



City of Westminster

# Cabinet Agenda

Title: **Cabinet**

Meeting Date: **Monday 19th February, 2018**

Time: **7.00 pm**

Venue: **Room 3.1, 3rd Floor, 5 Strand, London, WC2 5HR**

Members: **Councillors:**

|                         |                  |
|-------------------------|------------------|
| Nickie Aiken (Chairman) | David Harvey     |
| Heather Acton           | Richard Holloway |
| Daniel Astaire          | Tim Mitchell     |
| Danny Chalkley          | Rachael Robathan |
| Robert Davis, MBE, DL   |                  |

Also Attending: Councillors Richard Beddoe and Angela Harvey

**Members of the public are welcome to attend the meeting and listen to the discussion Part 1 of the Agenda**

**Admission to the public gallery is by ticket, issued from the ground floor reception from 6.00pm. If you have a disability and require any special assistance please contact the Committee Officer (details listed below) in advance of the meeting.**



**An Induction loop operates to enhance sound for anyone wearing a hearing aid or using a transmitter. If you require any further information, please contact the Committee Officer, Mick Steward, Head of Committee and Governance Services.**

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Corporate Website: [www.westminster.gov.uk](http://www.westminster.gov.uk)**

**Note for Members:** Members are reminded that Officer contacts are shown at the end of each report and Members are welcome to raise questions in advance of the meeting. With regard to item 2, guidance on declarations of interests is included in the Code of Governance; if Members and Officers have any particular questions they should contact the Director of Law in advance of the meeting please.

## **AGENDA**

### **PART 1 (IN PUBLIC)**

**1. WELCOME**

**2. DECLARATIONS OF INTEREST**

To receive declarations by Members and Officers of the existence and nature of any personal or prejudicial interests in matters on this agenda.

**3. MINUTES**

To approve the minutes of the meeting held on 4 December 2017.

**(Pages 1 - 12)**

**4. 2018-2019 BUDGET AND COUNCIL TAX REPORT**

Report of the City Treasurer.

**(Pages 13 - 762)**

**5. CAPITAL STRATEGY 2018/19 TO 2022/23 FORECAST POSITION FOR 2017-2018 AND FUTURE YEARS FORECASTS SUMMARISED UP TO 2031-2032**

Report of the City Treasurer.

**(Pages 763 - 818)**

**6. INTEGRATED INVESTMENT FRAMEWORK**

Report of the City Treasurer.

**(Pages 819 - 838)**

**7. HOUSING INVESTMENT STRATEGY AND HOUSING REVENUE ACCOUNT BUSINESS PLAN 2018-2019**

Report of the City Treasurer.

**(Pages 839 - 890)**

**8. TREASURY MANAGEMENT STRATEGY STATEMENT FOR 2018-2019 TO 2022-2023**

Report of the City Treasurer

**(Pages 891 - 922)**

- |  |                           |
|--|---------------------------|
| <b>9. COUNCIL PAY POLICY 2018-2019</b>   | <b>(Pages 923 - 930)</b>  |
| Report of the Director of People Services.   |                           |
| <b>10. WESTMINSTER COMMUNITY HOMES: LEGISLATIVE CHANGES TO GOVERNANCE ARRANGEMENTS</b> | <b>(Pages 931 - 938)</b>  |
| Report of the Executive Director, Growth, Planning and Housing                         |                           |
| <b>11. SAFEGUARDING ADULTS EXECUTIVE BOARD ANNUAL REPORT 2016- 2017</b>                | <b>(Pages 939 - 972)</b>  |
| Report of the Bi-borough Executive Director of Adult Social Care and Health            |                           |
| <b>12. LOCAL SAFEGUARDING CHILDREN'S BOARD ANNUAL REPORT 2016-2017</b>                 | <b>(Pages 973 - 1032)</b> |
| Report of the Executive Director of Childrens Services.                                |                           |

**Stuart Love**  
**Chief Executive**  
**9 February 2018**

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CITY OF WESTMINSTER

## MINUTES

### Cabinet

#### MINUTES OF PROCEEDINGS

Minutes of a meeting of the **Cabinet** held on **Monday 4th December, 2017**, Room 3.1, 3rd Floor, 5 Strand, London, WC2 5HR.

**Members Present:** Councillors Nickie Aiken (Chairman), Heather Acton, Daniel Astaire, Danny Chalkley, Robert Davis MBE, DL, David Harvey, Tim Mitchell, Rachael Robathan and Richard Holloway.

**Also Present:** Councillors Richard Beddoe, Barbara Grahame, Aicha Less and Aziz Toki.

#### 1 WELCOME

1.1 The Leader welcomed everyone to the meeting.

#### 2 DECLARATIONS OF INTEREST

2.1 There were no declarations of interest.

#### 3 MINUTES (30.10.17)

3.1 The Leader, with the consent of the Members present, signed the minutes of the meeting held on 30 October 2017 as a true and correct record of the proceedings.

#### 4 CHURCH STREET MASTERPLAN

4.1 Councillor Rachael Robathan, Cabinet Member for Housing, introduced the item and stated that there had been a re-consideration of how to deliver more housing, particularly affordable housing, improve the market including providing more market space, and to increase green space by 40% for Church Street. The Church Street Masterplan did not seek to provide detailed plans, but to set a framework for other plans that would require further, subsequent approvals. The Masterplan covered a 20 year period which set out an ambitious framework for Church Street. Councillor Robathan stated that the consultation on the Masterplan had been extended to 2 months following a request from Ward Councillors and there had been significant engagement with local residents and businesses, with a number of consultation events held. Furthermore, the Housing, Finance and Corporate

Services Policy and Scrutiny Committee had recognised that the consultation had gone well.

- 4.2 Councillor Robathan thanked the Church Street Futures Steering Group for its input during the consultation and commented on the Steering Group's broad representation which included residents, businesses, neighbourhood forums and Ward Councillors. The Steering Group played an important role as a partner to the Council in providing advice and challenging and testing ideas.
- 4.3 Councillor Aicha Less then addressed the Cabinet as a Ward Councillor. Councillor Less stated that Ward Councillors were generally supportive of the Church Street Masterplan which the area needed and which also had the support of local residents. Councillor Less stated that she knew the area well as she lives locally and that Church Street had a unique and vibrant community. She stated that the Residents Committee had worked tirelessly to ensure that the Masterplan had the right balance and had made a significant contribution to the consultation. However, Councillor Less felt that there had not been much reference to the Residents Committee in the report and some of their comments had not been taken on board and this needed to be addressed. Residents had particular concerns about proposals for a 16 storey building on the south side of Church Street and she suggested that this proposal be put on hold whilst a policy for tall buildings was established. Councillor Less stated that she awaited a response from CityWest Homes in respect of their assessment of the conditions of the existing blocks and that a thorough survey should be undertaken. She also was not aware of any proposals for an alternative sheltered housing after Lambourne House was to be demolished.
- 4.4 Councillor Barbara Grahame, a Ward Councillor, then addressed the Cabinet on behalf of residents, including Alan Stirling who had lived in the area for a number of years. Councillor Grahame began by stating that the original Masterplan's proposals would have provided insufficient housing, especially as Church Street was very densely populated and absorbing new homes would be difficult. The local community had been offered the opportunity to shape the Masterplan during the consultation and Councillor Grahame asked whether the views expressed in the consultation had made any changes to the Masterplan. Councillor Grahame stated that business and local residents wanted a guarantee that they would help shape the future of the area. Residents wanted the area regenerated, however it was not clear whether the Council appreciated the specific needs of the community and a detailed understanding of this was required. Councillor Grahame welcomed putting together a Masterplan, however she felt its vision was not as good as it could be. She also felt that the comments made in the consultation had not appeared to have made an impact on the Masterplan. In respect of the 16 storey tower proposed on the south side of Church Street, Councillor Grahame felt this would overshadow the market. Councillor Grahame stated that Alan Stirling was complimentary of the designs and thoughtfulness overall of the Masterplan, however there was a need to address the specific and complex needs of the local community and that the comments made in the consultation should be incorporated into the Masterplan.

- 4.5 Barbara Brownlee, Executive Director for Growth, Planning and Housing then addressed the Cabinet and in response to comments from Ward Councillors. She welcomed the helpful comments that had been submitted during the consultation. The Neighbourhood Forum played an important role in helping to develop the Masterplan and it was working jointly with Church Street Futures Steering Group. In respect of height of buildings, this would be subject to debate and consideration would be given to matters such as capacity and what constituted good growth. Barbara Brownlee emphasised that each site would be subject to detailed consultation and spatial needs and costs would be considered. Future plans would incorporate comments made during the consultations and residents would play a key role in this. In respect of Lambourne House, plans would be progressed very carefully and individual needs assessments would be carried out on a case by case basis.
- 4.6 Barbara Brownlee stated that Church Street was a unique community and no-one would be required to move away from the area. In respect of density, there was currently a lack of green space and there was a need to increase this, especially as the number of residents would increase and this was addressed in the Masterplan. Barbara Brownlee advised that the amendments made to the Masterplan following comments made in the consultation were set out and cross referenced on page 151 of the report. She stated that she would seek a response from CityWest Homes regarding undertaking condition assessments for each block. A decision on the 16 storey building on the south side of Church Street would be subject to the tall buildings consultation. Barbara Brownlee concluded by stating that the Masterplan was just the beginning of the process of regenerating Church Street and steps would continue to be made to develop the Futures Plan and the Church Street Futures Steering Group would play a key role in this.
- 4.7 Councillor Robert Davis MBE, DL, Deputy Leader and Cabinet Member for Business, Culture and Heritage, welcomed the initiatives outlined in the Masterplan, particularly in respect of the market and he looked forward to helping develop and support the proposals. Councillor Heather Acton, Cabinet Member for Adult Social Services and Public Health also expressed her support for the Masterplan, including the intention to increase green spaces and to provide more connectivity for the community. She also felt there was even more potential for the Masterplan to support health and wellbeing and she welcomed being given the opportunity to look at individual projects in more detail to promote this.
- 4.8 Councillor Daniel Astaire, Cabinet Member for Planning and Public Realm, acknowledged that the area had complex needs and the consultation had played an important role in identifying these. He welcomed residents' support for regeneration, however he emphasised the need to demonstrate to residents that the proposals in the Masterplan would be delivered. Councillor Robathan also welcomed residents' support for regeneration and consideration needed to be given as to how to build on local support. She added that consultation with residents would be ongoing and individual approval would be required for each site being developed.

4.9 The Leader stated that the Masterplan provided the overall framework for future plans for Church Street and she welcomed the opportunity to continue to work with residents to help shape and build the community they deserve.

**4.10 RESOLVED:**

1. That Appendix 3 be exempt from publication under Section 100 (A) (4) and Part 1 of Schedule 12A to the Local Government Act 1972 (as amended) as it contains information which should be exempt from publication in that it contains information relating to the business and financial affairs of the authority.
2. That the Church Street Masterplan Consultation Report be noted and on the basis of the proposed amendments to that document as a result of the consultation approved the Church Street masterplan as the Council's delivery framework for the regeneration programme in Church Street.
3. That it be noted that further consultation will need to be undertaken on each area where a Compulsory Purchase Order may in the future be required on the full range of options to include the "do nothing" or maintenance only and refurbishment options as well as development options.
4. That authority be delegated to the City Treasurer to enter into a funding agreement with the Greater London Authority to formalize the terms of the second phase of the Edgware Road Housing Zone funding.
5. That authority be delegated to the Executive Director of Growth, Planning and Housing to approve acquisitions by the Council to acquire all leasehold interests in the blocks proposed for demolition (if a development option is approved in the future) situated within sites A, B and C, that are in addition to those identified in the Futures Plan where approval exists to offer the compensation policies within the Council's Policy on Leaseholders in Housing Renewal Area, designated as Church Street site 2, Blackwater House and Eden House, by agreement at market price.
6. That authority be delegated to the Executive Director of Growth, Planning and Housing to approve spending on feasibility activity in line with the Housing Revenue Account business plan.

**4.11 Reasons for Decision**

The decisions requested in this report will enable the Church Street Regeneration Programme to move into the next stage of detailed due diligence on the Phase 2 schemes proposals. It will also ensure that the funding from the Greater London Authority is secured to enable further consultation on areas where we need to use compulsory purchase powers and if the development option is chosen, enable programmes to move into delivery. The Church Street masterplan provides a background to the Council's aspirations for the area. It is a formal non-statutory statement of

policy which can be taken into account in the preparation of any planning applications which may come forward in the Church Street ward.

## **5 AGREEMENT OF BI-BOROUGH SERVICES IN CHILDRENS SERVICES, ADULT SOCIAL CARE AND PUBLIC HEALTH**

- 5.1 Charlie Parker, Chief Executive, introduced the item and stated that the report provided an update on bi-borough services discussions that had started in March following Cabinet's decision to serve notice on the London Borough of Hammersmith and Fulham (LBHF). A Members Steering Group had been set up and the report included a number of proposals in respect of bi-borough services.
- 5.2 Siobhan Coldwell, Chief of Staff, Chief Executive's Office, then addressed the Cabinet and stated that considerable time had been spent developing proposals for new structures over the last few months and these intended to deliver savings whilst not impacting on services. It was intended to continue to share a number of services with the Royal Borough of Kensington and Chelsea. Siobhan Coldwell referred to estimated costs to the Council as set out in section 14.2 of the report and stated that every effort had been made to mitigate costs where possible. The proposed integrated commissioning would also provide resilience and career structures.
- 5.3 Siobhan Coldwell advised that it was proposed that more IT related areas in respect of Adult Social Care would move back to the Council and RBKC on a bi-borough basis. A small number of services would remain tri-borough where they were operating well and where there would be little sense in scaling these down. Although there was potential upheaval for some staff, most would not be impacted by the changes. Where staff are to be affected, redeployment options would be explored. Siobhan Coldwell stated that there was a 12 month exit process in respect of terminating the Section 113 agreement with LBHF and it was expected that most of transition to bi-borough services would be completed by March 2018, however a longer time for completion to bi-borough arrangements would be given in areas where this made sense. However, it was anticipated that the bi-borough transition would be complete by the end of the 2018-19 financial year. Siobhan Coldwell added that the final costs of the changes would not be known until next year.
- 5.4 Councillor Davis, in acknowledging that this was Siobhan Coldwell's last Cabinet meeting before leaving the Council to take up another post, thanked her for all her work. Councillor Acton echoed Councillor Davis's comments and commented that it was important to maintain services in respect of Adult Social Care and Public Health.
- 5.5 The Leader stated that the Council had not initially wanted to withdraw from tri-borough arrangements, however it had little choice but to do so because of LBHF's situation. She thanked officers for the work that had been put into proposing bi-borough arrangements.

## 5.6 **RESOLVED:**

That Cabinet:

1. Approved the proposal to enter a shared service arrangement with the Royal Borough of Kensington and Chelsea (RBKC) for Children's, Adults and Public Health Services.
2. Approved the timetable for transition to the new service arrangements as outlined in the report and noted that some elements will be phased.
3. Approved the proposal to continue sharing a small number of services with both RBKC and London Borough of Hammersmith and Fulham (LBHF), where economies of scale and or quality of service indicate this is the best way forward.
4. Noted the proposal to establish a collaboration agreement with RBKC and LBHF in respect of the services covered in decision 3 above.
5. Delegated authority, following consultation with the Leader and relevant cabinet members, to sign Section 113 agreements in respect of Children's Services, Adult Social Care and Public Health with RBKC to relevant officers.
6. Delegated authority to the Chief Executives of RBKC and Westminster City Council to make minor changes to the proposed structures and operational frameworks following consultation with the relevant cabinet members and both leaders.

## 5.7 **Reasons for Decision**

1. In March 2017, Cabinet endorsed a recommendation to serve notice to London Borough of Hammersmith and Fulham (LBHF) to terminate the Section 113 agreements that have been in place since 2012 to share Children's, Adult Social Care and Public Health services. LBHF had signalled their intent to withdraw from these Tri-Borough arrangements but with no indication of when they would serve notice. In order to reduce the uncertainty for staff and the potential impact this might have on service delivery, Westminster City Council (WCC) and the Royal Borough of Kensington and Chelsea (RBKC) agreed to issue termination notices. Both Councils were keen to ensure that new arrangements were in place by April 2018.
2. Since that time, officers have worked to develop alternative structures which maintain the principles of the original tri-borough proposition of collaborative working and delivering efficiencies through scale whilst retaining sovereignty. New Section 113 agreements will be established with RBKC, setting out the new sharing arrangements. It is proposed that a small number of services in both Adult Social Care and Children's Services will continue to be shared with both RBKC and LBHF. Endorsement is sought to continue those arrangements.

3. It should be noted that Westminster City Council is committed to continuing its Tri-borough shared service arrangements in a number of other areas. A full list is outlined in appendix 1 of the report.

## **6 ESTABLISHMENT OF A WHOLLY OWNED HOUSING COMPANY**

6.1 Councillor Robathan introduced the report and advised that the proposal to establish a housing company would help deliver more homes, including affordable homes, in Westminster. The new company would be able to deliver a range of activities to boost housing and funding would be accessed from the General Fund.

6.2 Barbara Brownlee stated that the proposal to set up a wholly owned housing company had been recommended by a review of strategic housing options undertaken by Deloitte in April 2017. Section 3.5 of the report set out the housing company's objectives and it would work with external finance and tax experts. Barbara Brownlee added that any site that the housing company was proposed to be involved in developing would require Cabinet approval.

### **6.3 RESOLVED:**

1. That the establishment of a Wholly Owned Housing Company be approved for, initially, delivery of intermediate and market housing in the City and, if approved, that a long list of proposed development schemes include the Wholly Owned Housing Company as an option for delivery and development.
2. That arrangements to establish a second Wholly Owned Housing Company, where appropriate, be approved, in order to simplify the VAT accounting and reduce potential VAT leakage whilst at the same time helping the Council to meet its strategic objectives of having the flexibility to either sell, transfer or let residential properties.
3. That provision be made by means of a virement in the Council's General Fund capital programme for 2018/19 in respect of any scheme which is determined in due course to be delivered through the Wholly Owned Housing Company.
4. That Appendices C and D attached of this report be exempt from disclosure by virtue of the Local Government Act 1972 Schedule 12A, Part 1, paragraph 3 as amended, in that they contain information relating to the financial or business affairs of Westminster City Council and in the case of Appendix D legal advice.

### **6.4 Reasons for Decision**

1. The supply of social/affordable housing in Westminster cannot keep pace with demand. The Greater London Authority predictions are for continuing increases in London's population from 8.2 million in 2011 to 9.2 million in 2021 and up to 10.1 million in 2036. Private rents are amongst the highest in the UK with only RBKC and the City of London above Westminster.

2. The risk of insufficient housing across the City, that is affordable by Westminster residents, is one of the Council's principle risks. It has a major impact on the General Fund where the costs of providing temporary accommodation are increasing.
3. The principle mitigation is to increase housing delivery through Council-led projects and the Council has made a commitment to provide at least 1,850 affordable homes by 2023. The aim is to ensure that, from the most vulnerable and low income households to those middle income households, all have access to the type and quality of accommodation to meet their needs.
4. However, whilst much activity is underway, the Council needs to do more. The report on Speeding Up Housing Delivery in April 2017 made clear that additional means of extending the Council's resources for new housing provision must be considered to achieve the Council's ambition to accelerate and deliver more and varied new housing provision. HRA activity is now set to use all the available resources of the HRA and the Affordable Housing Fund is at capacity utilisation. Expanding provision in the HRA is therefore at its limit and, particularly for tenures other than social and affordable rent, the Council must look to using other delivery vehicles. The Deloitte report on Strategic Housing Options recommended options such as Joint Ventures and a Wholly Owned Housing Company which can access alternative funding sources and provide intermediate tenures.
5. Against this background, the objectives for a Wholly Owned Housing Company are to help deliver the Council's ambition to increase the supply of housing affordable to those living and working in Westminster. The Wholly Owned Housing Company will be another vehicle which will:

| <b>Wholly Owned Housing Company Objectives</b> |  |
|--|--|
| 1.   | Extend the Council's resources by working with the Council (where the Council's view is that other delivery partners are neither available nor appropriate) to deliver the regeneration, and new build or acquisition opportunities being identified by the Council. |
| 2.   | Operate on a commercial basis but offering new tenures and, in particular, intermediate tenures to extend the range of provision available for Westminster residents   |
| 3.   | Work to the scale and pace set by the Council.   |
| 4.   | Work to the Council's quality standards to help ensure quality housing is provided for all income ranges   |

6. This report considers how a Wholly Owned Housing Company might be used and recommends that such a company is established to assist the Council in increasing housing delivery for all those living and working in Westminster. It should be noted that other vehicles/providers may have the same or similar objectives and setting up a Wholly Owned Housing Company will not, and should not, preclude the Council from working with others. However, there may be factors which indicate that a Wholly Owned Housing Company will be the best route for a particular development opportunity.

## **7 COUNCIL TAX BASE 2018-2019**

- 7.1 Steven Mair, City Treasurer, introduced the report that was a statutory requirement for local authorities to provide and would be required to subsequently be approved by Full Council following Cabinet approval. There were no changes proposed to the Council Tax Reduction Scheme and Council Tax discounts, apart from the recent Cabinet Member for Children Services approval of the granting of a 100% Council Tax discount for care leavers for a period of 3 years. It was also proposed that the Long Term Empty Property Premium be introduced at the maximum percentage allowed for by the relevant legislation.
- 7.2 Councillor Tim Mitchell, Cabinet Member for Finance, Property and Corporate Services, added that under the Government's current proposals, the Council would be able to charge an additional 100% on Council Tax for long term empty properties, however this was subject to legislative implementation.
- 7.3 The Leader welcomed the initiatives in respect of long term empty homes and care leavers, the latter demonstrating the Council's commitment as a corporate parent.
- 7.4 **RESOLVED:**
1. That the Cabinet recommended that the Council approve the following recommendations for the financial year 2018/19:
    - (i) that the Council Tax discount for second homes remains at 0%
    - (ii) the Council Tax discounts for empty properties, including the discounts that replaced the previous Class A and C Council Tax exemptions, remain at 0%
    - (iii) that a Long Term Empty Property Premium is introduced at the maximum percentage allowed for by the relevant legislation
    - (iv) that the Head of Revenues & Benefits be given delegated authority to determine any individual local discount applications received from Council Taxpayers during the course of the 2018/19 financial year under section 13A(1)(c) of the Local Government Finance Act 1992.

2. That the Cabinet recommended that the Council approve the same Council Tax Reduction Scheme for 2018/19 which has operated successfully since 2013/14 and noted that the scheme is based on the Default Scheme Regulations, updated to reflect changes made via the Prescribed Requirements Amendment Regulations and with War Disabled Pensions, War Widow, Pensions and Armed Forces Compensation scheme payments disregarded in full when calculating a claimant's income.
3. That the Cabinet recommended to the Council to resolve that the Council Tax Base for 2018/19 for the Whole City is 128,833.30 equivalent Band D properties, for Montpelier Square alone 95.68 equivalent Band D properties and for Queen's Park 3,406.61 equivalent Band D properties.
4. That the Cabinet recommended to the Council to resolve that the figures as set out in decision 3 above for the Council Tax Base for 2018/19 be used by the Council to make a determination pursuant to the requirements of the Local Government Finance Act 1992.

#### 7.5 Reasons for Decision

1. The taxbase decision is sought in order that the Council complies with the requirements of the Local Government Finance Act 1992.
2. The retention of the same levels of Council Tax discount, for empty properties and second homes will continue to deliver additional Council Tax income for the Council without disadvantaging any vulnerable members of the community.
3. The recommendation to allow the Head of Revenues and Benefits to continue to determine any individual local discount claims will enable assistance to be given to individual Council Taxpayers if required, especially as there is no longer the ability for taxpayers to claim Discretionary Housing Payments (DHP) in relation to their Council Tax liability. This will also provide the mechanism for granting the new Council Tax discount for Care Leavers.
4. The Council's proposed Council Tax Reduction Scheme will ensure that the government's 10% funding cut is not passed on to the borough's working age claimants.
5. The recommendation to introduce the Long Term Empty Property Premium is proposed on the basis that it aligns with the Council's City for All agenda and helps meet the Council's aim of a fairer Council Tax system for all residents.

## **8 MANAGED SERVICES FOR HR, PAYROLL AND FINANCE**

- 8.1 John Quinn, Director of Corporate Services, presented the report and stated that the current contract with BT expires in May 2019. There were no intentions to extend this contract and the proposal to join Hampshire Partnership offered the opportunity to work with an organisation that had extensive experience working with other local authorities. John Quinn advised that the Hampshire Partnership currently worked with Hampshire County Council, Hampshire Constabulary, Hampshire Fire and Rescue Services and Oxfordshire County Council. Organisations had commented positively on their experiences of the Partnership. John Quinn advised that the agreement would be on a partner basis and not a contract and the Council could withdraw from the partnership with 12 months' notice. He added that Deloitte would facilitate the implementation of joining the partnership.
- 8.2 Councillor Mitchell stated that there had been considerable work involved in identifying an alternative partner and he thanked John Quinn and Jeremy Beresford, ICF Manager, for their efforts. In respect of governance, as the Council was to be a partner and not a client, Councillor Mitchell emphasised the need to ensure that this was a true partnership and to work jointly with partners.
- 8.3 The Leader welcomed the proposals and thanked John Quinn and officers for their efforts.
- 8.4 **RESOLVED:**
- a. That approval be given for Westminster City Council to accept the offer to join the Hampshire Partnership as an Operational Partner through a sovereign deed of accession.
  - b. That the Bi-borough Director of Corporate Services, in consultation with the City Treasurer, Director of People Services and the Cabinet Member for Finance, Property & Corporate Services, be delegated authority to approve and enter into the agreements and to take such other actions as are necessary to implement the decision recommended as set out in a. above and to terminate the contract with BT.
  - c. That the procurement of additional services and systems to supplement the Hampshire solution be delegated to the Bi-Borough Director of Corporate Services, in consultation with the City Treasurer and the Director of People Services, for their respective areas and the Cabinet Member for Finance, Property and Corporate Services, subject to this being achieved within the cost envelope as specified in the confidential Part B report.
  - d. That Deloitte be appointed as the primary implementation partner.
  - e. That the Bi-borough Director of Corporate Services, in consultation with the City Treasurer, the Director of People Services and the Cabinet Member for Finance, Property and Corporate Services, be delegated authority to procure additional implementation support from Deloitte

and/or others for a total cost not exceeding that as specified in the confidential Part B report.

#### **8.5 Reasons for Decision**

Westminster City Council and the Royal Borough of Kensington and Chelsea have agreed that they will not seek to extend the managed services contract beyond its end date of May 2019.

#### **9 ANY OTHER BUSINESS WHICH THE CHAIRMAN CONSIDERS URGENT**

9.1 The Leader, in acknowledging that this was Charlie Parker's last Cabinet meeting before he leaves the Council to take up another post, thanked him for all his work and achievements as Chief Executive. She stated that the Council was in a strong position as a result of his actions and she referred to his initiatives regarding the Staff Conference and changes to People Services as examples of his achievements. The Leader then wished Charlie Parker well in his new role.

9.2 The Leader similarly thanked Siobhan Coldwell for her service to the Council and wished her well in her new role.

#### **10 EXCLUSION OF PRESS AND PUBLIC**

10.1 That under Section 100 (A) (4) and Part 1 of Schedule 12A to the Local Government Act 1972 (as amended), the public and press be excluded from the meeting for the following item of business below because they involve the likely disclosure of exempt information on the grounds shown below and it is considered that, in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.

#### **11 MANAGED SERVICES FOR HR, PAYROLL AND FINANCE - FINANCIAL/CONTRACTUAL MATTERS**

11.1 The Cabinet considered and agreed a confidential report on Managed Services for HR, Payroll and Finance - Financial/Contractual Matters.

The Meeting ended at 7.54 pm.

**CHAIRMAN:** \_\_\_\_\_

**DATE** \_\_\_\_\_



## City of Westminster Cabinet Report

|                         |   |
|-------------------------|---|
| <b>Decision Maker:</b>  | <b>Cabinet</b>  |
| <b>Date:</b>            | <b>19<sup>th</sup> February 2018</b>  |
| <b>Classification:</b>  | <b>General Release</b>  |
| <b>Title:</b>           | <b>2018/19 Budget and Council Tax Report</b>  |
| <b>Wards Affected:</b>  | <b>All</b>  |
| <b>Policy Context:</b>  | <b>To manage the Council's finances prudently and efficiently</b>                             |
| <b>Finance Summary:</b> | <b>This reports sets out the Council's budget for the 2018/19 financial year</b>              |
| <b>The Report of:</b>   | <b>Steven Mair, City Treasurer<br/>Tel: 0207 641 2904<br/>Email: smair@westminster.gov.uk</b> |

### **1 Executive Summary**

#### **City for All: The Council's strategy and priorities**

- 1.1 Westminster City Council's strategy, City for All, aims to make Westminster a place where every single person has the opportunity to realise their potential, where providing affordable housing gives the best possible prospects for people to thrive and where enabling businesses to flourish creates economic prosperity that everyone can benefit from.
- 1.2 On 8 November 2017, Council endorsed the MyWestminster Programme to invest in community and voluntary groups across Westminster in order to strengthen community identity by supporting projects which matter to residents. The programme consists of three strands:
  1. **The MyWestminster Fund** will provide grants of up to £10,000 to voluntary organisations, resident, faith and community groups for projects that will support Westminster.

2. **The MyWestminster Projects** will tackle issues relevant to communities in Westminster. These include the Housing Standards Task Force to tackle unlawful letting, the advice service for the 30,000 EU nationals living in Westminster, and the Integrated Streets Unit to tackle anti-social behaviour issues, such as drug abuse.
  3. **The MyWestminster Club** will provide work experience in high profile city institutions, including the Ritz Hotel, and access to great activities, run by our cultural partners such as Somerset House for young people growing up in the city.
- 1.3 All budget proposals presented have been carefully tested against the City for All priorities and to make sure they align to the MyWestminster Programme.
  - 1.4 To support the delivery of these priorities and the underpinning delivery programmes, the Council will continue to embed the staff values:
    - **Productive** – to show initiative, drive and determination and help others to be productive and make informed decisions;
    - **Ambitious** – to constantly challenge, create new solutions and work as a team;
    - **Collaborative** – to work with partners, show local leadership, treat everyone with courtesy and fairness and challenge one another respectfully; and
    - **Enterprising** – to constantly seek better Value for Money and to reduce cost, seeking to generate growth and take managed risks to achieve the best outcomes.
  - 1.5 The location of the City of Westminster in the heart of England’s capital city presents some unique opportunities and challenges to service delivery. Below are a selection of achievements and survey results relating to the past year.

#### Overall Council Services and Performance

- overall satisfaction with the Council remains high with 86% of residents being satisfied with the way the Council runs the City;
- the majority of residents speak positively of the Council (59%);
- seven in ten residents (71%) think the Council provides good value for money;

- a fifth of residents (22%) responded to say that services have improved over the last twelve months.

#### The Area

- satisfaction with Westminster as a place to live remains very high, with over nine in ten (93%) stating that they are satisfied with the area;
- residents generally continue to feel safe in Westminster;
- views of social cohesion have also improved with nearly nine in ten residents (87%) now feeling that people from different backgrounds get on well in their area.

#### Residents

- three quarters of residents, (75%) spend a great deal or fair amount of time in their local community;
- residents feel more optimistic about their financial situation than in 2016.

- 1.6 The challenging financial climate resulting from year on year funding reductions, increased demands for services and wider macro uncertainty has continued to adversely impact Local Government. Based on the settlement information from Central Government and the Council's internal modelling, further savings have been required in 2018/19 and will be required beyond this period.
- 1.7 In addition to the above, in 2020/21, funding for Local Government will transform as part of the next stage of Business Rates Retention as well as reflect the outcomes of the Government's Fair Funding review. It is anticipated that this review will update the formulae which in turn calculates the level of relative needs, assesses deprivation levels and takes into account population and other demographics for each local authority.
- 1.8 For 2018/19, the Council has continued to build on the time invested in the 2017/18 Medium Term Planning process and was in a position to put forward budget proposals for 2018/19 for consideration by Cabinet and Full Council in October and November 2017. This has provided a greater period of time for reviewing and planning of budget proposals which has allowed more time to be spent ensuring a smooth implementation and supporting the achievement of these budget changes.
- 1.9 Since the position on 2018/19 presented to Full Council in November 2017, some changes have arisen which include:

- final allocations for 2018/19 by Central Government to some of the Council's grants as announced in early February 2018 in the final 2018/19 settlement;
- additional pressures to budgets which could not have been reasonably foreseen earlier e.g. a potential increased pay award for 2018/19;
- other changes which are not finalised until the third quarter of the year e.g. the number of Band D equivalent dwellings in the 2018/19 Council Tax base;
- changes as a result of consideration of consultations or equality impact assessments.

- 1.10 These developments have been closely monitored and along with the development of the budget proposals which has again been a challenging process have identified final gross savings of £38.327m for 2018/19. As in previous years, the proposed savings are from measures which avoid service reductions e.g. additional income generation, efficiencies and other transformation means.
- 1.11 The Council's budget proposals will provide a balanced budget for 2018/19. Furthermore, the Council is well placed to meet its future financial challenges if management action on budget proposals continues as currently envisaged and planned.
- 1.12 As at period 8, service area revenue budgets are projected to underspend by £6.302m by year-end. All variances are subject to continued active management throughout the financial year and it is anticipated that a favourable variance will be delivered by year end in line with the Council's recent track record. The Council tracks and monitors performance monthly and any risks are reported through routine management reporting along with the progress being made against the savings targeted for the year. Westminster adopts a robust and proactive approach to budget management, with a focus on strategic (corporate) and operational (service areas) risks and opportunities.
- 1.13 The capital programme is set in detail over the period from 2018/19 to 2031/32 at a gross General Fund budget of £2.594bn and is funded through the use of external funding, capital receipts and borrowing. The capital programme for the Housing Revenue Account (HRA) is updated annually as part of the HRA's 30 year Business Plan which is presented to Cabinet alongside this report.
- 1.14 Capital investment is targeted to deliver the aims of City for All, delivering affordable homes, improved facilities and well-maintained infrastructure and public realm. This will help Westminster to maintain its status as a key global centre for business, retail, entertainment and tourism and continue to provide first

class services for our residents. The Capital Strategy contains further details on the capital schemes and is reported separately on this agenda.

- 1.15 The Council has examined every area of operation to identify opportunities to reduce costs and generate additional income. The Council is also investing through its capital programme to ensure its property portfolio remains fit for purpose to deliver first class services and generate commercial income. This climate of austerity and increasing demands will continue for the foreseeable future but the Council has a strong track record of continued leadership and management action to be able to deliver a balanced budget for 2018/19 and beyond.

## **2 Recommendations**

- 2.1 The Cabinet be recommended to note that the local element of Council Tax for 2018/19 will not increase.

- 2.2 That Cabinet be recommended to approve the following:

- the 2018/19 budget, as set out in this report, and recommend to the Council the Tax levels as set out in the Council Tax resolution at Annex C;
- that local element of Council Tax is increased by 2% in respect of the Adult Social Care Precept as permitted by Government and anticipated in their Core Spending Power assumptions;
- that as a consequence of no change in Council Tax and the 2% increase in the Adult Social Care precept the local element for Band D properties be confirmed for 2018/19 as £416.27;
- that subject to their consideration of the previous recommendation, the Council Tax for the City of Westminster, excluding the Montpelier Square area and Queen's Park Community Council, for the year ending 31 March 2018, be as specified in the Council Tax Resolution in Annex C (as may be amended). That the Precepts and Special Expenses be as also specified in Annex C for properties in the Montpelier Square and Queen's Park Community Council;
- that the Council Tax be levied accordingly and that officers be authorised to alter the Council Tax Resolution as necessary following the final announcement of the Greater London Authority precept;
- that the Council approves the budget proposals presented to Council on 8<sup>th</sup> November 2017 which were approved in principle pending the completion of relevant external consultations as outlined in Section 18;

- that the views of the Budget and Performance Task Group set out in Annex A be considered as required;
- that the draft estimated cash limited budgets for each service with overall net expenditure for 2018/19 of £186.163m (as set out in Schedule 3) be noted;
- that the City Treasurer be required to submit regular reports as necessary on the implementation of the savings proposals and on the realisation of pressures and mitigations as part of the regular budget monitoring reports;
- that the City Treasurer be delegated responsibility for any technical adjustments required to be made to the budget;
- that the cost of inflation, pressures and contingency be issued to service budgets if and when the need materialises, to the limits as contained within schedule 4c;
- the Council continues as previously agreed to make two further one off contributions into the Pension Fund of £10m per annum as well as a recurrent additional £4m contribution as part of the on-going annual contributions as set out in paragraph 13.6;
- that the views of consultees and consultation approach, as set out in section 18, be considered by Council;
- that the proposed use of new capital receipts be used under the freedoms of the Flexible Capital Receipts regulations be used to fund revenue expenditure on City Hall, Digital Programme and Pension Deficit Recovery programmes which lead to future ongoing savings (and subject to review at year end to determine the actual costs, savings and financing by the City Treasurer) be recommended to Council for approval;
- that the proposed use of new capital receipts be used under the freedoms of the Flexible Capital Receipts regulations to finance future revenue expenditure on other relevant and applicable programmes which arise in the future during the duration of the regulations and which lead to ongoing savings (and subject to review at year end to determine the actual costs, savings and financing by the City Treasurer);
- that the City Treasurer be delegated responsibility to transfer any potential surplus Business Rates revenue into a reserve to mitigate the potential impact of business rates volatility and to support future years' revenue budgets;
- that the Council carries forward any unspent contribution from Discretionary Housing Benefits (DHP) into 2018/19 to support payments while options to

absorb the expected reduction in DHP payments from government are considered;

- following the consultation with Band H properties, the council introduces the Westminster Community Contribution to allow the most expensive properties in the city to voluntarily contribute towards supporting discretionary services that support the three priorities of youth services, helping rough sleepers off the streets at night and helping people who are lonely and isolated;
- that the Equality Impact Assessments included in Annex B be received and noted to inform the consideration of the budget after approval; and
- that the Cabinet recommend that this report be submitted to the meeting of the Council on 7<sup>th</sup> March 2018.

### **3 Reasons for Decision**

- 3.1 The preparation of the budget is the final stage of the annual business planning cycle leading to the approval of the Council Tax for the forthcoming financial year. There is a statutory requirement to set a balanced budget and submit budget returns to the Ministry of Housing, Communities and Local Government (MHCLG). Approval of the revenue estimates constitutes authority for the incurring of expenditure in accordance with approved policies.
- 3.2 It should be noted that the Council presented a set of budget proposals to Cabinet in October 2017 and Council in November 2017, this offered an early opportunity to note and approve budget changes for 2018/19. These proposals were assessed at the time as to whether they required consultations and equality impact assessments. Completed EIAs were made available to all members.

#### **4. Financial Context**

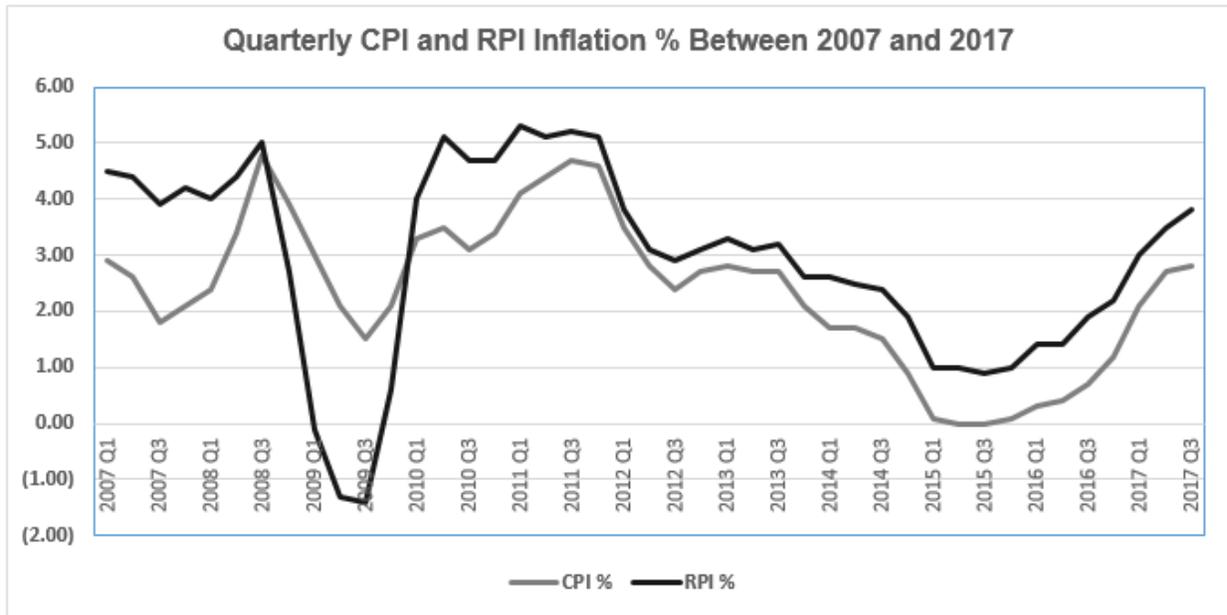
- 4.1 The Council faces an ever challenging and complex financial environment as exemplified by the issues which are summarised below.

##### **Central Government: Funding Landscape and Westminster**

- 4.2 Since 2010 Westminster City Council has faced significant financial challenges stemming from the economic downturn which first began to manifest in late 2007. This resulted in austerity measures announced in the Government's October 2010 Spending Review and was accompanied by higher expectations on the Council. Specifically, the Council has had to contend with:

- ongoing grant funding reductions from Central Government;
- demand led pressures impacting services e.g. due to demographic changes;
- uncertainty on inflation;
- service pressures;
- other issues e.g. Government policy changes as part of managing austerity.

- 4.3 These financial challenges have created a climate of uncertainty for councils that have had to manage funding reductions against the need to provide for risks and pressures, many of which are volatile and subject to variables outside of the council's control e.g. inflation. The graph below illustrates the unpredictable nature of inflation as recorded by the Office of National Statistics for the period between 2007 to Quarter 3 of 2017:



Source: Office for National Statistics

- 4.4 This climate is expected to last for the foreseeable future and the Council will continue to adapt by developing stronger understanding of future developments e.g. fully localised business rates retention and implications of Brexit. The Government’s Autumn Statement and Spending Reviews from the past few years have set out the strategic direction for public expenditure. These have confirmed significant reductions in the funding for Local Authorities. The last Autumn Statement saw the focus move away from balanced public sector spending by 2020 to the middle of the next decade – but has seen no reduction to previously planned reductions to Local Government funding up to 2020.
- 4.5 The Local Government Finance system has fundamentally changed in recent years, the previous system was highly centralised and allocated funding on the basis of relative needs and resources. At the start of 2017/18, the expectation was that by the end of the decade, this would be replaced with a fully localised system. The Government has now outlined plans for a 75% Business Rates Retention system nationwide along with a review of formulae funding (Fair Funding Review) to be implemented by 2020/21. Whilst the Fair Funding review provides an opportunity for improvements to how funding and need will be assessed, it also contains risks and uncertainties due to the complexity of the size and scope of the task. The Council will monitor and contribute at every opportunity into this review.
- 4.6 This shift in risk has occurred since 2010, in the gradual move away from centralisation to that of localisation and greater emphasis on the provision of financial incentives in the funding system. The most visible examples of this include:

- the introduction of the Business Rates Retention scheme and the safety net mechanism which means that should an authority's collection of Business Rates fall short of the calculated Baseline funding, the first 7.5% of this loss must be met by the authority itself. The projected national flat real growth in Business Rates poses a real risk to the adequacy of long term Local Government funding;
- the original funding of the New Homes Bonus grant through "top-slicing" the funding of Revenue Support Grant and the recent reductions to funding of New Homes Bonus by tapering allocations i.e. cutting off allocations awarded for earlier years;
- abolishing the Council Tax Benefit Subsidy and replacing this with locally designed Council Tax Discount Schemes. The initial financing for these schemes came from the funding for Council Tax Benefit Subsidy but was reduced by 10% nationally;
- substituting specific streams of funding from Central Government for national pressures such as Adult Social Care, Policing or the effects of higher than expected inflation with provisions to increase Council Tax. In effect, this results in greater burdens on residents.

## **Overview of Financial Context, Challenges and 2018/19 Local Government Finance Settlement**

- 4.7 The Council accepted the Government's offer of a four-year funding allocation in 2016/17 in order to gain some level of certainty on future funding and assist in service planning and collaboration with partner organisations. This gave the Council a Settlement Funding Assessment (SFA) reducing from £140.570m in 2016/17 down to £119.860m in 2019/20. The Council was assured by MHCLG that by accepting this four-year deal it will not be worse off than if it had not taken up the offer.

### **2018/19 Final Local Government Finance Settlement**

- 4.8 The Secretary of State for Housing, Communities and Local Government released on 6<sup>th</sup> February 2018, the Final Local Government Finance Settlement for 2018/19 to 2019/20.
- 4.9 The 2018/19 settlement is the third of the four-year funding settlement confirmed in 2016/17. Whilst the multi-year settlement offer was welcomed by the Council, the certainty of this now erodes as the end of the offer period approaches and from 2020/21 a new funding regime commences.

4.10 Whilst the 2018/19 final settlement was largely in line with the provisional settlement from December 2017 as well as other indicative information, there was an unexpected announcement regarding Adult Social Care funding for 2018/19.

4.11 The keys points to note from the final 2018/19 settlement are:

- an additional grant, the Adult Social Care Support Grant which is over and above previous announcements on 2018/19 for £0.8m. At the time of writing this report, it is not clear if this a one-off grant, similar to that of the Adult Social Care Support grant from 2017/18;
- a further reduction of Revenue Support Grant of £8.1m which is rolled into Baseline funding for technical reasons for London Pooling. The reduction was as previously anticipated;
- the difference from the change in indexation from September 2017 RPI (3.9%) to CPI (3.0%) for Business Rates in terms of baseline funding for the Council will be met by a section 31 grant;
- a change in the referendum limit for the increase in Core Council Tax from 1.99% to 2.99% so it now possible for authorities to increase Council Tax by 2.99% without the need to hold a referendum. This is separate to the increase in Council Tax for the Adult Social Care Precept;
- the previous proposals to penalise authorities by reducing New Homes Bonus for the proportion of planning decisions subsequently made on appeal will not proceed for now. Based on the total 2018/19 allocation of New Homes Bonus grant, the Council is £1.1m better off than anticipated. This is as a result of the confirmation of the new year's allocation of the grant which is based on the number of Dwellings as per Council Tax Base form returns;
- confirmation that authorities would be able to increase planning fees by 20% on the condition that this is reinvested into planning services. The Council's Planning service analysed potential impact of this earlier in the year and concluded at that time that the additional income was estimated to be approximately £430k for the Council;
- reductions in other grants which includes:
  1. a £130k reduction in Housing Benefit Administration grant;
  2. a £300k reduction in Flexible Homeless Support;
  3. a £40k reduction in Homelessness Reduction;

4. a £145k further grant reductions based on prior year outcomes e.g. Council Tax Administration Grant.

