards

3.2.1 Public Events

Seven public events were held, covering the different areas of Trafford. In order to maximise attendance five events were held early evening, one event in the morning and one on a Saturday. The full schedule is set out in Appendix A.

The format of each event was the same to ensure consistency:

- A 15 minute presentation from the Leader or other senior Councillor setting out the narrative and explain the six themes
- A short question and answer session to clarify anything from the presentation
- An hour of structured discussions in tables using the six themes to frame the conversations
- A session for each table to feedback their key points to all present

Participants were provided with copies of the narrative and encouraged to complete feedback cards at the event. They were also encouraged to complete the online survey, whilst paper copies of the survey were available for those that wished to complete them there and then.

3.2.2 Online survey

The Campaign Company (TCC) worked with Trafford Council to develop a stand-alone online survey, hosted by TCC with a link from the front page of the Council's website.

The survey used the narrative, including the six themes, to frame the questions, which included a mix of Likert-type responses (where the respondent could reply Strongly Agree, Agree, Disagree, Strongly Disagree or Don't Know to a list of statements) and free text boxes for respondents to provide any comments they wished.

3.2.3 Feedback cards

Feedback cards were made available at a number of public buildings as well as at each of the public events. The cards contain a free text box for the respondent to comment on anything they wish, and requests name and contact details with a box to tick if the respondent does not wish their name to be included in any public information.

3.2.4 Promoting the consultation

To promote Phase 1 of the public consultation events to residents and local businesses the council undertook the following activity:

- Five weeks editorial in the Messenger
- Personal letter from Chief Executive to the residents of Trafford to join the consultation
- Advert in the Messenger
- Advert in the Manchester Weekly (formerly The Advertiser)
- Four press releases since August to a huge mailing list
- Leaflets printed and sent to Leisure Centres, Children's Centres, Libraries, Community Centres
- Flyers circulated to Trafford Schools
- Circa 300 emails issued to Trafford community groups/partner list
- Daily feed via Twitter and Facebook to targeted groups e.g. Housing Trust
- On-line survey for staff via the intranet
- Council and public website link on home page
- Additional targeted advertising in Partington with posters displayed in Tesco and the local newsagent

4 Findings

4.1 Responses

Overall 722 comments were received from the public during Phase 1. Furthermore, many of these comments were summaries of several individual comments made during the table discussions at each of the public events.

4.1.1 Public events

83 residents attended the 7 public events. This is a disappointing turnout, which we believe can be explained by the following:

- **Nature of the consultation** – it is much harder to engage people on high level, general issues such as this one, which was seeking views on how the council could best save £20m in 2016/17. We expect that Phase 2, which will consult upon specific options, will produce a much greater response.
- **New approach** – this is the first time the council has consulted this early in the budget process. As a result residents were not expecting or looking out for it and may have found it difficult to engage.
- **Lack of awareness** – although the council did its best to promote the events within its limited resources – using the local press, website and flyers in numerous public buildings – it appears that many people were not aware of the events.

However, the quality of the discussions that did take place was high and a summary of the main findings is set out in section 4.2 below.

4.1.2 Online survey

A total of 54 surveys were completed (44 online and 10 in paper form). Again, this is a disappointing response, which we believe can largely be explained by the same three reasons set out above.

Main findings are set out in section 4.2 below.

4.1.3 Feedback cards

29 cards were completed and a further 14 people responded through the council's online response form (similar to the feedback cards).

4.2 Analysis of findings

Trafford provided a number of channels for members of the public, stakeholders and businesses to respond to this process over later autumn and early winter 2015. Whilst there were extensive opportunities for individuals to engage with the consultation, the numbers taking advantage of those opportunities was lower than anticipated.

Instead, the feedback provides both an indication of how a mix of residents from across the borough feel about the required savings and some helpful suggestions and ideas for achieving these savings.

TCC have analysed the findings using specialist software that helps to structure and make sense of large volumes of qualitative (textual) information.

Using this approach and the consultation framework described above we have grouped the feedback under 8 headings (original council headings, where different, are shown in brackets):

1. Council Tax levels
2. Use of council reserves
3. Working smarter (Service and Process Optimisation)
4. Buying better (Commissioned Services)
5. Maximising income (Income Generation)
6. Eligibility and access
7. Joining up services and working together (Integration and Collaboration)
8. Promoting independence

4.2.1 Council Tax levels

For - Council Tax rises

Overall there were 44 comments in favour of raising Council Tax; this included 19 comments in favour of a rise of up to 2% and 9 favouring a rise of more than 2%. From the online survey, 41% supported an increase of up to 1.99% and 31% of a rise of more than 1.99%, with 24% supporting a freeze.

Some relevant comments:

“It seems mad that we have not increased council tax...” Urmston resident

“Fed up with this coming up every year. Do not want to be cheapest parking, council tax etc. Want to see increases to improve services.” – Sale resident

“Yes [to Council Tax rise] if used wisely” – Altrincham resident

“Increase in council tax to preserve services” – Stretford resident

“Should have raised it over last 5 years” – Old Trafford resident

“I would pay a little more if it meant keeping more services. Especially if you can show

where the extra will go” – Online survey

“Time to start looking positively into raising income, including council tax and parking charges” – Feedback card

“If it helps to prevent cuts to the community I’m all for it” – Feedback card

“I’d rather pay a bit more council tax than cut services further” – Feedback card

Against - Council Tax rises

There were 14 comments made against a rise, including:

“Raising Council is all well and good if you can afford it, a lot of people cannot afford it.” – Urmston resident

“You have not made best use of the Council Tax from Trafford residents so increasing this would be wholly unacceptable.” – Online survey

“People in this area in particular would not support rise in council tax. It might be different if it could be seen to go towards something specific but not increase it if we just have more cuts.” – Partington resident

“Most people will continue to pay if it is still the same, but if it is higher some people will find that they can't afford to pay and may refuse to make payment” – Online survey

Suggestion - Council Tax levels

A similar suggestion was made in both Urmston and Stretford and on a feedback card about making any Council Tax rise proportionate to people’s wealth. The Urmston suggestion was to increase higher Council Tax bandings by a larger percentage than lower ones, if that is possible.

4.2.2 Use of council reserves

For – Use of council reserves

There were 18 comments supporting the use of council tax reserves. Some relevant comments include:

“Could look to use reserves as invest to save”.- Urmston resident

“If the reserves rise above 6 million use it to offset the deficit – Altrincham resident

If you have an excess of reserve funds above and beyond what you are required to have, that money should be reinvested back into community and council services, particularly where it

can prevent or reduce the impact of a planned cut. - Online survey

Against – use of council reserves

There were 25 comments against using council reserves, these include:

*If you ate into it last year, you would not have it this year. £6m isn't very much money. –
Urmston resident*

*“There is only so much money in the reserves, what happens when there are none left?” –
Online survey*

“Once the money is gone it is not available for emergencies” – Online survey

*“Dipping into reserves is just a one off so doesn't solve anything long-term.” – Partington
resident*

4.2.3 Working smarter (Service and Process Optimisation)

For - working smarter

There were 40 comments in favour of working smarter, mostly focusing on ways that services could be improved, comments and suggestions include:

*“Why do we commission external consultants? Could we use skills that might be available in
other authorities”? – Urmston resident*

“...refuse collectors should report potholes and broken street lights” – Altrincham resident

*“...should be more proactive in the use of bailiffs to collect council tax” – Altrincham
resident*

“Private sector's being doing it for years!” – Online survey

*“We do have to look at things. This does not mean a shift into the private sector. There is
much which is good in having services provided in house. What is required is to do this as
well as possible and to relate to private and voluntary agencies when appropriate.” – Online
survey*

“Ask staff to look at ways [you] can change services” – Online survey

Against - working smarter

No one was against working smarter per se, instead there were 8 comments expressing concerns about how it was done or the impact it might have, these include:

“Concern staff are under pressure” – Urmston resident

*“Outsourcing has not delivered savings elsewhere and often the service levels fall” – Online
survey*

*“...perhaps Trafford should carry out a review of their 'expenses' as, having been at many
Trafford meetings and, having seen the catering for example” – Email*

4.2.4 Buying better (Commissioned Services)

For - buying better

There were 24 comments in support of buying better, these include:

“Agree to bringing adult and children services together” – Urmston resident

“More concerned at getting VFM than who provide the service” – Urmston resident

“Given the size of Trafford council, you really need to look at merging or outsourcing your IT services to maximise cost reductions/ level of services” – Feedback card

“Smarter procurement in this economic climate is an absolute must and should not be something you are asking about now! TBC should already have this in place. Far, far too much red tape!!” – Online survey

“As a resident I don't care whether the service is provided directly by the Council or not. My biggest concern would be the control of quality.” – Online survey

“If accountable and there is an improvement, local companies should be used rather than large organisations if possible” – Paper survey

Against - buying better

Again, no one was against buying better per se, though a number were against outsourcing. There were 28 comments concerned, primarily, about outsourcing; the long term costs and the potential impact on services and users, including:

“I don't want my council to be like Barnet who runs nothing and is a council just by none.” – Urmston resident

“Procurement process – 3 month process and cost for £ 30k service, need to be smarter” – Stretford resident

“Feel the Amey Contract is too long, we didn't vote for them” – Urmston resident

Fears around being locked into a lengthy contract (AMEY) – Trafford resident

“Quality has gone right down since Amey took over e.g. road sweeper was wrong size for the roads.” – Partington resident

“...quality can be a real issue and risks are increased - public services should not be privatised and delivered for profit” – Online survey

“Some disciplines do not lend themselves to outsourcing, and involve a complex mix of scientific and social elements. for example - Environmental Health” – Online survey

“Outside contractors...are in it for the money, not the service.” – Online survey

“In my experience the savings made by outsourcing are generally short term ...long term impact and costs are significantly higher than maintaining the service would have been.

...there's often a significant loss in terms of knowledge and experience, local expertise, and the ability to provide a high standard of service as a direct result of that.” – Online survey

4.2.5 Maximising income (Income Generation)

For - maximising income

There were 24 comments supporting maximising income, including:

“Could we get companies to sponsor school crossing patrols?” – Urmston resident

“Very low focus on revenue generation from council seemingly no pursuit of EU / Central Government grants” – Feedback card

“Some of our charges etc are ludicrously low, and we dont make enough use of council assets for income generation” – Feedback card

“Renting out buildings not being used is a good idea, also advertising space” – Online survey

“Parking charges are currently pathetic & could be increased up to 1000%. If you can afford the vehicle, you can afford to park.” – Online survey

“Happy to increase car parking charges. Increasing rent for shops could have a negative effect on town centres.” – Paper survey

“Consider using records for genealogy – could be very lucrative!” – Online survey

Against - maximising income

There were 7 comments, mostly concerned with the impact of raising rents, rates and parking charges, these comments include:

“Lots of empty shops, are rents/rates too high?” – Altrincham resident

“I think increasing rents and parking charges would be bad for business... I also think that means testing for social services is not a good idea.” – Online survey

“Car parking and rents need to be low to encourage business” – Online survey

4.2.6 Eligibility and access

For - eligibility and access

For this theme most respondents commented on the principle of contributing to one's own care costs, with 20 comments supporting this approach, including:

*“Annoyed that some people pay and others spend all their money and the council pay” –
Altrincham resident*

*“...we recognise that means testing access for some services can be beneficial as this ensures
that those often most in need still have free access.” – Online survey*

*“I do think some social care needs to be means tested as support needs to go to those who
need it most” – Online survey*

“I’m sure many people get free care when they could afford to pay.” – Online survey

Against - eligibility and access

There were 13 comments against contributing to one’s own care costs, including:

*“When talking in the context of elderly Adults who have paid Income Tax and National
Insurance contributions all their working lives then this is an absolute no no!!! Get those
individuals who have been a burden on society but not working to contribute. This
demographic gets everything whilst the working get nothing. This must not continue into
twilight years.” – Online survey*

*“Most people have been paying taxes all their lives and now they have to pay more. The NHS
needs to be a national health service not a global one or for health tourists there needs to be
a way to charge these people.” – Online survey*

*“The vulnerable / disabled should not be the target to save money - the wealthy yes, but not
low income, pensioners, disabled and special needs children etc, [these] should be exempt” –
Online survey*

4.2.7 Joining up services and working together (Integration and Collaboration)

For – Joining up services and working together

There were 38 comments in favour of joining up services and working together, including:

“Joined up services allows reduced administration” – Urmston resident

“Worked well in Knowsley in getting people out of hospital” – Sale resident

*“One area to save is to expect 3rd Sector to do more. Devo Manc could offer opportunities to
save by working together”. – Altrincham resident*

*“Libraries are shared across 10 Manchester authorities, can same model be applied in other
services?” – Sale resident*

*“Actually join up health and social care, do not just talk about it. From Knowsley's
experience this increases quality of care and saves money. Look at the evidence which is
available of the saving which can be made by investing in preventative services.” – Feedback
card*

“In general it is a good option to join up with other service providers in the voluntary and community and private sectors. There is a wealth of expertise in these areas, particularly in regards to reaching targeted population groups such as LGBT people.” - Online survey

“Co-location etc saves money and makes partnership working more effective.” – Online survey

Against – Joining up services and working together

There were six people expressing concerns about joining up services and working together, many about the impact on services and users, including:

“Moving services can have a massive negative impact on people who require services and don't have the ability to travel or because of their diagnosis can't cope with change.” – Online survey

“The creation of the "Youth Trust" as a means to manage funding to youth services causes me a great deal of concern, especially in light of what happened to Kids Company this year. Making all youth services the responsibility of a charity is a mistake in my opinion. Making a service reliant on charitable donations is at best flawed and at worst negligent.” – Email

“Joining up services so far has been rushed and has meant voluntary and community groups competing with each other. Smaller groups are failing. Large national companies are winning local tenders. Local knowledge and networks are being lost.” – Paper survey

4.2.8 Promoting independence

For – Promoting independence

There were 28 comments in favour of promoting independence. Most people agreeing that a person's home is the best place to be providing there is sufficient support for them, comments include:

“People would rather be at home.” – Urmston resident

“Adult Service: early prevention is important” – Sale resident

Agreement on the table re promoting community self-support – Altrincham event

“Invest in small business idea / social enterprise, e.g. vans of food brought into areas where access to shops limited.” – Sale resident

“Home environment improves mental and physical well-being.” – Online survey

“Independence important but must be quality support” – Online survey

“I think most people would prefer to stay in their own home if at all possible. They need proper care not 15 minutes slots by stressed out poorly paid carers.” – Online survey

Against – Promoting independence

There were 7 comments expressing concerns over promoting independence, mostly about the level and quality of support available to facilitate this and the use of technology, including:

“No one will disagree - the issue is that some people do need help and the current levels of services leave people in distress because their needs are not met and/or they feel ashamed to ask or unable to ask” – Online survey

“I don’t feel greater use of technology is necessarily the right solution for providing care. The very nature of care is that it is personal and a large part of the benefit of the care is the psychological aspect of the support and personal contact. Technology is inherently distant and impersonal.” – Online survey

“Use of technology. You need to be a “teckie” and needs to be understandable.” – Urmston resident

“People should have a choice about their care. There are times when being in hospital is the appropriate choice.” – Sale resident

4.2.9 Other comments

There were a number of comments and suggestions that fell outside the above categories. These fall into a number of categories:

Making savings

“Could we reduce the number of councillors?” – Urmston resident

“Green Bins are being over collected especially during Winter; reduce collections, make them every 2 weeks.” – Sale resident

“...there is one issue which has perplexed me for some time and this is the apparent increase in the number of traffic lights in the borough which must cost an absolute fortune to install and maintain. I can't help thinking that although there are locations where traffic lights may be deemed necessary, there are equally as many locations where a roundabout would suffice. Take for example the junction of Flixton Road and Carrington Road.” - Email

“No expenses for MP's . Cut the numbers. No expensive trips to Japan for Leader of the Council and Co.” – Email

“Use apprentices for grounds maintenance” – Sale resident

Service improvements

“Need more weed treatment to save road/pavements” – Urmston resident

Ask residents to look after the pavement adjacent to their properties – Sale resident

“Put up “Healthy walking” signs in local park” – Sale resident

“Why is Davyhulme park constantly being neglected?” – Email

“Do not fund non-essentials like golf clubs” – Sale resident

*“Remove some of the top heavy layer within the Council who are receiving large salaries.
Too many Chiefs.” – Online survey*

*“Do not pay any of the councillors or payment by result and that includes putting your house
on the line if you fail. No expenses. Work from home. Combine councils. Walk to meetings,
use public transport.” – Online survey*

Use of volunteers

“Council must provide backing to support more volunteering.” – Urmston resident

*“Can we use school kids and/or community payback to support volunteers?” – Urmston
resident*

“Volunteers should complement service not replace it” – Trafford resident

“Most people are not minded to volunteer” – Urmston resident

“Arts galleries should open on Sunday but run by volunteers.” – Sale resident

“Concern that volunteering may reach a point where [it’s] too squeezed.” – Sale resident

5 Conclusions

5.1 Response rate

In total 83 Trafford residents attended a public event, 54 people responded online or on paper to the survey, 29 feedback cards were returned and 14 emails were submitted and as part of Phase 1. This is a total of 180 responses, though does not necessarily represent 180 separate residents as some may have attended an event and completed a feedback card and/or an online survey.

As significant promotional activity was conducted by the council (see section 3.2.4 above) this was a disappointing response. We believe this reflects the fact that the focus of Phase 1 was about high level savings rather than specific options (which will come in Phase 2). It is clearly more difficult to engage people on generalities rather than specifics. Furthermore, as this was the first time Trafford Council have consulted on their budget this early in the process, residents would not be expecting or ‘looking out’ for it.

5.2 Findings

Trafford provided multiple channels and opportunities for members of the public, businesses and other stakeholders to respond over the consultation period. The value of the approach taken is in the qualitative feedback that discussions in small groups and free text boxes on the

feedback cards and the online survey produce. The quality of this feedback was further enhanced by the understanding developed with participants via the presentation given at each event, the facilitation at tables and the contextual statements included in the survey.

5.2.1 Council Tax levels

In total there were around three times as many comments in favour of a Council Tax rise as there were against it (44 to 14). Of those who expressed a view, around two thirds supported a rise of up to 2% (the referendum level). Typically, those in support of an increase thought this was preferable to making greater savings, and a number supported an increase with the caveat that it was used wisely.

The most common reason mentioned by those who were against a rise was affordability.

5.2.2 Use of council reserves

On balance, slightly more people expressed views against using council reserves than for this (25 to 18 comments). Even a number of those that were in favour of using reserves accepted the need to maintain a minimum level (£6m) and to only use reserves above this level. There were a number of comments that recognised that reserves can only be used once and are not a sustainable solution to the savings target required.

5.2.3 Working smarter (Service and Process Optimisation)

The vast majority of comments were in favour of this approach (40 versus 8 against) with many saying it's just common sense. There were a number of ideas and suggestions, with themes such as using existing staff and skills more rather than bringing in consultants and using 'street based' staff such as refuse collectors to report pot holes and broken street lights.

5.2.4 Buying better (Commissioned Services)

There was a balanced response to this theme, with 24 comments broadly in favour of a 'commissioning' approach and 28 broadly against.

Of those in favour, a number of comments were made that the quality of services is what matters not who provides them. One person urged the council to commission local firms not just national ones.

Of those against, the concerns focused around outsourcing. A number were concerned about private firms prioritising profits over services, and others about maintaining service quality. There were several comments about the Amey contract (which was mentioned in the presentation) with concern expressed over the length of the contract.

5.2.5 Maximising income (Income Generation)

The majority of responses (24 versus 7) were in favour of this approach, many reasoning that the more income that can be generated the less the savings that need to be found.

A number of people thought parking charges could be increased significantly and there were ideas such as sponsoring school crossing patrols and spending more effort in pursuing EU and other grants.

5.2.6 Eligibility and access

Respondents generally focused on contributing to care costs as this was the aspect of this theme that was presented.

20 comments supported people contributing to their care costs, most added the caveat that it needs to be means tested. The general view is that this approach will enable scarce resources to go further and enable those in most need to receive care.

Of the 13 that were against people contributing to their care costs a number said that if people had paid taxes all their lives then they should not have to pay for care in their later years. Others were concerned that the vulnerable should have to bear the brunt of savings.

5.2.7 Joining up services and working together (Integration and Collaboration)

This was one of the most supported themes, with 38 in favour versus 6 against.

Comments included joining up services across Greater Manchester (using ‘Devo Manc’ money) and greater use of the third sector, especially in joining up health and social care services. Most saw it as an obvious way to make savings in overheads.

Concerns were around the impact of change on vulnerable service users and the risk of having services such as Youth Services delivered by charities and voluntary groups, citing the recent collapse of Kids Company.

5.2.8 Promoting independence

This was another popular theme, with 28 in favour versus 7 against.

Most of those in favour said that people are best off in their own home, though warned that sufficient good quality support was essential to enable this.

Concerns centred around the lack of that support and a view that technology might replace the personal care that many need or not be understandable by many (indicating a possible lack of knowledge about telecare and how it works).

5.2.9 Other comments

There were a number of ideas and suggestions for how the council might save money, improve services and use volunteers.

Appendix A: The Narrative

The journey so far

We believe that Trafford Council is in a strong position. Over the last few years we have been working to remodel the way that the authority works on a day to day basis; introducing new and more efficient ways of doing things and working a lot more in partnership with both the public and private sector. That hasn't been easy and decisions have been made in the face of reduced funding.

We haven't hidden from the challenge, we know that moving in this way changes how services are delivered and takes away some of the things we have got used to as a community. It has also meant job cuts in some areas and the closure of some buildings in others. However it has also generated lots of opportunity. In some cases, and by working with the voluntary sector, other councils, businesses and the community, services are continuing with Council support. For example we have a joint procurement team with Stockport and Rochdale Councils; one team for three councils.

Not only this, it has opened up a debate about what we should and what we should not provide as a Council with the budget we have available, and we have often been criticised for the decisions that we have made from some people. But what has been vital is that the debate has often directly impacted on the way that we do things, and the content of the decisions that we've made. It has also uncovered additional options that have been available that we couldn't have known about without working directly with the community in this way.

As we approach Autumn 2015 we are looking at another round of savings that we have to make to live within our means, at the same time we are working through our plans to remodel how the council delivers services. We need your input again.

In this first of two phases of public consultation on our annual budget we want to hear your views on a number of approaches to saving money and delivering services differently. We have worked through some of these approaches and, where possible, we have set out how they might impact on services. Importantly, none of this has been agreed, and we are keen to hear from you about the possibilities and the implications for our communities. Over the next few weeks we'll present these approaches and ask you and other members of the public to comment on the approaches and to make suggestions or identify issues. There will be a number of ways to contribute: public events, an online survey and feedback postcards in many places around the borough.

What is clear is that we must come up with at least £20 million of savings this year and we are expecting a further £14million in the year after. We are determined to make savings in a way that maintains the integrity of our public services whilst recognising that things cannot stay the same. That means prioritising as a community and a council - *what it is that we want and need from our public services?*

The Council is working with a separate and independent organisation that specialises in ensuring that everyone's voice is heard. They will gather and present back the suggestions that people have made. At that point we fully expect to revisit our thinking and work up a set of definitive proposals to consult with the public on in Phase 2, which will start in November.

This process will make sure that, where and when we can, Trafford is listening to the voice of our communities in the decisions we make and making sure that through working with an independent organisation, there is objectivity.

Dealing with council tax and reserves

We have made a number of decisions over the past few years that we believe make this Council well placed to deliver public services in Trafford successfully for this and the next generation. Whilst we have made those changes we have managed to freeze council tax for 5 years and maintain a sensible level of reserves. Why we have done that is simple; we think that people in Trafford pay enough out of their own pocket, we want to manage our public services in a way that meets community needs but protects people from excessive taxation.

The scale of the savings required and our drive to provide services that meet our communities' changing needs going forward mean that raising taxes without changing the way we work is unsustainable. Council Tax accounts for only around a third of our funding and the way the system works means that the most we can raise without holding an expensive public referendum is £700k, which would include the loss of a £900k government grant. Whilst many will say that raising taxes can save our services it sets a precedent, it reduces innovation and the need to be more effective and efficient by propping up old and unsustainable models of delivery.

As for our reserves, the money we have in the bank, we recognise that these are there for this and the next generation, managing within our means today increases our ability to respond in real times of crisis for our community in the future. We are also required to keep a minimum level of reserves to cover unforeseen circumstances.

The last five years

Over the past five years, the Council has been required to identify new and innovative solutions in order to maintain council services within a reduced budget. This has been difficult, and there is no sign of this challenge reducing. However our pragmatic approach has helped us to achieve a number of things including:

- We have kept more libraries open thanks to proposals from last year's consultation and exciting new partnerships
- We have an innovative proposal to establish a Youth Trust to ensure continued and more 'joined-up' youth provision in the borough
- Significant savings in Home to School Transport whilst still meeting the needs of all eligible children and young people
- We have launched the 'One Trafford' partnership with AMEY
- Feedback received in relation to school crossing patrols, together with the outcome of the reassessment, led to more crossings being retained
- Car parking charges were increased without any impact on customer parking numbers; and we are still amongst the cheapest in Greater Manchester.

We have also had a great response to the Council trading some of its specialist services, such as Human Resources, mainly with schools and we are looking at further trading opportunities.

In addition we have focused on our back-office type services. Those services which every business needs to keep running. Most services have been restructured and processes have been redesigned to eliminate waste. Not only this, all of our staff have received revised terms and conditions.

We have also focussed on reviewing and reducing the cost on all our contracts and we are using new and smarter technologies with more online services, which in turn is helping the council to work more digitally.

What our thinking is today

We now need to go further to make the further savings we require. This will require us to look at everything we are responsible for.

To do this we are applying six themes to help us shape the budget for the coming years:

- **Working smarter** – *looking at the way we do things such as redesigning our workforce and systems*
- **Buying smarter** – *working with our partners and suppliers to ensure we get best value for our expenditure*
- **Maximising income** – *maximising our income from our services and generating income from assets such as advertising*
- **Eligibility and access** – *ensuring the most needy receive support and making more use of technology and equipment to support people in their own homes wherever possible*
- **Joining up services and working together** – *looking at how we delivery community health and social care services for adults in Trafford*
- **Promoting independence** – *helping people to help themselves, through our care strategy*

Some of these themes are sensible and prudent ways to run an organisation, for example when we buy services or products for the people of Trafford the better we are at sourcing, comparing and partnering the better the value for money that we achieve. We are highly focused on making sure that this can be the case across the authority.

Other elements, such as maximising income, mean investing some of our resources into trading our services to generate income for the council. We need to create a model which means the council continues to support the running of the council whilst generating income; this impacts on how we operate and changes the way that staff have to work.

When we say ‘joining up services’ this can mean sharing staff, offices, vehicles and systems, reducing costs across the borough and improving services by providing a whole service from one provider.

Our care strategy will mean that through early support and intervention people can stay in their own homes much longer for example. By helping people and deterring them from entering the care system

earlier than necessary there will be a much more measured demand on council services. This might include supporting them to access a fitness class to promote their mobility.

What tomorrow might look like

We expect Trafford Council will be:

- A smaller council, delivering less directly but buying more services from the private and community sectors
- More joined up with the NHS, police, etc
- More services being delivered by and with voluntary and community groups

What would the implications of each element of that be for you?

We also expect our relationship with residents to change. There will be a greater emphasis on residents using technology to request and access services from us – this is also something you told us you prefer to do.

We also have a greater expectation that people will do more for themselves and each other.

Health and social care – will be a simpler and more streamlined path through treatment and care; less form filling and having to repeat personal details; greater use of technology to enable people to live at home longer etc

Appendix B: Schedule of Phase 1 Public Events

Wednesday 9 September	6pm – 8pm	Urmston: Urmston Library, Golden Way, Urmston, M41 0NA
Tuesday 15 September	12pm – 2pm	Sale: Waterside Arts Centre, Waterside Plaza, Sale, M33 7ZF
Tuesday 15 September	6pm – 8pm	Altrincham: Altrincham Town Hall, Market Street, Altrincham, WA14 1PG
Wednesday 23 September	6pm – 8pm	Partington: The People's Church, Chapel Lane, Partington, M31 4EY
Saturday 26 September	10am – 12pm	Stretford: St. Matthew's Hall, Chapel Lane, Stretford. M32 9AJ
Tuesday 29 September	6pm – 8pm	Old Trafford: Seymour Park Community Primary School, Northumberland Road, Old Trafford, M16 9QE
Wednesday 30 September	6pm – 8pm	Sale: Waterside Arts Centre, Waterside Plaza, Sale, M33 7ZF

Trafford Council Budget 2016/17
Public Consultation: Phase 2

A report from The Campaign Company (TCC)

020 8688 0650

www.thecampaigncompany.co.uk

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1. Executive Summary

1.1 Introduction

This is the report summarising feedback from Phase 2 of Trafford Council's budget consultation for 2016/17, which was held from 17 November 2015 to and 16 December 2015.

It has been produced by The Campaign Company (TCC), an independent company that specialises in public engagement, who were appointed following a full tendering process.

[See Section 2]

1.2 The Approach

1.2.1 Framing the consultation

Phase 2 was framed by the same six themes introduced in Phase 1:

- Working smarter
- Buying better
- Maximising income
- Eligibility and access
- Joining up services and working together
- Promoting independence

Specific proposals were presented under each of these themes and tested using a variety of consultation and feedback mechanisms.

1.2.2 Consultation elements

There were four elements to the consultation:

- Eight public events at various times and locations across the borough (details in Appendix A)
- An online survey, hosted by TCC, with a link from the front page of the council's website (paper copies of the survey were also made available)
- Feedback cards – free format cards made available at each of the public events and at numerous public buildings
- A specific consultation on the Pathways Day Centre proposals has occurred – with face to face meetings with each of the families directly affected and a separate public meeting

As well as these four elements people were also able to feedback by email or in writing to the council's general consultation address.

In addition to the above, Trafford Council is holding a separate consultation in respect of the 'All age travel assistance' policy. This separate consultation will run until 2 February 2016 and includes a public event on 28 January, hosted by Age UK as well as a series of independent meetings.

1.2.3 Promoting the consultation

A significant range of activities were undertaken to promote the consultation to the public; including using the press, social media, emails, the intranet and fliers in numerous public buildings.

[Details in Section 3.2]

1.3 Findings

1.3.1 Responses

866 comments were received in total, with participation as follows:

- 77 people attended the public events
- 63 people completed the online survey (through paper copies)
- 32 feedback cards were completed
- 11 emails and 2 letters were received

1.3.2 Findings

Trafford provided multiple channels and opportunities for members of the public, businesses and other stakeholders to respond over the consultation period. Those who have responded to this consultation have been motivated by the issues and made a choice to do so. The qualitative feedback provides an insight into the views of a mix of Trafford residents, staff and businesses.

Working smarter

All age travel assistance

Whilst 59% of survey respondents agreed with the proposal: "to have a consistent approach across adults' and children's transport services", there were more than twice as many comments disagreeing as agreeing with the proposal.

Of those responding, those that disagreed did so on the basis of a belief that the proposal would be unfair and discriminatory.

[See 4.2.1 and 5.2.1]

Buying better

One Trafford Partnership

The majority (52%) of survey respondents agreed with the proposal for the “One Trafford partnership to introduce new approaches and investment...to save money.” However, again there were more comments disagreeing with this proposal.

Most of the comments in disagreement focused on the Amey contract; with concerns expressed over the length of the contract and the feeling that it’s too early to tell if they will deliver effectively.

Extra care

Extra care homes are facilities that enable independent living, proposals suggested that pricing might change and those previously not charged would be charged with a common rate. 49% of survey respondents were in favour of the proposal to “introduce a common rate for Extra Care services” across all of Trafford’s four named sites; with 25% disagreeing or strongly disagreeing.

One suggestion was to go further and commission such services across the whole of Greater Manchester.

Those in disagreement were mostly concerned about the fairness of suddenly increasing some people’s charges.

Commissioning/Market Management

50% of survey respondents agreed with the proposal to “maximise savings and income”, with 18% disagreeing (and 33% undecided.)

Again, most of the comments referred to the Amey contract, with concerns expressed about the effects on local employment and pay of outsourcing large contracts, and the possible risk to quality in the long term.

[See 4.2.2 and 5.2.2]

Eligibility and access

Reshaping adult social care

54% of survey respondents agreed with the proposal to “review all individual care packages”, with 23% disagreeing.

Fairness, especially ability to pay were commonly cited comments, as well as concerns over the time taken to make assessments. Some also commented that technology cannot replace the ‘human touch’ in delivering care.

[See 4.2.3 and 5.2.3]

Joining up services and working together

Integrated health and social care

There was strong agreement from survey respondents with this proposal, with 71% in favour and only 8% against. There were some concerns expressed about the ability of the system to cope with a single point of access and greater integration, based partly on a belief that different parts of the system would not be good at working together and communicating.

Keeping families together

Even greater support from survey respondents for this proposal; with 78% in agreement against just 5% disagreeing.

Concern was expressed about fulfilling the Council's safeguarding duty under the proposed arrangements.

'Front door' to our children, family and wellbeing service

Proposals to integrate and join up services so that there is a single point of access, for example reporting routes for agencies and practitioners on welfare issues. An overwhelming 84% of survey respondents agree with this proposal against just 2% disagreeing.

Comments around this proposal included the importance of communicating the change and the actions required to support it. It is also mentioned that ensuring that staff are well briefed and understand how to deal with the traffic coming through these new joined up channels would be a necessary condition to the proposal's approval.

Learning disability, complex and additional needs and personal budgets

62% of survey respondents agreed with the proposal to "develop a joined up service for children, young people, adults and older people...", with 5% disagreeing.

Concern was expressed about the ability of different parts of the council to work with each other, the fear that the specific needs of different groups may not be met under a more integrated regime and the need to work with service users to design new services and approaches.

[See 4.2.4 and 5.2.4]

Maximising income

Car parking

70% of survey respondents agreed with the proposed car park charge increases (73% agreeing with introducing new charges), with 23% disagreeing (20% disagreeing with introducing new charges.)

Most of the comments suggested that charges could be put up even further without affecting parking, though there were some concerns about introducing charging for car parks that were poorly maintained.

Maximising funding

An overwhelming 80% of survey respondents agreed with the proposal to maximise funding from sources such as attracting businesses and new housing growth to grow the tax base; with just 3% disagreeing.

Income generation

90% of survey respondents agreed with the proposal to generate income from council assets, with no one disagreeing.

Bereavement services

Perhaps not surprisingly, 49% did not express a view on this proposal. Of those survey respondents that did, 43% agreed and 8% disagreed.

Views were expressed that any charges were reasonable, and concerns were raised that people in a vulnerable position were not exploited.

Fees and charges (care services)

41% of survey respondents agreed with the proposal to “introduce additional charges, based on people’s ability to pay, for those contributing towards their won care”, with 37% disagreeing.

Most comments in disagreement centred around fairness; with a view that care costs should be borne by wider society rather than fall onto those who need them.

Council tax

Although 54% of survey respondents agreed with the proposed freeze on Council Tax (against 37% who disagreed) there was an overwhelming number of comments disagreeing with this: 66 disagreeing against 6 agreeing.

Many made the point that they saw the continuous freezing of Council tax as purely political and were angry that, as they perceive it, services are being cut whilst not taking the opportunity to raise tax. Some comments also referred to the results of the Phase 1 consultation (where a majority favoured an increase) being ignored.

Several comments also referred to the Chancellor’s Autumn Statement announcement of the 2% Council Tax precept for adult social care, which was of course made after the consultation (and survey) had started. A yes no question on this issue was appended to the consultation towards the end of the consultation period.

[See 4.2.5 and 5.2.5]

Promoting independence

Pathways

From the general consultation 43% of survey respondents disagreed with this proposal, with 32% agreeing. There were 22 comments disagreeing with the proposal against 2 that agreed. 4 feedback cards were completed from the Pathways specific consultation; expressing worry

about the impact on the individuals currently attending the centre (one for over 30 years) and asking if an alternative cheaper building could be found.

Further notes on a meeting held in regard to the Pathways proposals were also received. These featured a number of suggestions and conditions relating to the proposals. These included;

- Importance of maintaining current staff for familiarity with service users
- Merging the facility with Trafford General Hospital
- Selling the site but with a condition that the service is maintained

Supported living

35% of survey respondents agreed with the proposal against 37% who disagreed. There were 6 comments agreeing and 16 comments disagreeing.

Concerns tended to focus on the quality and safety of services if they are delivered by other providers.

Ascot House

21% of survey respondents agreed with the proposal to develop health and social care services at Ascot House, with 36% disagreeing, and 44% undecided.

Most of the concerns were over any reduction in respite care, with many asking how else would this vital service would be provided?

Aids and adaptations

54% of survey respondents agreed with this proposal, with 28% disagreeing.

Comments were generally positive about the use of aids and adaptations, with one saying their experience had been “excellent”.

[See 4.2.6 and 5.2.6]

Other comments

Some other comments were made, a number saying that they were not aware of the events. One asked how much the consultation had cost.

[See 4.2.7 and 5.2.7]

2. Introduction

Trafford Council have undertaken a two phase consultation process to develop options and consult upon budget savings for 2016/17 and to inform the budget for 2017/18.

Phase 1 ran during September 2015 and sought the views of the public and other key stakeholders on how best to make the £20m savings required in 2016/17.

Phase 2 ran from 17 November to 16 December 2015 and again sought to engage the public and other key stakeholders on the savings and income generation options developed by the council following the feedback from Phase 1.

Following a competitive tendering process The Campaign Company were selected as an independent company to support these consultation phases and, crucially, to analyse and report on feedback in an objective manner.

This is the report of Phase 2.

3. The approach

3.1 Framing the consultation

Phase 2 continued to use the six themes developed in Phase 1 to frame the budget options developed as a response to the feedback from Phase 1:

- **Working smarter** – *looking at the way we do things such as redesigning our workforce and systems*
- **Buying better** – *working with our partners and suppliers to ensure we get best value for our expenditure*
- **Maximising income** – *maximising our income from our services and generating income from assets such as advertising*
- **Eligibility and access** – *ensuring the most needy receive support and making more use of technology and equipment to support people in their own homes wherever possible*
- **Joining up services and working together** – *looking at how we deliver community health and social care services for adults in Trafford*
- **Promoting independence** – *helping people to help themselves, through our care strategy*

As in Phase 1, these six themes were used to structure the discussions at the public events and to shape the online survey.

3.2 Consultation elements

Phase 2 consisted of six key elements:

- Public events
- An online survey
- Feedback cards
- Pathways specific consultation
- A specific question about raising Council Tax by 2% to use on social care only
- All age travel assistance policy consultation (ongoing to 2 February 2016)

3.2.1 Public Events

Eight public events were held, covering the different areas of Trafford. In order to maximise attendance six events were held early evening, one event at lunchtime and one on a Saturday morning. The full schedule is set out in Appendix B.

The format of each event was the same to ensure consistency:

- A short animated film putting the budget consultation in context
- A 15 minute presentation from the Leader or other senior Councillor setting out the narrative and explain the six themes
- A short question and answer session to clarify anything from the presentation
- An hour of structured discussions in tables using the six themes to frame the conversations
- A session for each table to feedback their key points to all present
- A question and answer session

Participants were provided with copies of a brochure setting out the proposals and encouraged to complete feedback cards at the event. They were also encouraged to complete the online survey, whilst paper copies of the survey were available for those that wished to complete them there and then.

3.2.2 Online survey

The Campaign Company (TCC) worked with Trafford Council to develop a stand-alone online survey, hosted by TCC with a link from the front page of the Council's website.

The survey used the narrative, including the six themes, to frame the questions, which included a mix of Likert-type responses (where the respondent could reply Strongly Agree, Agree, Disagree, Strongly Disagree or Don't Know to a list of statements) and free text boxes for respondents to provide any comments they wished.

3.2.3 Feedback cards

Feedback cards were made available at a number of public buildings as well as at each of the public events. The cards contain a free text box for the respondent to comment on anything they wish, and requests name and contact details with a box to tick if the respondent does not wish their name to be included in any public information.

3.2.4 Pathways Consultation

One of the budget proposals is to close the Pathways Day Centre (which provides day care for adults with learning disabilities); providing these services through alternative providers and services based in the community.

Due to the direct impact this is likely to have on those currently using this service - including their families and carers – a separate specific face to face consultation has been conducted with those affected families. The feedback received from that consultation is included in this report along with feedback from the general public to this proposal, which was included in the online survey and general public events.

3.2.5 2% Council Tax precept for social care

In his Autumn Statement on 25 November 2015 the Chancellor of the Exchequer announced, unexpectedly, that he would be allowing councils to increase their Council Tax by 2% (by raising what is known as a 'Precept') but only to be used for spending on adult social care. Because this announcement was made during the consultation it was not possible to include it in the original survey. However, an additional question was asked through the Trafford's website through the 'join the conversation' page:

“On 25 November 2015 the government announced that it would allow councils to increase council tax by 2% to help pay for adult social care services. This would be separate to the decision about council tax for other services. In Trafford an increase of 2% would raise £1.6 million. Do you think the Council should increase Council Tax by 2% to help pay for some of the cost of adult social services?”

3.2.6 All age travel assistance policy

Trafford proposes to bring together their currently separate travel assistance policies for children, adult and older people so as to provide a more consistent and better value approach. As this will affect a large number of users and their families and carers a separate consultation has been undertaken. This includes a separate online survey, including an Easy Read version and an independent public meeting on 28 January 2016 at the Urmston offices of Age UK Trafford. In addition, targeted sessions with schools were held and meetings were also held with the independent voluntary sector providers.

The feedback from these surveys and event will be reported on separately by The Campaign Company in time for final decisions to be made on the proposals which will feed into the final budget decision made by Trafford Council in February.

Any feedback received from the main Phase 2 consultation on this proposal has been included in this report.

3.2.7 Promoting the consultation

To promote Phase 2 of the public consultation events to residents and local businesses the council undertook the following activity:

For phase two of the consultation, a media briefing took place to ensure the local press were fully aware of the proposals. The attendees were taken through a presentation which outlined the budget situation, the proposed consultations and changes.

The media were then given the opportunity to speak to the relevant corporate director, Leader of the Council or Executive Member for Finance for wider context where required. This briefing resulted in coverage in the two main local newspapers and the main Manchester evening paper. The Leader of the Council was also interviewed by BBC Radio Manchester and Key 103 about the proposals. Both interviews were played that evening.

A number of press enquiries have also been received throughout the consultation process. These varied broadly across most of the proposals. The response to each reiterated where people could feedback and 'join the conversation'.

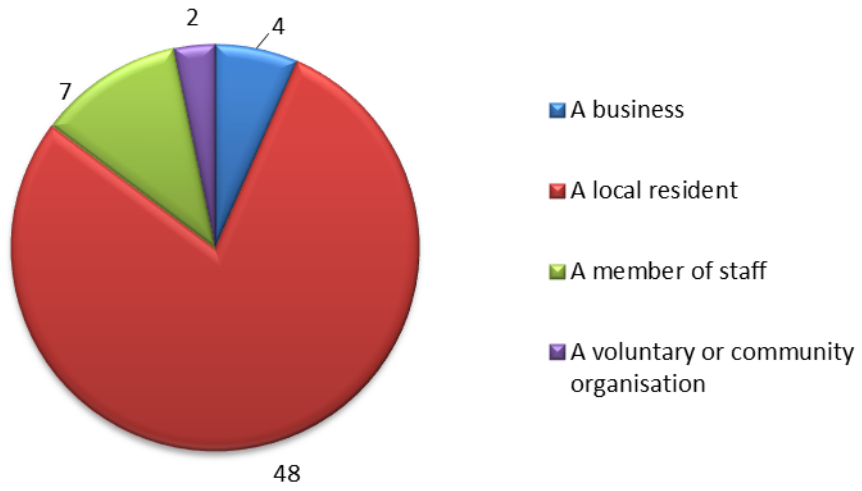
For both phase one and two, the consultation, event and the opportunities and methods to provide feedback were promoted as follows:

- Five press releases were issued to newspapers which included consultation event details
- Quarter page adverts including the forum details in the Sale & Altrincham and Stretford & Urmston Messenger's
- Quarter page adverts including the forum details in the Trafford Advertiser
- The website, which was mobile enabled for easy viewing via a number of devices, contained a summary of all the proposals and a link to the budget report. It also promoted the opportunities to register for the forums and provide feedback
- The Council website, Twitter and Facebook have been used to promote the events and feedback mechanisms
- Posters have been displayed in local libraries, leisure centres, some council owned car parks and local businesses where possible and flyers were also produced and circulated to the same venues to allow people to take information away with them. All of these items contained a link to the Council's dedicated budget website
- An email was sent to all Neighbourhood Partnership members informing them of the consultation events on three occasions
- Seymour Park Primary School promoted the meeting taking place on their premises by texting parents informing them of the details of the event.
- All ward Councillors made aware of the consultation activity
- 500 leaflets distributed by a volunteer resident in Altrincham to homes in his locality

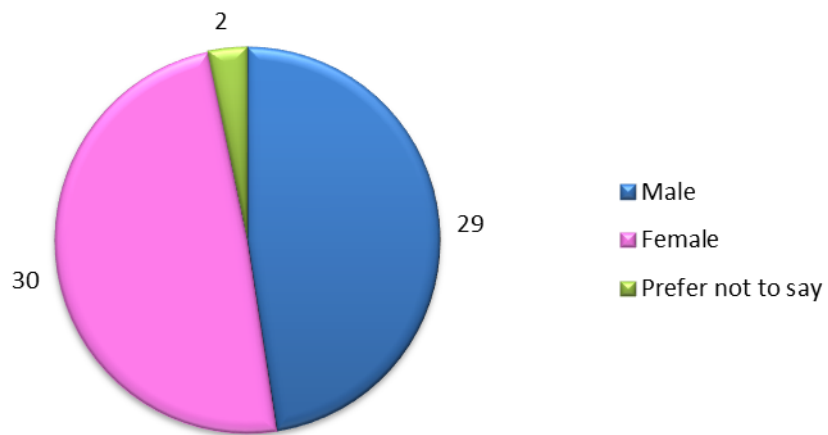
3.3 Demographic analysis of survey respondents

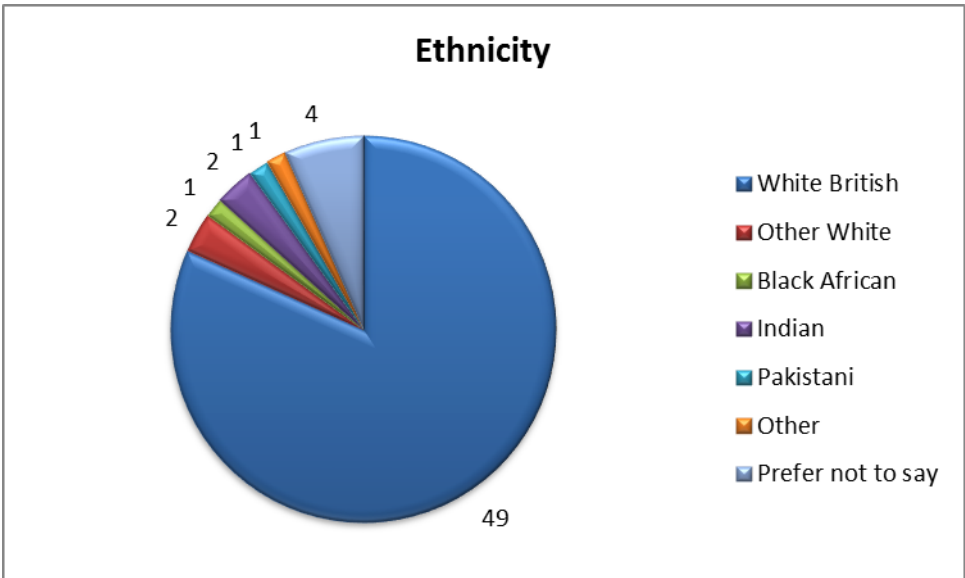
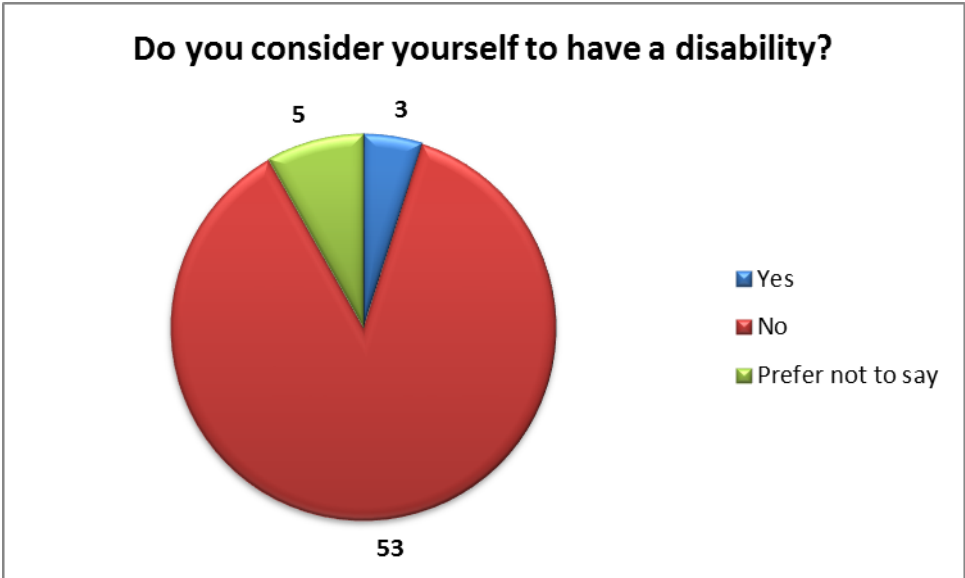
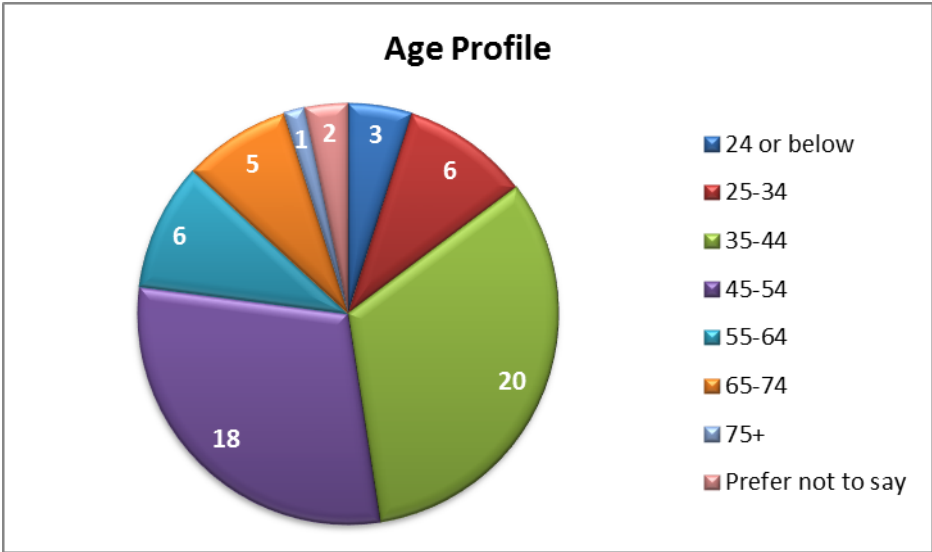
The following is an analysis of those survey respondents who answered the demographic questions.