In addition to the above, there are further confirmed losses to:

5. the Public Health grant of £825k, however this is a ring-fenced grant to the Public Health service and so does not impact the General Fund;
  6. a national reduction of £19m in funding for Unaccompanied Asylum Seeking Children (UASC). The actual reduction by individual authority is yet to be announced.
- confirmation that the Flexible Use of Capital Receipts on eligible revenue expenditure on projects will be extended for another three years. As before this provision applies to projects which will delivery ongoing revenue savings that has been incurred between 1<sup>st</sup> April 2016 to 1<sup>st</sup> April 2021;

4.12 The settlement also outlined proposals to implement by 2020/21:

- the next phase of Business Rates Retention with a 75% retention for Local Authorities (separate from the London Business Rates pooling pilot where London authorities can retain 100% of growth). This new system would see the roll in of Revenue Support Grant and the Public Health grant into the new baseline funding. It is unclear whether what if any new responsibilities will transfer across to Local Government;
- to coincide with the above, the Government has launched a Fair Funding review to consult on updating funding baselines for local authorities. These baselines will be updated for more up to date and accurate relative needs assessments and demographic data which have not been updated since 2013/14.

### **2018/19 Budget Gap**

4.13 As a result of the challenges and financial climate above, for 2018/19 the Council will have to meet a total gross savings requirement of £38.327m. This encompasses savings required to meet reduced government grants and cross cutting pressures of £31.432m and additional savings finance the impact of direct service pressures of £6.895m for 2018/19. The proposals identified through the medium term financial planning (MTP) process to meet these challenges are set out in Schedule 4b to this report.

4.14 In addition to the points discussed above, some of the most significant strategic financial challenges that the Council will face in 2018/19 are set out below:

- on-going austerity and reductions to funding e.g. in 2018/19, the Council's Revenue Support grant will reduce by £8.1m (and for technical reasons is rolled into Baseline funding as per London Pooling). Further reductions to other grants have been confirmed in the Settlement;
- the Business Rates system continues to expose the Council to financial pressures which are beyond its control. The primary issue for Westminster is that of outstanding appeals which include those from prior revaluations. MHCLG's spending power assumptions take inadequate account of original NNDR valuation errors and thus, despite real underlying growth in the Council's business rate taxbase, the Council has found itself over time with substantially lower NNDR yields than required to meet its MHCLG-assumed Baseline Funding levels. For 2017/18, this shortfall in funding was calculated at the start of the year to be £6.33m although current monitoring suggests the position will be more positive than this by year end, as success and reduction rates in appeals against the 2010 List have begun to decline. Council officers have been actively working with officials in the formal Systems Design Working Group (consisting of various local government representative bodies and others including the Local Government Association, the Valuation Office, CIPFA and MHCLG) to engage with Central Government. The group is working to highlight on-going problems with Business Rate localisation arrangements and to propose viable, long-term solutions ahead of the full planned national localisation of Business Rates in 2020/21;
- Brexit - the potential effects of Brexit are currently un-quantified but are explored from Section 4.64 to 4.69 of this report. Potential effects are both short term and longer term and could impact on revenue budgets, capital projects, treasury management and the pension scheme;
- on-going exposure to risk – the Council is an extremely complex organisation and is subject to a wide range of risks many of which are unknown and cannot be quantified. It is therefore essential that the Council maintains adequate general reserves to provide a buffer against these risks. This issue is explained further in Section 8;
- other pressures - the Council will continue to face pressures arising through commercial, legislative, demographic and operational issues across the whole range of its services. Combined with these factors, the Council also has to finance contractual and salary inflation, pension cost increases, capital financing and other pressures.

## Autumn Budget

- 4.15 On 22<sup>nd</sup> November 2017, the Chancellor of the Exchequer delivered his first Autumn Budget which is the first of the new fiscal cycle. This Budget announcement contained an update on economic forecasts and updates on policies, some of which relate to Local Government as a whole.
- 4.16 The key points in this Autumn Budget included:
- 4.17 Brexit - The Chancellor outlined a programme of implementation to provide clarity to businesses on the ongoing Brexit negotiations over the coming months. To date, £700m has been invested on Brexit and a further £3bn has been set aside over the next 2 years on the preparations for withdrawing from the European Union.
- 4.18 Economic Forecasts - The Office for Budget Responsibility (OBR) provided the following revised forecasts:
- a continued rise in employment levels since 2010 with unemployment rates at their lowest since 1975. However, growth remains a challenge. It is reported that although GDP growth was 0.3% in quarters 1 and 2 of 2017 and 0.4% at the end of quarter 3, it is slower than in 2016. The revised forecasts up to 2022 are lower than previous expectations;
  - three out of four fiscal targets are expected to be achieved i.e. bringing the structural deficit below 2% in 2020/21 ('fiscal target'), ensuring debt falls as a percentage of GDP by 2020/21 ('supplementary target') and keeping welfare spend below its cash limit ('welfare cap'). The OBR expects though that the Government will not be able to balance the budget by the middle of the next decade ('fiscal objective');
  - despite the continued actual increase in inflation, the target remains at 2.0%, with the revised forecasts as follows:

| Year | CPI % |
|------|-------|
| 2017 | 2.70% |
| 2018 | 2.40% |
| 2019 | 1.90% |
| 2020 | 2.00% |
| 2021 | 2.00% |
| 2022 | 2.00% |

- 4.19 Universal Credit - The following details in relation to Universal Credit were announced:

- from January 2018, those in need of it (and eligible for welfare under Universal Credit) will be able to access a month's worth of support within five days of making a claim i.e. an interest free advance. The recovery period for this advance will also be extended from six to twelve months;
- from February 2018, the seven-day waiting period will be removed so entitlement to Universal Credit will begin from the first day of application;
- from April 2018 those already on Housing Benefit will continue to receive their award for the first two weeks of their Universal Credit claim;
- it will also be easier for claimants to have the housing element of their award paid directly to their landlord;
- it is currently scheduled that new claims for Westminster claimants will have transferred to Universal Credit by December 2018, with existing Housing Benefit claims transitioning to Universal Credit between 2019 and 2022. There are a number of types of claim that will remain on Housing Benefit and will not transition to Universal Credit, including pensioner claims and claims for temporary accommodation.

4.20 Council Tax - The intention was to enable authorities to increase the allowable premium on long term empty properties from 50% to 100%. However, this was on the provision that current legislation could be updated in time for 1<sup>st</sup> April 2018. At the time of writing this report, there are no further updates to this so this increase is unlikely to take effect in 2018/19.

4.21 Business Rates – several updates on Business Rates were made in the Budget:

- London Specific Announcements - The pilot for 100% Business Rates retention (separate from the announcement of the 75% retention proposal noted in Paragraph 4.5) was expected to continue as previously announced from April 2018 between the Greater London Authority and London Boroughs. In recognition of the ongoing need to develop infrastructure, the Government will continue to work with Transport for London to develop a fair and affordable plan for Crossrail 2.
- annual multiplier: It had previously been announced that the annual uplift in the business rates multiplier would move from the current RPI index to the (usually lower) CPI index in 2020/21. The Chancellor has announced that this change, will be brought forward to commence in 2018/19. With October 2017 RPI being 3.9% compared to the 3.0% for CPI. With the latest estimated net yield for Westminster businesses for the current year being around £2.08bn, the move from RPI to CPI would be likely to save Westminster businesses around £18m. This quantum would be subject to adjustment for any movements in the taxbase and the fall out of

transitional relief. An additional s31 grant will compensate the Council for the lost revenues which would otherwise have accrued through the localised business rate retention scheme. Though, the Council will benefit from the reduction in uplift to the annual multiplier as it is itself a business rate payer on the properties it uses.

- revaluation cycle: Following the next scheduled Revaluation – currently envisaged in 2022, the Chancellor has announced that future revaluations will thereafter be undertaken on a three yearly cycle. Whilst revaluations are intended to be fiscally neutral across the whole country it introduces the prospect of areas such as London that see valuation growth seeing more frequent rises in the amount of rates payable and a shorter period of time over which transitional relief may be tapered.
- the “Mazars” or “staircase” rating case challenged the decision of the Valuation Office to not separately rate individual floors of office space occupied where they were connected by a communal staircase. Given that it was less likely that individual floors would be more likely to be eligible to small business rate relief than if combined, and meant that businesses were being charged more in Business Rates than if they had a connecting staircase that was wholly controlled by that occupier. The Chancellor’s announcement effectively over-rules the decision of the Supreme Court judgement and will allow businesses to again claim small business rate relief – back-dated to the start of 2017/18. It is unclear if this change will be matched by additional s31 funding to compensate Councils for the loss of locally retained business rates.
- small public houses: To support small pubs, a £1,000 discount was introduced for 2017/18 (for those public houses with a rateable value of less than £100,000 and subject to state aid regulations meaning only one application per owner could be submitted if more than one property was occupied). The Chancellor announced that this discount would also be extended by a further year to cover 2018/19. To date, out of the 171 eligible public houses in Westminster, 65 have applied and been granted this discount. Again, the cost to the Council of granting this discount will be covered by an additional s31 grant.

4.22 Housing - In recognition of the ongoing pressures on housing supply, the Government outlined the following:

- making £15.3bn available of new financial support for housing over the next five years, bringing total support for housing to at least £44 billion over this period for capital funding, loans and guarantees to support house buildings;

- introducing planning reforms that will ensure more land is available for housing and that better use is made of underused land;
- providing £204m of funding for innovation and skills in the construction sector, including to train a workforce to build new homes
- the borrowing cap on the Housing Revenue Account for authorities in areas of high affordability pressure will be lifted to enable more homes to be built. Local authorities will be invited to bid for increases in their caps from 2019/20, up to a total of £1 billion by the end of 2021/22. The Council's HRA borrowing cap is £334m. The Council welcomes this announcement but would like assurance from the Government that Westminster is considered to be an area of high affordability pressure. Detailed modelling on the financial implications of this is being completed in order to assess the number of additional homes that could potentially be built if this facility was granted and how they will be financed.

4.23 Planning, along with reforms to Housing to increase the number of homes created, the Government intends to support this objective with reforms to current planning laws. This includes:

- strengthening the Housing Delivery Test with tougher consequences where planned homes are not being built, by setting the threshold at which the presumption in favour of development applies at 75% of housing delivery by 2020;
- expecting local authorities to bring forward 20% of their housing supply as small sites. This will speed up the building of new homes and supports the government's wider ambition to increase competition in the house building market i.e. increased use of SME home builders rather than large corporations;
- speeding up the development process by removing the exemptions from the deemed discharge rules. This will get builders on site more quickly, ensuring that development is not held back by delays in discharging planning conditions
- review of build out – The government will set up a review panel, chaired by Sir Oliver Letwin, to explain the significant gap between housing completions and the amount of land allocated or permissioned, and make recommendations for closing it. The review will provide an interim report in time for Spring Statement 2018 and a full report at Budget 2018.
- register of planning permissions – The government will develop a central register of residential planning permissions from local authorities to improve information on where permissions are held and progress towards them being built out.

- 4.24 Omissions - the Budget announcement did not provide details on the following areas:
- Adult Social Care and the previously announced green paper. This has been delayed until the summer of 2018;
  - Fire Safety, no firm commitments on funding for any additional fire safety costs has been made;
  - Children's Services, no discussion on the growing funding concerns in this area.
- 4.25 The next major fiscal event will be the Chancellor's first Spring Statement expected in March 2018 but below is a summary of previous events.

### **Business Rates**

- 4.26 The current Business Rates Localisation Scheme whereby local authorities retain 50% of their NNDR tax yield (30% Westminster and 20% GLA) was introduced from the start of 2013/14. A series of top-ups and tariffs was applied to re-distribute these locally retained shares back to a starting baseline position – after which local authorities would benefit from subsequent growth, or bear their share of the losses (down to a capped level of loss at 7.5% below Baseline levels). As part of a pilot arrangement the GLA will retain 37% of the yield from 2017/18 – offset by a lowering of the MHCLG share.
- 4.27 Government intends to amend this system by 2020 so that all business rates are retained by local authorities. At the same time, they will revise the data and formulae used to determine the SFA and re-baseline local authority needs assessments. This system reset has the potential to see further changes to the Council's funding assessment and lead to further reductions beyond 2020/21 (subject to any damping arrangements that apply).
- 4.28 Westminster would have seen real growth in its NNDR yield since 2013 had it not been for the impact of back-dated appeals against the original 2010 rating assessments. The Council has experienced a very high number of appeals (44,177 by the end of October of which around 34% have been successful).
- 4.29 The Council is protected from losses caused by these back-dated appeals where net retained yield falls below 92.5% of Baseline funding levels.
- 4.30 Westminster has been below this level in every year since 2013/14 until the latter stages of 2016/17. The 2017/18 Revaluation has introduced further uncertainty with regard to future NNDR yield and is compounded by the new "Check-Challenge-Appeal" process introduced by the Valuation Office Agency so far giving little data on which to forecast the future likely appeals provision

requirement. That said, the average 25% increase in values in 2017 compared to the 62% increase in 2010 has allowed the Council to forecast future yield to match assumed Baseline funding levels rather than remaining in Safety Net.

- 4.31 The Council has agreed to enter a London Business Rates Pooling pilot with all 32 London boroughs plus the GLA. From 1<sup>st</sup> April 2018, the pilot will allow the Pool to retain 100% of their business rates income. However, the Pool will not retain all income it collects as it will continue to pay a tariff to MHCLG. The overall level of collected rates that will be retained is around 64% after the tariff is paid. The London pilot is outlined further in Paragraphs 14.23 to 14.26.

### **West End Partnership**

- 4.32 Westminster City Council, in partnership with other public and private sector partners, has established the West End Partnership (WEP) to transform the long term performance and success of the West End of London. The West End is the cultural and economic capital of the UK which belongs to and benefits everyone in the UK. It generates greater economic output than anywhere else in the UK with more than £51bn in Gross Value Added per year. Employing more than 650,000 people, the area generates the largest proportion of taxes with more than £17 billion of tax receipts per year.
- 4.33 The West End is primarily responsible for London's status as the world's most popular visitor destination with more than 19m international visitors spending over £12bn in the West End. The West End is an important gateway to other UK tourist destinations and drives growth across the UK. Oxford Street is also the UK's high street with more than 50m UK based visitors. The West End's success and long term growth cannot be taken for granted and investment is needed to ensure that the West End can continue to compete with its global competitors.
- 4.34 The WEP has developed an investment programme that will transform the international competitiveness and productivity of the West End and the UK. The WEP programme will unlock growth, attract investment, improve competitiveness, improve air quality, create jobs and generate substantial tax revenues to the Exchequer.

### **Tri-Borough to Bi-Borough**

- 4.35 In March 2017, Westminster City Council (WCC) and the Royal Borough of Chelsea and Kensington (RBKC) agreed to serve notice to the London Borough of Hammersmith and Fulham (LBHF) to end the current s113 agreements (i.e. under section 113 of the Local Government Act 1972) in place since 2012 to share Children's Services, Adult Social Care & Public Health.

- 4.36 The decision was endorsed by Cabinet and was initiated following intentions by LBHF to eventually withdraw from s113 agreements. This decision by WCC and RBKC sought to provide certainty to both the staff affected and on future service delivery. Both WCC and RBKC were keen to ensure that new arrangements would be implemented from April 2018.
- 4.37 Officers have worked to develop alternative structures that maintain the principles of the original Tri-Borough proposition of collaborative working and delivering efficiencies through scale, whilst retaining sovereignty. New s113 agreements has been established with RBKC, setting out the new sharing arrangements. A small number of services in both Adult Social Care and Children's Services will continue to be shared with both RBKC and LBHF.
- 4.38 The transition from Tri-Borough to Bi-Borough Services for the majority of services effected will take effect from 1<sup>st</sup> April 2018. Some services will be continued to be shared with LBHF and some services will transition to Bi-Borough Services by April 2019.
- 4.39 The new Bi-Borough structures will retain the principles that underpinned the original Tri-Borough agreement. These have been agreed with the relevant Cabinet Members and were approved by Cabinet in December 2017. The structures were also subject to consultation with the relevant staff.
- 4.40 Specifically,
- Adult Social Care will continue to champion shared hospital discharge services across London, and create more personalised, integrated and locally focused services;
  - Public Health will increase collaboration with other departments and the NHS to tackle complex issues such as social isolation. This will bring a step change in the way funding is utilised to improve people's health and wellbeing;
  - Children's Services will increase support for vulnerable children, through early intervention in education, greater protection from exploitation and increased support for young carers.
- 4.41 The Bi-borough services will also establish joined-up commissioning across Adult Social Care, Public Health and Children's Services. This innovative move will enable the creation of more unified services, transforming the way that families and communities are served.
- 4.42 The financial implications from this change has been dealt with as part of the overall 2018/19 budget setting process.

## **Adult Social Care Precept**

- 4.43 The offer by the Secretary of State for Housing, Communities and Local Government to Adult Social Care (ASC) authorities, effective from 2016/17, gave upper-tier authorities with ASC responsibilities the option to charge an additional precept on their Core Council Tax without the need to hold a referendum, to thus assist those authorities in meeting expenditure pressures in Adult Social Care.
- 4.44 There are on-going pressures on Adult Social Care budgets due to particular market cost pressures and forecast demand growth for care services as a result of increasing numbers of older people, people with disabilities and people with long term health conditions needing care. These demographic pressures are exacerbated by increasing pressure from hospitals to discharge patients in a timely fashion, particularly during the winter months. There is also added pressure from reduced capacity to make efficiencies from external care providers without affecting the quality of care they provide, along with an increase in homecare costs – potentially exacerbated by changes to the Living Wage.
- 4.45 The state of the market and unavoidable cost pressures will continue to be a major challenge. Activity and level of complexity is increasing alongside demographic changes, workforce pressures from the Living Wage and the driving down of price are all major dynamics that are impacting on the availability and quality of services.
- 4.46 As at December 2017, 5,106 packages of care were being provided across Adult Social Care (encompassing community based care and residential/nursing placements) an increase of 60 from March 2017 against a background of increasing complexity and hence unit cost of individual packages.
- 4.47 For financial modelling purposes it has been currently assumed that for 2018/19 the Council will apply the precept for Adult Social Care (ASC) of 2% on its share of Council Tax bills. This is included as a recommendation to this report. Those authorities which choose to apply 2% onto Council Tax bills for the ASC precept must complete a declaration to MHCLG within 21 days of their annual budget being approved by Council. This declaration will compare budget changes in adult social care to the rest of the general fund to demonstrate that the Council has spent the funds raised from the precept on the purpose for which it was intended.

## **Sustainability Transformation Programme**

- 4.48 The Sustainability Transformation Programme (STP) sets out a shared ambition across the NHS and Local Government to create an integrated health and care system that enables people to live well and be healthy.

- 4.49 The Council lies within the North-West London region with 7 other Local Authorities (LAs) and 8 Clinical Commissioning Groups (CCGs). It is an NHS led process and a draft plan of NW London's STP vision was developed with involvement from commissioner, provider, local government and patient representative groups. The key driver for the NW London STP plan is to improve health and wellbeing, enhance clinical outcomes and achieve financial sustainability.
- 4.50 Funding restrictions from NHS England on the STP have required CCGs and LAs to rethink the scope of the original plans, and instead develop local programmes for efficiencies and savings. These local programmes will be set up throughout the North-West London area. The impact from STP plans on local authorities is assessed as and when these come to light. Indicatively, there will be an increased burden on social care services provided by local authorities but offset by funding to be devolved from the NHS.

### **Better Care Fund (BCF)**

- 4.51 The Department of Health (DoH) and MHCLG released the BCF Policy Framework on 31<sup>st</sup> March 2017. This policy framework for the Fund covers two financial years (2017-19) to align with NHS planning timetables and to give areas the opportunity to plan more strategically.
- 4.52 There are a few changes compared to previous years, including a reduction in the number of national conditions and the introduction of the Improved Better Care Fund (iBCF) of £2bn over the next 3 years. £1bn of this fund became available from 2017/18 and is being paid as a MHCLG grant direct to councils and ring-fenced to social care; the grant comes with conditions that it should be pooled into the Better Care Fund.
- 4.53 The guidance outlines that the funding is to be paid as a direct grant under Section 31 of the Local Government Act 2003. The Policy Framework sets out that the following conditions apply to the grant:
- a requirement that local authorities include the funding in their contribution to the pooled Better Care Fund, unless an area has explicit Ministerial exemption from the Better Care Fund;
  - a requirement that the funding is used to support adult social care to ensure it has the expected impact at the care front line and;
  - that the funding does not replace, and should not be offset against, the NHS minimum contribution to adult social care.
- 4.54 The Council is proposing to continue its existing transformation programme to deliver better and more personalised services and outcomes for residents entitled to support under the Care Act.

- 4.55 It has been agreed, along with RBKC to utilise the additional funds to provide greater stability for the local highly challenging care market, to sustain and increase additional short term capacity procured to assist with better hospital discharge and also to work with health partners to reduce delayed transfers of care.
- 4.56 In total, £12.317m of iBCF funding has been allocated to Westminster City Council in 2018/19. Further work is underway as part of the development of the full Better Care Fund Plan to prioritise the utilisation of the additional funding but at present, it is anticipated that funds will support the following priorities:
- to deliver greater market stabilisation and in particular increased domiciliary care and direct payment rates and an inflationary uplift for residential care providers.
  - to purchase additional capacity, primarily within domiciliary care to assist with better hospital discharge. Part of this will include some capacity previously funded by health commissioners on a none recurrent basis through the existing BCF Pooled Budget;
  - to create a pooled fund with health commissioners to deliver system-wide changes and in particular to assist with implementation of the High Impact Delayed Transfer of Care Model.
- 4.57 The care market across inner London is particularly fragile with Inner London highlighted as having significant pressures across all care groups. While pressures have been building over the last five years, prices have been driven down in real terms and this has resulted in increased concerns about the quality of provision and its continuity.
- 4.58 Westminster City Council, along with other Councils within the West London Alliance continue to work together to increase the sustainability of the local care market. It is anticipated that utilisation of part of the additional iBCF funding will play a major part in bringing additional stability and sustainability to the care market in inner West London.
- 4.59 Enhancing health in Care Homes - The Council is working with the CCG and other members of the West London Alliance to implement the NHSE Enhanced Care in Care Homes Framework. All patients have a named GP and under whole systems a number of high risk patients will have access to case management; this includes access to geriatrician and specialist services as required.

### Risk of iBCF Ceasing

4.60 In the 2017 Spring Budget the Treasury announced £2bn funding for local authorities in England to address the pressures in the Health and Social Care system over the next 3 years (2017/18 to 2019/20). This Spring Budget Funding has been merged with the previously announced Improved Better Care Fund (iBCF) and the total funding for Westminster is as follows:

- 2017/18 in £8.721m;
- 2018/19 an additional £3.596m = £12.317m cumulatively;
- 2019/20 an additional £3.490m = £15.807m cumulatively.

4.61 This funding is intended to be spent on the commissioning of new care packages and to help reduce delayed discharges from hospitals. A longer-term funding strategy for the care of older people will be revealed in a social care green paper which was due late in 2017 (and is still awaited) as the pumping of more short term money into the system is not a silver bullet solution and the Government's Green Paper is expected to examine how to place social care on a more sustainable footing over the long term.

4.62 The iBCF is being used to fund:

- the increased capacity required due to complexity and acuity growth in packages of care;
- contract inflation/market stabilisation;
- increased capacity in homecare and residential/nursing inflation pressures;
- demographic pressures and the financial impact of the living wage;
- a transformation pot to support integrated services and to develop future savings for both the LA and the NHS;
- an investment in DTOC High Impact Change Model.

4.63 If the above funding ceases with no alternative funding being offered, this will cause a budget pressure in ASC who will work to make efficiencies in all service areas as part of future budget rounds.

## Wider Environment - “Brexit” and Developments in 2017/18

- 4.64 The Department for Exiting the European Union was established to lead on the negotiations for the UK to withdraw from the EU.
- 4.65 In March 2017, the “European Union (Notification of Withdrawal) Bill” became an Act of Parliament and enabled the Government to invoke Article 50 of the Treaty of the European Union to begin the formal negotiations to withdraw.
- 4.66 In May 2017, a white paper, “The United Kingdom’s exit from and new partnership with the European Union” set out the twelve priorities for the UK that negotiations will be centred on:



- 4.67 One of the largest areas of uncertainty and risk for the Council has been on the future of EU citizens in the UK and potential impacts to workforce, rights of residency, access to public services, etc. Discussions in respect of the rights of EU citizens in the UK and UK nationals in the EU remain ongoing.
- 4.68 Irrespective of the developments above, commentators such as the Institute for Fiscal Studies have speculated on the potential implications of a withdrawal on the UK’s public finances. Some of these may have more of a direct impact on the Council than others. Also, some of these may be short term whilst others have longer term implications. For instance:
- the fall in value of Sterling as a result of the reduction in demand for Sterling-based assets could theoretically lead to higher inflation due to the rising price of imported goods. Higher inflation impacts the Council two-fold in that the Council’s contracts will be indexed annually based on this higher inflation value and because the Council may have to pay more for general goods and services. Additionally, it could impact on future local government pay settlements;

- over the medium to long-term, there could be implications for trade costs between the UK and European nations, foreign direct investment into the UK, regulatory changes and net migration.

### **Brexit Impacts on Treasury Management**

- 4.69 The Council's treasury advisors have previously speculated that "Brexit" could have implications on the Council and its investment counterparties. For instance,
- the Bank of England's previous decision to reduce the Bank Rate to 0.25% directly impacted the Council's percentage return on cash investments. The Government's long-term approach to monetary and fiscal policy and therefore the impact on the Council will be influenced by a potential withdrawal from the European Union and the path this takes. However, this was subsequently increased to 0.5% in November 2017
  - the Council currently invests with financial institutions based in London who possess "passporting" rights which enable them to sell their products and services across the European Union. If any company or financial institution did relocate to Europe away from the UK (as some sector commentators have suggested may occur) due to the UK withdrawing from the European Union, their domicile status would change and so could mean they fall outside of the Council's sovereign rating criteria and thus lead to a required change in the investment portfolio mix.
  - how negotiations on withdrawing from the EU could impact the retention and wage costs of certain sectors and therefore the Council such as in the case of social care e.g. care homes. According to one estimate, three out of five care workers in London were born outside of the UK and of this, 28% in the EU;
  - modelling how unexpected "spikes" in inflation could impact the Council's gross expenditure e.g. contract costs, utilities and supplies and services;
  - examining potential risks and ensuring that there are adequate resources set aside to mitigate or manage these in the short term; and utilising all possible means such as: the offer of a multi-year finance settlement; flexibility on using new capital receipts to generate efficiencies; and regular project monitoring.

## **Pension Fund**

- 4.70 The Council's Pension Fund advisor indicated in a recent report that the levels of uncertainty around 'Brexit' and the domestic political environment has had a weakening effect on growth in the UK. The Pension Fund investments are diversified across regions which should lessen any impact of uncertainty, however this could impact the funding levels resulting in an increase in employer contributions to the Fund.

## **Other Policy and Legislative Updates**

- 4.71 In addition to the above, there are a number of financial uncertainties which could have material impacts on the Council's activities with potentially significant financial consequences have been identified as the result of legislative and policy changes. These are outlined below:
- London Plan - the Mayor published a new draft London Plan for consultation on 29<sup>th</sup> November. The Council will respond in full to the consultation by 2<sup>nd</sup> March 2018 deadline and is considering the implications for our developing City Plan;
  - London health devolution - in November 2017 there was a further agreement between the Mayor of London, Secretary of State for Health Jeremy Hunt, London Councils and NHS, Public Health and wider health and care leader to give London government and health leaders more control over health and care in the capital, leading to more joined-up services for Londoners. The impacts of this are being monitored and considered in the context of the existing partnership work underway through the North West London Sustainability and Transformation Plan and local primary care and health and wellbeing strategies;
  - Government reshuffle - in January 2018, the Prime Minister made a number of changes to ministerial positions within the Government. The Department for Communities and Local Government has been renamed as the Ministry of Housing, Communities and Local Government, reflecting the importance of housing at the centre of domestic policy. The Department of Health was also renamed the Department of Health and Social Care, underlining the Government's intention to join up health and social care. Both these decisions reflect changes to national policy that may create risks or opportunities for the Council and the city and the impacts will be closely monitored.

## 5 Underlying Financial Strategy

### 5.1 The Council's financial strategy is to:

- balance recurrent expenditure with estimated income in order that the Council has a sustainable financial position, is able to deliver on its key objectives and successfully operate in a radically changed financial environment;
- maintain an appropriate level of reserves to protect the Council against future budgetary impacts and the continuing financial pressures which the Council faces;
- strengthen the Council's balance sheet to provide long term financial benefits. For example, in the 2017/18 Council Tax and Budget Report approval was received to utilise one-off underspends or apply the flexible use of capital receipts towards the Pension Fund for long term benefits;
- continue to proactively explore with partners the possibilities of pooling resources to achieve joint outcomes e.g. STP and BCF;
- risk manage its budget estimates to ensure that they are robust and, to ensure that the budgets agreed are managed and delivered in year as required;
- operate to the highest standards of financial management in all areas in order that the Council's finances are robustly secured, value for money is obtained, all professional standards are properly maintained, step change improvements in finance are brought about at pace and rigorous review and quality assurance of all financial matters is undertaken;
- investigate and pursue external funding and investment opportunities that are appropriate for the Council;
- plan over a medium term of 10 years in order that the Council is fully informed as to future scenarios and can prepare appropriate action; and
- challenge and improve all financial management practices seeking to (by way of example) minimise cost, maximise working capital opportunities, pro-actively manage its balance sheet, operate rigorous financial modelling and budget management, ensure financial advice is of the highest quality and bring about step changes improvement in its accounts.

5.2 The Council's budget proposals will provide a balanced budget for 2018/19. The Council is managed with strong financial discipline and as part of year-end planning it is intended to strengthen Earmarked and General Reserves in line with the Reserves policy if the opportunity presents itself. In line with Council

practice, any further reductions in specific grants will be matched by reductions in associated expenditure.

## 6 Financial Performance – Revenue 2017/18

6.1 At period 8, service area revenue budgets are projected to underspend by £6.302m by year-end. All variances are subject to continued active management throughout the financial year.

6.2 The main areas contributing to the projected underspend are summarised below:

- (£4.141m) - City Management & Communities - Licensing £0.900m; Highways £0.600m; Parking £2.226m; Waste & Parks £0.569m;
- (£0.920m) - PPC – Vacancies £0.720m; £0.200m supplies & services;
- (£1.990m) - City Treasurer – Revenues and Benefits £0.390m; interest earnings £1.600m;
- £0.970m - Growth, Planning & Housing – Property Investment & Estates;
- (£0.425m) - Corporate services – Information services £0.440m;
- £0.504m - Children's Services- Placement pressures £0.549m;
- (£0.300m) - Chief of Staff- Electoral services £0.100m; vacancies £0.087m.

6.3 The forecast outturn as at period 8 on the HRA is an adverse variance of £2.773m. This is largely due to:

- a projected shortfall in budgeted income of £4.291m which is mainly due to a shortfall in lessees' contribution to major works income;
- an overall overspend of £0.575m is projected in supplies and services and premises costs largely due to recharges;
- these are offset by a projected increase in other income of £1.136m e.g. from non-dwellings rent and lease extensions and a £0.957m underspend in other expenditure due to lower capital borrowing charges and depreciation costs.

6.4 Fundamental to any well managed organisation is a strong finance service. In times of unprecedented pressure on public sector finances this becomes all the more pertinent. Within Westminster City Council the finance service has been

developed to lead the industry in its innovation, quality and value added to the organisation.

6.5 An illustrative list of the activities the service has undertaken so far during 2017/18 to raise standards are as follows:

- a robust business planning processes with objectives which include supporting the City for All plan, adding value, creating a positive working environment and fostering a culture of innovation and excellence in everything we do;
- continuing to deliver a comprehensive training and development programme placing the engagement, well-being and development of our people at the heart of what we do;
- enhanced communication and staff engagement through new workgroups, forums and communication channels;
- effecting a positive culture change through the introduction of initiatives focussed on employee motivation modelled on industry best practices;
- process reviews to reflect a best in class service;
- development and implementation of a workforce plan aligned to both current and future service needs;
- development and early stage implementation of a tailored productivity improvement programme;
- development and roll-out of a bespoke training course aimed at preparing team members for the digitally disrupted world of tomorrow;
- introduction and implementation of a rotation policy aimed at increasing team resilience and enhancing bench strength;
- implementation of a multi-channel Our Voice strategy aimed at improving the working environment and overall operational efficiency;
- introduction of initiatives aimed at reducing workplace stress in a high performing environment;
- embedding a coaching culture across the finance team through targeted training sessions to further drive culture change and staff empowerment;
- assessment of the internal audit process and overall risk management;

- modelling a 10 year financial plan based on analysis of identified operating costs drivers;
- refined finance graduate scheme to align with future departmental needs and those of the new generation of graduates;
- quarterly full close down of accounts; and
- completion of a continuous programme of improvement for the Statement of Accounts.

6.6 The finance service is seeking to achieve further improvements, efficiencies and achievements in 2018/19 in line with the department's drive for continuous improvement. This will be achieved through the motivation and empowerment of the workforce.

## **7 Revenue Budget 2018/19**

### **Funding Gap**

7.1 As noted in Section 1, to meet the funding challenges in 2018/19, the Council has had to meet a total gross savings requirement of £38.327m. This encompasses savings of £31.432m needed due to reduced government grants, capital financing costs, inflation (contractual and employee), pension deficit contribution and a further £6.895m to finance the net additional impact of direct service pressures. The net of these savings and pressures which have resulted in the gap are summarised as follows:

## Budget Gap 2018/19

| Description   | £'m           |
|---|---------------|
| Baseline Funding: Pooled Business Rates and Technical Adjustments | 8.100         |
| Core Funding Gain - Council Tax Base Growth                       | (0.331)       |
| New Homes Bonus Loss  | 0.805         |
| Inflation   | 7.643         |
| Risks   | 3.000         |
| Pension Fund Deficit Recovery                                     | 4.000         |
| Pressures   | 4.915         |
| Capital Programme   | 3.300         |
| <b>Total</b>  | <b>31.432</b> |

7.2 The gross savings agreed in the MTP process are summarised as follows:

### MTP Budget Change Classification

| Budget Change Category | 2018/19<br>£'m | %             |
|------------------------|----------------|---------------|
| Financing              | 14.832         | 38.7%         |
| Commercial             | 4.957          | 12.9%         |
| Transformation         | 8.467          | 22.1%         |
| Efficiency             | 10.07          | 26.3%         |
| <b>Total</b>           | <b>38.327</b>  | <b>100.0%</b> |

### Approach to Meeting the Estimated Funding Gap in 2018/19

- 7.3 The process for identifying the 2018/19 savings proposals was accelerated in comparison to previous years. The benefit of this is that services have a greater period of time in which to prepare implementation plans and to complete staff consultations, public consultations and the like. The Council believes in long term planning and many of the savings are a continuation of transformation plans from the previous financial year and are expected to run into future years.
- 7.4 The governance of the process is managed at officer level through a series of monthly “Star Chamber” meetings throughout the financial year which review draft budget proposals. The intention of these meetings is to review budget proposals for deliverability, acceptability and fit with strategic objectives.
- 7.5 Regular liaison and leadership by Cabinet continue throughout the process. Presentations for the Budget and Performance Task Group took place in October 2017. A further update was provided in January 2018.

- 7.6 EIAs are prepared in respect of all proposals and are made available within this report for consideration. In addition, all of the full EIAs were presented to the Budget and Performance Task Group Members.
- 7.7 As far as possible, the Council has targeted financing and commercial revenues, efficiency and transformation as being the main sources of the budget savings in order to minimise the impact on the end service received by service users. As per the analysis in paragraph 7.2, no savings have resulted from service reductions.

## **8 2018/19 Risks and Budget Robustness**

- 8.1 The Council is a large, complex organisation with a wide scale and diversity of assets, interests, liabilities and other responsibilities. These require considerable on-going monitoring and review particularly in light of the challenging financial climate. With this in mind, the Council has recognised the on-going need to identify risks and have measures in place to mitigate should they occur (risks by their nature can never be completely removed). The Council has long had processes built into its Medium Term Planning (MTP) to address this.
- 8.2 For example, a Corporate Budget Group consisting of representatives from the City Treasurer, People Services, Policy, Communications, Legal Services and Procurement hold regular meetings to review budget options. These reviews cover requirements on Stakeholder Consultations, staff restructures and Trade Union liaison (where budget options involve staffing changes), legal implications and deliverability etc.
- 8.3 The 2018/19 revenue budget has been prepared on the basis of robust estimates and adequate financial balances and reserves over the medium term. As part of on-going reviews for these, the City Treasurer's department leads on:
- monthly budget monitoring and financial challenge to ensure budget options are being adhered to and that any other base budget variances, risks and opportunities are being suitably identified and mitigated; and
  - continuing to replenish reserves and balances towards an appropriate level in order to provide an adequate buffer for any series of one-off pressures – or to provide sufficient time to identify on-going mitigations in a systematic way.
- 8.4 A summary of selected key, strategic risks / weaknesses and mitigating actions:

**MTP Risk Analysis**

| Risk / Weakness  | Implications   | RISK | Mitigating actions  | Relevance to Services |
|--|--|------|---|-----------------------|
| <b>1. Financial Management</b>   |  |      |   |                       |
| <p>Significantly reduced funding levels pose a high risk for the Council. Reshaping and improving Council services requires strong financial management skills across the organisation.</p> <p>The Council has been required to find savings year on year from its budget since 2010/11. It is becoming harder to identify low risk savings opportunities and thus the need to protect the General Fund by holding suitable levels of reserves to mitigate higher risk becomes more essential.</p> | <p>Decisions may be taken which have potentially adverse consequences for the Council in later years.</p>  |      | <p>1) Robust Budget preparation, budget setting, and a Budget Accountability Framework are key elements in ultimately eliminating this risk.<br/>                 2) Regularly reviewing balances, and forecasting income and expenditure against budgets can assist in reducing the underfunding risk.<br/>                 3) Implementation of best practice within the finance department</p> | <p>All</p>            |
| <b>2. Localising Business Rates</b>  |  |      |   |                       |
| <p>On-going volatility from appeals and also the impact on collection rates as following the implementation of localising business rates, 75% of outcome will fall on Local Government.</p>  | <p>Adverse financial outcome for the Council in future years</p> <p>In addition, the Council faces the prospect of future transfer of responsibilities or “new burdens” with the potential full localisation of Business Rates. The Government has already indicated that new responsibilities would transfer over to Local Government (to ensure the new Business Rate’s scheme is revenue neutral). The Council must ensure it is well resourced to manage the responsibility of new services that could potentially be demand led (or historically under-funded).</p> |      | <p>1) Continuing efforts to collaborate and interact with MHCLG, Valuation Office, London Councils, etc.<br/>                 2) Leading on responses to consultations.<br/>                 3) Lobbying "Central Government" (i.e. Valuation Office, MHCLG)</p>  | <p>All</p>            |

| Risk / Weakness   | Implications  | RISK | Mitigating actions   | Relevance to Services |
|---|---|------|--|-----------------------|
| <b>3. Business Rates Appeals</b>  |   |      |  |                       |
| <p>Reduction in funding and impact of backdating of appeals. Localising of Business Rates will increase this risk from 50% to 75% for Local Authorities. The related opportunity is from consultations on dealing with Business Rates appeals process - checking and challenging might reduce the number of live appeals.</p> | <p>Adverse financial outcome(s) for the Council in future years</p> |      | <p>1) Review data with Valuation Agency and other relevant stakeholders to reduce number of appeals<br/>2) Continuing discussions with MHCLG and the Valuation Office on measures to resolve outstanding appeals</p> | <p>All</p>            |

| Risk / Weakness   | Implications   | RISK | Mitigating actions   | Relevance to Services |
|---|--|------|--|-----------------------|
| <b>4. Pension Fund Assets / Pension Fund Deficit</b>  |  |      |  |                       |
| Pension Fund assets failing to deliver returns in line with the anticipated returns underpinning valuation of Pension Fund Liabilities over the long-term.  | The Council's Pension Fund being under-funded resulting in an increase in the employer contribution rate and deficit funding that the Council pays into the fund.  |      | 1) Exercising prudence when anticipating long-term returns, analysing progress, providing quarterly comparisons, regularly benchmarking assets to re-valued liabilities, roll-forward of liabilities between formal valuations at whole fund level. The deficit is being addressed as part of the budget process.  | All                   |
| <b>5. Reliance on Commercial Income</b>   |  |      |  |                       |
| Exploring alternative sources of income to offset core funding reductions and also ensure value for money for residents   | A recession or other unexpected/uncontrollable event could leave the Council exposed to under-funding or large losses in income.<br><br>Competition - As well as individual factors influencing demand the Council has to consider competitive forces in certain service areas. Especially trading activities. |      | 1) Rigorous monthly monitoring which scrutinises forecast projections and challenges material movements against budgeted targets.  | Specific Services     |
| <b>6. Parking Income</b>  |  |      |  |                       |
| The Council's Parking Service is in high demand due to the Council's central location.  | Uncontrollable reductions in income could leave the service under-funded or exposed to large losses in income which could affect the services specifically supported by this income.   |      | 1) Rigorous monthly monitoring which scrutinises forecast projections and challenges material movements against budgeted targets.  | Specific Service      |
| <b>7. Inflation</b>   |  |      |  |                       |
| The Council's expenditure (pay and non-pay) is subject to annual inflation based on indexation that is determined by national inflation rates. Inflation can affect agreed suppliers' contracts for other service expenditure | Sharp increases in inflation would result in higher for day to day expenditure and costs related to employment. Other issues include:<br><br>Each 1% change in inflation adds around £6m to the Council's cost pressures   |      | 1) Monitoring actual inflation and forecast projection (e.g. at key milestones such as HM Treasury's Budget announcement) and modelling the impact of incremental increases on the Council's applicable expenditure.<br>2) Exploring all opportunities during the tendering process for all service contracts to minimise indexation clauses, negotiate for favourable fees etc. | All                   |
| <b>8. Delivery of Budgeted Savings</b>  |  |      |  |                       |
| Agreed MTP Savings are not fully achieved or slip into future years.  | Potential for in-year overspends and funding gaps  |      | 1) Robust challenge of all proposed MTP Savings during the MTP process (e.g. through Corporate Budget Group)<br>2) In-year monitoring of agreed MTP Savings  | All                   |

| Risk / Weakness  | Implications   | RISK | Mitigating actions   | Relevance to Services |
|--|--|------|--|-----------------------|
| <b>9. Planned Use of Capital Receipts</b>  |  |      |  |                       |
| Capital receipts are generated when an asset is disposed of and are source of financing capital expenditure. However there can be delays in completing the disposal of an asset which then delays the inflow of a capital receipt. | Shortfalls in financing of capital expenditure, possibly resulting in higher borrowing costs.  |      | 1) In-depth analysis and challenge of capital project cash flow projections.<br>2) Rigorous monthly monitoring which scrutinises forecast projections and challenges material movements against budgeted targets.  | Specific Services     |
| <b>10. Review of needs and resource allocations</b>  |  |      |  |                       |
| A review of the funding allocation formulas used by Central Government could mean that the Council's share of funding is proportionately reduced in favour of other Local Authorities post 2019/20.                                | Whilst there could be gains and losses which will alter the business rates top up / tariff adjustment for individual authorities, the Council may experience a larger loss in funding than expected in shorter space of time   |      | 1) Responding to consultations.<br>2) Engaging and lobbying MHCLG.   | All                   |
| <b>11. Interest Rate changes</b>   |  |      |  |                       |
| Changes to the Bank Base Rate and returns on investments.  | The Council earns an amount of income from its Treasury function. Should the country return to a reducing interest rate situation then such a decrease in interest rates could mean returns on investment are lower, reducing the amount of income earned e.g. from Government Bonds |      | The Council has a number of options available to it to mitigate these risks. These include: placing fixed term deposits as opposed to instant access, limiting deposits in money market funds and closely monitoring interest rate forecasts and available market rates.   | Specific Service      |
| <b>12. Public Health Grant Funding</b>   |  |      |  |                       |
| The Government is proposing reductions to Public Health grant funding, along with possible removal of the ring-fence for the grant/potential changes to the Public Health grant conditions.  | The proposed changes to the grant would cause a funding pressure for the service and have the potential to cause short-medium term disruptions to the service and on-going projects.   |      | Budget savings proposals, in line with outcome of a national consultation process which was initiated by Public Health England at end of July 2015 on the four possible options proposed for the budget reductions. An implementation plan with proposed efficiencies to ensure that the budget commitments are met. | Specific Service      |

| Risk / Weakness   | Implications   | RISK | Mitigating actions   | Relevance to Services |
|---|--|------|--|-----------------------|
| <b>13. Strategic Transformation Partnerships</b>  |  |      |  |                       |
| Failure to secure appropriate monies towards an increase in demand for social care services due to a shift in activities from acute to community setting.   | Increase demand on social care services which may result in financial pressures and impact on the quality of care offered.   |      | An Out of Hospital (OOH) strategy has been developed which is expected to be reflected in the transformational business cases for the STP.<br><br>WCC sits on the Health and Care Transformation Board (HCTB). | Specific Service      |
| <b>14. Demographic Changes</b>  |  |      |  |                       |
| Customer needs and behaviours continue to change which brings new challenges and opportunities to the Council.<br><br>There is the potential to see changes to population levels caused by uncertainty of status of existing overseas workers / residents as well as ability for new workers to come to the country | Demographic changes have led to continuing pressures on social services budgets. The age profile is changing as the number of families leaving is reflected in falling numbers of children in some age-groups. The children left are increasingly benefit dependent or in fee paying schools. Children's Services have been rated as outstanding so the main issues are likely to be housing costs and the cost and availability of childcare, as well as possibly community safety. |      | The Council is engaged in long term planning and transformational programmes to mitigate the action of demographic changes on budgets and services.  | Specific Services     |

## 9 **Financial Outlook 2018/19 to 2019/20**

- 9.1 The Council's financial modelling takes into account indicative government grant reductions, inflation (both pay and contract), pension costs, increasing capital financing pressures and national insurance changes as well as allowances for specific and general risks. The net budget gap is £31.432m in 2018/19 excluding direct service pressures and has been addressed as detailed in Schedule 4b and Annex A.
- 9.2 The Council's latest working assumptions would suggest that further reductions in core funding plus inflation, demographic and other pressures are likely to require further significant savings to be identified for 2019/20. The quantum at this stage is being finalised and will be tested and updating during 2018/19.
- 9.3 The Council continues to develop a 10 year view of its financial position. While there are a great deal of unknowns going forward, longer term projections of demographic changes suggest a growth in the demand for services as they are currently delivered. As part of this work, services across the Council were approached to identify the significant cost drivers, opportunities and pressures impacting them to help better understand individual operating environments within the organisation.
- 9.4 With regards to the 10 year plan, Council Tax and Business Rates will continue to be sources of income as central government grants reduce. Westminster, in 2017/18, had the lowest Council Tax Band D rate in England and this trend is anticipated to continue. From 2018/19, local authorities can now increase Council Tax by 2.99% without a local referendum. This is a new provision announced by the Government to assist local authorities with rising service pressures and inflation. Business Rates increases from 2018/19 have been limited to CPI (3% as at September 2017) which is an unexpected change from previous years.
- 9.5 For Business Rates in particular, whilst this is a positive outcome in terms of community affordability, there is a concern that the alignment of rate increases with the CPI could erode the Council's capacity to deliver quality services over time. This is due to CPI not necessarily being a good measure of cost change for the Council, particularly for construction costs or other large service contracts which are indexed by RPI or industry specific indices.

## 10 **Capital Programme to 2022/23**

- 10.1 The Council has embarked on an ambitious long-term capital programme which will help deliver on the aims and objectives of its City for All strategy and maintain its status as a global centre for business, retail, entertainment and tourism. Full details are available in the Capital Strategy Report - 2018/19 to 2022/23 being considered on this same agenda which includes forecasts up to 2031/32.

10.2 The Council's General Fund Capital Programme is split into:

- Development – these schemes will help the Council achieve strategic aims and generate income (£1.024bn);
- Investment – schemes within this category will help to generate income and increase the diversification of the Council's property portfolio and will be self-funded by creating additional income and efficiency savings (£87.613m);
- Operational – these schemes are related to day to day activities that will ensure the Council meets its statutory requirements (£1.482bn).

10.3 The General Fund's Capital programme is fully funded via capital receipts, external contributions and borrowing. The on-going revenue implications are included within the MTP.

10.4 The HRA capital programme over the five-year period starting 2018/19 is £790m, which is funded via capital receipts, reserves, grants and borrowing.

## 11 Reserves and Balances Policy

### Usable vs Unusable Reserves

11.1 Local authorities hold two categories of reserves; "usable" and "unusable". Usable reserves are defined as those which contain resources that the Council could utilise to finance capital investments or fund revenue expenditure. Within this, some of these reserves could be applied generally but others will have stipulations attached on their use.

11.2 The Council's usable reserves can be grouped into the following sub-categories:

- General Reserves – working balances held to ensure long term solvency and to mitigate risks e.g. the General Fund balance and the Housing Revenue Account balance;
- Earmarked Reserves – to fund specific projects or as a means to build up funds for known contingencies. e.g. the Insurance reserve;
- Ring-fenced Reserves – carried forward balances or grant funding which have certain conditions or restrictions attached to them preventing their general use by the Council, e.g. Schools balances; and
- Capital Reserves – amounts held to finance capital expenditure e.g. receipts from asset disposals and capital grants.

- 11.3 Conversely, unusable reserves are those that the Council would not be able to use to finance capital investment or fund revenue expenditure. This is because this category includes reserves which hold unrealised gains or losses for assets not yet disposed of and also adjustments which are required by statute and differ in basis from International Financial Reporting Standards.
- 11.4 This distinction between usable and unusable reserves and also between the different types of usable reserves themselves is important in being able to understand exactly what resources the Council holds and under what circumstances they can be used.
- 11.5 Whilst usable general and earmarked revenue reserves can be used to fund costs incurred in the provision of services, such use cannot be regarded as a sustainable medium-term strategy to fill the gap in on-going service provision from core funding reductions. This is because a usable reserve is a cash balance which can only be used once whereas the reduction in core funding is a permanent year-on-year loss to the Council's base budget.

### **General Reserves**

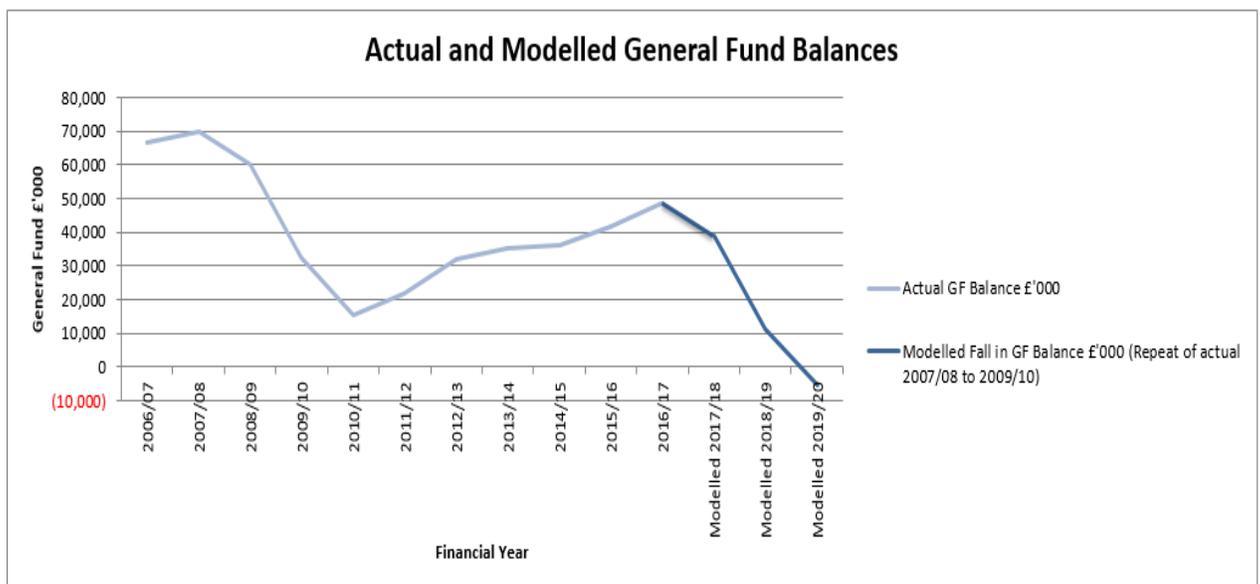
- 11.6 The Council's General Reserves includes the General Fund balance; this is held to:
- comply with the law;
  - provide funds for emergencies or other unexpected requirements for funds;
  - mitigate against risks faced in day to day operations;
  - provide a balance to insulate it from the need to borrow on a short term basis due to uneven cashflows.
- 11.7 The table below details the movement for the Council's General Reserve balance since 2006/07. This can be considered a reasonable period of time over which to consider movements as the Council has faced a number of challenges during this time including significant turbulence in the wider economy.

| <b>Year</b>             | <b>2006/07<br/>£'000</b> | <b>2007/08<br/>£'000</b> | <b>2008/09<br/>£'000</b> | <b>2009/10<br/>£'000</b> | <b>2010/11<br/>£'000</b> | <b>2011/12<br/>£'000</b> |
|-------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| <b>Closing Balance</b>  | 66,864                   | 69,930                   | 60,090                   | 32,396                   | 15,578                   | 22,054                   |
| <b>Balance Movement</b> | -                        | 3,066                    | (9,840)                  | (27,694)                 | (16,818)                 | 6,476                    |

| Year<br>(continued)     | 2012/13<br>£'000 | 2013/14<br>£'000 | 2014/15<br>£'000 | 2015/16<br>£'000 | 2016/17<br>£'000 |
|-------------------------|------------------|------------------|------------------|------------------|------------------|
| <b>Closing Balance</b>  | 32,027           | 35,295           | 36,035           | 41,576           | 48,777           |
| <b>Balance Movement</b> | 9,973            | 3,268            | 740              | 5,541            | 7,201            |

11.8 The table above and the graph below demonstrates how over time there have been significant movements in the General Reserve balance including a three-year period 2008/09 to 2010/11 when the general reserve balance decreased by £54.352m. The Council could not manage a similar reduction in reserves over the next three financial years as it no longer has that level of reserves.

### General Reserves Movements (actual and modelled)



11.9 When assessing what level of General Reserve balance should be held, the Council must consider a number of factors. These include the risks which are set out in detail in paragraph 8.4 but include by way of example:

- based on the Council's gross expenditure, approximately £2.33m is (budgeted) to be spent a day on the provision of General Fund services. The General Reserve balance when viewed in this context represents just 21 days of expenditure;
- the Council has been required to find savings year on year from its budget since 2010/11 and it is becoming harder to identify low risk savings opportunities;

- future levels of uncertainty are compounded by the Council's growing reliance on commercial income as these income streams have the potential to fluctuate;
- emerging risks such as Brexit have the potential to impact unfavourably on Westminster;
- future transfer of responsibilities or "new burdens" with the potential full localisation of Business Rates;
- demographic changes have led to continuing pressures on social services budgets; and
- inflation and its impact on budgets.

### **General Reserves Policy**

11.10 In assessing the level of General Reserves balance, the City Treasurer has taken into consideration the following:

- the wider economy currently appears to be more stable than in previous years although significant uncertainties remain particularly in respect of the UK's exit from the European Union;
- the Council's framework of governance and controls has been assessed by audit as being satisfactory. In addition, Internal Audit completed its audit of budgetary controls in February 2017 and concluded that the Council had provided "substantial assurance" on these controls;
- the overall track record of Directorate teams in recent years of delivering on-going budget savings has been successful.

11.11 However, there are a number of other factors which suggest that it would be highly desirable to increase the level of the General Reserve balance at the earliest opportunity as set out in the previous section.

11.12 It is not considered at this point that further budget reductions should be made to accommodate an increase in reserves. However, any resources which become available from the following should be added to the General Reserve where possible:

- in year revenue underspends as reported through the monthly revenue monitor to Cabinet;
- one off revenue funds which become available e.g. one off unbudgeted income or rebates;

- short term underspends from unexpected upsides on treasury management;
- any other spare resources which become available on an unforeseen or unbudgeted basis.

## 12 Cash and Financing

- 12.1 An annual Treasury Management Strategy Statement (TMSS) is presented to Full Council as part of the budget process each year following discussions at other committees including Scrutiny. The purpose of the TMSS is to set the boundaries and limitations for borrowing and investment decisions over the next year and the two subsequent years so as to ensure security, liquidity and return.
- 12.2 The 2018/19 TMSS does not forecast any additional external borrowing in 2018/19, but there is potential for additional borrowing in later years to meet the capital programme.
- 12.3 The investment strategy was set in the current environment of ultra-low interest rates that has significantly reduced the capacity to generate revenue from short-term cash balances. The July 2016 cut to the base rate further reduced income. Interest rates subsequently have risen back to 0.50% after the Bank of England voted to raise rates by 0.25% on 2 November 2017. The increase in rates is gradually feeding through to the Council's investments resulting in increasing returns.
- 12.4 Over the summer various opportunities to diversify the treasury portfolio, ensure security of cash balances and increase the yield have been investigated. Potential opportunities have been explored and are currently undergoing due diligence review.
- 12.5 Monitoring of treasury activity is a key control to ensure that dealing accords with the agreed TMSS. In addition to half yearly reports on activity to Full Council and Scrutiny Committee, weekly updates are provided to the City Treasurer and monthly reviews of the investment portfolio are undertaken by the Council's treasury advisor. With the implementation of HRA Self-financing under the Localism Act, the borrowing and cash elements of the HRA and General Fund are managed on a separate basis.
- 12.6 To support the Treasury Management Strategy Statement, the Council has devised a holistic strategic investment framework in order to manage its investment portfolio as one, across investment properties and treasury management.
- 12.7 The framework sets out in detail the longer term investment plan to manage investments in relation to long term capital spend and cash requirements, diversify to reduce risk and future-proof against possible economic downturns.

## 13 Pension Fund

13.1 The City of Westminster Pension Fund includes the City Council's pension obligations as well as those for a number of other admitted and scheduled bodies – for example City West Homes. The Council's attributable share of the Pension Fund assets total £800m.

### Triennial Valuation

13.2 The triennial valuation of the Pension Fund was completed by the Council's actuary as at 31 March 2016. The latest actuarial report values the future liabilities of the Pension Fund and sets the employer's contribution rate for the three years 2017/18 to 2019/20.

13.3 The actuary reported that the employer's contribution rate was required to rise from 12.50% to around 15.70% in order to fully fund the cost of active members. The impact on the Council's ongoing revenue budget of this change cost an additional £2.5m over 2016/17 contribution rates.

13.4 As well as needing to make contributions into the Pension Fund for active members, the Council has to make contributions to address an historic funding deficit. The latest triennial valuation valued the Pension Fund deficit at £285m as at 31 March 2016 compared with £320m at 31 March 2013. Despite the reduction in the funding deficit, this positioned the Council as having one of lowest funded Local Government pension funds in the country.

13.5 While the Pension Fund is in deficit, it incurs an interest cost which it would not if it were fully funded. The cost of this interest increases the total contributions required to be made by the Council throughout the period until the deficit is repaid.

13.6 Options to reduce this deficit and the consequent interest costs were explored with the actuary in 2017. The second and third years of the strategy were agreed as:

- two one-off cash injections of £10.0m to be made over the period 2018/19 to 2019/20 (see paragraph 13.9);
- together with increases of £4.0m per annum in the ongoing annual contributions £10.5m to £18.5m over the period 2017/18 to 2019/20, followed by more measured increases thereafter to account for the impact of inflation.

13.7 This has allowed the deficit recovery period to fall to 17 years, delivering a significant reduction of £317m in the total interest to be paid over the 17-year period. This strategy provides an optimal mix of maintaining annual affordability whilst also offering the greatest saving in overall cost. This scenario is estimated to reduce the total repayments to £453m from £805m and achieve a fully funded

position by 2033/34. It also enables the ongoing contribution rate in respect of existing employees to be increased to 15.70% as outlined above. As a result of this action, and with market increases in equity values, the latest funding update has shown that the deficit had fallen to £171m as at 30 September 2017.

- 13.8 This compares with a previous scenario whereby contributions increased at £1.5m per annum, no one-off contributions were made, and the repayment period extended to 2047/48. The revised deficit reduction strategy significantly improves the Pension Fund's position nationally as it moves the Fund towards a fully funded position earlier by 14 years to 2033/34.
- 13.9 The potential to make the three one-off contributions of £10m will be subject to the availability of either annual revenue resources (potentially from in-year underspends) or capital receipts under the Flexible Use of Capital Receipts guidance published by Ministry of Housing, Communities and Local Government. The City Treasurer will review the scope to use such resources as part of the year-end closure procedures. The performance of the scheme and deficit reduction strategy outlined above will be reviewed on a periodic basis to assess whether the strategy remains on track or whether further adjustments to payments or projections are required.

#### Government Actuaries Department Review

- 13.10 Under section 13 of the Public Service Pensions Act 2013, the Government Actuaries Department (GAD) is required to review all local government pension scheme valuations to ensure that all employers are "paying enough" to maintain the future solvency of each fund. GAD conducted a "dry-run" using the 2013 valuation in order to test its methodology and alert practitioners about what to expect. Although it did not publicly release the findings from this first review, the Council was given details of its "dry run" review, which found that, in terms of deficit position, the Westminster Fund was in the lowest (i.e. worst) decile across all schemes following the 2013 valuation.
- 13.11 GAD has recently completed its review of the 2016 valuation. The initial findings of the GAD review of the 2016 valuation are that contributions are now sufficient to meet statutory requirements for the future solvency of the pension fund. This affirms the strategy adopted to substantially increase contributions to the pension fund over the period 2017/18 to 2019/20 outlined in paragraphs 13.6 and 13.7 above to address the historic funding deficit and reduce the deficit recovery period substantially.

#### Governance

- 13.12 The Local Pension Board continues to operate alongside the Pension Fund Committee as a scrutiny function and reports on its activities to the Pension Fund Committee and Full Council. The Board, comprised of both employer and

employee representatives, is required to assist the Council to ensure compliance with the regulations and other legislation relating to the management of the Pension Fund. The Pension Fund continues to work with the London Collective Investment Vehicle (LCIV). All local government pension schemes in England and Wales are required to form investment pools of at least £25bn with investment manager appointment and monitoring decisions undertaken at pool level. Westminster and all the other London Councils are members of the LCIV, set up to facilitate joint procurement of investment managers, with the objective of achieving significant savings. Two of the Westminster fund's existing investment mandates have been transferred to the LCIV and a third was subject to a London wide fee arrangement that substantially reduced manager fees. Another mandate continues to remain under review with a view to transfer in 2018. The Council is also working with the LCIV to help establish a new infrastructure mandate on the platform of which the Pension Fund has an allocation of 5% of total fund assets.

## 14 **Council Tax, the Collection Fund, Business Rates and Discretionary Housing Payments**

### **Council Tax**

- 14.1 The Council Tax Base (the number of Band D equivalent properties estimated to be billable for the year 2018/19) was considered by Cabinet in December 2017 and approved by Full Council on the 24<sup>th</sup> January 2018. The yield derived from the Council's standard (Band D) charge is a multiple of the number of properties chargeable in each banding.
- 14.2 The Welfare Reform Act 2012 replaced the previous Council Tax Benefits scheme with a locally determined Council Tax Reduction scheme. In setting the taxbase for 2018/19, Council also approved the continuation of the existing Local Council Tax Reduction Scheme which ensures those eligible have their Council tax liability fully funded (the changes from 2013/14 allowed Councils to charge up to 10% of the Council Tax liability to benefit claimants).
- 14.3 The number of properties (and mix of properties within each banding) has increased over the current year's taxbase as the result of a combination of new properties being brought into use; alterations to existing properties changing their valuation, and changes to the numbers of residents entitled to funding via the Local Council Tax Reduction Scheme. The taxbase for the whole of the City of Westminster has increased from 126,975.59 to 128,833.30 Band D equivalent properties – an increase of 1,857.71 (a 1.46% increase).
- 14.4 As well as collecting Council Tax for the Council's own purposes, the Council is responsible for collecting it for both major and minor preceptors. The change in the taxbase for each body is set out in the table below:

Council Tax Base Analysis:

| Financial Year | Queen's Park Community Council (No.) | Montpelier Square Garden Committee (No.) | Rest of the City of Westminster (No.) | Whole of the City of Westminster (No.) |
|----------------|--------------------------------------|--|---------------------------------------|--|
| 2017/18        | 3,346.26                             | 94.16                                    | 123,535.17                            | <b>126,975.59</b>                      |
| Change         | 60.35                                | 1.52                                     | 1,795.84                              | <b>1,857.71</b>                        |
| 2018/19        | 3,406.61                             | 95.68                                    | 125,331.01                            | <b>128,833.30</b>                      |

- 14.5 All other things being equal, the overall increase in the taxbase has the impact of yielding additional revenue receipts without any change in the headline Band D chargeable rate. Using the 2017/18 Band D amount of £408.12, the increase in the taxbase for 2018/19 would generate an additional £758k in the Council's own share of the Council Tax yield. As part of the MTP process for 2018/19, a saving of £475k within the City Treasurer's department was predicated on an estimated Council Tax base growth. The actual growth in taxbase achieved which was calculated in late Autumn 2017 at 1.46% or £758k over 2017/18.
- 14.6 The Local Government Finance Act (1992), as amended by the Localism Act (2011) requires local authorities to consider whether their relevant basic amount of Council tax (effectively the Band D amount) is excessive. The Secretary of State has, under regulations, determined that an increase of 3.00% or more would constitute an excessive increase for 2018/19. This is 1.00% higher than in previous years, the Secretary of State announced this change in the provisional finance settlement for 2018/19 and confirmed in the final settlement in February 2018.
- 14.7 Should a local authority wish to propose a budget that increases the Band D amount by more than this threshold, it is additionally required to prepare an alternate budget that does not breach that limit and to hold a referendum of its residents who would be able to determine which budget proposal they wished to be implemented. Such a referendum would involve considerable cost in holding.
- 14.8 Inflation has the impact of eroding the real purchasing power of the Council Tax yield. The latest ONS official annual inflation rates for November 2017 indicate CPI to have been 3.1% over the previous twelve months; CPIH 2.8%; and RPI 3.9%.
- 14.9 The maximum amount that the Council can increase on its own element without triggering a referendum is 2.99%. The table below sets out the additional income that would be generated by incremental increases up to the maximum level.

|                                     | Increase in Band D Amount |              |              |              |              |              |              |
|-------------------------------------|---------------------------|--------------|--------------|--------------|--------------|--------------|--------------|
|                                     | 0.00%<br>(£)              | 0.50%<br>(£) | 1.00%<br>(£) | 1.50%<br>(£) | 2.00%<br>(£) | 2.50%<br>(£) | 2.99%<br>(£) |
| 2017/18 Band D Amount               | 408.12                    | 408.12       | 408.12       | 408.12       | 408.12       | 408.12       | 408.12       |
| Percentage Change Increase          | 0.00                      | 2.04         | 4.08         | 6.12         | 8.15         | 10.20        | 12.20        |
| Band D Amount after Change          | 408.12                    | 410.16       | 412.20       | 414.24       | 416.27       | 418.32       | 420.32       |
| <b>Weekly Cost of Change</b>        | <b>0.00</b>               | <b>0.04</b>  | <b>0.08</b>  | <b>0.12</b>  | <b>0.16</b>  | <b>0.20</b>  | <b>0.23</b>  |
|                                     | £'000                     |              |              |              |              |              |              |
| <b>Additional Yield from Change</b> | <b>0</b>                  | <b>263</b>   | <b>526</b>   | <b>789</b>   | <b>1,050</b> | <b>1,314</b> | <b>1,572</b> |

- 14.10 The schedules throughout this report set out the financial implications on the Council's overall budget of not increasing the general Council Tax amount for 2018/19 over that of 2017/18 Band D general Council Tax. Cabinet is asked to consider this option to freeze general Council Tax.
- 14.11 The Greater London Authority is due to meet to formally consider the Mayor's proposed budget for the GLA on the 22<sup>nd</sup> February 2018. However, the Mayor's proposed budget recommends an increase to the 2018/19 Band D equivalent charge from £280.02 to £294.23. This consists of a £12.00 increase in the policing element and £2.21 (2.99%) increase in the non-police element of the precept. A verbal update will be provided at the meeting regarding the outcome of the London Assembly decision.
- 14.12 The Queen's Park Community Council has determined their basic tax amount for 2018/19 to remain unchanged for 2018/19 at £46.38.
- 14.13 The Montpelier Square Garden Committee has notified the Council of their intention to increase the amount they wish to raise from their special expense for residents in their area from £45,000 in 2017/18 to £47,000 in 2018/19 (an increase of 4.4%).
- 14.14 Local authorities have been granted additional powers from the Department for Government and Local Communities (MHCLG) to raise additional funding from Council Tax to support spending on Adults Social Care activities which would otherwise have been unaffordable. This Adults Social Care Precept was first introduced in 2016/17 and which the Council added an additional 2.00% in accordance with that year's recommendations.
- 14.15 The 2017/18 Local Government Finance Settlement extended this opportunity for the period 2017/18 to 2019/20. A limit of a maximum total 6.00% further increase for these three years applies, but allows some scope for the phasing of this additional charge to be applied (no more than 3.00% in either 2017/18 or 2018/19 and a maximum 2.00% in the final 2019/20 year). The Council applied a 2% increase in 2017/18.

- 14.16 The high and growing demographic and spending pressures, coupled with the particular vulnerability of this customer cohort are such that it is recommended that this additional funding opportunity is taken up. In order to keep the increases to the taxpayer manageable and affordable, the spreading of this additional charge to an equal 2.00% per annum is considered most appropriate in order to balance affordability to the taxpayer and the generation of much needed additional funding.
- 14.17 The additional revenues expected to be generated from the Adults Social Care Precept is as set out in the following table:

| <b>Band D (£) Breakdown:</b>                                      | <b>2017/18</b>    | <b>2018/19</b>    |
|---|-------------------|-------------------|
| Prior Year Band D Amount (£)                                      | 392.81            | 408.12            |
| 0.00% General Council Tax Increase (£)                            | 7.46              | 0                 |
| 2.00% Adult Social Care Precept (ASC) (£)*                        | 7.85              | 8.15              |
| <b>Total Band D Rate (£)</b>                                      | <b>408.12</b>     | <b>416.27</b>     |
|   |                   |                   |
| <b>No. Band D Equivalent Dwellings</b>                            | <b>126,975.59</b> | <b>128,833.30</b> |
|   |                   |                   |
| <b>Total Council Tax Income Raised in Year by ASC Precept (£)</b> | <b>996,758</b>    | <b>1,049,991</b>  |

- 14.18 The collective impact of the proposed changes to the Band D amounts for 2018/19 (as discussed in the paragraphs above) is summarised in the table below:

|   | <b>Queen's Park<br/>Community<br/>Council</b> | <b>Montpelier<br/>Square Garden<br/>Committee</b> | <b>Rest of the<br/>City of<br/>Westminster</b> | <b>Whole of the<br/>City of<br/>Westminster</b> |
|---|---|---|--|---|
| <b>Breakdown of Band D Council Tax in the City of Westminster</b> | <b>£</b>                                      | <b>£</b>  | <b>£</b>                                       | <b>£</b>  |
| Westminster City Council - Basic Element                          | 408.12  | 408.12  | 408.12   |   |
| Westminster City Council - ASC Precept                            | 8.15  | 8.15  | 8.15   |   |
| <b>Sub-Total</b>  | <b>416.27</b>                                 | <b>416.27</b>                                     | <b>416.27</b>                                  |   |
| Greater London Authority Precept                                  | 294.23  | 294.23  | 294.23   |   |
| Queen's Park Community Council Precept                            | 46.38   | 0.00  | 0.00   |   |
| Montpelier Square Special Expense                                 | 0.00  | 491.22  | 0.00   |   |
| <b>Total Band D Amount in Area</b>                                | <b>756.88</b>                                 | <b>1,201.72</b>                                   | <b>710.50</b>                                  |   |
|   |   |   |  |   |
| <b>2018/19 Taxbase</b>  | <b>3,406.61</b>                               | <b>95.68</b>                                      | <b>125,331.01</b>                              | <b>128,833.30</b>                               |
|   |   |   |  |   |
| Westminster City Council  | 1,418,070                                     | 39,829  | 52,171,540                                     | 53,629,439                                      |
| Greater London Authority  | 1,002,327                                     | 28,152  | 36,876,143                                     | 37,906,622                                      |
| Queen's Park Community Council                                    | 157,999                                       | 0   | 0  | 157,999   |
| Montpelier Square   | 0   | 47,000  | 0  | 47,000  |
| <b>Total Council Tax Income in Area (£)</b>                       | <b>2,578,396</b>                              | <b>114,981</b>                                    | <b>89,047,683</b>                              | <b>91,741,060</b>                               |

- 14.19 Between November and December 2017 the council consulted with all Band H properties on a proposal to introduce a voluntary Community Contribution for the most expensive properties in the city to support discretionary services that would

otherwise not be funded without increasing the level of Council Tax for all residents. Residents of Band H properties were consulted and there was a strong showing of support for the scheme and the Council proposes to now proceed with the voluntary contribution scheme. The scheme will be entirely voluntary and there will be no obligation on anyone to pay.

### **The Collection Fund**

- 14.20 Statutory regulations require local authorities to account for annual Council Tax income in a manner different to normal accounting arrangements as would apply if using International Financial Reporting Standards (IFRS). This statutory override necessitates that any variance between the originally estimated net Council Tax yield and that subsequently achieved in year is not immediately transferred to the Comprehensive Income and Expenditure Account, but is held on the Balance Sheet and instead distributed in a subsequent year. The effect of these regulations are that for 2018/19 the above estimates will represent the amount of income credited to the revenue account for that year – regardless of actual achieved.
- 14.21 Any variance between budget and actual for 2017/18 will however impact on 2018/19. Growth in the taxbase throughout the year and successful collection rates being slightly higher than expected has led to a forecast 2017/18 position £690k above budget.

### **Business Rates (NNDR)**

- 14.22 Business Rates were partly localised from the start of 2013/14. Fifty percent of net business rate yield is currently retained and shared by local authorities with the remainder pooled by MHCLG and returned in the form of Revenue Support Grant and other specific grants. A series of Tariffs and Top-ups operates to additionally redistribute retained income from those authorities with high yield to those with low NNDR receipts. Local authorities are potentially able to encourage the growth of local NNDR yield and keep fifty percent of the growth (being subject to a 50% levy on any surplus). The reverse however also operates in so far as local authorities bear 50% of the cost of any shortfall in business rate income if it is lower than the government's target level (Baseline). A Safety Net scheme operated to protect individual local authorities from losses should their retained yield fall below 92.50% of their anticipated Baseline Funding level (this is paid for from the 50% levy charged on those authorities exceeding their Baseline Funding level).
- 14.23 The 2018/19 Local Government Finance Settlement approved a pilot pooling arrangement for London boroughs and the GLA, which will see the Council retain 64% of the business rates collected, but will see no RSG payments – the overall position neutralised by a change in Tariff. The advantage of being in a pilot pooling arrangement is that London as a whole is expecting to retain the overall £240m Levy it would otherwise have paid over to MHCLG.

- 14.24 The 85% allocation for London boroughs and the GLA is based on a formula that allocates the £204.5m projected to be available on the basis of:
- 15% Growth Reward (for those boroughs above Baseline)
  - 35% Need – based on Settlement Funding Allocations
  - 35% Population
- 14.25 The remaining 15% will be retained in a central Strategic Investment Pot which will be distributed for projects that contribute to sustainable growth of London's economy and will need to have broad support across London's authorities.
- 14.26 For Westminster a provisional allocation from pooling has been estimated at £3.8m. This quantum is subject to significant uncertainty as it will rely on updated data being submitted to the City of London Corporation and not currently collated / available), and ultimately on outturns which may not be definitively known until all appeals for 2018/19 materialise and are determined.
- 14.27 Westminster is by far the biggest collector of business rates in the country, collecting around 8% of the national total. Westminster businesses are some of the most economically active and productive in the country and demand for business premises, and hence rent levels, continue to grow at rates well above the national average. This has seen significant increases in rateable values at both the 2010 Revaluation (63% increase) and the 2017 Revaluation (25%). A consequence of the high revaluation increases has been to see record levels of appeals lodged against the Valuation Office Agency's rating assessments, which in turn has led to particularly high levels of subsequent rate refunds – the majority of which have been back-dated to the very start of the 2010 Valuation List.
- 14.28 This has led to a situation for Westminster whereby, after the impact of making refunds for successful appeals, the net amount collected has fallen below the Safety Net threshold in the first three years since the current scheme start in 2013/14. Had the impact of appeals caused by original errors in the VOA assessments been discounted, rather than being below the Safety Net level, the Council would have seen real growth and reward above Baseline.
- 14.29 The implementation of the new Check-Challenge-Appeal process has seen a significant reduction in the number of appeals being recorded by the Valuation Office. Anecdotal evidence from various working groups attended by officers suggests that the industry is having difficulties using the new process and that the very small numbers of checks and challenges so far received is not an indication that the ultimate level of appeals will be significantly different to experience from the 2005 and 2010 Revaluations.

## **Discretionary Housing Payments**

14.30 The Council's Discretionary Housing Payment (DHP) funding allocation from Central Government has significantly reduced in since 2014/15:

- 2014/15 - £4.8m;
- 2015/16 - £2.6m;
- 2016/17 - £2.7m;
- 2017/18 - £1.4m.

14.31 The extent of these ongoing funding reductions has resulted in the Council previously agreeing a revised DHP policy and contributions from reserves (most recently £1m) to support future DHP spend above the Government's funding allocation.

14.32 The allocations for 2018/19 are yet to be confirmed but based on previous year's trends is anticipated to reduce. In 2017/18, the majority of local authorities nationally saw increases in their DHP allocation. However, in London, authorities saw an overall reduction. The Council experienced a loss of circa £1.3m. This was as a result of national formulae changes which sought to be distribute the reduced funding for DHP more evenly throughout the country to the detriment of areas where private rents are high such as in Westminster.

14.33 The level of reduction in allocation for Westminster would be extremely difficult to manage in a normal year. However, should levels of DHP claims increase e.g. due previously reduced Benefit Cap thresholds under the Government's on-going Welfare Reform programme, the Council could be faced with financial risk if sufficient funds were not set aside to manage DHP claims.

14.34 A further £0.5m will be allocated to help residents meet the costs of their housing which has been separately agreed.

## **15 Schools**

### **Dedicated Schools Grant**

15.1 The Dedicated Schools Grant (DSG) is a specific ring-fenced grant received by local authorities to fund schools and central expenditure to support the schools budget. The grant also covers wider support for high needs and early years for funding of pupils with special educational needs and for two, three and four year olds in nursery and associated provision. Schools are funded primarily by the DSG and not by council tax income. The 2018/19 financial year will be the first year of the National Funding Formula (NFF).

15.2 The DSG consists of four separate blocks: schools, the new central schools services, high needs and early years. The overall distribution of the DSG is ring-

fenced; however, the four blocks that make up the DSG aren't separately ring-fenced so movement between blocks is possible subject to specific conditions and limits. The specific change for 2018/19 is that there is a 0.5% limit on transferring out of the schools block that can be made without reference to the Secretary of State.

- 15.3 Westminster City Council (WCC) is able to retain DSG funding to pay for the education of pupils who are the responsibility of the Council but who are not being educated in a WCC school. The council does not contribute any of its own resources to fund schools but is required to fund the management and administration of education services from council tax and funding settlement resources.
- 15.4 Given the proposed changes to schools funding it is important to know that decisions will be taken at January and March 2018 Schools' Forum on how much will be allocated to each block and how much contingency to allocate because of the significant changes made to DSG for implementing National Funding Formula for the next 2 years.

| Description                         | 2018/19<br>£000's | 2019/20<br>£000's | 2020/21<br>£000's |
|-------------------------------------|-------------------|-------------------|-------------------|
| <b>Brought Forward Reserves</b>     | <b>2,634</b>      | <b>917</b>        | <b>317</b>        |
| <b>Early Years</b>                  |                   |                   |                   |
| Nursery Full Time Places            | 292               |                   |                   |
| Nursery Schools Sustainability      | 400               | 200               |                   |
| <b>Schools Block</b>                |                   |                   |                   |
| Minimum Funding Levels -<br>Primary | 350               |                   |                   |
| <b>High Needs</b>                   |                   |                   |                   |
| EHCP Transition                     | 150               |                   | 317               |
| Post 16 Unfunded Growth             | 125               |                   |                   |
| <b>Central Schools Block</b>        |                   |                   |                   |
| ESG Reduction                       | 400               | 400               |                   |
| <b>Total Expenditure</b>            | <b>1,717</b>      | <b>600</b>        | <b>317</b>        |
| <b>Projected Year End Reserves</b>  | <b>917</b>        | <b>317</b>        | <b>0</b>          |

## **Implementation of the National Funding Formula (NFF):**

### **Schools and high needs block**

- 15.5 The NFF is being introduced from the 2018/19 financial year. The main headlines are:
- increasing the basic amount that every pupil will attract in 2018/19 and 2019/20;
  - for the next two years, this investment will provide for up to 3% gains a year per pupil for underfunded schools, and a 0.5% a year per pupil cash increase for every school;
  - protection of funding for pupils with additional needs, cash limited to 0.5% and national high needs budget information;
  - this formula settlement to 2019/20 will provide at least £4,800 per pupil for every secondary school and £3,500 per pupil for primary schools.
  - in 2018/19 and 2019/20, the NFF will set indicative budgets for each school, and the total schools funding received by each local authority will be allocated according to the national fair funding formula and transparently for the first time;
  - local authorities will continue to set a local formula to distribute the same funding, and to determine individual schools' budgets in 2018/19 and 2019/20, in consultation with schools;
  - to support local authorities planning, all local authorities will receive some increase to the amount they plan to spend on schools and high needs in 2018/19.
- 15.6 The indicative figures show an overall increase of funding of 0.5% equivalent to £1.2m in 2018/19 and a further increase of 0.5% in 2019/20. No individual school will see a reduction in funding in 2018/19 providing there is no decrease in pupil numbers. Reductions in any schools funding is limited by -1.5% Minimum Funding Guarantee (MFG) in their pupil budget.
- 15.7 The high needs block for 2018/19 will be £24.971m, an increase of £0.634m.
- 15.8 The 2016/17 year-end closing position was a collective balance of £3.7m for the LA-maintained primary and secondary schools. For the 2017/18 financial year 4

schools are projecting a year end deficit, 2 of which could have deficits in excess of £100,000. To prevent this from happening officers will support schools to ensure that they set sustainable budgets commensurate with their resource levels.

- 15.9 A pupil count was completed in October 2017. However, the number of children in secondary schools have increased to 8,433 (+155) but the number of children in primary schools has decreased to 10,153 (-234) and there is current capacity in the system of approximately 15%, an overall total fall of (-79). As school funding is pupil-based and the Education and Skills Funding Agency (ESFA) have set different primary and secondary units of funding this represents a further cost pressure for schools.
- 15.10 Schools in England report that they are facing rising cost pressures, especially from increased staffing costs. The Institute for Fiscal Studies (IFS) estimated in April 2016 that there would be at least a 7% real terms reduction in per-pupil spending between 2015/16 and 2019/20, or about 8% if changes in the costs likely to be faced by schools were also accounted for. The spending pressures that schools face make it imperative for the service to work with schools to ensure that they are equipped to face the challenges ahead and to insulate the local authority.

### **Early Years Block**

- 15.11 In December 2016, the government set out its funding proposal to introduce an early years' national funding formula from 2017/18. A new entitlement for the additional 15-hour entitlement for eligible families was introduced in September 2017.
- 15.12 Westminster City Council in consultation with the school's forum introduced the new funding formula from September 2017. The key priority was to establish transitional arrangements from the current funding levels and the delivery of full time places to the new national funding formula without destabilising individual settings. The government expects all authorities to have implemented the new funding model by 2019/20. Transitional funding has been allocated to enable the delivery of the new proposals without causing excessive turbulence within the current system.

### **Pupil Premium**

- 15.13 In 2018/19 schools will receive pupil premium funding for each child registered as eligible for free school meals at any point in the last six years. The per pupil figure is £1,320 per primary school pupil and £935 per secondary school pupil.
- 15.14 The only increase is for the Pupil Premium Plus, for each pupil identified in the spring school census as having left local authority care because of adoption, a special guardianship order, a child arrangement order or a residence order, schools will receive £2,300 per eligible pupil (£1,900 in 2017/18).

- 15.15 Pupil premium for three and four year-old children is at a rate of £300 per eligible child. Schools can decide how they use the pupil premium and have to report on use each September on their individual school's website.

### **Education Services Grant (ESG) and CSSB**

- 15.16 The ESG, which funds spending on school improvement, management of school buildings and tackling non-attendance, was cut by £200 million (around 20 per cent) in 2015/16. For 2016/17 to 2019/20, the Chancellor announced a further cut of £600 million.
- 15.17 School and Early Years Finance Regulations will be amended to allow local authorities to top-slice schools block funding in order to fund services previously provided by ESG.
- 15.18 The 2017/18 allocation was £335k, with an additional transitional grant of £275k totalling £610k for the financial year.
- 15.19 The retained duties allocation for 2018/19 has changed because of the drop in pupil numbers and now forms part of the newly created central services block of the DSG of £1.120m.

### **Academies and Free Schools**

- 15.20 Westminster schools that convert to academy status or newly established free schools obtain their funding directly from the Education Funding Agency (EFA). These schools receive a school budget share equivalent to what they would have received if they were a Westminster school. This is funded in most cases by an adjustment to the DSG received by the council and applied to the schools block.

## **16 Housing Revenue Account (HRA)**

- 16.1 The HRA is a statutory ring-fenced Landlord Account within the Council's overall General Fund, established under the 1989 Local Government and Housing Act.
- 16.2 It accounts for the management and maintenance of c. 12,000 units of social housing and c.9,000 leaseholders within Westminster. The HRA itself is required to set a balanced budget and must not go into deficit, after taking into account HRA Reserves.
- 16.3 In 2012 the HRA moved from a national subsidy system of financing to one of Self-Financing. In order to facilitate this the Council was required to buy the HRA out of the subsidy system through taking on £68m of extra borrowing within the HRA, but in return retains all future rental income and economic benefit.

- 16.4 The Council's Arm's Length Management Organisation, CityWest Homes Ltd (CWH), undertakes the housing management function on behalf of the Council and has responsibility for the long-term investment needs of the stock estimated at £1.420bn over 30 years.
- 16.5 The Government continues to control rent levels and rent increases through Rent Rebate Subsidy Limitation. A mechanism which limits the amount of eligible housing benefit payable if average rent increases by a Local Authority exceed Government determined limits. The Government have also legislated that HRA rents reduce in real terms over a 4-year period by 1%. This has cost the HRA c.£32m over this period and over 30 years the NPV cost is estimated to be c.£237m. We are currently in year 2 of this 4 year rent reduction process. Recent announcements indicate that the policy on rent rises will return to CPI plus 1% for 5 years from 2020.
- 16.6 Self-financing itself presents the Local Authority with a number of uncertainties and risks that will need to be monitored and actively managed. These include the impact on cash flow of funding the Council's ambitious Regeneration programme, the impact of the Right to Buy, interest rate risk, and the impact of welfare reform upon future rent collection.
- 16.7 The Housing Investment Strategy and HRA 30-year Business Plan report are being presented to Cabinet alongside this report to approve the five year (2018/19 to 2022/23) capital budget for the HRA. The proposals will continue to see the immediate capacity of the HRA applied to help deliver the Council's objectives of City for All.

## 17 **Levies and Special Charges**

- 17.1 Three bodies recover their net cost by way of a levy on local authorities – this charge is thus separately identified within the Council Tax charged by those local authorities. The three bodies are:
- Environment Agency – recover the cost of flood defence works across the Thames region;
  - Lee Valley Regional Park Authority – recover the cost of running the Lee Valley park facilities to the North West of London; and
  - London Pensions Fund Authority – recover the pension costs arising from the abolition of the Greater London Authority.
- 17.2 At the time of writing this report, the Council is awaiting notifications from these three bodies to confirm the 2018/19 levies. Therefore, the 2017/18 levy charges are included in the budget options being recommended in this report. Should these organisations provide the notifications to the Council for the 2018/19 levy charges

after the dispatch of this agenda item and before the meeting itself, a verbal update will be provided.

## 18 2018/19 Proposals Requiring Consultations

### External consultations

18.1 The budget proposals for 2018/19 presented to Full Council in November 2017 contained 10 savings proposals totalling £5.360m which had been identified as requiring external consultation. As at January 2018, the following is the update to the November 2017 position:

| Directorate | Description  | 2018/19 Amount £'m | Consultations and Outcomes   |
|-------------|--|--------------------|--|
| Adults      | Alternative delivery models including Commercial Trading | 0.100              | Following further exploratory work, no significant changes to front-line service offer result from this saving, no consultation required   |
| Adults      | Review care pathways and re-commission key services      | 0.630              | Following further exploratory work, no significant changes to front-line service offer result from this saving, no consultation required   |
| Adults      | Asset Based Commissioning of prevention services         | 0.100              | Following further exploratory work, no significant changes to front-line service offer result from this saving, no consultation required   |
| Adults      | Remodel In-House service Portfolio                       | 0.150              | Following further exploratory work, no significant changes to front-line service offer result from this saving, no consultation required   |
| Children's  | Income Generation Traded Services and Education          | 1.055              | Following further exploratory work, no significant changes to front-line service offer result from this saving, no consultation required   |
| Children's  | Commissioning Contracts                                  | 0.467              | Extensive consultation undertaken with parents, providers and practitioners. Savings guided by results enabling changes to SEN travel arrangements as well as reduction in unnecessary contract items. |

|              |   |              |  |
|--------------|---|--------------|--|
| <b>GPH</b>   | Corporate Property Strategy                   | <b>0.476</b> | Following further exploratory work, no significant changes to front-line service offer result from this saving, no consultation required.  |
| <b>GPH</b>   | Property Rationalisation and Asset Management | <b>2.007</b> | Following further exploratory work, no significant changes to front-line service offer result from this saving, no consultation required   |
| <b>GPH</b>   | Electronic Consultation                       | <b>0.100</b> | Consultation completed. Following feedback from stakeholders the adoption of electronic only consultations in respect of planning application will not be pursued at this time.  |
| <b>GPH</b>   | Planning Performance Agreements               | <b>0.275</b> | Westminster Property Association (who represent over 250 developers and property owners) are currently still discussing proposed changes to PPA. Savings are expected to be achieved due to increased service demand, therefore with no changes to the front-line service offer, no consultation is required |
| <b>Total</b> |   | <b>5.360</b> |  |

### The Scrutiny Process

- 18.2 The Westminster Scrutiny Commission agreed in July 2007 to set up a Budget and Performance Task Group as a standing group, with the following terms of reference: "To consider, on behalf of the Policy and Scrutiny Committees, budget options and draft business plans and estimates at the appropriate stages in the business planning cycle and to submit recommendations / comments to the Cabinet and/or Cabinet Members."
- 18.3 Cabinet must take into account and give due regard of any views and recommendations from the Budget and Performance Task Group in drawing up firm budget proposals for submission to the Council, and the report to Council must reflect those comments (and those of other Task Groups and Committees, if any) and the Cabinet's response.

- 18.4 The minutes of the meetings held are presented in Annex A to this report. Annex A also highlights a number of risks associated with the Council's budget for 2018/19 and makes a number of recommendations.
- 18.5 A Budget and Performance Task Group was scheduled for February 2018 to further discuss any developments in the savings proposals. However, in place of this a report was supplied to Members of the final changes and it was agreed that a further tranche of meetings was not necessary.

## 19 **Legal implications**

- 19.1 The function of calculating the City Council's budget requirement and the City Council's element of the Council Tax, and the function of setting the Council Tax, are the responsibility of the full Council. The function of preparing estimates and calculations for submission to the full Council is the responsibility of the Cabinet.
- 19.2 In coming to decisions in relation to the revenue budget and the Council Tax, the Council and its officers have various statutory duties. In general terms, the Council is required by the Local Government Finance Act 1992 to make estimates of gross Revenue expenditure and anticipated income, leading to a calculation of a budget requirement and the setting of an overall budget and Council Tax. The amount of the budget requirement must be sufficient to meet the City Council's legal and financial obligations, ensure the proper discharge of its statutory duties, and lead to a balanced budget.
- 19.3 The Council should be satisfied that the proposals put forward are a reasonably prudent use of resources in both the short and long term, and that the interests of both Council Tax payers and ratepayers on the one hand and the users of Council services on the other are both taken into account.
- 19.4 Section 25 of the Local Government Act 2003 requires that when a local authority is making its budget calculations, the Chief Finance Officer of the authority must report to the Council on the robustness of the estimates made for the purposes of the calculations and the adequacy of the proposed financial reserves. The Council has a statutory duty to have regard to the report of the City Treasurer on these issues when making decisions about its budget calculations. Attention is drawn to the report as set out in Section 8 above where it is stated that the estimates are sufficiently robust for the purposes of the calculations and that the proposed financial balances and reserves over the medium term are adequate.
- 19.5 Some savings proposals may only be delivered after specific statutory or other legal procedures have been followed and/or consultation taken place. Where consultation is required the Council cannot rule out the possibility that they may change their minds on the proposal as a result of the responses to a consultation, and further reports to Cabinet or cabinet member (as appropriate) may be required.

- 19.6 Apart from statutory duties relating to specific proposals the Council must consider its obligations under the Equality Act 2010. This is addressed in Section 22 below. In developing a final set of proposals for consideration, officers have had regard to how the equality duty can be fulfilled in relation to the proposals overall. However further detailed equality impact assessments may be required for specific proposals as identified by each directorate prior to final decisions being made.
- 19.7 Section 106, Local Government Finance Act 1992, applies to Members where:
- they are present at a meeting of the Council, the Cabinet or a Committee and at the time of the meeting an amount of Council Tax is payable by them and has remained unpaid for at least two months; and
  - any budget or Council Tax calculation, or recommendation or decision which might affect the making of any such calculation, is the subject of consideration at the meeting.
- 19.8 In these circumstances, any such Members shall at the meeting and as soon as practicable after its commencement disclose the fact that Section 106 applies to them and shall not vote on any question concerning the matter. Such Members are not debarred from speaking. Failure to comply with these requirements constitutes a criminal offence, unless any such members can prove they did not know that Section 106 applied to them at the time of the meeting or that the matter in question was the subject of consideration at the meeting.
- 19.9 The use of General Fund and HRA (non-Right to Buy) capital receipts funds to fund transformation projects detailed in this report is compliant with the Statutory Guidance on the Flexible Use of Capital Receipts (updated) issued under section 15(1) of the Local Government Act 2003 (which authorities are required to have regard to). The guidance applies with effect from 1 April 2016 to 31 March 2019.