Are you responding to this consultation as...?



Gender





4 Findings

4.1 Responses

Overall 866 comments were received from the public during Phase 2. Furthermore, many of these comments were summaries of several individual comments made during the table discussions at each of the public events.

4.1.1 Public events

77 residents attended the 8 public events, along with 20 local councillors. Despite this disappointing turnout the quality of the discussions that did take place was high and a summary of the main findings is set out in section 4.2 below.

4.1.2 Online survey

A total of 63 surveys were completed (58 online and 5 in paper form). Main findings are set out in section 4.2 below.

4.1.3 Feedback cards

32 cards were completed and a further 11 people responded through the council's online response form (similar to the feedback cards). This feedback is included in the findings in 4.2.

4.1.4 Other written comments

In addition, an extended written response was received by a community organisation and a note commenting on the Sale event; also included in 4.2. There were a number of additional comment cards, meeting notes and an extended letter response on the Pathways element of the consultation.

4.2 Analysis of findings

Trafford provided a number of channels for members of the public, stakeholders and businesses to respond to this process over later autumn and early winter 2015. Whilst there were extensive opportunities for individuals to engage with the consultation, the numbers taking advantage of those opportunities was lower than anticipated.

The consultation provided an opportunity for residents and other interested parties across Trafford to express their views on Trafford's budget proposals. Their feedback provides a rich view on the budget proposals that will be used to inform final budget decisions.

TCC have analysed the findings using specialist software that helps to structure and make sense of large volumes of qualitative (textual) information.

Using this approach and the consultation framework described above we have followed the structure of the online survey to present the feedback. This grouped the proposals under the six themes described in 3.1 above, namely:

9. Working smarter
10. Buying better
11. Maximising income
12. Eligibility and access
13. Joining up services and working together
14. Promoting independence

This framework was also used in the public event discussions.

The findings are set out in question order with a graph showing the responses to each question from the survey followed by a summary of the key points made in both the text boxes in the survey and from the public events, comments cards and other written feedback.

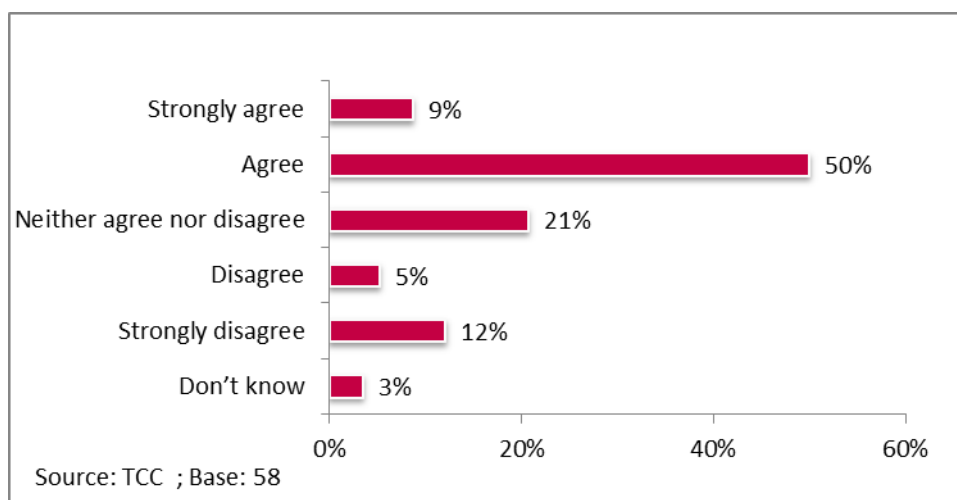
Please note that comments and qualitative data are intended to provide texture and demonstrate the different approaches to an issue. We tend to find, as with here, that negative comments outweigh positive. As such a larger number of qualitative positive or negative points is not a demonstration of scale of agreement or disagreement but rather a representation of the available differing points of view within that position.

4.2.1 Working smarter

All Age Travel Assistance Policy

As Figure 1 shows, 59% of survey respondents agree or strongly agree with the proposal to have a consistent approach across adults' and children's transport services, with 17% disagreeing or strongly disagreeing. It is important to note that the response is to the question above and cannot necessarily be taken as an endorsement of the policy.

Figure 1: Q1. What do you think of our proposal to have a consistent approach across adults' and children's transport services?



This proposal generated the second highest number of comments and suggestions (102) in Phase 2, behind only Council Tax (114 comments). The following is a summary of those comments and suggestions. Within this consultation a question was asked to obtain feedback a targeted separate consultation on this proposal is due to finish on 2 February 2016 and will be reported on separately.

There were 15 comments in agreement with the proposal and 38 against; with 18 neutral and 31 suggestions.

Comments in agreement

Agreement with the policy tended to be on the basis of cost and reasonableness, comments included:

“Agree council should allow only one alternate address in addition to house address and should be equal distance.”

“Agree council should not pay travel beyond nearest eligible school”

However, many of those agreeing only did so with provisos, for example:

“Agree that pick up points could be appropriate for some children but door to door drop offs still needed for some children.”

“Agree as long as safeguarding issues are managed properly.”

Comments in disagreement

Most comments disagreeing with this proposal were on the basis of fairness, safety and the financial impact the policy would have.

“Why should it cost someone with SEN/severe disability £20 per day to attend college, when an able bodied person could access the same college for £4 per day?”

“The proposal to increase charges to young people with SEN & adult learners etc from £2/journey to £10 is unbelievable and ridiculous... It would absorb virtually all of a disabled person's DLA/PIP's benefit, both care and mobility. Although £10/journey may be a 50% discount, the bulk of the cost should be spread across the majority (ie all taxpayers locally) rather than the unfortunate few who are disabled etc.... A charge of £3 (50%) rise would be more appropriate.”

“It's not okay and is clearly discriminatory to expect severely disabled children to get on normal buses.”

A number feel that the policy would discriminate against those attending grammar schools:

“Children will not be entitled - will be penalised for attending a grammar school.”

“The part with which I disagree is discriminating against grammar school pupils whose school may be further from home than the nearest school. This is unjust in an area of selective secondary schools.”

There were also comments on the process and concern that this will have a negative effect on the relationship between Trafford and parents, for example:

“Advised not all groups have been written to and 28 day legal consultation period has not been provided.”

“Relationship with Trafford with parents is breaking down – legal challenges will increase from parents which will affect the overall savings.”

Other comments and suggestions

These included:

“Costs should be equitable with the costs paid by children accessing other transport means.”

“Is there a volunteer element to transport?”

“Travel assistance may be required from below age 4 as attendance at special needs schools can start in advance of other school age children.”

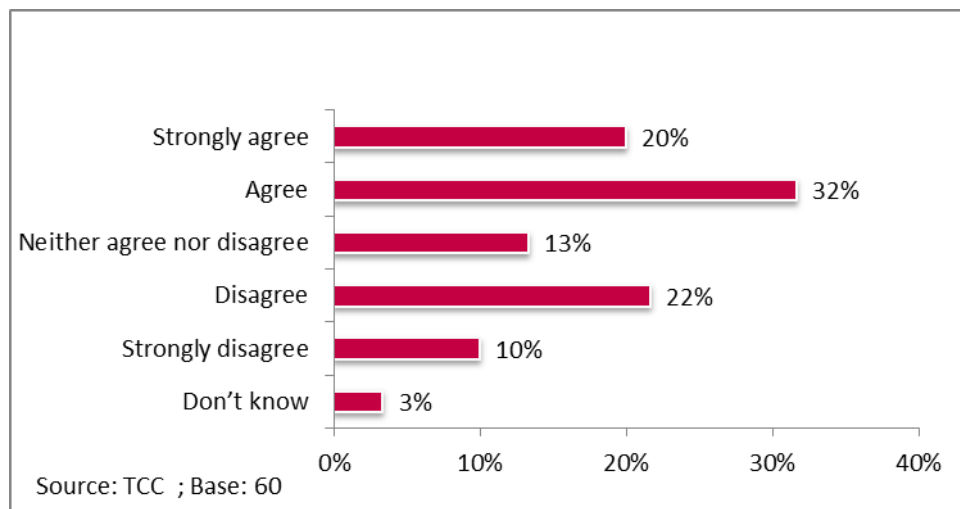
“Need to look holistically at all the bureaucracy parents/carers have to work their way through. Putting more stress on them.”

4.2.2 Buying better

One Trafford Partnership

As figure 2 shows, this proposal - which included letting grass grow longer and removing the 8 'Bring Sites' - was supported by 52% of survey respondents agreeing or strongly agreeing, with 32% disagreeing or strongly disagreeing.

Figure 2 - Q2. What do you think about the proposals for One Trafford Partnership to introduce new approaches and investment in systems and equipment to save money?



There were 73 comments in total on this proposal: 12 comments in agreement, 29 against, 8 neutral and 24 suggestions.

Comments in agreement

Comments supported letting the grass grow longer, some wanted to go further allowing wild flowers grow for environmental reasons, for example:

"I agree it is a good idea. I would suggest leaving all grass verges and letting wild flowers grow - better for bees and the environment."

Support for removing the Bring Sites, though some concerns about fly tipping:

"As long as it doesn't lead to increased fly tipping."

Comments in disagreement

Many of the comments were concerned about the length, scale and value for money of the contract with Amey and belief that, at best, Amey are so far unproven, comments include:

"The length of the contract let to Amey is economically illiterate."

"Jury is out on Amey until they prove they can do the job for the price. Council should not be claiming the service has improved until there is some evidence to back up this rather silly claim!"

"Removing 'bin sites' for recycling may well increase domestic use of street bins."

Other comments and suggestions

“Need clarity for community groups on who they need to contact.”

“Use apprentices and 'back to work' candidates to help bring Council properties back into use.”

“As a regular user of Moss Park I agree savings could be made with the grass being cut fewer times during the year. However, this particular park seems to be the "poor relation" when it comes to being looked after compared to Victoria Park. On a regular basis the bins are overflowing with rubbish, currently there are trees blown down and the pathways are covered in wet and decaying leaves. This is making the pathways very slippery and not safe for our elder park users.”

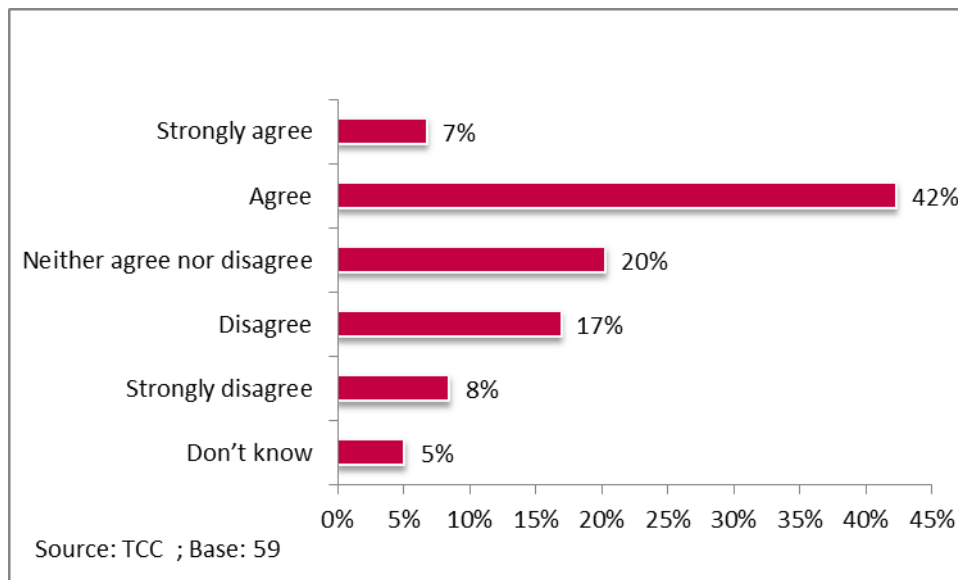
“...why not work with community groups who have been asking for this for some time to turn our sorry grass verges into wildflower verges.”

“Need to have more glass / cans / paper collections during December, January and February with fewer green bin collections which should be every two weeks during this period.”

Extra Care

As Figure 3 shows, 49% of survey respondents agree or strongly agree with the proposal to charge a common rate across all four sites, with 25% disagreeing or strongly disagreeing.

Figure 3 - Q3: What do you think of our proposal to introduce a common rate for Extra Care services across all of our four sites named above?



There were 31 comments in total on this proposal: 2 comments in agreement, 13 against, 4 neutral and 12 suggestions.

Comments in agreement

Only a couple of comments in agreement: one supporting a Greater Manchester approach to commissioning extra care housing and the other because it reduced the need for people to go into full time care.

Comments in disagreement

Most comments were in relation to fairness:

“I’m not sure that this charge should be the same across the area as it depends on available funds of each individual.”

“It is not fair for individuals to have to pay more when they haven’t been paying up until now.”

“I would prefer payment to be covered through tax rather than users paying. If payment is required then it should be a flat rate with financial assistance to those with low income.”

Other comments and suggestions

“Surely it depends on the quality of care, facilities and provision?”

“If the housing provider is using variable service charges then there are rules governing the consultation required to change the contractors providing the service. Residents may be unwilling to lose the organisation providing the services in the wellbeing charge. Equally some schemes may want to enhance the service offered and therefore be prepared to pay a premium. Where housing providers charge affordable rents then we are having to reduce these by 1% per year for the next 4 years under the measures introduced by the budget this summer. This is setting a climate where we need to reduce rents and service charges and not increase them. The other pressure on what customers pay will be the fact that Housing Benefit will be limited to the Local Housing Allowance level from 2018. Currently charges at extra care housing are well above the local housing allowance. People living at Newhaven on Housing Benefit will need to find £86p per week to meet the current charges. Adding a wellbeing charge on top of that could compound the affordability issues.”

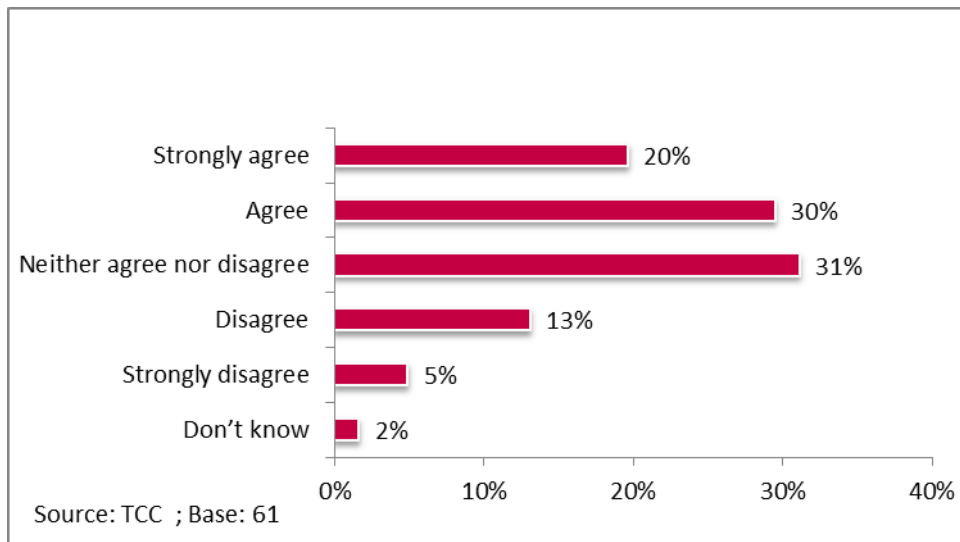
“Only if residents can afford to pay or have reasonable assets could that be used as a contribution.”

Commissioning/Market Management

As Figure 4 shows, 50% of survey respondents agree or agree strongly with this proposal, with 18% disagreeing or disagreeing strongly; 31% neither agreed nor disagreed.

There were 42 comments in total on this proposal: 7 comments in agreement, 17 against, 4 neutral and 14 suggestions.

Figure 4 - Q4: What do you think of our proposal to maximise savings and income by continuing to be diligent and reviewing existing contracts, recognising the need to consult with service users if affected?



Comments in agreement

Many of the comments – for and against – related to the Amey contract.

“I do agree but am deeply concerned that the Council have allowed Amey an 18 year contract with their option for a further 5.”

“...would say yes – concern that a lot of private sectors can undercut voluntary sector.”

“Group agreed that there was a huge opportunity to work collaboratively in Greater Manchester to deliver provision.”

Comments in disagreement

Many of the comments related to belief that outsourcing service led to lower wages and less security for employees, which would have knock on effects to the local community.

“People need good jobs with good wages and conditions and permanent contracts, by taking this approach you are not supporting this local need for work security and liveable wage.”

“Service provision to the most vulnerable in any community should be the most important. Outsourcing services to the 'cheapest' provider is not the answer - as stated in the Care Act quality is as important. It's important to look at consortia of organisations working together who may be able to deliver a better service. In addition, evidence shows poor support services to those in their own homes can actually cost more money as that person may need to move into residential care sooner.”

“Reviewing existing contracts' in practice means squeezing the income of those already on the lowest pay. This council may think that is a good idea. Some of us don't.”

“Paying less usually results in less pay for workers and therefore lower tax receipts and claiming more benefits.”

Other comments and suggestions

“An equality impact assessment needs to be an integral part of this, ensuring communities with protected characteristics, like lesbian, gay, bisexual and trans people, do not suffer increased inequalities as a result of cuts.”

“Building more sustainable providers who can deliver better quality service.”

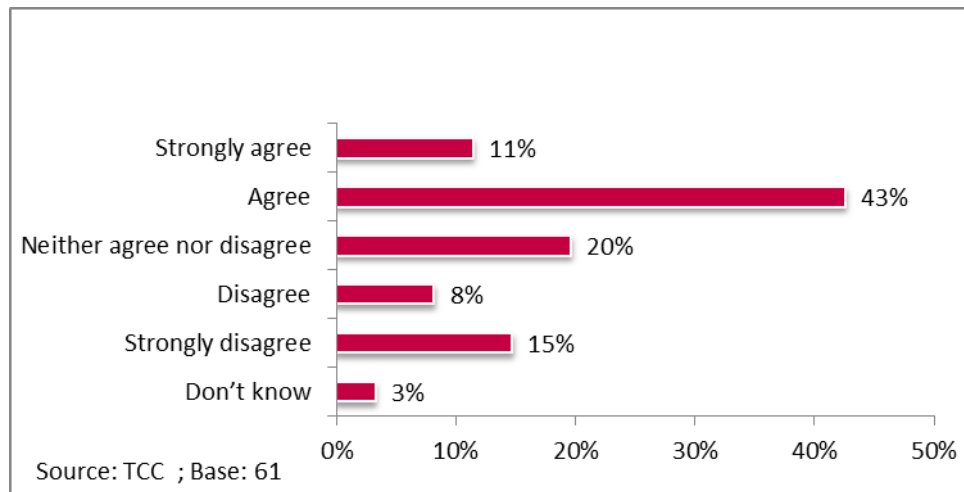
“Need to ensure that jobs that are transferred are paid living wage with proper contracted hours. Do not allow bids to be accepted that are below these standards.”

4.2.3 Eligibility and access

Reshaping adult social care

Figure 5 shows that 54% of survey respondents agreed or strongly agreed with this proposal, with 23% disagreeing or strongly disagreeing.

Figure 5 - Q5: What do you think of our proposal to review all individual care packages to ensure the most efficient use of resources, whilst still meeting the needs of vulnerable residents?



There were 45 comments in total on this proposal: 7 comments in agreement, 18 against, 4 neutral and 16 suggestions.

Comments in agreement

Agreement tended to be with the proviso that it be done fairly:

“Those who can afford should pay a contribution.”

“I agree but must be done fairly and without placing additional burdens on health providers.”

Comments in disagreement

There were various concerns about the impact of this approach, including:

“I work in a hospital and Trafford residents always suffer the longest delay to discharge due to difficulty getting care or care packages. This is compared to Manchester, Stockport or East Cheshire patients. I would rather pay more council tax and have better social care services.”

“This approach needs to involve all parties in the provision of care and support. Lack of resource to undertake these reviews will render the process ineffective from a time and cost perspective. Having to wait weeks for assessments to be undertaken is not a good solution.”

“Care is being undervalued with this approach, people are being short changed + the cracks will show in time. People not technology make good care.”

“Don’t get paid for travel time, and rota does not often allow for travel time.”

Other comments and suggestions

“Community care important as people go back into hospital. Also problems with hospital. Not helpful to blame each other. GM devo may help.”

“Council should consider whether it can charge for brokerage service for delivering care purchases, particularly for self-payment.”

“No one should be disabled by a poor care package - but also reviewing a care package should not mean an opportunity to increase eligibility criteria so that those who are still vulnerable no longer meet access levels to receive the support they previously did. In addition, a change in care package should not mean an increase in input by unpaid carers - parity of esteem in the Care Act shows the need for recognising their needs and ensuring their health and wellbeing does not deteriorate as a result of their caring role.”

*“I understand there is a plan to cut funding to carer services, it's important to consider that this will likely cost more in the long run. I recommend reading the recent piece of work undertaken by Surrey Council which shows that this is a false economy. The report can be found here:
<http://www.local.gov.uk/documents/10180/5756320/The+Economic+Case+for+Investment+in+Carers/a39c3526-c8a4-4a18-9aa4-b5d8061df8a2>”*

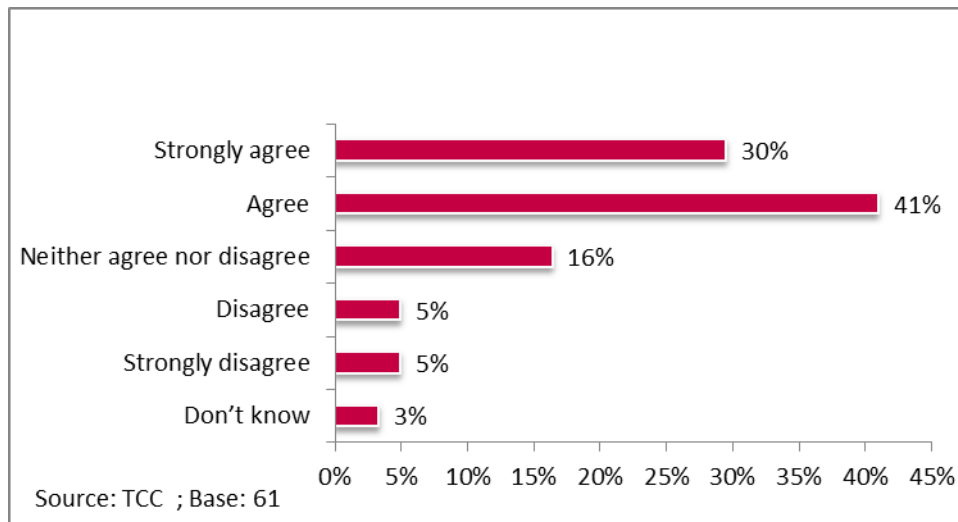
4.2.4 Joining up and working together

Integrated health and social care

Figure 6 reveals that an overwhelming 71% of survey respondents agree or strongly agree with this proposal, with 10% disagreeing or strongly disagreeing.

This proposal also attracted a lot of comments; 75 comments in total, with 13 comments in agreement, 18 against, 16 neutral and 28 suggestions.

Figure 6 - Q6: What do you think of our proposal to join up services across health and social care for children, adults and older people to remove duplication?



Comments in agreement

Integration is generally seen as a good thing...

“I think pooling budgets will be a good thing, may help issues around people being bounced around services.”

“General plans around integration of social care – why wouldn’t you want to do that – sensible approach.”

“Barriers between budget holders (adult, children’s service for example) can lead to a poor service.”

“The agencies have been saying this for decades, but progress has been very slow. Will progress be much faster this time?”

Comments in disagreement

Some specific concerns were mentioned, including:

“Whilst we appreciate that savings in this area are necessary due to the cuts made by Central Government, as a very experienced and specialist voluntary sector organisation, we know that short term savings made by cutting public health services – notably sexual health and mental health - will lead to greater demand and escalating costs in the long term.”

“There is a clear risk to cutting funding to the VCS, not only because they hold a wealth of experience providing targeted services and specialist expertise on how to confront complex and expensive problems – such as the recent issue of Chemsex which overlaps the boundaries between mental health, sexual health and drug and alcohol services – but also because they exist as community assets that are able to meet the wider needs of their communities using a person-centred and holistic approach.”

“As a Trafford primary school headteacher, I have seen the problems caused by HR becoming corporate. I am afraid that I will not get the rapid response from MARAT if they are dealing with adult social care issues too.”

“Access Trafford very difficult to get through – so one stop numbers often get clogged up.”

There were also some comments relating to the lack of information on this proposal, including:

“It's difficult to agree to proposals that contain no substance.”

“Don't think information very accessible. Public Health information is incredibly brief.”

Other comments and suggestions

“LGBT communities are disproportionately affected by a range of health inequalities (for example, sexual health, mental health, substance use, homelessness and poor experiences of accessing health and social care services) and in compliance with the 2010 Equality Act, these should be considered in the design and delivery of services.”

“Effective solutions to the problem of budget cuts alongside rising demand on public services lie in co-production between statutory and VCS organisations and the adequate funding of specialist VCS services.”

“Need to use named consistent key workers for families and vulnerable people to help them build trust and relationships.”

“How will the Council ensure the appropriate levels of skill remain across the integrated team for the different aspects of care e.g. Children and Adults which will have their own nuances? Cost efficiencies are understandable but not when key skills are lost as a result.”

“Single points of contact – must be adequately staffed fast & responsive.”

“Every family in contact with us says this: need streamlining, need information, someone to signpost, give information.”

Keeping families together

As Figure 7 shows, the vast majority, 78%, of survey respondents agree or agree strongly with this proposal; with just 5% disagreeing or strongly disagreeing.

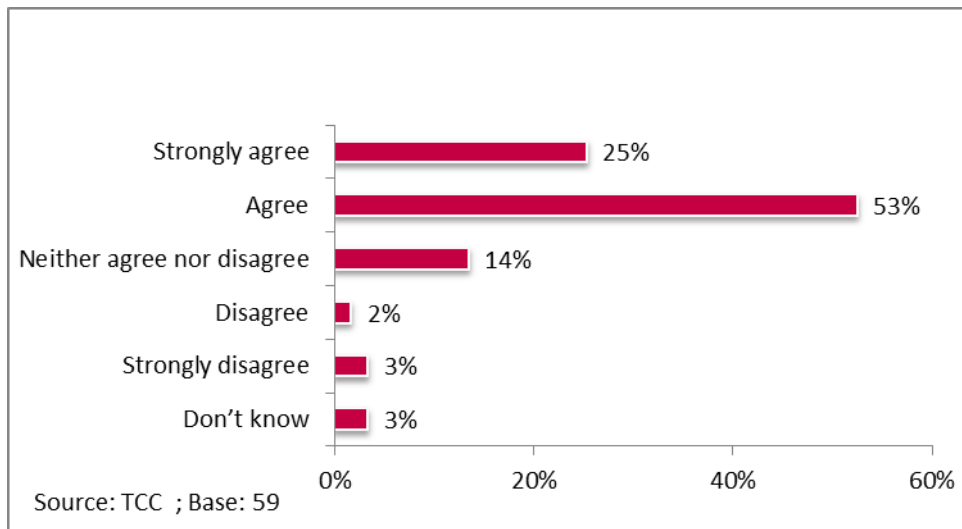
This proposal attracted 16 comments in total; with 5 comments in agreement, 3 against, 3 neutral and 5 suggestions.

Comments in agreement

“If a family can get help to stay together then that has to be better than social care.”

“A whole family approach is recommended. However, this will need to involve a skilled multi-disciplinary team who are able to cope with the often multi-faceted challenges faced by some families. A strong partnership with mental health services, carer organisations etc. The fact that young carer services are no longer funded in the borough and the expectation that regular youth services can cope with the needs of this vulnerable group is not the way this new service should work.”

Figure 7 - Q7: What do you think of our proposal to establish a single service to keep families together by responding to families in crisis so children don't come into the care system?



Comments in disagreement

Some concern that this approach might not meet statutory requirements:

“This could put children at risk and doesn't comply with public duty to safeguard.”

“Citizen's in policy is not being met under discretionary duty which was requested to be reviewed.”

Other comments and suggestions

“It is sensible to try and keep families together? It's a pity that some Sure Start centres are going as they help prevent families going into crisis in the first place.”

“Depends on maintaining key workers for families, so they can build relationships with named workers.”

“The contact centre or staff who answer incoming calls need to be well trained, though”

‘Front door’ to our children, family and wellbeing services

As Figure 8 shows, there is overwhelming support for this, with 84% of survey respondents agreeing or strongly agreeing with this proposal, and just 2% disagreeing.

This proposal attracted 53 comments in total; with 11 comments in agreement, 10 against, 8 neutral and 24 suggestions.

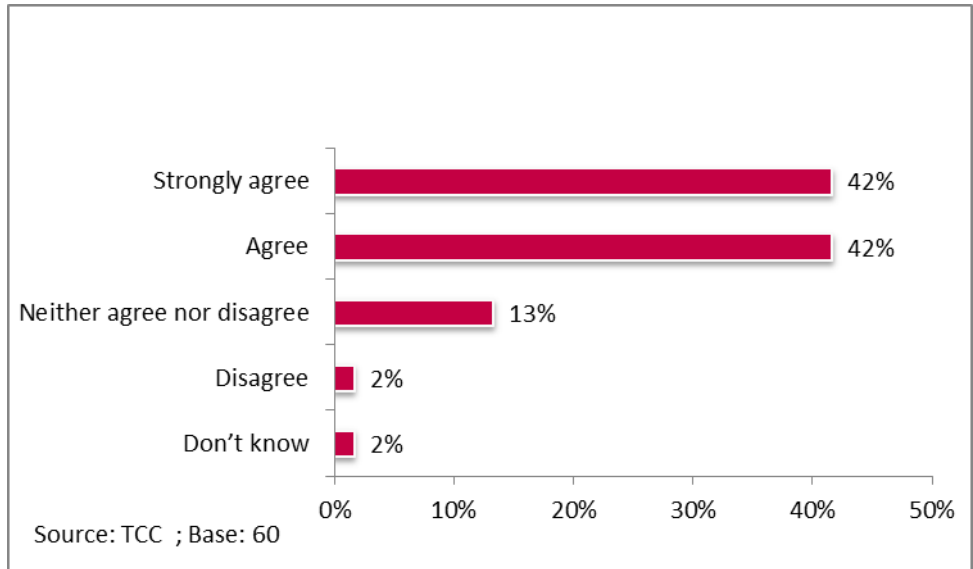
Comments in agreement

“Yes want working across all areas in adult & children services.”

“Good idea. Bad when people get passed along the line and have to wait for access and vital information.”

“I do agree but we already have this with MARAT.”

Figure 8 - Q8: What do you think of our proposal to have a single point of access for agencies and professionals, for example, to contact us if they are concerned for someone's welfare to ensure vulnerable children and adults receive an appropriate response?



Comments in disagreement

“Does this apply to Adolescent psychiatric services?”

“Trafford gets the lowest amounts per pupil across the country – can you lobby.”

“THT are pulling the plug on youth – Lostock closing”

Other comments and suggestions

“A single point of access is an excellent idea - but marketing is crucial.”

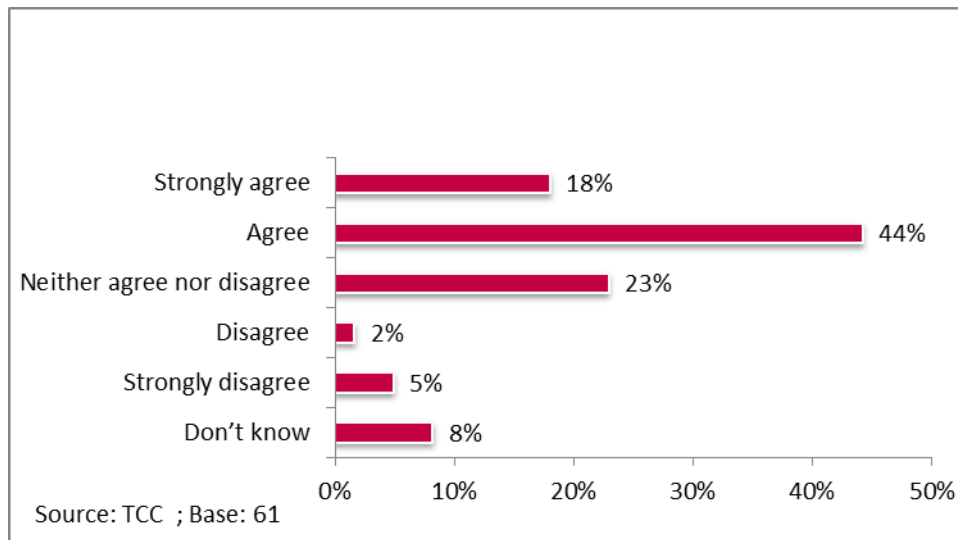
“The contact centre, or staff who answer incoming calls, need to be well trained.”

Learning Disability, Complex and Additional Needs (CAN) and Personal Budgets

As Figure 9 shows, 62% of survey respondents agreed or strongly agreed with this proposal, with 7% disagreeing or strongly disagreeing and 31% who could not decide.

This proposal attracted 67 comments in total; with 4 comments in agreement, 26 against, 13 neutral and 24 suggestions.

Figure 9 - Q9: What do you think of our proposal to develop a joined up service for children, young people, adults and older people with complex needs and learning disabilities improving outcomes and enabling people of all ages to have access to appropriate support in a planned way



Comments in agreement

"I agree in principle, but there's no mention of how it will also ensure the different groups don't meet, i.e. offenders not coming into contact with children, etc."

"Pleased that being listened to today."

Comments in disagreement

"You don't talk to each other now. Joining services will only mean reductions in the number of staff employed by Trafford. I doubt very much that the people affected by this will benefit."

"No! It's a terrible idea. They don't have the same needs and requirements."

"Not much for deaf people – limited access & resources."

"Deaf people don't know how to contact Trafford e.g. to use type talk."

"Constant moving of adults with learning difficulties who suffer every time they lose stability and their friends."

Other comments and suggestions

"This service must be co-designed by those who will use it - people with LD (of all ages) and carers. Consultation is not enough - if you want people to have opportunities in life to live independently, live well and provide reassurance to carers that a whole life approach is being adopted - co-design is the only way forward... This will mean commissioners and providers will need to be brave and recognise that they don't always know best."

"It would be nice if the Council also had a budget to help children of exceptional ability to fulfill their potential. Gifted & Talented assistance in State schools is virtually non-existent. These are the kids that really are the future."

"There has often been a problem for a service user reaching 16 or 18 and leaving an adolescent service, especially adolescent psychiatry, and trying to avail himself or herself of the relevant adult service. Problems have also existed for people aged about 15-19 seeking such a service for the first time, being refused help by one agency as too old and by another agency as too young!"

4.2.5 Maximising income

Car parking

Figure 10 shows that 70% of survey respondents agree or strongly agree with the proposed increases to parking fees; with 23% disagreeing or strongly disagreeing.

Similarly, Figure 11 shows that 73% agree or strongly agree with the introduction of charges and the hitherto free car parks named, with 20% disagreeing or strongly disagreeing.

Figure 10 - Q10: What do you think of our proposal to increase Parking Fees as shown in the table?

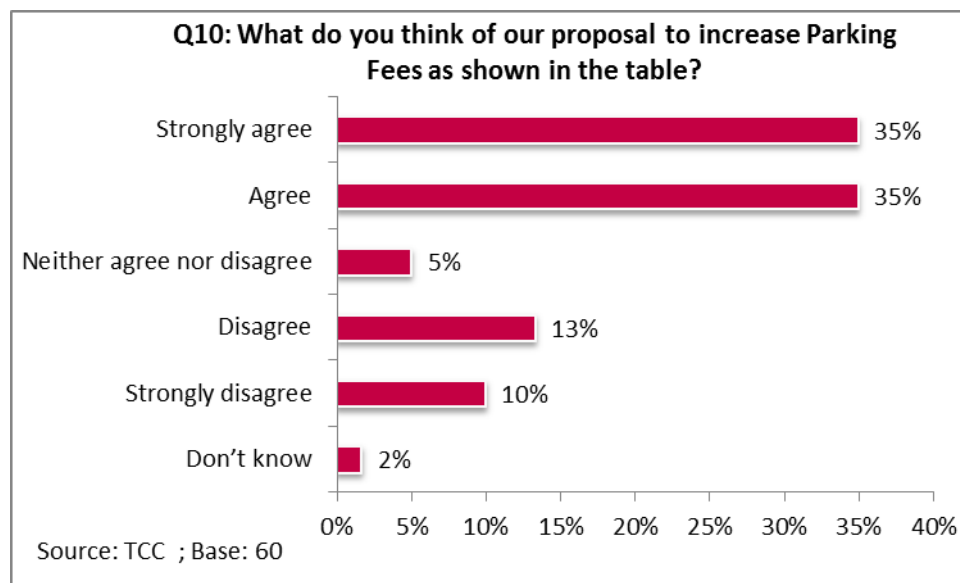
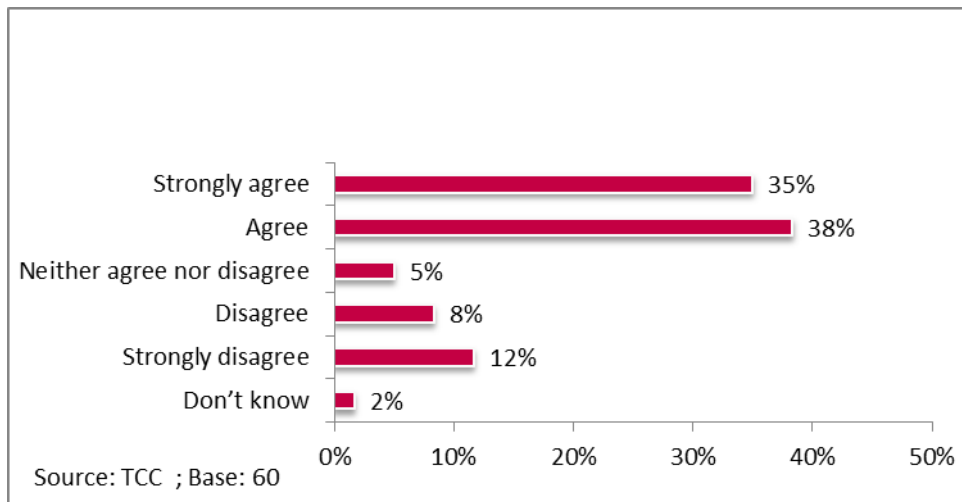


Figure 11 - Q11: What do you think of our proposal to introduce charges at the following car parks which are currently free all day: Balmoral Road, Altrincham, Golden Hill, Urmston, Warrener Street, Sale Moor. The proposal is for up to 2 hours free; over 2 hours £1?



This proposal attracted 67 comments in total; with 20 comments in agreement, 20 against, 6 neutral and 21 suggestions.

Comments in agreement

Supporting comments generally felt the proposed increases are reasonable and would not affect parking, comments include:

“Still relatively modest and could be increased.”

“Fair enough to raise car parking charges in Altrincham as people would come regardless...”

“...the charges seem reasonable and will still allow some free parking.”

“I believe the parking fees should be increased further. Fees are still very low, and increased fee income would help to protect essential services.”

“These car parking charges are too low. The council should discourage people from using private motor vehicles which pollute the atmosphere and discourage physical fitness.”

Comments in disagreement

Concerns mostly focused on deterring town centre shoppers, particularly in Altrincham.

Parking charges, and the over-zealous enforcement, previously gave Altrincham a notoriety and many people stayed away as a result

“Put fees up but reduce penalty.”

“...the introduction of a charge of £1 for the day, whilst not unreasonable, is going to encourage people to park everywhere along the roads that is free and cause further congestion...”

“Since the Council are proposing to charge for use of the Balmoral Road Car Parks are you now going to provide some maintenance for these Car Parks? I object to paying for a car park with pot holes and no proper tarmac surface, often covered in litter and shrubbery...”

“Parking is a significant factor when encouraging trade, customers and increased footfall. Increased parking charges will mean our town centres will not be able to compete with surrounding areas like Cheshire and Trafford Centre.”

Other comments and suggestions

“...look at ease of paying e.g. contactless.”

“Pay on exit is better than pay on arrival.”

“I think that the 30 minutes should be free to allow for short-term parking, and assist local shops.”

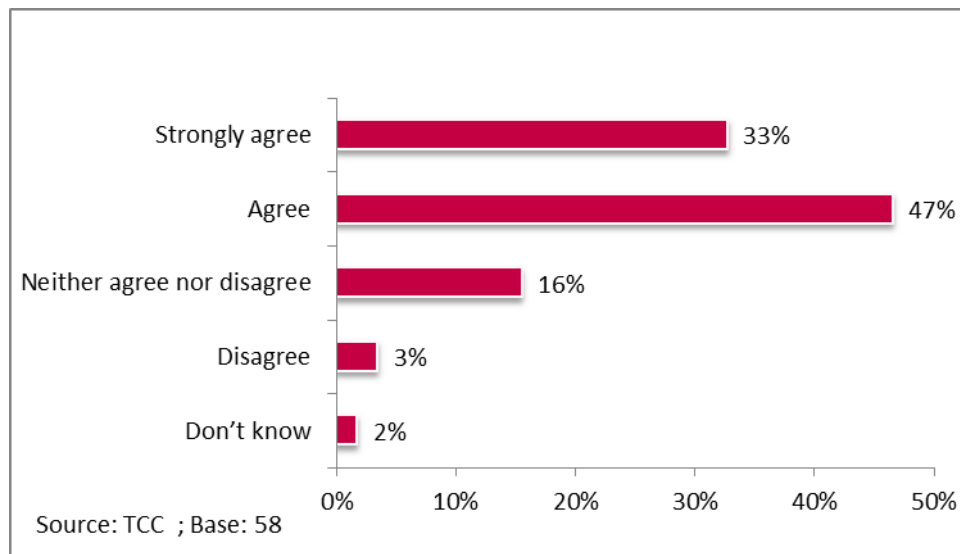
“The free period should be longer, The aim is to discourage all-day parking.”

“The comments are with regards to Sale Moor car park... the community of Jehovah’s Witnesses that meet in the area will seem to be “fined” for their worship since their meetings and activities usually last over two hours...could some sort of work or religious parking permits be granted to those who apply for them on reasonable grounds?”

Maximising funding

Figure 12 shows that 80% agree or strongly agree with looking at various sources to increase Trafford’s funding (such as attracting more businesses to the borough, which would increase business rate income) with just 3% disagreeing.

Figure 12 - Q12: What do you think of our proposal to maximise funding using these sources to mitigate the need for savings elsewhere?

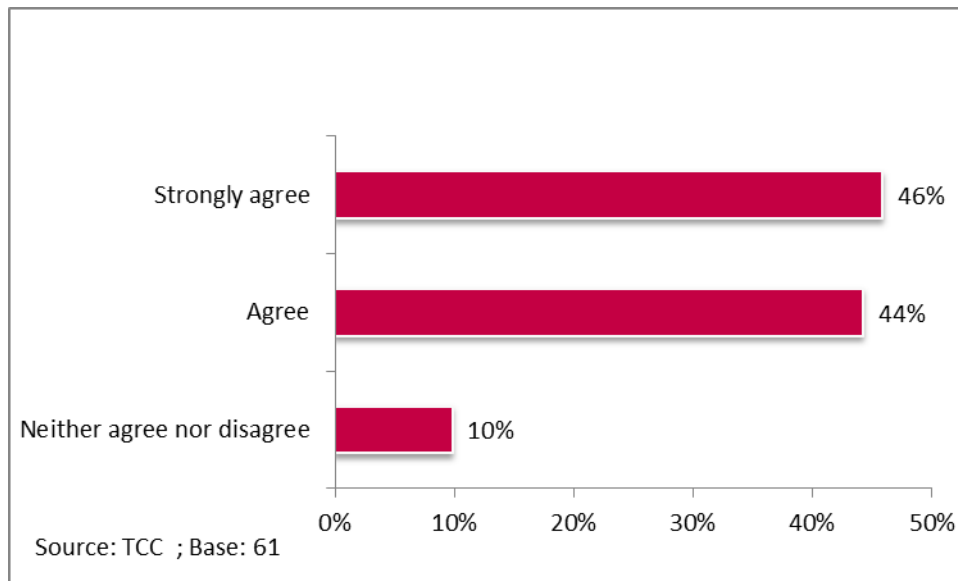


There were just 3 comments on this proposal, all suggestions. Unfortunately these comments are all illegible.

Income generation

As Figure 13 shows, there is almost unanimous support for this, with 90% agreeing or strongly agreeing, and the remainder undecided.

Figure 13 - Q13: Do you agree we should continue to invest time and effort to maximise income generation through the better use of Council assets?



This proposal attracted 27 comments in total; with 7 comments in agreement, 6 against, 2 neutral and 12 suggestions.

Comments in agreement

“I agree; it’s critical that LAs find ways to maximise income, to reduce levels of cuts and protect services.”

“Isn't that what you should be doing anyway?”

Comments in disagreement

“Not much opportunity in this ward.” [Old Trafford]

“...will just concentrate wealth further in already wealthy areas.”

Other comments and suggestions

“...ability to retain business rates by 2020 - will this represent a large increase in income for Trafford?

I'd also like to know how the newly-announced airport windfall will affect the Council's budget (<http://www.manchestereveningnews.co.uk/business/business-news/councils-25m-windfall-manchester-airport-10541137>) In essence, as the proposals were put together prior to both the spending review and windfall announcements, I'd like to know whether these factors can reduce the amount of cuts which currently need to be made?”

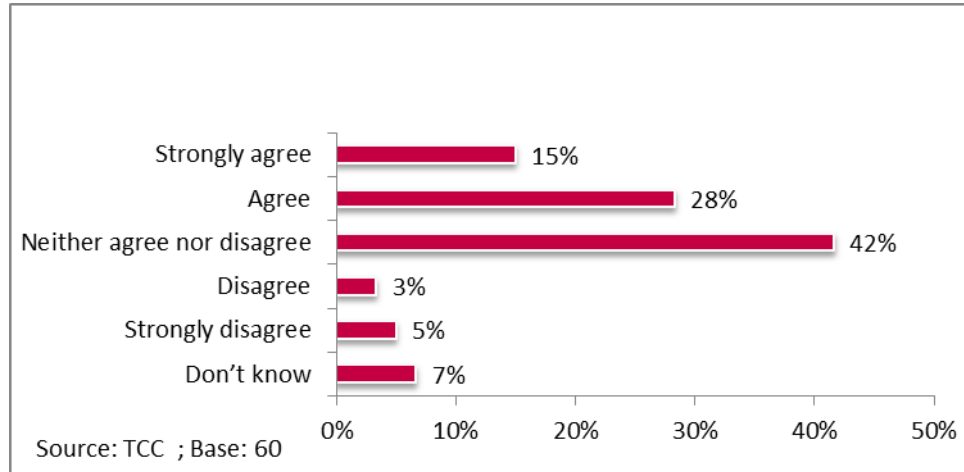
“Policing:- change the role of traffic wardens to be able to issue fines for environment issues that would be done by an enforcement officer. Eg dog fouling, bins left out incorrectly, littering, graffiti, nuisance kids Make them Council enforcement officers with the focus of improving area.”

Bereavement services

As Figure 14 shows, the biggest single response, 42%, was from those who neither agreed nor disagreed with the proposal, with a further 7% who responded ‘Don’t know’. 43% of survey

respondents agreed or strongly agreed with the proposals and 8% disagreed or strongly disagreed.

Figure 14 - Q14: What do you think of our proposal to introduce a range of new products in our Bereavement Services such as, above ground Sanctum Vaults (small stone casket) for cremated remains and to review our fees and charges?



There were 7 comments on this proposal: 1 in agreement, 3 disagreeing and 3 suggestions-including:

“Agree in principle but fees and charges should be reasonable, not ‘rip-off’.”

“Increasing bereavement fees is a cruel tax on people with no choice.”

“Bereavement is not a choice like using a motor vehicle or public transport, so I am not sure if it is fair to increase charges or subsidise them.”

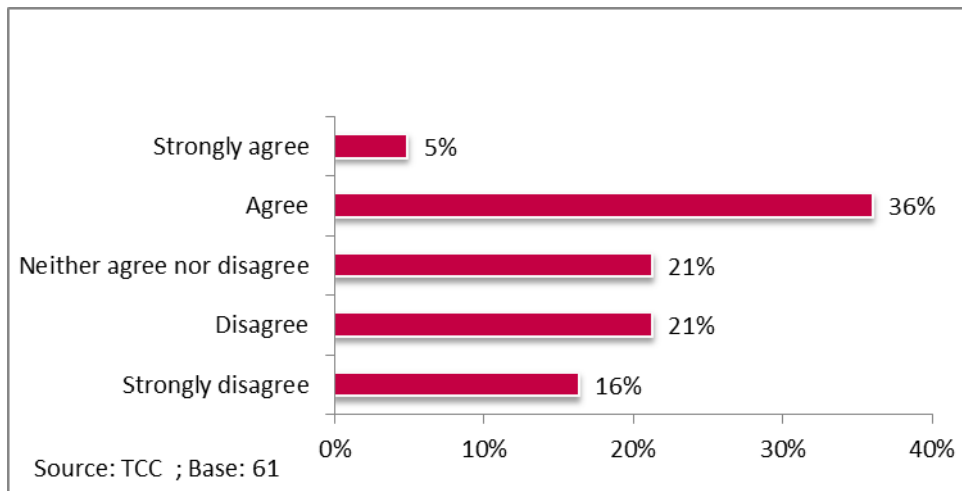
“Need to ensure that in increasing cremation/burial costs we don’t increase the number of pauper burials the council has to pay for.”

“As long as there is an EIA and funeral poverty is considered.”

Fees and charges (care services)

Figure 15 shows 41% of survey respondents agreeing or strongly agreeing with this proposal, with 37% disagreeing or strongly disagreeing and 21% undecided.