Implications by Rhian Davies, Chief Solicitor (Litigation and Social Care)

## 20 **People's Services Comments**

- 20.1 In accordance with statutory requirements, an HR1 form was issued in order to inform the Department for Business, Energy and Industrial Strategy (BEIS) of up to 48 potential redundancies.
- 20.2 A consultation was scheduled to commence at the end of January 2018 on the review of Highways services including Roads Management. The new structure will be implemented from July 2018 and it is estimated that it may result in up to 10 redundancies.

- 20.3 A consultation was scheduled to commence at the end of January 2018 on the Effective Neighbourhood Working Programme. The new structure will be implemented from July 2018 and it is estimated that this has the potential for up to 12 redundancies. However, given current vacancies the actual number is expected to be significantly less.
- 20.4 As a consequence of the Tri to Bi-Borough changes there are a number of restructures with the possibility that some redundancies may arise, which could amount to approximately 6 redundancies

## 21 **Equalities Implications**

- 21.1 Under the Equalities Act 2010 the Council has a legal duty to pay “due regard” to the need to eliminate discrimination and promote equality with regard to the protected characteristics of age, disability, gender reassignment, marriage/ civil partnership, pregnancy/ maternity, race, religion or belief and sexual orientation.
- 21.2 The equality duties do not prevent the Council from making difficult decisions such as reorganisations and relocations, redundancies, and service reductions nor do they stop the Council from making decisions which may affect one group more than another. The law requires that the duty to pay “due regard” be demonstrated in the decision making process.
- 21.3 A screening of all budget measures has been undertaken to ensure that the equality duty has been considered where appropriate. Details of the Equality Impact Assessments (EIAs) are included in Annex B. Where it has been identified that a proposal may have an adverse impact on people who share a protected characteristic, an assessment of the impact has been undertaken to ensure that “due regard” is paid to the equality duties as required by statute. Where budget proposals required a full EIA to be undertaken, these have been published and shared with the Budget & Performance Task Group to ensure they form part of the budget scrutiny process.

## **Schedules**

- 1 Gross Income 2017/18 to 2018/19
- 2 Gross Expenditure 2017/18 to 2018/19
- 3 Net Budget 2017/18 to 2018/19
- 4a 2018/19 Service Budget Changes by Cabinet Member and Executive Management Team
- 4b Detail of 2018/19 Service Budget Changes
- 4c Detail of 2018/19 Budget Changes
- 5 Subjective Analysis by Income and Expenditure
- 6 General Fund Balance and Reserves
- 7 Levies, Special Expenses and Precepts
- 8 Localised Business Rates, Settlement Funding Assessment and Council Tax
- 9 General Fund Services per Band Dwelling
- 10 Housing Revenue Account

## **Annexes**

- A Budget and Performance Task Group Meeting Notes
- B Equalities Impact Assessments
- C Council Tax Resolution

## **Background Papers**

2018/19 Budget Proposals Report

2017/18 Budget and Council Tax Report and Medium Term Plan - Council Meeting 8 November 2017

Treasury Management Strategy Statement for 2017-2018 to 2021/22 - Council Meeting 8 November 2017

Capital Strategy 2017/18 to 2021/22, Forecast Position for 2016/17 and Future Years Forecasts Summarised up to 2030/31 - Council Meeting 8 November 2017

**If you have any queries about this report or wish to inspect any of the background papers, please contact: David Hodgkinson on 0207 641 8162 or at [dhodgkinson@westminster.gov.uk](mailto:dhodgkinson@westminster.gov.uk)**

**Schedule 1 - Illustrative Gross Income 2017/18 to 2018/19**

| <b>Cabinet Member:</b>                                | <b>2017/18 Revised Budget £'000</b> | <b>Budget Change £'000</b> | <b>2018/19 Draft Budget £'000</b> |
|---|-------------------------------------|----------------------------|-----------------------------------|
| Leader of the Council                                 | (1,656)                             | 0                          | (1,656)                           |
| Deputy Leader and Business, Culture and Heritage      | (22,069)                            | (265)                      | (22,334)                          |
| Adult Social Services and Public Health               | (87,203)                            | (1,776)                    | (88,979)                          |
| City Highways   | (104,450)                           | (187)                      | (104,637)                         |
| Children, Families and Young People                   | (109,247)                           | (1,558)                    | (110,805)                         |
| Environment, Sports and Community                     | (24,696)                            | (983)                      | (25,679)                          |
| Finance, Property and Corporate Services              | (275,390)                           | (946)                      | (276,337)                         |
| Planning and Public Realm                             | (7,490)                             | (487)                      | (7,977)                           |
| Housing   | (44,806)                            | (1,901)                    | (46,708)                          |
| <b>Sub-Total Gross Income</b>                         | <b>(677,007)</b>                    | <b>(8,104)</b>             | <b>(685,111)</b>                  |
|   |                                     |                            |                                   |
| <b>Core Funding:</b>                                  |                                     |                            |                                   |
| Council Tax Income                                    | (52,022)                            | (331)                      | (52,353)                          |
| Business Rates (Net of Tariff)                        | (78,080)                            | (55,730)                   | (133,810)                         |
| Revenue Support Grant                                 | (46,161)                            | 46,161                     | 0                                 |
| <b>Sub-Total Core Funding</b>                         | <b>(176,263)</b>                    | <b>(9,900)</b>             | <b>(186,163)</b>                  |
| <b>Total Income</b>                                   | <b>(853,270)</b>                    | <b>(18,004)</b>            | <b>(871,274)</b>                  |
|   |                                     |                            |                                   |
|   |                                     |                            |                                   |
| <b>Executive Management Team:</b>                     | <b>2017/18 Revised Budget £'000</b> | <b>Budget Change £'000</b> | <b>2018/19 Draft Budget £'000</b> |
| Chief of Staff  | (2,681)                             | 2,681                      | 0                                 |
| City Treasurer  | (33,638)                            | (1,930)                    | (35,568)                          |
| Director of Policy, Performance and Communications    | (7,908)                             | 0                          | (7,907)                           |
| Executive Director Adult Services                     | (87,203)                            | (1,776)                    | (88,979)                          |
| Executive Director of Childrens Services              | (109,247)                           | (1,558)                    | (110,805)                         |
| Executive Director of City Management and Communities | (135,043)                           | (1,220)                    | (136,262)                         |
| Executive Director of Corporate Services              | (8,122)                             | (3,177)                    | (11,299)                          |
| Executive Director of Growth, Housing and Planning    | (293,167)                           | (1,123)                    | (294,290)                         |
| <b>Sub-Total Gross Income</b>                         | <b>(677,007)</b>                    | <b>(8,104)</b>             | <b>(685,111)</b>                  |
|   |                                     |                            |                                   |
| <b>Core Funding:</b>                                  |                                     |                            |                                   |
| Council Tax Income                                    | (52,022)                            | (331)                      | (52,353)                          |
| Business Rates (Net of Tariff)                        | (78,080)                            | (55,730)                   | (133,810)                         |
| Revenue Support Grant                                 | (46,161)                            | 46,161                     | 0                                 |
| <b>Sub-Total Core Funding</b>                         | <b>(176,263)</b>                    | <b>(9,900)</b>             | <b>(186,163)</b>                  |
| <b>Total Income</b>                                   | <b>(853,270)</b>                    | <b>(18,004)</b>            | <b>(871,274)</b>                  |

\*Revenue Support Grant has been rolled into Business Rates

**Schedule 2 - Illustrative Gross Expenditure 2017/18 to 2018/19**

| <b>Cabinet Member:</b>                                | <b>2017/18 Revised Budget £'000</b> | <b>Budget Change £'000</b> | <b>2018/19 Draft Budget £'000</b> |
|---|-------------------------------------|----------------------------|-----------------------------------|
| Leader of the Council                                 | 9,205                               | (101)                      | 9,104                             |
| Deputy Leader and Business, Culture and Heritage      | 18,542                              | (601)                      | 17,942                            |
| Adult Social Services and Public Health               | 146,157                             | (2,186)                    | 143,971                           |
| City Highways   | 61,222                              | (3,619)                    | 57,602                            |
| Children, Families and Young People                   | 140,663                             | (1,399)                    | 139,264                           |
| Environment, Sports and Community                     | 75,228                              | (351)                      | 74,877                            |
| Finance, Property and Corporate Services              | 321,785                             | 27,486                     | 349,271                           |
| Planning and Public Realm                             | 9,501                               | 104                        | 9,605                             |
| Housing   | 70,967                              | (1,329)                    | 69,638                            |
| <b>Sub-Total Gross Expenditure</b>                    | <b>853,270</b>                      | <b>18,004</b>              | <b>871,274</b>                    |
|   |                                     |                            |                                   |
| <b>Core Funding:</b>                                  |                                     |                            |                                   |
| Council Tax Income                                    | 0                                   | 0                          | 0                                 |
| Business Rates (Net of Tariff)                        | 0                                   | 0                          | 0                                 |
| Revenue Support Grant                                 | 0                                   | 0                          | 0                                 |
| <b>Sub-Total Core Funding</b>                         | <b>0</b>                            | <b>0</b>                   | <b>0</b>                          |
|   |                                     |                            |                                   |
|   |                                     |                            |                                   |
| <b>Executive Management Team:</b>                     | <b>2017/18 Revised Budget £'000</b> | <b>Budget Change £'000</b> | <b>2018/19 Draft Budget £'000</b> |
| Chief of Staff  | 5,518                               | (5,518)                    | 0                                 |
| City Treasurer  | 66,049                              | 30,323                     | 96,371                            |
| Director of Policy, Performance and Communications    | 15,572                              | 203                        | 15,775                            |
| Executive Director Adult Services                     | 146,157                             | (2,186)                    | 143,971                           |
| Executive Director of Childrens Services              | 140,663                             | (1,399)                    | 139,264                           |
| Executive Director of City Management and Communities | 137,373                             | (4,226)                    | 133,147                           |
| Executive Director of Corporate Services              | 20,894                              | 4,214                      | 25,109                            |
| Executive Director of Growth, Housing and Planning    | 321,044                             | (3,407)                    | 317,637                           |
| <b>Sub-Total Gross Expenditure</b>                    | <b>853,270</b>                      | <b>18,004</b>              | <b>871,274</b>                    |
|   |                                     |                            |                                   |
| <b>Core Funding:</b>                                  |                                     |                            |                                   |
| Council Tax Income                                    | 0                                   | 0                          | 0                                 |
| Business Rates (Net of Tariff)                        | 0                                   | 0                          | 0                                 |
| Revenue Support Grant                                 | 0                                   | 0                          | 0                                 |
| <b>Sub-Total Core Funding</b>                         | <b>0</b>                            | <b>0</b>                   | <b>0</b>                          |

| <b>Schedule 3 - Illustrative Net Budget 2017/18 to 2018/19</b> |                                     |                            |                                   |
|--|-------------------------------------|----------------------------|-----------------------------------|
|  |                                     |                            |                                   |
| <b>Cabinet Member:</b>   | <b>2017/18 Revised Budget £'000</b> | <b>Budget Change £'000</b> | <b>2018/19 Draft Budget £'000</b> |
| Leader of the Council  | 7,549                               | (101)                      | 7,449                             |
| Deputy Leader and Business, Culture and Heritage               | (3,527)                             | (866)                      | (4,393)                           |
| Adult Social Services and Public Health                        | 58,954                              | (3,962)                    | 54,992                            |
| City Highways  | (43,228)                            | (3,806)                    | (47,034)                          |
| Children, Families and Young People                            | 31,416                              | (2,957)                    | 28,459                            |
| Environment, Sports and Community                              | 50,532                              | (1,334)                    | 49,198                            |
| Finance, Property and Corporate Services                       | 46,395                              | 26,540                     | 72,935                            |
| Planning and Public Realm                                      | 2,011                               | (383)                      | 1,628                             |
| Housing  | 26,161                              | (3,231)                    | 22,930                            |
| <b>Sub-Total Gross Expenditure</b>                             | <b>176,263</b>                      | <b>9,900</b>               | <b>186,163</b>                    |
|  |                                     |                            |                                   |
| <b>Core Funding:</b>   |                                     |                            |                                   |
| Council Tax Income   | (52,022)                            | (331)                      | (52,353)                          |
| Business Rates (Net of Tariff)                                 | (78,080)                            | (55,730)                   | (133,810)                         |
| Revenue Support Grant  | (46,161)                            | 46,161                     | 0                                 |
| <b>Sub-Total Core Funding</b>                                  | <b>(176,263)</b>                    | <b>(9,900)</b>             | <b>(186,163)</b>                  |
|  |                                     |                            |                                   |
|  |                                     |                            |                                   |
| <b>Executive Management Team:</b>                              | <b>2017/18 Revised Budget £'000</b> | <b>Budget Change £'000</b> | <b>2018/19 Draft Budget £'000</b> |
| Chief of Staff   | 2,838                               | (2,838)                    | 0                                 |
| City Treasurer   | 32,411                              | 28,392                     | 60,803                            |
| Director of Policy, Performance and Communications             | 7,664                               | 204                        | 7,868                             |
| Executive Director Adult Services                              | 58,954                              | (3,962)                    | 54,992                            |
| Executive Director of Childrens Services                       | 31,416                              | (2,957)                    | 28,459                            |
| Executive Director of City Management and Communities          | 2,330                               | (5,445)                    | (3,115)                           |
| Executive Director of Corporate Services                       | 12,772                              | 1,037                      | 13,810                            |
| Executive Director of Growth, Housing and Planning             | 27,878                              | (4,531)                    | 23,347                            |
| <b>Sub-Total Gross Expenditure</b>                             | <b>176,263</b>                      | <b>9,900</b>               | <b>186,163</b>                    |
|  |                                     |                            |                                   |
| <b>Core Funding:</b>   |                                     |                            |                                   |
| Council Tax Income   | (52,022)                            | (331)                      | (52,353)                          |
| Business Rates (Net of Tariff)                                 | (78,080)                            | (55,730)                   | (133,810)                         |
| Revenue Support Grant  | (46,161)                            | 46,161                     | 0                                 |
| <b>Sub-Total Core Funding</b>                                  | <b>(176,263)</b>                    | <b>(9,900)</b>             | <b>(186,163)</b>                  |

\*Revenue Support Grant has been rolled into Business Rates

**Schedule 4a - 2018/19 Total Service Budget Changes by Cabinet Member and Executive Management Team**

| Cabinet / EMT                                    | City Treasurer  | Director of Policy, Performance and Communications | Executive Director Adult Services | Executive Director of Childrens Services | Executive Director of City Management and Communities | Executive Director of Corporate Services | Executive Director of Growth, Housing and Planning | Total           |
|--|-----------------|--|-----------------------------------|--|---|--|--|-----------------|
| Leader of the Council                            | (2)             | (96)   | 0                                 | 0  | 0   | (2)                                      | 0  | (101)           |
| Deputy Leader and Business, Culture and Heritage | 0               | (17)   | 0                                 | 0  | (178)   | 0  | (343)  | (538)           |
| Adult Social Services and Public Health          | 0               | 0  | (7,948)                           | 0  | 0   | 0  | 0  | (7,948)         |
| City Highways                                    | 0               | 0  | 0                                 | 0  | (4,248)   | 0  | 0  | (4,248)         |
| Children, Families and Young People              | 0               | 0  | 0                                 | (3,080)                                  | 0   | 0  | 0  | (3,080)         |
| Environment, Sports and Community                | 0               | (200)  | 0                                 | 0  | (1,749)   | 0  | 0  | (1,949)         |
| Finance, Property and Corporate Services         | (13,197)        | (3)  | 0                                 | 0  | 0   | (1,019)                                  | (2,630)  | (16,848)        |
| Planning and Public Realm                        | 0               | 0  | 0                                 | 0  | 0   | 0  | (933)  | (933)           |
| Housing  | 0               | 0  | 0                                 | 0  | 0   | 0  | (2,681)  | (2,681)         |
| <b>Sub-Total Savings</b>                         | <b>(13,199)</b> | <b>(316)</b>                                       | <b>(7,948)</b>                    | <b>(3,080)</b>                           | <b>(6,175)</b>  | <b>(1,022)</b>                           | <b>(6,587)</b>                                     | <b>(38,327)</b> |
| Leader of the Council                            | 0               | 0  | 0                                 | 0  | 0   | 0  | 0  | 0               |
| Deputy Leader and Business, Culture and Heritage | 0               | 0  | 0                                 | 0  | 0   | 0  | 0  | 0               |
| Adult Social Services and Public Health          | 0               | 0  | 3,986                             | 0  | 0   | 0  | 0  | 3,986           |
| City Highways                                    | 0               | 0  | 0                                 | 0  | 0   | 0  | 0  | 0               |
| Children, Families and Young People              | 0               | 0  | 0                                 | 123                                      | 0   | 0  | 0  | 123             |
| Environment, Sports and Community                | 0               | 0  | 0                                 | 0  | 730   | 0  | 0  | 730             |
| Finance, Property and Corporate Services         | 0               | 0  | 0                                 | 0  | 0   | 0  | 2,056  | 2,056           |
| Planning and Public Realm                        | 0               | 0  | 0                                 | 0  | 0   | 0  | 0  | 0               |
| Housing  | 0               | 0  | 0                                 | 0  | 0   | 0  | 0  | 0               |
| <b>Sub-Total Growth for Pressures</b>            | <b>0</b>        | <b>0</b>   | <b>3,986</b>                      | <b>123</b>                               | <b>730</b>  | <b>0</b>                                 | <b>2,056</b>                                       | <b>6,895</b>    |
| <b>Total Net Savings</b>                         | <b>(13,199)</b> | <b>(316)</b>                                       | <b>(3,962)</b>                    | <b>(2,957)</b>                           | <b>(5,445)</b>  | <b>(1,022)</b>                           | <b>(4,531)</b>                                     | <b>(31,432)</b> |

*\*Outside of the budget changes due to MTP Savings and Growths shown above, services within Cabinet Member portfolios have processed routine "net-nil" adjustments between income and expenditure that are reflected in Schedules 1, 2 and 3.*

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**Schedule 4b - Detail of 2018/19 Service Budget Changes**

| Schedule 4 - Detail of 2018/19 Budget Changes   | Budget Change Type £'000 |                |                |
|---|--------------------------|----------------|----------------|
|   | Expenditure              | Income         | Net Change     |
| Other Policy, Performance and Communications savings  | (50)                     | 0              | (50)           |
| Vacancy Factor  | (51)                     | 0              | (51)           |
| <b>Sub-Total Savings</b>  | <b>(101)</b>             | <b>0</b>       | <b>(101)</b>   |
| <b>Total Leader of the Council</b>  | <b>(101)</b>             | <b>0</b>       | <b>(101)</b>   |
| City Management and Communities Controllable Spend Review   | (111)                    | 0              | (111)          |
| Licensing pre-application advice service  | 0                        | (50)           | (50)           |
| External Income - Economy   | 0                        | (200)          | (200)          |
| Place Shaping income  | 0                        | (100)          | (100)          |
| Vacancy Factor  | (78)                     | 0              | (78)           |
| <b>Sub-Total Savings</b>  | <b>(189)</b>             | <b>(350)</b>   | <b>(539)</b>   |
| <b>Total Deputy Leader and Business, Culture and Heritage</b>   | <b>(189)</b>             | <b>(350)</b>   | <b>(539)</b>   |
| Pension Auto Enrolment (as modelled for STP)  | 390                      | 0              | 390            |
| Homecare rate rises, Sanctuary contract increase, Asylum pressures, Spot placements                   | 232                      | 0              | 232            |
| Reversal of Adult Social Care support grant from 2017/18  | 0                        | 1,329          | 1,329          |
| Health Integration Fund (iBCF new monies)   | 2,035                    | 0              | 2,035          |
| <b>Sub-Total Growth for Pressures</b>   | <b>2,657</b>             | <b>1,329</b>   | <b>3,986</b>   |
| Adult Social Care Precept   | (1,003)                  | 0              | (1,003)        |
| Alternative delivery vehicle including Commercial Trading   | 0                        | (100)          | (100)          |
| Asset Based Commissioning of prevention services  | (100)                    | 0              | (100)          |
| Delivery of Differential Charging Priorities  | 0                        | (250)          | (250)          |
| Direct Payments as first choice   | (100)                    | 0              | (100)          |
| E Market dynamic purchasing systems   | (50)                     | 0              | (50)           |
| Forensic Needs & payments analysis  | (100)                    | 0              | (100)          |
| Improved transition and promoting independence  | (200)                    | 0              | (200)          |
| Increase in iBCF grant  | 0                        | (3,596)        | (3,596)        |
| Integrated back office functions with Public Health and Health  | (250)                    | 0              | (250)          |
| Integrated front door with Health and digital by default  | (40)                     | 0              | (40)           |
| Joint commissioning with health to deliver shared demand and costs management                         | (320)                    | 0              | (320)          |
| Joint Commissioning, capitated budgets & accountable care partnerships                                | (200)                    | 0              | (200)          |
| Promoting well-being, prevention and independence to manage care package costs                        | (450)                    | 0              | (450)          |
| Realising the full efficiency benefits of integrated Learning Disabilities and Mental Health Services | (150)                    | 0              | (150)          |
| Remodel In-House service Portfolio  | (150)                    | 0              | (150)          |
| Review care pathways and re-commission key services   | (630)                    | 0              | (630)          |
| Review of workforce costs   | (150)                    | 0              | (150)          |
| Vacancy Factor  | (145)                    | 36             | (109)          |
| <b>Sub-Total Savings</b>  | <b>(4,038)</b>           | <b>(3,910)</b> | <b>(7,948)</b> |
| <b>Total Adult Social Services and Public Health</b>  | <b>(1,381)</b>           | <b>(2,581)</b> | <b>(3,962)</b> |

**Schedule 4b Continued - Detail of 2018/19 Service Budget Changes**

| Schedule 4 - Detail of 2018/19 Budget Changes  | Budget Change Type £'000 |                |                |
|--|--------------------------|----------------|----------------|
|  | Expenditure              | Income         | Net Change     |
| Abnormal Loads cost recovery   | (100)                    | 0              | (100)          |
| Bay suspensions relocation service   | 0                        | (250)          | (250)          |
| Better working in our neighbourhoods   | (900)                    | 0              | (900)          |
| Charging for revisits - food team  | 0                        | (20)           | (20)           |
| City Management and Communities Controllable Spend Review  | (273)                    | 0              | (273)          |
| Compliance and Audit Contract – contract efficiencies  | (50)                     | 0              | (50)           |
| Digital transformation further City Management and Communities savings                                   | (152)                    | 0              | (152)          |
| Direct Deployment of Parking Marshals  | (500)                    | 0              | (500)          |
| Flexible car sharing operators   | 0                        | (300)          | (300)          |
| Highways - Expenditure Review  | (100)                    | 0              | (100)          |
| Pay to Park Benchmarking   | (300)                    | 0              | (300)          |
| Provision of electric vehicle charging points  | 0                        | (130)          | (130)          |
| Public Protection And Licensing Additional Income  | 0                        | (200)          | (200)          |
| Review of Highways services including Road Management  | (750)                    | 0              | (750)          |
| Temporary structures charging review   | 0                        | (150)          | (150)          |
| Vacancy Factor   | (73)                     | 0              | (73)           |
| <b>Sub-Total Savings</b>   | <b>(3,198)</b>           | <b>(1,050)</b> | <b>(4,248)</b> |
| <b>Total City Highways</b>   | <b>(3,198)</b>           | <b>(1,050)</b> | <b>(4,248)</b> |
| Revised figure based on change in inflation expectation and minimum wage changes, plus 2% volume changes | 123                      | 0              | 123            |
| <b>Sub-Total Growth for Pressures</b>  | <b>123</b>               | <b>0</b>       | <b>123</b>     |
| Children's Transformation – Commissioning contracts  | (467)                    | 0              | (467)          |
| Children's - Reshape 0-19 service model  | 0                        | (450)          | (450)          |
| Children's Transformation - Education and Disability   | (130)                    | (925)          | (1,055)        |
| Children's Transformation - Other family services savings  | (215)                    | (200)          | (415)          |
| Children's Transformation - Resources and Management   | (550)                    | 0              | (550)          |
| Vacancy Factor   | (160)                    | 17             | (143)          |
| <b>Sub-Total Savings</b>   | <b>(1,522)</b>           | <b>(1,558)</b> | <b>(3,080)</b> |
| <b>Total Children, Families and Young People</b>   | <b>(1,399)</b>           | <b>(1,558)</b> | <b>(2,957)</b> |
| Waste Disposal Costs   | 730                      | 0              | 730            |
| <b>Sub-Total Growth for Pressures</b>  | <b>730</b>               | <b>0</b>       | <b>730</b>     |
| Additional commercial activity in libraries  | 0                        | (50)           | (50)           |
| Cemeteries Increased Capacity  | 0                        | 0              | 0              |
| City Management and Communities Controllable Spend Review  | (166)                    | 0              | (166)          |
| Leisure - additional income  | 0                        | (100)          | (100)          |
| Libraries stock efficiencies   | (100)                    | 0              | (100)          |
| Parking: Business Processing & Technology Contract Review  | (550)                    | 0              | (550)          |
| Sports & Leisure - Phase II  | 0                        | (670)          | (670)          |
| Vacancy Factor   | (117)                    | 9              | (108)          |
| Voluntary sector support   | (200)                    | 0              | (200)          |
| <b>Sub-Total Savings</b>   | <b>(1,133)</b>           | <b>(811)</b>   | <b>(1,944)</b> |
| <b>Total Environment, Sports and Community Total</b>   | <b>(403)</b>             | <b>(811)</b>   | <b>(1,214)</b> |

Schedule 4b Continued - Detail of 2018/19 Service Budget Changes

| Schedule 4 - Detail of 2018/19 Budget Changes                       | Budget Change Type £'000 |                |                 |
|---|--------------------------|----------------|-----------------|
|   | Expenditure              | Income         | Net Change      |
| Major Projects  | 0                        | 1,477          | 1,477           |
| Corporate Property Strategy   | 0                        | 579            | 579             |
| <b>Sub-Total Growth for Pressures</b>                               | <b>0</b>                 | <b>2,056</b>   | <b>2,056</b>    |
| Budget cleanse  | (6,000)                  | 0              | (6,000)         |
| Business rates  | (2,908)                  | 0              | (2,908)         |
| City Treasurers - Treasury Management and review of non-pay budgets | 0                        | (1,412)        | (1,412)         |
| Commercial operating model for procurement                          | 0                        | (150)          | (150)           |
| Commercialisation of Financial Expertise                            | 0                        | (50)           | (50)            |
| Corporate Property Strategy   | 0                        | (476)          | (476)           |
| Increase in Council Tax Base  | 0                        | (475)          | (475)           |
| Legal joint venture   | 0                        | (200)          | (200)           |
| Property - Sustainable Green Energy                                 | (122)                    | 0              | (122)           |
| Property Rationalisation and Asset Management                       | (1,907)                  | (100)          | (2,007)         |
| Recharging of Matrix contract                                       | 0                        | (50)           | (50)            |
| Reduced spend on Legal Services                                     | 0                        | (100)          | (100)           |
| Revenue & Benefits – contract reprocurement                         | (1,320)                  | 0              | (1,320)         |
| Review of ICT budgets   | (200)                    | 0              | (200)           |
| Review of Insurance - City Treasurers                               | (180)                    | 0              | (180)           |
| Transition to new comms contract/model                              | (240)                    | 0              | (240)           |
| Vacancy Factor  | (164)                    | 0              | (164)           |
| Wireless and small Cell concessions                                 | 0                        | (800)          | (800)           |
| <b>Sub-Total Savings</b>  | <b>(13,041)</b>          | <b>(3,813)</b> | <b>(16,854)</b> |
| <b>Total Finance, Property and Corporate Services</b>               | <b>(13,041)</b>          | <b>(1,757)</b> | <b>(14,798)</b> |
| Development Planning Income   | 0                        | (450)          | (450)           |
| Planning Performance Agreements                                     | 0                        | (275)          | (275)           |
| Proceeds of Crime Act - Planning Enforcement                        | 0                        | (150)          | (150)           |
| Vacancy Factor  | (58)                     | 0              | (58)            |
| <b>Sub-Total Savings</b>  | <b>(58)</b>              | <b>(875)</b>   | <b>(933)</b>    |
| <b>Total Planning and Public Realm</b>                              | <b>(58)</b>              | <b>(875)</b>   | <b>(933)</b>    |
| CityWest Homes Property Fee Income                                  | (90)                     | 0              | (90)            |
| Rough Sleeping and Supported Housing                                | (2,000)                  | 0              | (2,000)         |
| Spot purchases of housing for intermediate affordable housing       | 0                        | (577)          | (577)           |
| Vacancy Factor  | (14)                     | 0              | (14)            |
| <b>Sub-Total Savings</b>  | <b>(2,104)</b>           | <b>(577)</b>   | <b>(2,681)</b>  |
| <b>Total Housing</b>  | <b>(2,104)</b>           | <b>(577)</b>   | <b>(2,681)</b>  |
|   |                          |                |                 |
| <b>Service Summary:</b>   |                          |                |                 |
| Sub-Total Growth for Pressures                                      | 3,510                    | 3,385          | 6,895           |
| Sub-Total Savings   | (25,382)                 | (12,945)       | (38,327)        |
| <b>Net Total Savings</b>  | <b>(21,872)</b>          | <b>(9,560)</b> | <b>(31,432)</b> |

\*Outside of the budget changes due to MTP Savings and Growths shown above, services within Cabinet Member portfolios have processed routine "net-nil" adjustments between income and expenditure that are reflected in Schedules 1, 2 and 3.

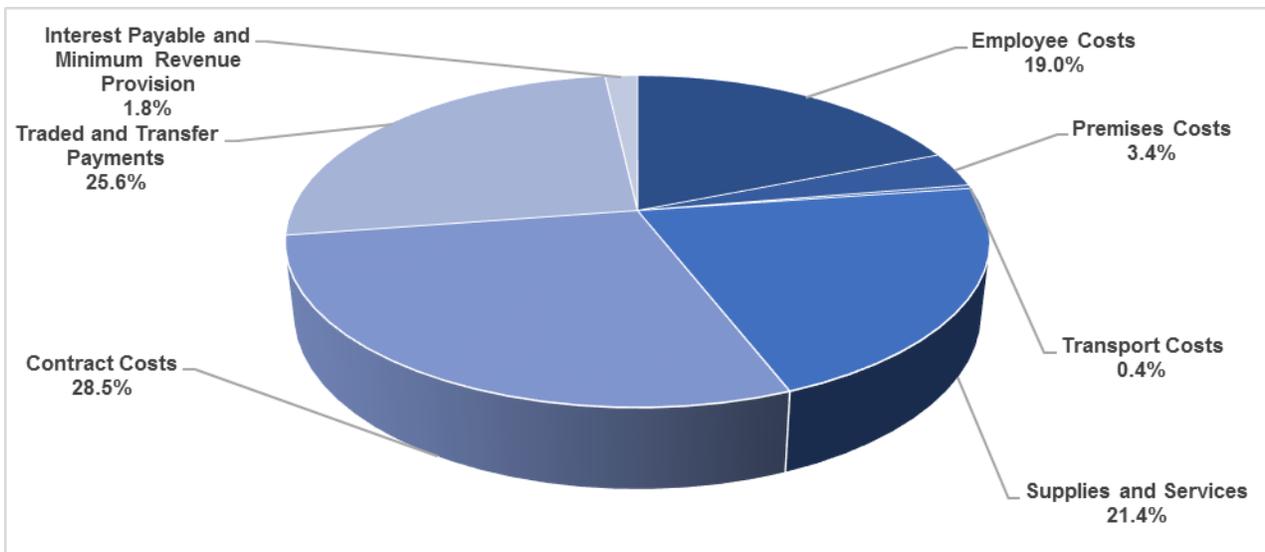
Schedule 4c - Detail of 2018/19 Budget Changes

|   | 2018/19<br>£'000 |
|---|------------------|
| <b>Total Service Budget Changes</b>                               | <b>(31,432)</b>  |
| <b>Financed by Budget Changes:</b>                                |                  |
| <b>Council Tax:</b>   |                  |
| Council Tax Changes   | (331)            |
| <b>Sub-Total Council Tax Changes</b>                              | <b>(331)</b>     |
| <b>Business Rates Budgeted Technical Reserves Appropriations:</b> |                  |
| Baseline Funding: Pooled Business Rates and Technical Adjustments | 8,100            |
| <b>Sub-Total Business Rates Changes</b>                           | <b>8,100</b>     |
| <b>Non-Core Funding Changes:</b>                                  |                  |
| New Homes Bonus Loss  | 805              |
| Inflation   | 7,643            |
| Risks   | 3,000            |
| Pension Fund Deficit Recovery                                     | 4,000            |
| Pressures   | 4,915            |
| Capital Programme   | 3,300            |
| <b>Sub-Total Non-Core Funding Changes</b>                         | <b>23,663</b>    |
| <b>Total Financed by Budget Changes</b>                           | <b>31,432</b>    |

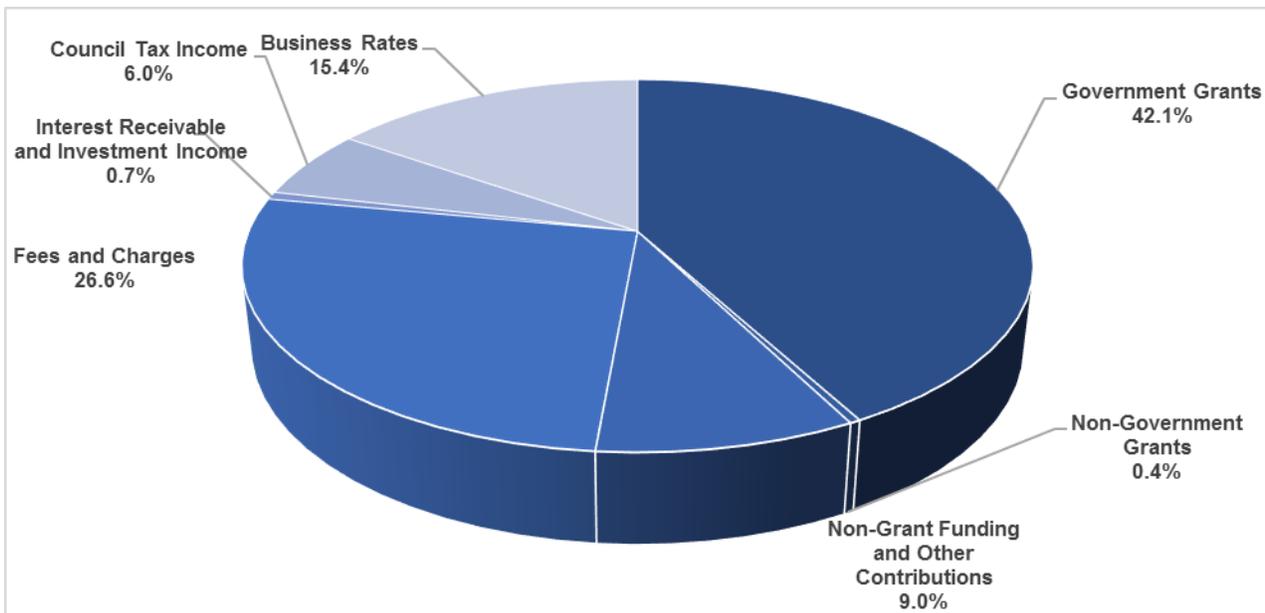
## Schedule 5 – Subjective Analysis

| Subjective Analysis Grouping                          | Description  |
|---|--|
| <b>Employee Costs</b>                                 | e.g. Basic pay, National Insurance, Pension costs, employee training, recruitment costs  |
| <b>Premises Costs</b>                                 | e.g. Utilities bills, rents, rates and repairs and maintenance costs   |
| <b>Transport Costs</b>                                | e.g. Vehicle lease hire and fuel costs   |
| <b>Supplies and Services</b>                          | e.g. Equipment, stationary, professional fees, telephony, IT and other hired services  |
| <b>Contract Costs</b>                                 | The cost to the Council for services provided on its behalf by external entities   |
| <b>Traded and Transfer Payments</b>                   | a) Traded services are service those offered between different functions within the Council  |
|   | b) Transfer Payments e.g. Housing Benefits - payments to individuals for which the Council receives no good or services in return  |
| <b>Interest Payable and Minimum Revenue Provision</b> | a) Interest which is payable on the Council's loans/borrowing  |
|   | b) The Minimum Revenue Provision is an amount required by Statute that is charged to revenue each year and set aside for repaying external loans and meeting other credit liabilities.                           |
| <b>Government Grants</b>                              | Grants which are received by the Council from Central Government departments or their agencies for specific purposes e.g. the Public Health Grant or for more general purposes such as the New Homes Bonus grant |
| <b>Non-Government Grants</b>                          | Grants from non-Government sources e.g. TfL, Heritage Lottery Fund etc   |
| <b>Non-Grant Funding and Other Contributions</b>      | This includes income from other sources of funding through contributions e.g. NHS/residential care/other local authority contributions, costs e.g. project costs externally recharged to outside entities.       |
| <b>Fees and Charges</b>                               | This is defined as income raised from the provision of a service or use of a council asset e.g. rent, service charges, planning application fees, penalty charges etc  |
| <b>Interest Receivable and Investment Income</b>      | Interest which is due to the Council from investments or from its balances   |

| <b>Schedule 5 - Subjective Analysis - Expenditure</b> |                                     |                            |                                   |
|---|-------------------------------------|----------------------------|-----------------------------------|
| <b>Subjective Analysis</b>                            | <b>2017/18 Revised Budget £'000</b> | <b>Budget Change £'000</b> | <b>2018/19 Draft Budget £'000</b> |
| Employee Costs  | 166,178                             | (1,056)                    | 165,122                           |
| Premises Costs  | 31,917                              | (2,113)                    | 29,804                            |
| Transport Costs                                       | 3,093                               | (31)                       | 3,062                             |
| Supplies and Services                                 | 163,178                             | 22,888                     | 186,066                           |
| Contract Costs  | 252,665                             | (4,117)                    | 248,548                           |
| Traded and Transfer Payments                          | 224,021                             | (867)                      | 223,154                           |
| Interest Payable and Minimum Revenue Provision        | 12,217                              | 3,300                      | 15,517                            |
| <b>Sub-Total Expenditure</b>                          | <b>853,270</b>                      | <b>18,004</b>              | <b>871,274</b>                    |



| <b>Schedule 5 - Subjective Analysis - Income</b> |                                     |                            |                                   |
|--|-------------------------------------|----------------------------|-----------------------------------|
| <b>Subjective Analysis</b>                       | <b>2017/18 Revised Budget £'000</b> | <b>Budget Change £'000</b> | <b>2018/19 Draft Budget £'000</b> |
| Government Grants                                | (365,141)                           | (1,378)                    | (366,519)                         |
| Non-Government Grants                            | (2,488)                             | (790)                      | (3,278)                           |
| Non-Grant Funding and Other Contributions        | (76,690)                            | (1,461)                    | (78,150)                          |
| Fees and Charges                                 | (228,313)                           | (3,063)                    | (231,376)                         |
| Interest Receivable and Investment Income        | (4,375)                             | (1,412)                    | (5,787)                           |
| <b>Sub-Total Income</b>                          | <b>(677,007)</b>                    | <b>(8,104)</b>             | <b>(685,111)</b>                  |
| <b>Core Funding:</b>                             |                                     |                            |                                   |
| Council Tax Income                               | (52,022)                            | (331)                      | (52,353)                          |
| Business Rates (Net of Tariff)                   | (78,080)                            | (55,730)                   | (133,810)                         |
| Revenue Support Grant                            | (46,161)                            | 46,161                     | 0                                 |
| <b>Sub-Total Core Funding</b>                    | <b>(176,263)</b>                    | <b>(9,900)</b>             | <b>(186,163)</b>                  |
| <b>Total Income</b>                              | <b>(853,270)</b>                    | <b>(18,004)</b>            | <b>(871,274)</b>                  |



**Schedule 6 - General Fund Balance and Reserves**

The following movements have been projected as at Period 8:

| <b>General Fund Balance and Earmarked Reserve</b> | <b>2017/18<br/>Opening<br/>Balance<br/>£'000</b> | <b>Projected<br/>In-Year<br/>Movement</b> | <b>2017/18<br/>Projected<br/>Closing<br/>Balance<br/>£'000</b> |
|---|--|---|--|
| <b>General Fund Balance</b>                       | <b>48,777</b>                                    | 6,302                                     | <b>55,079</b>  |
|   |  |   |  |
| General Fund Earmarked Reserves                   | <b>110,298</b>                                   | 6,002                                     | <b>116,300</b>   |
| Ring-fenced Earmarked Reserves                    | <b>14,747</b>                                    | 3,011                                     | <b>17,758</b>  |
| Receipts in Advance Reserves                      | <b>19,836</b>                                    | 0   | <b>19,836</b>  |
| <b>Total General Fund Earmarked Reserves</b>      | <b>144,881</b>                                   | 9,013                                     | <b>153,894</b>   |

## Schedule 7 – Levies, Special Expenses and Precepts

### Levies

The Council is required to raise levies from its taxpayer on behalf of three separate bodies. The levies are as follows:

| Levying Body                         | 2017/18 Budget<br>£'000 | Budget Change<br>£'000 | 2018/19 Draft Budget<br>£'000 |
|--------------------------------------|-------------------------|------------------------|-------------------------------|
| London Pension Fund Authority *      | 1,967                   | TBC                    | 1,967                         |
| Lee Valley Regional Park Authority * | 358                     | TBC                    | 358                           |
| Environment Agency*                  | 288                     | TBC                    | 288                           |
| <b>Total</b>                         | <b>2,613</b>            | <b>0</b>               | <b>2,613</b>                  |

\*Details of the 2018/19 Levy from these bodies have yet to be received.

Any details that are received subsequent to despatch of this report will be verbally reported at the meeting

### Special Expenses

The Montpellier Square Garden Committee raise a charge (Special Expense) against the local residents who have access to this private garden. This charge is recovered as part of the Council Tax bill for those relevant residents as a specific and separate additional charge.

The Garden Square Committee have notified the Council of their desire to increase the annual charge to relevant residents from £45,000 to £47,000 for 2018/19 - a 4% increase. The Committee is not subject to the same rules regarding the need to hold a referendum as is the Council.

|  | 2017/18 Budget<br>£'000 | Budget Change<br>£'000 | 2018/19 Draft Budget<br>£'000 |
|--|-------------------------|------------------------|-------------------------------|
| <b>Montpellier Square Garden Committee</b> | <b>45,000</b>           | <b>2,000</b>           | <b>47,000</b>                 |

### Precepts

The Council, as the "Billing Authority", is responsible for billing for major or minor preceptors on behalf of the following organisations:

#### a) Greater London Authority

The GLA make a Council Tax charge to residents across all 32 London Boroughs (plus the City of London at a reduced rate which pays for its own policing). This charge is used to fund a number of subsidiary components within the overall GLA group. The average Band D charge across all 32 boroughs has been recommended to rise from £280.02 to £294.23 (This consists of an increase of £12.00 in the policing element and £2.21 (2.99%) increase in the non-police element of the precept). Details of the charge are set out below:

| Breakdown of GLA Budget Funded by Precept            | 2017/18 Budget<br>£'000 | Budget Change<br>£'000 | 2018/19 Draft Budget<br>£'000 |
|--|-------------------------|------------------------|-------------------------------|
| GLA (Mayor)  | 63,200                  | 4,200                  | 67,400                        |
| GLA (Assembly)                                       | 2,600                   | 0                      | 2,600                         |
| Mayor's Office for Policing And Crime (MOPAC)        | 592,000                 | 47,000                 | 639,000                       |
| London Fire and Emergency Planning Authority (LFEPA) | 138,200                 | 9,300                  | 147,500                       |
| Transport for London (TfL)                           | 6,000                   | 0                      | 6,000                         |
| <b>Greater London Authority Group</b>                | <b>802,000</b>          | <b>60,500</b>          | <b>862,500</b>                |

| GLA Precept Amount (Band D Equivalent)        | 2017/18<br>£ | Change<br>£ | 2018/19<br>£ |
|---|--------------|-------------|--------------|
| Band D Amount - 32 Borough's                  | 280.02       | 14.21       | 294.23       |
| Band D Amount - Common Council City of London | 73.89        | 2.21        | 76.10        |

**Schedule 7 – Levies, Special Expenses and Precepts Continued**

**b) Queen's Park Community Council**

The Queen's Park Community Council is the only Parish Council in London and was established in April 2014. Queen's Park propose not to increase their precept for 2018/19.

|   | <b>2017/18<br/>£</b> | <b>Change<br/>£</b> | <b>2018/19<br/>£</b> |
|---|----------------------|---------------------|----------------------|
| <b>Queen's Park Precept (Band D Equivalent)</b> | <b>46.38</b>         | <b>0</b>            | <b>46.38</b>         |

**Schedule 8 – Localised Business Rates, Settlement Funding Assessment and Council Tax  
Settlement Funding Assessment:**

| <b>Breakdown</b>                     | <b>2017/18<br/>£'000</b> | <b>Change<br/>£'000</b> | <b>2018/19<br/>£'000</b> |
|--------------------------------------|--------------------------|-------------------------|--------------------------|
| Business Rates (Net of Tariff)       | <b>(78,080)</b>          | (55,730)                | <b>(133,810)</b>         |
| Revenue Support Grant                | <b>(46,161)</b>          | 46,161                  | <b>0</b>                 |
| <b>Settlement Funding Assessment</b> | <b>(124,241)</b>         | (9,569)                 | <b>(137,110)</b>         |

**Council Tax**

The taxbase across the constituent parts of the Council area has changed due to organic growth in the taxbase and changes to the level of taxpayers eligible for the Council Tax Reduction scheme

| <b>Breakdown of Taxbase</b>              | <b>2017/18</b>    | <b>Change</b>   | <b>2018/19</b>    |
|--|-------------------|-----------------|-------------------|
| Queen's Park Community Council (No.)     | 3,346.26          | 60.35           | 3,406.61          |
| Montpelier Square Garden Committee (No.) | 94.16             | 1.52            | 95.68             |
| Rest of the City of Westminster (No.)    | 123,535.17        | 1,795.84        | 125,331.01        |
| <b>Total Taxbase</b>                     | <b>126,975.59</b> | <b>1,857.71</b> | <b>128,833.30</b> |

The Council and other precepting bodies (including for Special Expense) have indicated their Band D Council Tax amounts for the forthcoming year will be as per the table below:

| <b>Breakdown of Band D £</b>           | <b>2017/18<br/>£</b> | <b>Change<br/>£</b> | <b>2018/19<br/>£</b> |
|--|----------------------|---------------------|----------------------|
| Westminster City Council               | 408.12               | 8.15                | 416.27               |
| Greater London Authority Precept       | 280.02               | 14.21               | 294.23               |
| Queen's Park Community Council Precept | 46.38                | 0.00                | 46.38                |
| Montpelier Square Special Expense      | 477.91               | 13.31               | 491.22               |

As a consequence of changes to the taxbase and Band D amounts, the total expected to be raised from Council Tax for each organisation is as shown below:

| <b>Total Council Tax Yield</b> | <b>2017/18<br/>Revised<br/>Budget<br/>£'000</b> | <b>Budget<br/>Change<br/>£'000</b> | <b>2018/19<br/>Draft<br/>Budget<br/>£'000</b> |
|--------------------------------|---|------------------------------------|---|
| Westminster City Council       | 51,821  | 1,808                              | 53,629  |
| Greater London Authority       | 35,556  | 2,351                              | 37,907  |
| Queen's Park Community Council | 155   | 3                                  | 158   |
| Montpelier Square              | 45  | 2                                  | 47  |

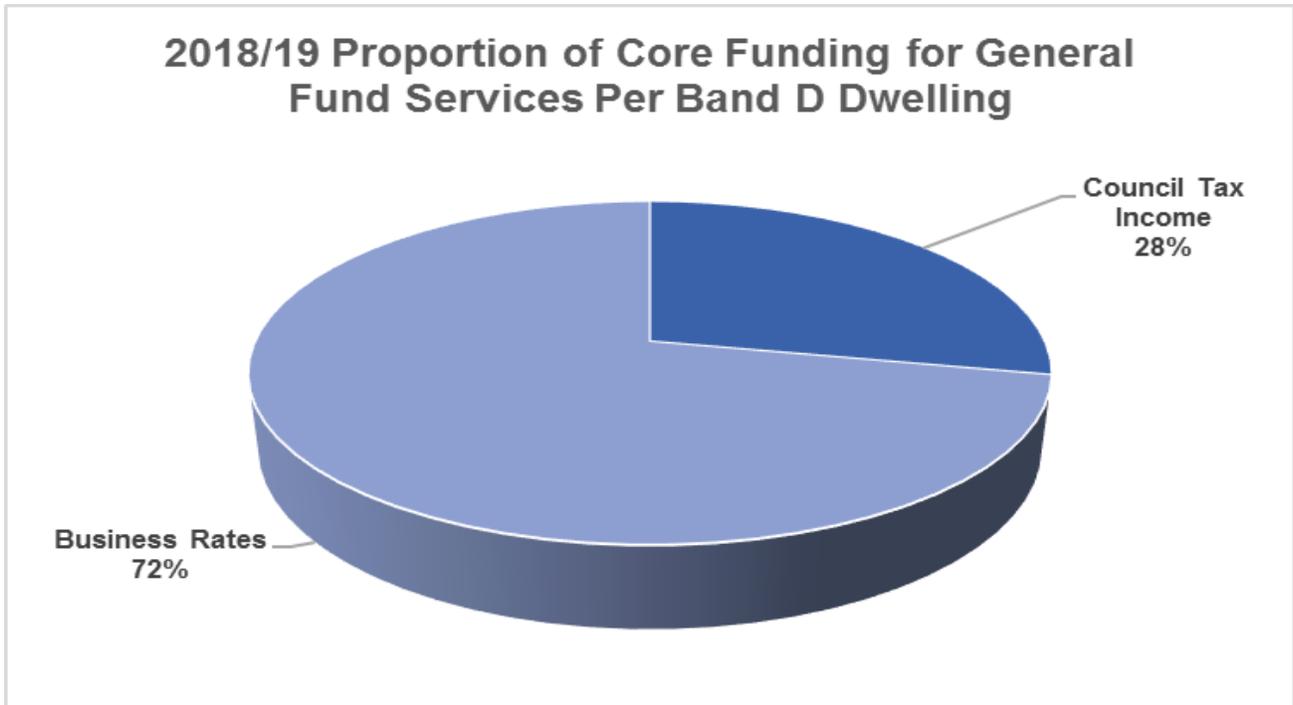
DCLG has allowed upper-tier authorities with Adults Social Care responsibilities to increase their council tax by up to an additional 2% in 2016/17 and a maximum of 6% between 2017/18 to 2019/20. The Council took advantage of this additional income source in 2016/17 and 2017/18 by increasing Council Tax by 2% in both years and recommendations elsewhere in this report propose 2% is added to the 2018/19 charge

### Schedule 9 General Fund Services per Band D Dwelling

The cost of delivering services to residents and visitors equates to £1,444.99 for every Band D equivalent household in the borough, this equates to £27.79 per week.