Figure 15 - Q15: What do you think of our proposal to introduce additional charges, based on people’s ability to pay, for those contributing towards their own care?



There were 20 comments on this proposal: 2 in agreement, 7 disagreeing 6 neutral and 5 suggestions - including:

“If you pay NI contributions then care should be free.”

“Care should be paid for by society.”

“Stop moving service towards privatisation.”

“A 'common' service should have a 'common' price to all. Those who can't afford to pay should be subsidised by all council tax payers. Those who have been careful and saved should not be expected to pay more.”

“It would depend entirely on the fees, the means testing process, individual circumstances and the basic service level for those unable to pay.”

Council Tax

Figure 16 shows that 44% of survey respondents agree or strongly agree with the proposal to freeze Council Tax, with 37% disagreeing or strongly disagreeing.

Interestingly, this proposal attracted the most disagreement, with 114 comments in total; 6 comments in agreement, 66 against, 19 neutral and 23 suggestions.

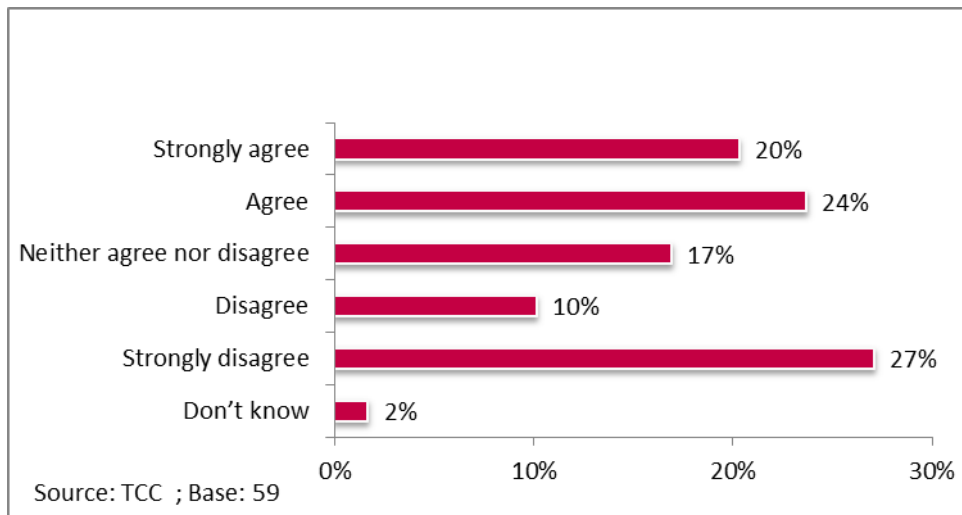
Comments in agreement

“General view that council tax shouldn't be increased if we receive the freeze grant.”

“Would favour a freeze.”

“I am a resident of Trafford and also work in Trafford. I agree with the proposed Council Tax freeze if this is at all possible.”

Figure 16 - Q16: What do you think of our proposal to freeze Council Tax if the Council receives a Government 'freeze grant' of £900k in return?



Comments in disagreement

“The latest Govt budget allows Councils to increase Council Tax by 4% without a referendum. At the first round of consultation, residents were in favour of increasing Council Tax to reduce the necessary cuts. Increasing by the full 4% would raise an additional £3.2M (£2.3M after losing the funding). £2.3M is not to be sniffed at and would only cost the average resident (Band D) an extra £50 a year.”

“Council tax showed not to be frozen year-on-year sometimes we need to take more in the way of Council Tax when we need to.”

“Council tax – wouldn't object to an increase of 3-4% if it paid for services to older people/people with support and care needs.”

“The 'pride' with which the council takes in the grant freeze is abhorrent. If they had not insisted on this freeze for the past five years we may not be in the dire straits we are now. I strongly think that the council should increase the council tax to mitigate the impact of cuts to services as much as possible...”

“Please stop being proud of such low Council Tax - why should any of us be pleased about this when our services are so low?”

“Stop trying to be the Tories golden Council - put up the rates, it's absurd to hold on this idea when you are slashing services.”

“'Boasting' about freezing council tax every year does not impress me, we need good quality sensible policies for all. Other utility bills increase every year, so why not council tax?”

“First round of meetings – people felt wanted to increase council tax – why are you sticking to no increase?”

Other comments and suggestions

“You should tax the wealthy residents in Trafford - those in expensive homes that seem to reap most of the benefits from Trafford services.”

“Better to have a small increase each year as people don't miss a small amount – any increase will seem a lot now – should have done it year on year.”

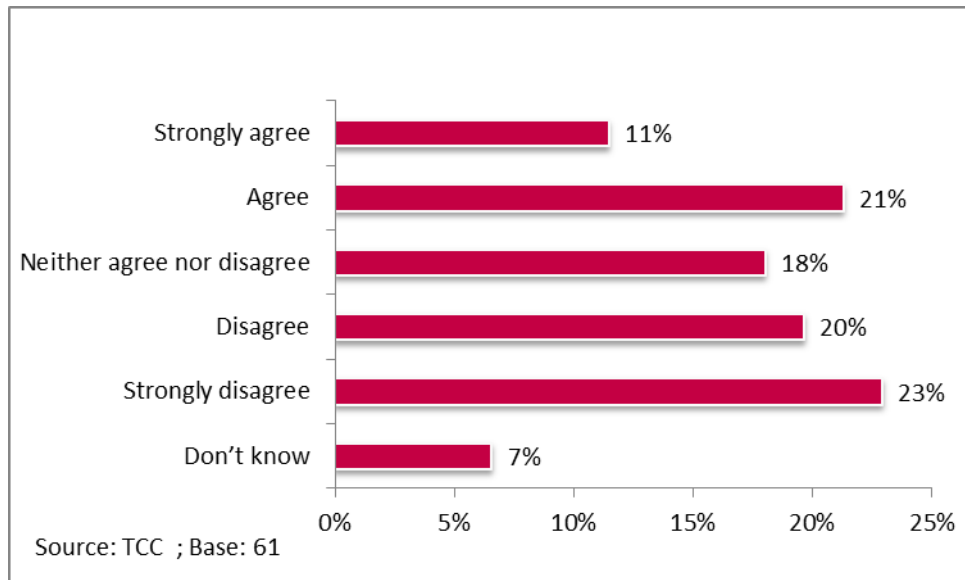
“How would you safeguard low income families?”

4.2.6 Promoting independence

Pathways (Day Centre for Adults with Learning Disabilities)

Figure 17 shows that 43% of survey respondents disagree or disagree strongly with the proposal to provide day support differently, with 32% agreeing or agreeing strongly.

Figure 17 - Q17: What do you think of our proposal to provide day support differently?



There were 41 comments in the general consultation on this proposal: 2 in agreement, 22 disagreeing 6 neutral and 11 suggestions, including:

“People are choosing to go to other places now and use personal budgets.”

“Constant moving of adults with learning difficulties who suffer every time they lose stability and their friends.”

“Some clients might need the support and interaction with other clients! This might be a social significance for them!”

“Parents are in their 70/80 years – they don’t like change.”

“Weekend use/evenings offer! – look at future need.”

“Could it become self funding/ sponsorship?”

Specific Pathways consultation

4 feedback cards were received in relation to this plus notes from a face to face meeting with services users. As well as a number of suggestions put forward on how to maintain the current

services levels there was also a number of personal comments setting out individuals concerns.

“My relative has been attending the service since she was 19 and she is now 51, I am very worried about the impact that it will have on her”

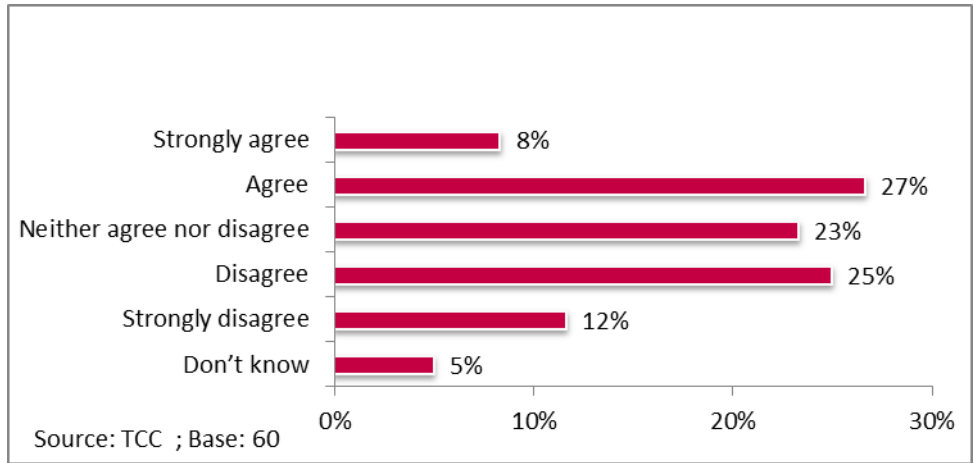
The meeting accepted that there was a need to change the service and that its current location and cost cannot be accommodated within the current budget restrictions that the authority faces.

- In that light the service user families put forward a number of potential alternatives for the service to keep it going.
- commitment to continue the employment of the current Pathways staff due to their familiarity with the current service users;
- a suggestion of using existing locations and integrating the service provision into premises either at Trafford General Hospital or in property owned by housing associations;
- selling the site for use as sheltered housing with the condition that Pathways service is maintained on site;
- hiring surplus classroom facilities for users and staff; hiring spaces at sports centres;
- letting out the unused accommodations at Meadowside privately or commercially, including to local clubs;
- a more tentative suggestion to integrate the Pathways service into a privately owned establishment, with the caveat that current Pathways staff are also integrated and employed by the private contractor via TUPE or TUPE-equivalent.
- Relocating the district nursing service or other Trafford service to the site
- Inviting private sector care providers to purchase the facility
- A partnership with Tameside Care

Supported Living

As Figure 18 shows, 37% of survey respondents disagree or disagree strongly with this proposal, with 35% agreeing or strongly disagreeing and 28% undecided.

Figure 18 - Q18: What do you think of our proposal to reduce the supported living provision we own and run by closing one facility and working with other providers to offer alternatives in Trafford?



There were 33 comments on this proposal: 6 in agreement, 16 disagreeing 3 neutral and 8 suggestions, including:

“Positive support for greater independence.”

Concern raised re vulnerable people being passed onto organisations.

“Quality of care companies – all cramming, missed visits, quality of visits.”

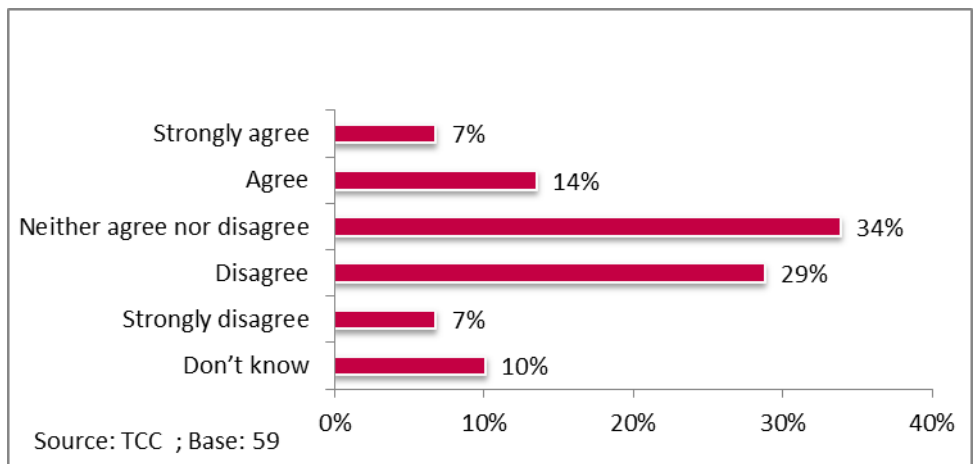
“People with dementia can't complain – as they don't know.

Discussion on table re providers/contracts in place/number of audits/monitoring of contracts/safeguarding monitoring.

Ascot House

Figure 19 shows that 44% of respondents were unable to offer a view on this proposal, with 21% agreeing or strongly agreeing and 36% disagreeing or strongly disagreeing.

Figure 19 - Q19: What do you think of our proposal to develop the health and social care services provided at Ascot House, working together with the health sector?



There were 18 comments on this proposal: 1 in agreement, 8 disagreeing 7 neutral and 2 suggestions. Most of the concern was about respite care; comments include:

“Building needs some money spending on it.”

“Please do not remove respite or social care assessment facilities. Where would the social care assessments take place then?”

“Respite care is essential at Ascot House. Again, there are not enough facilities as it is.”

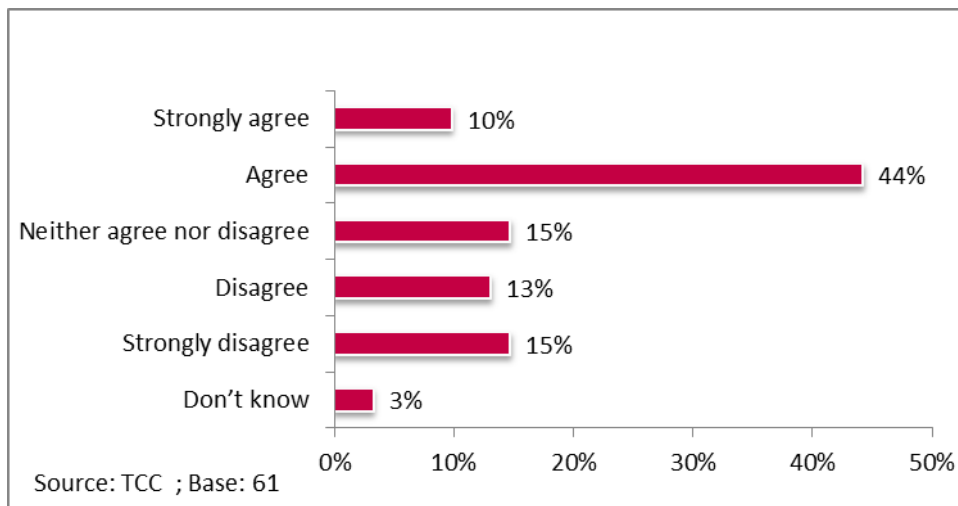
“Respite is a vital service and should never be cut. It is a lifeline and the only thing that prevents people ending up in full time care.”

“This looks like a further withdrawal in services camouflaged by what you make appear to be progress.”

Aids and adaptation

Figure 20 shows that 54% of survey respondents agree or strongly agree with this proposal, with 28% disagreeing or strongly disagreeing.

Figure 20 - Q20: What do you think of these Aids and Adaptation proposals?



There were 17 comments on this proposal: 6 in agreement, 5 disagreeing, 3 neutral and 3 suggestions, including:

Told of benefits that have been provided to keep an elderly relative to stay at home – providing aids and adaptions. “Been excellent”

Use of technology to monitor how long carers are spending with clients (this was welcomed).

4.2.7 Other feedback

There were a number of comments received about the consultation process itself:

“Difficult to make an informed response to some of the proposals when background is difficult to find. Would've been helpful for the Council to put number of useful reports & documents on the budget consultation web page.”

“Meeting not advertised very well.”

“Got details in post and had missed the 1st 2 events.”

“Trafford needs to improve its communication generally.”

“Local papers are not delivered in Old Trafford.”

“How much has consultation cost?”

5 Conclusions

5.1 Response rate

Excluding the separate Pathways consultation, a total of 77 Trafford residents attended a public event, 63 people responded online or on paper to the survey, 32 feedback cards were returned and 11 emails and 2 letters were submitted as part of Phase 2. This is a total of 185 responses, though does not necessarily represent 185 separate residents as some may have attended an event and completed a feedback card and/or an online survey.

As significant promotional activity was conducted by the council (see section 3.2.4 above) this was a disappointing response. We believe this reflects the fact that, with the exception of all age travel policy and Pathways – which are subject to separate consultations, the proposals as stated are relatively uncontroversial. However, it should be noted that several comments were received from people saying they were not aware of meetings.

5.2 Findings

Trafford provided multiple channels and opportunities for members of the public, businesses and other stakeholders to respond over the consultation period. Those who have responded to this consultation have been motivated by the issues and made a choice to do so. The qualitative feedback provides an insight into the views of a mix of Trafford residents, staff and businesses.

The value of the approach taken is in the qualitative feedback that discussions in small groups and free text boxes on the feedback cards and the online survey produce. The quality of this feedback was further enhanced by the understanding developed with participants via the presentation given at each event, the facilitation at tables and the contextual statements included in the survey.

Our analysis of the feedback reveals that generally responses to the survey were more positive than comments received – both through the survey and, particularly, through the events and feedback cards. Surveys allow participants to respond in a bounded way whereas with an opportunity to discuss and listen to proposals at events and through interaction people are able to expand and provide additional detail and question proposals further. It may also be the case that those who disagree with a proposal feel more obligation/need to explain their views; leading to more negative comments.

5.2.1 Working smarter

All age travel assistance

Whilst 59% of survey respondents agreed with the proposal: “to have a consistent approach across adults’ and children’s transport services”, there were more than twice as many comments disagreeing as agreeing with the proposal.

Most of the disagreement is based on a belief that the proposal would be unfair: both because it was perceived as a large sudden increase (from £2 per journey to £10) and because it was seen as discriminatory against those with disabilities and those attending grammar schools; which are generally further from pupils' homes.

There were also a comment on the “breakdown of relationships between Trafford and parents”, which may need to be addressed as part of the separate consultation and beyond.

5.2.2 Buying better

One Trafford Partnership

The majority (52%) of survey respondents agreed with the proposal for the “One Trafford partnership to introduce new approaches and investment...to save money.” However, again there were more comments disagreeing with this proposal.

Most of the comments in disagreement focused on the Amey contract; with concerns expressed over the length of the contract and the feeling that it's too early to tell if they will deliver effectively.

There were some interesting suggestions about using apprentices and community groups to undertake some of the work.

Extra care

49% of survey respondents were in favour of the proposal to “introduce a common rate for Extra Care services” across all of Trafford's four named sites; with 25% disagreeing or strongly disagreeing.

There were fewer comments on this proposal, perhaps reflecting the limited personal experience of responders of these services. One suggestion was to go further and commission such services across the whole of Greater Manchester. Those in disagreement were mostly concerned about the fairness of suddenly increasing some people's charges. There was a specific comment relating to the consultation requirements relating to changes in variable service charges from housing providers.

Commissioning/Market Management

50% of survey respondents agreed with the proposal to “maximise savings and income”, with 18% disagreeing (and 33% undecided.)

Again, most of the comments referred to the Amey contract, with concerns expressed about the effects on local employment and pay of outsourcing large contracts, and the possible risk to quality in the long term.

5.2.3 Eligibility and access

Reshaping adult social care

54% of survey respondents agreed with the proposal to “review all individual care packages”, with 23% disagreeing.

Fairness, especially ability to pay were commonly cited comments, as well as concerns over the time taken to make assessments. Some also commented that technology cannot replace the ‘human touch’ in delivering care.

5.2.4 Joining up services and working together

Integrated health and social care

There was strong agreement from survey respondents with this proposal, with 71% in favour and only 8% against. There were some concerns expressed about the ability of the system to cope with a single point of access and greater integration, based partly on a belief that different parts of the system would not be good at working together and communicating.

Keeping families together

Even greater support from survey respondents for this proposal; with 78% in agreement against just 5% disagreeing.

Concern was expressed about fulfilling the Council’s safeguarding duty under the proposed arrangements.

‘Front door’ to our children, family and wellbeing service

An overwhelming 84% of survey respondents agree with this proposal against just 2% disagreeing.

Comments included the point that letting people know about any changes is crucial, as is the need to ensure staff answering calls are properly trained.

Learning disability, complex and additional needs and personal budgets

62% of survey respondents agreed with the proposal to “develop a joined up service for children, young people, adults and older people...”, with 5% disagreeing.

Concern was expressed about the ability of different parts of the council to work with each other, the fear that the specific needs of different groups may not be met under a more integrated regime and the need to work with service users to design new services and approaches.

5.2.5 Maximising income

Car parking

70% of survey respondents agreed with the proposed car park charge increases (73% agreeing with introducing new charges), with 23% disagreeing (20% disagreeing with introducing new charges.)

Most of the comments suggested that charges could be put up even further without affecting parking, though there were some concerns about introducing charging for car parks that were poorly maintained.

There were also some suggestions such as making payment easier and introducing free parking periods (e.g. for short shopping stops).

Maximising funding

An overwhelming 80% of survey respondents agreed with the proposal to maximise funding from sources such as attracting businesses and new housing growth to grow the tax base; with just 3% disagreeing.

Income generation

90% of survey respondents agreed with the proposal to generate income from council assets, with no one disagreeing.

Concerns were that this might impact on areas of the borough less able to generate income.

There was also a suggestion to broaden the role of traffic wardens to ‘police’ environmental issues such as dog fouling, littering and graffiti.

Bereavement services

Perhaps not surprisingly, 49% did not express a view on this proposal. Of those survey respondents that did, 43% agreed and 8% disagreed.

Views were expressed that any charges were reasonable, and concerns that people in a vulnerable position were not exploited.

Fees and charges (care services)

41% of survey respondents agreed with the proposal to in “introduce additional charges, based on people’s ability to pay, for those contributing towards their won care”, with 37% disagreeing.

Most comments in disagreement centred around fairness; with a view that care costs should be borne by wider society rather than fall onto those who need them.

Council tax

Although 54% of survey respondents agreed with the proposed freeze on Council Tax (against 37% who disagreed) there was an overwhelming number of comments disagreeing with this: 66 disagreeing against 6 agreeing.

Many made the point that they saw the continuous freezing of Council tax as purely political and were angry that, as they perceive it, services are being cut whilst not taking the opportunity to raise tax. Some comments also referred to the results of the Phase 1 consultation (where a majority favoured an increase) being ignored.

Several comments also referred to the Chancellor's Autumn Statement announcement of the 2% Council Tax precept for adult social care, which was of course made after the consultation (and survey) had started. This is subject to a separate consultation question.

5.2.6 Promoting independence

Pathways

From the general consultation 43% of survey respondents disagreed with this proposal, with 32% agreeing.

There were 22 comments disagreeing with the proposal against 2 that agreed.

4 feedback cards were completed from the Pathways specific consultation; expressing worry about the impact on the individuals currently attending the centre (one for over 30 years) and asking if an alternative cheaper building could be found.

Feedback from service users illustrates that there is significant personal investment in the services provided. There is a recognition of the budget challenge and a willingness on the part of users families to explore alternatives for the next step for Pathways.

Supported living

35% of survey respondents agreed with the proposal against 37% who disagreed. There were 6 comments agreeing and 16 comments disagreeing.

Concerns tended to focus on the quality and safety of services if they are delivered by other providers.

Ascot House

21% of survey respondents agreed with the proposal to develop health and social care services at Ascot House, with 36% disagreeing, and 44% undecided.

Most of the concerns were over any reduction in respite care, with many asking how else would this vital service would be provided?

Aids and adaptations

54% of survey respondents agreed with this proposal, with 28% disagreeing.

Comments were generally positive about the use of aids and adaptations, with one saying their experience had been "excellent".

5.2.7 Other comments

Some other comments were made, a number saying that they were not aware of the events. One asked how much the consultation had cost.

Appendix A: The Narrative

The journey so far

We believe that Trafford Council is in a strong position. Over the last few years we have been working to remodel the way that the authority works on a day to day basis; introducing new and more efficient ways of doing things and working a lot more in partnership with both the public and private sector. That hasn't been easy and decisions have been made in the face of reduced funding.

We haven't hidden from the challenge, we know that moving in this way changes how services are delivered and takes away some of the things we have got used to as a community. It has also meant job cuts in some areas and the closure of some buildings in others. However it has also generated lots of opportunity. In some cases, and by working with the voluntary sector, other councils, businesses and the community, services are continuing with Council support. For example we have a joint procurement team with Stockport and Rochdale Councils; one team for three councils.

Not only this, it has opened up a debate about what we should and what we should not provide as a Council with the budget we have available, and we have often been criticised for the decisions that we have made from some people. But what has been vital is that the debate has often directly impacted on the way that we do things, and the content of the decisions that we've made. It has also uncovered additional options that have been available that we couldn't have known about without working directly with the community in this way.

As we approach Autumn 2015 we are looking at another round of savings that we have to make to live within our means, at the same time we are working through our plans to remodel how the council delivers services. We need your input again.

In this first of two phases of public consultation on our annual budget we want to hear your views on a number of approaches to saving money and delivering services differently. We have worked through some of these approaches and, where possible, we have set out how they might impact on services. Importantly, none of this has been agreed, and we are keen to hear from you about the possibilities and the implications for our communities. Over the next few weeks we'll present these approaches and ask you and other members of the public to comment on the approaches and to make suggestions or identify issues. There will be a number of ways to contribute: public events, an online survey and feedback postcards in many places around the borough.

What is clear is that we must come up with at least £20 million of savings this year and we are expecting a further £14million in the year after. We are determined to make savings in a way that maintains the integrity of our public services whilst recognising that things cannot stay the same. That means prioritising as a community and a council - *what it is that we want and need from our public services?*

The Council is working with a separate and independent organisation that specialises in ensuring that everyone's voice is heard. They will gather and present back the suggestions that people have made. At that point we fully expect to revisit our thinking and work up a set of definitive proposals to consult with the public on in Phase 2, which will start in November.

This process will make sure that, where and when we can, Trafford is listening to the voice of our communities in the decisions we make and making sure that through working with an independent organisation, there is objectivity.

Dealing with council tax and reserves

We have made a number of decisions over the past few years that we believe make this Council well placed to deliver public services in Trafford successfully for this and the next generation. Whilst we have made those changes we have managed to freeze council tax for 5 years and maintain a sensible level of reserves. Why we have done that is simple; we think that people in Trafford pay enough out of their own pocket, we want to manage our public services in a way that meets community needs but protects people from excessive taxation.

The scale of the savings required and our drive to provide services that meet our communities' changing needs going forward mean that raising taxes without changing the way we work is unsustainable. Council Tax accounts for only around a third of our funding and the way the system works means that the most we can raise without holding an expensive public referendum is £700k, which would include the loss of a £900k government grant. Whilst many will say that raising taxes can save our services it sets a precedent, it reduces innovation and the need to be more effective and efficient by propping up old and unsustainable models of delivery.

As for our reserves, the money we have in the bank, we recognise that these are there for this and the next generation, managing within our means today increases our ability to respond in real times of crisis for our community in the future. We are also required to keep a minimum level of reserves to cover unforeseen circumstances.

The last five years

Over the past five years, the Council has been required to identify new and innovative solutions in order to maintain council services within a reduced budget. This has been difficult, and there is no sign of this challenge reducing. However our pragmatic approach has helped us to achieve a number of things including:

- We have kept more libraries kept open thanks to proposals from last year's consultation and exciting new partnerships
- We have an innovative proposal to establish a Youth Trust to ensure continued and more 'joined-up' youth provision in the borough
- Significant savings in Home to School Transport whilst still meeting the needs of all eligible children and young people
- We have launched the 'One Trafford' partnership with AMEY
- Feedback received in relation to school crossing patrols, together with the outcome of the reassessment, led to more crossings being retained
- Car parking charges were increased without any impact on customer parking numbers; and we are still amongst the cheapest in Greater Manchester.

We have also had a great response to the Council trading some of its specialist services, such as Human Resources, mainly with schools and we are looking at further trading opportunities.

In addition we have focused on our back-office type services. Those services which every business needs to keep running. Most services have been restructured and processes have been redesigned to eliminate waste. Not only this, all of our staff have received revised terms and conditions.

We have also focussed on reviewing and reducing the cost on all our contracts and we are using new and smarter technologies with more online services, which in turn is helping the council to work more digitally.

What our thinking is today

We now need to go further to make the further savings we require. This will require us to look at everything we are responsible for.

To do this we are applying six themes to help us shape the budget for the coming years:

- **Working smarter** – *looking at the way we do things such as redesigning our workforce and systems*
- **Buying smarter** – *working with our partners and suppliers to ensure we get best value for our expenditure*
- **Maximising income** – *maximising our income from our services and generating income from assets such as advertising*
- **Eligibility and access** – *ensuring the most needy receive support and making more use of technology and equipment to support people in their own homes wherever possible*
- **Joining up services and working together** – *looking at how we delivery community health and social care services for adults in Trafford*
- **Promoting independence** – *helping people to help themselves, through our care strategy*

Some of these themes are sensible and prudent ways to run an organisation, for example when we buy services or products for the people of Trafford the better we are at sourcing, comparing and partnering the better the value for money that we achieve. We are highly focused on making sure that this can be the case across the authority.

Other elements, such as maximising income, mean investing some of our resources into trading our services to generate income for the council. We need to create a model which means the council continues to support the running of the council whilst generating income; this impacts on how we operate and changes the way that staff have to work.

When we say ‘joining up services’ this can mean sharing staff, offices, vehicles and systems, reducing costs across the borough and improving services by providing a whole service from one provider.

Our care strategy will mean that through early support and intervention people can stay in their own homes much longer for example. By helping people and deterring them from entering the care system

earlier than necessary there will be a much more measured demand on council services. This might include supporting them to access a fitness class to promote their mobility.

What tomorrow might look like

We expect Trafford Council will be:

- A smaller council, delivering less directly but buying more services from the private and community sectors
- More joined up with the NHS, police, etc
- More services being delivered by and with voluntary and community groups

What would the implications of each element of that be for you?

We also expect our relationship with residents to change. There will be a greater emphasis on residents using technology to request and access services from us – this is also something you told us you prefer to do.

We also have a greater expectation that people will do more for themselves and each other.

Health and social care – will be a simpler and more streamlined path through treatment and care; less form filling and having to repeat personal details; greater use of technology to enable people to live at home longer etc.

Appendix B: Schedule of Phase 2 Public Events

Date	Time	Venue
Tuesday 24 November	6pm – 8pm	Altrincham: Altrincham Town Hall, Market Street, Altrincham, WA14 1PG
Tuesday 1 December	Noon – 2pm	Stretford: St. Matthew's Hall, Chapel Lane, Stretford, M32 9AJ
Tuesday 1 December	6pm – 8pm	Stretford: The Terrace Restaurant, Trafford Town Hall, Talbot Road, Stretford, M32 0TH (entrance vis sunken garden to the side of the building)
Thursday 3 December	6pm – 8pm	Urmston: Urmston Library, Golden Way, Urmston, M41 0NA
Saturday 5 December	10am – Noon	Altrincham: Altrincham Town Hall, Market Street, Altrincham, WA14 1PG
Monday 7 December	6pm – 8pm	Old Trafford: Seymour Park Community Primary School, Northumberland Road, Old Trafford, M16 9QE
Tuesday 8 December	6pm – 8pm	Partington: The People's Church, Chapel Lane, Partington, M31 4EY
Tuesday 15 December	6pm – 8pm	Sale: Springfield Primary School, Springfield Road, M33 7XS

Appendix 3 Equality Impact Assessments

A. Summary Details		
1	Title of EIA:	Proposed Increase of Parking Charges 2016/17
2	Person responsible for the assessment:	Iain Veitch
3	Contact details:	0161 912 4174
4	Section & Directorate:	Regulatory Services - Economic Growth, Environment and Infrastructure
5	Name and roles of other officers involved in the EIA, if applicable:	Nicola Henry
B. Policy or Function		
1	Is this EIA for a policy or function?	Policy <input type="checkbox"/> Function <input checked="" type="checkbox"/>
2	Is this EIA for a new or existing policy or function?	New <input type="checkbox"/> Existing <input type="checkbox"/> Change to an existing policy or function <input checked="" type="checkbox"/>
3	What is the main purpose of the policy/function?	To increase parking charges across the borough
4	Is the policy/function associated with any other policies of the Authority?	A measure to provide an increase in parking revenue for the Council to manage high levels of parking and associated increasing operating costs.
5	Do any written procedures exist to enable delivery of this policy/function?	An amendment of the Borough of Trafford (Off-Street Car Parks) Order 2001 and the Borough of Trafford (Parking Places) (Charge) Order 2001 will be undertaken to enable the changes proposed to be introduced.
6	Are there elements of common practice not clearly defined within the written procedures? If yes, please state.	N/A
7	Who are the main stakeholders of the policy?	Trafford residents who drive and others wishing to park their cars in Council car

	How are they expected to benefit?	parks in the borough. They will benefit from a continued service, for which there is high demand, being provided to a high standard.
8	How will the policy/function (or change/improvement), be implemented?	The Council will carry out a range of consultations with the public at Locality Partnership venues where public forums will review a range of Council Budget proposals for 2016/17. Additionally, a Business Breakfast and website consultation will be held.
9	What factors could contribute or detract from achieving these outcomes for service users?	Possible objections from the public that may arise through consultations
10	Is the responsibility for the proposed policy or function shared with another department or authority or organisation? If so, please state?	No

C. Data Collection

1	What monitoring data do you have on the number of people (from different equality groups) who are using or are potentially impacted upon by your policy/ function?	None required for car users as this varies. However, disabled drivers who are registered and have their disabled badge on display, are able to park for free in the Council car parks and in pay and display areas on street.
2	Please specify monitoring information you have available and attach relevant information*	None required
3	If monitoring has NOT been undertaken, will it be done in the future or do you have access to relevant monitoring data?	None required

**Your monitoring information should be compared to the current available census data to see whether a proportionate number of people are taking up your service*

D. Consultation & Involvement		
1	Are you using information from any previous consultations and/or local/national consultations, research or practical guidance that will assist you in completing this EIA?	No
2	Please list any consultations planned, methods used and groups you plan to target. (If applicable)	The Council will carry out a range of consultations with the public at Locality Partnership venues where public forums will review a range of Council Budget proposals for 2016/17. Additionally, a Business Breakfast and website consultation will be held.
3	**What barriers, if any, exist to effective consultation with these groups and how will you overcome them?	We will ensure that an online public consultation runs for a suitable period of time and road shows take place in strategic areas of the borough and at times of the year that do not coincide with major religious festivals. Strategic user groups and partners will be contacted as groups and given a suitable period of time to submit responses. Access requirements will be addressed.

***It is important to consider all available information that could help determine whether the policy/ function could have any potential adverse impact. Please attach examples of available research and consultation reports*

E: The Impact – Identify the potential impact of the policy/function on different equality target groups

The potential impact could be negative, positive or neutral. If you have assessed negative potential impact for any of the target groups you will also need to assess whether that negative potential impact is high, medium or low

	Positive	Negative (please specify if High, Medium or Low)	Neutral	Reason
Gender – both men and women, and transgender;			<input checked="" type="checkbox"/>	N/A
Pregnant women & women on maternity leave			<input checked="" type="checkbox"/>	N/A
Gender Reassignment			<input checked="" type="checkbox"/>	N/A

Marriage & Civil Partnership			<input checked="" type="checkbox"/>	N/A
Race - include race, nationality & ethnicity (NB: the experiences may be different for different groups)			<input checked="" type="checkbox"/>	N/A
Disability – physical, sensory & mental impairments			<input checked="" type="checkbox"/>	No impact – disabled drivers are entitled to free parking.
Age Group - specify eg; older, younger etc)			<input checked="" type="checkbox"/>	N/A
Sexual Orientation – Heterosexual, Lesbian, Gay Men, Bisexual people			<input checked="" type="checkbox"/>	N/A
Religious/Faith groups (specify)			<input checked="" type="checkbox"/>	N/A

As a result of completing the above what is the potential negative impact of your policy?

High **Medium** **Low** **No Impact**

F. Could you minimise or remove any negative potential impact? If yes, explain how.	
Race:	N/A
Gender, including pregnancy & maternity, gender reassignment, marriage & civil partnership	N/A
Disability:	Disabled drivers are eligible for free parking
Age:	N/A
Sexual Orientation:	N/A
Religious/Faith groups:	N/A
Also consider the following:	


1	If there is an adverse impact, can it be justified on the grounds of promoting equality of opportunity for a particular equality group or for another legitimate reason?	No
2	Could the policy have an adverse impact on relations between different groups?	No
3	If there is no evidence that the policy <i>promotes</i> equal opportunity, could it be adapted so that it does? If yes, how?	No


G. EIA Action Plan

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Recommendation	Key activity	When	Officer Responsible	Links to other Plans eg; Sustainable Community Strategy, Corporate Plan, Business Plan,	Progress milestones	Progress

Please ensure that all actions identified are included in the attached action plan and in your service plan.

Signed 
Lead Officer Nicola Henry
Date 6/1/16

Signed 
Service Head
Date 6/1/16

A. Summary Details		
1	Title of EIA:	LED Street Lighting rollout programme.
2	Person responsible for the assessment:	Chris Hindle
3	Contact details:	Chris.hindle@trafford.gov.uk
4	Section & Directorate:	EGEI – Contracts Director
5	Name and roles of other officers involved in the EIA, if applicable:	N/A

B. Policy or Function		
1	Is this EIA for a policy or function?	Policy <input type="checkbox"/> Function <input checked="" type="checkbox"/>
2	Is this EIA for a new or existing policy or function?	New <input type="checkbox"/> Existing <input type="checkbox"/> Change to an existing policy or function <input checked="" type="checkbox"/>
3	What is the main purpose of the Policy / function?	To convert all existing non-LED street lights to LED lights to produce electricity savings
4	Is the policy/function associated with any other policies of the Authority?	Highway Policy / Reducing Crime- Protecting People Strategy / Street Lighting Strategy
5	Do any written procedures exist to enable delivery of this policy/function?	Yes – Project plan and method statements (Amey)
6	Are there elements of common practice not clearly defined within the written procedures? If yes, please state.	Some. Eg Traffic Management procedures when accessing the street lights. Electrical safety procedures. Working at height procedures.
7	Who are the main stakeholders of the policy? How are they expected to benefit?	All road users and the wider community will benefit from a high standard of lighting, but with significantly reduced cost and energy usage.
8	How will the policy/function (or change / improvement), be implemented?	An 18 month programme to structurally test and convert 24,000 luminaires will be implemented by our partner, Amey over 18 months from April 2016.

9	What factors could contribute or detract from achieving these outcomes for service users?	Structural testing before conversion of the columns is important due to the heavier LED luminaires. If there is a high failure rate, costs will increase and completion of the whole programme will be at risk.
10	Is the responsibility for the proposed policy or function shared with another department or authority or organisation? If so, please state?	No

C. Data Collection

1	What monitoring data do you have on the number of people (from different equality groups) who are using or are potentially impacted upon by your policy/ function?	None. The nature of street lighting is that it is universally available.
2	Please specify monitoring information you have available and attach relevant information*	None
3	If monitoring has NOT been undertaken, will it be done in the future or do you have access to relevant monitoring data?	No

**Your monitoring information should be compared to the current available census data to see whether a proportionate number of people are taking up your service*

D. Consultation & Involvement

1	Are you using information from any previous consultations and/or local/national consultations, research or practical guidance that will assist you in completing this EIA?	Yes – the responses to the consultation on the Street Lighting Strategy in 2014 have been analysed and no issues were raised which had any EIA implications. (Exec Report Dec 2014) The Council also carried out a series of public consultation events across the borough as part of the wider budget consultation process. The Executive decision to go ahead with the LED conversion project was supported by a detailed health impact assessment.
2	Please list any consultations planned, methods used and groups you plan to target. (If applicable)	No more planned. Communities will be informed at a local level when the LED conversions will happen in their locality. There will be letter drops to each residence on each street affected so that everyone is informed of when the work will happen

		and what to expect.
3	**What barriers, if any, exist to effective consultation with these groups and how will you overcome them?	None

***It is important to consider all available information that could help determine whether the policy/ function could have any potential adverse impact. Please attach examples of available research and consultation reports*

E: The Impact – Identify the potential impact of the policy/function on different equality target groups

The potential impact could be negative, positive or neutral. If you have assessed negative potential impact for any of the target groups you will also need to assess whether that negative potential impact is high, medium or low

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	Positive	Negative (please specify if High, Medium or Low)	Neutral	Reason
Gender – both men and women, and transgender;			X	Street lighting is universally available
Pregnant women & women on maternity leave			X	Street lighting is universally available
Gender Reassignment			X	Street lighting is universally available
Marriage & Civil Partnership			X	Street lighting is universally available
Race - include race, nationality & ethnicity (NB: the experiences may be different for different groups)			X	Street lighting is universally available
Disability – physical, sensory & mental impairments	X			Lighting levels will be generally improved, which will assist people with visual impairment
Age Group - specify eg; older, younger etc)			X	

Sexual Orientation – Heterosexual, Lesbian, Gay Men, Bisexual people			X	Street lighting is universally available
Religious/Faith groups (specify)			X	Street lighting is universally available

As a result of completing the above what is the potential negative impact of your policy?

High Medium Low No Impact

F. Could you minimise or remove any negative potential impact? If yes, explain how.


Race:		N/A
Gender, including pregnancy & maternity, gender reassignment, marriage & civil partnership		N/A
Disability:		N/A
Age:		N/A
Sexual Orientation:		N/A
Religious/Faith groups:		N/A
Also consider the following:		
1	If there is an adverse impact, can it be justified on the grounds of promoting equality of opportunity for a particular equality group or for another legitimate reason?	N/A
2	Could the policy have an adverse impact on relations between different groups?	No
3	If there is no evidence that the policy <i>promotes</i> equal opportunity, could it be adapted so that it does? If yes, how?	No


G. EIA Action Plan

Recommendation	Key activity	When	Officer Responsible	Links to other Plans eg; Sustainable Community Strategy, Corporate Plan, Business Plan,	Progress milestones	Progress
None identified						

Please ensure that all actions identified are included in the attached action plan and in your service plan.

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Signed 
 Lead Officer
 Date 19th January 2016

Signed 
 Service Head
 Date 19th January 2016

A. Summary Details

1	Title of EIA:	Reshaping Trafford Social Care Offer
2	Person responsible for the assessment:	Diane Eaton, Joint Director for Adults (Social Care)
3	Contact details:	Tel: 912 2705
4	Section & Directorate:	Children, Families & Wellbeing, Adult Social Care - Operations
5	Name and roles of other officers involved in the EIA, if applicable:	Anne Barlow, Head of Service (Social Care)—15/16 Joy Preston and Gaynor Burton –16/17 Mark Grimes, Lead Commissioner (Adult Social Care)—15/16 Commissioning lead to be agreed –16/17 Amina Begum

B. Policy or Function		
1	Is this EIA for a policy or function?	Policy <input checked="" type="checkbox"/> 15/16 already agreed Function <input type="checkbox"/>
2	Is this EIA for a new or existing policy or function?	Existing <input checked="" type="checkbox"/>
3	What is the main purpose of the policy/function?	To realign the Social Care Offer to ensure that available resources are targeted to individuals to build resilience and maximise independence. Trafford will meet people's eligible needs at the lowest economic cost, whilst taking into account our legal obligations. The reshaped social care offer included the re-scoping of how Social Care needs are met. In complying with our statutory duty to meet eligible needs, Trafford agreed a policy change in 2014/15 following extensive consultation, that sought alternative solutions to meet eligible need, i.e. shopping or domestic tasks such as cleaning and meal preparation. Trafford is working to utilise all appropriate assistive technology and equipment available, wherever possible, before any public sector offer is considered. Each individual's personal benefits are being explored and utilised before transport or care will be considered. Current models of support are being redesigned and in particular linked to supported accommodation with Learning Disability and Mental Health Services looking at larger numbers of people living together and sharing support at a lower

		cost, reconfiguring extra care to support people with a greater level of need. Trafford continues to shape and develop the market to ensure that alternative solutions to meet low level needs are identified and where a gap has been identified, develop services. Trafford has started to audit all available locality based resources and has created a Directory of Resources. This continues to develop and extend as a greater level of awareness is gained about community activities.
4	Is the policy/function associated with any other policies of the Authority?	Policies in place linked to Care Act legislation and Charging Policy. Further policies will be developed to underpin the revised offer, which is in line with the development of locality working and integrated service provision with health. Net payments for direct payments Pre-payment care use Debt policy Section 117 policy
5	Do any written procedures exist to enable delivery of this policy/function?	Consultation documents form 14/15 Guidance for Panel revised December 15 Transport Policy consultation November 2015 The Care Act staff guide from April 2015 Safeguarding policy (reviewed December 2015) Human Rights legislation
6	Are there elements of common practice not clearly defined within the written procedures? If yes, please state.	No. Processes are delivered according to relevant legislation principally, The Care Act 2014, Fairer charging policy, MCA, DOLS legislation.
7	Who are the main stakeholders of the policy? How are they expected to benefit?	Service users of Trafford's Social Care offer, families and carers. Communities of Trafford. People will be supported to maximise and maintain independence.
8	How will the policy/function (or change/improvement), be implemented?	Under the reshaped offer, as part of Trafford's usual review process, a reassessment of an individual person's need by Social Care assessment will be completed, leading to a revised care plan; this will ensure we continue to meet eligible need, and discharge our statutory duty. Furthermore, it is proposed that each affected individual's personal circumstances will be taken into account, as each person is being assessed individually as this work rolls into 2016/17 for all existing cases, with the policy being applied at their next reassessment and

		applied to all new cases at the start of our intervention.
9	What factors could contribute or detract from achieving these outcomes for service users?	The lack of a reasonable alternative solution to meet need. Staffing capacity to reassess Any unforeseen legislative changes
10	Is the responsibility for the proposed policy or function shared with another department or authority or organisation? If so, please state?	We will be working with partners such as local housing associations, care agencies, voluntary and community organisations etc. for the following reasons: Effective and accessible housing and accommodation is required to enable people to live independently at home. Equipment provision will need to be increased. Good accessible transport is required to enable travelling. Available resources and awareness of community activities to build community activities into care plans

C. Data Collection

1	What monitoring data do you have on the number of people (from different equality groups) who are using or are potentially impacted upon by your policy/ function?	Data is available for people in receipt of Social Care services by age, gender, ethnicity and primary client type. Benefits realisation processes are in place using panel as the data collection point
2	Please specify monitoring information you have available and attach relevant information*	Please see spread sheet attached. In terms of ethnicity, our current provision is good, as we provide services to a greater proportion of people classed as 'non-white' than the proportion in the general population i.e. in the age group 18-64, we provide services to 16.1% of people classed as 'non-white'; 14.1% of people in the general population are 'non-white'. In the age range 65+, 5.9% of our service users are 'non-white' compared to 4.8% of 'non-white' people in the general population.
3	If monitoring has NOT been undertaken, will it be done in the future or do you have access to relevant monitoring data?	

**Your monitoring information should be compared to the current available census data to see whether a proportionate number of people are taking up your service*

D. Consultation & Involvement		
1	Are you using information from any previous consultations and/or local/national consultations, research or practical guidance that will assist you in completing this EIA?	No--- we are not consulting again as this was completed in 2014 and informed the decision in 2015 budget process. This EIA covers the roll out of the process into 2015/17
2	Please list any consultations planned, methods used and groups you plan to target. (If applicable)	<p>A Consultation process ran from 21/10/14 – 20/12/14 and the policy was approved by Council in March 2015 following extensive feedback to Council as detailed below.</p> <ul style="list-style-type: none"> • A mixed method approach for the consultation process was used to ensure that the maximum number of people were able to participate in the consultation process. These were: online & postal surveys, street surveys, drop-in sessions, focus groups, emails, telephone calls, and Council run consultation events. • All these events were advertised on a consultation website attached to the Council website and the information was disseminated via a range of 66 forums and services. Forum leaders and service managers committed to circulating the information on to service users. The Council also sent out a press release to increase interest in the consultation events. • In addition, surveys for Adult Social Care were developed for existing service users in both electronic and hard copy surveys format. Hard copies of the survey were posted to 5394 service users with a stamped addressed return envelope to encourage participation. Focus groups were advertised via the website and members of the public could book onto them. They were also advertised via the network of 66 forums and meeting groups.
3	**What barriers, if any, exist to effective consultation with these groups and how will you overcome them?	<p>Access issues in terms of information can create a number of barriers. We have used a range of consultation methods to accommodate people's varying access requirements.</p> <ul style="list-style-type: none"> • The Adult Social Care Team organised two focus groups in Trafford College

		<p>for students with learning difficulties and consultations for a range of groupings for communities of identity, including disabled people where tailored and accessible methods, including provision of BSL interpreters, were used to address access and information requirements. Public meetings were held throughout the Borough in each locality, led by the Leader of the Council and Council elected members, so that residents had the opportunity of attending an event within their geographical area. Easy reading material was also produced and circulated as appropriate. Street surveys were designed to reach a range of service users and non - service users who may not wish to travel to a drop-in consultation or complete a survey. There was one drop in session in each of the four areas of Trafford run in buildings that were low / no cost as advised by the Council. The drop-in sessions were informal opportunities for the public to speak to the research team. They consisted of three tables staffed by a consultant each and interpreters for Bengali, Punjabi and Polish speakers were available. The consultation website also provided people with an email address and an electronic comment box so that they could submit long individual messages if they wanted to. This provided people with ICT access a means of communicating with the consultation team without having to attend an event. The public were also invited to call the research team to give their views in person by telephone enabling them to contribute if they were not able to leave the house and were not able to access technology.</p>
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***It is important to consider all available information that could help determine whether the policy/ function could have any potential adverse impact. Please attach examples of available research and consultation reports.*

E: The Impact – Identify the potential impact of the policy/function on different equality target groups

The potential impact could be negative, positive or neutral. If you have assessed negative potential impact for any of the target groups you will also need to assess whether that negative potential impact is high, medium or low

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	Positive	Negative (please specify if High, Medium or Low)	Neutral	Reason
Gender – both men and women, and transgender;		<input checked="" type="checkbox"/>		The reshaped offer will impact on all service user groups and will be delivered consistently based on the reassessment of need as part of usual review schedules. Services will focus on people who have the greatest need.
Pregnant women & women on maternity leave		<input checked="" type="checkbox"/>		
Gender Reassignment		<input checked="" type="checkbox"/>		
Marriage & Civil Partnership		<input checked="" type="checkbox"/>		
Race - include race, nationality & ethnicity (NB: the experiences may be different for different groups)		<input checked="" type="checkbox"/>		Generally because of demographics, services are provided to more older women than men. However, as service provision will continue to be based on the meeting of eligible need, there should be no disproportionate impact.
Disability – physical, sensory & mental impairments		<input checked="" type="checkbox"/>		
Age Group - specify eg; older, younger etc)		<input checked="" type="checkbox"/>		Whilst the impact may be considered medium in terms of potential changes in service , and people may view this negatively, the reshaped offer is designed to build independence and enable individuals to regain health and wellbeing
Sexual Orientation – Heterosexual, Lesbian, Gay Men, Bisexual people		<input checked="" type="checkbox"/>		
Religious/Faith groups (specify)		<input checked="" type="checkbox"/>		
				The shaping of Trafford’s market will

				<p>take into account the culturally diverse needs of its communities.</p> <p>Furthermore, each affected person will be assessed and their personal circumstances will be taken into account.</p> <ol style="list-style-type: none">1. The Council is proposing to meet people's eligible needs at the lowest economic cost . <p>Decision about service provision will need to bear in mind the requirements of Human Rights Legislation, for example people's right to family life.</p> <ol style="list-style-type: none">2. The Council is proposing to ensure all benefits are utilised before a service offer is made. <p>People with the highest level of impairment may be those in receipt of the highest levels of benefit. Consideration will need to be made of, for example, disability related expenditure and access to alternative services.</p> <ol style="list-style-type: none">3. The Council is proposing that some low level services may not be directly funded by the
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1	If there is an adverse impact, can it be justified on the grounds of promoting equality of opportunity for a particular equality group or for another legitimate reason?	
2	Could the policy have an adverse impact on relations between different groups?	
3	If there is no evidence that the policy <i>promotes</i> equal opportunity, could it be adapted so that it does? If yes, how?	

H. EIA Action Plan

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Recommendation	Key activity	When	Officer Responsible	Links to other Plans e.g. Sustainable Community Strategy, Corporate Plan, Business Plan,	Progress milestones	Progress
<ul style="list-style-type: none"> Reshaping programme board continue to monitor the implementation of the reshaping policy New service designs implemented to support remodelling of ASC market 	<p>Monthly boards in place</p> <p>Go live for SAMS , home from hospital</p>	<p>Monthly</p> <p>1/12/15</p>	<p>Diane Eaton</p> <p>Jill Colbert</p>	<p>Council reshaping</p> <p>CFW transformation redesign programme</p>	<p>Monthly highlight reporting to transformation board</p> <p>Monthly highlight reporting to transformation board</p>	

including SAMS (Stabilise and Make Safe), home from hospital, <ul style="list-style-type: none"> Benefits realisations process built into the revised panel process in November 2105 	Process in place. Continual improvement continues as lessons learnt	1/19/15	Joy Preston		Monthly highlight reporting to transformation board	
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Please ensure that all actions identified are included in the attached action plan and in your service plan.

Signed

Gaynor Burton

Signed

Diare Eaton

Date

14/1/16

Date 14/1/16

A. Summary Details		
1	Title of EIA:	Early Years and Childcare
2	Person responsible for the assessment:	Jill Colbert
3	Contact details:	jill.colbert@trafford.gov.uk 0161 912 5100
4	Section & Directorate:	Education Standards, CFW
5	Name and roles of other officers involved in the EIA, if applicable:	Sarah Butters, Early Years Commissioning Manager Gemma Easthope, Children's Workforce Learning and FIS Adviser Carole Sharp, Early Education Project Officer Andrea Monaghan, Early Years Officer
B. Policy or Function		
1	Is this EIA for a policy or function?	Policy <input type="checkbox"/> Function <input checked="" type="checkbox"/>
2	Is this EIA for a new or existing policy or function?	New <input type="checkbox"/> Existing <input type="checkbox"/> Change to an existing policy or function <input checked="" type="checkbox"/>
3	What is the main purpose of the policy/function?	<ul style="list-style-type: none"> • To improve access for all families to information, advice and guidance about early childhood services, SEND Local Offer; other family support services; services for adults; leisure activities and what's on; • To increase engagement of families in services, particularly those in target groups e.g. young parents, dads, BME groups, lone parents; disabled children and young people; disabled parents; • To co-produce, with parents and young people, the local offer of services for children and young people with SEND and the development of the Trafford Service Directory;

		<ul style="list-style-type: none"> • To commission and fund high quality early years places for 2, 3 and 4 year old children; • To support early education and childcare providers to improve the quality of their practice and improve outcomes for children. • To commission learning and development opportunities for early years, childcare and play practitioners.
4	Is the policy/function associated with any other policies of the Authority?	<ul style="list-style-type: none"> • Safeguarding Children; • SEN Policy and full range of SEN functions including Education, Health and Care (EHC) assessments and plans and personalisation of budgets for children and young people; • Early Help.
5	Do any written procedures exist to enable delivery of this policy/function?	<ul style="list-style-type: none"> • Priority Criteria For Monitoring Early Years Settings • Early Years Single Funding Formula Document • Agreement for Providers of Early Years Funded Places • Terms and Conditions of the Children’s Workforce Learning Programme • Service Level Agreement between FIS and Children’s Centres • Statutory Framework for the Early Years Foundation Stage September 2014 • Early Education and Childcare Statutory Guidance September 2014 • SEND Code of Practice: 0 to 25 Years January 2015
6	Are there elements of common practice not clearly defined within the written procedures? If yes, please state.	n/a
7	Who are the main stakeholders of the policy? How are they expected to benefit?	<ul style="list-style-type: none"> • Early years and childcare providers in the non-maintained sector:- <ul style="list-style-type: none"> ○ Prospective childminders will be able to access pre-registration training through a mixture of e-learning and tutor led training making the training more accessible; ○ Settings “requiring improvement” will receive a greater level of support than those judged “good” or “outstanding”;

		<ul style="list-style-type: none"> • Residents across all age ranges:- <ul style="list-style-type: none"> ○ will have better co-ordinated participation, information and advice services; ○ online youth channel will enable young people to find the information and help they need ○ new online adult services channel will improve access for adults and older people
8	How will the policy/function (or change/improvement), be implemented?	<ul style="list-style-type: none"> • Resources for support will be targeted to settings judged less than good by Ofsted; • Safeguarding level 1 training will be free to all practitioners; • PVI group settings will be encourage to work in partnership with Teaching Schools as part of the Government’s initiative to improve the quality of early education; • Weekly e-bulletin will signpost providers to examples of good practice, national research and Government guidance; • The Early Years Commissioning Service will work closely with early years specialists in Education Standards to provide better co-ordination and allocation of staff resources supporting “requires improvement” settings and pre-Ofsted registration advice and guidance to new providers; • No new applications for sustainability funding will be accepted for 2016/17. Some settings who applied in previous years will receive final payments in 2016/17 and this has been reflected in the savings figures; • Qualifications training will be procured so practitioners can access the level 3 Early Years Educator qualification and associated English and Maths qualifications where required; • There will be no local authority contribution to qualifications at levels 4, 5 and 6 but the service will continue to signpost practitioners to relevant courses at local colleges and alternative sources of funding; • Reduction in face to face training delivered by EYFS Consultant but more courses commissioned to achieve better value for money and further development of e-learning opportunities; • Online Trafford Service Directory to act as first point of information and advice

		<p>for families; will support implementation of Early Help Strategy and delivery model and All Age Front Door;</p> <ul style="list-style-type: none"> • FIS outreach service targeted at vulnerable groups, supported by a team of Parent Champion volunteers.
9	What factors could contribute or detract from achieving these outcomes for service users?	<ul style="list-style-type: none"> • The number of “requires improvement” settings increases putting pressure on staff resources; • Potential shortfall of 2/3/4 year old places in PVI sector due to no short term sufficiency grants and increased entitlement to 30 hours for 3/4 year olds brought about by Childcare Bill 2015. • The number of delegates paying for training courses decreases making the training programme less sustainable; • The FIS will work with groups of young people at a local youth group to help design advice and guidance pages and categorise the new youth channel; a volunteering opportunity is to be provided; • The service will work with families, adults and older people to make sure the information available is accessible and meets their needs; • Development of the All Age Front Door; • Partnership work with Trafford Care Coordination Centre project; • Other budget or re-shaping proposals.
10	Is the responsibility for the proposed policy or function shared with another department or authority or organisation? If so, please state?	n/a

C. Data Collection

1	What monitoring data do you have on the number of people (from different equality groups) who are using or are potentially impacted upon by your policy/ function?	<ul style="list-style-type: none"> • Childminders and practitioners attending/accessing training – age, and gender; • FIS Outreach and telephone contacts only (most people use online Trafford Service Directory) – gender, race and disability (outreach only)
2	Please specify monitoring information you have available and attach relevant information*	<ul style="list-style-type: none"> • Family Information Service Monitoring Data Q1-Q3 2015/16 (Appendix 1) • Workforce – age and gender data collected to date from academic year 2015/16 (Appendix 2)

3	If monitoring has NOT been undertaken, will it be done in the future or do you have access to relevant monitoring data?	<ul style="list-style-type: none"> • ICT system changes are planned which will incorporate additional workforce monitoring information including disability and ethnicity.
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**Your monitoring information should be compared to the current available census data to see whether a proportionate number of people are taking up your service*

D. Consultation & Involvement		
1	Are you using information from any previous consultations and/or local/national consultations, research or practical guidance that will assist you in completing this EIA?	<ul style="list-style-type: none"> • Let's Talk Youth – young person conference • Staff and public consultations; • Early Years Census 2015 and 2016 • Feedback from Early Years and Childcare Advisory Forum November 2015; • Feedback from Early Years Reference Group November 2014; • Statutory Framework for the Early Years Foundation Stage September 2014; • Early Education and Childcare Statutory Guidance September 2014; • SEND Code of Practice: 0 – 25 years January 2015.
2	Please list any consultations planned, methods used and groups you plan to target. (If applicable)	<ul style="list-style-type: none"> • Training needs analysis incorporates feedback from Ofsted reports, delegate evaluations and sector meetings. • Electronic survey planned in 2016 to assess practitioner' level and future needs to meet Early Years Educator requirements. • Early Years and Childcare Advisory Forum monitors implementation of key priorities and actions – reports to the Children's Trust Board. • Sector meetings are held termly with providers and are used as a mechanism to consult and provide information.
3	**What barriers, if any, exist to effective consultation with these groups and how will you overcome them?	<ul style="list-style-type: none"> • Providers not always able to get to sector meetings if have unexpected short term absence and need to cover; consultation also takes place electronically through weekly e-bulletin. • Lack of capacity to conduct face to face consultation with all customer groups; will also use webinars and social media.

***It is important to consider all available information that could help determine whether the policy/ function could have any potential adverse impact. Please attach examples of available research and consultation reports*

E: The Impact – Identify the potential impact of the policy/function on different equality target groups

The potential impact could be negative, positive or neutral. If you have assessed negative potential impact for any of the target groups you will also need to assess whether that negative potential impact is high, medium or low

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	Positive	Negative	Neutral	Reason
Gender – both men and women, and transgender;		✓ Low		<ul style="list-style-type: none"> • Childcare workforce is predominately female so any changes will affect them. • Recruited male Parent Champion to improve engagement with this group.
Pregnant women & women on maternity leave			✓	Data is not currently collected and no anecdotal information has been provided to support that this proposal will have a positive or negative impact on this group.
Gender Reassignment			✓	Data is not currently collected and no anecdotal information has been provided to support that this proposal will have a positive or negative impact on this group.
Marriage & Civil Partnership			✓	Data is not currently collected and no anecdotal information has been provided to support that this proposal will have a positive or negative impact on this group.
Race- include race, nationality & ethnicity (NB: the experiences may be different for different groups)			✓	<ul style="list-style-type: none"> • FIS Outreach Officers and Parent Champion volunteers will continue to target disadvantaged communities • One Outreach Officer speaks 3 community languages.
Disability – physical, sensory & mental impairments	✓			<ul style="list-style-type: none"> • Improved range and accessibility of information: <ul style="list-style-type: none"> ➢ families with children and young people with SEND. ➢ disabled adults
Age Group - specify eg; older, younger etc)	✓			<ul style="list-style-type: none"> • 0-25 years improved range and accessibility of information for families with children and young people.

				<ul style="list-style-type: none"> Improved range and accessibility of information for adults and older people.
Sexual Orientation – Heterosexual, Lesbian, Gay Men, Bisexual people			✓	Data is not currently collected and no anecdotal information has been provided to support that this proposal will have a positive or negative impact on this group.
Religious/Faith groups (specify)			✓	Data is not currently collected and no anecdotal information has been provided to support that this proposal will have a positive or negative impact on this group.

As a result of completing the above what is the potential negative impact of your policy?

High

Medium

Low

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F. Could you minimise or remove any negative potential impact? If yes, explain how.	
Race:	
Gender, including pregnancy & maternity, gender reassignment, marriage & civil partnership	Access to CPD training improved with introduction of e-learning modules. This supports people with caring or other responsibilities to access training at a time that suits them best.
Disability:	
Age:	
Sexual Orientation:	
Religious/Faith groups:	
Also consider the following:	
1	If there is an adverse impact, can it be justified on the grounds of promoting equality of opportunity for a particular equality group or for another legitimate reason?
2	Could the policy have an adverse impact on relations between different groups?

3	If there is no evidence that the policy <i>promotes</i> equal opportunity, could it be adapted so that it does? If yes, how?	
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I. EIA Action Plan

Recommendation	Key activity	When	Officer Responsible	Links to other Plans e.g. Sustainable Community Strategy, Corporate Plan, Business Plan,	Progress milestones	Progress
Improve workforce monitoring data	Liaise with software provider to enable online system to capture disability and ethnicity information for workforce	Summer 2016	Sarah Butters	CYPS Workforce Strategy and Action Plan	Included in 2016/17 Workforce Learning Dashboard	

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Please ensure that all actions identified are included in the attached action plan and in your service plan.

Signed



Signed

Adrian Hallett

Lead Officer
Date

Sarah Butters
25/01/15

Service Head
Date

Adrian Hallett
25/01/15

APPENDIX 1 - Family Information Service Equality Monitoring Information Q1-Q3 2015/16

Outreach Service

BME	Lone Parents	Fostering or Adoption	Grand-parents	Children with disabilities	Parents with disabilities	Teenage parents	Pregnant teenagers	Dads
203	51	40	69	3	5	3	1	62

Telephone Service

Gender

	Qtr1	Qtr2	Qtr3
% calls monitored	99.84%	100%	100%
Female	92.09%	88.23%	85.96%
Male	7.91%	11.77%	14.04%

Role of Caller

	Qtr1	Qtr2	Qtr3
% calls monitored	43.13%	44.21%	50.46%
Childcare Provider	9.89%	9.96%	15.82%
CYPS Professional	3.66%	2.16%	3.04%
Disabled Parent / Carer			
Foster / Adoptive Parent	0.37%	0.43%	0.20%
Friend			0.61%
Grandparent	1.10%	0.43%	0.81%
Health Visitor	1.83%	1.08%	0.41%
JBC+ and Employment	1.10%	0.22%	0.41%
Lone Parent		0.43%	0.20%
Midwife			
Other Family Member	0.37%	0.43%	1.62%
Other Health Professional	1.10%	0.43%	2.23%
Other LA Staff	1.47%	2.16%	4.06%
Parent	79.12%	82.25%	70.59%
Young Parent			

Ethnicity

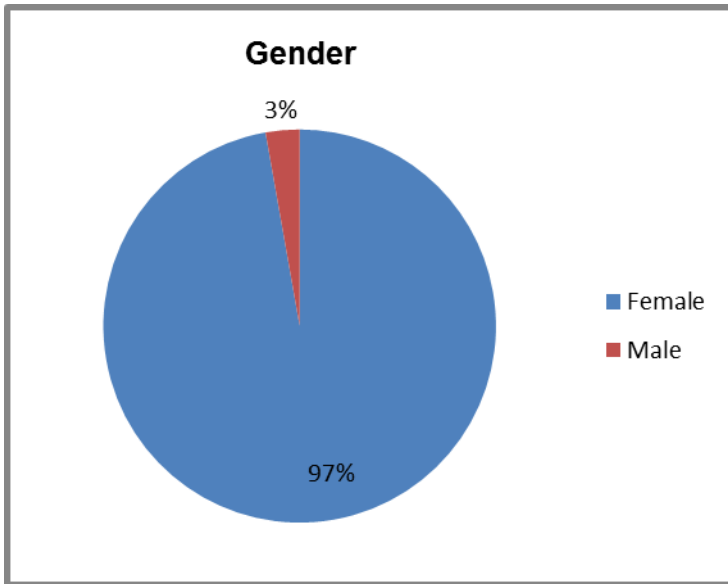
	Qtr1	Qtr2	Qtr3
% calls monitored	8.69%	12.44%	11.05%
Asian British: Bangladeshi	3.64%	0.77%	
Asian British: Indian	5.45%	6.92%	0.93%
Asian British: Pakistani	7.27%	4.62%	3.70%
Asian: Other	1.82%	0.77%	2.78%
Black British: African		3.08%	3.70%
Black British: Caribbean	1.82%	3.85%	0.93%
Black: Other			1.85%
Chinese British	7.27%	1.54%	2.78%
Gypsy Traveller			
Mixed: Other	1.82%	4.62%	9.26%
Mixed: White and African		1.54%	
Mixed: White and Asian	3.64%	2.31%	
Mixed: White and Caribbean	5.45%	2.31%	
Other	3.64%	5.38%	8.33%
White: British	52.73%	55.38%	62.04%
White: Irish		0.77%	
White: Other	5.45%	6.15%	3.70%

Appendix 2 – Workforce: Monitoring information for childcare practitioners accessing training

Analysis by Age Range

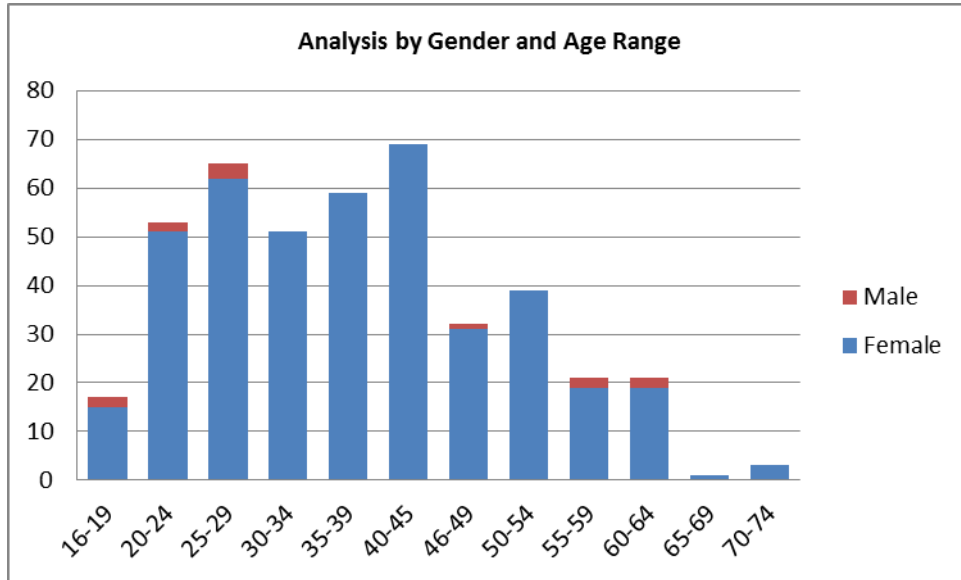
Gender	Age Range												Total
	16-19	20-24	25-29	30-34	35-39	40-45	46-49	50-54	55-59	60-64	65-69	70-74	
Female	15	51	62	51	59	69	31	39	19	19	1	3	419
Male	2	2	3				1		2	2			12
Total	17	53	65	51	59	69	32	39	21	21	1	3	431

Analysis by Gender



Gender	No	%
Female	419	97%
Male	12	3%
Total	431	100%

Analysis by age range and gender



Age Range	Female		Male	
	No	%	No	%
16-19	15	4%	2	17%
20-24	51	12%	2	17%
25-29	62	15%	3	25%
30-34	51	12%	0	0%
35-39	59	14%	0	0%
40-45	69	16%	0	0%
46-49	31	7%	1	8%
50-54	39	9%	0	0%
55-59	19	5%	2	17%
60-64	19	5%	2	17%
65-69	1	0%	0	0%
70-74	3	1%	0	0%
Total	419	100%	12	100%

A. Summary Details		
1	Title of EIA:	Extra Care Re-procurement
2	Person responsible for the assessment:	Jill Colbert , Acting Director of Education, Health and Care
3	Contact details:	X 5100
4	Section & Directorate:	All Age Commissioning, CFW
5	Name and roles of other officers involved in the EIA, if applicable:	

B. Policy or Function		
1	Is this EIA for a policy or function?	Policy <input type="checkbox"/> Function X
2	Is this EIA for a new or existing policy or function?	New <input type="checkbox"/> Existing X Change to an existing policy or function <input type="checkbox"/>
3	What is the main purpose of the policy/function?	To re- commission Extra Care facilities for adults in the borough in order to provide a range of housing options that enable adults to stay living at home for as long as possible in their life. As part of the re-commissioning the Well-being charge in place in one of our existing facilities will be introduced consistently to all of the facilities across the borough. A recent review of the facility where the Wellbeing charge is already in place, demonstrates high levels of resident satisfaction with the arrangement that delivers the constant presence of carers. Residents report high degrees of confidence living there and all the evidence shows good health and well-being outcomes.
4	Is the policy/function associated with any other policies of the Authority?	It has a relationship with the commissioning strategy for adult social care but no formal policy applies or is affected. The charge would be levied as part of the service charge.
5	Do any written procedures exist to enable delivery of this policy/function?	The STAR procurement regulations would govern the procurement process.
6	Are there elements of common practice not clearly defined within the written procedures? If	No

	yes, please state.	
7	Who are the main stakeholders of the policy? How are they expected to benefit?	Trafford residents who will have access to high quality Extra Care housing. The current Extra Care facilities have been established for some time now and the contracts that deliver the support element are due for renewal. The current and new residents would benefit from revised terms and conditions with providers to ensure quality standards are delivered and any changing needs of residents reflected.
8	How will the policy/function (or change/ improvement), be implemented?	New specifications will be written for the support element and a full procurement exercise conducted. Residents in affected provision will be engaged with to seek their input to the specification. The Council will work with the landlord to agree an approach for engaging residents in the implementation of the Well-being charge.
9	What factors could contribute or detract from achieving these outcomes for service users?	The main risk would be of a poor response to the market tender exercise which may limit the Council's ability to award a new contract. There is also a risk that residents are unwilling to pay the Well-being charge which would impact on our ability to commission the level of care required.
10	Is the responsibility for the proposed policy or function shared with another department or authority or organisation? If so, please state?	No

C. Data Collection

1	What monitoring data do you have on the number of people (from different equality groups) who are using or are potentially impacted upon by your policy/ function?	The full breakdown of existing residents equality characteristics is data kept by the housing provider. This data will be produced and included in the tender specification to ensure the cultural/racial/religious needs are attended to.
2	Please specify monitoring information you have available and attach relevant information*	As above.
3	If monitoring has NOT been undertaken, will it be done in the future or do you have access to relevant monitoring data?	If is done as part of the process when a resident applies to move into the facilities. The information is kept securely by the provider and produced when the Council requires it.

**Your monitoring information should be compared to the current available census data to see whether a proportionate number of people are taking up your service*

D. Consultation & Involvement		
1	Are you using information from any previous consultations and/or local/national consultations, research or practical guidance that will assist you in completing this EIA?	Yes from the review of Fiona Gardens, an existing Extra Care facility, which was conducted in November 2015. There are also Extra Care facilities in most other GM boroughs and we have taken into account learning or practice shared by those other areas.
2	Please list any consultations planned, methods used and groups you plan to target. (If applicable)	As noted above the Council will work with the existing providers to ensure a full process is developed to engage residents. The timeline and process for that will be agreed once the specifications are drawn up.
3	**What barriers, if any, exist to effective consultation with these groups and how will you overcome them?	All necessary provisions will be made to ensure residents are able to engage in the process, for example the provision of interpreters, signers, meetings held in disabled access buildings and so on.

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***It is important to consider all available information that could help determine whether the policy/ function could have any potential adverse impact. Please attach examples of available research and consultation reports*

E: The Impact – Identify the potential impact of the policy/function on different equality target groups

The potential impact could be negative, positive or neutral. If you have assessed negative potential impact for any of the target groups you will also need to assess whether that negative potential impact is high, medium or low

	Positive	Negative (please specify if High, Medium or Low)	Neutral	Reason
Gender – both men and women, and transgender;	X			The new specification will include an increased emphasis on diversity and equality and on meeting the needs of older people with protected characteristics.
Pregnant women & women on maternity leave			N/A	
Gender Reassignment	X			
Marriage & Civil Partnership	X			
Race- include race, nationality & ethnicity (NB: the experiences may be different for different groups)	X			
Disability – physical, sensory & mental impairments	X			
Age Group - specify eg; older, younger etc)	X			
Sexual Orientation – Heterosexual, Lesbian, Gay Men, Bisexual people	X			
Religious/Faith groups (specify)	X			

As a result of completing the above what is the potential negative impact of your policy?

High

Medium

Low

F. Could you minimise or remove any negative potential impact? If yes, explain how.


Race:	Pregnant women are not likely to be resident in the facilities due to the target age range of type of residents sought.
Gender, including pregnancy & maternity, gender reassignment, marriage & civil partnership	
Disability:	
Age:	
Sexual Orientation:	
Religious/Faith groups:	

Also consider the following:		There is no adverse impact on equality grounds.
1	If there is an adverse impact, can it be justified on the grounds of promoting equality of opportunity for a particular equality group or for another legitimate reason?	
2	Could the policy have an adverse impact on relations between different groups?	
3	If there is no evidence that the policy <i>promotes</i> equal opportunity, could it be adapted so that it does? If yes, how?	

G. EIA Action Plan

Recommendation	Key activity	When	Officer Responsible	Links to other Plans e.g. Sustainable Community Strategy, Corporate Plan, Business Plan,	Progress milestones	Progress
Request data on current residents from existing providers	Yes	1.2.16	Elaina Quesada	N/A	Analysis of data	

Please ensure that all actions identified are included in the attached action plan and in your service plan.

Signed 
 Lead Officer Jill Colbert
 Date 13.1.16

Signed
 Service Head
 Date

A. Summary Details		
1	Title of EIA:	Market management
2	Person responsible for the assessment:	Jill Colbert , Acting Director of Education, Health and Care
3	Contact details:	X 5100
4	Section & Directorate:	All Age Commissioning, CFW
5	Name and roles of other officers involved in the EIA, if applicable:	

B. Policy or Function		
1	Is this EIA for a policy or function?	Policy <input type="checkbox"/> Function <input checked="" type="checkbox"/>
2	Is this EIA for a new or existing policy or function?	New <input type="checkbox"/> Existing <input checked="" type="checkbox"/> Change to an existing policy or function <input type="checkbox"/>
3	What is the main purpose of the policy/function?	To define unit prices for services commissioned by Children, Families and Wellbeing Unit, which is an annual exercise.
4	Is the policy/function associated with any other policies of the Authority?	Standing financial regulations with regard to payment mechanisms and related invoicing issues.
5	Do any written procedures exist to enable delivery of this policy/function?	No although the STAR procurement regulations would govern any procurement process required to set contracts up. There is no written policy relating to price setting arrangements although the Care Act 2014 outlines what Local Authority's should be agreeing to pay providers with regard to reimbursement for aspects of adult care and support.
6	Are there elements of common practice not clearly defined within the written procedures? If yes, please state.	No
7	Who are the main stakeholders of the policy?	Providers of adult and children services are the main stakeholders with a clear

	How are they expected to benefit?	interest in the outcome of any price setting exercise. They will benefit from price increases where the Council agrees those on the basis of clear evidence that it is required to assure continued service provision. There should be no negative or positive impact for users of services as the process undertaken is designed to identify services most at risk due to other market factors, and protect those from disproportionate impact of continued austerity.
8	How will the policy/function (or change/improvement), be implemented?	Through a process of negotiation with the providers which will result in amendments to contracts through formal Contract Variations.
9	What factors could contribute or detract from achieving these outcomes for service users?	Negotiation relating to price is vulnerable to external factors such as wage inflation, recruitment across sectors and demand for services. Engagement with providers commenced some months ago and an open book accounting process has been offered for adult social care services to ensure that they have the opportunity to evidence costs.
10	Is the responsibility for the proposed policy or function shared with another department or authority or organisation? If so, please state?	No

C. Data Collection

1	What monitoring data do you have on the number of people (from different equality groups) who are using or are potentially impacted upon by your policy/ function?	There is data available relating to service users from all services commissioned although not all services will collect individual characteristics due to the nature of the way in which they operate, for example telephone helpline services. The data has not been aggregated across all services as it would require a vast amount of information to be collated relating to 1000s of service users. Commissioners are confident that no one single group is impacted.
2	Please specify monitoring information you have available and attach relevant information*	The information is available in each commissioned service but not aggregated up at this stage due to the volume and complexity of some service areas.
3	If monitoring has NOT been undertaken, will it be done in the future or do you have access to relevant monitoring data?	N/A

**Your monitoring information should be compared to the current available census data to see whether a proportionate number of people are taking up your service*

D. Consultation & Involvement		
1	Are you using information from any previous consultations and/or local/national consultations, research or practical guidance that will assist you in completing this EIA?	Not at this stage in the consultation process
2	Please list any consultations planned, methods used and groups you plan to target. (If applicable)	As noted above the Council is working with the existing providers to ensure a full process is undertaken where required. Some services have already had their prices agreed for 2016/17 and no further engagement is required.
3	**What barriers, if any, exist to effective consultation with these groups and how will you overcome them?	N/A

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***It is important to consider all available information that could help determine whether the policy/ function could have any potential adverse impact. Please attach examples of available research and consultation reports*

E: The Impact – Identify the potential impact of the policy/function on different equality target groups

The potential impact could be negative, positive or neutral. If you have assessed negative potential impact for any of the target groups you will also need to assess whether that negative potential impact is high, medium or low

	Positive	Negative (please specify if High, Medium or Low)	Neutral	Reason
Gender – both men and women, and transgender;			X	
Pregnant women & women on maternity leave			N/A no services of this nature in scope	
Gender Reassignment			X	
Marriage & Civil Partnership			X	
Race- include race, nationality & ethnicity (NB: the experiences may be different for different groups)			X	
Disability – physical, sensory & mental impairments			X	
Age Group - specify eg; older, younger etc)			X	
Sexual Orientation – Heterosexual, Lesbian, Gay Men, Bisexual people			X	
Religious/Faith groups (specify)			X	

As a result of completing the above what is the potential negative impact of your policy?

High

Medium

Low

F. Could you minimise or remove any negative potential impact? If yes, explain how.

Race:		
Gender, including pregnancy & maternity, gender reassignment, marriage & civil partnership		
Disability:		
Age:		
Sexual Orientation:		
Religious/Faith groups:		
Also consider the following:		
1	If there is an adverse impact, can it be justified on the grounds of promoting equality of opportunity for a particular equality group or for another legitimate reason?	There is no adverse impact on equality grounds. No
2	Could the policy have an adverse impact on relations between different groups?	
3	If there is no evidence that the policy <i>promotes</i> equal opportunity, could it be adapted so that it does? If yes, how?	


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G. EIA Action Plan

Recommendation	Key activity	When	Officer Responsible	Links to other Plans eg; Sustainable Community Strategy, Corporate Plan, Business Plan,	Progress milestones	Progress
To agree the contract values where price is agreed	Finance meeting	February 2016	Jill Colbert	Medium Term Financial Plan	Meeting takes place and actions agreed	
To agree price value with adult care providers	Fair Price for Care exercise	February & March 2016	Amina Begum	Medium Term Financial Plan	Negotiations with providers and open book accounting process concluded	

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Please ensure that all actions identified are included in the attached action plan and in your service plan.

Signed 
 Lead Officer Jill Colbert
 Date 22.1.16

Signed
 Service Head
 Date

A. Summary Details		
1	Title of EIA:	Pathways (building based day support)
2	Person responsible for the assessment:	Karen Ahmed
3	Contact details:	Karen.ahmed@trafford.gov.uk
4	Section & Directorate:	Children, Families and Well-being
5	Name and roles of other officers involved in the EIA, if applicable:	Christine Warner

B. Policy or Function		
1	Is this EIA for a policy or function?	Policy <input type="checkbox"/> Function <input type="checkbox"/>
2	Is this EIA for a new or existing policy or function?	New <input type="checkbox"/> Existing <input type="checkbox"/> Change to an existing policy or function <input checked="" type="checkbox"/>
3	What is the main purpose of the policy/function?	This EIA is for the re-provision of a service – Pathways day service for people with learning disabilities.
4	Is the policy/function associated with any other policies of the Authority?	Reshaping Care / community care Act and associated policies
5	Do any written procedures exist to enable delivery of this policy/function?	HR policies and procedures on redundancy and redeployment
6	Are there elements of common practice not clearly defined within the written procedures? If yes, please state.	
7	Who are the main stakeholders of the policy? How are they expected to benefit?	Service users and their families – they will receive a personalised service Staff – they will be offered redeployment, but will be at risk of redundancy

8	How will the policy/function (or change/ improvement), be implemented?	Service users will be reassessed to identify more appropriate bespoke packages Families and service users will be consulted with in advance of the changes and will be consulted with throughout. Staff will be consulted with as part of the HR processes.
9	What factors could contribute or detract from achieving these outcomes for service users?	Service inability to meet complex needs of service users. Resistance from families.
10	Is the responsibility for the proposed policy or function shared with another department or authority or organisation? If so, please state?	No

C. Data Collection

1	What monitoring data do you have on the number of people (from different equality groups) who are using or are potentially impacted upon by your policy/ function?	We have detailed individual records on each service user as part of the social care assessments. People who currently use the service are people with both a physical & learning disability
2	Please specify monitoring information you have available and attach relevant information*	From the monitoring information we have for service users and staff, we have the following information: Service Users. There are 10 service users. 7 service users are women and 3 are men. Nine service users have complex needs and a learning disability, one has a learning disability. The service users are aged between 27 and 51, with 7 people aged over 40 years old. Nine service users are White British and one is Black British. Staff. There are 14 members of staff, all of whom are women. The staff are aged between 32 to 58, with 4 people being aged 55+. The majority of staff are white British, with 2 members of staff, one of who is from Europe and one mixed heritage
b	If monitoring has NOT been undertaken, will it be done in the future or do you have access to relevant monitoring data?	The cohort does not reflect the overall population of people with learning disabilities as the majority of people with learning disabilities are men.

**Your monitoring information should be compared to the current available census data to see whether a proportionate number of people are taking up your service*

D. Consultation & Involvement		
1	Are you using information from any previous consultations and/or local/national consultations, research or practical guidance that will assist you in completing this EIA?	No
2	Please list any consultations planned, methods used and groups you plan to target. (If applicable)	Families were consulted with on the 14 th . December 2015. Service users and families will be engaged with through the assessment process from January 2016. Staff attended a briefing session regarding the proposals Wednesday 16 th December. Formal consultations will take place in February 2016 and will last for a period of 90 days. All staff will receive 1-1 support throughout the redeployment process.
3	**What barriers, if any, exist to effective consultation with these groups and how will you overcome them?	The service users all have learning disabilities and all of them will lack capacity to make informed decisions. Different techniques such as objects of reference, behavioural observation, intensive interaction and obtaining views from people who know the service users well, will be used to elicit responses to the alternative services offered.

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***It is important to consider all available information that could help determine whether the policy/ function could have any potential adverse impact. Please attach examples of available research and consultation reports*

E: The Impact – Identify the potential impact of the policy/function on different equality target groups

The potential impact could be negative, positive or neutral. If you have assessed negative potential impact for any of the target groups you will also need to assess whether that negative potential impact is high, medium or low

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	Positive	Negative (please specify if High, Medium or Low)	Neutral	Reason
Gender – both men and women, and transgender;		Medium		All the staff members are female so there will be a negative impact on those likely to be made redundant. There is no impact in relation to men in this proposal as there are no male staff members.
Pregnant women & women on maternity leave			N/A	
Gender Reassignment			N/A	
Marriage & Civil Partnership			N/A	
Race- include race, nationality & ethnicity (NB: the experiences may be different for different groups)			N/A	
Disability – physical, sensory & mental impairments	√			The service users all have learning disabilities and all also have physical impairments. 4 also have sensory impairments The service users will move from a familiar service to a bespoke person centred service which will be tailor-made to meet their needs.
Age Group - specify eg; older,		Medium		The staff likely to be made redundant

younger etc)				will be predominantly aged over 40, with only 4 women aged under 40.
Sexual Orientation – Heterosexual, Lesbian, Gay Men, Bisexual people			N/A	
Religious/Faith groups (specify)			N/A	

As a result of completing the above what is the potential negative impact of your policy?

High Medium Low

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F. Could you minimise or remove any negative potential impact? If yes, explain how.	
Race:	
Gender, including pregnancy & maternity, gender reassignment, marriage & civil partnership	Staff will be offered redeployment and there may be the opportunity to become a PA for a service user
Disability:	
Age:	Staff will be offered redeployment and there may be an opportunity to become a PA for a service user.
Sexual Orientation:	
Religious/Faith groups:	
Also consider the following:	
1	<p>If there is an adverse impact, can it be justified on the grounds of promoting equality of opportunity for a particular equality group or for another legitimate reason?</p> <p>Yes – the service change will enable service users to access a different range of opportunities and engage with different people.</p>


2	Could the policy have an adverse impact on relations between different groups?	No
3	If there is no evidence that the policy <i>promotes</i> equal opportunity, could it be adapted so that it does? If yes, how?	No

G. EIA Action Plan

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Recommendation	Key activity	When	Officer Responsible	Links to other Plans eg; Sustainable Community Strategy, Corporate Plan, Business Plan,	Progress milestones	Progress

Please ensure that all actions identified are included in the attached action plan and in your service plan.

Signed 
 Lead Officer Karen Ahmed
 Date 14/1/16

Signed 
 Service Head Diane Eaton
 Date 14/1/16

A. Summary Details		
1	Title of EIA:	Public Health Grant Review (2015/16 Business Case)
2	Person responsible for the assessment:	Jill Colbert and Abdul Razzaq
3	Contact details:	
4	Section & Directorate:	Children, Families and Wellbeing
5	Name and roles of other officers involved in the EIA, if applicable:	Helen Gollins-Public Health Consultant Amina Begum-Interim HOC

B. Policy or Function		
1	Is this EIA for a policy or function?	Policy <input type="checkbox"/> Function <input checked="" type="checkbox"/>
2	Is this EIA for a new or existing policy or function?	New <input type="checkbox"/> Existing <input checked="" type="checkbox"/> Change to an existing policy or function <input type="checkbox"/>
3	What is the main purpose of the policy/function?	This grant is used to commission mandatory and non-mandatory public health services to meet local need.
4	Is the policy/function associated with any other policies of the Authority?	<ul style="list-style-type: none"> • Commissioning Strategies across adults and children's service • Prevention and Early intervention • Treatment and diagnoses for a range of conditions • Health Protection function
5	Do any written procedures exist to enable delivery of this policy/function?	There is national guidance and local policies in relation to public health outcomes.
6	Are there elements of common practice not clearly defined within the written procedures? If yes, please state.	
7	Who are the main stakeholders of the policy?	Residents of Trafford, Trafford Council, Trafford CCG, local and Greater

	How are they expected to benefit?	Manchester Service Providers.
8	How will the policy/function (or change/improvement), be implemented?	An evidence led, object review of the Public Health Transitional Grant (PHTG). our ringfenced budget, is being followed to reduce spend and prioritise the commissioning of services.
9	What factors could contribute or detract from achieving these outcomes for service users?	Factors which could detract include: <ul style="list-style-type: none"> • unexpected incidents for example an outbreak situation • a shift in national public health priorities
10	Is the responsibility for the proposed policy or function shared with another department or authority or organisation? If so, please state?	Yes through joint commissioning and partnership working in order to deliver strategic priorities.

C. Data Collection		
1	What monitoring data do you have on the number of people (from different equality groups) who are using or are potentially impacted upon by your policy/ function?	For each line of the grant spend, data is being collected by commissioners and service providers to understand activity. Each service provider is expected to provide evidence of service activity broken down to demographic and where appropriate equality group level.
2	Please specify monitoring information you have available and attach relevant information*	A framework is being populated to give a full picture of activity and breakdown of spend for each commissioned service. Consideration is given to the contribution that the service will make to public health outcomes and the national directive on public health spend criteria.
3	If monitoring has NOT been undertaken, will it be done in the future or do you have access to relevant monitoring data?	Ongoing work to improve performance monitoring and implementation of a robust framework going forward.

**Your monitoring information should be compared to the current available census data to see whether a proportionate number of people are taking up your service*

D. Consultation & Involvement		
1	Are you using information from any previous consultations and/or local/national consultations, research or practical guidance that will assist you in completing this EIA?	Yes Public Health –guidance and evidence to inform the decision making process
2	Please list any consultations planned, methods used and groups you plan to target. (If applicable)	No decisions have been made about the decommissioning of services, redesign of services that may impact on equity of provision. Once services have been identified for review, an EIA will be a central element of the review process.
3	**What barriers, if any, exist to effective consultation with these groups and how will you overcome them?	None

***It is important to consider all available information that could help determine whether the policy/ function could have any potential adverse impact. Please attach examples of available research and consultation reports*

E: The Impact – Identify the potential impact of the policy/function on different equality target groups

The potential impact could be negative, positive or neutral. If you have assessed negative potential impact for any of the target groups you will also need to assess whether that negative potential impact is high, medium or low

	Positive	Negative (please specify if High, Medium or Low)	Neutral	Reason
Gender – both men and women, and transgender;				Not applicable at this stage. An EIA will be completed from each service identified for de-commissioning or redesign.
Pregnant women & women on maternity leave				
Gender Reassignment				
Marriage & Civil Partnership				
Race- include race, nationality & ethnicity (NB: the experiences				

may be different for different groups)				
Disability – physical, sensory & mental impairments				
Age Group - specify eg; older, younger etc)				
Sexual Orientation – Heterosexual, Lesbian, Gay Men, Bisexual people				
Religious/Faith groups (specify)				

As a result of completing the above what is the potential negative impact of your policy?

High **Medium** **Low**

F. Could you minimise or remove any negative potential impact? If yes, explain how.	
Race:	Not applicable at this stage. An EIA will be completed from each service identified for de-commissioning or redesign.
Gender, including pregnancy & maternity, gender reassignment, marriage & civil partnership	
Disability:	
Age:	
Sexual Orientation:	
Religious/Faith groups:	

Also consider the following:		
1	If there is an adverse impact, can it be justified on the grounds of promoting equality of opportunity for a particular equality group or for another legitimate reason?	Where there is change each service will require commissioners and PH Consultants to undertake an individual EIA.
2	Could the policy have an adverse impact on relations between different groups?	
3	If there is no evidence that the policy <i>promotes</i> equal opportunity, could it be adapted so that it does? If yes, how?	

J. EIA Action Plan

Recommendation	Key activity	When	Officer Responsible	Links to other Plans eg; Sustainable Community Strategy, Corporate Plan, Business Plan,	Progress milestones	Progress
No recommendations available until phase 1 is complete.		Phase 1 completed March 2016	Jill Colbert			

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Please ensure that all actions identified are included in the attached action plan and in your service plan.

Signed
Lead Officer
Date

Signed *Abdul Rezaq*
Service Head
Date 26/1/16

A. Summary Details		
1	Title of EIA:	Supported Living
2	Person responsible for the assessment:	Karen Ahmed
3	Contact details:	Karen.ahmed@trafford.gov.uk
4	Section & Directorate:	CFW
5	Name and roles of other officers involved in the EIA, if applicable:	Christine Warner

B. Policy or Function		
1	Is this EIA for a policy or function?	Policy <input type="checkbox"/> Function <input checked="" type="checkbox"/>
2	Is this EIA for a new or existing policy or function?	New <input type="checkbox"/> Existing <input type="checkbox"/> Change to an existing policy or function <input checked="" type="checkbox"/>
3	What is the main purpose of the policy/function?	This is a service closure based upon the changing needs of the individual service users and other closures may be identified as the review of supported living progresses. 3 service users live there – one that requires nursing care, one service user requires a dementia specialist facility, and the other service user is currently being assessed to determine an appropriate placement given her age.
4	Is the policy/function associated with any other policies of the Authority?	Reshaping Care
5	Do any written procedures exist to enable delivery of this policy/function?	HR redundancy and redeployment processes
6	Are there elements of common practice not clearly defined within the written procedures? If yes, please state.	
7	Who are the main stakeholders of the policy?	The service users will move to placements that better meet their changed and

	How are they expected to benefit?	increased needs The staff will be put at risk of redundancy
8	How will the policy/function (or change/ improvement), be implemented?	Service users will be reassessed and suitable alternative placements will be identified. Families will be involved in this process. Staff will be consulted with as per our redundancy processes.
9	What factors could contribute or detract from achieving these outcomes for service users?	Suitable alternative placements not being available – this is highly unlikely as we have already identified a number of places.
10	Is the responsibility for the proposed policy or function shared with another department or authority or organisation? If so, please state?	No

C. Data Collection

1	What monitoring data do you have on the number of people (from different equality groups) who are using or are potentially impacted upon by your policy/ function?	Detailed service user records from assessments for health and social care. HR records
2	Please specify monitoring information you have available and attach relevant information*	There are 3 service users – one man and two women who are aged between 58 and 70. They all have a diagnosis of learning disability and in addition two people have dysphasia and one person has dementia. They are all White/ British. There are 5 members of staff, one man and 4 women. They are aged between 35 and 55. Two people are Black African and there people are White British
3	If monitoring has NOT been undertaken, will it be done in the future or do you have access to relevant monitoring data?	N/A

**Your monitoring information should be compared to the current available census data to see whether a proportionate number of people are taking up your service*

D. Consultation & Involvement		
1	Are you using information from any previous consultations and/or local/national consultations, research or practical guidance that will assist you in completing this EIA?	No
2	Please list any consultations planned, methods used and groups you plan to target. (If applicable)	The reassessment process will include consultations with families and service users, and they will be involved in the choosing of a placement. Staff will be consulted with during February & March (Difficult to confirm exact dates as we have no dates to work to with service users moving out yet)
3	**What barriers, if any, exist to effective consultation with these groups and how will you overcome them?	The service users all have learning disabilities, and in addition, one man has dementia. Two service users also lack capacity to make a decision about the move. Alternative forms of communication will be used such as Makaton, using easy to understand language, objects of reference, behavioural observation and the views on suitable alternative placements will also be sought from people who know them well.

***It is important to consider all available information that could help determine whether the policy/ function could have any potential adverse impact. Please attach examples of available research and consultation reports*

E: The Impact – Identify the potential impact of the policy/function on different equality target groups

The potential impact could be negative, positive or neutral. If you have assessed negative potential impact for any of the target groups you will also need to assess whether that negative potential impact is high, medium or low

	Positive	Negative (please specify if High, Medium or Low)	Neutral	Reason
Gender – both men and women, and transgender;		Medium		Staff at risk of redundancy are predominantly women
Pregnant women & women on maternity leave				
Gender Reassignment				
Marriage & Civil Partnership				
Race- include race, nationality & ethnicity (NB: the experiences may be different for different groups)				
Disability – physical, sensory & mental impairments	High			Service users will be moved to more appropriate placements where there needs will be better met.
Age Group - specify eg; older, younger etc)		Medium		Staff at risk of redundancy will be aged 35+
Sexual Orientation – Heterosexual, Lesbian, Gay Men, Bisexual people				
Religious/Faith groups (specify)				

As a result of completing the above what is the potential negative impact of your policy?

High Medium Low

F. Could you minimise or remove any negative potential impact? If yes, explain how.

Race:	
Gender, including pregnancy & maternity, gender reassignment, marriage & civil partnership	Staff will be offered redeployment
Disability:	
Age:	Staff will be offered redeployment
Sexual Orientation:	
Religious/Faith groups:	
Also consider the following:	
1	If there is an adverse impact, can it be justified on the grounds of promoting equality of opportunity for a particular equality group or for another legitimate reason? Service users will be placed in more appropriate care settings
2	Could the policy have an adverse impact on relations between different groups? No
3	If there is no evidence that the policy <i>promotes</i> equal opportunity, could it be adapted so that it does? If yes, how? No


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G. EIA Action Plan

Recommendation	Key activity	When	Officer Responsible	Links to other Plans e.g. Sustainable Community Strategy, Corporate Plan, Business Plan,	Progress milestones	Progress

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Please ensure that all actions identified are included in the attached action plan and in your service plan.

Signed 
 Lead Officer Karen Ahmed
 Date 14/1/16

Signed 
 Service Head Diane Eaton
 Date 14/1/16

A. Summary Details		
1	Title of EIA:	Extension to Mandatory Unpaid Leave and leave purchase scheme.
2	Person responsible for the assessment:	Deborah Lucas, Head of HR Business Partnering
3	Contact details:	0161 912 4326 kate.sturman@trafford.gov.uk
4	Section & Directorate:	Workforce Strategy Team, HR Service, T&R
5	Name and roles of other officers involved in the EIA, if applicable:	Kate Sturman

B. Policy or Function		
1	Is this EIA for a policy or function?	Policy <input checked="" type="checkbox"/> Function <input type="checkbox"/>
2	Is this EIA for a new or existing policy or function?	New <input type="checkbox"/> Existing <input checked="" type="checkbox"/> Change to an existing policy or function
3	What is the main purpose of the policy/function?	To detail employees' terms and conditions of employment with the Council, i.e. what they will receive in return for working for the Council.
4	Is the policy/function associated with any other policies of the Authority?	Annual leave policy
5	Do any written procedures exist to enable delivery of this policy/function?	The 'Green Book', The Constitution, Contract of Employment
6	Are there elements of common practice not clearly defined within the written procedures? If yes, please state.	No
7	Who are the main stakeholders of the policy? How are they expected to benefit?	Employees – the proposed extension to mandatory unpaid leave and the scheme to purchase additional leave are being driven by a need to make significant budget savings within the Council over the next 2 years. It is hoped that the changes will achieve in the region of £0.5m in savings per annum. If the monies are not found

		in this manner they will need to be found elsewhere, which may mean further service reorganisation/cuts leading to redundancies in addition to those that have already been undertaken and any planned.
8	How will the policy/function (or change/improvement), be implemented?	<p>In terms of the extension to mandatory unpaid leave, there has been a period of formal consultation, during which we tried to reach collective agreement with our Trade Unions. Unfortunately agreement could not be reached so we shall continue to ask employees to voluntarily sign up to the changes. Where employees do not sign up there will be a process whereby we will give them notice of the termination of their contract and offer immediate re-engagement with the new contract.</p> <p>With regards the scheme for purchasing additional leave, this has been included in the consultation. However the scheme doesn't need collective or individual agreement as it is a voluntary scheme.</p>
9	What factors could contribute or detract from achieving these outcomes for service users?	Possible resistance from staff due to concerns about impact on workload, TOIL, pay.
10	Is the responsibility for the proposed policy or function shared with another department or authority or organisation? If so, please state?	This is being led by the HR Service, however owned by the organisation with final sign off to be given by Executive Members.