The GF is financed by locally retained, pooled Business Rate income and locally raised Council Tax income.

Taking the cost of providing GF services per Band Dwelling of £1,444.99, the chart below illustrates as a proportion how the different sources of Core Funding contributes towards this.



## Schedule 10 Housing Revenue Account

| Cabinet Member:                  | 2017/18<br>Revised<br>Budget<br>£'000 | Budget<br>Change<br>£'000 | 2018/19<br>Draft<br>Budget<br>£'000 |
|----------------------------------|---------------------------------------|---------------------------|-------------------------------------|
| <b>Business Income</b>           |                                       |                           |                                     |
| Rent Income – Dwellings          | (74,474)                              | 10                        | (74,464)                            |
| Rent Income – Sheds and Garages  | (1,058)                               | (191)                     | (1,248)                             |
| Service Charges – Tenant         | (2,996)                               | (50)                      | (3,046)                             |
| Service Charges – Lessee         | (11,188)                              | (437)                     | (11,625)                            |
| Heating and Hot Water            | (4,501)                               | (729)                     | (5,230)                             |
| <b>Sub-Total Business Income</b> | <b>(94,216)</b>                       | <b>(1,396)</b>            | <b>(95,612)</b>                     |
| <b>Other Income</b>              |                                       |                           |                                     |
| Corporate Property Income        | (7,625)                               | (275)                     | (7,900)                             |
| Major Works Lessee Income        | (9,792)                               | 1,596                     | (8,196)                             |
| Miscellaneous Income             | (1,392)                               | (1,207)                   | (2,599)                             |
| Interest on Balances             | (652)                                 | 327                       | (325)                               |
| <b>Sub-Total Other Income</b>    | <b>(19,462)</b>                       | <b>442</b>                | <b>(19,020)</b>                     |
| <b>Total Income</b>              | <b>(113,678)</b>                      | <b>(955)</b>              | <b>(114,632)</b>                    |

|                                   |               |              |               |
|-----------------------------------|---------------|--------------|---------------|
| <b>Management Costs</b>           |               |              |               |
| Housing Management Fee            | 22,726        | 2,361        | 25,087        |
| Business Transformation           | 4,200         | (3,700)      | 500           |
| TMO Fees                          | 1,442         | 31           | 1,473         |
| Legal Costs                       | 1,326         | (187)        | 1,139         |
| Other Management Costs            | 1,954         | (41)         | 1,914         |
| IT Services                       | 1,130         | 563          | 1,693         |
| <b>Sub-Total Management Costs</b> | <b>32,779</b> | <b>(973)</b> | <b>31,806</b> |
| <b>Total Special Services</b>     | <b>8,278</b>  | <b>1,045</b> | <b>9,323</b>  |

|                                      |               |              |               |
|--------------------------------------|---------------|--------------|---------------|
| <b>Repairs</b>                       |               |              |               |
| Planned Maintenance                  | 5,107         | (789)        | 4,318         |
| Void Repairs                         | 1,000         | -            | 1,000         |
| Responsive Repairs                   | 9,679         | 3,303        | 12,982        |
| Corporate Property Repairs           | 2,646         | 187          | 2,833         |
| <b>Total Repairs and Maintenance</b> | <b>18,432</b> | <b>2,701</b> | <b>21,133</b> |
| <b>Total Directly Managed Costs</b>  | <b>59,489</b> | <b>2,773</b> | <b>62,262</b> |

|   |                |              |                |
|---|----------------|--------------|----------------|
| Central Support Service Overheads and Recharges | 8,900          | 1,309        | 10,209         |
| Miscellaneous Expenditure/Income                | 36,872         | (1,705)      | 35,167         |
| <b>Total Expenditure</b>                        | <b>105,260</b> | <b>2,377</b> | <b>107,638</b> |
| <b>Net In year deficit / (surplus)</b>          | <b>(8,417)</b> | <b>1,423</b> | <b>(6,994)</b> |

|   |                 |              |                 |
|---|-----------------|--------------|-----------------|
| <b>HRA Reserves</b>                             |                 |              |                 |
| Opening HRA Balance Brought Forward             | (43,484)        | 28,895       | (14,589)        |
| Budgeted Net In year deficit / (surplus)        | (8,417)         | 1,523        | (6,894)         |
| Budget Capital expenditure funded from balances | 37,312          | (26,312)     | 11,000          |
| <b>Projected HRA Balance Carried Forward</b>    | <b>(14,589)</b> | <b>4,106</b> | <b>(10,484)</b> |

## Annex A

### Budget and Performance Task Group – Summary Report on 2018/19 Budget Scrutiny

#### 1. Executive Summary - The Scrutiny Process

The Westminster Scrutiny Commission agreed in July 2007 to set up a Budget and Performance Task Group as a standing group, with the following Terms of Reference:

- “to consider, on behalf of the Policy and Scrutiny Committees, budget options and draft business plans and estimates at the appropriate stages in the business planning cycle and to submit recommendations / comments to the cabinet and/or cabinet members.”
- These Terms of Reference were agreed by the current Budget and Performance Task Group at its first meeting on 12 October 2017.
- Cabinet must take into account and give due regard of any views and recommendations from the Budget and Performance Task Group in drawing up firm budget proposals for submission to the Council, and the report to Council must reflect those comments (and those of other Task Groups and Committees, if any) and the Cabinet’s response.

The Task Group examined five key themes:

- the potential impact of savings proposals on affected groups
- whether or not the budget proposals would affect the Council’s ability to fulfil its legal obligations
- the need to identify and address potential optimism bias (over-confidence about the ability to secure third party income)
- the need to examine the Capital Programme as closely as the revenue budget
- the potential impact of any external factors (for example, Brexit).

The minutes of the Task Group’s meetings are attached to this summary. The Task Group would like to offer enormous thanks to the officers of all directorates for the rigour and commitment that went into preparing papers and

Equality Impact Assessments for the Task Group's meetings, answering members' questions and following up on requests.

## **2. Overall Budget**

The overall 2018/19 draft budget appears robust, and officers provided assurances on a number of points members across all Directorates, including in relation to managing changing service demand priorities, and around the deliverability of a number of projects.

## **3. Risks**

Despite the overall confidence in the draft budget there are a number of risks which the task group wishes to highlight. The savings proposals for the 2018/19 were subject to a more robust Equality Impact Assessment (EIA) process than previous years; however in at least one case (planning and licensing electronic consultations) it was evident that officers working closer to the service were not involved in the process and key considerations had been overlooked because of this. This could have left the decision open to challenge and affected the achievability of the saving.

Adult Social Care is an area subject to immense cost pressures. The relevant Policy and Scrutiny Committee (Adults, Health and Public Protection Policy and Scrutiny Committee) has a wide remit and takes a service quality based approach to its work rather than focusing on the financial performance of the service. This could lead to a lack of member-level oversight of budget pressures. This will be discussed at the next meeting of the Westminster Scrutiny Commission.

Westminster City Council is proposing to increase its use of s106 funding for the schools expansion programme. Although this approach has been taken in other local authorities, it has not been used widely in Westminster before as the Building Schools for the Future programme had provided most of the funding in the past. This approach creates a dependency on the availability of s106 funding, which should be continually monitored.

The Council is using increasingly varied methods of delivering services and projects with other organisations, such as entering into a shared legal services ABS and being a member of the West End Partnership. Partnership can make it possible for member level financial oversight to be difficult. These joint projects should be regularly reported on to the relevant Policy and Scrutiny Committee and the West End Partnership budget should be reported separately from the Council budget. When these projects are expected to generate income, this should be clearly and realistically displayed in the business case and budget.

The Capital Programme planned for 2018/19 will cause high levels of disruption in specific geographical areas of the City. The Cabinet and Executive Directors need to be clear with non-executive members and residents about the level of disruption to avoid as far as possible delays to the delivery of capital projects. Similarly, the digitalisation of planning and licensing consultations requires political buy-in to achieve.

#### **4. General Observations**

The Council should be bold when designing new services instead of taking an overly cautious approach and then identifying savings later, as has been the case with direct deployment of parking marshals. The direct deployment of parking marshals is forecast to save the authority £500,000; this could have been achieved from the outset of the contract.

Savings proposals should be communicated using clear language to ensure the effects that they will have on services users can be understood. This was not always the case with some of the language used in Task Group's papers.

#### **5. Positive Observations**

The Task Group found clear examples of proposals avoiding optimism bias including removing unachievable targets for external advertising and taking a cautious approach to forecasting income from City Hall once it has been redeveloped.

The Task Group commended the approach to accessing project management expertise to deliver the significantly expanded capital programme. Sourcing project managers from contractors is prudent and will protect the Council from incurring staffing costs should the projects be delayed (e.g. through delays in external funding)

## **Budget and Performance Task Group Day 1 12<sup>th</sup> October 2017**

### **MINUTES OF PROCEEDINGS**

Minutes of a meeting of the **Budget and Performance Task Group** held on **Thursday 12 October 2017**, Rooms 3.6-3.7, 3<sup>rd</sup> Floor, 5 Strand, Westminster, London, WC2N 5HR.

**Members Present:** Councillors Brian Connell (Chairman) Barbara Arzymanow, Adam Hug and Andrew Smith.

**Also Present:** Barbara Brownlee (Executive Director, Growth, Planning and Housing), Siobhan Coldwell (Chief of Staff), Jonathan Cowie (CEO, CityWest Homes), Dick Johnson (SFM, Growth, Planning and Housing), Artemis Kassi (Policy and Scrutiny Officer), Steven Mair (City Treasurer) and Steve Muldoon (Assistant City Treasurer)

#### **1 WELCOME**

- 1.1 The Chairman, welcomed members and officers to the Task Group meeting, which opened at 7.02 pm.

#### **2 TERMS OF REFERENCE**

- 2.1 The Chairman reminded members of the Task Group's terms of reference and noted that the observations and recommendations of the task group would be shared in a report to Cabinet Members and the Council. He mentioned that he would be speaking at the Cabinet meeting on behalf of the Task Group.
- 2.2 The Chairman reminded members that, in order to fulfil the Terms of Reference, the Task Group should keep in mind any potential impact on affected groups (as discussed in respect of EIAs), whether or not the budget proposals would affect the Council's ability to fulfil its legal obligations, the need to identify and address potential optimism bias (over-confidence about the ability to secure third party income), the need to examine the Capital Programme as closely as the revenue budget and the potential impact of any external factors (for example, Brexit).

#### **3 APOLOGIES**

- 3.1 Apologies were received from Cllr Tony Devenish.

#### **4 DECLARATIONS OF INTEREST**

- 4.1 There were no declarations of interest.

## 5 EQUALITY IMPACT ASSESSMENTS

- 5.1 The Chairman explained that Equality Impact Assessments (EIAs) are formally acknowledged as part of the review process and that EIAs come in two stages. They are required if a budget recommendation will have an impact on a particular community. It was noted that there were no full (second stage) EIAs for the areas under review at this meeting but that an example of a full EIA had been provided to members for information.
- 5.2 A concern was raised that there was a risk that EIA preparers determine that an EIA is not necessary but in retrospect later find that an EIA was in fact necessary. A past example was given of the Charing Cross Library whereby the EIA did not register the impact of changes upon Westminster's Chinese community. It was clarified that the EIA process this year included a review by an independent barrister in addition to review by the Council's Policy team.

## 6 BUDGET OVERVIEW

- 6.1 The Chairman invited the City Treasurer to provide members with a brief overview of the proposed budget for 2018/2019. Members noted that £30.8m of net savings were identified for 2018/2019. The City Treasurer stated that, whilst £130m of gross savings would be delivered between 2015 and 2018, further savings would continue to be required in future years due to anticipated continued reductions in government funding, new legislative requirements, service delivery pressures and inflation on staff and contract costs. Members heard that, whilst the Council spends approximately £850m per year, the Council will still have to generate efficiencies to fund issues such as demographic pressures due to population longevity, the pension fund deficit recovery, inflation and legislative changes.

**Action:** Members to be provided with a breakdown by category of the drivers of the savings requirement.

- 6.2 The City Treasurer gave an overview of the capital programme both in terms of expenditure and income.
- 6.3 The City Treasurer highlighted the forecast capital spend for 2017/2018 of £370.02m, with an income of £205.1m. It was noted that the programme extends to 2031/2032 and that the largest area of gross spend would be in Growth, Planning and Housing. The West End Partnership was noted as a new area with a gross budget of £421.5m up to 2031/2032.
- 6.4 The City Treasurer advised that, concerning pensions pressures, Westminster had had one of the lowest funded pension funds. An increase in the annual contribution

rate of £4m into the pension fund is helping to reduce the period for the repayment of that debt to 19 years.

## **7 CHIEF OF STAFF**

- 7.1 The Chairman invited Siobhan Coldwell, Executive Director, to provide a brief overview of the budget for Chief of Staff.
- 7.2 Siobhan Coldwell advised that there were no proposals for savings in the coming year for two reasons. The first reason was that, in an election year, there is a significant particular demand on electoral and committee services. The second reason was that the department had not delivered all the savings for 2017/18 of £185k. Only one post had been removed from the Complaints function in the Triborough Services and there had been concerns that the department might have been making redundancies when there were re-deployment needs. The Chief of Staff stated that there would be a clearer picture at the end of the year once the consultation process had been completed.
- 7.3 In response to members' questions concerning the non-delivery of savings, it was stated that a virement in recognition of this was reflected in the 2017/18 budget table. The Task Group was informed that the focus at EMT is on the delivery of the whole budget, not individual savings line items, and that Executive Directors are ultimately tasked with the management of their total budget envelope, which would naturally have ups and downs across the service portfolio. It was added that there has been an overall underspend in the last three years and that it was anticipated that there would be an underspend this year as well.
- 7.4 The Chief of Staff stated that the Council had committed to delivering savings within the Lord Mayor's Secretariat but that they had been unable to deliver the transformation, which would now take effect next year. She stated that the department would be on track by the end of the financial year.
- 7.5 In response to members' questions, Siobhan Coldwell stated that staffing restructures and re-shaping of jobs would subsequently bring costs down. Members sought clarification concerning the cost implications for the Coroner's Service as a result of the Criminal Justice Act. There were between 200 and 300 inquests per year as a result of "deaths in care". The Coroner in Westminster was responsible for undertaking high profile cases, including inquests those resulting from the Grenfell Tower fire and the Westminster Bridge incident, but the biggest impact on the service was caused by those who die in care. In response to members' questions concerning the cost impact of the Grenfell Tower fire inquests, the City Treasurer clarified that costs were being recovered from RBKC and that the transactions would be reflected in the Council's annual accounts, but not be separately visible in the budget.

**Action:** Siobhan Coldwell to write separately to Cllr Arzymanow about the cost implications of the Criminal Justice Act.

## **8 GROWTH, PLANNING AND HOUSING**

- 8.1 The Chairman invited Barbara Brownlee, Executive Director of Growth, Planning and Housing (GPH), to provide members with an overview of budget proposals for the Directorate.
- 8.2 A number of key issues facing the Directorate were highlighted and discussed. The Executive Director highlighted that the directorate was responsible for an expenditure budget of £322.335m, with a net controllable budget of £27.879m, and indicated that the projected deficit for 2017/18 of £0.970m was due to challenges in income delivery. The Executive Director stated that the directorate had identified transformation and efficiencies of £6.547m. Uncertainty in the areas of Building Control and Planning Income was also highlighted.
- 8.3 Members heard that the savings target from rationalisation of the property portfolio would be exceeded in 2017/2018 but that it would be increasingly difficult to deliver in future years. Barbara Brownlee stated that there continued to be relentless high demand for Temporary Accommodation. The Economy and Place Shaping Teams were already fairly self-sufficient through external funding. It was noted that a degree of caution had been applied in the GPH budget strategy.
- 8.4 In relation to members' questions concerning the Housing Revenue Account, the Executive Director explained that the plan is structured as a phased commitment. Efficiencies for the Planning team reflected the Council's intention to make the function self-financing.
- 8.5 In response to members' questions about property investments, the Executive Director explained that, investments had been frontloaded; they had to be viewed over the longer term.

### Key Initiatives

- 8.6 The Executive Director took the members through three key areas of savings. The first was the Corporate Property Strategy, which would deliver £0.476m from rental income streams or by altering current rental agreements for existing properties. The second was the Property Rationalisation and Asset Management, which would deliver savings of £2.007m by reducing the Council's operational footprint. This would be achieved by subletting space within existing properties, including City Hall after its refurbishment. Members were informed that the property

rationalisation plan was a challenging target, which was also linked to delivery around a 'hubs' model.

- 8.7 Members enquired whether these savings reflected any optimism bias (over-confidence about the ability to secure third party income) or double counting but the City Treasurer assured members that figures had been reduced from past proposals of the saving and overall the approach was reasonably prudent. Barbara Brownlee confirmed that a third party will be letting floors in City Hall.
- 8.8 Discussion followed in respect of Rough Sleeping and Supported Housing, which would deliver savings of £2m through re-procurements, efficiencies, service redesign and reduction in service levels. The Executive Director explained that the Council's homeless day centres such as The Passage are now entirely funded through charitable gifts, though still providing services for Westminster. Barbara Brownlee further explained that there had been waking staff in the 24-hour hostels; these have now been changed to sleeping staff, with better outcomes. The Executive Director explained that the Council had received a grant from the MHCLG of £800k over two years, which would complement, not replace, Westminster services for rough sleeping women. Members enquired whether changing hostel services for rough sleepers from waking to sleeping staff arrangements in hostels would increase the risk of legal challenge to the council if there was an incident and how much confidence there was that sleeping staff can provide appropriate care. Barbara Brownlee stated that, during her three year tenure, there had not been an incident and the providers used are nationally recognised.

**Action:** Members to be provided with figures for the re-procurement of outreach and review of daycare services. Members also to be provided details of the facility on Harrow Road which would no longer be used by the Council.

- 8.9 The Executive Director provided details of three key initiatives to generate income streams. The first concerned the spot purchase of housing (temporary accommodation and intermediate housing). The second concerned the government's proposal to increase planning fees by 20%, to assist planning services to determine applications within the required timescales. The third initiative related to Planning Performance Agreements, resulting in the increase of fees from £26k to £36k.
- 8.10 Members commented that the EIA concerning Rough Sleeping and Supported Housing was thorough but challenged the first stage EIA for the Electronic Consultation (EIA 9.9). Members also commented upon the groups potentially affected by the move towards digitalisation, including groups without access to the internet and of a particular age, as well as those who struggle with the digital

environment. Members were advised that, whilst the general move is towards digital, alternative methods are used where email addresses are not available.

**Action:** EIA 9.9 to be reworked and resubmitted.

- 8.11 The Executive Director provided an explanation of budget pressures. These related to the unwinding of an income generation scheme which had brought in development fees and the drop in income from Huguenot House during redevelopment.
- 8.12 Members discussed consultations, referring again also to the Electronic Consultation. The Executive Director provided details of three consultation proposals for 2018/2019: the property rationalisation and asset management, planning performance agreements and electronic consultations.
- 8.13 The Executive Director took the members through the breakdown of capital expenditure, including strategic acquisitions. Members queried how the capital budget is scrutinised during the year and whether an underspend would be apparent. Steven Mair responded that capital expenditure is scrutinised as much as revenue, on a quarterly basis, as well as monthly via the Capital Review Group (CRG) meetings which currently included Cllrs Mitchell and Robathan. The Council's own budget monitoring would also detect and report any projected underspends.
- 8.14 The Executive Director provided details of the Housing Revenue Account (HRA), which is a ring-fenced account under statute. The HRA statutorily operates a 30 year business plan. Members asked which element of the budget any fire-related expenditure (such as projected sprinkler expenditure and cladding removal) appeared. Jonathan Cowie explained that fire safety work (e.g. fire doors) and cladding had gone into the HRA budget within major works amounting to £25m. Members queried the update to the business plan, specifically whether the Executive Director was confident that housing secured by s106 agreements would be delivered. Barbara Brownlee stated that s106 quotas go up and down, and cannot be guaranteed, but that the amount of housing secured by s106 had almost doubled.

**Action:** Members to be provided with details of the amount of housing forecast to be delivered against the target of 1,850, split between affordable and intermediate housing.

## 9 MEETING CLOSE

- 9.1 The Meeting ended at 8.52pm

## **Budget and Performance Task Group Day 2 17<sup>th</sup> October 2017**

### **MINUTES OF PROCEEDINGS**

Minutes of a meeting of the **Budget and Performance Task Group** held on **Tuesday 17 October 2017**, Rooms 3.6-3.7, 3<sup>rd</sup> Floor, 5 Strand, Westminster, London, WC2N 5HR.

**Members Present:** Councillors Brian Connell (Chairman), Barbara Arzymanow, Adam Hug and Andrew Smith

**Also Present:** Steven Mair (City Treasurer), Steve Muldoon (Assistant City Treasurer), Julia Corkey (Director of Policy, Performance and Communications), Ed Watson (Executive Director of the West End Partnership), Melissa Caslake (Bi-borough Executive Director of Children's Services), Andrew Tagg (Head of Resources, Children's Finance), Rachel Wigley (Deputy Executive Director and Director of Finance and Resources), Bernie Flaherty (Bi Borough Executive Director of Adult Social Care and Health), Martin Calleja (Head of Transformation, Adult Social Care Finance and Resources), Safia Khan (Lead Business Partner Adults, Adult Social Care Finance), John Forde (Deputy Director of Public Health, WCC), Richard Simpson (Finance Manager, Public Health) and Aaron Hardy (Policy and Scrutiny Manager).

#### **1 WELCOME**

- 1.1 Cllr Connell noted that apologies had been received from Mike Robinson (Tri-borough Director for Public Health)
- 1.2 The Chairman reminded members that, in order to fulfil the Terms of Reference, the Task Group should keep in mind any potential impact on affected groups (as discussed in respect of EIAs), whether or not the budget proposals would affect the Council's ability to fulfil its legal obligations, the need to identify and address potential optimism bias (over-confidence about the ability to secure third party income), the need to examine the Capital Programme as closely as the revenue budget and the potential impact of any external factors (for example, Brexit).

#### **2 DECLARATIONS OF INTEREST**

- 2.1 There were no declarations of interest.

#### **3 POLICY, PERFORMANCE AND COMMUNICATIONS**

- 3.1 Cllr Connell invited Julia Corkey (Director of Policy, Performance and Communications) to take members through budget proposals in her portfolio. The Policy, Performance and Communications (PPC) budget had increased

by £2.747m since reported in February 2017. The increase was as a result of inflation, a transfer from City Management and Communities (CMC) regarding Thames Tidal and past savings that were no longer deemed achievable.

- 3.2 Past savings no longer deemed achievable included those attributed to the Business Intelligence department. These savings had been achieved but within the Council departments (e.g. Revenue and Benefits) that had worked with Business Intelligence, therefore the saving was not deliverable against the PPC budget.
- 3.3 Another budget no longer achievable was £1m income from s106. This had been reduced by £700k to £300k. This was because, although 5% can be taken to pay the running of the scheme, the Council could actually not justify retaining more than £300k for administrative costs.
- 3.4 The Task Group was informed that the budget for income from outdoor media advertising was based on very successful first and second years, however the market had flattened since then and this target was no longer achievable. The doubling of business rates at certain sites (which the Council was appealing) had also affected the achievability of this budget.
- 3.5 The voluntary sector community budget would be reduced by £200k to remove a historic underspend. This would not affect service levels. This budget concerned corporate support for volunteering (e.g. One Westminster and time credits) and not services commissioned from the voluntary sector.
- 3.6 £50k of one off capital expenditure was to be spent on a new system to manage booking for events and filming, this would help to generate an additional £100k income per annum.
- 3.7 The Communications and Campaigns budget was shown with budgeted income matching budgeted expenditure. It was explained that the overall PPC income target regardless of where it is generated offsets the communications expenditure. The department operates as one team with all managers responsible for achieving the overall PPC income target.

**Action:** To provide members with a briefing on how PPC is scrutinised.

#### **4 WEST END PARTNERSHIP**

- 4.1 Cllr Connell invited Ed Watson (Executive Director of the West End Partnership) to take members through budget proposals in his portfolio. Ed Watson told the Committee that majority of the 2018/19 West End Partnership's (WEP) budget related to the Oxford Street District project.

- 4.2 The major activity for 2018/19 would be the Oxford Street West transition scheme; this would be funded by Transport for London. The WEP was waiting on a decision from Government on business cases that had been submitted for a total of £310m of funding for the Oxford Street transformation and two other WEP projects, this is expected in the autumn statement. This funding could be a Tax Increment Financing deal (where the Council retains additional business rates income) or a direct grant. The WEP's business cases were predicated on significant investment from the private sector with Government funding used as a lever to encourage investment. Business Improvement Districts had been charged with leading and generating investment from the private sector. A mixture of traders and local land owners would be approached to contribute.
- 4.3 The WEP capital expenditure for two projects now being delivered are shown in the CMC budget, however going forward WEP projects would be recorded separately. The Westminster Scrutiny Commission would undertake the role of public scrutiny of the WEP's finances.

**Action:** Ensure that in the future the WEP budget is reported separately from the rest of the Council's.

## 5 CHILDREN'S SERVICES

- 5.1 Cllr Connell invited Melissa Caslake (Bi-borough Executive Director of Children's Services) to take members through budget proposals in her portfolio. The task group was told that the budget for 2018/19 was all set in the context of a move from a tri-borough to a bi-borough service. The services structures were being consulted on.
- 5.2 The implementation of the national funding formula was a significant risk for schools. There were transition arrangements in place for 2018/19. No individual school in Westminster was set to lose out, however some primary schools had seen falling rolls which reduced their overall budget. The Council was supporting those schools to embed financial strategies and create resilience to funding reductions.

**Action:** Provide the Task Group with details of schools being supported to become financially resilient to the effects of reduced pupil numbers.

- 5.3 Westminster was experiencing cost pressures as a result of being over the national cap on the number of unaccompanied asylum seekers that had to be placed. A transferral scheme was in place but this was difficult to use in practice.

- 5.4 The government funding for the Partners in Practice/Centre for Social Work was due to taper off. Work was being undertaken to produce a business plan to make this service sustainable.
- 5.6 The bulk of savings in Education (£1.025m) would come from increased trading and pursuing other income sources. The Council had previously invested in the continued delivery of Education support service. The reductions in the Education Services Grants and the increased number of academies, has required these services move to a traded basis to ensure future viability. The Council had focused on developing a robust, quality service but in the future would look to expand the number of services offered, including by trading out of borough. The Council took a measured approach with regards to services that would be traded and those for which the cost would be absorbed by the Council (e.g. billing other local authorities for out of borough children with high needs). SLAs with schools were signed early in the year so there was time to plan services and deal with any demand fluctuations. Currently SLAs were signed annually; negotiations were underway with schools to move to three year SLAs to provide more financial stability.

**Action:** Provide Task Group members with details of services traded with schools and which of these services are most sensitive to schools not buying in.

- 5.7 Children's Services had made savings by increasing the local offer for children and young people with additional needs; however this had resulted in increased demand for SEND transport. Funding from the high needs funding block was being sought to offset this increase. Costs for home to school transport had also been increased as a result of Children's services duty extending to the age of 25. These costs would not have necessarily been borne by Adults Services in the past as there were different criteria.
- 5.8 The reshaping of the 0-19 service model had already been undertaken. The health visiting contract had been renegotiated; Melissa Caslake said she understood that the efficiencies had been achieved through back office functions; however members of the task group raised concerns that frontline services may have been affected.

**Action:** Provide the Task Group with details of the impact of front line services of the health visiting contract renegotiation.

- 5.9 The first phase of the perfect pathways commissioning with parents had finished. Providers and market partners were being consulted in how to develop a better offer, focusing mainly on better signposting.

- 5.10 The Task Group discussed short breaks and was told that there was currently a blanket offer on short breaks, where everyone who was eligible received the same package. The Executive Director explained that this did not always meet the child's needs and was not an efficient use of limited resources.
- 5.11 The Task Group discussed the use of s106 contributions to fund the school expansion programme and the risks associated with this. It was explained that this was a funding route that can be used in local authorities to part finance school expansions. It had not been used widely in Westminster before as the building schools for the future programme had provided most of the funding in the past.

**Action:** Provide the Task Group with details of s106 contributions being used for school expansion in Westminster.

- 5.12 The move to a bi-borough Children's service was discussed. The cost estimate for the bi-borough services was £550k across both boroughs, structures were being consulted upon and this estimate was subject to change. Recruitment and staffing was an unknown issue, more detail about which posts would need to be filled was expected by December once the bi-borough and Hammersmith and Fulham staff consultations had been concluded.

## **6 ADULT SOCIAL CARE**

- 6.1 Cllr Connell invited Rachel Wigley (Deputy Executive Director and Director of Finance and Resources) to take members through budget proposals in Adult Services.
- 6.2 The Task Group enquired as to why the budget for physical support in 2017/18 had doubled since it was reported in February 2017. The explanation included inflation being applied to the service area, virements from other areas, increased allocation of better care fund money, and reallocation of funding from other Adults services as customers' needs had been assessed.

**Action:** Provide members of the task group with details of the increased 2017/18 physical support budget

- 6.3 Mental health and support with memory and cognition budgets were reported separately because of CIPFA guidelines.
- 6.4 It was indicated that the reduction in the budget for assistive technology was because of a one-off spend that was necessary in 2017/18

- 6.5 The North West London Strategic Transformation Plan would not result in additional funding for the Council, but was being designed improve the health economy overall.
- 6.6 In response to questions the Task Group was told that all of the proposals were achievable. The ones most at risk were those that involved cooperation with health partners as multi-agency working was always challenging and required sign-up from all parties and the relevant skills being available to deliver projects. Another risk was that the market might not respond positively to attempts to re-commission service
- 6.7 The review care pathways and re-commissioning key services initiative was not expected to involve major changes that would affect customers in 2018/19. However these changes would lead to delivering more difficult budget savings in future years.
- 6.8 The scrutiny of Adult Services finances was discussed. The responsible Committee was the Adults, Health and Public Protection Policy and Scrutiny Committee (AHPP). AHPP focused primarily on service quality. Although other bodies (such as the Health and Wellbeing Board) also examined health proposals, the gap in the Scrutiny of Adult Services finances was viewed as a risk by members of the Task Group.
- 6.9 It was explained that the better care fund had been increased and that the Council would also receive an additional Better Care Funding grant for three years. The increases together amounted to £3.596m which would be used to offset the loss of other one-off grants and contract and placement pressures.
- Action:** Provide the Task Group with a breakdown of the better care funding, showing the permanent increase and the 3 year additional grant.
- 6.10 The Task Group was told that each time a service was re-commissioned it had a well evolved plan and that re-commissioning was about redesigning services not cutting pay.
- 6.11 The Task Group discussed the costs involved in bed blocking.
- Action:** Provide members of the Task Group with public performance statistics on bed blocking
- 6.12 The change to the duty of Children's Services to provide care up to the age of 25 had not reduced the costs associated with Adult Services as those customers who did transition to Adults Services had the highest needs which required the most

costly care. There was also a growing ageing population adding to the costs of Adult Services.

6.13 The outcome of consultation on the asset based commissioning of prevention services was the only one with the potential to affect the savings target. The consultation was seeking to make use of community assets (including family, personal finance, buildings, businesses and volunteering) to deliver services. Future savings might be difficult to achieve so the implementation period may be extended.

6.14 The Task Group was told that approximately £6.5m was spent on preventative services.

**Action:** Provide the Task Group with a briefing on the split of funding between preventative measures and care at home.

6.15 The Adult Services capital programme was largely focused on delivering more digital services.

## 7 PUBLIC HEALTH

7.1 Cllr Connell invited John Forde (Deputy Director for Public Health, WCC) to take members through budget proposals in Public Health.

7.2 Public Health transfers £0.832m of its funding from NHS England to Central London CCG for the delivery of dietetic service by the NHS. This anomaly arose when the Public Health budgets were first devolved to local authorities (not just Westminster) but has not been addressed by the NHS.

7.3 It was clarified that Public Health would shift its operating model with the introduction of a Bi-borough service and that the use of the Public Health grant would continue to be shared with other council departments to optimise its use. One of the main challenges for Public Health in 2018/19 would be to ensure that this approach was successful and the funding used efficiently. The City Treasurer told the Task Group that the main issues potential risks within Public Health were the large number of contracts that were being reviewed and the £1.023m call on reserves. The planned overspend would be drawn from Public Health reserves, which were forecast to last until 2021, but which allowed time to reduce the deficit. However it was essential that recurrent expenditure was brought in line with recurrent income by that date.

7.4 £800k efficiencies in Substance Misuse would be achieved by releasing funds that had been set aside for risks around re-designed services in case they didn't meet

their savings targets. The services had met their targets allowing the risk fund to be released.

- 7.5 The £600k savings from the Genito Urinary Medicine services were as a result of London-wide work to make efficiencies in the contract, such as more digital services and an increase in home testing which offers a more flexible service costing less money.
- 7.6 The savings delivered by ending the Health Trainers contract were mainly achieved as a result of eliminating duplication with other contracts such as cardiovascular disease prevention and adult obesity services.

## **8 MEETING CLOSE**

- 8.1 The Meeting ended at 9.40pm.

## **Budget and Performance Task Group Day 3 18<sup>th</sup> October 2017**

### **MINUTES OF PROCEEDINGS**

Minutes of a meeting of the **Budget and Performance Task Group** held on **Wednesday 18 October 2017**, Room 3.4, 3<sup>rd</sup> Floor, 5 The Strand, Westminster, London, WC2N 5HR.

**Members Present:** Councillors Brian Connell (Chairman), Barbara Arzymanow, Tony Devenish, Adam Hug and Andrew Smith

**Also Present:** John Quinn (Executive Director of Corporate Services), Stuart Love (Executive Director of City Management and Communities), Catherine Murphy (Strategic Finance Manager), Steven Mair (City Treasurer), Steve Muldoon (Assistant City Treasurer) and Aaron Hardy (Policy and Scrutiny Manger).

#### **1 WELCOME**

- 1.1 The Chairman welcomed those present.
- 1.2 The Chairman reminded members that, in order to fulfil the Terms of Reference, the Task Group should keep in mind any potential impact on affected groups (as discussed in respect of EIAs), whether or not the budget proposals would affect the Council's ability to fulfil its legal obligations, the need to identify and address potential optimism bias (over-confidence about the ability to secure third party income), the need to examine the Capital Programme as closely as the revenue budget and the potential impact of any external factors (for example, Brexit).

#### **2 DECLARATIONS OF INTEREST**

- 2.1 There were no declarations of interest.

#### **3 CORPORATE SERVICES**

- 3.1 The Chairman invited John Quinn (Executive Director of Corporate Services) to take members through budget proposals in his portfolio. The Task Group was told that the directorate's budget was made up of mainly staffing costs, the second largest spend was on IT costs. Savings would mainly be achieved through more efficient use of staff.
- 3.2 Most of the income was from recharges to other parts of the Council. Internal recharges use the same formula as previous years to calculate the costs. Third party (external) income was approximately £500k which included income from framework contracts or selling procurement services to other authorities.

Approximately £200k of income was from cross-charging services provided to schools.

- 3.3 The Task Group discussed the managed services procurement. The procurement was estimated to be cost neutral in 2018/19 as the first half of the year would still be under the BT contract and the Council would receive a rebate from BT which would cover most of the additional costs in the second half of the year. In addition to the above there would be an additional one off implementation costs.
- 3.4 The savings from Legal Services were dependent on member approval of an alternative business structure (ABS) and joining LGSS. Joining the LGSS will reduce overheads and give the Council access to an additional 100 lawyers. Being in an ABS would allow the Council to use in-house lawyers on work it did with third party organisations, which was one way spend on external legal services could be reduced. The internal charge for legal services would also drop from the current £85 per hour due to a reduction in back-office support costs. In respect of governance, the LGSS has officer and member level boards. The performance of legal services would still be reported to the relevant Policy and Scrutiny Committee.

**Action:** Circulate the business case for the Legal Services proposals to members of the Task Group.

- 3.5 The BYOD campaign would include offering staff the opportunity to use their own phone by using Skype, reducing handset costs. The Council was no longer pursuing BYOD with in relation to desktops as the costs related to a maintaining many different types of hardware outweighed the benefit.
- 3.6 The Task Group discussed the digital transformation programme, part of which was the one front door proposal which intended to remove various different 'My Accounts' required for online council services and replace them with one. This would be easier to use for customers and achieve a saving by being able to retire out-dated systems. Other candidate projects were being assessed. Members of the Task Group noted that this programme was the first major capital investment of this type the Council had undertaken and that responsible Cabinet members should closely monitor whether or not the projected savings were achieved.

**Action:** Circulate the business case for the digital transformation programme to members of the Task Group.

- 3.7 The end user computing refresh programme included the introduction of Windows 10 and replacing old hardware.

**Action:** Provide details of the number of pieces of hardware involved in the computing refresh and average cost per laptop.

#### **4 CITY MANAGEMENT AND COMMUNITIES**

- 4.1 The Chairman invited Stuart Love (Executive Director of City Management and Communities) to take members through budget proposals in his portfolio. The Task Group was told that the directorate's surplus for 2017/18 was due to additional income, savings achieved from suppliers and managing existing vacancies.
- 4.2 Funding from MOPAC is projected to reduce by a total of £200k. The Council's previous budget had been £1m. This had been reduced by 56% by MOPAC and the Council had successfully bid for additional funding to bring the total back up to £800k. This pressure was not reflected in the budget as the news on funding had just come to light.
- 4.3 Additional commercial activities in Libraries was planned beyond 2018/19, however a detailed business plan had not been produced and income had not been budgeted for as a cautious approach had been taken based on a lack of success in other authorities.
- 4.4 The additional income from leisure facilities was mainly as a result of increased commercial opportunities being realised at the Sayers Croft Field Centre. This would mainly be generated during school holidays and would not impact on the use of the centre by schools.
- 4.5 The review of the Highways service would not have an effect on the frequency of repairs; there would however be a reduction in staff posts. The review had also identified reductions in duplication of contracted services through a new approach to contract management.
- 4.6 The Council would receive a fee from a provider of electrical vehicle charging points; the demand for spaces for these points outweighed the Council's ability to supply them. Residential parking spaces would only be used for electrical vehicle charging points when residents requested them. Flexible car sharing schemes would not use residential parking spaces.
- 4.7 The Task Group discussed the direct deployment of parking marshals and was told that the contractor had said that its staff were in favour of the approach, as were the Council's own employees in similar roles. This would save the Council the cost of approximately 1,400 hours. Stuart Love told the Task Group that the Council should trust its staff rather than require them report at a central location at the beginning of their shift and go back out. Members of the Task Group encouraged

a bold approach when introducing new schemes, rather than a risk adverse approach which would be reversed later to achieve a saving.

- 4.8 An online solution for consultations on planning and licensing applications would ensure that all the information was available online for residents to access. The Council would utilise existing channels to communicate the change to residents. The changes were not expected to cause significant frustration as it was believed that most residents preferred accessing services digitally. The Task Group was told that the change was not expected to leave the Council open to more judicial reviews on planning and licensing decisions. The Task Group commented that the proposals required political buy-in.
- 4.9 The Better Working in our Neighbourhoods project aimed to build on the experience of city inspectors by combining more functions into the role (e.g. highways inspections and noise complaints) to increase efficiency of work. Staff consultations on the proposals would begin in January. The task Group commented on the importance of clear language in budget proposals so that the effect they had on services could be easily understood.
- Action:** Provide the Task Group with the number of posts that the project will affect.
- 4.10 The budget pressures for waste and disposal reflected an increased cost per tonne, not an increase in tonnage volume which was actually decreasing. This increase had been expected from the outset of the contract. There was only a slight risk that the additional costs would be higher than forecast.
- 4.11 In response to questions, the Task Group was told that the Council was very confident that the capital programme for the directorate would be delivered. The biggest risk was that projects due to be externally funded could suffer slippage as a result of delays on the part of funders, which was outside Council control. To manage the capital programme (which was the Council's largest ever), project management expertise had been brought in from contractors. This approach ensured the Council had appropriate expertise but did not incur an additional overhead if the project stalled. The Task Group praised this approach.
- 4.12 The Task Group emphasised that the capital programme would result in significant disruption in parts of the City and that the Cabinet should ensure this is properly communicated to residents and Councillors to avoid delays in projects.
- 4.13 The increased spend on bridges and structures was higher in 2018/19 than previous years as a result of a number of bridges needing maintenance at the same time.

- 4.14 The disabled facilities grant and safe and secure homes scheme was part of CMC (instead of Adult Services, Growth, Planning and Housing or as part of the CityWest Homes budget) mainly for historical reasons and partly because it was used for works on private properties, not the Council's own stock of housing.

**Action:** Review the disabled facilities grant and safe and secure homes scheme budget and budgets of a similar nature in other directorates to determine whether these should be combined and the most appropriate department to manage these considering the needs of customers and how they can be best met.

- 4.15 The Executive Director identified income streams for waste and recycling and parking as potential risks for 2018/19. The Council had seen a reduction in the amount of commercial waste being collected, this had been offset by price increases and income had remained static. There had also been small reductions in on-street parking income, this was being monitored but had been more than offset by income from parking suspensions.

**Action:** Provide members of the Task Group with a breakdown of parking income.

## **5 CITY TREASURER**

- 5.1 The Chairman invited Steven Mair (City Treasurer) to take members through budget proposals in his portfolio.
- 5.2 The City Treasurer's department had achieved an underspend for 2017/18 to date as a result of better than expected Treasury Management performance; this had been achieved by developing a treasury management strategy which sought to alter the Council's approach to risk.
- 5.3 The Task Group was told that the projected increase in the Council Tax base was modest and a reasonable assumption. The cautious approach should ensure that the target is met and in the unlikely event that it is not, it can be absorbed by the Council's overall budget.
- 5.4 The Revenue and Benefits contract had not changed provider for nearly twenty years. Re-procuring the contract to take into account digital solutions and undertaking a robust evaluation of the contract should lead to significant savings.
- 5.5 The projected increase in income from business rates was because of the changes to the appeals system which discouraged speculative appeals. The income was expected up front but to be prudent and guard against the impact of appeals increasing again in the future half of it would be put into a reserve and released in future years.

- 5.6 The £6m saving from accounts and budget cleanse was a guaranteed on-going saving. This had been achieved by improving the Council's financial assurance processes through work such as rigorously challenging debt collection processes, historic budget lines and accruals.
- 5.7 The capital contingency budget was overseen by a member level Capital Review Group which had to approve all requests to draw from the budget.
- 5.8 The capitalisation of pension contributions and centrally held City Hall capital budgets were a mechanism to allow the Council to take advantage of temporary rules that allowed the Council to use capital receipts to fund invest to save projects normally funded through revenue budgets. Investment in City Hall would allow the Council to maximise income from renting office space and investing in reducing the pension fund deficit would reduce the future revenue costs of the pension fund.

## **6 MEETING CLOSE**

- 6.1 The Chairman thanked all of the officers who had prepared papers for the task group, attended the meetings and provided follow up information.
- 6.2 The Meeting ended at 9.05pm.