C. Data Collection

1	What monitoring data do you have on the number of people (from different equality groups) who are using or are potentially impacted upon by your policy/ function?	<p>The extension to unpaid leave will affect all Council employees except teachers and those who come under the purview of a school governing body (i.e. are directly employed by a school) because such employees are under the control of the School Governing Body and not the council. Apprentices will also be excluded.</p> <p>There are also some staff groups that have received an exemption, these are on the basis that they were either providing direct services to SEN/children or are in a trading position – they are: Catering Operations; Cleaning Support; Trafford Transport Provision; Sanyu Daycare Centre; Partington & Carrington Children's</p>
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		Centre and SEN Teaching Assistants. These tend to be females on lower pay bands. Currently 1639 employees are subject to mandatory unpaid leave.
2	Please specify monitoring information you have available and attach relevant information*	Workforce monitoring data on the staff subject to mandatory unpaid leave is provided at Appendix 1 below.
3	If monitoring has NOT been undertaken, will it be done in the future or do you have access to relevant monitoring data?	N/A

**Your monitoring information should be compared to the current available census data to see whether a proportionate number of people are taking up your service*

D. Consultation & Involvement		
1	Are you using information from any previous consultations and/or local/national consultations, research or practical guidance that will assist you in completing this EIA?	<p>We have undertaken employee consultation and have collated all feedback.</p> <p>Out of 1639 employees subject to the consultation – only 83 provided feedback which equates to 5%. Of the small number that did provide feedback only 55% didn't agree with the proposal to extend mandatory unpaid leave for a 2 year temporary period. When asked if they would consider purchasing some additional leave, 35% said they would.</p> <p>The main concerns raised in the feedback included: the proposal being a pay cut; unfair; adverse effect on workload; difficult to take leave/flexi/TOIL; shouldn't be compulsory. There were no particular comments relating to the protected characteristics, comments were more around the effect on those staff on lower pay.</p> <p>There were also lots of positive comments about how the additional leave helps with childcare and family commitments and that payments being spread across the year lessens the financial impact.</p>

2	Please list any consultations planned, methods used and groups you plan to target. (If applicable)	We have undertaken consultation via team meetings, comms on the intranet, individual letters to all staff affected. Employees have been able to submit feedback during the consultation period.
3	**What barriers, if any, exist to effective consultation with these groups and how will you overcome them?	It can be more difficult to engage with staff who do not have access to e-mail or the council's intranet system. However we have given several routes for staff to give feedback: survey monkey; hard copy feedback posted to HR and through line management. These have been detailed in a letter that was sent to all employees involved in the consultation.

***It is important to consider all available information that could help determine whether the policy/ function could have any potential adverse impact. Please attach examples of available research and consultation reports*

E: The Impact – Identify the potential impact of the policy/function on different equality target groups

The potential impact could be negative, positive or neutral. If you have assessed negative potential impact for any of the target groups you will also need to assess whether that negative potential impact is high, medium or low

	Positive	Negative (please specify if High, Medium or Low)	Neutral	Reason
Gender – both men and women, and transgender;	X – low	X – low		<p>The gender profile of the staff subject to mandatory unpaid leave is: Female 73% to Male 27%. There will therefore automatically be more women affected by the proposal. It should be noted that a significant number of women work in those services that are exempt from the proposal, such as Catering, Cleaning, Children's Centres and SEN Teaching Assistants.</p> <p>As women still tend to have greater child-care commitments than men the additional leave may help with caring responsibilities if the days can be taken during school holidays. This may therefore have a positive impact. However it is also a good opportunity for male staff with</p>

				<p>childcare commitment to have greater flexibility.</p> <p>For staff with other caring responsibilities, such as parents, this may be positive, giving them more flexibility.</p>
Pregnant women & women on maternity leave			X	No likely impact. When on maternity leave, staff are not subject to the mandatory unpaid leave payments so it has no effect during this period.
Gender Reassignment			X	No likely impact.
Marriage & Civil Partnership			X	No likely impact.
Race - include race, nationality & ethnicity (NB: the experiences may be different for different groups)			X	No likely impact.
Disability – physical, sensory & mental impairments	X – Low impact			There may be a slight positive impact for staff who have a disability as they may need more time off work than employees without a disability so the additional unpaid leave and option to buy additional leave may be supportive of this need.
Age Group - specify eg; older, younger etc)		X – Low impact (younger and older employees)		<p>On average the younger element of the workforce are more likely to be on lower salaries than the older element, which means that the financial implications of all of the proposals may have a greater impact on these employees.</p> <p>There may be an impact on pension benefits for the older element of the workforce due to the loss of pay, however this is mitigated by the APC provision to buy back any loss of pension..</p>
Sexual Orientation – Heterosexual,			X	No likely impact.

Lesbian, Gay Men, Bisexual people				
Religious/Faith groups (specify)	X - low			All staff in scope will be required to take the mandatory leave but are entitled to choose when to take it, so they may be able to use these days for religious holidays other than the statutory/Christian holidays.

As a result of completing the above what is the potential negative impact of your policy?

High Medium Low

F. Could you minimise or remove any negative potential impact? If yes, explain how.

Race:	N/A
Gender, including pregnancy & maternity, gender reassignment, marriage & civil partnership:	N/A
Disability:	N/A
Age:	There may be an impact on pension benefits for the older element of the workforce due to the loss of pay. However, to some extent this can be mitigated by the APC provision to buy back any loss of pension. During the period when staff are subject to mandatory unpaid leave, each year the Council will write to employees to give them the opportunity to make an APC and the Council will pay 2//3 of the cost provided the employee makes the request within the agreed timescales.
Sexual Orientation:	N/A
Religious/Faith groups:	N/A
Also consider the following:	

1	If there is an adverse impact, can it be justified on the grounds of promoting equality of opportunity for a particular equality group or for another legitimate reason?	
2	Could the policy have an adverse impact on relations between different groups?	
3	If there is no evidence that the policy <i>promotes</i> equal opportunity, could it be adapted so that it does? If yes, how?	Staff subject to mandatory leave will have additional time off work, which gives more flexibility for home/family commitments. This is useful for those with caring commitments, however those without caring commitments may also appreciate the time to pursue interests.

G. EIA Action Plan

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Recommendation	Key activity	When	Officer Responsible	Links to other Plans e.g. Sustainable Community Strategy, Corporate Plan, Business Plan,	Progress milestones	Progress

Please ensure that all actions identified are included in the attached action plan and in your service plan.



Signed



Lead Officer Deborah Lucas
Date 15th January 2016

Signed

Service Head
Date

Lisa Hooley
15th January 2016

Appendix 1 – Equalities Monitoring of staff subject to mandatory unpaid leave

Gender Breakdown

Gender	% of staff
Female	73.48
Male	26.52

Ethnic Origin Breakdown

Ethnic Origin	% of staff
Asian or Asian British Bangladeshi	0.27
Asian or Asian British	0.92
Asian or Asian British Indian	0.22
Asian or Asian British Kashmiri	0.05
Asian or Asian British other Asian	0.22
Asian or Asian British Pakistani	1.46
Black or Black British African	0.92
Black or Black British British	0.05
Black or Black British Caribbean	1.30
Black or Black British Other Black	0.11
Chinese or Other Chinese	0.27
Mixed Other Mixed	0.60
Mixed White & Bangladeshi	0.05
Mixed White & Black African	0.27
Mixed White & Black Caribbean	0.70
Mixed White & Indian	0.33
Mixed White & Pakistani	0.11
Prefer not to state	1.84

White British	49.65
White Irish	1.46
White Other White	1.08
White Polish	0.16
White Other White European	0.43
Blank	37.53

Disability Breakdown

Gender	% of staff
Declined to specify or left blank	48.81
Disabled	4.23
Non-disabled	46.96

Sexual Orientation Breakdown

Sexual Orientation	% of staff
Bisexual	0.60
Declined to specify or left blank	47.07
Gay	1.25
Heterosexual	49.89
Lesbian	1.19

A. Summary Details		
1	Title of EIA:	Trafford Trading Approach - WAC
2	Person responsible for the assessment:	Sharon Winn - Senior Business Change Manager
3	Contact details:	Joanne Hyde - Corporate Director Transformation & Resources Kerry Purnell - Head of Partnerships & Communities Debbie Cowley- Strategic Manager - Culture & Sport
4	Section & Directorate:	Transformation and Resources
5	Name and roles of other officers involved in the EIA, if applicable:	Asma Ibrahim - Business Change Analyst Sharon Winn- Senior Business Change Manager
B. Policy or Function		
1	Is this EIA for a policy or function?	Policy <input type="checkbox"/> N Function <input checked="" type="checkbox"/>
2	Is this EIA for a new or existing policy or function?	New <input type="checkbox"/> Existing <input checked="" type="checkbox"/> Change to an existing policy or function <input checked="" type="checkbox"/>
3	What is the main purpose of the policy/function?	<p>The Reshaping Trafford programme will bring about many changes to the way the Council operates in the future in order to meet the unprecedented financial pressures with innovative business solutions and opportunities for revenue generation identified. These innovative business solutions include:</p> <ul style="list-style-type: none"> • Changes in a current staffing structure aligned to customer and business needs that removes duplication • Exploring new income generating opportunities to provide sustainability and development of the service; • Charging mechanisms and hourly rates aligned with trading in private sector models and focus on understanding and reducing overheads to make services competitive in the market • Increased utilisation and greater flexibility, working smarter to respond to the volume and type of demand <p>The purpose of this project is to follow the recommendations outlined in the WAC Business Plan for delivering the Art Centre's services including changes to the staffing structure following a service review in 2015.</p>

4	Is the policy/function associated with any other policies of the Authority?	No. However a 3 year Business Plan has been developed to support the functions of the service.
5	Do any written procedures exist to enable delivery of this policy/function?	A 3 Year Business Plan has been developed for the service along with re-structure of the service and review of job profiles. The plan will support the delivery of the vision and functions. It will also support the service to develop a commercial and artistic balance in the delivery of products and services.
6	Are there elements of common practice not clearly defined within the written procedures? If yes, please state.	No
7	Who are the main stakeholders of the policy? How are they expected to benefit?	<p>The main stakeholders of the policy are:</p> <p>The Council - The changes to the service delivery model will contribute towards reducing WACS reliance on a subsidy from the Council. The monies saved can be used to support front line services.</p> <p>Staff – The changes will impact the staff members as job roles have changed, and new roles created. This may provide development opportunities for staff members to expand their knowledge and skills, or to develop further within the new arrangements.</p> <p>Residents – The purpose of the WAC is to be a centre of excellence and enrich the quality of life for the visitors of the centre and residents of Trafford. The aim of these changes is to provide appropriate infrastructure and resources to WAC so they can continue to offer innovative and creative activities accessible to the centre’s visitors</p> <p>Local businesses - The new approach to trading will provide opportunities for local organisations and companies to supply, hire and use WAC facilities and services at competitive prices.</p>
8	How will the policy/function (or change/ Improvement), be implemented?	<p>The changes in the service is being implemented in the following way;</p> <ul style="list-style-type: none"> • New staffing structure and review of the job description was conducted • Revisiting the strategic goals, visions and missions of WAC to ensure these are fit for purpose and support the commercial development required to be

		<p>sustainable</p> <ul style="list-style-type: none"> • Reviewing working practices to drive out efficiencies <p>Understanding our costs</p> <ul style="list-style-type: none"> • Developing a 3 year business plan with suitable recommendations to support the financial stability of WAC <ul style="list-style-type: none"> ➤ Ensuring that WAC is providing competitive products and services and able to provide customers with an explanation of how charges are calculated by developing a greater understanding of our costs. This includes investigating internal recharge costs to determine if the process can be made more transparent and seamless.
9	<p>What factors could contribute or detract from achieving these outcomes for service users?</p>	<p>The factors that could contribute to achieving the outcomes for service users include:</p> <ul style="list-style-type: none"> • A detailed knowledge of the make-up of the Trafford Borough; • Established Art Centre already delivering products and services to its visitors • Well established internal and external customer relationships; • A good reputation of the Art Centre • WAC is well situated for transport links to locally to Trafford and Manchester as well as nationally because Metro Stop at Sale links to Piccadilly and Victoria Train station; and near local bus routes • Good location in the central town centre of Sale for local footfall, visibility and access • Excellent parking facilities nearby <p>The factors that could detract from achieving the outcomes for service users include:</p> <ul style="list-style-type: none"> • A lack of commercial experience within The Council; • A lack of investment to develop products and services;

		<ul style="list-style-type: none"> • Other established and emerging Art Centres offering similar services • The political will to make the changes happen; • Restrictions on time for project delivery.
10	Is the responsibility for the proposed policy or function shared with another department or authority or organisation? If so, please state?	WAC team will work more closely with the Council Communication Marketing, Events and Registrar Teams to increase resilience, ensure consistent corporate messages are delivered and maximise income opportunities and efficiency of resources.

C. Data Collection

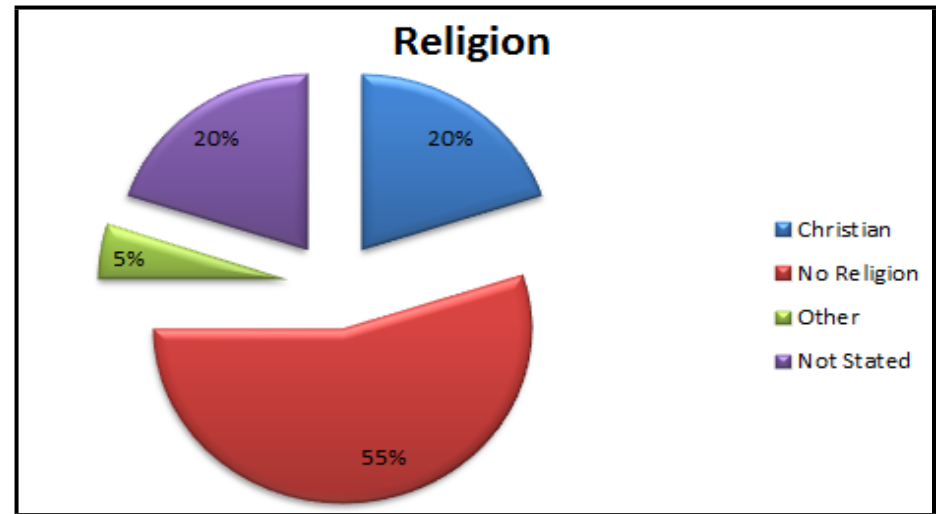
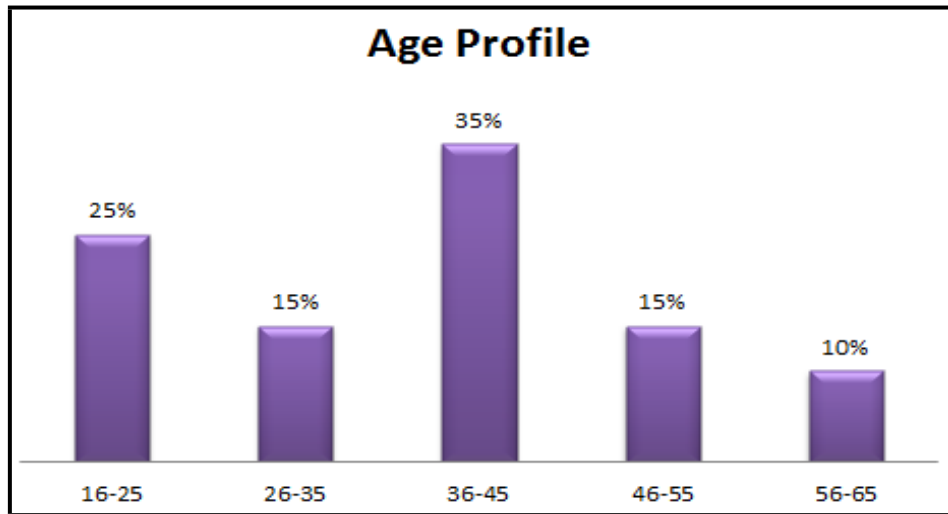
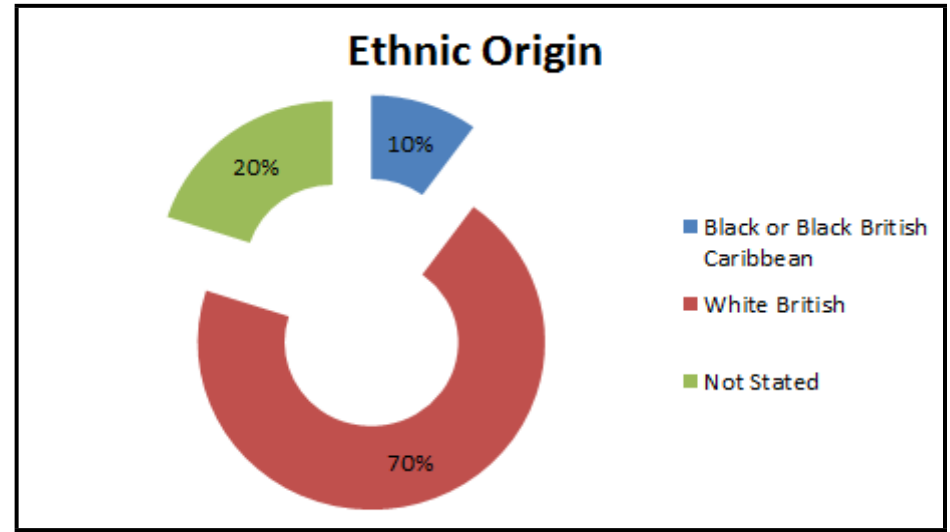
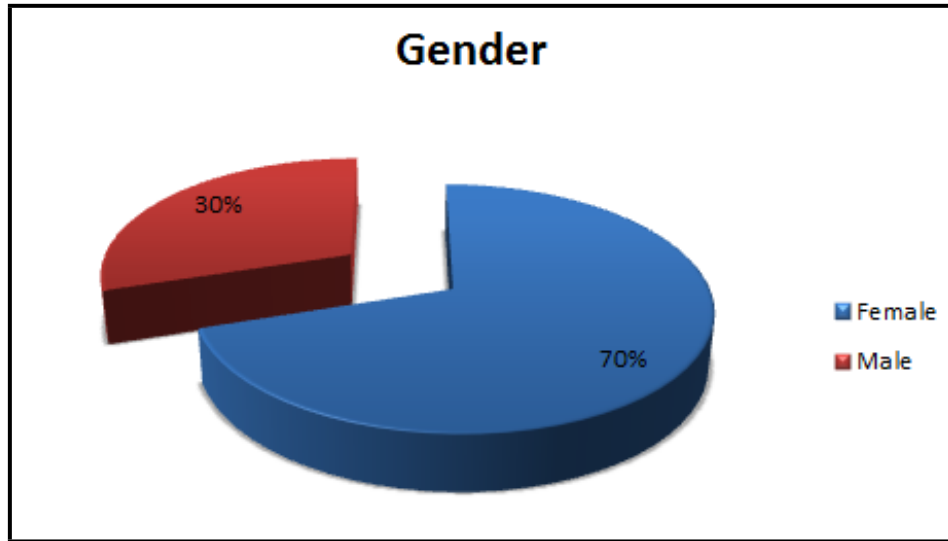
1	What monitoring data do you have on the number of people (from different equality groups) who are using or are potentially impacted upon by your policy/ function?	The Council has equality monitoring data available for staff members potentially impacted by the proposed changes. Please see below
2	Please specify monitoring information you have available and attach relevant information*	For the directly affected staff members, the data includes: <ul style="list-style-type: none"> • Age Profile • Religion • Sexual Orientation • Ethnic Origin • Disability • Gender
3	If monitoring has NOT been undertaken, will it be done in the future or do you have access to relevant monitoring data?	NA

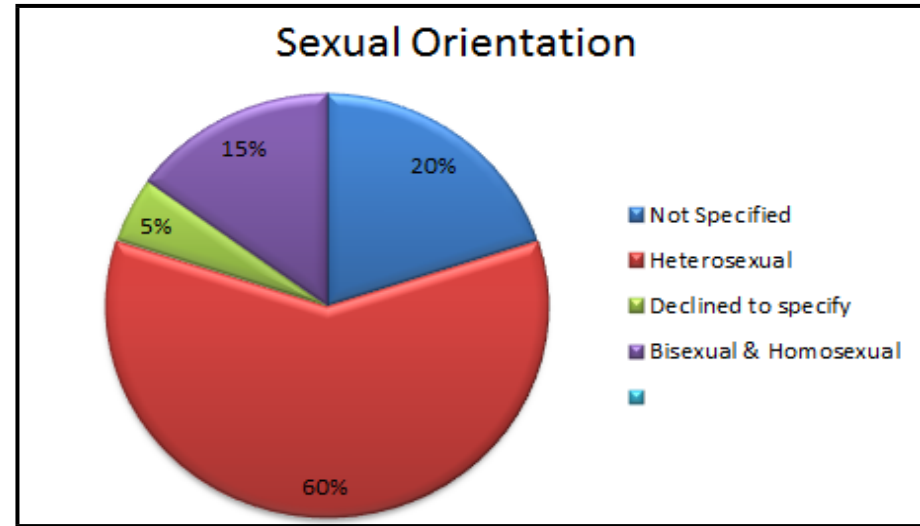
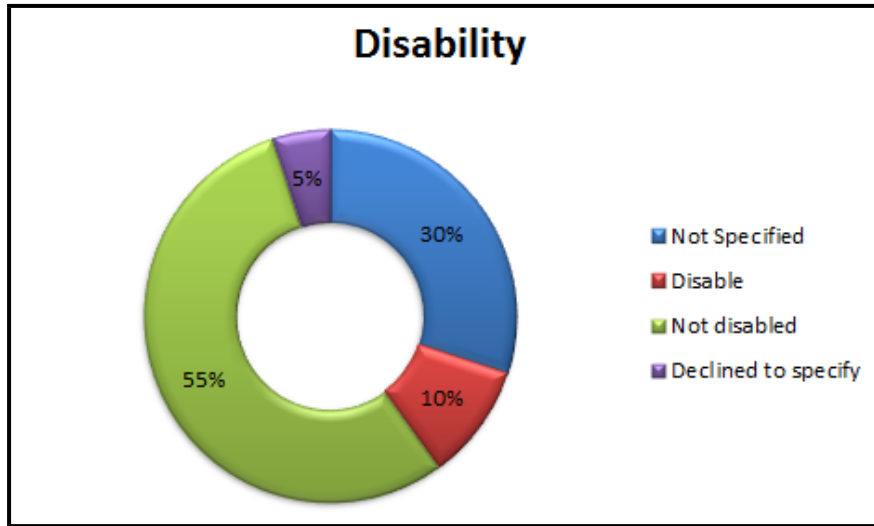
**Your monitoring information should be compared to the current available census data to see whether a proportionate number of people are taking up your service*

D. Consultation & Involvement		
1	Are you using information from any previous consultations and/or local/national consultations, research or practical guidance that will assist you in completing this EIA?	Benchmarking against other councils
2	Please list any consultations planned, methods used and groups you plan to target. (If applicable)	Consultation sessions with affected staff members will be carried out to communicate and discuss the planned changes put forward in the project proposals. A meeting with the WAC building Partners, Cofely, will be arranged to communicate and cascade the changes in opening times and new point of contact for building management.
3	**What barriers, if any, exist to effective consultation with these groups and how will you overcome them?	WAC staff members are located at Sale Waterside Art Centre and as part of Reshaping Trafford programme, briefing about the proposed restructure will be held at the site in agreement with the service. A suitable time will be considered to ensure any part time staff, agile workers and staff on annual leave, are provided with the opportunity to attend the session. Staff on maternity/paternity leave or long term sickness will be informed about the changes via letter/email with an option to attend the meetings.

**It is important to consider all available information that could help determine whether the policy/ function could have any potential adverse impact. Please attach examples of available research and consultation reports*

Profile of staff in scope directly affected





Note * In line with best practice, if certain equality groups contain a small number of people they are rounded together so as not to potentially identify individuals.

Staff profiles by ethnic origin reveal that 70% staff members in the affected service areas are from a White British background. The other 30% staff members are from ethnically diverse backgrounds. In respect to gender, 70% of the affected staff members are female and 30% are male. In relation to religious belief, 20% of the affected staff members are Christian, 55% do not follow a particular religion and the remaining 25% staff members religious beliefs are unspecified.

The age ranges of staff member is fairly diverse with the largest groups comprised of 36 to 45 years old (35%), 16 to 25 years old (25%), 26 to 35 years old (15%) and 46 to 55 years old (15%). The smallest age groups are 56 to 65 years old (10%). The disability data highlights that almost half of the staff members have stated that they are not disabled (55%) and 10% have declared a disability. 30% have not specified any disability and 5% have declined to specify.

60% of the staff members identify themselves as heterosexual, 15% as bisexual or homosexual. The sexual orientation of the remaining 25% of staff members is unknown.

E: The Impact – Identify the potential impact of the policy/function on different equality target groups

The potential impact could be negative, positive or neutral. If you have assessed negative potential impact for any of the target groups you will also need to assess whether that negative potential impact is high, medium or low

	Positive	Negative (please specify if High, Medium or Low)	Neutral	Reason
Gender – both men and women, and transgender;		✓		70% of the staff members are female and there are lower numbers of males working for the service (30%). It is not expected that the proposed changes will have a negative impact upon the equality target group. As part of employment contract the affected staff member are aware of working some weekends and evenings depending on the service's needs. However consideration will be taken when preparing rotas and flexibility will be provided by pre-planning staff schedules. It will be attempted that any caring commitments or relatives that staff member may have responsibility for are taken into account when planning.
Pregnant women & women on maternity leave			✓	The proposed changes will not have a negative impact upon the equality

				target group as the current staff affected have an interim cover and will be able to resume their duties on their return to work. Please see Section F as regards any new starters.
Gender Reassignment				N/A
Marriage & Civil Partnership				N/A
Race - include race, nationality & ethnicity (NB: the experiences may be different for different groups)			✓	From the data available, the majority of staff members are 'White British' (70%) with 30% of BME (Black and Minority Ethnic) origin. It is not expected that the proposed changes will have any impact based on ethnic origin. Ensure the new structure and working arrangements continue to provide a professional working environment, where staff are comfortable with their identity and are supported by HR policies and processes.
Disability – physical, sensory & mental impairments			✓	The data available highlights that there are low numbers of disabled staff (10%) in the Service. The changes will not have any impact for the disabled staff members as the access facilities and reasonable adjustments currently in place will remain the same.
Age Group - specify e.g. older, younger etc.			✓	It is not expected that the proposed changes will have a negative impact upon the equality target group

Sexual Orientation – Heterosexual, Lesbian, Gay Men, Bisexual people				N/A
Religious/Faith groups (specify)			✓	Staff requirements for religious holidays will continue to be taken in consideration when preparing rotas and flexibility of working will be ensured by pre-planning staff schedules

As a result of completing the above what is the potential negative impact of your policy?

High

Medium

Low

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F. Could you minimise or remove any negative potential impact? If yes, explain how.	
Race:	N/A
Gender, including pregnancy & maternity, gender reassignment, marriage & civil partnership	<p>Maternity / paternity / adoption leave - If any member of staff is on maternity / paternity / adoption leave, they will be included in all communication throughout the process and the Service will ensure they are not negatively impacted (e.g. ensure staff on maternity/paternity/adoption leave return to similar working arrangements and conditions).</p> <p>One-to-one support – If any staff members require, they will have access to one-to-ones with their manager and HR. It will be ensured that all staff are informed in timely manner about any changes and supported through process and have access to support for anything if required.</p> <p>Other Support – It will be ensured that the new structure and working arrangements provide, or make reasonable adjustments to provide, access to appropriate facilities if required. The managers will support the professional development of the staff to conduct their duties</p>

		Flexible Working - The new structure will ensure staff can request flexible working such as maternity/ paternity/ adoption leave. This will include flexibility with regard to caring responsibilities.
Disability:		N/A
Age:		N/A
Sexual Orientation:		N/A
Religious/Faith groups:		Ensure the new structure and working arrangement provides a professional working environment, where staff are comfortable with their identity and are supported by HR policies and processes. Good planning will ensure that, where possible, meetings and other important activities do not take place during religious holidays or impact on key faith activity requirements (e.g. prayer times).
Also consider the following:		
1	If there is an adverse impact, can it be justified on the grounds of promoting equality of opportunity for a particular equality group or for another legitimate reason?	N/A
2	Could the policy have an adverse impact on relations between different groups?	No.
3	If there is no evidence that the policy <i>promotes</i> equal opportunity, could it be adapted so that it does? If yes, how?	N/A

K. EIA Action Plan

Recommendation	Key activity	When	Officer Responsible	Links to other Plans	Progress milestones	Progress

Communication with staff	Staff awareness session	TBC on the availability of the staff	AI & SW			Regular communication with Head of Service to ensure the process is conducted smoothly for the service
Formal checkpoints with Equalities team	Formal checkpoints and discussion with equalities team	At key milestones during process	AI & SW	N/A		
Feedback obtained from staff will be collated	The EIA will be updated based on the information received	At key milestones during process	AI & SW			

Please ensure that all actions identified are included in the attached action plan and in your service plan.

Signed
Lead Officer

Asma Ibrahim
Sharon Winn

Signed
Service Head

Kerry Purnell

Date

Date

Appendix 5: Consultation Response Form – Waterside Arts Centre

If you have any proposed changes by completing the **end of XXX.**

Please return or

TraffordTradingApproach@trafford.gov.uk

Name

Payroll Number

Contact Number

comments on the please let us know section below. **The consultation is**

email to:

Your comments:

TRAFFORD COUNCIL

Report to: Executive and Council

Date: 17 February 2016

Report for: Decision

Report of: The Executive Member for Finance and the Director of Finance

Report Title

CAPITAL PROGRAMME & PRUDENTIAL INDICATORS 2016/19

Summary

This report consists of two main areas for the Executive to consider:

Capital Programme – This report highlights the Council’s investment plans for the next three years taking into account the estimated resources to be made available from Government as well as the Council’s own resources. The level of resources forecasted to be available for capital investment purposes during the period 2016/19 is £89.4m.

New schemes with a value of £19.7m are recommended for approval (Appendix 1). If agreed this would result in a total Capital Programme for 2016/19 of £90.7m (Appendix 2). This equates to £1.3m of over-programming which will be reviewed in future years.

Prudential Indicators – the Council is required to set indicators in accordance with the CIPFA Prudential Code which are designed to support and record decisions taken on affordability, sustainability and professional good practice and these are outlined at Appendix 3.

Recommendations

That the Executive :

- 1) approve the Capital Programme as detailed in the report.
- 2) recommends the Council to approve the Capital Programme in the sum of £90.7m for the period 2016/19.
- 3) recommends the Council to approve the Prudential Indicators as set out at Appendix 3 of this report.

Contact person for access to background papers and further information:

Name: Graeme Bentley

Extension: 4336

Background Papers – None

Relationship to Policy Framework/Corporate Priorities	Value for Money
Financial Implications	Planned capital expenditure over the next three year period will be contained within available capital resources.
Legal Implications:	None arising out of this report
Equality/Diversity Implications	None arising out of this report
Sustainability Implications	None arising out of this report
Staffing/E-Government/Asset Management Implications	A number of improvement schemes are being undertaken in 2016/19.
Risk Management Implications	Not Applicable
Health and Safety Implications	A number of schemes are being undertaken in 2016/19 on the grounds of health and safety.

INTRODUCTION

1. Annually the Council sets a three year Capital Programme and the purpose of this report is to :
 - review the decisions taken in February 2015 with regard to the 2016/17 and 2017/18 budgets in light of any new priorities and bids for capital support
 - to amend 2016/17 and 2017/18 budgets for any updated central government grant allocations
 - propose an indicative 2016/19 Capital Programme taking into account the issues reported above and
 - ensure that there are adequate levels of resources available to finance the three year Capital Programme.
 - Update the prudential indicators for 2016/19.

STRATEGIC CONTEXT

2. The Capital Strategy outlines the Council's approach to capital investment with the purpose of providing clear direction for the Council's capital investment plans.
3. The aim of the Capital Strategy is to:-
 - **Link capital investment to Council priorities** by ensuring resources are allocated to schemes using a transparent prioritisation process
 - **Achieve value for money from available capital resources by using** options appraisal techniques for all new projects and adopting the Council's Procurement Policies for managing capital projects.
 - **Ensure Council resources are used to their maximum potential** by ensuring that resources are employed to either generate additional revenue or reduce revenue liabilities.
 - **Develop an affordable Capital Programme by:-**
 - Adopting a robust budget preparation and challenge process
 - Ensuring compliance with the CIPFA Prudential Code to ensure spending plans are prudent, affordable and sustainable
 - Considering the full extent of revenue implications in the Medium Term Financial Plan
 - Optimising the level of capital receipts from asset disposals
 - Maximising the use of external support towards capital projects

- **Manage the Capital Programme effectively** with projects completed on time and within budget by:-
 - Effective budget monitoring and reporting, including milestone monitoring
 - Effective project management methods
 - Identifying and managing risks; and implementing measures to mitigate them

CURRENT CAPITAL PROGRAMME 2015-18

4. The current forecasted expenditure for 2015/16 to 2017/18 is £105.8m with estimated resources available to support this programme of £109.8m, summarised below

Table 1 : 2015-18 Capital Programme & Resourcing	2015/16 £'000	2016/17 £'000	2017/18 £'000	Total £'000
Service Area				
• Children, Families & Wellbeing	21,590	14,949	11,142	47,681
• Economic Growth, Environment & Infrastructure	20,068	24,120	9,094	53,282
• Transformation & Resources	2,915	1,900	0	4,815
Capital Programme total	44,573	40,969	20,236	105,778
Resourcing				
• Capital Grants	26,582	19,027	12,211	57,820
• External contributions	6,751	5,291	2,000	14,042
External Resources	33,333	24,318	14,211	71,862
• Capital Receipts	8,121	3,938	6,273	18,332
• Borrowing	2,093	8,855	3,550	14,498
• LSVT VAT Income	3,421	400	0	3,821
• Revenue & Reserves	992	300	0	1,292
Internal Resources	14,627	13,493	9,823	37,943
Resourcing total	47,960	37,811	24,034	109,805
(Surplus) / Deficit	(3,387)	3,158	(3,798)	(4,027)

5. As part of the budget process the Programme has been reviewed to ensure it continues to meet Council priorities and remains affordable within the level of resources available.
6. The 2015/16 programme of £44.6m includes the delivery of a number of key projects including:-
- School Places and condition works of £38.6m - £16.2m in 2015/16
 - Adult Social Care of £9.0m - £4.1m in 2015/16
 - Corporate Landlord investment of £4.5m - £2.7m in 2015/16
 - Town Centre regeneration and investment of £12.4m - £3.8m in 2015/16
 - Highways improvements of £25.5m - £8.2m in 2015/16
 - Metrolink extension contribution of £7.0m - £3.0m in 2015/16
 - Parks and Open Space improvements of £1.5m - £1.0m in 2015/16
 - ICT investment of £4.5m - £2.6m in 2015/16

Capital Investment Resources 2016/19

7. The level of resources forecasted to be available for capital investment purposes during the period 2016/19 is £89.4m comprising external resources totalling £54.2m and internal totalling £35.2m.
8. External resources available to support the Capital Programme are received from a number of sources. These include grants from central government departments and agencies, developer contributions in the form of S.106 agreements and contributions from bodies interested in specific projects. These resources can be very specific with little, if any, discretion on how they can be applied.
9. We have previously been notified, or have made assumptions of our external grant allocations for 2016/17 and 2017/18. Whilst announcements on some allocations are still awaited a number of assumptions have been updated from the numbers shown in Table 1. In order to set a three year programme assumptions have also been made for 2018/19 and these are listed below.

Table 2 : Grants & External Contributions	2016/17 £'000	2017/18 £'000	2018/19 £'000	Total £'000
Government Grants				
• Schools Basic Need	7,889	6,573	6,000	20,462
• Schools Devolved Formula	790	390	390	1,570
• Schools Maintenance	3,304	1,929	1,900	7,133
• Disabled Facilities	950	950	950	2,850
• Highways Structural Maintenance	2,134	2,069	2,100	6,303
• Highways – TfGM	3,660	0	0	3,660
Sub-total	18,727	11,911	11,340	41,978
Developer Contributions				
• External Contributions	3,291			3,291
• S.106 – Metrolink extension (note)	2,000	2,000	5,000	9,000
Sub-total	5,291	2,000	5,000	12,291
Total	24,018	13,911	16,340	54,269

note : The Council's agreed contribution toward the Metrolink extension is £20m which is to be financed by S.106 contributions. To date we have received £3.5m, have the ability to drawdown £12.2m from the Barton Square development contribution and have identified £2.2m to be received by 2018/19 that has potential to be utilised toward the scheme. This leaves £2.1m still to be identified to support Trafford's contribution. At this stage it is not proposed to earmark resources currently available as the phasing of the contributions means that sufficient resources will be available to cover the contributions for the first few years and the position can be reviewed when setting the 2017/18 programme. In addition it is expected receipts from the Community Infrastructure Levy will also become available over the next few years and these can be made available to cover the shortfall.

10. In addition internal resources are estimated to amount to £35.2m for the three year period. These mainly comprise of capital receipts from the disposal of surplus assets, borrowing and the balance of LSVT VAT Income.

Table 3 : Internal Resources	2016/17 £000	2017/18 £000	2018/19 £000	Total £000
Current Resources				
Capital Receipts(*)	8,182	6,273	1,500	15,955
Prudential Borrowing	14,555	3,950		18,505
Revenue & Reserves	700	0		700
Total current resources	23,437	10,223	1,500	35,160

(*) Includes surplus from 2015/16 of £4,244k (allowing for the uncommitted 2015/16 budgets of £857k - see table 5). The above figures for 2016/17 and 2017/18 take account of latest updates of the land sale programme and are net of the sum required to repay the principal repayment element of the Sale PFI costs. The Old Trafford Masterplan has identified sites which can be released for sale. Receipts of £1.0m are expected to be realised in 2017/18.

11. At this stage no estimate has been made on levels of capital receipts from the sale of surplus property beyond 2017/18 and the first call of any new capital receipts from the land sales programme in 2018/19 will be in respect of the commitment on the PFI scheme. The capital receipt figures for 2018/19 relate to:
- The Local Authority Mortgage Scheme (LAMS) was first included in the Capital Programme in 2012/13 and we are due to receive repayments of our advances. Repayment of our 1st tranche of investment is due to be received in 2017/18 £1.5m and 2018/19 £0.5m. The current programme assumes a £1.5m LAMS repayment, therefore £0.5m is available to support new investment.
 - Altair Premium of £2m is expected by 2018/19 over a maximum of four instalments linked to the phases of the development; this represents an increase of £1m over current assumptions detailed in Table 1. There is potential for part of this to be received after 2018/19.
12. Borrowing of £12.4m is included in the current capital programme to support major investment in LED street lighting and the continued redevelopment of Lancashire CCC. It is expected that savings achieved in energy and running costs and returns from LCCC will be sufficient to repay the borrowing costs and provide for additional savings to the revenue budget.
13. Included in the Prudential Indicators is a further amount of £6.1m in respect of the future relocation of the Council's depot facilities. A further report will be presented to the Executive over the next few months detailing all the options considered and the specific financial implications, but at this stage it is assumed any costs associated with new prudential borrowing will be neutral on the revenue budget.
14. The level of estimated discretionary resources available to the programme is £5.5m as summarised below :

Table 4 : Discretionary Resource Available	£'000
Current position:	
Current Surplus (per Q3 monitor report – See Table 1)	4,027
Additional receipts assumptions :	
Additional LAMS Repayment (see para.11)	500
Altair Development premium (see para.11)	1,000
Total Discretionary Resources Available for investment	5,527

Capital Investment Bids Received

15. The value of bids received for 2016/19 total £23.1m and is significantly higher than the level of resources available. The majority of the bids relate to required maintenance of the Council's assets (property and highways). The value of bids is clearly unaffordable within the available resource envelope and therefore an assessment of the bids is required to identify key priority works.
16. The restrictions on the ability to apply external resources to specific schemes means that only internal resources are available for application on discretionary investment.
17. The current capital strategy details how capital projects are prioritised and affords priority to the following factors:-
 - Schemes of a mandatory / contractual nature
 - Invest to save schemes
 - Schemes that protect the asset base
 - Schemes that meet Council priorities
 - Schemes that meet Other priorities
 - Schemes funded by prudential borrowing.
18. The capital strategy will be reviewed but a key priority for future programmes will be to support investment which has the impact of improving the taxbase, whether that be housing or commercial, for example the continuation of programmes of town centre investment.
19. In the recent Comprehensive Spending Review announcement, local authorities will be able to use capital receipts to pay for transformational reform programmes. The current assumption is that the Council's transformation programme will continue to be financed from a combination of savings and earmarked revenue reserve. This will be kept under review. If capital receipts were to be used then this would reduce the size of the capital investment programme.
20. Similarly, capital receipts can be used to finance the cost of redundancy payments. The Council has an earmarked reserve for such payments (£3.1m) but when this is fully utilised an alternative source of funding will be required.
21. Given the value of bids it is appropriate to consider them against schemes in the current programme that are as yet uncommitted. The table below details these and the budgets totalling £6.6m which could be redirected in support of new priorities in light of the bids coming forward.

Table 5 : Uncommitted schemes in the current programme				
	2015/16	2016/17	2017/18	Total
	£'000	£000	£000	£000
Disabled Facility Grants		1,000	1,000	2,000
Asbestos Management	50	50	50	150
Legionella Control Remedial Works	59	50	50	159
Energy Efficiency & Sustainability Works	100	50	25	175
DDA Compliance Works		100	100	200
Mechanical & Electrical Works	65	200	200	465
Public Building Repair Works		300	300	600
Community Asset Transfer	483	500		983
Allotments - Welfare & Security Works		50		50
Countryside Infrastructure		75		75
Parks Infrastructure		225	200	425
Assistance to Owner Occupiers		100	50	150
Housing Standards / Empty Property Initiatives	100	100		200
Integrated Transport Schemes		500	500	1,000
TOTAL	857	3,300	2,475	6,632

22. Taking into account the level of available internal resources (see table 4) and those budgets as yet uncommitted there is a total of £12.2m to support investment in 2016/19.

23. The total value of new bids received is £23.1m which, if all were added to the Capital Programme, would move the current surplus position to a deficit of £10.9m. This is too large an amount to over-programme given the dwindling level of discretionary resources available.

24. Appendix 1 provides a proposed list of schemes with an estimated cost of £19.7m to be financed from discretionary resources, of which £13.5m are to be funded from capital receipts. The inclusion of these schemes would result in an over-programming position of £1.3m.

2016/19 INDICATIVE PROGRAMME

25. The value of the indicative three year Capital Programme is £90.7m and a summary shown in the table below. At this stage the figures for 2016/17 are known in detail, whereas the external resource position for 2017/18 and 2018/19 is less certain, which means that the programme we are aware of for those two years is at a lower level than in 2016/17, but may increase as additional resources are confirmed.

Table 6: Capital Programme 2016/19 - Analysis by Priority	Budget 2016/17	Budget 2017/18	Budget 2018/19	Budget Total
	£000	£000	£000	£000
Protecting the Asset Base	9,303	4,239	4,050	17,592
Supporting Service Provision	13,164	8,892	8,290	30,346
Supporting the Local Economy	6,535	4,000	1,950	12,485
Investing in New Technology	2,425	0	0	2,425
Investing in Major Infrastructure	18,632	4,200	5,000	27,832
Total Investment	50,059	21,331	19,290	90,680

26. Performance on delivering the investment proposals has been an issue over recent years, with only 65% of the budget utilised in 2014/15 and an expected outturn of 84% of the budget in 2015/16. In order to address this procedures are being implemented to ensure that a full detailed programme of works is provided prior to any new budgets being included in the Capital Programme.

27. In light of this the opportunity has been taken to review the phasing of the proposals and other budgets already included to better reflect the expected delivery of the investment, taking into consideration any funding constraints on external grants. For new internally funded schemes approx. 25% of the budget has been re-phased from 2016/17 and known re-profiling has also been incorporated (e.g. LED Replacement Programme £2.5m).

28. The overall 2016-19 budget remains the same, with the exercise allowing for re-profiling of £6.4m from 2016/17 to 2017/18 and 2018/19. If however there is the potential for any of this to be undertaken in 2016/17 it can be accommodated in the projected resourcing envelope.

29. The result of this re-profiling is shown in an amended summary table below with scheme detail provided in Appendix 2.

Table 7 : Capital Programme 2016/19 - Analysis by Priority	Budget 2016/17	Budget 2017/18	Budget 2018/19	Budget Total
	£000	£000	£000	£000
Protecting the Asset Base	7,263	5,654	4,675	17,592
Supporting Service Provision	12,798	9,158	8,390	30,346
Supporting the Local Economy	5,585	4,850	2,050	12,485
Investing in New Technology	2,015	410	0	2,425
Investing in Major Infrastructure	16,042	6,790	5,000	27,832
Total Investment	43,703	26,862	20,115	90,680

Protecting the Asset Base – This includes investment in public buildings and infrastructure which is crucial in ensuring much needed facilities, used by the public, are kept open as lack of investment will lead to health and safety issues and potential closures.

Supporting Service Provision – This predominantly relates to the continuation of investment in school buildings including a programme that will create 1,750 additional school places across the Borough to address the shortage of primary school places as well as address condition needs.

Supporting the Local Economy – Includes major investment in the Borough's town centres

Investing in New Technology – This investment will support the completion of a number of corporate improvements. Also investment in Telecare products which monitor people at risk in their own homes, improving their safety and helping them to stay independent and healthy for longer.

Investing in Major Infrastructure – This investment includes improvements to 65km of carriageway, 66km of footways, 750 new street lighting columns and replacement of all luminaires, major bridge refurbishments and junction improvements.

PRUDENTIAL INDICATORS

30. The Council is required to set indicators that are designed to support and record decisions taken on affordability and sustainability. There is also a requirement to impose *limits* on the Council's treasury management activities to ensure decisions are made in accordance with professional good practice and risks are appropriate (These are included in the Treasury Management Strategy Report). The Director of Finance will monitor these and report on them at appropriate times. The Council can revise these indicators and limits at any time.
31. All the indicators take account of the proposals in this report and a list of Prudential Indicators is included at Appendix 3.

RECOMMENDATIONS

32. That the Executive:-

- approve the Capital Programme as detailed in the report.
- recommend the Council approve the Capital Programme in the sum of £90.7m for the period 2016/19.
- recommend the Council approve the Prudential Indicators.

Other Options

The Executive could decide to use capital receipts to repay debt which would generate revenue savings on the Medium Term Financial Plan. Based on the level of receipts available this could save approximately £0.2m in 2017/18 rising to £0.3m by 2019/20. However, the proposed application of the capital receipts are to schemes with mandatory requirements or schemes to protect the long-term viability of the Council's assets; enabling efficient and effective service delivery and avoiding potential increases in maintenance costs in future years, the benefits of which are greater than just using the receipts to repay debt.

Consultation

Consultation has taken place with budget holders, responsible officers and professional services to ascertain the new projects to be put forward for inclusion in the Capital Investment Programme for 2016/19.

Reasons for the Recommendation

The Authority is regularly assessed on the performance of its Capital Programme and how delivery matches corporate policies and proposed spending plans. To reflect budgets in line with revised expectations will assist in evidencing that compliance with the above is being met.

Finance Officer Clearance (type in initials)GB.....

Legal Officer Clearance (type in initials)HK.....

Director of Finance *Signature appended in hard copy*

To confirm that the Financial and Legal Implications have been considered and the Executive Member has cleared the report.

2016/19 CAPITAL PROGRAMME : NEW START PROPOSALS	Service Area	2016/17	2017/18	2018/19	Total
		£'000	£'000	£'000	£'000
Schemes of a Mandatory / Contractual Nature					
Disabled Facilities Grants	CFW	650	650	650	1,950
Disabled Access Works (DDA)	EGEI	200	200	200	600
Timperley Sports Club – Artificial Pitch Replacement	T&R			350	350
Sub-total		850	850	1,200	2,900
Invest to save schemes					
Adult Social Care - Assistive Technology	CFW	300			300
Corporate Landlord – Asset Management System	EGEI	250			250
Sub-total		550			550
Schemes that protect the asset base					
Mechanical & Electrical Works	EGEI	100	100	100	300
Public Building Repairs	EGEI	800	750	750	2,300
Leisure Assets – Property repairs	EGEI	502			502
Altrincham Leisure Centre - Roof	EGEI	102			102
Stretford Leisure Centre - Roof	EGEI	100			100
Highway Structural Maintenance Works	EGEI	1,700	400	400	2,500
Street Lighting Column Replacement	EGEI		650		650
Car park Improvements	EGEI	115			115
Parking – Electronic Permit Signs	EGEI	30			30
Allotments - Welfare & Security Works	EGEI	50			50
Countryside Infrastructure	EGEI	75			75
Parks Infrastructure	EGEI	225	200		425
Park Gates - Replacements	EGEI	35	20		55
Play Area Refurbishments	EGEI	250			250
Waterside Arts Centre – Lighting Upgrade	T&R	95			95
ICT – Wifi controller upgrade	T&R	45			45
Sub-total		4,224	2,120	1,250	7,594
Council Priorities					
CCTV – Upgrade to equipment and connectivity	T&R	320			320
Trafford & GMP – HR Shared Service	T&R	485			485
Libraries – RFID Self-serve Kiosks	T&R	180			180
Sub-total		985			985

2016/19 CAPITAL PROGRAMME : NEW START PROPOSALS	Service Area	2016/17	2017/18	2018/19	Total
		£'000	£'000	£'000	£'000
Other Priorities					
Integrated Transport Plan Works	EGEI	500	500	500	1,500
Sub-total		500	500	500	1,500
Prudential Borrowing					
Dunham Cemetery Bungalow - Development	EGEI	35			35
Relocation of depot facilities	EGEI	5,700	400		6,100
Sub-total		5,735	400		6,135
TOTAL PROPOSALS		12,844	3,870	2,950	19,664

2016/2019 INDICATIVE CAPITAL PROGRAMME			
	2016/17	2017/18	2018/19
DESCRIPTION	£000	£000	£000
Children's			
Basic Need : School Places & Condition Issues	8,139	6,573	6,000
Devolved Formula Capital	590	490	490
Capital Maintenance Grant	3,294	1,929	1,900
UIFSM – Flixton Infant School	10		
Sub-total	12,033	8,992	8,390
Adults			
Assistive Technology – Care Support	300		
Disabled Facility Grants	1,800	1,700	1,700
Sub-total	2,100	1,700	1,700
Economic Growth, Environment & Infrastructure			
Mechanical & Electrical Works	75	100	125
DDA Compliance	150	225	225
Public Building Repairs	600	750	950
Leisure Services Assets – Improvement Programme	527	127	50
Corporate Landlord – Asset Management System	185	65	
Relocation of Depot Facilities	5,700	400	
Lancashire CCC – New hotel development	1,600	2,400	
Altrincham – Library / Community Facility	1,000	700	
Altrincham Town Centre – Public Realm	1,150		
Stretford Town Centre – Public Realm	1,000	750	
Integrated Transport Schemes	392	558	550
Congestion Performance Works	77		
Altrincham Interchange	850		
A56/Davyhulme Rd East, Stretford – Junction Improvements	50		
Public Transport - S106s Projects	190	100	
Trans Pennine Trail – Urmston to Ashton-on-Mersey	97		
Altrincham Town Centre – Cycle Link	400		
Cycle City Ambition Grant	1,413		
Trafford Park Metrolink - S106 Contribution	2,000	2,000	5,000
Highways Structural Maintenance	3,234	2,869	2,700
Street Lighting – LED Programme & Column Replacement	4,765	4,290	

	2016/17	2017/18	2018/19
DESCRIPTION	£000	£000	£000
Parks Infrastructure	225	125	75
Countryside Infrastructure	75		
Allotments - Welfare & Security Works	50		
Parks Gates – Replacements	35	20	
Play Areas Refurbishments	175	75	
Housing Standards / Empty Property Initiatives	100	46	
Car Park Improvements	115		
Parking – Electronic Permit Signs	30		
Sub-total	27,095	15,600	9,675
Transformation & Resources			
Timperley Sports Club – Artificial Pitch			350
Waterside Arts Centre – Building Improvements	70	25	
CCTV – Upgrade to system & connectivity	240	80	
Libraries – RFID self-serve kiosks	135	45	
Trafford & GMP- HR Shared Service Centre	365	120	
CRM Upgrade & Project Team	1,000		
Electronic Data Records Management System (EDRMS)	400	200	
Web / Customer Strategy	200	100	
WiFi controller upgrade	45		
Insurance – Claims Management System	20		
Sub-total	2,475	570	350
TOTAL	43,703	26,862	20,115

Prudential Indicators – Estimates 2016/19

Capital Prudential Indicators	2015/16 Estimate £m	2016/17 Estimate £m	2017/18 Estimate £m	2018/19 Estimate £m
Capital Expenditure	44.6	43.7	26.9	20.1
Capital expenditure - the table above shows the estimated capital expenditure to be incurred for 2015/16 and the following three years.				
Capital Financing Requirement as at 31 March	135.4	144.0	146.3	141.0
Capital Financing Requirement (CFR) - this reflects the estimated need to borrow for capital investment (i.e. the anticipated level of capital expenditure not financed from capital grants and contributions, revenue or capital receipts).				
Financing Cost to Net Revenue Stream	6.1%	6.2%	7.0%	7.0%
Financing costs to net revenue stream - this indicator shows the trend in the cost of capital (borrowing and other long term obligation costs net of investment income) against the Council's net revenue stream. The increase at 2017/18 is due to a reduction in the net revenue stream as a result of a reduction in settlement funding.				
Incremental Impact on Band D Council Tax (£)	0.00	0.00	0.00	0.00
Incremental impact on band D council tax – reflects the incremental impact on the Council Tax arising from new borrowing undertaken in order to finance the capital investment decisions taken by the Council during the budget cycle. The figures above reflect that any additional borrowing is supported by revenue savings or external support.				

All the prudential indicators are monitored on a regular basis. If the situation arises that any of the prudential indicators appear that they will be breached for a sustained period, then this will be reported to the Council at the earliest opportunity.

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TRAFFORD COUNCIL

Report to: Accounts & Audit Committee
Executive & Council Meetings
Date: 9 February 2016
17 February 2016
Report for: Decision
Report of: The Executive Member for Finance and Director of Finance

Report Title

TREASURY MANAGEMENT STRATEGY 2016/17 – 2018/19

Summary

This report outlines the:-

- strategy to be followed during this period for investments and borrowing,
- outlook for interest rates,
- management of associated risks,
- policy to be adopted on Minimum Revenue Provision and
- Prudential Indicators for 2016/17 – 2018/19.

Recommendations

That the Accounts & Audit Committee & Executive recommend to Council for approval the:

- policy on debt strategy for 2016/17 to 2018/19 as set out in section 3;
- investment strategy for 2016/17 to 2018/19 as set out in section 5;
- Prudential Indicators and limits including the Authorised Limit (as required by section 3(1) of the Local Government Act 2003), Operational Boundary, Minimum Revenue Provision Statement and Investment criteria as detailed in Appendix 3.

Contact person for access to background papers and further information:

Name: Graham Perkins
Extension: 4017

Background papers: None

Relationship to Policy Framework / Corporate Priorities	Value for Money
Financial	The treasury management strategy will aim to maximise investment interest whilst minimising risk to the Council. The Council's debt position will be administered effectively with any new loans taken at rates of interest in-line with the Medium Term Financial Plan provision.
Legal Implications:	Actions being taken are in accordance with legislation, Department of Communities & Local Government (DCLG) Guidance, Chartered Institute of Public Finance & Accountancy (CIPFA) Prudential Code and Treasury Management Code of Practice.
Equality/Diversity Implications	Any equality and diversity implications are as set out in this report
Sustainability Implications	Not applicable
Staffing/E-Government/Asset Management Implications	Not applicable
Risk Management Implications	The monitoring and control of risk underpins all treasury management activities and these factors have been incorporated into the treasury management systems and procedures which are independently tested on a regular basis. The Council's in-house treasury management team continually monitor to ensure that the main risks associated with this function of adverse or unforeseen fluctuations in interest rates are avoided and security of capital sums are maintained at all times.
Health and Safety Implications	Not applicable

Summary

This report outlines the expected treasury activities for the forthcoming three years and has been prepared in accordance with the Council's Financial Procedure Rules. Additional treasury management reports are produced during the course of the year reporting actual activity for the preceding year and a mid-year update.

Economic situation (Appendix 2)

The World economic situation continues to remain finely balanced with the US & UK reporting respectable growth figures compared to the other major economies.

During 2015 the main economic headlines were:

- UK reported positive growth throughout 2015 with the economy continuing to be one of the strongest of the developed nations. Unemployment reached 5.2% in October, its lowest level since May 2008;
- The Euro Central Bank commenced a €1.1 trillion programme of quantitative easing and Greece continues to remain an issue;
- US Central bank increased its bank rate from 0.25% to 0.50% in December, the first increase since 2008; and
- China's Government implemented several stimulus measures in order to ensure the economy hit a growth target of 7%, however despite this action a return of 6.9% was achieved, the lowest level in 25 years. Many commentators still have concerns that recent growth figures may have been massaged to hide a more accurate lower growth position. In addition to this, during the Summer months, China's stock market encountered a period of falling prices.
- Japan entered recession for the 4th time in 5 years.

Debt (Section 3)

Borrowing interest rates are expected to continue at their historically low levels during the next 12 months before steadily increasing. Any new external borrowing will be taken in order to (a) assist finance the Council's capital Investment programme and (b) commence to address the current underborrowed position, as described at paragraph 3.2 and outlined at paragraph 3.3.

Debt restructuring exercises will only be undertaken in order to produce revenue savings or lower overall treasury risk.

Investments (See Section 5 and Appendix 3)

The primary principles governing the Council's investment criteria remains unchanged from that previously adopted of security of capital first, liquidity of its cash flows and finally yield.

The Council is required to agree the lending criteria, which is primarily determined by credit ratings issued by the 3 major credit rating agencies as detailed at Appendix 3.

Prudential Indicators and limits (Section 7 and Appendix 3)

The Council is required to approve a set of Prudential Indicators and limits which ensure the Council's capital expenditure plans and borrowing remain robust, prudent, affordable and sustainable. These are detailed at Appendix 3 for Member approval.

1. Background

1.1 The main treasury management activities are outlined below:

- ensure that adequate cash is available to meet the Council's cash flow requirements;
- manage its long and short term loans;
- invest any temporary surplus monies which become available during the year in low risk counterparties or instruments commensurate with the Council's low risk appetite, providing adequate liquidity before considering investment return;
- undertake any long term funding requirements of the Council's capital investment programme with the use of longer term cash flow planning and may involve arranging long or short term loans; and
- on occasion, carry out any debt restructuring exercises on its existing loans in order to meet Council risk or cost objective.

1.2 All transactions undertaken as part of the treasury management operation will comply with all the statutory requirements together with the DCLG Guidance, CIPFA Treasury Management Code of Practice which the Council has adopted. A brief outline of these has been provided at Appendix 1.

1.3 Each year in order to comply with the requirements of both the CIPFA Code of Practice on Treasury Management (the Code) and the CIPFA Prudential Code for Capital Finance in Local Authorities (the Prudential Code), Members are required to receive, consider, scrutinise and approve, a minimum of three reports annually, which incorporate a variety of policies, estimates and actuals as follows;

- Annual treasury strategy for the year ahead (February i.e. this report).
- Mid-year update report (November).
- Annual report on the activity undertaken compared to the strategy (June).

1.4 The Council uses Capita Asset Services as its treasury management advisors who provide a range of services on all treasury matters from the supply of credit ratings to technical support and this service is subject to regular review.

1.5 Whilst the advisors provide support to the internal treasury management team, the Council recognises that the final decision on all treasury management matters remains with the organisation at all times.

1.6 The Council recognises the importance of ensuring that all Members and staff involved in the treasury management function receive adequate training and are fully equipped to undertake the duties and responsibilities allocated to them by ensuring that;

- Members will continue to have access to training which will be relevant to their needs & responsibilities;
- Officers will attend courses / seminars presented by CIPFA, Advisors and any other suitable professional organisation, in accordance with Council policy on this issue.

1.7 Excluded from this report are the activities carried out by the Council's schools, which operate within a separate criteria as stipulated by the Director of Finance and in accordance with the Council's Financial Procedure Rules.

2. Economic & Interest Rate forecast

- 2.1 The Worldwide economic situation, continues to remain in a delicate position with only the US & UK reporting respective levels of Gross Domestic Product compared to other countries economies during 2015. Markets are closely following the current economic situation in China and Greece continues to remain an issue.
- 2.2 Further details on the major economic events which occurred during 2015 and forecasts for 2016/17 are outlined at Appendix 2 for reference.
- 2.3 Capita, the Council's external treasury management advisors, produces interest rate forecasts periodically throughout the year and the latest position, up to March 2019 are highlighted in the table below;

Annual Average	Bank Rate (%)	Investment Rates (%)		Borrowing Rates (%)	
		3 month LIBID	1 year LIBID	5 year	25 year
2015/16	0.50	0.52	1.00	2.00	3.40
2016/17	0.63	0.70	1.15	2.25	3.55
2017/18	1.13	1.20	1.70	2.65	3.85
2018/19	1.63	1.70	2.20	3.05	4.08

- 2.4 The risk to the above forecast will be if the economic recovery from the recession proves to be weaker and slower than currently expected, it is likely rates would remain low for longer.
- 2.5 The Council's advisors have stated that the economic situation and outlook still remains uncertain and as a result of this the Council will therefore continue to take a cautious approach to its treasury strategy during this period.

3. Debt Strategy 2016/17 – 2018/19

- 3.1 The Council has the powers to borrow new funds from the Government (Public Works Loan Board, (PWLB) and dedicated Publicly funded companies set up to solely lend funds to the public sector e.g. Salix), Municipal Bond Agency or the money market providing it is to assist short term cash flow or finance longer term capital investment.
- 3.2 The table below shows the actual current external debt levels, with forward projections, against the underlying capital borrowing need (the Capital Financing Requirement - CFR) highlighting the Council's under-borrowing position. Interest rates are at historically low long term levels and the table includes an assumed take up of new borrowing during the remainder of 2015/16 and 2016/17.

	2015/16	2016/17	2017/18	2018/19
	Estimate £000	Estimate £000	Estimate £000	Estimate £000
Debt at 1 April	94,992	104,107	114,915	116,181
Debt maturing	(1,770)	(3,747)	(2,684)	(2,578)
New Debt	10,885	14,555	3,950	0
Debt at 31 March	104,107	114,915	116,181	113,603
Capital Financing Requirement at 31 March	135,431	144,007	146,343	141,022
Under borrow at 31 March	31,324	29,092	30,162	27,419

- 3.3 It can be seen from the above table that the Council is currently maintaining an under-borrowed position arising from decisions taken previously not to finance capital spending from new external loans. Instead cash supporting the Council's reserves, balances and cash flow has been temporarily used to finance this requirement.
- 3.4 The Director of Finance will monitor the interest rate market and adopt a pragmatic approach to changing circumstances within the 2016/17 treasury operations. Any new borrowing undertaken will be to (a) assist finance the Council's capital Investment programme and (b) start to replace funds previously used to finance capital spend (underborrowed position) and will be subject to favourable interest rates, being available permitting this course of action.
- 3.5 The Council holds £56m of Lender's Option Borrower's Option (LOBO) loans where the lender has the option to propose an increase in the interest rate at set dates, following which the Council has the option to either accept the new rate or to repay the loan at no additional cost. Currently, £51m, of these loans have options during 2016/17 and although the Director of Finance understands that lenders are unlikely to exercise their option in the current low interest rate environment, there remains a possibility that this could occur. In accordance with the Director of Finance's delegated authority, should an opportunity present itself to repay a LOBO loan at no cost, then this option will be taken and the situation assessed as to whether or not a replacement loan is taken from the PWLB.
- 3.6 In addition to the borrowing undertaken directly, the Council is also responsible for a further £0.8m which is administered by Tameside Borough Council. This follows the conversion in February 2010 of loans previously held on behalf of Manchester International Airport into an equity rated instrument.
- 3.7 As short term borrowing rates will be cheaper than longer term fixed interest rates, there may be potential opportunities in the future to generate revenue savings by switching from long term debt to short term debt. However the cost of premiums incurred, due to early repayment, will also need to be taken into account before any restructuring is undertaken.
- 3.8 The Council retains the flexibility to borrow funds in advance of requirement should market conditions unexpectedly change i.e. anticipate a sharp rise in interest rates, however funds will not be taken purely in order to profit from investment of the extra sums borrowed. This course of action will be done in accordance with the Director of Finance's delegated powers and reported to Members through either the mid-year or annual reporting mechanism.

- 3.9 Any borrowing undertaken in this way by The Director of Finance will be done within the constraints stated below;
- no more than 50% of the expected increase in borrowing need (CFR) over the three year planning period is to be taken in this manner and
 - borrowing only up to a maximum 12 months in advance of need.
- 3.10 A breakdown of the Council's expected debt maturity profile as at 31 March 2016 is provided at Appendix 4 for reference which also shows, in accordance with the Code of Practice, the potential first date the lending banks could amend the rate of interest for the market loans.
- 3.11 The Council is required to approve;
- the above debt strategy and
 - as part of the Prudential Indicators and Limits requirement, the limits for external debt in accordance with the Local Government Act 2003, having regard for CIPFA's prudential code before the commencement of each financial year. These limits are detailed at Appendix 3 for Council approval.

4. Minimum Revenue Provision Strategy

- 4.1 The Council is required to set aside an amount each year for the repayment of debt (by reducing the CFR), through a revenue charge called the Minimum Revenue Provision (MRP). In addition, the Council is also allowed to undertake voluntary revenue payments (VRP).
- 4.2 During 2015/16 the Council undertook an extensive exercise reviewing how it calculates MRP costs for debt incurred on capital expenditure prior to 2008.
- 4.3 As a result of this review, a change in policy was approved by Council at its January 2016 meeting and there will be no change to this in 2016/17. As part of the Prudential Indicators and Limits requirement Members are requested to approve the MRP statement as detailed at Appendix 3.

5. Investment Strategy

- 5.1 The Council undertakes investments, from income temporarily available which has been received in advance of spend and from its balances and reserves which it holds. This function is undertaken with regard to the DCLG's Guidance on Local Government Investments together with the revised CIPFA Treasury Management in Public Services Code of Practice.
- 5.2 The primary principle governing the Council's investment criteria is the security of its investments, followed by liquidity whilst ensuring that a reasonable level of return is also achieved. After these main principles, the Council will ensure that it maintains a policy covering the categories of investment types it will invest in, criteria for choosing investment counterparties with adequate security, and monitoring their security. This is set out in the specified and non-specified investment sections at Appendix 3.
- 5.3 To ensure that investments are only placed with strong creditworthy institutions, a counterparty list is produced and maintained based on credit ratings from two of the three independent rating agencies (Fitch, Moody's and Standard and Poor's) and these must meet the minimum levels required by the Council as shown at Appendix 3.

- 5.4 This approach uses real time credit rating information provided by the Council's advisers Capita and enables an institution to be included on this list, using the latest ratings.
- 5.5 Any institution featuring on the Council's approved list which incurs a negative rating change taking it below the minimum credit criteria required, will immediately be suspended from use and removed from the authorised list.
- 5.6 Whilst investment risk cannot entirely be eliminated, it can be minimised and in order to reduce the risk of an institution defaulting, the Director of Finance recommends to continue with the current practice of institutions only being included on the Council's lending list which have minimum credit rating as follows;
- Short Term – Fitch F1 or equivalent
 - Long Term – Fitch A- or equivalent
- 5.7 A full explanation of the credit ratings determining the institutions which the Council will use can be found at Appendix 5.
- 5.8 Whilst Members are asked to approve this base criteria, the Director of Finance may temporarily restrict further investment activity to those institutions considered of higher credit quality than the minimum criteria set out for approval should any exceptional market conditions be encountered.
- 5.9 The Council's officers further recognise that ratings should not be the sole determinant of the quality of an institution and that it is important to continually assess and monitor each institution in relation to the economic and political environments in which they operate. For this purpose, the Council will with the assistance of its advisers, monitor market opinions, financial press, equity & credit default swap prices and overlay this information on top of the credit ratings. This additional market information is detailed for Members' reference at Appendix 5.
- 5.10 In addition to the Council's list of high quality investment institutions, further factors will also be used in order to reduce any potential exposure of its investments including time and value limits as explained in more detail at Appendix 3 together with how much in total can be placed in non-UK institutions, Groups and Sectors which is shown in more detail at Appendix 5.
- 5.11 Investments will continue to be placed into three categories as follows;
- Short-term – cash required to meet known cash flow outgoings in the next month, plus a contingency to cover any unexpected transaction over the same period with bank call accounts, money market funds and certificates of deposits being the main methods used for this purpose.
 - Medium-term – cash required to manage the annual seasonal cash flow cycle covering the next 12 months and will generally be in the form of fixed term deposits and enhanced money market funds.
 - Long-term – cash not required to meet any forthcoming cash flow requirements which can be used primarily to generate investment income by using fixed or structured term deposits, certificates of deposits, government bonds or the Local Authority Property Investment fund, after taking into consideration the forecasted interest rate yield curve.
- 5.12 The use of longer term instruments (greater than one year from inception to repayment) will fall in the Non-specified investment category. These instruments will only be used where the Council's liquidity requirements are safeguarded and will be limited to the Prudential Indicator detailed at Appendix 3.

- 5.13 A breakdown of the Council's investments as at 31 January 2016 is provided for reference at Appendix 6.
- 5.14 The Council is requested to approve;
- the adoption of above Investment strategy and
 - the minimum criteria for providing a list of high quality investment institutions, instruments and limits to be applied are highlighted at Appendix 3.

6. Investment Risk Benchmarking

- 6.1 The Code of Practice and DCLG Investment Guidance require that appropriate security and liquidity benchmarks are considered and reported to Members and these are explained in more detail in Appendix 5.
- 6.2 These benchmarks are simple guides to maximum risk (not limits) for use with cash deposits and so may be exceeded from time to time, depending on movements in interest rates and institution criteria. The purpose of the benchmark is to assist officers to monitor the current and trend position and amend the operational strategy to manage risk as conditions change. Any breach of the benchmarks will be reported to Members, with supporting reasons in the Mid-Year or Annual Report. For reference these benchmarks will be;
- Security - each individual year the security benchmark is:

1 year investments	2 year investments	3 year investments
0.077%	0.056%	0.077%

Note - This benchmark is an average risk of default measure and would not constitute an expectation of loss against a particular investment.

- Liquidity – Weighted Average Life (WAL) - benchmark for 2016/17 is set at 6 months, with a maximum of 3 years for cash time deposits
Liquid short term deposits - at least £15m are available with a week's notice
- Yield - Internal returns are required to achieve above the 7 day London Interbank Deposit (LIBID) rate.

7. Prudential Indicators

- 7.1 A number of prudential indicators have been devised for both the treasury management and capital operations. These are designed to assist managing risk and reducing the impact of an adverse movement in interest rate as well as ensuring that the Council's capital expenditure plans are prudent, affordable and sustainable. These indicators have been set in order that they are not too restrictive thereby impairing the opportunities to reduce costs and reflect the capital programme proposals, included within the main budget report.
- 7.2 Members are requested to approve the Prudential Indicators for Council's treasury management activities as detailed at Appendix 3.

8. Recommendations

That the Accounts & Audit Committee and Executive recommend to Council the key elements of this report for approval which are as follows;-

- policy on debt strategy for 2016/17 to 2018/19 as set out in section 3;
- investment strategy for 2016/17 to 2018/19 as set out in section 5;
- Prudential Indicators and limits including the Authorised Limit (as required by section 3(1) of the Local Government Act 2003), The Minimum Revenue Provision Statement and Investment criteria as detailed in Appendix 3.

Other Options

This report has been produced in order to comply with Financial Procedure Rules and relevant legislation. It provides a plan of action for the period 2016/17 to 2018/19, which is flexible enough to take account of changes in financial markets.

Consultation

Advice has been obtained from Capita, the Council's external advisors.

Reasons for Recommendation

The Financial Procedure Rules, incorporating the requirements of the revised CIPFA Prudential Code and the CIPFA Treasury Management Code requires that the annual strategy report is an essential control over treasury management activities whereby Members approve the parameters under which officers will operate. In addition The Local Government Act 2003 requires that the Council approves an annual borrowing limit (the Authorised Limit) and DCLG Guidance an annual investment strategy (setting out the limits to investment activities) prior to the commencement of each financial year.

Key Decision

This will be a key decision likely to be taken in: February 2016

This is a key decision currently on the Forward Plan: Yes

Finance Officer Clearance ...ID... ..

Legal Officer Clearance ...HK

Director of Finance Signature *Appended in hard copy*

STATUTORY FRAMEWORK

Local Government Act 2003

In accordance with the Local Government Act 2003 (and supporting regulations and guidance) each Council must before the commencement of each financial year, produce a report fulfilling three key requirements as stipulated below;

- The debt strategy in accordance with the CIPFA Code of Practice on Treasury Management (section 3);
- The investment strategy in accordance with the DCLG investment guidance (section 5);
- The reporting of the prudential indicators as required by the CIPFA Prudential Code for Capital Finance in Local Authorities (Appendix 3).

CIPFA Code of Practice

The Council's treasury activities are strictly regulated by statutory requirements in conjunction with a professional code of practice (the CIPFA Treasury Management Code of Practice). This Council adopted the Code of Practice on Treasury Management on 24 April 2002 and followed recommended practices by considering an annual Treasury Management Strategy before the commencement of each financial year. These Codes are revised from time to time and the Council complies with any revisions.

CIPFA defines treasury management as *“The management of the organisation's investments and cash flows, its banking, money market and capital market transactions(debt); the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks”*.

Investment Guidance

DCLG issued Investment Guidance in March 2010 and this forms the structure of the Council's policy below:

- The strategic guidelines for decision making on investments, particularly non-specified investments;
- Specified investments that the Council will use. These are high security (no guidelines are given defining what this should consist of and each individual Council is required to state what this should be i.e. high credit ratings), high liquidity investments in sterling and with a maturity of no more than a year;
- Non-specified investments, clarifying the greater risk implications, identifying the general types of investment that may be used and a limit to the overall amount of various categories that can be held at any time;
- The principles to be used to determine the maximum periods for which funds can be committed.

MAIN ECONOMIC HEADLINES DURING 2015/16**UK -**

- Annualised Gross Domestic Product (GDP) grew by 2.2% in 2015 and despite this being slower to that reported for 2014 of 2.9%, it is still one of the strongest economies of the developed nations;
- Consumer Price Index (CPI) was around 0% for the majority of 2015, with the latest position showing 0.20% for December 2015;
- Average weekly earnings were 3.0%;
- Monetary Policy Committee (MPC) left both the Bank Rate and Quantative Easing levels unchanged at 0.5% (the lowest level since 1692) and £375bn respectively;
- The level of unemployment benefit claimants fell to 5.2% in October 2015, it's lowest since May 2008 years.

Eurozone –

- GDP remains weak at 1.5% with concerns on how the slowdown in both the Chinese and Japanese economies will effect this;
- CPI continued to hover around 0% for 2015 and includes some countries with negative rate (deflation). The latest position for December was unchanged from that reported in November of 0.2%;
- Unemployment rate continues to be a problem at 10.7%;
- Greece continued to be a cause for concern but finally relented to EU demands for a major programme of austerity to be implemented, receiving a third bailout package of €86bn, its banking systems being damaged and holding a surprise general election. Concerns remain as to whether the size of cuts and degree of reforms required can be fully implemented thereby avoiding a Greek exit from the euro.
- European Central Bank in March 2015 commenced a €1.1 trillion programme of quantitative easing buying up high credit quality government and other debt of selected EZ countries which is intended to run to September 2016. Its central policy rate remains at 0.05%.

US –

- GDP is currently forecasted to be 2.1% for 2015;
- The Federal Reserve for the first time since 2008, increased the Bank rate in December by 0.25% to 0.50%;
- Unemployment levels fall to 5.0% in November 2015, their lowest levels in 7 years;
- CPI 0.2% in November 2015.

Other –

- China's Growth rate for 2015 was 6.9% the lowest level in 25 years. There are market concerns that recent growth figures have been massaged to mask a downturn to a lower growth figure. During the Summer months China's stock market encountered a period of falling prices.

- Japan is causing considerable concern as growth in quarters 2 & 3 shrank by 0.7% & 0.8% respectively pushing it back into recession for the fourth time in five years.

MAIN ECONOMIC FORECASTS FOR 2016/17

Economic forecasting remains difficult, particularly with many so external influences affecting the UK and currently forecasters are predicting the following average levels of activity;

Indicator	UK	Eurozone	US	China
Growth Domestic Product	2.5%	1.6%	2.2%	6.6%
Consumer Price Index	1.2%	0.4%	0.9%	2.3%
Unemployment Rate	5.9%	10.6%	5.1%	4.0%
Bank Rate	0.75% (0.25% increase to 0.75% expected Qtr 4 2016)	0.05%	1.30%	4.00%

ELEMENTS FOR COUNCIL APPROVAL
(including Prudential and Treasury Indicators, Minimum Revenue Provision & Investment Criteria)

In accordance with DCLG Guidance, the CIPFA Prudential Code and the CIPFA Code of Practice on Treasury Management each council is required to set, before the commencement of each financial year, Treasury Management Prudential Indicators and limits, a Minimum Revenue Provision Statement and Investment criteria.

The Accounts and Audit Committee and Executive are requested to recommend that Council approve these for the period 2016/17 – 2018/19 as detailed below.

TREASURY PRUDENTIAL INDICATORS AND LIMITS –

In accordance with the CIPFA Prudential code, the Council is required to produce prudential indicators and limits reflecting the expected capital activity regarding its capital investment programme. These have an impact on the Council's treasury management activities and the Council is required to approve the prudential indicators and limits affecting treasury management performance as shown below;

	2015/16 estimate £m	2016/17 estimate £m	2017/18 estimate £m	2018/19 estimate £m
Upper Limits – Fixed interest rate exposure	2.7	2.8	2.7	2.4
Upper Limits – Variable interest rate exposure	3.2	3.3	3.3	3.5
Upper Interest Limits – identifies the maximum limit for both fixed and variable interest rates exposure based upon the Council's debt position net of investments (debt interest payable less investment interest receivable).				
Authorised Limit for External debt				
-External debt (01.04)	130.0	136.0	134.0	133.0
-Other long term Liabilities (PFI)	6.0	5.8	5.6	5.4
Total	136.0	141.8	139.6	138.4
Authorised external debt limit - maximum level of external debt that the authority will require to cover all known potential requirements and includes headroom to cover the risk of short-term cash flow variations that could lead to a need for temporary borrowing. This limit needs to be set or revised by Council and is the statutory limit determined under section 3(1) of the Local Government Act 2003.				

	2015/16 estimate £m	2016/17 estimate £m	2017/18 estimate £m	2018/19 estimate £m
Operational Boundary for External debt				
-External debt (01.04)	115.0	120.0	120.0	118.0
-Other long term Liabilities (PFI)	6.0	5.8	5.6	5.4
Total	121.0	125.8	125.6	123.4
Operational boundary - calculated on a similar basis as the authorised limit but represents the likely level of external debt that may be reached during the course of the year excluding any temporary borrowing and is not a limit.				
Upper limit for sums invested over 364 days	70	70	70	70
Upper Limit for sums invested for over 364 days – these limits are set with regard to the Council’s liquidity requirements and to reduce the need for early sale of an investment. Included within this limit are Manchester Airport Shares which at 31 March 2015 were independently valued at £41.0m and the Church Commissioners Local Authorities Property Investment Fund investment of £5m.				
Gross debt and Capital Financing Requirement				
-External debt (01.04)	115.0	120.0	120.0	118.0
-Other long term Liabilities (PFI)	6.0	5.8	5.6	5.4
Gross debt	121.0	125.8	125.6	123.4
-C.F.R.	135.4	144.0	146.3	141.0
Excess C.F.R.	14.4	18.2	20.7	17.6
Gross Debt and the Capital Financing Requirement – this indicator reflects that over the medium term, debt will only be for capital purposes. The Director of Finance will ensure that all external debt does not exceed the capital financing requirement with any exceptions being reported to Council.				
Maturity structure of borrowing – 2016/17 to 2018/19	Lower limit %		Upper limit %	
Under 12 months	0		70	
12 months to 2 years	0		30	
2 years to 5 years	0		30	
5 years to 10 years	0		30	
10 years to 20 years	0		30	

Maturity structure of borrowing – 2016/17 to 2018/19 (cont.)	Lower limit %	Upper limit %
20 years to 30 years	0	30
30 years to 40 years	0	30
40 years and above	0	30
<p>Maturity Structure of Borrowing – these gross limits are set to reduce the Council’s exposure to large sums falling due for refinancing and this indicator reflects the next date on which the lending bank can amend the interest rate for the Lender Option Borrower Option loans.</p>		

All the treasury prudential indicators and limits are monitored on a regular basis. If the situation arises that any of these appear that they will be breached for a sustained period, then this will be reported to Council at the earliest opportunity.

MINIMUM REVENUE PROVISION - (no change from the policy approved January 2016 by Council)

In accordance with DCLG Guidance, the Council shall determine for the current financial year, an amount of minimum revenue provision that it considers to be prudent and submit an MRP Statement setting out its policy for its annual MRP to Council for approval. The following MRP Statement has been prepared in accordance with the Council’s accounting procedures and is recommended for approval:

- Capital expenditure incurred before 1 April 2008 financed by Supported Borrowing: MRP will be calculated on a straight line basis over the expected average useful life of the assets (50yrs);
- Capital expenditure incurred after 1 April 2008 financed by Prudential Borrowing: MRP will be based on the estimated life of the assets once operational charged on a straight line basis or annuity basis in accordance with the Guidance;
- PFI schemes and leases shown on the balance sheet: MRP will be based on the amount of the principal element within the annual unitary service payment and financed from the provision set-up to cover the final bullet payment. Capital receipts are to be used to replenish this provision to ensure this final bullet payment can still be made in 2028/29
- For expenditure that does not create an asset, or following the use of a Capitalisation Direction: provision will be made over a period not exceeding 20 years, in accordance with Guidance.
- In instances where the Council incurs borrowing and a third party is obliged to repay the principal (serviced debt arrangements): the Council will not charge MRP to the revenue account. An example of such an instance can be demonstrated when the Council participated in the national Local Authority Mortgage Scheme using the cash backed option with Lloyds bank. This involved the Council placing a five year deposit totalling £1m, in 2013/14, with the bank matching the five year life of the indemnities. This deposit provides an integral part of the mortgage lending, and is treated as capital expenditure and a loan to a third party. The C.F.R.will increase by the amount of the total indemnity. The deposit is due to be returned in full at maturity and once received will be classed as a capital receipt, and the CFR will reduce

accordingly. As this is a temporary (five years) arrangement and the funds will be returned in full, there is no need to set aside prudent provision to repay the debt liability in the interim period, so there is no MRP application.

INVESTMENT CRITERIA – (recommended changes as highlighted)

Counterparty Selection

The minimum criteria for providing a list of high quality investment counterparties is highlighted in the categories 1 to 4 below and are to be applied for both Specified (maximum period 1Year) and Non-specified investments (maximum period 3 Years). Category 5 applies to The Church Commissioners Local Authorities Property Investment fund only;

	Fitch (or equivalent) – Long Term	Maximum Group Limit	Maximum Time Limit	
<p>Category 1 – All UK or Non UK banks with their subsidiaries which meet the necessary ratings or has a parent bank guarantee in place and building societies domiciled in a non-UK country which has a minimum Sovereign long term rating of AA- and individual credit rating issued by Fitch, Moody’s and Standard and Poor’s of:</p> <ul style="list-style-type: none"> • Short Term – Fitch F1 or equivalent • Long Term – Fitch A- or equivalent <p>This amendment is reflective that the rating agencies have concluded their reassessment of their ratings under their revised methodologies. This action has generated more certainty over underlying ratings thereby allowing the Council to become more prescriptive in the limits it applies. Importantly there is no change to the minimum credit rating required.</p>	AA to AAA	£20m	3yrs	
	A+ to AA-	£10m	1Yr	
	A- to A	£5m	1yr	
	Current limit			
	AA to AAA A- to AA-	£20m £5m	3yrs 1yr	
<p>Category 2 – UK Banks part nationalised - Royal Bank of Scotland. This bank or its subsidiaries can be included provided it continues to be part nationalised or meets the ratings in category1 above.</p>		£20m	1yr	
<p>Category 3 – The Council’s own banker for transactional purposes if the bank falls below the above criteria.</p>		n/a	1day	
<p>Category 4 –</p> <ul style="list-style-type: none"> • Money Market Funds – must be AAA credit rated • Enhanced Money Market Funds – must be AAA credit rated • UK Government (including treasury bills, 		£20m	3yrs	

gilts and the DMO) • Local Authorities • Greater Manchester Pension Fund • Supranational Institutions • Corporate bonds (Manchester Airport Group)			
Category 5 – • Local Authority Property Investment fund		£10m	10yrs

Specified and Non Specified Investments – (recommended changes as highlighted)

In accordance with the Code of Practice, the Council is required to set a criteria which identifies its investments between Specified and Non Specified investments and these are classified as follows;

- Specified investments are high security and high liquidity investments with a maturity of no more than a year or those which could be for a longer period but 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. All investments can be held under this definition,
- Non specified investments are any other type of investment not defined as specified above. A maximum of £70m is permitted to be held in this classification as detailed in Appendix 3, Prudential Indicator (5) Upper limit for sums invested over 364 days and
- Local Authority Mortgage Scheme. Under this scheme, which is designed for first time buyers to be able purchase a property in the area, the Council is required to place funds of £3m with Lloyds bank for a period of 5 years to match the 5 year life of the indemnity. This is classified as being a service investment, rather than a treasury management investment and is therefore outside of the specified / non specified categories.

Instruments & Maximum period

All Investments will be undertaken in Sterling in the form of Term Deposits, Money Market Funds, Treasury Bills, Gilts or Certificates of Deposits unless otherwise stated below.

Specified Investments

Investment	Maximum Maturity
The UK Government including Local Authorities and Debt Management Office.	1 Year
Supranational bonds of less than one year duration (e.g. European Investment Bank)	1 Year
Pooled investment vehicles that have been awarded a AAA credit rating by Fitch, a credit rating agency, such as money market funds	1 Year

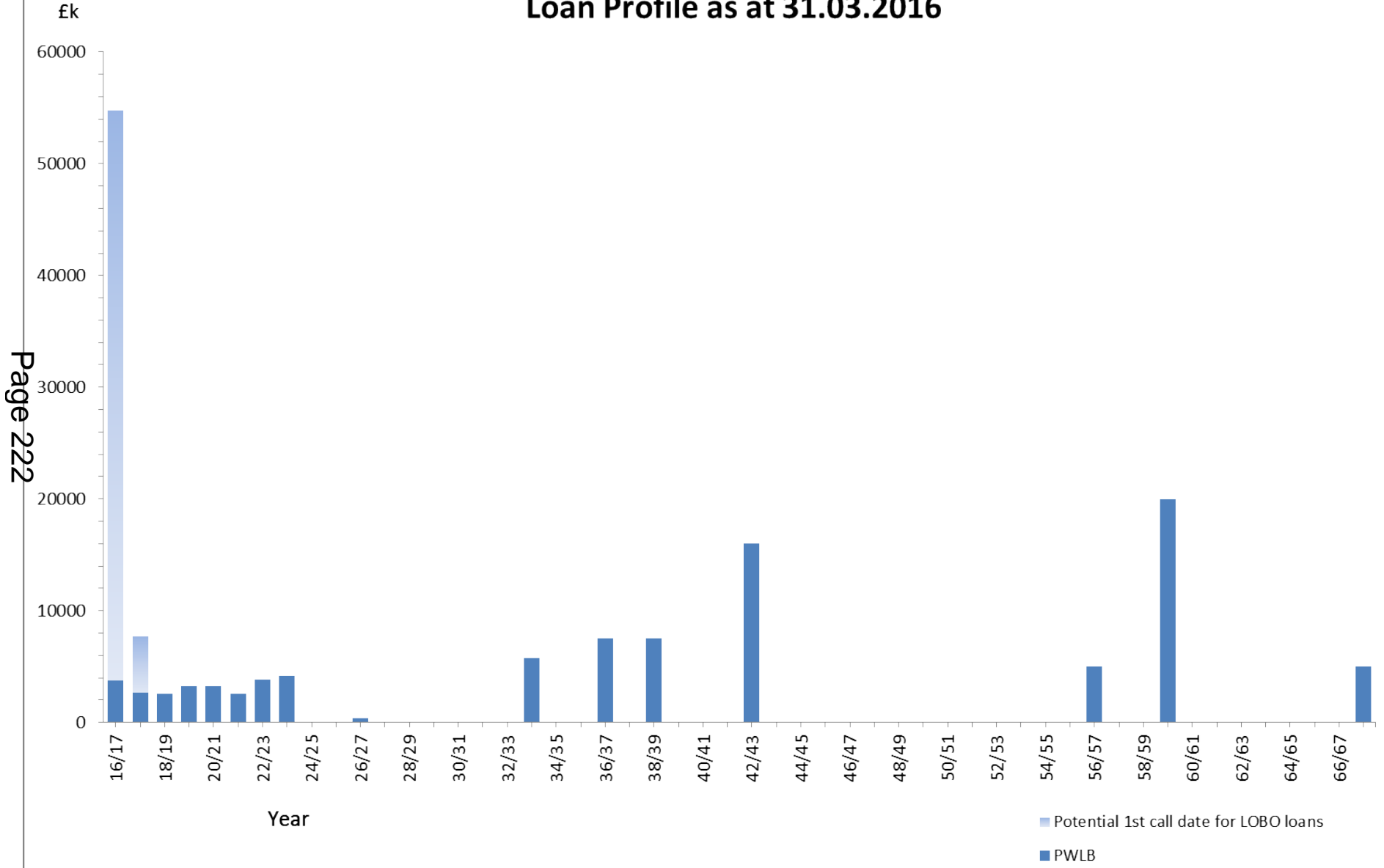
An institution that has been awarded a high short term credit rating (minimum F1 or equivalent) by a credit rating agency, such as a bank or building society.	1 Year
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Non-Specified Investments

Investment	Maximum Maturity
<p>Multilateral development bank bonds - These are bonds defined as an international financial institution having as one of its objects economic development, either generally or in any region of the world (e.g. European Investment Bank etc.).</p> <p>The security of interest and principal on maturity is on a par with the Government and so are very secure, and these bonds usually provide returns above equivalent gilt edged securities. However the value of the bond may rise or fall before maturity and losses may accrue if the bond is sold before maturity.</p>	3 Years
<p>Gilt edged securities with a maturity of greater than one year. These are Government bonds and so provide the highest security of interest and the repayment of principal on maturity. The value of the bond may rise or fall before maturity and losses may accrue if the bond is sold before maturity.</p>	3 Years
<p>The Council's own bank if it fails to meet the basic credit criteria with balances being kept to a minimum.</p>	1 Day
<p>UK Banks which have significant Government holdings</p>	1 Year
<p>Any bank or building society which meets the minimum long term credit criteria detailed in Appendix 3, for deposits with a maturity of greater than one year (including forward deals in excess of 1 year from inception to repayment).</p>	3 Years
<p>The UK Government including Local Authorities and Debt Management Office.</p>	3 Years
<p>Any non-rated subsidiary of a credit rated institution included in the specified investment category. These institutions will be included as an investment category subject to being guaranteed from the parent company and is included for clarity and transparency purposes.</p>	3 Years
<p>Share capital or loan capital in a body corporate – The use of these instruments will be deemed to be capital expenditure, and as such will be an application (spending) of capital resources. It is envisaged this facility will apply to the Manchester Airport share-holding which the Council holds at a historical value of £41m as reported in the 2014/15 statement of accounts. It is not envisaged that this type of investment will be undertaken in the future.</p>	Unspecified
<p>Manchester Airport Group – This is in response to the restructuring of the airports existing debt and is included for clarity and transparency purposes only.</p>	Term of loans

Church Commissioners Local Authorities Property Investment Fund - This fund is aimed solely for use by public sector organisations wishing to invest in the property market whilst at the same time generating a favourable rate of return.	10 Years
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Loan Profile as at 31.03.2016



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INVESTMENT CREDIT AND INSTITUTION RISK MANAGEMENT

The Council receives credit rating advice from its treasury management advisers, as and when ratings change and institutions are checked promptly to ensure it complies with the Council's criteria. The criteria used are such that any minor downgrading should not affect the full receipt of the principal and interest. Any institution failing to meet the criteria, or those on the minimum criteria placed on negative credit watch, will be removed from the list immediately, and if required new institutions which meet the criteria will be added to the list.

Classification	Description	Credit Rating Agency		
		Fitch (Minimum)	Moody's (Minimum)	Standard & Poors (Minimum)
Short Term	Ensures that an institution is able to meet its financial obligations within 12 months	F1 (Range F1+ , F2 A to D)	P1 (Range P1 to P3)	A1 (Range A-1 , to C)
Long Term	Ensures that an institution is able to meet its financial obligations greater than 12 months	A- (Range AAA to D)	A3 (Range AAA to C)	A- (Range AAA to CC)

Investment Institution information.

Whilst the Council's Investment institutions list is prepared primarily using credit rating information, full regard will also be given to other available information on the credit quality of each institutions in which it invests. The information below will continue to be considered when undertaking investments;

- Credit default swaps - CDS created in 1997 and are a financial instrument for swapping the risk of debt default. Essentially the owner of the position would enter into an agreement with a third party who would receive a payment in return for protection against a particular credit event – such as default. Whilst absolute prices can be unreliable, trends in CDS spreads do give an indicator of relative confidence about credit risk.
- Equity prices – like CDS prices, equities are sensitive to a wide array of factors and a decline in share price may not necessarily signal that the institution in question is in difficulty.
- Interest rates being paid - If an institution is offering an interest rate which is out of line with the rest of the market this could indicate that the investment is likely to carry a high risk.
- Information provided by management advisors – this is may include some information detailed above together with weekly investment market updates.
- Market & Financial Press information – information obtained from the money market brokers used by the Council in respect of interest rates & institutions will also be considered.

No investment will be made with an institution if there are substantive doubts about its credit quality, even though it may meet the credit rating criteria.

Investment Limits

In order to safeguard the Council's investments and in addition to the information shown at Appendix 3, due care will be taken to consider country, group and sector exposure as follows;

- **Country** – this will be chosen by the credit rating of the Sovereign state as shown at Appendix 3 and no more than 40% of the Council's total investments will be directly placed with non-UK counterparties at any time;
- **Group** – this will apply where a number of financial institutions are under one ownership (e.g. Royal Bank of Scotland / Nat West) and the Group limit will be the same as the individual limit for any one institution within that group;
- **Sector** limits will be monitored regularly for appropriateness.

Investment Risk benchmarking

Security and liquidity benchmarks are central to the approved treasury strategy through the institution selection criteria and proposed benchmarks for these are set out below.

Security - A method to benchmark security risk is to assess the historic level of default against the minimum criteria used in the Council's investment strategy. The table below shows average defaults for differing periods of investment grade products for each Fitch/Moody's and Standard and Poors long term rating category over the period 1981 to 2014.

Long term rating	Average 1 yr default	Average 2 yr default	Average 3 yr default	Average 4 yr default	Average 5 yr default
AAA	0.000%	0.014%	0.051%	0.099%	0.165%
AA	0.027%	0.056%	0.077%	0.140%	0.205%
A	0.077%	0.215%	0.367%	0.517%	0.699%
BBB	0.235%	0.685%	1.191%	1.788%	2.422%
BB	1.219%	3.242%	5.341%	7.311%	9.139%
B	4.062%	8.822%	12.716%	16.245%	19.155%
C	24.031%	31.915%	37.727%	41.538%	45.215%

The Council's minimum long term rating criteria is currently "A", meaning the average expectation of default for a one year investment in an institution with a "A" long term rating would be 0.077% of the total investment (e.g. for a £1m investment the average loss would be £770). This is only an average as any specific institution loss is likely to be higher.

Liquidity – The CIPFA Treasury Management Code of Practice defines this as *“having adequate, though not excessive cash resources, borrowing arrangements, overdrafts or standby facilities to enable at all times to have the level of funds available which are necessary for the achievement of its business/service objectives”*.

The availability of liquidity and the period of risk in the portfolio can be benchmarked by the monitoring of the Weighted Average Life (WAL) of the portfolio (shorter WAL would generally represent less risk).

INVESTMENT & EXTERNAL DEBT POSITION AS AT 31.01.2016

	Principal £m	Average Rate %
DEBT		
Fixed rate:		
- PWLB	37.2	6.97
- Market	5.0	4.41
Sub-total	42.2	6.67
Variable rate:		
- PWLB	0.0	0.0
- Market	51.0	5.52
Sub-total	51.0	5.52
Total debt	93.2	6.04
INVESTMENTS		
- Fixed rate	(69.5)	0.90
- Variable rate	(33.6)	1.03
Total Investments	(103.1)	0.95
NET ACTUAL DEBT / (INVESTMENTS)	(9.9)	

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Report to: Executive

Date: 17 February 2016

Report for: Information

Report of: The Executive Member for Finance and the Director of Finance

Report Title:

Revenue Budget Monitoring 2015/16 – Period 9 (April to December 2015).

Summary:

The approved revenue budget for the year is £148.914m. The forecast for the end of the year, as projected following nine months of activity, is £145.091m being a net underspend of £(3.823)m, (2.6)% of the budget, a favourable movement of £(0.918)m since the last report.

The main areas of budget variance are summarised as follows:

Activity	Forecast £m	Movement £m
Children’s client care packages	1.4	-
Adults client care packages	(0.5)	(0.4)
Rephased base budget savings	0.3	-
Vacancy management	(2.3)	(0.2)
Running costs	(0.9)	0.2
Treasury Management (incl. Airport dividend and MRP saving)	(3.2)	(1.2)
Manchester Airport Group (MAG) interim dividend - transfer to Earmarked Reserve	1.2	-
Minimum Revenue Provision (MRP) saving - transfer to Budget Support Reserve	1.2	1.2
Business Rates (Council-wide budget)	(0.3)	(0.2)
Income	(0.0)	(0.3)
Grants	(0.2)	-
Release of the unallocated general savings contingency budget (Council-wide)	(0.5)	-
Forecasted outturn	(3.8)	(0.9)

Reserves

The opening balance of the General Reserve was £(7.9)m, and after taking into account approved use and commitments, and the Council-wide budget projected outturn, the forecasted closing balance as at 31 March 2016 is £(8.2)m, which is £(2.2)m above the Council established minimum level of £(6.0)m. The MAG interim dividend of £(1.2)m received in December 2015 has been transferred to an Earmarked Reserve for use in supporting the 2016/17 budget and the MRP saving of £(1.2)m transferred to the Budget Support Reserve (see Table 4 below).

In addition, the net service carry forward reserves at the beginning of the year were £(3.6)m, and after taking into account planned use and commitments together with the

service Directorates' projected outturn, the forecasted closing balance as at 31 March 2016 is £(3.5)m in surplus.

Council Tax

The surplus brought forward of £(0.8)m, will be increased by an in-year forecast surplus of £(1.4)m. After taking account of the planned use of £0.4m to support the base budget and another £0.1m for backdated valuation and discount appeals, the total surplus forecasted to be carried forward is £(1.7)m. The Council's share of this surplus is £(1.4)m, and is planned to support future budgets in the MTFP.

Business Rates

The latest projection as at 31 December 2015 shows an overall reduction in retained business rates for 2015/16 of £0.125m, representing an adverse movement since last month of £0.317m. This includes an in-year deficit of £0.428m against the business rate growth forecast made in February 2015, which cannot be brought into the accounts until 2016/17, as well as an increase in income in-year within the Council-wide budget of £(0.303)m (see paragraph 12 below).

Recommendation(s)

It is recommended that:

- a) the latest forecast and planned actions be noted and agreed.

Contact person for access to background papers and further information:

David Muggeridge, Finance Manager, Financial Accounting

Extension: 4534

Background Papers: None

Relationship to Policy Framework/Corporate Priorities	Value for Money
Financial	Revenue expenditure to be contained within available resources in 2015/16.
Legal Implications:	None arising out of this report
Equality/Diversity Implications	None arising out of this report
Sustainability Implications	None arising out of this report
Staffing/E-Government/Asset Management Implications	Not applicable
Risk Management Implications	Not applicable
Health and Safety Implications	Not applicable

Director of Finance:.....ID.....

Head of Legal ServicesHK.....