**Equalities Impact Assessments**

The Council has a duty to ensure that all policy decisions are considered to assess whether they have any equality impacts. All budget changes set out in this report have been screened to ensure that equality impacts have been considered where appropriate.

An Equalities Impact Assessment (EIA), has been produced for each of the savings initiatives for the 2018/19 budget, either for section 1 only if no equalities impact was determined, or a full EIA if an impact was detected. This Annex sets out all of the completed returns.

Additionally, two lever arch files containing the EIAs for all savings proposals is held by the Member Services team at 5 The Strand and will be available for Councillors to review between 9am and 5pm, Monday to Friday, up until the date of the full Council meeting on 7<sup>th</sup> March 2018.

Members are requested to ask any one of the team for access to the file if they wish to see them. In order for all Members to have access to these, the file cannot be taken out of the building. All assessments were also made available at the Budget and Performance Task Group meetings held on 12<sup>th</sup>, 17<sup>th</sup> and 18<sup>th</sup> October 2017 and are available on the Council's website.

A summary list of all the assessments is presented below:

**SCHEDULE OF BUDGET PROPOSALS AND EIA REFERENCE NUMBERS**

The list of proposals set out below shows the savings being targeted for delivery in 2018/19.

Members are requested to review the list and the Equality Impact Assessment reports cross-referenced below, as part of the requirement to consider each saving proposed before the decision to recommend the budget is taken.

| EIA Reference Number  | EIA Description  | Executive Director                                  | Saving 2018/19 £000 | Full EIA or Part 1 Only |
|---|--|---|---------------------|-------------------------|
| <b>Financa, Property &amp; Corporate Services (Councillor Mitchell)</b> |  |   |                     |                         |
| 1.16a   | Reduced spend on Legal Services  | Corporate Services (John Quinn)                     | 100                 | Part 1 Only             |
| 1.18  | Increase in Council Tax Base   | City Treasurer's (Steve Mair)                       | 475                 | Part 1 Only             |
| 1.20  | Revenue & Benefits – contract re-procurement   | City Treasurer's (Steve Mair)                       | 1,320               | Part 1 Only             |
| 1.24  | Commercial operating model for procurement   | Corporate Services (John Quinn)                     | 150                 | Part 1 Only             |
| 1.25  | Corporate Property Strategy  | Growth, Planning & Housing (Barbara Brownlee)       | 476                 | Part 1 Only             |
| 1.37  | Transition to new communication contract/model   | Corporate Services (John Quinn)                     | 240                 | Part 1 Only             |
| 1.40  | Property rationalisation and asset management  | Growth, Planning & Housing (Barbara Brownlee)       | 2,007               | Part 1 Only             |
| 1.44  | Recharging of Matrix contract  | Corporate Services (John Quinn)                     | 50                  | Part 1 Only             |
| 1.52  | Treasury Management and review of non-pay budgets  | City Treasurer's (Steve Mair)                       | 1,412               | Part 1 Only             |
| 1.54  | Review of ICT budgets  | Corporate Services (John Quinn)                     | 200                 | Part 1 Only             |
| 1.55  | Legal joint venture  | Corporate Services (John Quinn)                     | 200                 | Part 1 Only             |
| 1.57  | Commercialisation of financial expertise   | City Treasurer's (Steve Mair)                       | 50                  | Part 1 Only             |
| 1.58  | Wireless and small cell concessions  | City Treasurer's (Steve Mair)                       | 800                 | Part 1 Only             |
| 1.61  | Review of Insurance  | City Treasurer's (Steve Mair)                       | 180                 | Part 1 Only             |
| 1.62  | Business rates   | City Treasurer's (Steve Mair)                       | 2,908               | Part 1 Only             |
| 1.63  | Property - sustainable green energy  | Growth, Planning & Housing (Barbara Brownlee)       | 122                 | Part 1 Only             |
| 1.65  | Other Policy, Performance and Communications savings   | Policy, Performance & Communications (Julia Corkey) | 50                  | Part 1 Only             |
| 1.66  | Accounts and Budget Cleanse  | City Treasurer's (Steve Mair)                       | 6,000               | Part 1 Only             |
| 1.68  | Additional Vacancy Factor  | VARIOUS - Apportioned                               | 796                 | Part 1 Only             |
| 1.69  | Voluntary Westminster Community Contribution   | City Treasurer's (Steve Mair)                       | nil                 | Part 1 Only             |
| <b>Business, Culture &amp; Heritage (Councillor Davis)</b>              |  |   |                     |                         |
| 2.7   | Economy Income   | Growth, Planning & Housing (Barbara Brownlee)       | 200                 | Part 1 Only             |
| 2.8   | Place Shaping Income   | Growth, Planning & Housing (Barbara Brownlee)       | 100                 | Part 1 Only             |
| 6.9   | Licensing pre-application advice service   | City Management & Communities (Stuart Love)         | 50                  | Part 1 Only             |
| 6.10  | Charging for revisits - food team  | City Management & Communities (Stuart Love)         | 20                  | Part 1 Only             |
| <b>Adult Social Services &amp; Public Health (Councillor Acton)</b>     |  |   |                     |                         |
| 3.3 (i)   | Commissioning Strategy Programme: Promoting well being, prevention and independence to manage care package costs                           | Adult Services (Sue Redmond)                        | 450                 | Part 1 Only             |
| 3.17  | Commissioning Strategy Programme: Alternative delivery vehicles including commercial trading   | Adult Services (Sue Redmond)                        | 100                 | Part 1 Only             |
| 3.18  | Whole Systems Integration Programme: Joint commissioning with health to deliver shared demand and costs management                         | Adult Services (Sue Redmond)                        | 320                 | Part 1 Only             |
| 3.20  | Commissioning Strategy Programme: Review care pathways and re-commission key services  | Adult Services (Sue Redmond)                        | 630                 | Part 1 Only             |
| 3.21  | Commissioning Strategy Programme: Improved transition and promoting independence   | Adult Services (Sue Redmond)                        | 200                 | Part 1 Only             |
| 3.22  | Whole Systems Integration Programme: Joint Commissioning, capitated budgets & accountable care partnerships                                | Adult Services (Sue Redmond)                        | 200                 | Part 1 Only             |
| 3.25  | Front Door and Demand Management Programme: Integrated front door with Health and digital by default                                       | Adult Services (Sue Redmond)                        | 40                  | Part 1 Only             |
| 3.26  | Front Door and Demand Management Programme: Asset Based Commissioning of prevention services   | Adult Services (Sue Redmond)                        | 100                 | Part 1 Only             |
| 3.27  | Commissioning Strategy Programme: Remodel In-House service Portfolio   | Adult Services (Sue Redmond)                        | 150                 | Part 1 Only             |
| 3.28  | Commissioning Strategy Programme: Direct Payments as first choice  | Adult Services (Sue Redmond)                        | 100                 | Part 1 Only             |
| 3.29  | Commissioning Strategy Programme: Forensic needs and payments analysis   | Adult Services (Sue Redmond)                        | 100                 | Part 1 Only             |
| 3.30  | Commissioning Strategy Programme: E-Market dynamic purchasing system   | Adult Services (Sue Redmond)                        | 50                  | Part 1 Only             |
| 3.31  | Whole Systems Integration Programme: Realising the full efficiency benefits of Integrated Learning Disabilities and Mental Health Services | Adult Services (Sue Redmond)                        | 150                 | Part 1 Only             |
| 3.32  | Whole Systems Integration Programme: Integrated back office functions with Public Health and Health  | Adult Services (Sue Redmond)                        | 250                 | Part 1 Only             |
| 3.33  | Commissioning Strategy Programme: Review of workforce costs  | Adult Services (Sue Redmond)                        | 150                 | Part 1 Only             |
| 3.35  | Adult Social Care Levy   | Adult Services (Sue Redmond)                        | 1,003               | Part 1 Only             |
| 3.36  | Commissioning Strategy Programme: Delivery of Differential Charging Priorities   | Adult Services (Sue Redmond)                        | 250                 | Part 1 Only             |
| 3.37  | Whole Systems Integration Programme: Increase in IBCF grant  | Adult Services (Sue Redmond)                        | 3,596               | Part 1 Only             |
| 3.38  | Public Health Contract Savings   | Adult Services (Sue Redmond)                        | 5,484               | Part 1 Only             |

**SCHEDULE OF BUDGET PROPOSALS AND EIA REFERENCE NUMBERS**

The list of proposals set out below shows the savings being targeted for delivery in 2018/19.

Members are requested to review the list and the Equality Impact Assessment reports cross-referenced below, as part of the requirement to consider each saving proposed before the decision to recommend the budget is taken.

| EIA Reference Number   | EIA Description   | Executive Director                                  | Saving 2018/19 £000 | Full EIA or Part 1 Only |
|--|---|---|---------------------|-------------------------|
| <b>Housing (Councillor Robathan)</b>                               |   |   |                     |                         |
| 4.13   | Rough Sleeping and Supported Housing  | Growth, Planning & Housing (Barbara Brownlee)       | 2,000               | Part 1 Only             |
| 4.16   | Spot purchases of housing for Intermediate affordable housing                                 | Growth, Planning & Housing (Barbara Brownlee)       | 577                 | Part 1 Only             |
| 4.17   | CityWest Homes property fee income  | Growth, Planning & Housing (Barbara Brownlee)       | 90                  | Part 1 Only             |
| <b>City Highways (Councillor Chalkley)</b>                         |   |   |                     |                         |
| 1.3  | Digital transformation - further City Management and Communities savings                      | City Management & Communities (Stuart Love)         | 152                 | Part 1 Only             |
| 5.10   | Compliance and Audit Contract – contract efficiencies   | City Management & Communities (Stuart Love)         | 50                  | Part 1 Only             |
| 5.13   | Highways - Expenditure Review   | City Management & Communities (Stuart Love)         | 100                 | Part 1 Only             |
| 5.14   | Review of Highways service including Road Management  | City Management & Communities (Stuart Love)         | 750                 | Part 1 Only             |
| 5.15   | Provision of electric vehicle charging points   | City Management & Communities (Stuart Love)         | 130                 | Part 1 Only             |
| 5.16   | Flexible car sharing operators  | City Management & Communities (Stuart Love)         | 300                 | Part 1 Only             |
| 5.17   | Direct deployment of Parking Marshals   | City Management & Communities (Stuart Love)         | 500                 | Part 1 Only             |
| 5.18   | Parking: Business Processing and Technology Contract Review                                   | City Management & Communities (Stuart Love)         | 550                 | Part 1 Only             |
| 5.19   | Pay to Park Benchmarking  | City Management & Communities (Stuart Love)         | 300                 | Part 1 Only             |
| 5.20   | Bay suspensions relocation service  | City Management & Communities (Stuart Love)         | 250                 | Part 1 Only             |
| 5.21   | Temporary structures charging review  | City Management & Communities (Stuart Love)         | 150                 | Part 1 Only             |
| 5.22   | Abnormal loads cost recovery  | City Management & Communities (Stuart Love)         | 100                 | Part 1 Only             |
| 6.11   | Better working in our neighbourhoods  | City Management & Communities (Stuart Love)         | 900                 | Part 1 Only             |
| 6.12   | Additional income from Waste Enforcement following an increase in the statutory fees payable. | City Management & Communities (Stuart Love)         | 200                 | Part 1 Only             |
| <b>Environment, Sports &amp; Community (Councillor Harvey)</b>     |   |   |                     |                         |
| 7.12   | Sports and leisure savings Phase 2  | City Management & Communities (Stuart Love)         | 670                 | Part 1 Only             |
| 7.15   | Libraries & Archives – stock efficiencies   | City Management & Communities (Stuart Love)         | 100                 | Part 1 Only             |
| 7.16   | Libraries & Archives – additional commercial activity   | City Management & Communities (Stuart Love)         | 50                  | Part 1 Only             |
| 7.16   | Leisure additional income   | City Management & Communities (Stuart Love)         | 100                 | Part 1 Only             |
| 7.21   | City Management and Communities controllable spend review                                     | City Management & Communities (Stuart Love)         | 550                 | Part 1 Only             |
| 7.23   | Voluntary sector support  | Policy, Performance & Communications (Julia Corkey) | 200                 | Part 1 Only             |
| <b>Children, Families &amp; Young People (Councillor Holloway)</b> |   |   |                     |                         |
| 8.1A   | Specialist Intervention - Perfect Pathways  | Children's Services (Melissa Caslake)               | 205                 | Part 1 Only             |
| 8.1B   | Children's Commissioning Directorate Restructure  | Children's Services (Melissa Caslake)               | 120                 | Part 1 Only             |
| 8.1C   | Tracking and Survey Re-commissioning  | Children's Services (Melissa Caslake)               | 142                 | Part 1 Only             |
| 8.5A   | Review of Dedicated Schools Grant   | Children's Services (Melissa Caslake)               | 575                 | Part 1 Only             |
| 8.5B   | Development of Traded Offer   | Children's Services (Melissa Caslake)               | 350                 | Part 1 Only             |
| 8.5C   | Asset Strategy - Feasibility Budget   | Children's Services (Melissa Caslake)               | 10                  | Part 1 Only             |
| 8.5D   | Schools Standards Service Staffing Efficiencies   | Children's Services (Melissa Caslake)               | 20                  | Part 1 Only             |
| 8.5E   | Impact of proposed reduction in staffing budget Westminster Disabled Children Team 2018-19    | Children's Services (Melissa Caslake)               | 50                  | Part 1 Only             |
| 8.5F   | An Improved offer of independent travel training  | Children's Services (Melissa Caslake)               | 50                  | Part 1 Only             |
| 8.5A   | Release Uncommitted Finance and Resources Budget  | Children's Services (Melissa Caslake)               | 375                 | Part 1 Only             |
| 8.6B   | Post Tri-Borough to Bi-Borough Staffing Reviews - Management Savings                          | Children's Services (Melissa Caslake)               | 175                 | Part 1 Only             |
| 8.9A   | Placement Cost Reduction and Third Party Contributions  | Children's Services (Melissa Caslake)               | 240                 | Part 1 Only             |
| 8.9B   | Service Reviews - Restructures  | Children's Services (Melissa Caslake)               | 175                 | Part 1 Only             |
| 8.22   | Health Visiting Services Contract Savings in Westminster - 0-19 Service Savings               | Children's Services (Melissa Caslake)               | 450                 | Part 1 Only             |
| <b>Planning &amp; Public Realm (Councillor Astaire)</b>            |   |   |                     |                         |
| 9.8  | Development Planning Income   | Growth, Planning & Housing (Barbara Brownlee)       | 450                 | Part 1 Only             |
| 9.10   | Planning Performance Agreements   | Growth, Planning & Housing (Barbara Brownlee)       | 275                 | Part 1 Only             |
| 9.11   | Proceeds of Crime Act - Planning Enforcement  | Growth, Planning & Housing (Barbara Brownlee)       | 150                 | Part 1 Only             |

## **Annex C - Council Tax Resolution**

That the Council be recommended to resolve as follows:

1. It be noted that on the 24th of January 2018, the Council calculated the Council Tax Base for 2018/19:
  - a) For the whole Council area as **128,833.30** [Item T in the formula in Section 31B of the Local Government Finance Act 1992, as amended (the “Act”); and
  - b) For dwellings in the Montpelier Square area as **95.68**
  - c) For dwellings in the Queen’s Park Community Council area as **3,406.61**
2. Calculate that the Council Tax Requirement for the Council’s own purposes for 2018/19 (excluding Special Expenses) is **£53,629,439**
3. That the following amounts be calculated for the year 2018/19 in accordance with Sections 31 to 36 of the Act:
  - a) **£854,521,051** being the aggregate of the amounts which the Council estimates for the items set out in Section 31A(2) of the Act taking into account all precepts issued to it.
  - b) **£800,844,612** being the aggregate amounts which the Council estimates for items set out in Section 31A(3) of the Act.
  - c) **£53,676,439** being the amount by which the aggregate at 3(a) above exceeds the aggregate at 3(b) above, calculated by the Council in accordance with Section 31A(4) of the Act as its Council Tax Requirement for the year (*Item R in the formula in Section 31B of the Act*).
  - d) **£416.63** being the amount at 3(c) above (Item R) all divided by Item T (1(a) above), calculated by the Council in accordance with Section 31B of the Act, as the Basic Amount of its Council Tax for the year (including Special Amounts)
  - e) **£47,000** being the amount of the Montpelier Square Garden Committee special item referred to in Section 34(1) of the Act.

f) **£416.27** being the amount at 3(d) above less the result given by dividing the amount at 3(e) above by Item T (1(a) above), calculated by the Council, in accordance with Section 34(2) of the Act, as the basic amount of the Council Tax for the year for those dwellings in those parts of the area to which no special item relates.

4. To note that the Greater London Authority have issued a precept to the Council in accordance with Section 40 of the Local Government Finance Act 1992 for each category of dwelling in the Council's area as indicated in the table below:

| Ratio | Band | Greater London Authority |
|-------|------|--------------------------|
| 6     | A    | 196.15                   |
| 7     | B    | 228.85                   |
| 8     | C    | 261.54                   |
| 9     | D    | <b>294.23</b>            |
| 11    | E    | 359.61                   |
| 13    | F    | 425.00                   |
| 15    | G    | 490.38                   |
| 18    | H    | 588.46                   |

5. To note that the Queen's Park Community Council have issued a precept to the Council in accordance with Section 40 of the Local Government Finance Act 1992 for each category of dwelling in the Queen's Park Community Council area as indicated in the table below:

| Ratio | Band | Queen's Park Community Council |
|-------|------|--------------------------------|
| 6     | A    | 30.92                          |
| 7     | B    | 36.07                          |
| 8     | C    | 41.23                          |
| 9     | D    | <b>46.38</b>                   |
| 11    | E    | 56.69                          |
| 13    | F    | 66.99                          |
| 15    | G    | 77.30                          |
| 18    | H    | 92.76                          |

6. To note that the Montpelier Square Garden Committee Special Expense for each category of dwelling as indicated in the table below:

| Ratio    | Band     | Montpelier Square Garden Committee |
|----------|----------|------------------------------------|
| 6        | A        | 327.48                             |
| 7        | B        | 382.06                             |
| 8        | C        | 436.64                             |
| <b>9</b> | <b>D</b> | <b>491.22</b>                      |
| 11       | E        | 600.38                             |
| 13       | F        | 709.54                             |
| 15       | G        | 818.70                             |
| 18       | H        | 982.44                             |

7. That the Council, in accordance with Sections 30 and 36 of the Local Government Finance Act 1992 hereby sets the aggregate amounts shown in the tables below as the amounts of Council Tax for 2018/19 for each part of its area and for each category of dwellings:

Westminster Council Requirement & Special Expenses

| Ratio    | Band     | Queen's Park Community Council | Montpelier Square Garden Committee | All Other Parts of Westminster City Council |
|----------|----------|--------------------------------|------------------------------------|---|
| 6        | A        | 308.43                         | 604.99                             | 277.51                                      |
| 7        | B        | 359.84                         | 705.83                             | 323.77                                      |
| 8        | C        | 411.25                         | 806.66                             | 370.02                                      |
| <b>9</b> | <b>D</b> | <b>462.65</b>                  | <b>907.49</b>                      | <b>416.27</b>                               |
| 11       | E        | 565.46                         | 1,109.15                           | 508.77                                      |
| 13       | F        | 668.27                         | 1,310.82                           | 601.28                                      |
| 15       | G        | 771.08                         | 1,512.48                           | 693.78                                      |
| 18       | H        | 925.30                         | 1,814.98                           | 832.54                                      |

Westminster Council Requirement, Special Expenses and Precepts

| Ratio | Band | Queen's Park Community Council | Montpelier Square Garden Committee | All Other Parts of Westminster City Council |
|-------|------|--------------------------------|------------------------------------|---|
| 6     | A    | 504.58                         | 801.14                             | 473.66                                      |
| 7     | B    | 588.69                         | 934.68                             | 552.62                                      |
| 8     | C    | 672.79                         | 1,068.20                           | 631.56                                      |
| 9     | D    | <b>756.88</b>                  | <b>1,201.72</b>                    | <b>710.50</b>                               |
| 11    | E    | 925.07                         | 1,468.76                           | 868.38                                      |
| 13    | F    | 1,093.27                       | 1,735.82                           | 1,026.28                                    |
| 15    | G    | 1,261.46                       | 2,002.86                           | 1,184.16                                    |
| 18    | H    | 1,513.76                       | 2,403.44                           | 1,421.00                                    |

8. That the City Treasurer be authorised to collect (and disperse from the relevant accounts) the Council Tax and the National Non-Domestic Rate and that whenever the office of the City Treasurer is vacant or the holder thereof is for any reason unable to act, the Chief Executive or such other authorised post-holder be authorised to act as before said in his stead.
9. That notice of amounts of Council Tax be published.
10. That the Council does not adopt a special instalment scheme for Council tenants.
11. That the Council offers as standard the following patterns for Council Tax and National Non-Domestic Rate: payment by 1, 2, 4, 10 or 12 instalments and that delegated officers have discretion to enter into other agreements that facilitate the collection of Council Tax and National Non-Domestic Rate.
12. That the Council does not offer payment discounts to Council Taxpayers.
13. That the Council resolve to charge owners for Council Tax in all classes of chargeable dwellings prescribed for the purposes of Section 8 of the Act.



City of Westminster

Annex B - Part A

**Equality Impact Assessments**

**Completed for all 2018/18 savings proposals within cabinet portfolio:**

**Finance, Property & Corporate Services**

## 1.16a Reduced Spend on Legal Services

What are you analysing?

- What is the purpose of the policy/project/activity/strategy?
- In what context will it operate?
- Who is it intended to benefit?
- What results are intended?
- Why is it needed?

Reducing Council spend on external legal services by delivering advice through an Alternative Business Structure (ABS). This will benefit Council departments who are currently using external suppliers. The forecast is that half of the existing spend would be delivered through the ABS 30% cheaper than present costs.

Details of the lead person completing the screening/EIA

- (i) Full Name: Richard Cutbush
- (ii) Position: Business Manager
- (iii) Unit: Legal Services
- (iv) Contact Details: [rcutbush@westminster.gov.uk](mailto:rcutbush@westminster.gov.uk) – 0207 641 4120

Date sent to [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

18<sup>th</sup> August 2017

Version number and date of update

*You will need to update your EIA as you move through the decision-making process. Record the version number here and the date you updated the EIA. Keep all versions so you have evidence that you have considered equality throughout the process.*

*Version 1.0*

## SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

| 1.1 Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative? |      |   |                          |                          |
|---|------|---|--------------------------|--------------------------|
|   | None | Positive  | Negative                 | Not sure                 |
| Disabled people   | No   | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Particular ethnic groups  | No   | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Men or women (include impacts due to pregnancy/ maternity)  | No   | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People or particular sexual orientation/s   | No   | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment   | No   | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People on low incomes   | No   | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People in particular age groups   | No   | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Groups with particular faiths and beliefs   | No   | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?   | No   | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b>   |      |   |                          |                          |
| 1.2 What do you think that the overall NEGATIVE impact on groups and communities will be?   |      |   |                          |                          |
| <b>None/ Minimal</b>  |      | <b>Significant</b>  |                          |                          |
| <b>Yes</b>  |      | <input type="checkbox"/>  |                          |                          |
| None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                      |      | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>   |      |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>   |
|            | No <input type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | The savings being assessed will be delivered, by work that had previously been externalised being done through the Council owned ABS. None of these will impact on the public. Where recruitment is required to provide capacity for additional work it will be carried out in line with industry good practice. |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|            |  |  |
|------------|--|--|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |  |
|            | <ul style="list-style-type: none"> <li>• <i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li>• <i>A baseline of data is <a href="#">available here</a></i></li> </ul> |  |
|            | How many people use the service currently? What is this as a % of Westminster's population?  |  |
|            | Age  |  |
|            | Disability   |  |
|            | Gender   |  |
|            | Race   |  |
|            | Religion or belief   |  |
|            | Sexual orientation   |  |

|     |  |
|-----|--|
| 2.2 | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></p> |
|     | <p><i>If yes, provide details.</i></p>   |
| 2.3 | <p><b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>   |
|     | <p><i>If yes, provide details.</i></p>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>   |
|            | <p><i>It is helpful to identify whether you have conducted any consultations for your proposal, in some cases a statutory consultation is required. If your proposal has not required a consultation, please highlight this here. Consultations will help you identify what the potential impact of your proposal might be.</i></p>                                  |
| <b>3.2</b> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p>  |
|            | <p><i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i></p> |



| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

## SECTION 5: ACTION PLAN

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 133</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

**SIGNATURE:** .....

**FULL NAME:** .....

**UNIT:** .....

**EMAIL & TELEPHONE EXT:** .....

**DATE (DD/MM/YYYY):** .....

**WHAT NEXT?**

**It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.**

**All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.**

**All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)**

|  |
|--|
| Title  |
| <b>1.18 Increase in Council Tax Base</b>   |
| What are you analysing? <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>  |
| <p>Organic growth through the building of additional homes and enhancements to existing homes, as well as changes to eligibility for discounts (single person discount for example) result in a modest but steady annual increase in the tax base. This results in an increasing tax yield even though the average Band D amount remains constant.</p> |
| Details of the lead person completing the screening/EIA  |
| (i) Full Name: Jake Bacchus<br><br>(ii) Position: Deputy Head of Corporate Finance<br><br>(iii) Unit: City Treasurers, Corporate Finance<br><br>(iv) Contact Details: <a href="mailto:jbacchus@westminster.gov.uk">jbacchus@westminster.gov.uk</a>   |
| Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a>  |
| 18 Aug 2017  |
| Version number and date of update  |
| <b>V1 – 18.8.17</b>  |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |                                     |   |                          |                          |
|---|--|-------------------------------------|---|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                                     |   |                          |                          |
|   |  | <b>None</b>                         | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |                                     |   |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                                     |   |                          |                          |
|   | <b>None/ Minimal</b>   |                                     | <b>Significant</b>  |                          |                          |
|   | <input checked="" type="checkbox"/>  |                                     | <input type="checkbox"/>  |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |                                     |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>         |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | Organic growth of housing within Westminster will naturally lead to increased Council Tax income. This has no effect on existing households. |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|            |  |              |
|------------|--|--------------|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |              |
|            | <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul> |              |
|            | How many people use the service currently? What is this as a % of Westminster's population?  | Not relevant |
|            | Age  |              |
|            | Disability   |              |
|            | Gender   |              |
|            | Race   |              |
|            | Religion or belief   |              |
|            | Sexual orientation   |              |

|            |   |
|------------|---|
| <b>2.2</b> | <b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i> |
|            | <i>No</i>   |
| <b>2.3</b> | <b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i>   |
|            | <i>No, not relevant</i>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <b>Consultation Information</b><br><i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i>  |
|            | <i>No consultation required</i>  |
| <b>3.2</b> | <b>What might the potential impact on individuals or groups be?</b><br><i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i> |
|            | <i>Not relevant</i>  |

## SECTION 4: REDUCING & MITIGATING IMPACT

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| 4.1   | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|---|---|--|---|---|--|--------------------------|-----------------------------|---|--------------------------|--|---|--------------------------|--------------------------------------|--|--|--|---|--|
|   | <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p> <table border="1" data-bbox="264 689 1538 1384"> <thead> <tr> <th data-bbox="264 689 746 831"> <b>Column A – Issues or barriers, things to take into account</b> </th> <th data-bbox="746 689 1538 831"> <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).           </th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr> <td data-bbox="264 1294 746 1384"><i>Enter additional rows if require</i></td> <td data-bbox="746 1294 1538 1384"> </td> </tr> </tbody> </table>  |  | <b>Column A – Issues or barriers, things to take into account</b> | <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  | <i>Enter additional rows if require</i> |  |
| <b>Column A – Issues or barriers, things to take into account</b> | <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <i>Enter additional rows if require</i>                           |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| 4.2   | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   | <table border="1" data-bbox="264 1592 1538 2029"> <tbody> <tr> <td data-bbox="264 1592 371 1749"> <input type="checkbox"/> </td> <td data-bbox="371 1592 719 1749"> <b>1. No major change (no impacts identified)</b> </td> <td data-bbox="719 1592 1538 1749">           Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.         </td> </tr> <tr> <td data-bbox="264 1749 371 1832"> <input type="checkbox"/> </td> <td data-bbox="371 1749 719 1832"> <b>2. Adjust the policy</b> </td> <td data-bbox="719 1749 1538 1832">           You will take steps to remove barriers or to better advance equality.         </td> </tr> <tr> <td data-bbox="264 1832 371 1951"> <input type="checkbox"/> </td> <td data-bbox="371 1832 719 1951"> <b>3. Continue the policy (impacts identified)</b> </td> <td data-bbox="719 1832 1538 1951">           You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.         </td> </tr> <tr> <td data-bbox="264 1951 371 2029"> <input type="checkbox"/> </td> <td data-bbox="371 1951 719 2029"> <b>4. Stop and remove the policy</b> </td> <td data-bbox="719 1951 1538 2029">           There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.         </td> </tr> </tbody> </table> |  | <input type="checkbox"/>  | <b>1. No major change (no impacts identified)</b>   | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. | <input type="checkbox"/> | <b>2. Adjust the policy</b> | You will take steps to remove barriers or to better advance equality. | <input type="checkbox"/> | <b>3. Continue the policy (impacts identified)</b> | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified. | <input type="checkbox"/> | <b>4. Stop and remove the policy</b> | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating. |  |  |   |  |
| <input type="checkbox"/>  | <b>1. No major change (no impacts identified)</b>   | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>2. Adjust the policy</b>   | You will take steps to remove barriers or to better advance equality.  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>3. Continue the policy (impacts identified)</b>  | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>4. Stop and remove the policy</b>  | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |

| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 142</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER****SIGNATURE:****FULL NAME:** ...Jake Bacchus.....**UNIT:** City Treasurers, Corporate Finance**EMAIL & TELEPHONE EXT:** [jbacchus@westminster.gov.uk](mailto:jbacchus@westminster.gov.uk) x3686**DATE (DD/MM/YYYY):** 18 August 2017**WHAT NEXT?**

**It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.**

**All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.**

**All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)**

|   |
|---|
| Title   |
| <b>1.20 Revenue &amp; Benefits – Contract re-procurement</b>  |
| <p>What are you analysing?</p> <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>  |
| <p>The re-procurement of a new contract to deliver the Council’s revenues and benefits requirements is taking place in 2017/18. Savings will be made through efficiencies in the contract and will not result in any change in the delivery of services.</p> <p>Savings are anticipated to be generated through a robust procurement process to ensure maximisation of value for money. In addition, there will be a focus on reduction in contract price through the adoption of digital solutions to reduce demand and improve process efficiency.</p> <p>While digital solutions are being scoped, existing channels will not be switched off for those who cannot use new digital platforms. People will be encouraged towards channel shift but this won’t be at the expense of closing other channels in the medium term.</p> <p>There are no groups who make up a significant portion of the work force.</p> |
| Details of the lead person completing the screening/EIA   |
| <ul style="list-style-type: none"> <li>(i) Full Name: Jake Bacchus</li> <li>(ii) Position: Deputy Head of Corporate Finance</li> <li>(iii) Unit: City Treasurers, Corporate Finance</li> <li>(iv) Contact Details: <a href="mailto:jbacchus@westminster.gov.uk">jbacchus@westminster.gov.uk</a></li> </ul>  |
| Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a>   |
| 18 Aug 2017   |
| Version number and date of update   |
| <b>V1 – 18.8.17</b>   |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |   |                          |                          |                          |
|---|--|---|--------------------------|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |   |                          |                          |                          |
|   |  | <b>None</b>   | <b>Positive</b>          | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |   |                          |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |   |                          |                          |                          |
|   | <b>None/ Minimal</b>   | <b>Significant</b>  |                          |                          |                          |
|   | <input checked="" type="checkbox"/>  | <input type="checkbox"/>  |                          |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |   |                          |                          |                          |

|            |   |
|------------|---|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>  |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>   |
| <b>1.4</b> | <b>How have you come to this decision?</b>  |
|            | <p>Standard retendering of a contract with an expectation of savings from contract efficiencies rather than a change to the delivery of the service.</p> <p>While digital solutions are being scoped, existing channels will not be switched off for those who cannot use new digital platforms. People will be encouraged towards channel shift but this won't be at the expense of closing other channels in the medium term.</p> <p>There are no groups who make up a significant portion of the work force.</p> |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|            |  |              |
|------------|--|--------------|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |              |
|            | <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul> |              |
|            | How many people use the service currently? What is this as a % of Westminster's population?  | Not relevant |
|            | Age  |              |
|            | Disability   |              |
|            | Gender   |              |
|            | Race   |              |
|            | Religion or belief   |              |
|            | Sexual orientation   |              |

|            |   |
|------------|---|
| <b>2.2</b> | <b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i> |
|            | <i>No</i>   |
| <b>2.3</b> | <b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i>   |
|            | <i>No, not relevant</i>   |

**SECTION 3: ASSESSING THE IMPACT**

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|                   |   |
|-------------------|---|
| <p><b>3.1</b></p> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>  |
|                   | <p><i>No consultation required</i></p>  |
| <p><b>3.2</b></p> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p> |
|                   | <p><i>Not relevant</i></p>  |



| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |                                 |                         |                         |   |                                   |            |
|---|--|---------------------------------|-------------------------|-------------------------|---|-----------------------------------|------------|
| <p><b>5.1</b> Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                 |                         |                         |   |                                   |            |
| Page 151  | <b>Action Required</b>                   | <b>Equality Groups Targeted</b> | <b>Intended outcome</b> | <b>Resources Needed</b> | <b>Name of Lead, Unit &amp; Contact Details</b> | <b>Completion Date (DD/MM/YY)</b> | <b>RAG</b> |
|   |  |                                 |                         |                         |   |                                   |            |
|   |  |                                 |                         |                         |   |                                   |            |
|   |  |                                 |                         |                         |   |                                   |            |
|   |  |                                 |                         |                         |   |                                   |            |
|   | <i>Enter additional rows if required</i> |                                 |                         |                         |   |                                   |            |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

**SIGNATURE:**



**FULL NAME:** ...Jake Bacchus.....

**UNIT:** City Treasurers, Corporate Finance

**EMAIL & TELEPHONE EXT:** [jbacchus@westminster.gov.uk](mailto:jbacchus@westminster.gov.uk) x3686

**DATE (DD/MM/YYYY):** 18 August 2017

**WHAT NEXT?**

**It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.**

**All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.**

**All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)**

|   |
|---|
| <b>Title</b>  |
| <b>1.24 Commercial Operating Model for Procurement</b>  |
| <p>What are you analysing?</p> <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>  |
| <p>Development of commercial operating model for procurement including:</p> <ul style="list-style-type: none"> <li>• Generating income through pan London Frameworks let by City Council</li> <li>• Promotion of capital Esourcing as solution of choice for local authorities</li> </ul> <p>Procurement traded “model” consultancy practice to be delivered through joint venture with third party consultancy practice offering services including:</p> <ul style="list-style-type: none"> <li>• Provision of opportunity analysis - spend review</li> <li>• Sourcing services</li> <li>• Organisational review including people, policy, process &amp; systems</li> <li>• Training</li> <li>• Managed Service</li> </ul> |
| <b>Details of the lead person completing the screening/EIA</b>  |
| <p>(i) Full Name: Anthony Oliver</p> <p>(ii) Position: Chief Procurement Officer</p> <p>(iii) Unit: Procurement Services</p> <p>(iv) Contact Details: <a href="mailto:aoliver@westminster.gov.uk">aoliver@westminster.gov.uk</a></p>  |
| <b>Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a></b>  |
| TBA   |
| <b>Version number and date of update</b>  |
| Version 1 28/7/17   |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|            |  |                                     |   |                          |                          |
|------------|--|-------------------------------------|---|--------------------------|--------------------------|
| <b>1.1</b> | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                                     |   |                          |                          |
|            |  | <b>None</b>                         | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|            | Disabled people  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | People or particular sexual orientation/s  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | People on low incomes  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | People in particular age groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  |                                     | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
|            | <b>If the answer is “negative” or “unclear” consider doing a full EIA</b>  |                                     |   |                          |                          |
| <b>1.2</b> | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                                     |   |                          |                          |
|            | <b>None/ Minimal</b>   |                                     | <b>Significant</b>  |                          |                          |
|            | <input checked="" type="checkbox"/>  |                                     | <input type="checkbox"/>  |                          |                          |
|            | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
|            | <b>If the answer is “significant” consider doing a full EIA</b>  |                                     |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b> |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            |  |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|            |   |      |
|------------|---|------|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b> <ul style="list-style-type: none"> <li>• <i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li>• <i>A baseline of data is <a href="#">available here</a></i></li> </ul> |      |
|            | How many people use the service currently? What is this as a % of Westminster's population?   | None |
|            | Age   | N/A  |
|            | Disability  | N/A  |
|            | Gender  | N/A  |
|            | Race  | N/A  |
|            | Religion or belief  | N/A  |
|            | Sexual orientation  | N/A  |

|            |   |
|------------|---|
|            |   |
| <b>2.2</b> | <b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i> |
|            | <i>None</i>   |
| <b>2.3</b> | <b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i>   |
|            | <i>None</i>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <b>Consultation Information</b><br><i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i>  |
|            | <i>No consultation has been required.</i>  |
| <b>3.2</b> | <b>What might the potential impact on individuals or groups be?</b><br><i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i> |
|            | <i>None</i>  |



| 4.3 | Please document the reasons for your decision               |
|-----|---|
|     | There is no impact identified on groups within Westminster. |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |                                   |                          |                  |                  |                                      |                            |     |
|---|-----------------------------------|--------------------------|------------------|------------------|--------------------------------------|----------------------------|-----|
| <p><b>5.1</b> Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |                                   |                          |                  |                  |                                      |                            |     |
| Page 160  | Action Required                   | Equality Groups Targeted | Intended outcome | Resources Needed | Name of Lead, Unit & Contact Details | Completion Date (DD/MM/YY) | RAG |
|   |                                   |                          |                  |                  |                                      |                            |     |
|   |                                   |                          |                  |                  |                                      |                            |     |
|   |                                   |                          |                  |                  |                                      |                            |     |
|   |                                   |                          |                  |                  |                                      |                            |     |
|   | Enter additional rows if required |                          |                  |                  |                                      |                            |     |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

SIGNATURE: ..... 

FULL NAME: .....

UNIT: .....

EMAIL & TELEPHONE EXT: .....

DATE (DD/MM/YYYY): .....

**WHAT NEXT?**

**It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.**

**All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.**

All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

|  |
|--|
| <b>Title</b>   |
| <b>1.25 Corporate Property Strategy</b>  |
| <p>What are you analysing?</p> <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>   |
| <p>This programme comprises the redevelopment of key Council owned properties to generate new or improved revenue returns. The redevelopment projects are at varying stages of project planning and the deliverables are subject to amendment as the concepts mature. In addition the projects will be subject to the usual development risks including planning, market (incl Brexit) and finance.</p> <p>All project business cases are reviewed and updated at the Major Projects Review Group and supported by business cases as the scheme proposals develop and therefore the net revenue forecasts will be subject to change. It should be noted that in the short term, the development of the projects will result in a short term income pressure.</p> |
| <b>Details of the lead person completing the screening/EIA</b>   |
| <p>(i) Full Name: Guy Slocombe</p> <p>(ii) Position: Director of Property Income and Estates</p> <p>(iii) Unit: Corporate Property</p> <p>(iii) Contact Details: 0207 641 5465</p>   |
| <b>Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a></b>   |
| 31/3/17  |
| <b>Version number and date of update</b>   |
| <p><i>You will need to update your EIA as you move through the decision-making process. Record the version number here and the date you updated the EIA. Keep all versions so you have evidence that you have considered equality throughout the process.</i></p>  |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |                                     |   |                          |                          |
|---|--|-------------------------------------|---|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                                     |   |                          |                          |
|   |  | <b>None</b>                         | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <input type="checkbox"/>            | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <input type="checkbox"/>            | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  | <b>None</b>                         | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |                                     |   |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                                     |   |                          |                          |
|   | <b>None/ Minimal</b>   |                                     | <b>Significant</b>  |                          |                          |
|   | <input checked="" type="checkbox"/>  |                                     | <input type="checkbox"/>  |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |                                     |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>   |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | <p>The programme seeks to develop a number of existing buildings in order to generate income or improve service provision. In the case of developments that impact current service provision:</p> <ul style="list-style-type: none"> <li>the work at Moberley/ Jubilee, Seymour and Queen Mother Leisure Centres will result in the provision of limited or no service provision during the period of the development for reasons of public safety but provision will be resumed once works are concluded.</li> <li>the works at the Beachcroft, Westmead and Carlton Dene will increase and improve the quality and range of care for elderly people.</li> </ul> <p>All works will result in buildings that comply with relevant building regulations relating to accessibility more so than the buildings that are replaced.</p> |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|            |  |  |
|------------|--|--|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |  |
|            | <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul> |  |
|            | How many people use the service currently? What is this as a % of Westminster's population?  |  |
|            | Age  |  |
|            | Disability   |  |
|            | Gender   |  |
|            | Race   |  |

|            |   |  |
|------------|---|--|
|            | Religion or belief  |  |
|            | Sexual orientation  |  |
| <b>2.2</b> | <b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i> |  |
|            | <i>If yes, provide details.</i>   |  |
| <b>2.3</b> | <b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i>   |  |
|            | <i>If yes, provide details.</i>   |  |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|                   |  |
|-------------------|--|
| <p><b>3.1</b></p> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>   |
|                   | <p><i>It is helpful to identify whether you have conducted any consultations for your proposal, in some cases a statutory consultation is required. If your proposal has not required a consultation, please highlight this here. Consultations will help you identify what the potential impact of your proposal might be.</i></p>                                  |
| <p><b>3.2</b></p> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p>  |
|                   | <p><i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i></p> |

**SECTION 4: REDUCING & MITIGATING IMPACT**

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| <b>4.1</b>  | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|---|--|--|--|--|--|--------------------------|-----------------------------|---|--------------------------|--|---|--------------------------|--------------------------------------|--|--|--|---|--|
| <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p>  |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr style="background-color: #F4C08E;"> <th style="width: 45%; padding: 5px;">Column A – Issues or barriers, things to take into account</th> <th style="width: 55%; padding: 5px;">Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).</th> </tr> </thead> <tbody> <tr><td style="height: 30px;"></td><td></td></tr> <tr><td style="height: 30px;"><i>Enter additional rows if require</i></td><td></td></tr> </tbody> </table>  |  |  | Column A – Issues or barriers, things to take into account | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  | <i>Enter additional rows if require</i> |  |
| Column A – Issues or barriers, things to take into account  | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).           |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <i>Enter additional rows if require</i>   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <b>4.2</b>  | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <tbody> <tr> <td style="width: 5%; text-align: center; vertical-align: top;"><input type="checkbox"/></td> <td style="width: 35%; background-color: yellow; padding: 5px;"><b>1. No major change (no impacts identified)</b></td> <td style="padding: 5px;">Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.</td> </tr> <tr> <td style="text-align: center; vertical-align: top;"><input type="checkbox"/></td> <td style="background-color: yellow; padding: 5px;"><b>2. Adjust the policy</b></td> <td style="padding: 5px;">You will take steps to remove barriers or to better advance equality.</td> </tr> <tr> <td style="text-align: center; vertical-align: top;"><input type="checkbox"/></td> <td style="background-color: yellow; padding: 5px;"><b>3. Continue the policy (impacts identified)</b></td> <td style="padding: 5px;">You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.</td> </tr> <tr> <td style="text-align: center; vertical-align: top;"><input type="checkbox"/></td> <td style="background-color: yellow; padding: 5px;"><b>4. Stop and remove the policy</b></td> <td style="padding: 5px;">There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.</td> </tr> </tbody> </table> |  |  | <input type="checkbox"/>                                   | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. | <input type="checkbox"/> | <b>2. Adjust the policy</b> | You will take steps to remove barriers or to better advance equality. | <input type="checkbox"/> | <b>3. Continue the policy (impacts identified)</b> | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified. | <input type="checkbox"/> | <b>4. Stop and remove the policy</b> | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating. |  |  |   |  |
| <input type="checkbox"/>  | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>2. Adjust the policy</b>  | You will take steps to remove barriers or to better advance equality.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>3. Continue the policy (impacts identified)</b>   | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>4. Stop and remove the policy</b>   | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |

| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 169</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

**SIGNATURE:** .....

**FULL NAME:** .....

**UNIT:** .....

**EMAIL & TELEPHONE EXT:** .....

**DATE (DD/MM/YYYY):** .....

**WHAT NEXT?**

**It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.**

**All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.**

**All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)**

## Title

**1.37 Transition to new comms contract/model**

## What are you analysing?

- What is the purpose of the policy/project/activity/strategy?
- In what context will it operate?
- Who is it intended to benefit?
- What results are intended?
- Why is it needed?

**Brief Summary:**

The future model for network and telephony services across the shared IT service will involve greater use of commodity Internet communications services, and different telephony solutions, potentially replacing need for mobile handset issue and contract costs for all staff.

**Precise Detail:**

- Savings realised through a variety of budgets including:
- Budgets for Virgin Media Business, WAN and Local Area Network contract.
- Departmental telephony budgets for Ericsson (billed on basis of usage).

| Type of saving               | 2018/19<br>£'000 | Cumulative<br>£'000 |
|------------------------------|------------------|---------------------|
| Increased Income             |                  |                     |
| Headcount Reduction Savings  |                  |                     |
| Procurement/Contract savings | 240              | 240                 |
| Other overhead reductions    |                  |                     |
| Additional headcount costs   |                  |                     |
| Additional ongoing costs     |                  |                     |
| Project implementation costs |                  |                     |
| <b>Total Net Savings</b>     | <b>240</b>       | <b>240</b>          |
| Capital Investment           |                  |                     |
| Estimated redundancy costs   |                  |                     |

|   |
|---|
| Details of the lead person completing the screening/EIA                                       |
| (iii) Full Name: Zakki Ghauri   |
| (ii) Position: Head of Portfolio Management   |
| (iii) Unit: ICT Digital Information   |
| (iv) Contact Details: 020 7641 2899   |
| Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a> |
| Version number and date of update   |
| V2 (08/08/2017)   |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |                                     |   |                          |                          |
|---|--|-------------------------------------|---|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                                     |   |                          |                          |
|   |  | <b>None</b>                         | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  |                                     | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |                                     |   |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                                     |   |                          |                          |
|   | <b>None/ Minimal</b>   |                                     | <b>Significant</b>  |                          |                          |
|   | <input checked="" type="checkbox"/>  |                                     | <input type="checkbox"/>  |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |                                     |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b> |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | Initial screening has identified no negative impacts on groups or communities as a consequence of this project/service.              |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|            |  |  |
|------------|--|--|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |  |
|            | <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul> |  |
|            | How many people use the service currently? What is this as a % of Westminster’s population?  |  |
|            | Age  |  |
|            | Disability   |  |
|            | Gender   |  |
|            | Race   |  |
|            | Religion or belief   |  |
|            | Sexual orientation   |  |

|            |  |
|------------|--|
| <b>2.2</b> | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></p> |
|            | <p><i>If yes, provide details.</i></p>   |
| <b>2.3</b> | <p><b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>   |
|            | <p><i>If yes, provide details.</i></p>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>   |
|            | <p><i>It is helpful to identify whether you have conducted any consultations for your proposal, in some cases a statutory consultation is required. If your proposal has not required a consultation, please highlight this here. Consultations will help you identify what the potential impact of your proposal might be.</i></p>                                  |
| <b>3.2</b> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p>  |
|            | <p><i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i></p> |

## SECTION 4: REDUCING & MITIGATING IMPACT

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| 4.1 | Where you have identified an impact, what can be done to reduce or mitigate the impact? (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |   |
|-----|---|---|
|     | <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p>                  |   |
|     | <p><b>Column A – Issues or barriers, things to take into account</b></p>  | <p><b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).</p>                      |
|     |   |   |
|     |   |   |
|     |   |   |
|     |   |   |
|     |   |   |
|     | <p><i>Enter additional rows if require</i></p>  |   |
| 4.2 | Now that you have considered the potential or actual effect on equality, what action are you taking?  |   |
|     | <input type="checkbox"/>  | <p><b>1. No major change (no impacts identified)</b><br/>Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.</p> |
|     | <input type="checkbox"/>  | <p><b>2. Adjust the policy</b><br/>You will take steps to remove barriers or to better advance equality.</p>  |
|     | <input type="checkbox"/>  | <p><b>3. Continue the policy (impacts identified)</b><br/>You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.</p>   |
|     | <input type="checkbox"/>  | <p><b>4. Stop and remove the policy</b><br/>There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.</p>  |

| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 179</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

**SIGNATURE:** .....

**FULL NAME:** .....

**UNIT:** .....

**EMAIL & TELEPHONE EXT:** .....

**DATE (DD/MM/YYYY):** .....

**WHAT NEXT?**

**It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.**

**All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.**

**All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)**

|   |
|---|
| <b>Title</b>  |
| <b>1.40 Property Rationalisation and Asset Management</b>   |
| <b>What are you analysing?</b> <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>  |
| <p>Asset management of the Council’s commercial property investment portfolio to increase the income generated. This will be achieved through:</p> <ul style="list-style-type: none"> <li>• Re-gearing of certain car park leases to guarantee rent and reduce more uncertain turnover based rents</li> <li>• Rationalisation of the Council’s commercial corporate footprint, reducing cost of the estate and recycling assets to generate rental income either from specific assets, or from the reinvested capital raised from disposals</li> <li>• Asset management initiatives to identify commercial opportunities for new or improved rent from existing assets including telecoms masts</li> <li>• Core Commercial Portfolio income growth – through contractual rent review and lease renewal processes</li> </ul> <p>The aim of the project is not to impact on service provision but to be more intelligent regarding the accommodation needs of services in the same locality but accessibility will always remain a key consideration.</p> |
| <b>Details of the lead person completing the screening/EIA</b>  |
| <ul style="list-style-type: none"> <li>(i) Full Name: Alan Rhind</li> <li>(ii) Position: Head of Operational Property</li> <li>(iii) Unit: Corporate Property</li> <li>(iv) Contact Details: 0207 641 5462</li> </ul>   |
| <b>Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a></b>  |
| 1/8/17  |
| <b>Version number and date of update</b>  |
| <p><i>You will need to update your EIA as you move through the decision-making process. Record the version number here and the date you updated the EIA. Keep all versions so you have evidence that you have considered equality throughout the process.</i></p>   |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |                            |   |                          |                          |
|---|--|----------------------------|---|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                            |   |                          |                          |
|   |  | <b>None</b>                | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | X <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | X <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | X <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | X <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | X <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | X <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | X <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | X <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  | <b>None</b>                | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |                            |   |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                            |   |                          |                          |
|   | <b>None/ Minimal</b>   |                            | <b>Significant</b>  |                          |                          |
|   | X <input type="checkbox"/>   |                            | <input type="checkbox"/>  |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                            | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |                            |   |                          |                          |

|            |   |
|------------|---|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>  |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>   |
| <b>1.4</b> | <b>How have you come to this decision?</b>  |
|            | The programme seeks to reduce the number of commercial buildings from which the Council operates from. This will not impact on the level of service provision. However, it will mean that where possible better use will be made of the commercial space e.g. where a number of services operate within close proximity and capacity exists to co-locate. This will free up commercial space to lease out to commercial tenants, voluntary and community organisations and or social enterprises depending on the Council's priorities. Accessibility will always be a key consideration as Westminster consolidates its portfolio. |

## EQUALITY IMPACT ASSESSMENT

### SECTION 2: BUILDING AN EVIDENCE BASE

|            |  |  |
|------------|--|--|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |  |
|            | <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul> |  |
|            | How many people use the service currently? What is this as a % of Westminster's population?  |  |
|            | Age  |  |
|            | Disability   |  |
|            | Gender   |  |
|            | Race   |  |
|            | Religion or belief   |  |
|            | Sexual orientation   |  |

|            |  |
|------------|--|
| <b>2.2</b> | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></p> |
|            | <p><i>If yes, provide details.</i></p>   |
| <b>2.3</b> | <p><b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>   |
|            | <p><i>If yes, provide details.</i></p>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>   |
|            | <p><i>It is helpful to identify whether you have conducted any consultations for your proposal, in some cases a statutory consultation is required. If your proposal has not required a consultation, please highlight this here. Consultations will help you identify what the potential impact of your proposal might be.</i></p>                                  |
| <b>3.2</b> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p>  |
|            | <p><i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i></p> |

## SECTION 4: REDUCING & MITIGATING IMPACT

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| 4.1   | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|---|---|--|---|---|--|--------------------------|-----------------------------|---|--------------------------|--|---|--------------------------|--------------------------------------|--|--|--|---|--|
|   | <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p> <table border="1" data-bbox="264 689 1538 1384"> <thead> <tr> <th data-bbox="264 689 746 831"> <b>Column A – Issues or barriers, things to take into account</b> </th> <th data-bbox="746 689 1538 831"> <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).           </th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr> <td data-bbox="264 1294 746 1384"><i>Enter additional rows if require</i></td> <td data-bbox="746 1294 1538 1384"> </td> </tr> </tbody> </table>  |  | <b>Column A – Issues or barriers, things to take into account</b> | <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  | <i>Enter additional rows if require</i> |  |
| <b>Column A – Issues or barriers, things to take into account</b> | <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <i>Enter additional rows if require</i>                           |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| 4.2   | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   | <table border="1" data-bbox="264 1592 1538 2029"> <tbody> <tr> <td data-bbox="264 1592 371 1749"> <input type="checkbox"/> </td> <td data-bbox="371 1592 719 1749"> <b>1. No major change (no impacts identified)</b> </td> <td data-bbox="719 1592 1538 1749">           Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.         </td> </tr> <tr> <td data-bbox="264 1749 371 1832"> <input type="checkbox"/> </td> <td data-bbox="371 1749 719 1832"> <b>2. Adjust the policy</b> </td> <td data-bbox="719 1749 1538 1832">           You will take steps to remove barriers or to better advance equality.         </td> </tr> <tr> <td data-bbox="264 1832 371 1951"> <input type="checkbox"/> </td> <td data-bbox="371 1832 719 1951"> <b>3. Continue the policy (impacts identified)</b> </td> <td data-bbox="719 1832 1538 1951">           You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.         </td> </tr> <tr> <td data-bbox="264 1951 371 2029"> <input type="checkbox"/> </td> <td data-bbox="371 1951 719 2029"> <b>4. Stop and remove the policy</b> </td> <td data-bbox="719 1951 1538 2029">           There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.         </td> </tr> </tbody> </table> |  | <input type="checkbox"/>  | <b>1. No major change (no impacts identified)</b>   | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. | <input type="checkbox"/> | <b>2. Adjust the policy</b> | You will take steps to remove barriers or to better advance equality. | <input type="checkbox"/> | <b>3. Continue the policy (impacts identified)</b> | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified. | <input type="checkbox"/> | <b>4. Stop and remove the policy</b> | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating. |  |  |   |  |
| <input type="checkbox"/>  | <b>1. No major change (no impacts identified)</b>   | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>2. Adjust the policy</b>   | You will take steps to remove barriers or to better advance equality.  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>3. Continue the policy (impacts identified)</b>  | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>4. Stop and remove the policy</b>  | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |

| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 188</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

SIGNATURE: .....

FULL NAME: .....

UNIT: .....

EMAIL &amp; TELEPHONE EXT: .....

DATE (DD/MM/YYYY): .....

**WHAT NEXT?**

It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.

All EIAs for proposed changes to levels of service arising from budget proposals must be completed by **2 September 2016**.

All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

|  |
|--|
| Title  |
| <b>1.44 Recharging of Matrix Contract</b>  |
| What are you analysing?  |
| <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>  |
| <ul style="list-style-type: none"> <li>• The recharging of costs for temporary agency resources with an additional margin to recover contracts management costs associated with the delivery of the service from Matrix.</li> <li>• Ensures that the Council maintains professional and commercial contracts management for the delivery of temporary agency resources.</li> <li>• Full costs are recovered from the Services for the delivery of contracts management.</li> </ul> |
| Details of the lead person completing the screening/EIA  |
| <p>(iv) Full Name: Anthony Oliver</p> <p>(ii) Position: Chief Procurement Officer</p> <p>(iii) Unit: Procurement Services</p> <p>(iv) Contact Details: <a href="mailto:aoliver@westminster.gov.uk">aoliver@westminster.gov.uk</a></p>  |
| Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a>  |
| TBA  |
| Version number and date of update  |
| <i>Version 1 28/7/17</i>   |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |                                     |   |                          |                          |
|---|--|-------------------------------------|---|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                                     |   |                          |                          |
|   |  | <b>None</b>                         | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  |                                     | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |                                     |   |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                                     |   |                          |                          |
|   | <b>None/ Minimal</b>   |                                     | <b>Significant</b>  |                          |                          |
|   | <input checked="" type="checkbox"/>  |                                     | <input type="checkbox"/>  |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |                                     |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b> |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            |  |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|   |  |  |   |      |     |     |            |     |        |     |      |     |                    |     |                    |     |
|---|--|--|---|------|-----|-----|------------|-----|--------|-----|------|-----|--------------------|-----|--------------------|-----|
| <b>2.1</b>  | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b> <ul style="list-style-type: none"> <li>• <i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li>• <i>A baseline of data is <a href="#">available here</a></i></li> </ul>    |  |   |      |     |     |            |     |        |     |      |     |                    |     |                    |     |
|   | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">How many people use the service currently? What is this as a % of Westminster's population?</td> <td style="width: 50%;">None</td> </tr> <tr> <td>Age</td> <td>N/A</td> </tr> <tr> <td>Disability</td> <td>N/A</td> </tr> <tr> <td>Gender</td> <td>N/A</td> </tr> <tr> <td>Race</td> <td>N/A</td> </tr> <tr> <td>Religion or belief</td> <td>N/A</td> </tr> <tr> <td>Sexual orientation</td> <td>N/A</td> </tr> </table> |  | How many people use the service currently? What is this as a % of Westminster's population? | None | Age | N/A | Disability | N/A | Gender | N/A | Race | N/A | Religion or belief | N/A | Sexual orientation | N/A |
| How many people use the service currently? What is this as a % of Westminster's population? | None   |  |   |      |     |     |            |     |        |     |      |     |                    |     |                    |     |
| Age   | N/A  |  |   |      |     |     |            |     |        |     |      |     |                    |     |                    |     |
| Disability  | N/A  |  |   |      |     |     |            |     |        |     |      |     |                    |     |                    |     |
| Gender  | N/A  |  |   |      |     |     |            |     |        |     |      |     |                    |     |                    |     |
| Race  | N/A  |  |   |      |     |     |            |     |        |     |      |     |                    |     |                    |     |
| Religion or belief  | N/A  |  |   |      |     |     |            |     |        |     |      |     |                    |     |                    |     |
| Sexual orientation  | N/A  |  |   |      |     |     |            |     |        |     |      |     |                    |     |                    |     |

|            |  |
|------------|--|
| <b>2.2</b> | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></p> |
|            | <p><i>None</i></p>   |
| <b>2.3</b> | <p><b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>   |
|            | <p><i>None</i></p>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <b>Consultation Information</b><br><i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i>  |
|            | <i>No consultation has been required.</i>  |
| <b>3.2</b> | <b>What might the potential impact on individuals or groups be?</b><br><i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i> |
|            | <i>None</i>  |



| 4.3 | Please document the reasons for your decision               |
|-----|---|
|     | There is no impact identified on groups within Westminster. |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 197</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

SIGNATURE: ..... 

FULL NAME: .....

UNIT: .....

EMAIL & TELEPHONE EXT: .....

DATE (DD/MM/YYYY): .....

**WHAT NEXT?**

**It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.**

**All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.**

**All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)**

|  |
|--|
| <b>Title</b>   |
| <b>1.52 City Treasurers - Treasury Management and review of non-pay budgets</b>  |
| <p>What are you analysing?</p> <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>   |
| <p>The City Treasurer department will review opportunities to generate additional income from enhanced Treasury Management practices. The potential impact of Brexit will also be taken into account with the adverse effect of potentially further reducing interest rates. Undertake a review to reduce demand on non-pay items to realise savings.</p> <p>Review the potential for longer term investments and alternative investment opportunities, ensure the most cost efficient financing of the capital programme and review all budgets to ensure income is maximised and expenditure minimised. In addition, undertake a detail review of non pay spend within City Treasurer department to reduce spend.</p> <p>The Council maintains a robust treasury management strategy to ensure that funds are always available for the provision of services. Therefore there will be no impact on delivery of services.</p> |
| <b>Details of the lead person completing the screening/EIA</b>   |
| <p>(i) Full Name: Jake Bacchus</p> <p>(ii) Position: Deputy Head of Corporate Finance</p> <p>(iii) Unit: City Treasurers, Corporate Finance</p> <p>(iv) Contact Details: <a href="mailto:jbacchus@westminster.gov.uk">jbacchus@westminster.gov.uk</a></p>  |
| <b>Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a></b>   |
| 18 Aug 2017  |
| <b>Version number and date of update</b>   |
| <b>V1 – 18.8.17</b>  |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|            |  |                                     |   |                          |                          |
|------------|--|-------------------------------------|---|--------------------------|--------------------------|
| <b>1.1</b> | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                                     |   |                          |                          |
|            |  | <b>None</b>                         | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|            | Disabled people  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | People or particular sexual orientation/s  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | People on low incomes  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | People in particular age groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
|            | <b>If the answer is “negative” or “unclear” consider doing a full EIA</b>  |                                     |   |                          |                          |
| <b>1.2</b> | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                                     |   |                          |                          |
|            | <b>None/ Minimal</b>   |                                     | <b>Significant</b>  |                          |                          |
|            | <input checked="" type="checkbox"/>  |                                     | <input type="checkbox"/>  |                          |                          |
|            | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
|            | <b>If the answer is “significant” consider doing a full EIA</b>  |                                     |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>             |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | There will be no impact on the delivery of services. This exercise is to maximise the return on the Council's investments that it already makes. |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|            |  |              |
|------------|--|--------------|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |              |
|            | <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul> |              |
|            | How many people use the service currently? What is this as a % of Westminster's population?  | Not relevant |
|            | Age  |              |
|            | Disability   |              |
|            | Gender   |              |
|            | Race   |              |
|            | Religion or belief   |              |
|            | Sexual orientation   |              |

|     |  |
|-----|--|
| 2.2 | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></p> |
|     | <p><i>No</i></p>   |
| 2.3 | <p><b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>   |
|     | <p><i>No, not relevant</i></p>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <b>Consultation Information</b><br><i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i>  |
|            | <i>No consultation required</i>  |
| <b>3.2</b> | <b>What might the potential impact on individuals or groups be?</b><br><i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i> |
|            | <i>Not relevant</i>  |

## SECTION 4: REDUCING & MITIGATING IMPACT

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| 4.1   | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|---|---|--|---|---|--|--------------------------|-----------------------------|---|--------------------------|--|---|--------------------------|--------------------------------------|--|--|--|---|--|
|   | <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p> <table border="1" data-bbox="264 689 1538 1384"> <thead> <tr> <th data-bbox="264 689 746 831"> <b>Column A – Issues or barriers, things to take into account</b> </th> <th data-bbox="746 689 1538 831"> <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).           </th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr> <td data-bbox="264 1294 746 1384"><i>Enter additional rows if require</i></td> <td data-bbox="746 1294 1538 1384"> </td> </tr> </tbody> </table>  |  | <b>Column A – Issues or barriers, things to take into account</b> | <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  | <i>Enter additional rows if require</i> |  |
| <b>Column A – Issues or barriers, things to take into account</b> | <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <i>Enter additional rows if require</i>                           |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| 4.2   | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   | <table border="1" data-bbox="264 1592 1538 2029"> <tbody> <tr> <td data-bbox="264 1592 371 1749"> <input type="checkbox"/> </td> <td data-bbox="371 1592 719 1749"> <b>1. No major change (no impacts identified)</b> </td> <td data-bbox="719 1592 1538 1749">           Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.         </td> </tr> <tr> <td data-bbox="264 1749 371 1827"> <input type="checkbox"/> </td> <td data-bbox="371 1749 719 1827"> <b>2. Adjust the policy</b> </td> <td data-bbox="719 1749 1538 1827">           You will take steps to remove barriers or to better advance equality.         </td> </tr> <tr> <td data-bbox="264 1827 371 1951"> <input type="checkbox"/> </td> <td data-bbox="371 1827 719 1951"> <b>3. Continue the policy (impacts identified)</b> </td> <td data-bbox="719 1827 1538 1951">           You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.         </td> </tr> <tr> <td data-bbox="264 1951 371 2029"> <input type="checkbox"/> </td> <td data-bbox="371 1951 719 2029"> <b>4. Stop and remove the policy</b> </td> <td data-bbox="719 1951 1538 2029">           There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.         </td> </tr> </tbody> </table> |  | <input type="checkbox"/>  | <b>1. No major change (no impacts identified)</b>   | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. | <input type="checkbox"/> | <b>2. Adjust the policy</b> | You will take steps to remove barriers or to better advance equality. | <input type="checkbox"/> | <b>3. Continue the policy (impacts identified)</b> | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified. | <input type="checkbox"/> | <b>4. Stop and remove the policy</b> | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating. |  |  |   |  |
| <input type="checkbox"/>  | <b>1. No major change (no impacts identified)</b>   | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>2. Adjust the policy</b>   | You will take steps to remove barriers or to better advance equality.  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>3. Continue the policy (impacts identified)</b>  | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>4. Stop and remove the policy</b>  | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |

| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

## SECTION 5: ACTION PLAN

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|                 |  |                                 |                         |                         |   |                                   |            |
|-----------------|--|---------------------------------|-------------------------|-------------------------|---|-----------------------------------|------------|
| <b>5.1</b>      | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |                                 |                         |                         |   |                                   |            |
| <b>Page 206</b> | <b>Action Required</b>   | <b>Equality Groups Targeted</b> | <b>Intended outcome</b> | <b>Resources Needed</b> | <b>Name of Lead, Unit &amp; Contact Details</b> | <b>Completion Date (DD/MM/YY)</b> | <b>RAG</b> |
|                 |  |                                 |                         |                         |   |                                   |            |
|                 |  |                                 |                         |                         |   |                                   |            |
|                 |  |                                 |                         |                         |   |                                   |            |
|                 |  |                                 |                         |                         |   |                                   |            |
|                 | <i>Enter additional rows if required</i>   |                                 |                         |                         |   |                                   |            |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

**SIGNATURE:**



**FULL NAME:** ...Jake Bacchus.....

**UNIT:** City Treasurers, Corporate Finance

**EMAIL & TELEPHONE EXT:** [jbacchus@westminster.gov.uk](mailto:jbacchus@westminster.gov.uk) x3686

**DATE (DD/MM/YYYY):** 18 August 2017

**WHAT NEXT?**

**It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.**

**All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.**

**All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)**

## Title

**1.54 Review of ICT budgets**

## What are you analysing?

- What is the purpose of the policy/project/activity/strategy?
- In what context will it operate?
- Who is it intended to benefit?
- What results are intended?
- Why is it needed?

**Brief Summary:**

Charges for the BT Lot 1 contract are scheduled to decrease due to the cessation of legacy CapGemini Datacentre services and the transition of these functions to Office 365 (primarily) and the BT Cloud "SIP" datacentre platform

**Precise Detail:**

In 2018/19, a decreases in BT Cloud storage (supported by further migration of data to Office365) and a reduction in the supported IT asset base should reduce charges further, organisational downsizing and tighter asset management.

| Type of Saving               | 2018/19<br>£'000 | Cumulative<br>£'000 |
|------------------------------|------------------|---------------------|
| Increased Income             |                  |                     |
| Headcount Reduction Savings  |                  |                     |
| Procurement/Contract savings | 200              | 200                 |
| Other overhead reductions    |                  |                     |
| Additional headcount costs   |                  |                     |
| Additional ongoing costs     |                  |                     |
| Project implementation costs |                  |                     |
| <b>Total Net Savings</b>     | <b>200</b>       | <b>200</b>          |
| Capital Investment           |                  |                     |
| Estimated redundancy costs   |                  |                     |

**Details of the lead person completing the screening/EIA**

- (i) Full Name: Zakki Ghauri
- (ii) Position: Head of Portfolio Management
- (iii) Unit: ICT Digital Information
- (iv) Contact Details: 020 7641 2899

Date sent to [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

**Version number and date of update**

V2 (08/08/2017)

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |                                     |   |                          |                          |
|---|--|-------------------------------------|---|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                                     |   |                          |                          |
|   |  | <b>None</b>                         | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  |                                     | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |                                     |   |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                                     |   |                          |                          |
|   | <b>None/ Minimal</b>   |                                     | <b>Significant</b>  |                          |                          |
|   | <input checked="" type="checkbox"/>  |                                     | <input type="checkbox"/>  |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |                                     |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b> |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | Initial screening has identified no negative impacts on groups or communities as a consequence of this project/service.              |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|            |  |  |
|------------|--|--|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |  |
|            | <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul> |  |
|            | How many people use the service currently? What is this as a % of Westminster's population?  |  |
|            | Age  |  |
|            | Disability   |  |
|            | Gender   |  |
|            | Race   |  |
|            | Religion or belief   |  |
|            | Sexual orientation   |  |

|            |  |
|------------|--|
| <b>2.2</b> | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></p> |
|            | <p><i>If yes, provide details.</i></p>   |
| <b>2.3</b> | <p><b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>   |
|            | <p><i>If yes, provide details.</i></p>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>   |
|            | <p><i>It is helpful to identify whether you have conducted any consultations for your proposal, in some cases a statutory consultation is required. If your proposal has not required a consultation, please highlight this here. Consultations will help you identify what the potential impact of your proposal might be.</i></p>                                  |
| <b>3.2</b> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p>  |
|            | <p><i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i></p> |



| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |                                   |                          |                  |                  |                                      |                            |     |
|---|-----------------------------------|--------------------------|------------------|------------------|--------------------------------------|----------------------------|-----|
| <p><b>5.1</b> Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |                                   |                          |                  |                  |                                      |                            |     |
| Page 216  | Action Required                   | Equality Groups Targeted | Intended outcome | Resources Needed | Name of Lead, Unit & Contact Details | Completion Date (DD/MM/YY) | RAG |
|   |                                   |                          |                  |                  |                                      |                            |     |
|   |                                   |                          |                  |                  |                                      |                            |     |
|   |                                   |                          |                  |                  |                                      |                            |     |
|   |                                   |                          |                  |                  |                                      |                            |     |
|   | Enter additional rows if required |                          |                  |                  |                                      |                            |     |

| THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER |       |
|--|-------|
| SIGNATURE:   | ..... |
| FULL NAME:   | ..... |
| UNIT:  | ..... |
| EMAIL & TELEPHONE EXT:                                       | ..... |
| DATE (DD/MM/YYYY):   | ..... |

**WHAT NEXT?**

It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.

All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.

All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

|  |
|--|
| <b>Title</b>   |
| <b>1.55 Legal Joint Venture</b>  |
| <p>What are you analysing?</p> <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>                                 |
| <p>Creation of Legal Services Alternative Business Structure (ABS). This will allow the legal service to offer and enhanced service to all Council departments requirement legal advice, provide material savings to the Council and realise commercial opportunities that would not be available within the current delivery model.</p> |
| <b>Details of the lead person completing the screening/EIA</b>   |
| <p>(v) Full Name: Richard Cutbush</p> <p>(ii) Position: Business Manager</p> <p>(iii) Unit: Legal Services</p> <p>(iv) Contact Details: <a href="mailto:rcutbush@westminster.gov.uk">rcutbush@westminster.gov.uk</a> – 0207 641 4120</p>   |
| <b>Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a></b>   |
| 17 <sup>th</sup> August 2017   |
| <b>Version number and date of update</b>   |
| <p><i>You will need to update your EIA as you move through the decision-making process. Record the version number here and the date you updated the EIA. Keep all versions so you have evidence that you have considered equality throughout the process.</i></p> <p>Version 1.0</p>   |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |   |                          |                          |                          |
|---|--|---|--------------------------|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |   |                          |                          |                          |
|   |  | <b>None</b>   | <b>Positive</b>          | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <b>No</b>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <b>No</b>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <b>No</b>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <b>No</b>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <b>No</b>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <b>No</b>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <b>No</b>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <b>No</b>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  | <b>No</b>   | <input type="checkbox"/> | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |   |                          |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |   |                          |                          |                          |
|   | <b>None/ Minimal</b>   | <b>Significant</b>  |                          |                          |                          |
|   | <b>Yes</b>   | <input type="checkbox"/>  |                          |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |   |                          |                          |                          |

|            |   |
|------------|---|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>  |
|            | No <input type="checkbox"/>   |
| <b>1.4</b> | <b>How have you come to this decision?</b>  |
|            | The savings being assessed will be raised, by a combination of work that had previously been externalised being done in the ABS, through efficiency saving from implementing demand management work streams and from dividends due to WCC as a shareholder in the ABS. None of these will impact on the public. Where recruitment is required to provide capacity for additional work it will be carried out in line with industry good practice. |

## EQUALITY IMPACT ASSESSMENT

### SECTION 2: BUILDING AN EVIDENCE BASE

|            |  |  |
|------------|--|--|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |  |
|            | <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul> |  |
|            | How many people use the service currently? What is this as a % of Westminster’s population?  |  |
|            | Age  |  |
|            | Disability   |  |
|            | Gender   |  |
|            | Race   |  |
|            | Religion or belief   |  |
|            | Sexual orientation   |  |

|            |  |
|------------|--|
| <b>2.2</b> | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></p> |
|            | <p><i>If yes, provide details.</i></p>   |
| <b>2.3</b> | <p><b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>   |
|            | <p><i>If yes, provide details.</i></p>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>   |
|            | <p><i>It is helpful to identify whether you have conducted any consultations for your proposal, in some cases a statutory consultation is required. If your proposal has not required a consultation, please highlight this here. Consultations will help you identify what the potential impact of your proposal might be.</i></p>                                  |
| <b>3.2</b> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p>  |
|            | <p><i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i></p> |

**SECTION 4: REDUCING & MITIGATING IMPACT**

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| <b>4.1</b>   | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|--|---|--|--|--|--|--------------------------|-----------------------------|---|--------------------------|--|---|--------------------------|--------------------------------------|--|--|--|---|--|
|  | <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr style="background-color: #F4C49E;"> <th style="width: 45%; padding: 5px;">Column A – Issues or barriers, things to take into account</th> <th style="width: 55%; padding: 5px;">Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).</th> </tr> </thead> <tbody> <tr><td style="height: 30px;"></td><td></td></tr> <tr> <td style="padding: 5px;"><i>Enter additional rows if require</i></td> <td></td> </tr> </tbody> </table>  |  | Column A – Issues or barriers, things to take into account | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  | <i>Enter additional rows if require</i> |  |
| Column A – Issues or barriers, things to take into account | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  |   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  |   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  |   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  |   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  |   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  |   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <i>Enter additional rows if require</i>                    |   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <b>4.2</b>   | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  | <table border="1" style="width: 100%; border-collapse: collapse;"> <tbody> <tr> <td style="width: 5%; text-align: center; vertical-align: top;"><input type="checkbox"/></td> <td style="width: 35%; padding: 5px;"><b>1. No major change (no impacts identified)</b></td> <td style="padding: 5px;">Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.</td> </tr> <tr> <td style="text-align: center; vertical-align: top;"><input type="checkbox"/></td> <td style="padding: 5px;"><b>2. Adjust the policy</b></td> <td style="padding: 5px;">You will take steps to remove barriers or to better advance equality.</td> </tr> <tr> <td style="text-align: center; vertical-align: top;"><input type="checkbox"/></td> <td style="padding: 5px;"><b>3. Continue the policy (impacts identified)</b></td> <td style="padding: 5px;">You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.</td> </tr> <tr> <td style="text-align: center; vertical-align: top;"><input type="checkbox"/></td> <td style="padding: 5px;"><b>4. Stop and remove the policy</b></td> <td style="padding: 5px;">There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.</td> </tr> </tbody> </table> |  | <input type="checkbox"/>                                   | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. | <input type="checkbox"/> | <b>2. Adjust the policy</b> | You will take steps to remove barriers or to better advance equality. | <input type="checkbox"/> | <b>3. Continue the policy (impacts identified)</b> | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified. | <input type="checkbox"/> | <b>4. Stop and remove the policy</b> | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating. |  |  |   |  |
| <input type="checkbox"/>                                   | <b>1. No major change (no impacts identified)</b>   | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>                                   | <b>2. Adjust the policy</b>   | You will take steps to remove barriers or to better advance equality.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>                                   | <b>3. Continue the policy (impacts identified)</b>  | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>                                   | <b>4. Stop and remove the policy</b>  | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |

| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

| Page 225 | <p><b>5.1</b> Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |                          |                  |                  |                                      |                            |     |
|----------|---|--------------------------|------------------|------------------|--------------------------------------|----------------------------|-----|
|          | Action Required   | Equality Groups Targeted | Intended outcome | Resources Needed | Name of Lead, Unit & Contact Details | Completion Date (DD/MM/YY) | RAG |
|          |   |                          |                  |                  |                                      |                            |     |
|          |   |                          |                  |                  |                                      |                            |     |
|          |   |                          |                  |                  |                                      |                            |     |
|          | <i>Enter additional rows if required</i>  |                          |                  |                  |                                      |                            |     |

| THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER |       |
|--|-------|
| SIGNATURE:   | ..... |
| FULL NAME:   | ..... |
| UNIT:  | ..... |
| EMAIL & TELEPHONE EXT:                                       | ..... |
| DATE (DD/MM/YYYY):   | ..... |

**WHAT NEXT?**

It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.

All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.

All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

|   |
|---|
| <b>Title</b>  |
| <b>1.57 Commercialisation of Financial Expertise</b>  |
| <b>What are you analysing?</b>  |
| <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>   |
| <p>The Finance department of Westminster City Council has built a strong reputation for process improvement over the past 3 years, in particular as a consequence of being the first and fastest to close and report its financial statements in the local authority sector, and beating 95% of the FTSE 100 in the process. Invitations to present at events held by CIPFA, Welsh Audit Commission and BDO and Grant Thornton have helped to make the department's brand a strong one. We have been approached by the consultancy arm of an audit practice to partner with them in helping to bring other LA's performance up and are exploring how this could work to develop an income stream which can be turned to the advantage of the Council.</p> <p>This proposal would result in experienced members of the finance department being used to support on consultancy projects, most likely with a third party provider, thereby bringing in income to the Council.</p> |
| <b>Details of the lead person completing the screening/EIA</b>  |
| (vi) Full Name: Steve Muldoon   |
| (ii) Position: Assistant City Treasurer   |
| (iii) Unit: City Treasurers, Commercial & Financial Management  |
| (iv) Contact Details: <a href="mailto:smuldoon@westminster.gov.uk">smuldoon@westminster.gov.uk</a>  |
| <b>Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a></b>  |
| 11 Aug 2017   |
| <b>Version number and date of update</b>  |
| <b>V1 – 11.8.17</b>   |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|            |  |                                     |   |                          |                          |
|------------|--|-------------------------------------|---|--------------------------|--------------------------|
| <b>1.1</b> | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                                     |   |                          |                          |
|            |  | <b>None</b>                         | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|            | Disabled people  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | People or particular sexual orientation/s  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | People on low incomes  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | People in particular age groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
|            | <b>If the answer is “negative” or “unclear” consider doing a full EIA</b>  |                                     |   |                          |                          |
| <b>1.2</b> | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                                     |   |                          |                          |
|            | <b>None/ Minimal</b>   |                                     | <b>Significant</b>  |                          |                          |
|            | <input checked="" type="checkbox"/>  |                                     | <input type="checkbox"/>  |                          |                          |
|            | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
|            | <b>If the answer is “significant” consider doing a full EIA</b>  |                                     |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>                   |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | This initiative is one that will generate new income of a consultancy nature, and does not impact on any service received by residents of Westminster. |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|            |  |              |
|------------|--|--------------|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |              |
|            | <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul> |              |
|            | How many people use the service currently? What is this as a % of Westminster's population?  | Not relevant |
|            | Age  |              |
|            | Disability   |              |
|            | Gender   |              |
|            | Race   |              |
|            | Religion or belief   |              |
|            | Sexual orientation   |              |

|            |   |
|------------|---|
| <b>2.2</b> | <b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i> |
|            | <i>No</i>   |
| <b>2.3</b> | <b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i>   |
|            | <i>No, not relevant</i>   |

**SECTION 3: ASSESSING THE IMPACT**

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|                   |   |
|-------------------|---|
| <p><b>3.1</b></p> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>  |
|                   | <p><i>No consultation required</i></p>  |
| <p><b>3.2</b></p> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p> |
|                   | <p><i>Not relevant</i></p>  |

## SECTION 4: REDUCING & MITIGATING IMPACT

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| 4.1   | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|---|---|--|---|---|--|--------------------------|-----------------------------|---|--------------------------|--|---|--------------------------|--------------------------------------|--|--|--|---|--|
|   | <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p> <table border="1" data-bbox="264 689 1538 1384"> <thead> <tr> <th data-bbox="264 689 748 831"> <b>Column A – Issues or barriers, things to take into account</b> </th> <th data-bbox="748 689 1538 831"> <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).           </th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr> <td data-bbox="264 1294 748 1384"><i>Enter additional rows if require</i></td> <td data-bbox="748 1294 1538 1384"> </td> </tr> </tbody> </table>  |  | <b>Column A – Issues or barriers, things to take into account</b> | <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  | <i>Enter additional rows if require</i> |  |
| <b>Column A – Issues or barriers, things to take into account</b> | <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <i>Enter additional rows if require</i>                           |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| 4.2   | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   | <table border="1" data-bbox="264 1592 1538 2029"> <tbody> <tr> <td data-bbox="264 1592 371 1749"> <input type="checkbox"/> </td> <td data-bbox="371 1592 719 1749"> <b>1. No major change (no impacts identified)</b> </td> <td data-bbox="719 1592 1538 1749">           Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.         </td> </tr> <tr> <td data-bbox="264 1749 371 1832"> <input type="checkbox"/> </td> <td data-bbox="371 1749 719 1832"> <b>2. Adjust the policy</b> </td> <td data-bbox="719 1749 1538 1832">           You will take steps to remove barriers or to better advance equality.         </td> </tr> <tr> <td data-bbox="264 1832 371 1951"> <input type="checkbox"/> </td> <td data-bbox="371 1832 719 1951"> <b>3. Continue the policy (impacts identified)</b> </td> <td data-bbox="719 1832 1538 1951">           You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.         </td> </tr> <tr> <td data-bbox="264 1951 371 2029"> <input type="checkbox"/> </td> <td data-bbox="371 1951 719 2029"> <b>4. Stop and remove the policy</b> </td> <td data-bbox="719 1951 1538 2029">           There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.         </td> </tr> </tbody> </table> |  | <input type="checkbox"/>  | <b>1. No major change (no impacts identified)</b>   | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. | <input type="checkbox"/> | <b>2. Adjust the policy</b> | You will take steps to remove barriers or to better advance equality. | <input type="checkbox"/> | <b>3. Continue the policy (impacts identified)</b> | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified. | <input type="checkbox"/> | <b>4. Stop and remove the policy</b> | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating. |  |  |   |  |
| <input type="checkbox"/>  | <b>1. No major change (no impacts identified)</b>   | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>2. Adjust the policy</b>   | You will take steps to remove barriers or to better advance equality.  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>3. Continue the policy (impacts identified)</b>  | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>4. Stop and remove the policy</b>  | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |

| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 234</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

**SIGNATURE:**



**FULL NAME:** ...Steve Muldoon.....

**UNIT:** City Treasurers, Commercial & Financial Management

**EMAIL & TELEPHONE EXT:** [smuldoon@westminster.gov.uk](mailto:smuldoon@westminster.gov.uk) x3686

**DATE (DD/MM/YYYY):** 11 August 2017

**WHAT NEXT?**

It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.

All EIAs for proposed changes to levels of service arising from budget proposals must be completed by **2 September 2016**.

All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

|   |
|---|
| <b>Title</b>  |
| <b>1.58 Wireless and Small Cell concessions</b>   |
| <p>What are you analysing?</p> <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>  |
| <p>The proposal put forward is related to utilisation of Council assets for telecoms infrastructure. Westminster is attempting through this proposal to facilitate a more efficient approach to wireless connectivity on street across the Borough. Offering a concession contract to a single infrastructure provider will encourage a more coordinated approach to the installation and use of small cell technologies.</p> <p>At present without this approach, vendors would have to approach the Council on each occasion to request permissions and get approval which is inefficient and does not encourage a wider take up of assets in the borough leading to continued issues with 3g/4g coverage in the borough.</p> <p>As well as improving mobile coverage there is an opportunity to generate an improved income for the Council through this approach which can be put back in to front line services for the Council.</p> |
| <b>Details of the lead person completing the screening/EIA</b>  |
| <p>(vii) Full Name: Dai Williams</p> <p>(ii) Position: Strategic Finance Manager - Commercial</p> <p>(iii) Unit: Finance</p> <p>(iv) Contact Details: <a href="mailto:dwillia@westminster.gov.uk">dwillia@westminster.gov.uk</a></p>  |
| Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a>   |
| <b>Version number and date of update</b>  |
| <i>Version 1 – 21/7/2017</i>  |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |   |                          |                          |
|---|--|---|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |   |                          |                          |
|   | <b>None</b>  | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
| Disabled people   | <input checked="" type="checkbox"/>  | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Particular ethnic groups  | <input checked="" type="checkbox"/>  | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Men or women (include impacts due to pregnancy/ maternity)  | <input checked="" type="checkbox"/>  | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People or particular sexual orientation/s   | <input checked="" type="checkbox"/>  | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment | <input checked="" type="checkbox"/>  | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People on low incomes   | <input checked="" type="checkbox"/>  | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People in particular age groups   | <input checked="" type="checkbox"/>  | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Groups with particular faiths and beliefs   | <input checked="" type="checkbox"/>  | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?     |  | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b>   |  |   |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |   |                          |                          |
|   | <b>None/ Minimal</b>   | <b>Significant</b>  |                          |                          |
|   | <input checked="" type="checkbox"/>  | <input type="checkbox"/>  |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>   |  |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>   |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | <p><i>Impacts are those that already exist in relation to the telecoms market and infrastructure used.</i></p> <p><i>As the use of assets is already available and this is merely an improvement in process a full consultation was not seen as required.</i></p> <p><i>The process is focused on income generation and therefore likely to have positive impact on council funding.</i></p> |

**EQUALITY IMPACT ASSESSMENT**  
**SECTION 2: BUILDING AN EVIDENCE BASE**

|            |  |     |
|------------|--|-----|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |     |
|            | <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul> |     |
|            | How many people use the service currently? What is this as a % of Westminster’s population?  | N/A |
|            | Age  |     |
|            | Disability   |     |
|            | Gender   |     |
|            | Race   |     |
|            | Religion or belief   |     |
|            | Sexual orientation   |     |

|                   |  |
|-------------------|--|
| <p><b>2.2</b></p> | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster’s population is on the Equalities page on the WIRE.</i></p> |
|                   | <p>N/A</p>   |
| <p><b>2.3</b></p> | <p><b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>   |
|                   | <p>N/A</p>   |

**SECTION 3: ASSESSING THE IMPACT**

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|                   |   |
|-------------------|---|
| <p><b>3.1</b></p> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>  |
|                   |   |
| <p><b>3.2</b></p> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p> |
|                   |   |

**SECTION 4: REDUCING & MITIGATING IMPACT**

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| <b>4.1</b>  | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|---|--|--|--|--|--|--------------------------|-----------------------------|---|--------------------------|--|---|--------------------------|--------------------------------------|--|--|--|---|--|
| <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p>  |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr style="background-color: #F4C49E;"> <th style="width: 45%; padding: 5px;">Column A – Issues or barriers, things to take into account</th> <th style="width: 55%; padding: 5px;">Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).</th> </tr> </thead> <tbody> <tr><td style="height: 30px;"></td><td></td></tr> <tr> <td style="padding: 5px;"><i>Enter additional rows if require</i></td> <td></td> </tr> </tbody> </table>   |  |  | Column A – Issues or barriers, things to take into account | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  | <i>Enter additional rows if require</i> |  |
| Column A – Issues or barriers, things to take into account  | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).           |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <i>Enter additional rows if require</i>   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <b>4.2</b>  | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <tbody> <tr> <td style="width: 5%; text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="width: 40%; background-color: yellow; padding: 5px;"><b>1. No major change (no impacts identified)</b></td> <td style="padding: 5px;">Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.</td> </tr> <tr> <td style="text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="background-color: yellow; padding: 5px;"><b>2. Adjust the policy</b></td> <td style="padding: 5px;">You will take steps to remove barriers or to better advance equality.</td> </tr> <tr> <td style="text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="background-color: yellow; padding: 5px;"><b>3. Continue the policy (impacts identified)</b></td> <td style="padding: 5px;">You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.</td> </tr> <tr> <td style="text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="background-color: yellow; padding: 5px;"><b>4. Stop and remove the policy</b></td> <td style="padding: 5px;">There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.</td> </tr> </tbody> </table> |  |  | <input type="checkbox"/>                                   | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. | <input type="checkbox"/> | <b>2. Adjust the policy</b> | You will take steps to remove barriers or to better advance equality. | <input type="checkbox"/> | <b>3. Continue the policy (impacts identified)</b> | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified. | <input type="checkbox"/> | <b>4. Stop and remove the policy</b> | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating. |  |  |   |  |
| <input type="checkbox"/>  | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>2. Adjust the policy</b>  | You will take steps to remove barriers or to better advance equality.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>3. Continue the policy (impacts identified)</b>   | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>4. Stop and remove the policy</b>   | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |

| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 243</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER****SIGNATURE:** .....**FULL NAME:** Dai Williams**UNIT:** Finance**EMAIL & TELEPHONE EXT:** 2795**DATE (DD/MM/YYYY):** 10/8/17**WHAT NEXT?**

It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.

All EIAs for proposed changes to levels of service arising from budget proposals must be completed by **2 September 2016**.