DIRECTOR'S SIGNATURE *Appended in hard copy*

Budget Monitoring - Financial Results

1. The budget as approved at the 18 February 2015 Council meeting is £148.914m. Based on the budget monitoring for the first 9 months of the year, the overall forecast for the year is £145.091m, being an underspend of £(3.823)m, (2.6)%, a favourable movement of £(0.918)m since the last report.
2. The details of service variances can be found in Annexes 1 to 3, and for Council-wide, Annex 4:

Table 1: Budget Monitoring results by Directorate	Year end Forecast (£000's)	Percentage %	Period Movement (£000's)	Annex
CFW – Children's Services	1,153	4.1%	(239)	1
CFW – Adult Social Services	(2,242)	(4.6)%	(344)	1
CFW – Public Health	0	0.0%	0	1
Economic Growth, Environment & Infrastructure	(558)	(1.7)%	(67)	2
Transformation & Resources	(648)	(3.8)%	(81)	3
Total Service Variances	(2,295)	(1.8)%	(731)	
Council-wide budgets	(3,924)	(16.6)%	(1,338)	4
MAG interim dividend - transferred to MAG Dividend Reserve	1,245	-	0	4
MRP saving – transferred to Budget Support Reserve	1,151	-	1,151	4
Estimated outturn variance (period 9)	(3,823)	(2.6)%	(918)	

CFW – Children, Families & Wellbeing

Table 2: Budget Monitoring results by Executive Portfolio Holder	Year end Forecast (£000's)	Percentage %	Period Movement (£000's)
Children's Services	1,153	4.1%	(239)
Adult Social Services	(2,242)	(4.6)%	(344)
Community Health & Wellbeing	0	0.0%	0
Environment & Operations	(284)	(1.0)%	(31)
Economic Growth & Planning	(274)	(6.1)%	(36)
Communities & Partnerships	36	1.4%	(20)
Transformation & Resources	(393)	(4.0)%	(43)
Finance	(4,215)	(15.0)%	(1,356)
MAG interim dividend - transferred to MAG Dividend Reserve	1,245	-	0
MRP saving – transferred to Budget Support Reserve	1,151	-	1,151
Estimated outturn variance (period 9)	(3,823)	(2.6)%	(918)

Key month on month variations

3. The key variances contributing to the period movement of a favourable £(0.918)m are:
 - Children's Services – favourable movement of £(0.239)m, particularly relating to personalisation and supporting people contracts in the Commissioning Service, £(0.105)m and increased income relating to the Early Help Delivery Model of £(0.147)m;
 - Adult Services – favourable movement of £(0.432)m relating to client cost and activity changes in Long-term clients;
 - Adult Services – underachievement of the Integrated Health & Social Care saving of £0.260m plus a net adverse movement £0.050m due to the high volume of minor adaptations, £0.150m, and £(0.100)m where the Council is taking the opportunity to capitalise expenditure associated with major aids and adaptations. This is partly offset by additional staffing budget savings of £(0.144)m and income of £(0.077)m across a number of services;
 - Economic Growth, Environment & Infrastructure Directorate – a net favourable movement of £(0.067)m across income, staffing and running costs;
 - Transformation & Resources Directorate - favourable movement of £(0.081)m, across income, staffing and running costs;
 - A recent review of the Council's Minimum Revenue Provision (MRP) has identified savings of £(1.151)m. This MRP saving has been transferred in full to the Budget Support Reserve (see Table 4 below);
 - A favourable movement of £(0.187)m relating to the element of Business Rates income retained within the Council-wide budget (see paragraph 12 below).

MTFP Savings and increased income

4. The 2015/16 budget was based on the achievement of permanent base budget savings and increased income of £(21.584)m.
5. This saving target includes £(15.612)m within the CFW Directorate which is being programme managed by a dedicated CFW Transformation Team. From the Month 4 report the savings targets for individual initiatives within CFW were updated to reflect the revised targets which were agreed at the CFW Programme Board. This has meant some slight amendments to individual targets, though the overall total savings target for the CFW directorate remains the same. The revised savings targets are included in Appendix 3 of Annex 1 of this report. Performance is assessed against the revised targets:
6. The following table summarises the actuals to date, forecast for the remainder of the year and how the shortfall will be managed in-year.

Table 3 : 2015/16 Savings & increased income		Total (£000's)	Total (£000's)
Actual to date	CFW	(15,351)	
	EGEI	(2,814)	
	T&R	(2,454)	
	C-W	(375)	
Sub-Total			(20,994)
Forecasted	CFW * Note 2	(754)	
	EGEI	-	
	T&R	(54)	
	C-W	(15)	
Sub-Total			(823)
Total Savings delivered or in progress			(21,817)
Budget Savings Required			(21,584)
Total Net Shortfall/(Over recovery)			(233)
Shortfall/(Over recovery) Detailed by Directorate			
Shortfall against savings target within T&R			
	• Libraries (as measured against revised target see Note 1)	141	
	• ICT Procurement/ Other	149	
Total Shortfall/(Over recovery) within T&R			290
Shortfall/(Over recovery) against savings target within CFW			
	• Children with Complex Needs – Use of Personalisation	(8)	
	• Children with Complex Needs – expand in-house homes	50	
	• Education Early Years – Early Help (Note 3)	187	
	• Older People Reablement	(470)	
	• LD – Void Management	(19)	
	• LD – Ordinary Residence	258	
	• LD – Care Package Review/ Reshaping Trafford (Note 2)	(751)	
	• Integrated Health & Social Care (Note 4)	260	
Total Shortfall/(Over recovery) within CFW			(493)
Over recovery against savings target within C-W			
	• Old Car Lease Scheme	(30)	
Total Shortfall/ (Over recovery) within C-W			(30)
Total Net Shortfall/(Over recovery)			(233)

Gross shortfalls to be met by :-		
T&R reserve or mitigated by in-year savings in 15/16		(290)
Total		(290)

Note 1 - The savings target for T&R originally included £0.550m in respect of the libraries rationalisation but this figure was revised down by £0.050m when the second phase of consultation was reported to Executive in March 2015. The saving has been transferred to Council-wide, where it has been met in year from the Treasury Management budget.

In addition, there is an in-year shortfall in libraries savings of £0.141m, relating to a delay in the closure of libraries (Bowfell, Davyhulme and Lostock, the redevelopment of Hale and Timperley Libraries) and changes to in-year delivery at Coppice as part of the consultation process.

Whilst the delay in implementing some library changes has impacted on savings overall there are significant benefits to the Council in terms of the final proposals agreed. With redevelopment of a number of sites to include residential dwellings which will attract new homes bonus, council tax and a capital receipt.

Note 2 - Savings to a value of £(0.544)m which have still to be realised are reflected in the forecast and comprise savings against the LD Care Package Review / Reshaping Trafford.

Note 3 – Within the gross shortfall of £0.187m for the Early Help model, £0.073m relates to a decision to keep Sale West and Old Trafford Youth Centres open which has been met from a temporary budget virement from the general savings contingency in Council-wide (paragraph 7 below). The remaining amount of £0.114m will be met via one-off funding from Corporate Landlord of £0.050m and £0.064m from within the CFW Directorate from the over-achievement of other savings. The on-going cost of the Sale West and Old Trafford Youth Centres has been included in the 2016/17 Medium Term Financial Plan.

Note 4 - The shortfall in Integrated Health and Social Care will be partially offset by a saving of £(0.100)m where the Council is taking the opportunity to capitalise expenditure associated with major aids and adaptations.

7. The original budget for 2015/16 included a one off allowance of £0.700m as a general contingency to cushion against possible slippage in the delivery of the significant savings programme in 2015/16. A figure of £0.085m was released in Period 4 to cover a projected savings slippage relating to Market Management. A further amount of £0.073m was released in Period 8 to cover the premises related costs of Sale West and Old Trafford Youth Centres, after a decision was made to keep these community buildings open for the foreseeable future. (*note a further transfer of £0.055m for Gorse Hill Studios was made during the year and the balance of £0.487m has been declared as an underspend in the period 8 monitor*).
8. Approximately 101% of base budget savings have been or are forecasted to be delivered:
 - Of the £(0.233)m net over achievement, there is a gross shortfall of £0.290m relating to T&R, a net over achievement of £(0.493)m in CFW and £(0.030)m in Council-wide.
 - The gross shortfall of £0.290m within T&R will be met from either, service carry forward reserves or alternative in year savings.

9. As at period 9, the actual savings achieved has fallen behind the expected savings profile by £0.422m. Whilst overall projections for the year remain on target, management action is on-going and the main area to concentrate on for the remaining months of the year is in respect of Integrated Health and Social Care (Pennine). There are also the outstanding Ordinary Residence cases which the Secretary of State still needs to make a determination on.

Council Tax

10. The 2015/16 surplus on the Council Tax element of the Collection Fund is shared between the Council (84%), the Police & Crime Commissioner for GM (12%) and GM Fire & Rescue Authority (4%). The 2015/16 total surplus brought forward was £(0.773)m.
11. As at 31 December 2015 the total in-year surplus is forecasted at £(1.386)m. After taking account of the planned application to support the 2015/16 budget of £0.357m and reductions as a consequence of back-dated valuations and awards of discounts or exemptions of £0.100m, the end of year total balance is forecasted to be £(1.702)m. The Council's share of this is £(1.430)m, being a favourable improvement of £(0.016)m since last month.

Business Rates

12. The Business Rate Retention Scheme and the financial impact on the Council has been shown in detail in previous monthly reports. The latest projection as at 31 December 2015 shows an overall reduction in retained business rates for 2015/16 of £0.125m compared to budget and is made up of:
 - the retained element of in-year business rate growth of £(1.383)m which is £0.428m below estimate, an adverse movement of £0.504m since last month, due to a fall in the projected net yield. This element will be carried forward within the Collection Fund at the end of the year.
 - the net effect of Section 31 grant (after the deduction of the levy) is £(0.303)m, a favorable movement of £(0.187)m on last month, and is included in the Council-wide budget monitoring projection in Annex 4.

Public Health

13. The Government announced on 4 June 2015 that it was seeking in-year public expenditure reductions of £3.1 billion and this included an amount of £200 million in respect of Public Health. Trafford's share of this reduction is £0.772m and this is being managed within the CFW budget.
14. Funding of £1.642m has been transferred to the Council on 1st October 2015 relating to the national transfer of responsibilities relating to 0-5 year old Health Visiting and Family Nurse Partnership services. This will increase the gross funding for Public Health to £11.699m in 2015/16.

Reserves

15. The General Reserve balance brought forward is £(7.9)m, against which there are planned commitments up to the end of 2015/16 of £1.2m. The addition of the Council-wide underspend of £(1.5)m provides for a projected balance as at 31 March 2016 of £(8.2)m, being £(2.2)m above the approved minimum level of £(6.0)m. The interim dividend of £(1.245)m has been transferred to an Earmarked Reserve for use in supporting the 2016/17 budget and the MRP saving of £(1.151)m transferred to the Budget Support Reserve:

Table 4 : General Reserve Movements	(£000's)
Balance 31 March 2015	(7,871)
Commitments in 2015/16:	
- Planned use for 2015/16 Budget	1,000
- Planned use for one-off projects 2015/16	200
- Council-wide budgets underspend	(1,528)
- Interim MAG Dividend 2015/16	(1,245)
- Transfer to MAG Dividend Reserve	1,245
- Minimum Revenue Provision (MRP) saving	(1,151)
- Transfer to Budget Support Reserve	1,151
Balance 31 March 2016	(8,199)

16. Service balances brought forward from 2014/15 were a net £(3.642)m. After planned use to support one-off projects and adjusting for the estimated outturn, there is a projected net surplus of £(3.478)m to be carried forward to 2016/17 (Table 5).

	b/f 1 April 2015 (£000's)	Forecast Movement in-year (£000's)	Forecast Balance as at 31 March 2016 (£000's)
Table 5: Service balances			
Communities, Families & Wellbeing	(403)	(892)	(1,295) *
Economic Growth, Environment & Infrastructure	(1,738)	1,208	(530)
Transformation & Resources	(1,501)	(152)	(1,653)
Total (Surplus)/Deficit	(3,642)	164	(3,478)

* It is proposed that £0.6m of this balance is earmarked for the funding of the CFW Programme Resources Team in 2016/17.

Recommendations

17. It is recommended that the latest forecast and planned actions be noted and agreed.

TRAFFORD COUNCIL

Report to: CFW Senior Leadership Team
 Date: 21st January 2016
 Report for: Discussion
 Report author: CFW Finance Manager

Report Title:

Revenue Budget Monitoring 2015/16 – Period 9 (April 2015 to December 2015).

1. Forecast Outturn for the Year

- 1.1 The approved revenue budget for the year is £76.041m and the projected outturn is currently forecast to be £74.952m, which is less than the budget by £(1.089)m, (1.4)%. The current projected underspend includes an overspend of £1.153m on Children's Services and an underspend of £(2.242)m on Adults.
- 1.2 The forecast variance for Period 8 was £(0.506)m and this represents a favourable movement of £(0.583)m since last reported.
- 1.3 The savings target for CFW in 2015/16 is £(15.612)m. The latest forecasts anticipate savings of £(16.105)m to be achieved. This will be a major achievement to overachieve against the target of £(15.612)m and provides a high level of assurance about the robustness of financial planning and effective delivery of transformation projects within the Directorate.

2. Summary of Variances

- 2.1 The main forecast outturn variances (over £100k) are summarised below with more detail provided in Appendix 1.

2.2 CHILDREN'S SERVICES

The overall variance for Children's Services is an adverse £1.153m and the main areas (over £100k) are analysed below:-

(a) Children's Social Services (including Children with Complex Needs) - £1.610m adverse variance

- There is a forecast overspend of £1.469m on client care packages as analysed in Appendix 2. The main variances relate to an adverse variance of £1.182m relating to external children's homes, even though this is as a result of only 6.8 additional placements over the year, indicating the volatility of this particular budget and £0.237m for welfare secure places which relates to 0.8 additional places. The increase in both these costs is due to a combination of demographic growth and the complexity of need of children in care with more children requiring high cost specialist placements. There is also an adverse variance of £0.155m on agency foster placements which equates to 4.4 placements. Also included in the £1.469m above is a favourable variance of

£(0.188)m in relation to the low numbers of Trafford children in need of adoptive placements.

However, this is counterbalanced by a projected shortfall in adoption income of £0.385m. It has now become apparent that in the North West the number of recruited adopters is exceeding the number of children awaiting adoption. This resulted from a legal judgement that placed a greater emphasis on a child returning home or to family members prior to consideration of adoption.

- Robust management action is in place to scrutinise each individual placement to ensure it is appropriate to meet needs. We are also exploring collaborative ways of managing the external market as costs have increased substantially due to the increased demand for places. We have implemented an 'Edge of Care Strategy' that supports children and young people to remain at home and developing that into a broader project as part of the CFW transformation programme.
- The actions as outlined in previous monitoring reports continue to take place in managing Children in Care placements.

(b) Education Early Years - favourable variance £(0.161)m

Favourable variance due mainly to staffing underspends and additional income.

(c) Commissioning running costs - favourable variance £(0.209)m

Forecast underspend due to personalisation and supporting people contracts.

Movement from previous period

The period 9 variance compared to that last reported is £(0.239)m favourable. The main reasons for the change (over £20k) are:-

- Children's Social Services – increase in projected overspend on client care packages (excluding complex needs) of £0.045m, increase in adoption income £(0.032)m
- Commissioning – increase in projected underspend £(0.105)m.
- Reduction of £(0.147)m in the adverse variance on Early Help Delivery Model as a result of additional income.

2.3 ADULTS' SERVICES

The overall variance for Adults' Services is £(2.242)m favourable and the main variances (over £100k) are analysed below:

- Long Term Support – client costs favourable variance £(0.439)m. The forecast is based on those clients who have received packages of care in the year to date which may have closed and those currently open within the Liquid Logic system projected for the remainder of the year. An adjustment has been made of £0.544m for savings which are expected to be made against client costs for the remainder of the year based on Transformation projections. Further details on client costs are included in Appendix 4.
- Social Support (Carers and Adult Placement) – favourable variance £(0.438)m following renegotiation of a contract and funding from the Care Act grant.
- Social Care Activities – Care Management - favourable variance £(0.952)m. £(0.331)m is as a result of over achievement of staff savings within the reablement transformation project. The remainder is generated by staff turnover and vacancies across a wide range of care management services (see CFW 8).
- Information and Early Intervention - favourable variance £(0.367)m due to an underspend in Extra Care as a result of a delay in implementation of the Old Trafford scheme to 2017 of £(0.279)m and vacancies within the benefits advice team of £(0.099)m
- Commissioning and Service Delivery – favourable variance £(0.311)m arising from vacancies in the service following the Commissioning restructure.
- Department of Health funding and unallocated savings – adverse variance £0.260m due to the underachievement of the Integrated Health & Social Care saving. This savings proposal is now subsumed within the wider discussion with Pennine Care about their integration of a wide range of services. The savings in the current year will be £(0.240)m against an original target of £(0.500)m.

An analysis of all variances is included in Appendix 1.

Movement from previous period

The period 9 variance compared to that last reported is £(0.344)m favourable. The main reasons for the change (over £20k) are:-

- Long- term client costs – favourable movement of £(0.432)m as a result of client cost and activity changes. This projection is based on the current portfolio of long term clients recorded on the Liquid Logic system plus clients, who have received services in the earlier part of the year, though are no longer receiving services. The projection allows for expected Transition costs in year of £0.966m and that costs will be offset by further savings of £(0.544)m to be made against client costs over the remainder of the year

based on Transformation projections. Further detail on the variance is included in Appendix 4.

- Assistive Equipment & Technology – net adverse movement £0.050m due to the high volume of minor adaptations, £0.150m, and £(0.100)m where the Council is taking the opportunity to capitalise expenditure associated with major aids and adaptations.
- Social Care Activities (Care Management teams) – favourable movement of £(0.144)m following a review of vacancies across all teams and allocation of the care act grant.
- Non-Adult Social Care – favourable movement of £(0.077)m due to a reassessment of anticipated income.
- Department of Health funding and unallocated savings – adverse movement £0.260m due to the underachievement of the Integrated Health & Social Care saving. This savings proposal is now subsumed within the wider discussion with Pennine Care about their integration of a wide range of services. The savings in the current year will be £(0.240)m against an original target of £(0.500)m.

2.4 PUBLIC HEALTH

The Public Health budget is financed by a ring-fenced grant. Under the terms and conditions of the grant this must be used for defined Public Health purposes and the current projection is spend will be in line with budget. Any underspend on the grant, should it arise, would be carried forward to 2016/17 for use on Public Health related services.

An announcement of the in-year budget reduction for Public Health was made by the Government in November 2015. Nationally this is £200m and the impact for Trafford Council is a reduction of £0.772m.

Scope to manage this reduction has been identified within the Public Health budget to manage on a one-off basis for the 2015/16 financial year. The in-year reduction is recurrent, and a plan to reduce expenditure by £0.772m has been incorporated into the 2016/17 budget planning cycle.

Funding of £1.642m has been transferred to the Council on 1st October 2015 relating to the national transfer of responsibilities relating to 0-5 year old Health Visiting and Family Nurse Partnership services. This will increase the gross funding for Public Health to £11.699m in 2015/16.

3. Forecasting, Assumptions and Risk

3.1 2015/16 Base Budget Savings

The Council's overall budget for 2015/16 includes £(21.584)m of savings of which £(15.612)m relates to CFW. The table in Appendix 2 shows the current assumptions made regarding the delivery of in-year savings targets within the forecasts set out in this report.

The current projection is that against the target of £(15.612)m, savings of £(16.105)m will be made, which is a reduction of £0.260m on the previous

forecast at month 8. The reason for the adverse movement is due to a reduction in the forecast for the Integrated Health & Social Care saving.

Within the gross shortfall of £0.187m for the Early Help model, £0.073m relates to a decision to keep Sale West and Old Trafford Youth Centres open which has been met from a temporary budget virement from the general savings contingency in Council-wide. The remaining amount of £0.114m will be met via one-off funding from Corporate Landlord of £0.050m and £0.064m from within the CFW Directorate from the over-achievement of other savings. The on-going cost of the Sale West and Old Trafford Youth Centres has been included in the 2016/17 Medium Term Financial Plan. The full breakdown of the projections for individual initiatives is included in Appendix 3.

Included within the overall forecast are savings yet to be realised of £(0.544)m in respect of the 'Reshaping Trafford Care' projects.

This will be a major achievement to overachieve against the target of £(15.612)m and provides a high level of assurance about the robustness of financial planning and effective delivery of transformation projects within the Directorate.

3.2 Good Practice Examples

In relation to the savings programme, there are a number of examples of management interventions that are having a substantial impact on the financial position of the Directorate. These include;

3.2.1 Reshaping Social Care: The Directorate has successfully driven down commitments against care packages in line with the reshaping social care policy change agreed by the Council since April 2015. The implementation of reshaping principles is being applied as each new case is presented and as all cases go through their reassessment during the year. The reshaping programme is supporting the directorate to review the commissioning requirements going forward, as we drive the promotion of independence and self-care. The work is underpinning the development of 2016/17 savings options and we are already seeing a significant impact since the new policy was implemented in April 2015.

Each individual situation is different and an assessment of need always occurs before any changes are made and the service assures involvement of the individual and their family, representatives or advocates. The panel processes are fully embedded as core business. The new robust timely debt recovery process ensures an individual's contributions to their care are confirmed early in the process and new debt is identified at the earliest stage. Any debt is a key factor in funding panel decisions.

Innovative solutions to meeting need are being used to promote increased independence, support carers and focus social care funding to the appropriate areas. For example, a new application is being used to support families to ensure that they can assure themselves of their elderly family member's whereabouts and reduce worries about wandering. Ultimately preventing an admission to residential care.

3.2.2 Reshaping Social Care (Learning Disabilities): The Directorate has built upon the principles of the Reshaping Social Care approach for people with learning disabilities. This is because there are very few new cases, people with learning disabilities receive packages of care for in excess of 60 years and the

care packages are more costly. The key principles underpinning the LD approach include best value, promoting and increasing independence and providing services based upon need rather than diagnosis. In this context best value means maximising the use of shared hours in group living situations and considering increasing care provision short-term to maximise skill development, leading to a reduction in care package costs. Promoting independence means developing an enabling risk management approach with providers and supporting the long term development of skills. Providing services based upon need rather than diagnosis particularly refers to frail older people with learning disabilities whose needs are predominantly those of an older person and who may be better placed in older peoples' services rather than an enhanced learning disability service. These changes are extremely complex to implement as they need to be negotiated with families and service providers and have also been subject to challenge through the complaints and appeals systems. However the approach has the potential to deliver substantial savings whilst maintaining care and often increasing the quality of life of the service user.

3.2.3 Reshaping Children in Care: A Children in Care placement review has been established to address the placement budget pressures and to determine improved decision making and commissioning processes. The governance and reporting arrangements are in place through the Senior Reporting Officer (SRO) and the acting Joint Director of Children's Social Care. The commissioning team are leading the work and have already completed some initial analysis and comparative review with near statistical neighbours. The work to date identifies areas of spend that could be controlled through different contracting arrangements and placement identification which will feed into the overall project recommendations.

3.3 Adult Care Packages

A new basis of financial reporting has been introduced from April 2015 following the implementation of the Liquid Logic client record system and the associated financial modules under ContrOCC. A considerable amount of effort has been made to bring the system into service and it is a major change for budget holders and other staff involved in the budget monitoring process. There are already benefits arising from the system.

The total budget for Long Term and Short Term client costs is £39.3m which represents 82% of the total CFW Adults budget of £47.9m. The average number of service users over the nine months is 2,555 though this will fluctuate on a monthly basis going forward. Details of these are shown in Appendix 4.

The Liquid Logic/ContrOCC system gives speedier and more flexible reporting and its potential is continuing to be developed.

3.4 Continuing Health Care (CHC)

Where a client becomes eligible for Continuing Health Care a robust process is in place to ensure the relevant actions are completed. The Clinical Commissioning Group (CCG) have notified the Council that they have over 60 historical claims for CHC logged by families. Each claim will need to be assessed on a case by case basis, therefore it is not possible to estimate the potential impact, though this will be reported as the outcome of assessments are confirmed.

A number of retrospective claims have been made in respect of CHC and the impact of these have been reflected in the monitoring position, which gives a one-off financial benefit for the backdated period.

3.5 Homecare packages

The cost of homecare packages, like other care line items, is calculated by reference to the number of clients in receipt of that service at the time of producing the monitoring report. However, experience shows that in a number of cases, the planned package will not be required for the full year and as a result a reduction in costs of 2% is allowed for.

3.6 Care Act

The first phase of changes under the Care Act was introduced in April 2015. A Care Act implementation grant was made available to all upper tier authorities and the Council's grant was £(1.227)m. The use of funding is being monitored and the current assumption for Period 8 is that the funding will be fully utilised in 2015/16.

3.7 Better Care Fund

Under the terms of the Better Care Fund agreement with the CCG, the Council secured £(2.0)m for the protection of social care services. A national condition of the funding allocated for the Better Care Fund is that collectively the CCG and Council should achieve targeted reductions of at least 3.5% in non-elective admissions. Should these reductions not be achieved, then funding allocated in respect of performance would not be released by NHS England and the CCG would be obliged to transfer this to the acute sector. The amount of BCF funding in the BCF agreement relating to performance is £(1.319)m and the Council carries the risk of 30% of funding based on the agreed risk share of 70/30 between the CCG and the Council; this equates to circa £0.400m in 2015/16.

Information on non-elective admissions for quarters 1 and 2 have confirmed that planned reductions have not been met, which if this continues for the remainder of the year, means that there is a risk to BCF funding of £0.400m. This potential shortfall has been set aside as an earmarked reserve, therefore the full £2.0m transfer of funding to the Council is reflected in the forecast.

4. Learning Disabilities (LD) Pooled Fund

- 4.1 The LD Pooled fund deficit was written down at the end of 2014/15. The fund is therefore in balance at the start of the year and is expected to underspend by £(0.500)m in 2015/16. This balance is being retained by the Council to offset the costs of the previous deficit. It is therefore included in the forecast outturn figures included in this report.

5. Reserves

5.1 At the beginning of April 2015 the Children, Families and Wellbeing Directorate has accumulated balances of £(1.729)m carried forward from previous financial years.

5.2 The carry-forward balances and expected end of the year position is as follows:

	DSG (£000's)	CFW (£000's)
Balance b/f 1 April 2015	(1,326)	(403)
Reserves used to balance budget	163	
Stronger Families Grant		(468)
Stronger Families Commitments 15/16		468
Specific commitments in 15/16		197
P9 Forecast Outturn 15/16	856	(1,089)
Balance c/f 31 March 2016	(307)	(1,295)
<u>Commitments 16/17</u>		
Transformation Programme		600
Total		600

The forecast position as at the 31st March 2016 for CFW is a balance of £(1.295)m and it proposed that £0.600m is earmarked for the funding of the CFW Programme Resources Team in 2016/17.

Period 9 Projected Outturn revenue expenditure and income variances

The following tables detail the main variances from the revenue budget to the forecasted outturn, and the movements since the last monitoring report, in both Management Accounts (“Budget Book”) format and by cause or area of impact of the variance.

Budget Book Format (Objective analysis)	Full Year Revised Budget (£000's)	P9 Forecast Outturn (£000's)	P9 Outturn Variance (£000's)	P8 Outturn variance (£000's)	Period Movement (£000's)	Ref
Children's Services Portfolio – DSG Element						
Dedicated Schools Grant	0	856	856	773	83	CFW1
Transfer to Dedicated Schools Grant Reserve	0	(856)	(856)	(773)	(83)	CFW1
Sub-total – DSG	0	0	0	0	0	
Children's Services Portfolio – Non DSG Element						
Education Early Years' Service	4,923	4,762	(161)	(161)	0	CFW3
Children's Social Services	17,221	19,025	1,804	1,791	13	CFW2
Children with Complex & Additional Needs	1,288	1,094	(194)	(194)	0	CFW2
Commissioning	1,784	1,575	(209)	(104)	(105)	CFW3
Multi Agency Referral & Assessment Service (MARAS)	1,649	1,645	(4)	(4)	0	CFW3
Youth Offending Service	271	271	0	0	0	CFW3
Early Help Delivery Model	959	876	(83)	64	(147)	CFW3
						CFW3
Sub-total – Non DSG	28,095	29,248	1,153	1,392	(239)	
CFW Children's Total	28,095	29,248	1,153	1,392	(239)	

Budget Book Format (Objective analysis)	Full Year Revised Budget (£000's)	P9 Forecast Outturn (£000's)	P9 Outturn variance (£000's)	P8 Outturn variance (£000's)	Period Movement (£000's)	Ref
Adult Social Services Portfolio						
Long Term Support – client costs	38,757	38,318	(439)	(7)	(432)	CFW4
Short Term Support – client costs	557	509	(48)	(48)	0	CFW5
Social Support – Adult Placement / Carers Commissioned services	849	411	(438)	(437)	(1)	CFW6
Assistive Equipment & Technology	1,473	1,526	53	3	50	CFW7
Social Care Activities – Care Management	11,804	10,852	(952)	(808)	(144)	CFW8
Information and Early Intervention – Preventative Services	934	567	(367)	(367)	0	CFW9
Commissioning and Service Delivery	767	456	(311)	(311)	0	CFW10
Non-Adult Social Care – Supporting People	0	0	0	77	(77)	CFW11
PH Funding and un-allocated savings	(6,328)	(6,068)	260	0	260	CFW12
CFW Adults Total	48,813	46,571	(2,242)	(1,898)	(344)	
Community Health & Wellbeing Portfolio						
Public Health	(867)	(867)	0	0	0	CFW13
CFW Public Health Total	(867)	(867)	0	0	0	
CFW Total	76,041	74,952	(1,089)	(506)	(583)	

Business Reason / Area (Subjective analysis)	P9 Outturn Variance (£000's)	P8 Outturn Variance (£000's)	Period Movement (£000's)	Ref
Children's				
Management of staff budgets	(186)	(179)	(7)	CFW2, CFW3
Transport	74	74	0	CFW3
Client need	1,469	1,424	45	CFW2
YOS remand placements	(70)	(70)	0	CFW2
Income	40	107	(67)	CFW2
Other running costs	(174)	36	(210)	CFW2, CFW3
Total Children's	1,153	1,392	(239)	
Adults				
Management of staff budgets	(1,256)	(1,110)	(146)	CFW8, 10
Client need	(487)	(55)	(432)	CFW4, CFW5
Other running costs	(499)	(733)	234	CFW6,7,9,10, CFW11
Total Adults	(2,242)	(1,898)	(344)	
Public Health	0	0	0	
Total CFW	(1,089)	(506)	(583)	

NOTES ON VARIANCES AND PERIOD MOVEMENTS

CHILDREN'S SERVICES

CFW1 – DSG Reserve b/fwd.

- The brought forward DSG reserve balance is £(1.326)m. There are significant pressures within DSG which mean that there is an anticipated overspend of £0.856m and £0.163m was required from reserves to balance the budget, leaving a forecast reserve at the year-end of only £(0.307)m. The greatest pressure on the DSG is increasing numbers in SEN and the High Needs Block of the DSG being frozen. The significant reliance on the DSG reserve has been addressed for 2016/17 by reviewing school allocations and this has been agreed by the Schools Funding Forum on 19 January 2015. A consultation on a new funding formula for schools is expected shortly and it is hoped this will address the low funding position of Trafford schools.

CFW2 – Children's Social Services (Including CAN) £1.610m adverse variance

- There is a projected overspend of £1.469m, on client care packages as analysed in the table in Appendix 2. The main variances are in respect of welfare secure places, external children's homes, agency foster care and adoption places. The increases in cost are due to a combination of demographic growth and the complexity of need of children in care with more children requiring high cost specialist placements. £1.182m of the projected variance relates to external children's homes even though this is as a result of only 6.8 additional placements over the year, indicating the volatility of this particular budget. There is an adverse variance of £0.237m for welfare secure places which relates to 0.8 additional places. There is also an adverse variance of £0.155m on agency foster placements which equates to 4.4 placements; this reflects a national trend following high profile reports into major failings such as at Rotherham. There is a favourable variance of £(0.188)m in relation to the low numbers of Trafford children in need of adoptive placements. This significant reduction has had an impact on numbers of children placed for adoption.
- There is a projected shortfall in adoption income of £0.385m, although this is partially offset by the reduction in adoption costs referenced above. It has become apparent that in the North West the number of recruited adopters is exceeding the number of children awaiting adoption. This resulted from a legal judgement that placed a greater emphasis on a child returning home or to family members prior to consideration of adoption. We are currently developing an expression of interest with neighbouring LA's to for a Regional Adoption Agency in line with national policy.
 - Staffing costs underspend on Children's social care £(0.099)m.
 - There is additional income for CAN placements of £(0.076)m as a result of Continuing Health Care assessments that have identified eligible expenditure for children with complex health needs,
 - General running costs favourable variance £(0.015)m.
 - Other variances - adoption grant £(0.054)m.

CFW3 – Various - £(0.457)m favourable

Education Early Years

- Favourable variance due mainly to staffing underspends £(0.161)m.

Commissioning running costs

- Forecast underspend on personalisation and supporting people contracts £(0.209)m.

MARAS

- Favourable variance due to staffing £(0.004)m.

Early Help Delivery Model

- Forecast saving £(0.083)m due to increased income.

ADULTS' SERVICES

CFW4 – Long term client costs - £(0.439)m favourable

- The forecast is based on those clients who have received packages of care in the year to date which may have closed and those currently open within the Liquid Logic system projected for the remainder of the year. An adjustment has been made of £0.544m for savings which are expected to be made against client costs for the remainder of the year based on Transformation projections. Further details on client costs are included in Appendix 4.

CFW5 – Short term client costs - £(0.048)m favourable

- The forecast is based on those clients who have received packages of care in the year to date which may have closed and those currently open within the Liquid Logic system projected for the remainder of the year.

CFW6 – Social Support – Adult Placement / Carers - £(0.438)m favourable

- Renegotiation of contracts and funding through the Care Act grant £(0.428)m.
- Other minor variances £(0.010)m.

CFW7 – Assistive Equipment & Technology - £0.053m adverse

- Due to the high volume of minor adaptations £0.153m.
- £(0.100)m where the Council is taking the opportunity to capitalise expenditure associated with major aids and adaptations.

CFW8 – Social Care Activities – Care Management teams - £(0.952)m favourable

Vacant posts and other staffing related savings across the following teams:

- Pathways and Network £(0.164)m;
- Ascot House £(0.064)m;
- Community MH Organic team £(0.085)m;
- Community Mental Health team £(0.016)m;
- Community Social Work team £(0.299)m;
- CLDT team £(0.079)m;
- Emergency Duty Team £0.019m;
- Service manager posts £0.051m;
- Reablement £(0.331)m;
- Screening team £0.031m;
- Direct Payments team £(0.011)m;

- Other minor variances £(0.004)m.

CFW9 – Information and Early Intervention - £(0.367)m favourable

- Extra Care Housing – underspend as Old Trafford scheme will not be operational until 2017 £(0.279)m.
- Vacancies within the benefits advice team £(0.082)m.
- Other minor variances £(0.006)m.

CFW10 – Commissioning & Service Delivery - £(0.311)m favourable

- Commissioning Restructure – saving arising from restructure and vacancies in the service £(0.315)m.
- Other minor variances £0.004m.

CFW11 – Non-Adult Social Care - £Nil

- Overall projected to be in line with budget.

CFW12- DH Funding and un-allocated savings - £0.260 adverse

- Due to the underachievement of the Integrated Health & Social Care saving. This savings proposal is now subsumed within the wider discussion with Pennine Care about their integration of a wide range of services. The savings in the current year will be £(0.240)m against an original target of £(0.500)m.

CFW13 – Public Health - £Nil

- Overall spend is projected to be in line with Public Health grant.

Client Care Packages Forecast: Month 9

Service	Budget Service Users (No.)	Budget Average weekly cost (£)	Gross Budget (£000's)	Actual Service Users (No.)	Average weekly cost (£)	Actual Gross Forecast (£000's)	Variance Service Users (No.)	Variance Gross Forecast (£000's)
Welfare Secure	0.34	5,081	90	1.11	5,665	327	0.77	237
External Children's Homes	5.86	3,048	929	12.66	3,207	2,111	6.80	1,182
Agency Foster Care	32.89	884	1,513	37.31	883	1,714	4.42	201
In-house Foster Care	94.68	319	1,570	84.24	323	1,415	(10.44)	(155)
Family and Friend Foster Care	112.04	218	1,271	112.18	234	1,367	0.14	96
Asylum Seekers	0.00	0	0	0.00	0	0	0.00	0
Special Guardianship	29.00	152	229	29.52	152	234	0.52	5
Assisted Residence Allowances	24.00	107	133	20.44	112	119	(3.56)	(14)
Aftercare	n/a		381	n/a		457	n/a	76
Supported Lodges	n/a		325	n/a		322	n/a	(3)
Youth Homeless	n/a		193	n/a		283	n/a	90
Adoption	13.00		923	10.00		735	(3.00)	(188)
CAN Respite	1.96	1,931	210	1.36	2,771	196	(0.60)	(14)
CAN Long Term Care	4.91	2,436	594	4.85	2,383	601	(0.06)	7
CAN Home from Home	n/a		161	n/a		157	n/a	(4)
CAN Direct Payments/Personalisation	n/a		367	n/a		320	n/a	(47)
Total			8,889			10,358		1,469

Savings forecast: Month 9

CFW Rebased Savings 2015/16	Revised Reduction (£000's)	Forecast Saving (£000's)	Variance (£000's)
Children with Complex Needs – use of personalisation	(200)	(208)	(8)
Children in Care – expansion of in-house Children's home	(50)	0	50
Home to School Transport	(400)	(400)	-
Market Management	(200)	(200)	-
Music Service	(30)	(30)	-
Educational Psychology	(100)	(100)	-
Governor Services	(5)	(5)	-
Commissioning – reduction in multi-agency contracts	(126)	(126)	-
Education Early Years – Early Help *	(3,079)	(2,892)	187
Education Early Years – Re-organisation	(377)	(377)	-
Youth Offending Service	(130)	(130)	-
Sub-total Children Services	(4,697)	(4,468)	229
Older People – Reablement	(700)	(1,170)	(470)
LD - Re-negotiation of Contracts	(13)	(13)	-
LD – Supported Living	(203)	(203)	-
LD – Acceleration of Re-tendering	(942)	(942)	-
PD – Telecare	(116)	(116)	-
LD – Void Management	(32)	(51)	(19)
Continuing Health Care	(389)	(389)	-
Better Care Fund	(2,000)	(2,000)	-
Voluntary and Community Sector	(59)	(59)	-
LD – Ordinary Residence	(1,082)	(824)	258
LD – Care Package Review	(411)	(2,000)	(751)
Reshaping Trafford	(838)		
LD – Development Fund	(45)	(45)	-
LD – Review of Building Based Support	(72)	(72)	-
Floating Support Service	(230)	(230)	-
Market Management	(915)	(915)	-
Integrated Health & Social Care	(500)	(240)	260
Commissioning – all age structure	(830)	(830)	-
Commissioning – review of non-mandatory services	(1,538)	(1,538)	-
Sub-total Adult Social Care	(10,915)	(11,637)	(722)
Total	(15,612)	(16,105)	(493)

* Within the gross shortfall of £0.187m, £0.073m relates to a decision to keep Sale West and Old Trafford Youth Centres open which has been met from a temporary budget virement from the general savings contingency in Council-wide. The remaining £0.114m will be met via one-off funding from Corporate Landlord of £0.050m and £0.064m from within the CFW Directorate from the over-achievement of other savings.

Long Term Client Costs Forecast: Month 9

Client Group	Budgeted Annual Cost (£000's)	Service Users (No.)	Average Service Users (No.)	Average Weekly Cost (£)	Forecast Annual Cost (£000's)	Variance (£000's)
Learning Disability						
Community Services	9,902	236	241	769	9,633	(269)
Direct Payments	4,109	210	201	419	4,380	271
Residential/Nursing	5,310	55	57	1,113	3,298	(2,012)
Sub-total	19,321	501	499	667	17,311	(2,010)
Mental Health Support						
Community Services	1,209	137	137	205	1,460	251
Direct Payments	585	50	46	227	542	(43)
Residential/Nursing	3,594	171	184	379	3,631	37
Sub-total	5,388	358	367	295	5,633	245
Physical Support						
Community Services	3,528	894	854	86	3,809	281
Direct Payments	2,857	246	243	236	2,979	122
Residential/Nursing	6,325	395	404	332	6,973	648
Sub-total	12,710	1,535	1,501	176	13,761	1,051
Sensory Support						
Community Services	188	70	69	71	253	65
Direct Payments	168	25	23	181	217	49
Residential/Nursing	470	26	29	346	522	52
Sub-total	826	121	121	158	992	166
Social Support						
Community Services	154	28	27	78	109	(45)
Direct Payments	119	19	16	246	205	86
Residential/Nursing	175	8	8	317	132	(43)
Sub-total	448	55	51	168	446	(2)
Support with Memory and Cognition						
Community Services	(7)	8	7	3	1	8
Residential/Nursing	71	10	9	372	174	103
Sub-total	64	18	16	375	175	111
Total	38,757	2,588	2,555	288	38,318	(439)

TRAFFORD MBC

Report to: Economic Growth, Environment and Infrastructure
Directorate Management Team

Date: 26 January 2016

Report for: Discussion

Report author: Finance Manager

Report Title

Revenue Budget Monitoring 2015/16 – Period 9 (April 2015 to December 2015)

1. Forecast Outturn for the Year

- 1.1 The approved revenue budget for the year is £32.176m. The forecast outturn is £31.618m, which is £(0.558)m under the approved budget. The underspend has increased by £(0.067)m since last reported.
- 1.2 The increased underspend includes £(0.113)m from updated forecasts of staff vacancies, offset by a £0.023m reduction in overall expected income and a reduction in the underspend on running costs of £0.023m. The Directorate was restructured during 2015 and remaining vacant staff posts are expected to be filled early in 2016.
- 1.3 The approved budget for 2015/16 includes savings of £(2.814)m and all are projected to be delivered in full (paragraph 4). Savings include £(2.250)m from the One Trafford partnership with Amey LG for Environmental, Highways, Street Lighting, Technical and Property Services.
- 1.4 The One Trafford partnership contract commenced on 4th July 2015 for 15 years, and will be monitored through the payment and performance mechanism agreed with Amey as part of the procurement process. The budget monitoring reported for services in-scope will reflect actual and forecast economic activity both before and after the contract start date.
- 1.5 For traded services (catering and cleaning) there is a forecast net surplus of £(0.224)m at the end of March 2016, which is £(0.026)m higher than last reported. The service manages its costs and income over school terms and academic years rather than financial years and any surplus at the end of March is expected to be required to continue investment in the service and in particular improve readiness for the new academic year in September 2016.
- 1.6 The Directorate has brought forward balances of £(1.738)m from previous years (paragraph 3). This will be utilised for one-off budget pressures in 2015/16 and also to support initiatives to protect services and deliver future efficiencies and income generation. The balance after known commitments and the forecast outturn is £(0.530)m.
- 1.7 This is the seventh monitoring report of the financial year and the information available to produce the forecast outturn will continue to be refined and subject to change as the year progresses. The main assumptions included in the financial forecasts are listed in paragraph 5.

2. Summary of Variances

- 2.1 The overall favourable variance of £(0.558)m reflects a number of individual under and overspends across the diverse areas of the Directorate, as detailed in Appendix 1 and summarised below.
- 2.2 A favourable one-off income variance is projected from Oakfield Road car park £(0.170)m. There is also one-off additional back rent income of £(0.087)m from Stretford Arndale which was notified from the managing agent in November 2015 and relates to 2014/15.
- 2.3 Income from other fees and charges is higher than budgeted for the GM Road Access Permit Scheme £(0.010)m, airport rent £(0.021)m and planning fees £(0.165)m. There are income shortfalls forecast relating to building control £0.080m, bulky and commercial waste £0.010m, parking (including fines) £0.044m. In addition, fee income from capital schemes is £0.132m lower than budgeted for the period before the One Trafford contract start date. Total overall income is forecast to be £(0.176)m above budget, which is £0.023m lower than last reported.
- 2.4 There are a number of favourable variances relating to staffing budgets as a result of turnover or vacancy management £(0.334)m. This is a favourable movement of £(0.113)m from last reported across a number of service areas due to updated forecasts of the timing and number of staff starters and leavers expected for the remainder of the year.
- 2.5 Other running costs are projected to be £(0.048)m underspent, which is £0.023m less than last reported.
- 2.6 Management action will continue over the financial year end period and into 2016/17 to ensure that essential services are delivered within budget and to seek out opportunities for future financial benefits. This includes:
- Only necessary spending on supplies and services to be approved;
 - Systematic monitoring and evaluation of existing and potential new income streams;
 - Analysis of rechargeable work for both revenue and capital schemes;
 - Additional improvements to efficiency through service redesign and better procurement;
 - Potential to accelerate future savings proposals.

3. Reserves

- 3.1 At the end of 2014/15 the Directorate had a surplus on accumulated balances of £(1.738)m, which was carried forward to 2015/16. This was a result of the successful management of budget pressures and additional income generation in the last three years.
- 3.2 The remaining balance on the EGEI Directorate Reserve after the forecast outturn for 2015/16, future known commitments and re-phasing of projects is £(0.530)m (table below). The EGEI Reserve will be utilised on initiatives to generate future savings and income generation to support service provision within the on-going revenue budget constraints. The reserve may also be required for other one-off budget pressures arising during the year.

Utilisation of Carry forward Reserve 2015/16	(£000's)
EGEI Surplus balance brought forward at 1 April 2015	(1,738)
Commitments	1,766
Period 9 forecast outturn (favourable)	(558)
Balance after known commitments	(530)

4. Savings

- 4.1 The approved Directorate budget includes 2015/16 savings of £(2.814)m, and all are projected to be achieved in full over the financial year, as follows :

	Budget (£000's)	Forecast (£000's)	Variance (£000's)
Efficiencies and others	(2,336)	(2,336)	0
Increased and new income	(324)	(324)	0
Policy Choice	(154)	(154)	0
Total EGEI	(2,814)	(2,814)	0

5. Forecasting and Risk

- 5.1 There are key assumptions and/or areas of risk in producing the forecast outturn. These are listed below but will generally reduce as the financial year progresses and as data becomes confirmed.
- One Trafford partnership – the budget monitoring for services in-scope reflects economic activity both before and after the contract start date of 4th July 2015. A number of activities and works cross cut the contract start date (e.g. works in progress), plus a number of temporary arrangements are in place to ensure business continuity during the first contract year (e.g. continued collection of income on behalf of Amey). All related financial transactions will be allocated and recharged between the Council and Amey over the relevant periods.
 - The One Trafford contract is monitored using the payment and performance mechanism agreed as part of the procurement process. This is designed to incentivise performance to the standards agreed and the Council has the ability to deduct fees in cases of non-performance. This forms part of the monthly billing and review process.
 - The wholesale price of energy which the Council procures influences only around 50% of the Council's energy bill. The remainder is influenced by transmission and distribution costs – for example Distribution Use of System Charges are passed on to the Council by the Distribution Network Operator, and are unavoidable. There is hence a risk of unforeseen energy cost increases which are not bound by the Council's contracted prices.
 - Fee income from capital works varies depending on the progress of delivering the approved capital programme during the year. The full year budget assumption from fees is £(2.000)m and this risk has effectively been transferred to Amey from July 2015 for services in-scope of the One Trafford partnership (e.g. Highways and Property). The contract is structured in a way which incentivises Amey to progress in delivering the programme on time. However, the charging of capital fee income will still need to be

monitored against the profile for both the pre and post contract budgets as capital works progress.

- Demand led fees and charges income, such as from Parking, Licensing, Planning and Building Control, will vary based on economic conditions and customer behaviour. All fees and charges are monitored weekly or monthly, with trends and previous profiles used to inform forecasts. For services in-scope of the One Trafford partnership, fee income is guaranteed in the contract price. The Council will also share in any additional income generated by Amey under the contract. Adjustments and recharges will need to be actioned in the Council's accounts for any income collected on behalf of Amey during the transition period.
- Investment property income – this varies depending on economic factors, and includes income from shopping centres (e.g. Stretford Arndale) where lettings and rents are the responsibility of the owners of the properties. This can include backdated rent income notified by managing agents later in the year. Property is managed by Amey under the One Trafford partnership although the Council is still billing and recovering these rents under the continuing contract transition arrangements.
- Weather related incidents impact on costs and income, particularly during the winter months. This includes increased winter maintenance costs (gritting etc.), pot hole damage to highways, tree and other infrastructure damage. These services are largely in-scope of the One Trafford partnership and this risk has effectively been transferred to Amey under the contract as the service fee payable is fixed for the year in advance. The Directorate has £0.120m in a Winter Maintenance reserve to smooth any exceptional pressures across financial years, if required.
- GM Waste Disposal Authority levy – each month the WDA notifies GM Councils of variances in the actual tonnages of waste delivered compared to that assumed when setting the levy at the start of the year. This results in an additional cost or rebate per Council. Actual tonnages can be affected by weather and also customer behaviour, for example levels of recycling. The latest notification from the WDA indicates disposal costs are estimated at £0.022m above budget, which is due to slightly lower volumes of paper recycling than expected at this point of the year.

6. Recommendations

- 6.1 It is recommended that the forecast outturn be noted.

Period 9 Forecast Outturn revenue expenditure and income variances.

The following tables detail the main variances from the revenue budget to the forecast outturn, and the movements since the last monitoring report, in both Management Accounts (“Budget Book”) format and by cause or area of impact of the variance.

Economic Growth, Environment & Infrastructure Budget Book Format (Objective analysis)	Full Year Budget (£000's)	P9 Forecast Outturn (£000's)	P9 Forecast Variance (£000's)	P8 Forecast Variance (£000's)	Period Movement (£000's)	Ref
Highway and Network Management, including Traffic & Transportation	3,413	3,373	(40)	(40)	0	EGE11
Groundforce	4,201	4,300	99	99	0	EGE12
Sustainability & Greenspace	335	271	(64)	(52)	(12)	
Bereavement Services	(1,128)	(1,123)	5	8	(3)	
Waste Management (incl. WDA levy)	19,561	19,580	19	19	0	EGE13
Public Protection & Enforcement	766	776	10	23	(13)	
Parking Services	(539)	(734)	(195)	(206)	11	EGE14
School Crossing Patrols	403	387	(16)	(12)	(4)	
Strategic Support Services	577	475	(102)	(92)	(10)	EGE15
Sub-total Environment & Operations Portfolio	27,589	27,305	(284)	(253)	(31)	
Property and Development	2,585	2,510	(75)	(100)	25	EGE16
Economic Growth	795	688	(107)	(88)	(19)	EGE17
Housing Strategy	500	455	(45)	(43)	(2)	EGE18
Strategic Planning & Development	488	443	(45)	(30)	(15)	
Planning & Building Control	(146)	(148)	(2)	23	(25)	EGE19
Directorate Strategic Management	374	374	0	0	0	
Sub-total Economic Growth & Planning Portfolio	4,596	4,322	(274)	(238)	(36)	
Operational Services for Education (Catering & Cleaning Traded Service)	(9)	(9)	0	0	0	
Total Forecast Outturn Period 9	32,176	31,618	(558)	(491)	(67)	

Economic Growth, Environment & Infrastructure Business Reason / Area (Subjective analysis)	P9 Outturn Variance (£000's)	P8 Outturn Variance (£000's)	Period Movement (£000's)	Ref
Highways and Network Management incl. Traffic & Transportation				
Income shortfall, including moving traffic offences	6	6	0	
GMRAPs income above budget	(10)	(10)	0	
Capital fee income shortfall	75	75	0	
Staff vacancies	(12)	(12)	0	
Running costs	(25)	(25)	0	
Energy – Street Lighting	(60)	(60)	0	
Depot & Business Support				
Supplies & Services	(14)	(14)	0	
Sub-total	(40)	(40)	0	EGE11
Groundforce				
Staffing and Transport costs	55	55	0	
Other running costs – contractors, plant hire, fuel	44	44	0	
Sub-total	99	99	0	EGE12
Sustainability & Greenspace				
Vacancy, supplies & services	(53)	(37)	(16)	
Income above budget	(11)	(15)	4	
Sub-total	(64)	(52)	(12)	
Bereavement Services				
Staffing and running costs	(28)	(25)	(3)	
Income shortfall	33	33	0	
Sub-total	5	8	(3)	
Waste Management and Disposal				
Staffing and running costs	(13)	(13)	0	
Income shortfall – bulky and commercial waste	10	10	0	
GM Waste disposal levy	22	22	0	
Sub-total	19	19	0	EGE13

Economic Growth, Environment & Infrastructure Business Reason / Area (Subjective analysis)	P9 Outturn Variance (£000's)	P8 Outturn Variance (£000's)	Period Movement (£000's)	Ref
Public Protection & Enforcement				
Staffing costs	14	22	(8)	
Running costs	0	6	(6)	
Income above budget, including licences	(4)	(5)	1	
Sub-total	10	23	(13)	
Parking Services				
Staffing & running costs	(69)	(69)	0	
Oakfield Road car park remaining open	(170)	(150)	(20)	
Income shortfall – other locations and fines	44	13	31	
Sub-total	(195)	(206)	11	EGEI4
School Crossing Patrols - vacancies	(16)	(12)	(4)	
Director & Business Support				
Staffing and Running costs	(102)	(92)	(10)	EGEI5
Sub-total Environment & Operations Portfolio	(284)	(253)	(31)	
Property and Development				
Investment Property Rental Income:				
- Stretford Arndale – one off back rent 14/15	(87)	(87)	0	
- Urmston Town Centre – one-off surplus	(11)	(11)	0	
- Airport – surplus	(21)	(21)	0	
- Other properties - surplus	(8)	(8)	0	
Community buildings – income/running costs	29	29	0	
Admin Buildings running costs	(60)	(60)	0	
Facilities Management/other staffing vacancies	(45)	(45)	0	
Other running cost variances	65	40	25	
Major projects capital fee income shortfall	63	63	0	
Sub-total	(75)	(100)	25	EGEI6
Economic Growth				
Staffing vacancies	(124)	(105)	(19)	
Other running costs	17	17	0	
Sub-total	(107)	(88)	(19)	EGEI7

Economic Growth, Environment & Infrastructure Business Reason / Area (Subjective analysis)	P9 Outturn Variance (£000's)	P8 Outturn Variance (£000's)	Period Movement (£000's)	Ref
Housing Strategy				
Staffing	(36)	(29)	(7)	
Running costs	(9)	(14)	5	
Sub-total	(45)	(43)	(2)	EGEI8
Strategic Planning & Development				
Staffing/running costs savings	(45)	(30)	(15)	
Planning & Building Control				
Planning applications income	(165)	(155)	(10)	
Building Control income shortfall	80	63	17	
Staffing including interim support	58	89	(31)	
Other running costs	25	26	(1)	
Sub-total	(2)	23	(25)	EGEI9
Sub-total Economic Growth & Planning Portfolio	(274)	(238)	(36)	
Total Forecast Outturn EGEI Period 9	(558)	(491)	(67)	

Summary Variance Analysis Period 9

All Services	Savings £000	Staff £000	Running Costs £000	Income £000	Total Variance £000
Period 8	0	(221)	(71)	(199)	(491)
Period 9	0	(334)	(48)	(176)	(558)
Period Movement	0	(113)	23	23	(67)

ADDITIONAL NOTES ON FORECAST OUTTURN VARIANCES

EGEI1 – Highways & Network Management - £(0.040)m (favourable)

Income generation of £(0.030)m is included in the budget from moving traffic offences. This is part of an AGMA initiative to improve safety and traffic flows on major routes and the project timeline has been re-phased to later in 2016.

Running costs are expected to be £(0.025)m under budget over a number of service areas. This mainly reflects forecasts of maintenance costs in highways and street lighting up to the 4th July 2015 commencement date of the One Trafford contract with Amey.

Staffing is £(0.012)m underspent for the period before the commencement of the One Trafford contract.

There is additional income above budget of £(0.010)m from the Greater Manchester Road Access Permit Scheme, which was implemented during 2013/14.

Fee income from technical and consultancy work charged to capital schemes is projected to be £0.075m below budget due to the timing of capital works up to the commencement of the One Trafford contract. The on-going risk has effectively been transferred to Amey from July 2015 and the contract is structured in a way which incentivises Amey to progress in delivering the programme on time.

Street Lighting energy costs are projected to be £(0.060)m less than budgeted based on latest projected usage volumes and the contract prices from April 2015.

EGEI2 – Groundforce - £0.099m (adverse)

Staffing, plant, contractor and transport costs are £0.099m overspent relating to the services provided prior to the One Trafford contract. This includes additional one off contract costs of £0.033m relating to the final return of externally hired plant and equipment at the end of the autumn season.

EGEI3 – Waste Management and Disposal - £0.019m (adverse)

There is an underspend in staffing and contract costs of £(0.013)m for the period prior to the commencement of the One Trafford contract. Bulky waste and commercial waste income is £0.010m less than expected for this period.

The latest information from GM Waste Disposal Authority is that the levy cost will be £0.022m higher than budgeted. This is based on variations in the tonnages of different waste streams being disposed throughout the year, and in particular paper recycling is slightly lower than estimated at this point.

EGEI4 – Parking Services – £(0.195)m (favourable)

The approved budget from 2013/14 included assumptions regarding the partial, then full closure of Oakfield Road car park during the year as part of the regeneration of Altrincham Town Centre. The re-phasing of the town centre project has resulted in forecast income being £(0.170)m above budget, which has continued from last year. This is £(0.020)m higher than last reported based on latest forecasts.

Other car parking income, including fines, is projected to be £0.044m below budget, which is an adverse movement of £0.031m from last reported.

The parking enforcement contract and other running costs are expected to be £(0.069)m underspent.

EGEI5 – Director and Business Support – £(0.102)m (favourable)

There is a forecast underspend on senior management staffing due to vacancies and on-going restructuring. This is £(0.010)m higher than last reported based on revised estimates of staff starting and leaving dates.

EGEI6 – Property and Development - £(0.075)m (favourable)

The Agents for the owners of Stretford Arndale have continued to maintain a number of short term lettings to ensure the number of vacant units is minimised and this has held up

gross rental income. A final year-end rental payment for 2014/15 of £(0.087)m was notified in November 2015 which is above the expectations included when setting the budget.

Manchester Airport rent is £(0.021)m above budget based on notification from Manchester City Council of new rent levels.

Fee income from capital and external projects is £0.063m less than budgeted for the period up to the commencement of the One Trafford contract which reflects the phasing of capital works. The on-going risk has effectively been transferred to Amey from July 2015 and the contract is structured in a way which incentivises Amey to progress in delivering the programme on time.

Administrative building running costs are less than expected across the portfolio by £(0.060)m. This includes a £(0.053)m underspend relating to the catering concession at Altrincham Town Hall.

EGEI7 – Economic Growth Team – £(0.107)m (favourable)

There is an underspend in staffing and running costs of the Altrincham Town Team as service review and potential re-design is implemented in this area. The overall staffing underspend has increased by £(0.019)m since last reported based on latest estimates of filling vacant posts across the service area. The service was restructured during 2015 and remaining vacancies are expected to be filled early in 2016.

EGEI8 – Housing Strategy – £(0.045)m (favourable)

Staffing costs are forecast to be £(0.036)m underspent due to secondments, with running costs including the housing options contract £(0.009)m underspent.

EGEI9 – Planning and Building Control – £(0.002)m (favourable)

Projected income from planning fees is £(0.165)m higher than budgeted which is a trend continuing from last financial year. This is £(0.010)m above last reported based on latest income forecasts. There is a projected shortfall in income from building control fees of £0.080m, which is also a continuation of difficult trading conditions and external competition. The shortfall is £0.017m higher than last reported and the service is reviewing its business plan to improve its financial position. Both fees are monitored regularly.

There is a projected overspend on staffing of £0.058m which reflects the appointment of interim staff to cover vacancies and address the resulting capacity issues. These posts contribute to the achievement of the additional planning income above and is £(0.031)m lower than last reported due to recent vacancies. The permanent filling of vacant posts will be addressed early in 2016 following the recent restructure of the Directorate. Running costs are £0.025m higher than budget.

EGEI10 – Traded Services (Catering and Cleaning)

There is a net traded surplus forecast for the end of March 2016 of £(0.224)m, which is £(0.026)m higher than last reported based on latest trading figures. However, the service manages its costs and income over school terms and academic years rather than financial years and any surplus at the end of March is earmarked to continue the investment in the service. This is particularly to improve readiness for the new academic year in September 2016.

TRAFFORD MBC

Report to: Transformation and Resources Directorate Management Team
Date: 28 January 2016
Report for: Discussion
Report author: Finance Manager

Report Title

Revenue Budget Monitoring 2015/16 – Period 9 (April 2015 to December 2015)

1. Forecast Outturn for the Year

- 1.1 The approved revenue budget for the year is £17.028m with a forecast outturn of £16.380m. This results in a projected underspend of £(0.648)m, which is £(0.081)m higher than last reported.
- 1.2 The increase in the underspend includes £(0.034)m from updating the timing of filling staff vacancies, plus additional income of £(0.049)m. This is offset by a minor reduction in the underspend on running costs of £0.002m. The key variances and movements are shown in section 2 below and Appendix 1.
- 1.3 The overall forecast underspend for the Directorate reflects £(0.674)m from higher than expected staff vacancy levels, £(0.078)m from cost control of running expenses, and £(0.188)m from higher levels of income. These underspends are partially offset by a reduction in the planned level of savings of £0.292m.
- 1.4 The Directorate has brought forward balances of £(1.501)m from previous years (section 3). This will be utilised to support initiatives to reshape Trafford and deliver future efficiencies and income generation. The balance after known commitments and the forecast outturn is £(1.653)m.

2. Summary of Variances

- 2.1 The overall underspend of £(0.648)m reflects a number of individual under and overspends across the Directorate, with comments on the main variances from budget and movements from the last report shown below.

Staffing

- 2.2 Forecast staffing costs based on actual and projected vacancies are £(0.674)m less than budget across the Directorate. Vacancy levels are projected to be approximately 3.4% higher than assumed in the setting of the 2015/16 budget, and is a consequence of a delay in appointing to a number of vacancies on some service restructures. Vacancies are forecast on a post by post basis each month and the projected underspend has increased by £(0.034)m from the last report. This increase reflects updated estimates of the timing of filling vacancies during the remainder of the financial year.

Running Costs

- 2.3 General running costs are forecast to be underspent by £(0.003)m. There are a number of spending commitments (e.g. on project based activities) assumed in the projections which may cross over the financial year end period. In these cases the

budgets can be carried over in Directorate reserves if required. In addition, a one-off saving will be realised of £(0.075)m as a result of the successful settlement of a claim in relation to supplier performance in ICT where liability has been acknowledged.

Savings

- 2.4 The projected £0.292m shortfall in savings relates to Library Service and ICT proposals for 2015/16 of £0.142m and £0.150m respectively. Further details are listed below in paragraph 4.

Income

- 2.5 The £(0.188)m from additional external income is a net figure. This includes a £0.079m shortfall from CCTV services. Work is on-going to redesign the CCTV service delivery model, which has been continued from 2014/15, and will deliver sustainable benefits going forward.
- 2.6 Income relating to legal costs charged to capital schemes is also £0.027m less than budgeted. This is affected by external factors and levels of staff vacancies, and the aim is to mitigate the shortfall in line with budget for the remainder of the year.
- 2.7 There is a £0.050m shortfall in budgeted Council tax liability order income. This income reduces as council tax collection rates improve but is offset in the Council's separate Collection Fund account. It is proposed to realign this budget from 2016/17 through the Medium Term Financial Plan.
- 2.8 The income shortfalls are offset in the main by £(0.157)m of additional income from grants in the Revenues and Benefits Service. The Revenue and Benefits Service has had a number of grants awarded in-year and rolled forward from 2014/15 to support spending, leading to increased levels than budgeted at the start of the year.
- 2.9 Additional income is also included relating to events and advertising £(0.023)m plus from traded activities in Legal and Democratic Services £(0.035)m and Human Resources £(0.059)m. There is also external grant income of £(0.040)m relating to the costs of administering the Council's blue badge scheme and £(0.028)m recently notified for Safer Communities projects.

3. Reserves

- 3.1 At the end of 2014/15 the Directorate had a surplus of £(1.501)m in its reserve, which has been carried forward to 2015/16. This was a result of the successful management of the budget in previous years.
- 3.2 The remaining balance on the T&R Directorate Reserve after the forecast outturn for 2015/16, future known commitments and re-phasing of projects is £(1.653)m (table below). The T&R Reserve will be utilised on initiatives and project based activity in support of Reshaping Trafford and also to generate future savings and income generation. Commitments will be underpinned by business cases and will be reviewed each month as the financial year progresses.

Utilisation of Carry forward Reserve 2015/16	(£000's)
T&R Surplus balance brought forward at 1 April 2015	(1,501)
Commitments	496
Period 9 forecast outturn (underspend)	(648)
Balance after known commitments	(1,653)

4. Savings

- 4.1 The T&R budget for 2015/16 includes savings of £(2.848)m. This originally included £0.550m in respect of the libraries rationalisation but this figure was revised down by £0.050m when the outcome of the second phase of consultation was reported to Executive in March 2015. This reduction has been met from savings in the Treasury Management budget as a consequence of rephasing of the capital programme in 2014/15. The updated T&R savings target for 2015/16 is therefore £(2.798)m and actual savings of £(2.567)m are forecast to be achieved with £0.231m of savings re-phased and £0.061m requiring alternative solutions.

Saving Description	Savings Shortfall (£000's)
Libraries re-phased saving (a)	142
ICT re-phased procurement savings (b)	89
ICT savings not able to be realised (b)	61
Total	292

- 4.2 The shortfall in savings delivery is reflected in the forecast outturn and are summarised below:

- (a) Libraries – an overall £(0.500)m saving is included in the approved revenue budget. This includes both staffing and property cost reductions. Due to additional consultations and re-phasing of delivery plans, £(0.358)m is expected to be achieved in 2015/16. This gives a shortfall of £0.142m in-year, with the full year saving to be delivered in full during 2016/17.

The £0.142m shortfall relates to a delay in the closure of libraries (Bowfell, Davyhulme and Lostock, the redevelopment of Hale and Timperley Libraries) and changes to in-year delivery at Coppice as part of the consultation process.

Whilst the delay in implementing some library changes has impacted on savings overall there are significant benefits to the Council in terms of the final proposals agreed. With redevelopment of a number of sites to include residential dwellings which will attract new homes bonus, council tax and a capital receipt.

- (b) ICT savings of £(0.750)m are included in the approved budget. This includes staffing and contract procurement reductions. Savings of £(0.600)m are forecast to be achieved in 2015/16; a shortfall of £0.150m as follows:

- £0.089m relates to procurement processes which have taken longer than planned.
- Savings of £0.061m will not be achieved following a further technical assessment of individual proposals. This relates mainly to the installation of new back up arrangements where realisation of the saving is now unlikely and alternative measures are being sought.

The primary mitigation to address these shortfalls is via a review of all ICT Third Party spend (c. £1.8m). Work is underway with Procurement to review all contracts with the aim of aggregating the spend with fewer or single suppliers. SAP and AGMA contracts are potentially out of scope due to the nature of existing commercial arrangements. Procurement have completed the market testing and this has identified potential expressions of interest from up to 10 organisations. This information is being shared with Manchester City Council as part of the collaboration work looking to deliver improved value for money

through aggregating ICT spend across the two Councils. Arrangements have now been finalised to meet with 4 vendors during January and Manchester City Council have been invited to each of these presentations.

The current WAN (network) service was retendered in October 2015 and following evaluation of bids the contract has been awarded to Virgin Media from 1st January 2016. The expected full year savings from this date are in line with the original forecast of £(0.076)m.

- 4.3 The shortfall in savings against budget is forecast to be fully mitigated by in-year net underspends from the management and monitoring of the whole Directorate budget (e.g. through vacancies, running costs, income generation).

5. Forecasting and Risk

- 5.1 The key assumptions and areas of risk in the forecast outturn are:

- Court costs and Barrister fees are volatile, with the quantity of cases being determined in-year and the costs of the individual cases being highly variable.
- The approved budget and forecasts include assumptions around staff turnover and vacancies – this is approximately 3.5% of the staffing costs on average. The actual level and timing of vacancies is difficult to predict on a service by service basis but trends from recent years indicate overall underspend projections increase as the year progresses.
- External income can relate to external factors which are difficult to predict, such as customer behaviour, and can also be affected by unexpected changes in levels of staff vacancies.
- The Directorate has a number of budgets related to project based activities where commitments can cross over the financial year end due to the phasing of the project. This can result in underspends at financial year end which will need to be carried over to the new financial year as required.

6. Recommendations

- 6.1 It is recommended that the forecast outturn be noted.

Period 9 Forecast Outturn revenue expenditure and income variances.

The following tables detail the main variances from the revenue budget to the forecast outturn, and the movements since the last monitoring report, in both Management Accounts (“Budget Book”) format and by cause or area of impact of the variance.

Transformation and Resources Budget Book Format (Objective analysis)	Full Year Budget (£000's)	P9 Forecast Outturn (£000's)	P9 Forecast Variance (£000's)	P8 Forecast Variance (£000's)	Period Movement (£000's)
Legal and Democratic Services	2,289	2,200	(89)	(81)	(8)
Access Trafford	2,553	2,571	18	27	(9)
ICT Services	2,040	2,085	45	61	(16)
Communications	255	181	(74)	(74)	0
Finance Services	4,437	4,146	(291)	(273)	(18)
Partnerships and Communities	1,503	1,519	16	44	(28)
Culture and Sport	1,161	1,181	20	12	8
Human Resources	2,236	1,943	(293)	(283)	(10)
Executive	361	361	0	0	0
Transformation	193	193	0	0	0
Total Forecast Outturn Period 9	17,028	16,380	(648)	(567)	(81)

Transformation and Resources Business Reason / Area (Subjective analysis)	P9 Outturn Variance (£000's)	P8 Outturn Variance (£000's)	Period Movement (£000's)
Legal and Democratic Services			
Staff vacancies net of agency costs	(84)	(76)	(8)
Other running costs	7	7	0
Fee income from capital schemes - shortfall	27	27	0
Additional income – StaR Procurement	(4)	(4)	0
Other income	(35)	(35)	(6)
Sub-total	(89)	(81)	(8)
Access Trafford			
Re-phased Library savings	142	142	0
Staff vacancies – contact centre	(84)	(75)	(9)
External grant income	(40)	(40)	0
Sub-total	18	27	(9)
ICT Services			
Re-phased savings – contact procurement	89	89	0
Other savings shortfall	61	61	0
Staff vacancies	(44)	(25)	(19)
One-off contract refund	(75)	(75)	0
Other running costs/income	14	11	3
Sub-total	45	61	(16)
Communications			
Staffing and running costs	(51)	(51)	0
Events and advertising income	(23)	(23)	0
Sub-total	(74)	(74)	0
Finance Services			
Staff vacancies	(236)	(231)	(5)
Other running costs	52	65	(13)
Government Grants – Revenue and Benefits	(157)	(157)	0
Council tax liability order income - shortfall	50	50	0
Sub-total	(291)	(273)	(18)
Partnerships and Communities			
CCTV income shortfall	79	79	0
Staff costs	10	10	0
Running costs	(27)	(27)	0
Other income	(46)	(18)	(28)
Sub-total	16	44	(28)

Transformation and Resources Business Reason / Area (Subjective analysis)	P9 Outturn Variance (£000's)	P8 Outturn Variance (£000's)	Period Movement (£000's)
Culture and Support			
Income shortfall	20	12	8
Sub-total	20	12	8
Human Resources			
Staff vacancies net of agency costs	(236)	(243)	7
Running costs (e.g. training)	2	(10)	12
External agency income above target	(59)	(30)	(29)
Sub-total	(293)	(283)	(10)
Total Forecast Outturn T&R Period 9	(648)	(567)	(81)

Summary Variance Analysis Period 9

All Services	Savings £000	Staff £000	Running Costs £000	Income £000	Total Variance £000
Period 8	292	(640)	(80)	(139)	(567)
Period 9	292	(674)	(78)	(188)	(648)
Period Movement	0	(34)	2	(49)	(81)

TRAFFORD COUNCIL

Report to: Director of Finance
Date: 28 January 2016
Report for: Information
Report author: Interim Head of Financial Management

Report Title

**Revenue Budget Monitoring 2015/16 – Period 9 Outturn - Council-wide Budgets
(April 2015 to December 2015 inclusive)**

1 Outturn Forecast

- 1.1 The current approved revenue budget for the year is £23.669m. The outturn forecast is £22.141m, which is £(1.528)m under the budget, a favourable movement of £(0.187)m since the last report.
- 1.2 Appendix 1 details by variance area the projected outturn as compared to the approved revenue budget, with the main variances being;
- Treasury Management: £(1.893)m relating to Manchester Airport Group (MAG) dividends received above budget. This includes the interim dividend of £(1.245)m received in December 2015 which has been transferred to an Earmarked Reserve for use in supporting the 2016/17 budget. There is also £(0.117)m increased investment interest from favourable cash flows, and a reduction in loan interest payable of £(0.011)m.

Also a recent review of the Council's Minimum Revenue Provision (MRP) has identified savings of £(1.151)m. This MRP saving has been transferred in full to the Budget Support Reserve.
 - Business Rates - favourable impact on the Council-wide budget, £(0.303)m, a favourable movement of £(0.187)m since the last report (see paragraph 12 of the covering report);
 - Housing and Council Tax Benefits overpayment recovery net variance of £(0.017)m;
 - Members expenses – full year effect of the savings as a result of changes to the Members Allowances Scheme in September 2014, £(0.036)m and the new Government pension regulations which came into effect on 1 April 2014, £(0.014)m;
 - Coroners and Mortuary fees are higher than anticipated due mainly to higher numbers of inquests, £0.091m, partly offset by the full use of the earmarked reserve of £(0.037)m;

- Costs of the 2016/17 Budget Consultation exercise are estimated at £0.050m;
- The 2015/16 saving for the Old Car Lease scheme will be overachieved, £(0.030)m;
- Release of the unallocated general savings contingency budget, £(0.487)m;
- Other minor variances of £0.031m.

2 Service carry-forward reserve

- 2.1 Council-wide budgets do not have their own carry forward reserve, and the above underspend will be transferred to the General Reserve, as detailed in the summary report.

3 Savings

- 3.1 The Council-wide budget for 2015/16 originally included savings of £(0.310)m. This figure was increased by £(0.050)m to counter balance the shortfall in library savings (as approved by the Executive in March 2016). The updated Council-wide savings target for 2015/16 is therefore £(0.360)m and actual savings of £(0.390)m are shown below;

Council-wide Base Budget Savings 2015/16	2015/16 Revised Savings Target £000's	Forecast Saving £000's	Variance £000's
Old Car Lease Scheme	(68)	(98)	(30)
Discretionary Rate Relief to Collection Fund	(152)	(152)	-
Member's Allowances budget	(35)	(35)	-
External Audit Savings	(55)	(55)	-
Treasury Management savings *	(50)	(50)	-
Total	(360)	(390)	(30)

* This additional target has already been met from savings in the Treasury Management budget as a consequence of rephasing of the capital programme in 2014/15.

4 Forecasting and Risk

4.1 This forecast has been based on nine months of actual activity. The activity covered by Council-wide budgets is varied, and the key assumptions in the December forecast are:

- Average investment rates will be 0.81% with a cash flow of £91m.
- £5m of funds were invested on 29 September 2015 for a minimum period of 5yrs in the Church Commissioners Local Authority Property fund which is forecasted to generate annual returns of 4% to 5%.
- There will be no further Airport dividend.
- The £20m Royal Bank of Scotland variable loan will be 7.0%. There is a smoothing reserve to mitigate large variations from this assumption.
- Contingency budgets for doubtful debts and the costs of re-organisation following the implementation of budget and other savings will be sufficient. There is a contingency reserve for re-organisation costs should budgets prove insufficient.
- Council error in the award of housing benefit will be within threshold limits, and recovery of benefit overpayments will continue at previous activity levels.
- The in-year increase for the provision for bad and doubtful debts will be in line with budget.

Period 9 Outturn revenue expenditure and income variances

The following tables detail the main variances from the revenue budget to the forecasted outturn, and the movements since the last monitoring report, in both Management Accounts (“Budget Book”) format and by cause or area of impact of the variance.

Budget Book Format (Objective analysis)	Full Year Budget (£000's)	P9 Forecast Outturn (£000's)	P9 Outturn variance (£000's)	P8 Outturn variance (£000's)	Period Movement (£000's)	Ref
Finance Portfolio						
Precepts, Levies & Subscriptions	17,720	17,768	48	48		C-W5
Provisions (bad debts & pensions)	2,407	1,960	(447)	(447)		C-W6
Treasury Management	7,869	7,093	(776)	(776)		C-W1
Insurance	875	875	0	0		
Members Expenses	904	854	(50)	(50)		C-W2
Grants	(6,645)	(6,640)	5	5		
Business Rates	350	47	(303)	(116)	(187)	C-W3
Other Centrally held budgets	189	184	(5)	(5)		C-W4
Total	23,669	22,141	(1,528)	(1,341)	(187)	

Business Reason / Area (Subjective analysis)	P9 Outturn variance (£000's)	P8 Outturn variance (£000's)	Period Movement (£000's)	Ref
Treasury Management:				
- MAG Dividend	(1,893)	(1,893)		C-W1
- Investment Income	(117)	(117)		C-W1
- Debt Management	(11)	(11)		C-W1
- Transfer MAG interim dividend to Earmarked Reserve	1,245	1,245		C-W1
- Minimum Revenue Provision (MRP)	(1,151)	-	(1,151)	C-W1
- Transfer MRP saving to Budget Support Reserve	1,151	-	1,151	C-W1
Members Allowances	(50)	(50)		C-W2
Business Rates	(303)	(116)	(187)	C-W3
Housing & Council Tax benefits	(17)	(17)		C-W4
Payment Card Industry (PCI) compliance	2	2		C-W4
VAT claims - legal fees	10	10		C-W4
Flood Defence levy	(8)	(8)		C-W5
Subscriptions	7	7		C-W5
Coroners & Mortuary fees	54	54		C-W5
Magistrates Court Debt charges	(5)	(5)		C-W5
Budget Consultation	50	50		C-W6
Old Car Leasing Scheme saving	(30)	(30)		C-W6
Leisure Services CIC costs	20	20		C-W6
Release of unallocated general savings contingency budget	(487)	(487)		C-W6
Council Tax compensation grant	5	5		
Total	(1,528)	(1,341)	(187)	

NOTES ON PROJECTED VARIANCES

C-W1 – Treasury Management - £(0.776)m (favourable), £nil movement

Investments – £(0.765)m (favourable)

This additional income has been created as a result of:

- the original dividend received from Manchester Airport Group (MAG) in July 2015 was £(2.0)m. MAG also announced their interim results for 2015/16 in November 2015 and have paid a further total dividend of £(38.6)m across the members of the Group, which for Trafford equates to £(1.245)m, bringing the total dividend for the year to £(3.245)m. This is now £(1.893)m above budget. The interim dividend of £(1.245)m has been transferred to an Earmarked Reserve for use in supporting the 2016/17 budget;
- a favourable increase in cash flow, generating £(0.034)m of additional investment income, primarily due to capital programme rephasing and grant monies received ahead of schedule;
- £5m of funds were invested on 29 September 2015 for a minimum period of 5yrs in the Church Commissioners Local Authority Property fund which is forecasted to generate annual returns of between 4% and 5%, equivalent to additional investment income above budget of £(0.083)m.

Debt – £(0.011)m (favourable)

Lower than anticipated loan interest payable £(0.011)m.

A recent review of the Council's annual Minimum Revenue Provision (MRP) charge for capital expenditure incurred prior to 2008 has identified both short to medium term revenue savings as reported to Members at the January 2016 Council meeting. By adopting this revised approach a revenue saving of £(1.151)m will be generated in 2015/16. This saving has been transferred to the Budget Support Reserve.

C-W2 – Members Expenses - £(0.050)m (favourable), £nil movement

Changes to the Members Allowances Scheme were approved at the Council meeting on 17 September 2014 following a report from the Independent Remuneration Panel (IRP). The changes have generated annual savings of approximately £(0.036)m.

Government legislation, effective from 1 April 2014, has removed the access to a Local Government Pension Scheme for Councillors. This is on a phased basis and will be applied to those Councillors re-elected in the May local elections over 3 years. The budget saving in 2015/16 will be £(0.014)m.

C-W3 – Business Rates - £(0.303)m (favourable), £(0.187)m favourable movement

See notes in paragraph 12 of the covering report.

C-W4 – Other Centrally held budgets - £(0.005)m (favourable), £nil movement

- **Housing & Council Tax Benefits - £(0.017)m**

The Council Tax Benefit Scheme ceased in 2013 and was replaced by the Council Tax Support Scheme. Any recovery of overpaid Council Tax Benefit from previous years is retained by the Council and the outturn for 2015/16 is £(0.036)m. The credit from the recovery of overpaid Council Tax Benefit is difficult to predict and will eventually taper off.

There is a net variance of £0.019m within the Housing Benefit budget, as a consequence of a reduction in the net amount of Housing Benefit being paid out. The Council has increased its activities relating to identifying fraudulent Housing Benefit applications and as a consequence has identified a larger number of cases where claimants have understated their earnings. Too much housing benefit has been paid and this has subsequently resulted in a loss of subsidy to the Council. Steps are currently being taken to recover these overpayments, however projections of amounts being recouped are not updated until there is evidence to support actual cash being received.

- **Other minor variances £0.012m.**

C-W5 – Precepts, Levies & Subscriptions - £0.048m (adverse), £nil movement

- **Coroners & Mortuary fees - £0.054m**

The cost of the Coroners service, which is shared between Stockport, Trafford and Tameside Councils, has increased significantly due to the following factors:

- Increasing volume of inquests, resulting in the need for an additional court and hence an increase in associated costs;
- Deprivation of Liberty status (DOLS) is placing a further demand on the number of inquests. All DOLS cases deaths require an inquest;
- Pressures from increasing costs of toxicology and transport;
- Extra demands placed on the service from disclosure of information requests.

The additional costs for Trafford in 2015/16 are £0.091m and have been partly offset by the use of the earmarked reserve of £(0.037)m, which was specifically set up for such an eventuality. Also, the impact of these additional costs in the future has been included in the Medium Term Financial Plan.

- **Other minor variances £(0.006)m.**

C-W6 – Provisions - £(0.447)m (favourable), £nil movement.

- 2016/17 Budget Consultation – the estimated costs of employing an independent company to oversee the budget consultation process, £0.050m;
- The 2015/16 saving from the Old Car Lease scheme will be overachieved due to employees leaving the scheme earlier than anticipated, £(0.030)m;
- On 30 July 2015 The Executive Member for Communities and Partnerships approved that a Community Interest Company (CIC) be established to run the leisure services, previously provided by Trafford Community Leisure Trust.

Trafford Leisure CIC took over the running of the leisure facilities on 1st October 2015. Two firms of specialists were also employed by the Council to advise on legal and VAT matters during the transition to the CIC. These costs currently totaling £0.020m are included in the outturn figure above.

- The original Council-wide budget for 2015/16 included a one off allowance of £0.700m as a general contingency to cushion against possible slippage in the delivery of the significant savings programme in 2015/16. Of this £0.085m was released to cover budget pressures regarding Market Management, £0.055m for Gorse Hill Studios and £0.073m for Early Help Delivery Model. The unallocated balance of £0.487m was included as a budget saving in the Period 7 report.

TRAFFORD COUNCIL

Report to: Executive
Date: 17 February 2016
Report for: Decision
Report of: The Executive Member for Finance and
the Director of Finance

Report Title

**CAPITAL INVESTMENT PROGRAMME MONITORING 2015/16
3rd Quarter (April – December)**

Summary

This report summarises the budget position for the period to 31 December 2015. The salient features are:

- The updated 2015/16 budget approved in November 2015 was £44.3m. Taking into account minor amendments in the third quarter the programme has increased to £44.6m. (see Appendix 1)
- Capital expenditure to date is £22.1m, being 49.6% of the budget with an outturn projection for 2015/16 of £36.7m. (see Appendix 2 for detail by service area).

Recommendation(s)

1. That the amendments to the 2015/16 Capital Investment Programme be approved.
2. That the monitoring report be noted.

Contact person for access to background papers and further information:

Name: Mark Hughes
Extension: 2072

Background Papers – None

Implications:

Relationship to Policy Framework/Corporate Priorities	Value for Money
Financial	Capital expenditure to be contained within available resources in 2015/16.
Legal Implications:	None arising out of this report
Equality/Diversity Implications	None arising out of this report
Sustainability Implications	None arising out of this report
Staffing/E-Government/Asset Management Implications	A number of improvement schemes are being undertaken in 2015/16.
Risk Management Implications	Not Applicable
Health and Safety Implications	A number of schemes are being undertaken in 2015/16 on the grounds of health and safety.

1. Capital Investment Programme Update

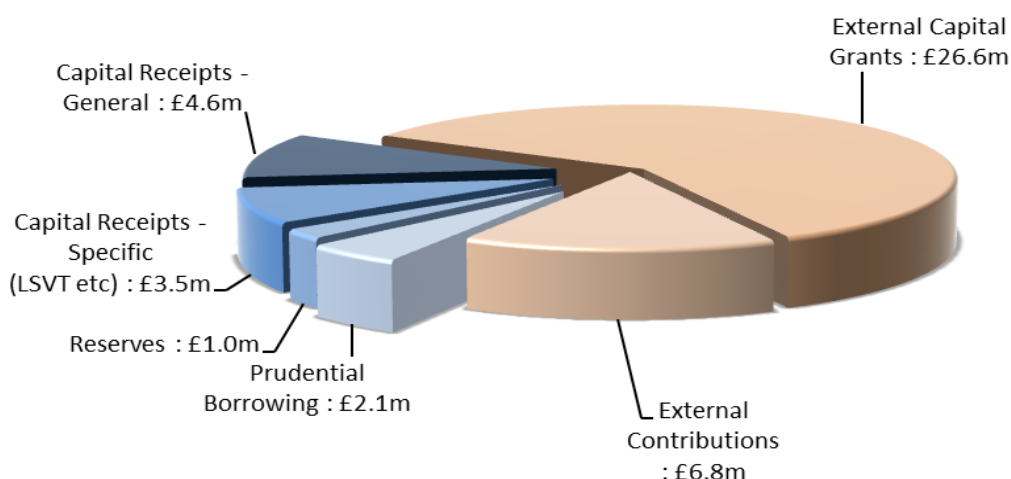
- 1.1 This report summarises the current position and progress of the 2015/16 Capital Investment Programme and its' financing as at 31 December 2015. It takes into account both financial and scheme progress monitoring undertaken with service area project officers.
- 1.2 Capital expenditure in 2015/16 is currently estimated at £44.6m which is an increase of £0.3m from the budget estimate agreed in the Q2 Monitor Report in November 2015 (see Appendix 1). The increase is as a result of:
- In partnership with the Trafford Clinical Commissioning Group (CCG) the Council has agreed to develop Davyhulme Library into a Doctor's Surgery, which the CCG will then lease. The CCG has agreed to fund £300k of the costs of the refurbishment with £70k of this funding previously approved. The balance has now been confirmed and added to the capital programme.
 - A grant award of £26k has been awarded by The Arts Council to improve the Wifi provision in libraries.
 - £32k of S106 contributions has been added to the programme to support the Old Trafford Green Streets initiative.
- 1.3 Whilst the latest budget is £44.6m the likely projected outturn expenditure is now forecast to be £36.7m. The Quarter 2 monitor reported expected outturn of £40.6m as a result of:
- **CFW** – £0.9m across schools and social care services
 - **EGEI** – £1.9m across a range of Corporate Landlord Budgets (£0.5m), LED Replacement Programme (£0.9m), additional burial land (£0.4m) and highways (£0.1m)
 - **T&R** – £0.9m across a number of ICT budgets.
- 1.4 Following further information and assessment over the quarter the likely projected outturn is expected to reduce further by £3.9m to £36.7m. This reduction is as a result of:
- **The Metrolink Extension into Trafford Park - £3.0m** : the scheme has been subject to a Public Inquiry and is waiting on a Transport and Works Act Order, which is expected in the new financial year. Trafford's contribution for 2015/16 will not now be utilised in year.

- **Corporate Landlord schemes - £0.7m** : £0.4m being the council's contribution toward the new community facility in Broadheath and £0.3m across a range of mechanical & electrical and public building repair budgets not yet committed in 205/16
- **ICT SAP Developments – £0.2m**: for improvements to the front-end accesses to the SAP financial systems.

2 Resourcing

- 2.1 The chart below shows the types and levels of resource available to finance the Capital Investment Programme. Internal funding of £11.2m equates to 25% of the total funding requirement, whilst external funding makes up the balance of £33.4m with 80% of this being government grants (£26.6m).

**Capital Programme 2015-16 (£44.6m)
Financing by Resource Type**



- 2.2 The current estimate of capital receipts has been updated to reflect the latest information from the Land Sales Programme (LSP). The table below shows the current value of estimated capital receipts available to support the capital budget. The overall position is currently a surplus of £4.0m.

Impact on 2015/18 Capital Investment Programme	2015/16 £m	2016/17 £m	2017/18 £m	Total £m
Resources available :				
Current Land Sales Programme	(2.2)	(4.4)	(6.5)	(13.1)
Receipts carried forward from earlier years (incl LSVT VAT receipts)	(11.1)			(11.1)
Other specific receipts	(0.3)			(0.3)
Gross value of LSP	(13.6)	(4.4)	(6.5)	24.5
Less:-				
Disposal costs	0.1	0.1	0.2	0.4
Voluntary repayment of debt (re Long Term Accommodation)	1.4			1.4

Receipts required to be set aside in lieu of Sale Waterside PFI Minimum Revenue Provision	0.2	0.2	0.2	0.6
Net value of LSP	(11.9)	(4.1)	(6.1)	(22.1)
Capital Programme requirement	8.5	7.3	2.3	18.1
Current (Surplus)/Deficit at Q3	(3.4)	3.2	(3.8)	(4.0)

- 2.3 The current surplus, as detailed above, has been included in the plans for the new three year capital investment programme for 2016/19.
- 2.4 An amount of £0.9m is allocated to projects that are not proceeding in 2015/16 and this has been diverted to support the 2016/19 updated capital programme as reported to the Executive on 17 February 2016. The budgets identified as un-committed are:
- Community Asset Transfer - £0.5m
 - Corporate Landlord Budgets - £0.3m
 - Housing Standards / Empty Property Initiative grants - £0.1m

3. Actual Expenditure – 3rd Quarter (April – December)

- 3.1 There are 260 schemes currently allocated in the capital investment programme. Schemes have been reviewed with project officers for both physical and financial progress. The review provides a robust plan for schemes and projections of expenditure in the year.
- 3.2 Actual expenditure for the third quarter of the financial year is £22.1m and a service area breakdown is shown below along with a budget profiled against the expected start and completion dates of projects. Further service area details are shown in Appendix 2.

Capital Investment Programme : Expenditure at Quarter 3 2015/16	2015/16 Budget £m	Profiled Budget £m	Q3 Spend £m	%age of budget
Portfolio Analysis :				
Adult Social Services & Community Wellbeing	4.0	2.5	1.9	76.0%
Children's Services:				
Schools	17.5	13.2	12.4	94.7%
Other	0.1	-	-	0.0%
Communities & Partnerships	1.2	0.4	0.3	75.0%
Economic Growth & Planning	3.8	2.7	2.6	96.3%
Environment & Operations	15.1	4.9	4.1	83.7%
Transformation & Resources	2.9	0.7	0.8	114.3%
Total	44.6	24.4	22.1	90.6%
Service Analysis :				
Children, Families & Wellbeing	21.6	15.7	14.3	91.1%
Economic Growth, Environment & Infrastructure	20.1	8.0	7.0	87.5%
Transformation & Resources	2.9	0.7	0.8	114.3%
Total	44.6	24.4	22.1	90.6%

- 3.3 Expenditure incurred to date amounts to £22.1m, the main areas of spend are:
- **£12.4m** on a number of ongoing schools schemes which will provide additional school places and address condition issues through rewire, boiler, roof and kitchen ventilation works.
 - **£1.9m** on range of Adult Social Care schemes including Disabled Facilities Grants, Assistive Technology and the extension of Liquid Logic ICT system.
 - **£3.7m** from a budget of £11.2m for a range of highways & transport schemes, that have now been approved and preliminary work started.
 - **£1.8m** on the development of town centres across the borough, including design works for major redevelopment of Altrincham and Stretford and the completion of improvements to the pedestrian areas of Sale.
 - **£0.6m** on a range of Corporate Landlord schemes including Altrincham Crematorium (£0.3m) and Davyhulme Library conversion (£0.3m)
 - **£0.5m** on the new Customer Relationship Management ICT system.
 - **£0.4m** on a range of Sustainability & Greenspace projects.
- 3.4 Capital expenditure is currently only 49.6% of the annual Capital Programme, but as can be seen in the table above is closer to 91% of the profiled budget. Performance at this point is better than 2014/15, which was 62%, and it is expected that outturn spend will be £36.7m, £10.2m better than last year.

Other Options

Not applicable. Decisions about any review of the Capital Investment Programme will be taken in February 2016.

Consultation

Not applicable.

Reasons for Recommendation

Additional resources have been received by the Council and the projects upon which these monies will be spent need to be formally adopted into the Capital Investment Programme.

Finance Officer ClearanceMH.....

Legal Officer ClearanceHK.....

Director of Finance

Signature appended in hard copy

To confirm that the Financial and Legal Implications have been considered and the Executive Member has cleared the report.

Appendix 1

Capital Investment Programme 2015/16 : Budget changes during Quarter 3		Budget 2015/16 £'000	Budget 2015/16 £'000
<i>Budget reported at Quarter 2</i>			44,266
<i>Amendments during Quarter 3</i>			
New Schemes & Increases	Financed :		
Davyhulme Library : Conversion to doctors surgery	NHS	230	
Old Trafford – Green Streets Initiative	S.106	32	
Libraries – Improved Wi-Fi provision	Arts Council	26	
Cycle City Ambition Programme	TfGM	15	
Stamford Park School – Electrical Works	S.106	4	307
Budget at 31 December 2015			44,573

Children, Families & Wellbeing

Capital Investment Programme 2015/16	Budget 2015/16 £m	Q3 Profiled Budget £m	Q3 Expend 2015/16 £m	Proportion of budget
Quarter 3 Budget	21.6	15.7		
Schools				
Primary Schools	10.5	8.4	7.2	85.7%
Secondary Schools	0.7	0.4	0.4	100.0%
Special Schools	5.7	3.9	4.5	115.4%
Other Schemes	0.6	0.5	0.3	60.0%
Children & Adult Social Care	4.1	2.5	1.9	76.0%
Total	21.6	15.7	14.3	91.1%

Schools – The major schemes within this area include:

- **Schools Basic Need Grant:** The 2015/16 budgets for these projects total £14.0m. Included in this are four major projects:
 - Brentwood School - £5.5m
 - Bowdon CoE Primary School - £3.5m
 - Oldfield Brow Primary School - £2.8m
 - Willows Primary School - £0.9m

The schemes at Willows Primary School and Bowdon CoE Primary School are now complete. The scheme at Brentwood School is currently six weeks ahead of schedule and others projects are on site with project officers confident that the budgets will be fully utilised in the year.
- **Capital Maintenance Grant:** A budget of £2.2m is programmed for 2015/16 across 25 new schemes and retentions on 10 schemes undertaken in 2014/15. The works cover a range of condition issues, including rewires, boilers, roofs and kitchen ventilation. 19 of the schemes have been completed over the school summer holidays with the balance due to complete over the February half-term holidays.

Children and Adult Social Care – The major schemes included in the report are:

- Disabled Facilities Grants : £1.9m - £1.0m has been incurred to date continuing the provision of grant to support adaptations which allow people to remain independent in their own homes. Expenditure levels are lower than projected at only 55%, however it is anticipated that costs currently held as work-in-progress will be charged and expenditure will reach budget levels by year-end.
- Replacement ICT System for Social Care : £0.7m – The new project to allow for integration of children social care requirements has begun, however it is not now expected to complete by the end of the year.
- Telecare & Assistive Technology : £0.4m - £0.3m has been incurred on the continuing provision of equipment to support older people in their own homes.
- Personal Social Services Grant : £0.8m - £0.5m of this has been earmarked to support the introduction of Agile Working for social care staff in 2016/17.

Economic Growth, Environment & Infrastructure

Capital Investment Programme 2015/16	Budget 2015/16 £m	Q3 Profiled Budget £m	Q3 Expend 2015/16 £m	Proportion of budget
Quarter 3 Budget	20.1	8.0		
Corporate Landlord				
Mechanical & Electrical	0.3	-	-	
Health & Safety (inc DDA)	0.4	0.3	0.1	33.3%
Public Building Repairs	2.0	0.7	0.4	57.1%
Long Term Accommodation	0.1	0.1	0.1	100.0%
Regeneration & Strategic Planning	3.8	1.6	1.9	118.8%
Housing Services	0.1	-	-	-
Highways				
Traffic & Transport	6.4	2.1	1.3	61.9%
Highway Maintenance	4.6	2.2	2.4	109.1%
Bridges	0.3	0.1	0.1	100.0%
Bereavement Services	0.8	0.3	0.3	100.0%
Sustainability & Greenspace	1.0	0.5	0.4	80.0%
Public Protection	0.3	0.1	-	-
Total	20.1	8.0	7.0	87.5%

The major schemes within this Service Area are:

- Corporate Landlord Works: £2.8m** – A range of works are due to be undertaken to protect the Council's assets in year. The Corporate Landlord Group has agreed a number of schemes covering M&E, DDA and Public Building Repairs work which are to be undertaken as part of the Joint Venture with Amey. The expenditure to date relates primarily to the completion of schemes started in previous years. Work is underway with Amey as part of the One Trafford Partnership to re-profile expenditure for the remainder of the year. It is anticipated that the £1.2m of the budget will be spent by the end of the year. A number of schemes are on hold pending the review of Leisure Services and also £757k remains uncommitted and has been incorporated in the proposals for the 2016/19 Capital Investment Programme. Work to convert Davyhulme Library into a doctors' surgery is now complete and the surgery opened in mid-December.
- Town Centre Regeneration: £3.8m** – Work to bring town centres back to life and to encourage business opportunities. Phase 1 of the development of Altrincham is now complete with phase 2 now underway. The Stretford town centre option appraisal for proposed Public Realm Works is nearing completion. It is intended that detailed design for Phase 1 Public Realm Works will commence in the 2nd quarter of 2016

- **Highways Related Schemes : £11.3m** – This area includes :
 - *Highways Structural Maintenance (inc bridges)* – 32 schemes with a budget of £2.2m. A programme of works to be undertaken as part of the Joint Venture has been agreed with the majority of projects starting in the second half of the year. A number are already complete, all are expected to complete in 2015/16
 - *Integrated Transport Programme* – 26 schemes with a budget of £0.7m. Progress in line with Highways Structural Maintenance above.
 - *Street Lighting and LED Replacement Programme - £1.2m*. As part of the Joint Venture the first payments for the LED Replacement Programme will not now be made until April 2016.
 - *Major Projects - £6.8m* - Includes Trafford's contribution to the extension of the Metrolink and Altrincham Interchange improvements. The first of the contributions to the Metrolink (£3m) is not now expected to be paid in 2015/16. Whilst the TfGM funded schemes on the Bridgewater Way, Cycling Initiatives and Better Bus Routes are now practically complete.
 - The second phase of the TfGM funded City Cycle Ambition initiative has now been approved with Trafford receiving grant totalling £1.8m. Three projects will commence in 2015/16 with a budget of £0.4m.

- **Sustainability & Greenspace: £1.0m** – Schemes for the improvement and provision of open spaces, parks and play areas including the upgrade of equipment and the improvement of paths and lighting. Following the addition of £0.3m of S.106 funded projects included in the last report schemes are progressing through the design and consultation stages with the expectation that all will be complete in year.

- **Bereavement Services - £0.8m**
 - *Additional Burial Land - £0.4m*: Agreement has been reached for the purchase of additional burial land in Altrincham conditional on a planning consent. The planning application which was submitted in October 2015 was withdrawn whilst awaiting more information relating to ground conditions. A hydro geotechnical survey is to be carried out shortly to provide the additional information with a view to re-submitting the application.
 - *Altrincham Crematorium cremators - £0.5m*: Work to replace the two cremators is now complete, with the emissions abatement equipment installed by year-end.

Transformation & Resources

Capital Investment Programme 2015/16	Budget 2015/16 £m	Q3 Profiled Budget £m	Q3 Expend 2015/16 £m	Proportion of budget
Quarter 3 Budget	2.9	0.7		
Performance & Improvement	0.3	-	-	-
Information Technology	2.6	0.7	0.8	114.3%
Total	2.9	0.7	0.8	114.3%

The majority of the budget within this Service Area relates to ICT schemes

The major schemes programmed for 2015/16 include:

- **CRM Replacement/ Upgrade: £1.8m** – The implementation of the programme is now on-going with progress on each stage as expected. The final stage is expected to go-live in November 2016
- **Other ICT Projects: £0.8m** – A review of ICT projects has been undertaken and has identified that the SAP Development scheme will now be undertaken in 2016/17. Schemes expected to delivered in this year will continue Trafford's support of the Greater Manchester Broadband initiative, complete the ICT provision for members and ensure Councils ICT systems are secure .