All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

|  |
|--|
| Title  |
| <b>1.61 Review of Insurance – City Treasurers</b>  |
| <p>What are you analysing?</p> <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>   |
| <p>The purpose of this proposal is to review non-pay budgets to identify where demand reduction or greater value for money can be realised. This will result in a reduction in budget lines relating to external audit fees through the re-procurement of a new insurance premium provider.</p>            |
| Details of the lead person completing the screening/EIA  |
| <ul style="list-style-type: none"> <li>(i) Full Name: Jake Bacchus</li> <li>(ii) Position: Deputy Head of Corporate Finance</li> <li>(iii) Unit: City Treasurers, Corporate Finance</li> <li>(iv) Contact Details: <a href="mailto:jbacchus@westminster.gov.uk">jbacchus@westminster.gov.uk</a></li> </ul> |
| Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a>  |
| 18 Aug 2017  |
| Version number and date of update  |
| <b>V1 – 18.8.17</b>  |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |                                     |   |                          |                          |
|---|--|-------------------------------------|---|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                                     |   |                          |                          |
|   |  | <b>None</b>                         | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |                                     |   |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                                     |   |                          |                          |
|   | <b>None/ Minimal</b>   |                                     | <b>Significant</b>  |                          |                          |
|   | <input checked="" type="checkbox"/>  |                                     | <input type="checkbox"/>  |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |                                     |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b> |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | There will be no impact on delivery of services.   |

**EQUALITY IMPACT ASSESSMENT**  
**SECTION 2: BUILDING AN EVIDENCE BASE**

|            |   |              |
|------------|---|--------------|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b> <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul> |              |
|            | How many people use the service currently? What is this as a % of Westminster’s population?   | Not relevant |
|            | Age   |              |
|            | Disability  |              |
|            | Gender  |              |
|            | Race  |              |
|            | Religion or belief  |              |
|            | Sexual orientation  |              |

|            |  |
|------------|--|
| <b>2.2</b> | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></p> |
|            | <p><i>No</i></p>   |
| <b>2.3</b> | <p><b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>   |
|            | <p><i>No, not relevant</i></p>   |

**SECTION 3: ASSESSING THE IMPACT**

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|                   |   |
|-------------------|---|
| <p><b>3.1</b></p> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>  |
|                   | <p><i>No consultation required</i></p>  |
| <p><b>3.2</b></p> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p> |
|                   | <p><i>Not relevant</i></p>  |

## SECTION 4: REDUCING & MITIGATING IMPACT

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| 4.1   | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|---|---|--|---|---|--|--------------------------|-----------------------------|---|--------------------------|--|---|--------------------------|--------------------------------------|--|--|--|---|--|
|   | <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p> <table border="1" data-bbox="264 689 1538 1384"> <thead> <tr> <th data-bbox="264 689 746 831"> <b>Column A – Issues or barriers, things to take into account</b> </th> <th data-bbox="746 689 1538 831"> <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).           </th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr> <td data-bbox="264 1294 746 1384"><i>Enter additional rows if require</i></td> <td data-bbox="746 1294 1538 1384"> </td> </tr> </tbody> </table>  |  | <b>Column A – Issues or barriers, things to take into account</b> | <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  | <i>Enter additional rows if require</i> |  |
| <b>Column A – Issues or barriers, things to take into account</b> | <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <i>Enter additional rows if require</i>                           |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| 4.2   | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   | <table border="1" data-bbox="264 1592 1538 2029"> <tbody> <tr> <td data-bbox="264 1592 371 1749"> <input type="checkbox"/> </td> <td data-bbox="371 1592 719 1749"> <b>1. No major change (no impacts identified)</b> </td> <td data-bbox="719 1592 1538 1749">           Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.         </td> </tr> <tr> <td data-bbox="264 1749 371 1832"> <input type="checkbox"/> </td> <td data-bbox="371 1749 719 1832"> <b>2. Adjust the policy</b> </td> <td data-bbox="719 1749 1538 1832">           You will take steps to remove barriers or to better advance equality.         </td> </tr> <tr> <td data-bbox="264 1832 371 1951"> <input type="checkbox"/> </td> <td data-bbox="371 1832 719 1951"> <b>3. Continue the policy (impacts identified)</b> </td> <td data-bbox="719 1832 1538 1951">           You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.         </td> </tr> <tr> <td data-bbox="264 1951 371 2029"> <input type="checkbox"/> </td> <td data-bbox="371 1951 719 2029"> <b>4. Stop and remove the policy</b> </td> <td data-bbox="719 1951 1538 2029">           There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.         </td> </tr> </tbody> </table> |  | <input type="checkbox"/>  | <b>1. No major change (no impacts identified)</b>   | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. | <input type="checkbox"/> | <b>2. Adjust the policy</b> | You will take steps to remove barriers or to better advance equality. | <input type="checkbox"/> | <b>3. Continue the policy (impacts identified)</b> | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified. | <input type="checkbox"/> | <b>4. Stop and remove the policy</b> | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating. |  |  |   |  |
| <input type="checkbox"/>  | <b>1. No major change (no impacts identified)</b>   | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>2. Adjust the policy</b>   | You will take steps to remove barriers or to better advance equality.  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>3. Continue the policy (impacts identified)</b>  | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>4. Stop and remove the policy</b>  | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |

| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |                                   |                          |                  |                  |                                      |                            |     |
|---|-----------------------------------|--------------------------|------------------|------------------|--------------------------------------|----------------------------|-----|
| <p><b>5.1</b> Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |                                   |                          |                  |                  |                                      |                            |     |
| Page 252  | Action Required                   | Equality Groups Targeted | Intended outcome | Resources Needed | Name of Lead, Unit & Contact Details | Completion Date (DD/MM/YY) | RAG |
|   |                                   |                          |                  |                  |                                      |                            |     |
|   |                                   |                          |                  |                  |                                      |                            |     |
|   |                                   |                          |                  |                  |                                      |                            |     |
|   |                                   |                          |                  |                  |                                      |                            |     |
|   | Enter additional rows if required |                          |                  |                  |                                      |                            |     |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

**SIGNATURE:**



**FULL NAME:** ...Jake Bacchus.....

**UNIT:** City Treasurers, Corporate Finance

**EMAIL & TELEPHONE EXT:** [jbacchus@westminster.gov.uk](mailto:jbacchus@westminster.gov.uk) x3686

**DATE (DD/MM/YYYY):** 18 August 2017

**WHAT NEXT?**

**It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.**

**All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.**

**All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)**

|  |
|--|
| Title  |
| <b>1.62 Business Rates</b>   |
| What are you analysing?  |
| <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>  |
| <p>Historically, Westminster has had to set its business rates budget at safety net due to the number of appeals outstanding which reduces the final outturn of business rates. Additional income can now be delivered through the business rates retention scheme due to an improved financial position in respect of appeals.</p> <p>There is no impact on billing for businesses or on the ability for businesses to appeal their rates with the VOA.</p> |
| Details of the lead person completing the screening/EIA  |
| <p>(i) Full Name: Jake Bacchus</p> <p>(ii) Position: Deputy Head of Corporate Finance</p> <p>(iii) Unit: City Treasurers, Corporate Finance</p> <p>(iv) Contact Details: <a href="mailto:jbacchus@westminster.gov.uk">jbacchus@westminster.gov.uk</a></p>  |
| Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a>  |
| 18 Aug 2017  |
| Version number and date of update  |
| <b>V1 – 18.8.17</b>  |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|            |  |                                     |   |                          |                          |
|------------|--|-------------------------------------|---|--------------------------|--------------------------|
| <b>1.1</b> | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                                     |   |                          |                          |
|            |  | <b>None</b>                         | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|            | Disabled people  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | People or particular sexual orientation/s  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | People on low incomes  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | People in particular age groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
|            | <b>If the answer is “negative” or “unclear” consider doing a full EIA</b>  |                                     |   |                          |                          |
| <b>1.2</b> | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                                     |   |                          |                          |
|            | <b>None/ Minimal</b>   |                                     | <b>Significant</b>  |                          |                          |
|            | <input checked="" type="checkbox"/>  |                                     | <input type="checkbox"/>  |                          |                          |
|            | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
|            | <b>If the answer is “significant” consider doing a full EIA</b>  |                                     |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>       |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | There is no change to the level of rates that businesses pay or the ability to appeal their rates, the process of which is set nationally. |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|            |  |              |
|------------|--|--------------|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |              |
|            | <ul style="list-style-type: none"> <li>• <i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li>• <i>A baseline of data is <a href="#">available here</a></i></li> </ul> |              |
|            | How many people use the service currently? What is this as a % of Westminster's population?  | Not relevant |
|            | Age  |              |
|            | Disability   |              |
|            | Gender   |              |
|            | Race   |              |
|            | Religion or belief   |              |
|            | Sexual orientation   |              |

|            |   |
|------------|---|
| <b>2.2</b> | <b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i> |
|            | <i>No</i>   |
| <b>2.3</b> | <b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i>   |
|            | <i>No, not relevant</i>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <b>Consultation Information</b><br><i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i>  |
|            | <i>No consultation required</i>  |
| <b>3.2</b> | <b>What might the potential impact on individuals or groups be?</b><br><i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i> |
|            | <i>Not relevant</i>  |

## SECTION 4: REDUCING & MITIGATING IMPACT

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| 4.1   | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|---|--|--|---|---|--|--------------------------|-----------------------------|---|--------------------------|--|---|--------------------------|--------------------------------------|--|--|--|---|--|
|   | <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p> <table border="1" data-bbox="264 689 1538 1384"> <thead> <tr> <th data-bbox="264 689 746 831"> <b>Column A – Issues or barriers, things to take into account</b> </th> <th data-bbox="751 689 1538 831"> <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).           </th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr> <td data-bbox="264 1294 746 1384"><i>Enter additional rows if require</i></td> <td data-bbox="751 1294 1538 1384"> </td> </tr> </tbody> </table>   |  | <b>Column A – Issues or barriers, things to take into account</b> | <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  | <i>Enter additional rows if require</i> |  |
| <b>Column A – Issues or barriers, things to take into account</b> | <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <i>Enter additional rows if require</i>                           |  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| 4.2   | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   | <table border="1" data-bbox="264 1592 1538 2060"> <tbody> <tr> <td data-bbox="264 1592 368 1749"> <input type="checkbox"/> </td> <td data-bbox="373 1592 715 1749"> <b>1. No major change (no impacts identified)</b> </td> <td data-bbox="719 1592 1538 1749">           Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.         </td> </tr> <tr> <td data-bbox="264 1756 368 1827"> <input type="checkbox"/> </td> <td data-bbox="373 1756 715 1827"> <b>2. Adjust the policy</b> </td> <td data-bbox="719 1756 1538 1827">           You will take steps to remove barriers or to better advance equality.         </td> </tr> <tr> <td data-bbox="264 1834 368 1951"> <input type="checkbox"/> </td> <td data-bbox="373 1834 715 1951"> <b>3. Continue the policy (impacts identified)</b> </td> <td data-bbox="719 1834 1538 1951">           You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.         </td> </tr> <tr> <td data-bbox="264 1957 368 2029"> <input type="checkbox"/> </td> <td data-bbox="373 1957 715 2029"> <b>4. Stop and remove the policy</b> </td> <td data-bbox="719 1957 1538 2029">           There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.         </td> </tr> <tr> <td data-bbox="264 2036 368 2060"> </td> <td data-bbox="373 2036 715 2060"> </td> <td data-bbox="719 2036 1538 2060"> </td> </tr> </tbody> </table> |  | <input type="checkbox"/>  | <b>1. No major change (no impacts identified)</b>   | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. | <input type="checkbox"/> | <b>2. Adjust the policy</b> | You will take steps to remove barriers or to better advance equality. | <input type="checkbox"/> | <b>3. Continue the policy (impacts identified)</b> | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified. | <input type="checkbox"/> | <b>4. Stop and remove the policy</b> | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating. |  |  |   |  |
| <input type="checkbox"/>  | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>2. Adjust the policy</b>  | You will take steps to remove barriers or to better advance equality.  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>3. Continue the policy (impacts identified)</b>   | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>4. Stop and remove the policy</b>   | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |

| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |



**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

**SIGNATURE:**



**FULL NAME:** ...Jake Bacchus.....

**UNIT:** City Treasurers, Corporate Finance

**EMAIL & TELEPHONE EXT:** [jbacchus@westminster.gov.uk](mailto:jbacchus@westminster.gov.uk) x3686

**DATE (DD/MM/YYYY):** 18 August 2017

**WHAT NEXT?**

**It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.**

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|  |
|--|
| <b>Title</b>   |
| <b>1.63 Sustainable Green Energy</b>   |
| <p>What are you analysing?</p> <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>   |
| <p>Energy Efficiency projects to be implemented to the operational buildings of the council to achieve the target set at the Greener City Action plan and meet the carbon emissions reduction target by 2019.</p> <p>Amey has conducted a total of 30 energy surveys to WCC's operational properties that covered 99.63% of Council's operational carbon emissions. Energy reduction projects have been identified from these surveys to reduce the carbon footprint and ensure compliance with the Greener City Action Plan requirements.</p> <p>The delivery of this proposal will be assigned to Corporate Property's term contractors Amey. A Guarantee savings scheme has been developed to ensure the delivery of the savings. A M&amp;V (Measurement and Verification) plan will be agreed with Amey and Corporate Property's Energy Manager.</p> |
| <b>Details of the lead person completing the screening/EIA</b>   |
| <p>(viii) Full Name: Guy Slocombe</p> <p>(ii) Position: Director of Property Income and Estates</p> <p>(iii) Unit: Corporate Property</p> <p>(iii) Contact Details: 0207 641 5465</p>  |
| <b>Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a></b>   |
|  |
| <b>Version number and date of update</b>   |
| <p><i>You will need to update your EIA as you move through the decision-making process. Record the version number here and the date you updated the EIA. Keep all versions so you have evidence that you have considered equality throughout the process.</i></p>  |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|            |  |                            |   |                          |                          |
|------------|--|----------------------------|---|--------------------------|--------------------------|
| <b>1.1</b> | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                            |   |                          |                          |
|            |  | <b>None</b>                | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|            | Disabled people  | X <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | Particular ethnic groups   | X <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | Men or women (include impacts due to pregnancy/ maternity)   | X <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | People or particular sexual orientation/s  | X <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | X <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | People on low incomes  | X <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | People in particular age groups  | X <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | Groups with particular faiths and beliefs  | X <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|            | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  | <b>None</b>                | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
|            | <b>If the answer is “negative” or “unclear” consider doing a full EIA</b>  |                            |   |                          |                          |
| <b>1.2</b> | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                            |   |                          |                          |
|            | <b>None/ Minimal</b>   |                            | <b>Significant</b>  |                          |                          |
|            | X <input type="checkbox"/>   |                            | <input type="checkbox"/>  |                          |                          |
|            | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                            | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
|            | <b>If the answer is “significant” consider doing a full EIA</b>  |                            |   |                          |                          |
|            | No impact to service provision except for minor disruption during installation.  |                            |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>   |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | <p><b>1. Setting the standard</b> – as a responsible body with a leadership role the City Council seeks to set an example for others to follow or seeks to show it is doing its share. This has particularly been the case in the area of environmental sustainability. The City Council has set out to ensure that it’s estate meets a minimum EPC rating of “E”. Currently minimum EPC rating are only relevant to properties that we let out. <i>This fall’s under Civic Leadership and Responsibility relating to improving the Council’s energy efficiency and so by doing contributing towards Medium Term Plan Savings by reducing the use of energy. Improving the energy efficiency of the corporate portfolio is one of the nine priorities set in the Greener City Action Plan specifically “Delivering affordable, secure and sustainable energy”. The Council has committed that by 2019 “there will be no City Council investment or operational properties that fall below an Energy Performance Certificate of “E” rating”.</i></p> <p><b>2.</b> Corporate Property has set a carbon emissions reduction target of 20% by 2019 on all of the Corporate property operational buildings measured against the 2014/15 baseline emissions.</p> |

## EQUALITY IMPACT ASSESSMENT

### SECTION 2: BUILDING AN EVIDENCE BASE

|            |  |  |
|------------|--|--|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |  |
|            | <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul> |  |
|            | How many people use the service currently? What is this as a % of Westminster’s population?  |  |
|            | Age  |  |
|            | Disability   |  |

|  |                    |  |
|--|--------------------|--|
|  | Gender             |  |
|  | Race               |  |
|  | Religion or belief |  |
|  | Sexual orientation |  |

**2.2** Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population? *If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster’s population is on the Equalities page on the WIRE.*

*If yes, provide details.*

**2.3** Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population? *If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.*

*If yes, provide details.*

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>   |
|            | <p><i>It is helpful to identify whether you have conducted any consultations for your proposal, in some cases a statutory consultation is required. If your proposal has not required a consultation, please highlight this here. Consultations will help you identify what the potential impact of your proposal might be.</i></p>                                  |
| <b>3.2</b> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p>  |
|            | <p><i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i></p> |

**SECTION 4: REDUCING & MITIGATING IMPACT**

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| <b>4.1</b>   | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|--|---|--|--|--|--|--------------------------|-----------------------------|---|--------------------------|--|---|--------------------------|--------------------------------------|--|--|--|---|--|
|  | <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr style="background-color: #F4C08E;"> <th style="width: 45%; padding: 5px;">Column A – Issues or barriers, things to take into account</th> <th style="width: 55%; padding: 5px;">Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).</th> </tr> </thead> <tbody> <tr><td style="height: 30px;"></td><td></td></tr> <tr> <td style="padding: 5px;"><i>Enter additional rows if require</i></td> <td></td> </tr> </tbody> </table>  |  | Column A – Issues or barriers, things to take into account | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  | <i>Enter additional rows if require</i> |  |
| Column A – Issues or barriers, things to take into account | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  |   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  |   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  |   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  |   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  |   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  |   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <i>Enter additional rows if require</i>                    |   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <b>4.2</b>   | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  | <table border="1" style="width: 100%; border-collapse: collapse;"> <tbody> <tr> <td style="width: 5%; text-align: center; vertical-align: top;"><input type="checkbox"/></td> <td style="width: 40%; padding: 5px;"><b>1. No major change (no impacts identified)</b></td> <td style="padding: 5px;">Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.</td> </tr> <tr> <td style="text-align: center; vertical-align: top;"><input type="checkbox"/></td> <td style="padding: 5px;"><b>2. Adjust the policy</b></td> <td style="padding: 5px;">You will take steps to remove barriers or to better advance equality.</td> </tr> <tr> <td style="text-align: center; vertical-align: top;"><input type="checkbox"/></td> <td style="padding: 5px;"><b>3. Continue the policy (impacts identified)</b></td> <td style="padding: 5px;">You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.</td> </tr> <tr> <td style="text-align: center; vertical-align: top;"><input type="checkbox"/></td> <td style="padding: 5px;"><b>4. Stop and remove the policy</b></td> <td style="padding: 5px;">There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.</td> </tr> </tbody> </table> |  | <input type="checkbox"/>                                   | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. | <input type="checkbox"/> | <b>2. Adjust the policy</b> | You will take steps to remove barriers or to better advance equality. | <input type="checkbox"/> | <b>3. Continue the policy (impacts identified)</b> | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified. | <input type="checkbox"/> | <b>4. Stop and remove the policy</b> | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating. |  |  |   |  |
| <input type="checkbox"/>                                   | <b>1. No major change (no impacts identified)</b>   | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>                                   | <b>2. Adjust the policy</b>   | You will take steps to remove barriers or to better advance equality.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>                                   | <b>3. Continue the policy (impacts identified)</b>  | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>                                   | <b>4. Stop and remove the policy</b>  | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |

| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 270</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

| THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER |       |
|--|-------|
| SIGNATURE:   | ..... |
| FULL NAME:   | ..... |
| UNIT:  | ..... |
| EMAIL & TELEPHONE EXT:                                       | ..... |
| DATE (DD/MM/YYYY):   | ..... |

**WHAT NEXT?**

It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.

All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.

All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

|   |
|---|
| Title   |
| <b>1.65 Other PPC Savings</b>   |
| What are you analysing? <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul> |
| <p>Review of spending on all supplies and services procured by PPC to identify £50k of efficiencies.</p>  |
| Details of the lead person completing the screening/EIA   |
| <ul style="list-style-type: none"> <li>(i) Full Name: Ezra Wallace</li> <li>(ii) Position: Head of Corporate Strategy</li> <li>(iii) Unit: PPC</li> <li>(iv) Contact Details: ewallace@westminster.gov.uk</li> </ul>  |
| Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a>   |
| 17 Aug 2017   |
| Version number and date of update   |
| <b>V1 – 17.8.17</b>   |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |                                     |   |                          |                          |
|---|--|-------------------------------------|---|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                                     |   |                          |                          |
|   |  | <b>None</b>                         | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |                                     |   |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                                     |   |                          |                          |
|   | <b>None/ Minimal</b>   |                                     | <b>Significant</b>  |                          |                          |
|   | <input checked="" type="checkbox"/>  |                                     | <input type="checkbox"/>  |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |                                     |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>   |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | The saving is being made from identifying efficiencies within existing services and supplies procured by PPC. This is not expected to result in any changes to service levels. |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|            |  |              |
|------------|--|--------------|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |              |
|            | <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul> |              |
|            | How many people use the service currently? What is this as a % of Westminster’s population?  | Not relevant |
|            | Age  |              |
|            | Disability   |              |
|            | Gender   |              |
|            | Race   |              |
|            | Religion or belief   |              |
|            | Sexual orientation   |              |

|            |   |
|------------|---|
| <b>2.2</b> | <b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i> |
|            | <i>No</i>   |
| <b>2.3</b> | <b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i>   |
|            | <i>No, not relevant</i>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |   |
|------------|---|
| <b>3.1</b> | <b>Consultation Information</b><br><i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i> |
|            | <i>No consultation required</i>   |

|            |  |
|------------|--|
| <b>3.2</b> | <b>What might the potential impact on individuals or groups be?</b><br><i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i> |
|            | <i>Not relevant</i>  |



| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |



**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

**SIGNATURE:**



**FULL NAME:** ...Steve Muldoon.....

**UNIT:** City Treasurers, Commercial & Financial Management

**EMAIL & TELEPHONE EXT:** [smuldoon@westminster.gov.uk](mailto:smuldoon@westminster.gov.uk) x3686

**DATE (DD/MM/YYYY):** 11 August 2017

**WHAT NEXT?**

It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.

All EIAs for proposed changes to levels of service arising from budget proposals must be completed by **2 September 2016**.

All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

|   |
|---|
| Title   |
| <b>1.66 Budget Cleanse</b>  |
| What are you analysing?   |
| <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>   |
| <p>Following the outcome of the Council's improved financial quality assurance processes, rigour in reviewing budgets, in preparing the accounts and thus establishing the Council's financial position and allowing for the forward impact of the emerging bi borough working, a financial saving of £6m has been identified that can be utilised as part of the MTP from 2018/19.</p> <p>Savings have been identified without impacting the delivery of services.</p> |
| Details of the lead person completing the screening/EIA   |
| <p>(ix) Full Name: Jake Bacchus</p> <p>(ii) Position: Deputy Head of Corporate Finance</p> <p>(iii) Unit: City Treasurers, Corporate Finance</p> <p>(iv) Contact Details: <a href="mailto:jbacchus@westminster.gov.uk">jbacchus@westminster.gov.uk</a></p>  |
| Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a>   |
| 18 Aug 2017   |
| Version number and date of update   |
| <b>V1 – 18.8.17</b>   |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |                                     |   |                          |                          |
|---|--|-------------------------------------|---|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                                     |   |                          |                          |
|   |  | <b>None</b>                         | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |                                     |   |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                                     |   |                          |                          |
|   | <b>None/ Minimal</b>   |                                     | <b>Significant</b>  |                          |                          |
|   | <input checked="" type="checkbox"/>  |                                     | <input type="checkbox"/>  |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |                                     |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b> |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | There will be no impact on the delivery of services.   |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|            |   |              |
|------------|---|--------------|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b> <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul> |              |
|            | How many people use the service currently? What is this as a % of Westminster’s population?   | Not relevant |
|            | Age   |              |
|            | Disability  |              |
|            | Gender  |              |
|            | Race  |              |
|            | Religion or belief  |              |
|            | Sexual orientation  |              |

|     |  |
|-----|--|
| 2.2 | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></p> |
|     | <p><i>No</i></p>   |
| 2.3 | <p><b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>   |
|     | <p><i>No, not relevant</i></p>   |

**SECTION 3: ASSESSING THE IMPACT**

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|                   |   |
|-------------------|---|
| <p><b>3.1</b></p> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>  |
|                   | <p><i>No consultation required</i></p>  |
| <p><b>3.2</b></p> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p> |
|                   | <p><i>Not relevant</i></p>  |

**SECTION 4: REDUCING & MITIGATING IMPACT**

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| <b>4.1</b>  | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|---|--|--|--|--|--|--------------------------|-----------------------------|---|--------------------------|--|---|--------------------------|--------------------------------------|--|--|--|---|--|
| <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p>  |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr style="background-color: #F4C49E;"> <th style="width: 45%; padding: 5px;">Column A – Issues or barriers, things to take into account</th> <th style="width: 55%; padding: 5px;">Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).</th> </tr> </thead> <tbody> <tr><td style="height: 30px;"></td><td></td></tr> <tr> <td style="padding: 5px;"><i>Enter additional rows if require</i></td> <td></td> </tr> </tbody> </table>   |  |  | Column A – Issues or barriers, things to take into account | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  | <i>Enter additional rows if require</i> |  |
| Column A – Issues or barriers, things to take into account  | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).           |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <i>Enter additional rows if require</i>   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <b>4.2</b>  | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <tbody> <tr> <td style="width: 5%; text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="width: 40%; background-color: yellow; padding: 5px;"><b>1. No major change (no impacts identified)</b></td> <td style="padding: 5px;">Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.</td> </tr> <tr> <td style="text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="background-color: yellow; padding: 5px;"><b>2. Adjust the policy</b></td> <td style="padding: 5px;">You will take steps to remove barriers or to better advance equality.</td> </tr> <tr> <td style="text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="background-color: yellow; padding: 5px;"><b>3. Continue the policy (impacts identified)</b></td> <td style="padding: 5px;">You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.</td> </tr> <tr> <td style="text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="background-color: yellow; padding: 5px;"><b>4. Stop and remove the policy</b></td> <td style="padding: 5px;">There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.</td> </tr> </tbody> </table> |  |  | <input type="checkbox"/>                                   | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. | <input type="checkbox"/> | <b>2. Adjust the policy</b> | You will take steps to remove barriers or to better advance equality. | <input type="checkbox"/> | <b>3. Continue the policy (impacts identified)</b> | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified. | <input type="checkbox"/> | <b>4. Stop and remove the policy</b> | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating. |  |  |   |  |
| <input type="checkbox"/>  | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>2. Adjust the policy</b>  | You will take steps to remove barriers or to better advance equality.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>3. Continue the policy (impacts identified)</b>   | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>4. Stop and remove the policy</b>   | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |

| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|  |                                   |                                 |                         |                         |   |                                   |            |  |
|--|-----------------------------------|---------------------------------|-------------------------|-------------------------|---|-----------------------------------|------------|--|
| <p><b>5.1</b></p> <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |                                   |                                 |                         |                         |   |                                   |            |  |
| Page 288   | <b>Action Required</b>            | <b>Equality Groups Targeted</b> | <b>Intended outcome</b> | <b>Resources Needed</b> | <b>Name of Lead, Unit &amp; Contact Details</b> | <b>Completion Date (DD/MM/YY)</b> | <b>RAG</b> |  |
|  |                                   |                                 |                         |                         |   |                                   |            |  |
|  |                                   |                                 |                         |                         |   |                                   |            |  |
|  |                                   |                                 |                         |                         |   |                                   |            |  |
|  |                                   |                                 |                         |                         |   |                                   |            |  |
|  | Enter additional rows if required |                                 |                         |                         |   |                                   |            |  |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

**SIGNATURE:**



**FULL NAME:** ...Jake Bacchus.....

**UNIT:** City Treasurers, Corporate Finance

**EMAIL & TELEPHONE EXT:** [jbacchus@westminster.gov.uk](mailto:jbacchus@westminster.gov.uk) x3686

**DATE (DD/MM/YYYY):** 18 August 2017

**WHAT NEXT?**

**It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.**

**All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.**

**All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)**

|   |
|---|
| <b>Title</b>  |
| 1.68 - Vacancy factor savings 2018/19   |
| <b>What are you analysing?</b> <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>  |
| <p>A saving of £797k is proposed to be delivered across the council through additional staff vacancy factor. This assumes that savings can be made against the staff salaries budget through staff turnover and the time lag between staff leaving and new recruits joining the organisation, as well as delays in recruitment to newly created positions which require approval and recruitment in order to fill.</p> <p>The saving is to be allocated across the directorates pro-rata on the basis of how much each currently bears in terms of staff cost. The total salary budget for 2018/19 is estimated to be £114.5m, thus this represents approximately 0.7% of the staff costs budget. It is considered that this level of savings, once spread across the directorates will not prove too onerous for any one directorate to deliver.</p> <p>There is not considered to be any need for consultation and the proposal will not impact any protected group disproportionately.</p> |
| <b>Details of the lead person completing the screening/EIA</b>  |
| <p>(x) Full Name: Steve Muldoon</p> <p>(ii) Position: Assistant City Treasurer, Commercial &amp; Financial Management</p> <p>(iii) Unit: City Treasurers</p> <p>(iii) Contact Details: <a href="mailto:smuldoon@westminster.gov.uk">smuldoon@westminster.gov.uk</a></p>   |
| <b>Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a></b>  |
| 22 January 2018   |
| <b>Version number and date of update</b>  |
| <i>Version 1.0</i>  |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

| 1.1 Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative? |                                     |   |                          |                          |
|---|-------------------------------------|---|--------------------------|--------------------------|
|   | None                                | Positive  | Negative                 | Not sure                 |
| Disabled people   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Particular ethnic groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Men or women (include impacts due to pregnancy/ maternity)  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People or particular sexual orientation/s   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People on low incomes   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People in particular age groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Groups with particular faiths and beliefs   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b>   |                                     |   |                          |                          |
| 1.2 What do you think that the overall NEGATIVE impact on groups and communities will be?   |                                     |   |                          |                          |
| <b>None/ Minimal</b>  |                                     | <b>Significant</b>  |                          |                          |
| <input checked="" type="checkbox"/>   |                                     | <input type="checkbox"/>  |                          |                          |
| None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                      |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>   |                                     |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 2.1 and 2.2, should a full EIA be carried out on the project, policy or proposal</b> |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | The saving proposed will not affect any one group disproportionately as it will be allocated evenly across all directorates.         |

## EQUALITY IMPACT ASSESSMENT

### SECTION 2: BUILDING AN EVIDENCE BASE

|            |  |  |
|------------|--|--|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |  |
|            | <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul> |  |
|            | How many people use the service currently? What is this as a % of Westminster's population?  |  |
|            | Age  |  |
|            | Disability   |  |
|            | Gender   |  |
|            | Race   |  |
|            | Religion or belief   |  |
|            | Sexual orientation   |  |
| <b>2.2</b> | <b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population? <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></b>                |  |
|            |  |  |
| <b>2.3</b> | <b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population? <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></b>  |  |
|            |  |  |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |   |
|------------|---|
| <b>3.1</b> | <b>Consultation Information</b><br><i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i>   |
|            | <i>It is helpful to identify whether you have conducted any consultations for your proposal, in some cases a statutory consultation is required. If your proposal has not required a consultation, please highlight this here. Consultations will help you identify what the potential impact of your proposal might be.</i>                                  |
| <b>3.2</b> | <b>What might the potential impact on individuals or groups be?</b><br><i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i>  |
|            | <i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i> |

## SECTION 4: REDUCING & MITIGATING IMPACT

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| 4.1   | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).  |  |   |   |  |                          |                             |   |   |  |   |                          |                                      |  |
|---|---|--|---|---|--|--------------------------|-----------------------------|---|---|--|---|--------------------------|--------------------------------------|--|
|   | <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p> <table border="1" data-bbox="264 656 1541 1077"> <thead> <tr> <th data-bbox="264 656 748 801"> <b>Column A – Issues or barriers, things to take into account</b> </th> <th data-bbox="756 656 1541 801"> <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).           </th> </tr> </thead> <tbody> <tr> <td data-bbox="264 801 748 893"></td> <td data-bbox="756 801 1541 893"></td> </tr> <tr> <td data-bbox="264 893 748 985"></td> <td data-bbox="756 893 1541 985"></td> </tr> <tr> <td data-bbox="264 985 748 1077"><i>Enter additional rows if require</i></td> <td data-bbox="756 985 1541 1077"></td> </tr> </tbody> </table>   |  | <b>Column A – Issues or barriers, things to take into account</b> | <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |                          |                             |   | <i>Enter additional rows if require</i> |  |   |                          |                                      |  |
| <b>Column A – Issues or barriers, things to take into account</b> | <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).   |  |   |   |  |                          |                             |   |   |  |   |                          |                                      |  |
|   |   |  |   |   |  |                          |                             |   |   |  |   |                          |                                      |  |
|   |   |  |   |   |  |                          |                             |   |   |  |   |                          |                                      |  |
| <i>Enter additional rows if require</i>                           |   |  |   |   |  |                          |                             |   |   |  |   |                          |                                      |  |
| 4.2   | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>   |  |   |   |  |                          |                             |   |   |  |   |                          |                                      |  |
|   | <table border="1" data-bbox="264 1285 1541 1722"> <tbody> <tr> <td data-bbox="264 1285 371 1442"> <input type="checkbox"/> </td> <td data-bbox="371 1285 719 1442"> <b>5. No major change (no impacts identified)</b> </td> <td data-bbox="719 1285 1541 1442">           Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.         </td> </tr> <tr> <td data-bbox="264 1442 371 1523"> <input type="checkbox"/> </td> <td data-bbox="371 1442 719 1523"> <b>6. Adjust the policy</b> </td> <td data-bbox="719 1442 1541 1523">           You will take steps to remove barriers or to better advance equality.         </td> </tr> <tr> <td data-bbox="264 1523 371 1641"> <input type="checkbox"/> </td> <td data-bbox="371 1523 719 1641"> <b>7. Continue the policy (impacts identified)</b> </td> <td data-bbox="719 1523 1541 1641">           You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.         </td> </tr> <tr> <td data-bbox="264 1641 371 1722"> <input type="checkbox"/> </td> <td data-bbox="371 1641 719 1722"> <b>8. Stop and remove the policy</b> </td> <td data-bbox="719 1641 1541 1722">           There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.         </td> </tr> </tbody> </table> |  | <input type="checkbox"/>  | <b>5. No major change (no impacts identified)</b>   | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. | <input type="checkbox"/> | <b>6. Adjust the policy</b> | You will take steps to remove barriers or to better advance equality. | <input type="checkbox"/>                | <b>7. Continue the policy (impacts identified)</b> | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified. | <input type="checkbox"/> | <b>8. Stop and remove the policy</b> | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating. |
| <input type="checkbox"/>  | <b>5. No major change (no impacts identified)</b>   | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |   |   |  |                          |                             |   |   |  |   |                          |                                      |  |
| <input type="checkbox"/>  | <b>6. Adjust the policy</b>   | You will take steps to remove barriers or to better advance equality.  |   |   |  |                          |                             |   |   |  |   |                          |                                      |  |
| <input type="checkbox"/>  | <b>7. Continue the policy (impacts identified)</b>  | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.  |   |   |  |                          |                             |   |   |  |   |                          |                                      |  |
| <input type="checkbox"/>  | <b>8. Stop and remove the policy</b>  | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |   |   |  |                          |                             |   |   |  |   |                          |                                      |  |
| 4.3   | <b>Please document the reasons for your decision</b>  |  |   |   |  |                          |                             |   |   |  |   |                          |                                      |  |
|   |   |  |   |   |  |                          |                             |   |   |  |   |                          |                                      |  |

## SECTION 5: ACTION PLAN

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 295</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

**SIGNATURE:** 

**FULL NAME:** Steve Muldoon

**UNIT:** City Treasurers, Commercial & Financial Management

**EMAIL & TELEPHONE EXT:** smuldoon@westminster.gov.uk

**DATE (DD/MM/YYYY):** 22 January 2018

**WHAT NEXT?**

It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.

All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.

All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

|   |
|---|
| <b>Title of Proposal</b>  |
| <b>1.69 Voluntary Westminster Community Contribution</b>  |
| Voluntary contribution to fund discretionary services that meet three priorities: youth services, helping rough sleepers off the street at night, helping people who are lonely and isolated.                                   |
| i. <b>Full Name:</b> Ezra Wallace<br>ii. <b>Position:</b> Head of Corporate Strategy<br>iii. <b>Department:</b> PPC<br>iv. <b>Contact Details:</b> <a href="mailto:ewallace@westminster.gov.uk">ewallace@westminster.gov.uk</a> |
| <b>Has this project, policy or proposal had an EIA carried out on it previously? If yes, please state date of original and append to this document for information.</b>   |
| No  |
| <b>Version number and date of update</b>  |
| N/A   |

## SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?

*Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.*

|            |  |                                     |                          |                          |                          |
|------------|--|-------------------------------------|--------------------------|--------------------------|--------------------------|
| <b>1.1</b> | <b>What are you analysing?</b>   |                                     |                          |                          |                          |
|            | The introduction of a voluntary contribution to fund discretionary services that meet three priorities: youth services, helping rough sleepers off the street at night, helping people who are lonely and isolated. The scheme will be entirely voluntary and while targeted at Band H council tax payers all council tax payers will be able to make a contribution if they wish. |                                     |                          |                          |                          |
| <b>1.2</b> | <b>Does the project, policy or proposal have the potential to <u>disproportionately</u> impact on any of the following groups? If so, is the impact positive or negative?</b>  |                                     |                          |                          |                          |
|            |  | <b>None</b>                         | <b>Positive</b>          | <b>Negative</b>          | <b>Not sure</b>          |
|            | Disabled people  | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|            | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|            | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|            | People or particular sexual orientation/s  | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|            | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|            | People on low incomes  | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|            | People in particular age groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

|  |   |                                     |                          |                          |                          |
|--|---|-------------------------------------|--------------------------|--------------------------|--------------------------|
|  | Groups with particular faiths and beliefs   | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |                          |

**If the answer is “negative” or “unclear” consider doing a full EIA**

|  |  |                       |                          |
|--|--|-----------------------|--------------------------|
| <b>1.3</b>   | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b> | <b>None / Minimal</b> | <b>Significant</b>       |
|  |  | x                     | <input type="checkbox"/> |
|  |  |                       |                          |
| <p><u>None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.</u><br/>Wherever a negative impact has been identified you should consider undertaking a full EIA by completing the rest of the form.</p> |  |                       |                          |

|            |  |
|------------|--|
| <b>1.4</b> | <b>Using the screening and information in questions 1.2 and 1.3, should a full assessment be carried out on the project, policy or proposal?</b>       |
|            | No <input checked="" type="checkbox"/>   |
| <b>1.5</b> | <b>How have you come to this decision?</b>   |
|            | The voluntary contribution will be open to all council tax payers so is not expected to have any significant negative impacts on the protected groups. |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

Signature:

Full Name: Ezra Wallace, Head of Corporate Strategy

Date of Completion: 7 January 2018

**WHAT NEXT?**

**Please email your completed EIA to the Equalities Lead: [equalities@westminster.gov.uk](mailto:equalities@westminster.gov.uk)**

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City of Westminster

**Annex B - Part B**

**Equality Impact Assessments**

**Completed for all 2018/18 savings proposals within cabinet portfolio(s):**

**Business, Culture & Heritage  
Housing  
Public Protection & Licencing  
Environment, Sports & Community  
Planning & Public Realm**

## 2.7 Economy Income

Additional annual income generation targets (to meet MTP contribution requirements) to be achieved through recharging staff costs to external and alternative sources of funding.

What are you analysing?

- What is the purpose of the policy/project/activity/strategy?
- In what context will it operate?
- Who is it intended to benefit?
- What results are intended?
- Why is it needed?

The Economy Team was set annual income generation targets as per the Council's Medium Term Plan. For 2016/17 the income target was £270k. This increased to £380k for 2017/18 and all subsequent years. Additionally for 2017/18 and all subsequent, the Economy Team has been asked to generate a further £200k bringing the annual total income generation target for the service up to £580k.

The Economy Team manages economic development and employment and skills programmes and projects funded by grant awards and other discretionary funding sources. The proposal is to cover staff costs and overheads wherever possible through factoring in a management fee to the externally/alternatively funded projects and programmes that we deliver.

The Economy Team's activities are somewhat reliant on the diminishing Civic Enterprise Fund (formerly LABGI funding); which has supported transformative growth projects delivering One City and City for All priorities. At the start of this financial year there was just under £2.3m remaining.

The team is proactive in maximising leverage from external and alternative funding opportunities where they align with the council's enterprise and employment priorities. A strong track record in securing and successfully managing/delivering external funding is emerging which enables the Council's own resources to go further and meet the MTP requirements. Over the past two years approximately £6.25m in external/alternative funding has been secured and the team are working on a number of applications currently.

There is a precedent for other local authorities using external and discretionary funding in this way but this is dependent on the wider situation regarding the availability of external/alternative funding sources and the acceptability of this approach with funding bodies.

In summary, the strategy being applied is concerned with income generation through successfully bidding for and securing external/alternative funding. If successful, this will deliver the Economy Team's MTP contribution targets. It is intended to benefit the Council's overall financial position and the sustainability of our service which is unable to rely on the Council's General Fund for its activities. Our 'doing pot' for the functions we deliver and services we provide are funded through the Civic Enterprise Fund and a range of external and discretionary funding sources. The vast majority of Economy Team staff are also funded through CEF funded projects and programmes or other external/discretionary funds we have secured. Relatively few posts receive core funding from the Council.

To note:

There is currently no impact on services, service users, communities or staff as a result of the income generation strategy outlined above. MTP contributions are being offered through income generation and not as a result of reductions in service or staffing budgets. However, the additional pressure to identify a further £200k annually is extremely challenging and if we are unable to generate the required levels of income the default is it will have to come out of the Civic Enterprise Fund reserves. We will of course do everything we can to meet our MTP obligation without drawing on the CEF as this our 'doing pot' for the functions we deliver and services we provide. The CEF is a finite resource, so this is not a sustainable position in the long term.

The main beneficiaries of the Civic Enterprise Fund specifically are local businesses. We do not collect demographic or equalities data on businesses we are not directly supporting individuals, rather companies or even broader than that, sectors, clusters etc.

Details of the lead person completing the screening/EIA

- (i) Full Name: David Wilkins
- (ii) Position: Business and Enterprise Programme Manager
- (iii) Unit: Economy Team
- (iv) Contact Details: [dwilkins@westminster.gov.uk](mailto:dwilkins@westminster.gov.uk) Ext: 1620

Date sent to [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

18<sup>th</sup> August 2017

Version number and date of update

V. 1.2 18<sup>th</sup> August 2017

## SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

| 1.1 Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative? |                                     |   |                          |                          |
|---|-------------------------------------|---|--------------------------|--------------------------|
|   | None                                | Positive  | Negative                 | Not sure                 |
| Disabled people   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Particular ethnic groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Men or women (include impacts due to pregnancy/ maternity)  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People or particular sexual orientation/s   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People on low incomes   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People in particular age groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Groups with particular faiths and beliefs   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?   | <b>No</b>                           | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b>   |                                     |   |                          |                          |
| 1.2 What do you think that the overall NEGATIVE impact on groups and communities will be?   |                                     |   |                          |                          |
| <b>None/ Minimal</b>  |                                     | <b>Significant</b>  |                          |                          |
| <input checked="" type="checkbox"/>   |                                     | <input type="checkbox"/>  |                          |                          |
| None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                      |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>   |                                     |   |                          |                          |

|            |   |
|------------|---|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>  |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>   |
| <b>1.4</b> | <b>How have you come to this decision?</b>  |
|            | These proposals have no direct impact on services, service users, communities or staff. Since our strategy is to secure income from external/alternative funding there is no internal impact and frontline services are not being affected. |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|            |  |  |
|------------|--|--|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |  |
|            | <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul> |  |
|            | How many people use the service currently? What is this as a % of Westminster's population?  |  |
|            | Age  |  |
|            | Disability   |  |
|            | Gender   |  |
|            | Race   |  |
|            | Religion or belief   |  |
|            | Sexual orientation   |  |

|     |  |
|-----|--|
| 2.2 | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></p> |
|     |  |
| 2.3 | <p><b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>   |
|     |  |

**SECTION 3: ASSESSING THE IMPACT**

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <b>Consultation Information</b><br><i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i>  |
|            |  |
| <b>3.2</b> | <b>What might the potential impact on individuals or groups be?</b><br><i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i> |
|            |  |



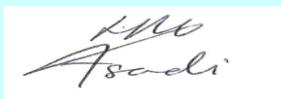
|            |  |
|------------|--|
|            |  |
| <b>4.3</b> | <b>Please document the reasons for your decision</b> |
|            |  |

## SECTION 5: ACTION PLAN

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|          |  |                          |                  |                  |                                      |                            |     |
|----------|--|--------------------------|------------------|------------------|--------------------------------------|----------------------------|-----|
| 5.1      | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |                          |                  |                  |                                      |                            |     |
| Page 310 | Action Required  | Equality Groups Targeted | Intended outcome | Resources Needed | Name of Lead, Unit & Contact Details | Completion Date (DD/MM/YY) | RAG |
|          |  |                          |                  |                  |                                      |                            |     |
|          |  |                          |                  |                  |                                      |                            |     |
|          |  |                          |                  |                  |                                      |                            |     |
|          |  |                          |                  |                  |                                      |                            |     |
|          | Enter additional rows if required  |                          |                  |                  |                                      |                            |     |

## THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER

**SIGNATURE:**A handwritten signature in black ink that reads "Haylea Asadi". The signature is written in a cursive style with a large initial "H".**FULL NAME:** Haylea Asadi**UNIT:** Economy Team**EMAIL & TELEPHONE EXT:** [hasadi@westminster.gov.uk](mailto:hasadi@westminster.gov.uk) Ext: 1842**DATE (DD/MM/YYYY):** 18<sup>th</sup> August 2017

|   |
|---|
| Title   |
| <b>2.8 Place Shaping Income</b>   |
| What are you analysing?   |
| <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>   |
| <p>The financial benefit derived by developers from improving the area surrounding development sites is well documented. This proposal seeks to work with major developers to cover the costs and potentially increasing the range of place shaping services delivered by this authority to the benefit of all.</p> |
| Details of the lead person completing the screening/EIA   |
| <p>(i) Full Name: Ed Watson</p> <p>(ii) Position: Director of WEP</p> <p>(iii) Unit: Place Shaping</p> <p>(iv) Contact Details: 020 7641 2552</p>   |
| Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a>   |
| August 2017   |
| Version number and date of update   |
| <p><i>You will need to update your EIA as you move through the decision-making process. Record the version number here and the date you updated the EIA. Keep all versions so you have evidence that you have considered equality throughout the process.</i></p>   |

## SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

| 1.1 Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative? |                                     |   |                          |                          |
|---|-------------------------------------|---|--------------------------|--------------------------|
|   | None                                | Positive  | Negative                 | Not sure                 |
| Disabled people   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Particular ethnic groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Men or women (include impacts due to pregnancy/ maternity)  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People or particular sexual orientation/s   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People on low incomes   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People in particular age groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Groups with particular faiths and beliefs   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?   |                                     | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b>   |                                     |   |                          |                          |
| 1.2 What do you think that the overall NEGATIVE impact on groups and communities will be?   |                                     |   |                          |                          |
| <b>None/ Minimal</b>  |                                     | <b>Significant</b>  |                          |                          |
| <input checked="" type="checkbox"/>   |                                     | <input type="checkbox"/>  |                          |                          |
| None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                      |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>   |                                     |   |                          |                          |

|            |   |
|------------|---|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>          |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>   |
| <b>1.4</b> | <b>How have you come to this decision?</b>  |
|            | This initiative is directed at development industry and hence is not expected to a detrimental impact on those vulnerable members of society. |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|            |  |  |
|------------|--|--|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |  |
|            | <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul> |  |
|            | How many people use the service currently? What is this as a % of Westminster's population?  |  |
|            | Age  |  |
|            | Disability   |  |
|            | Gender   |  |
|            | Race   |  |
|            | Religion or belief   |  |
|            | Sexual orientation   |  |

|            |  |
|------------|--|
| <b>2.2</b> | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></p> |
|            | <p><i>If yes, provide details.</i></p>   |
| <b>2.3</b> | <p><b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>   |
|            | <p><i>If yes, provide details.</i></p>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>   |
|            | <p><i>It is helpful to identify whether you have conducted any consultations for your proposal, in some cases a statutory consultation is required. If your proposal has not required a consultation, please highlight this here. Consultations will help you identify what the potential impact of your proposal might be.</i></p>                                  |
| <b>3.2</b> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p>  |
|            | <p><i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i></p> |



|            |  |
|------------|--|
|            |  |
| <b>4.3</b> | <b>Please document the reasons for your decision</b> |
|            |  |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

| <b>5.1</b> | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |                          |                  |                  |                                      |                            |     |
|------------|--|--------------------------|------------------|------------------|--------------------------------------|----------------------------|-----|
| Page 319   | Action Required  | Equality Groups Targeted | Intended outcome | Resources Needed | Name of Lead, Unit & Contact Details | Completion Date (DD/MM/YY) | RAG |
|            |  |                          |                  |                  |                                      |                            |     |
|            |  |                          |                  |                  |                                      |                            |     |
|            |  |                          |                  |                  |                                      |                            |     |
|            |  |                          |                  |                  |                                      |                            |     |
|            | <i>Enter additional rows if required</i>   |                          |                  |                  |                                      |                            |     |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER****SIGNATURE:** Ed Watson**FULL NAME:** Ed Watson**UNIT:** Place Shaping**EMAIL & TELEPHONE EXT:** 020 7641 2552.....**DATE (DD/MM/YYYY):**02/08/2017 .....**WHAT NEXT?**

It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.

All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

## Title

**4.13 Rough Sleeping and Supported Housing**

The activity covered by this EIA relates to the assessment of the impact of reducing funding for housing related support services for rough sleepers and single homeless people through reviewing how service levels can best be delivered, competitive procurement and renegotiating contract values of existing supported housing provision to provide services more efficiently. This is the second year of this savings proposal and several of the actions to deliver the reduced spend were put in place previously.

## What are you analysing?

- What is the purpose of the policy/project/activity/strategy?
- In what context will it operate?
- Who is it intended to benefit?
- What results are intended?
- Why is it needed?

The activity covered by this EIA relates to the commissioning of supported housing services for rough sleepers and other vulnerable groups including young homeless people, people with mental health problems and learning disabilities.

Supported housing services commissioned by the Council are generally those that provide 'housing related support' linked to enabling vulnerable people to maintain their independence in the community. This includes:

- 24 hour hostels for rough sleepers,
- women's refuges,
- offender services,
- sheltered housing for older people
- housing services for people with mental health problems and learning disabilities.

Thus there is a direct link between housing related support services and delivery of mainstream Adults, Children's and Housing budgets e.g. delivering targets to reduce the use of residential care placements for people with mental health problems, learning disabilities and care leavers are dependent upon high quality supported housing services that are the subject of this report

**Delivery of outcomes**

The level of acute housing related support need presented in particular by rough sleepers is unique in the country. This demand for such supported housing services in an area of acute housing shortage has required a dynamic approach to service commissioning and this is reflected in the achievements since 2003:

- Expanded choice by opening 17 new supported housing services, including two extra care housing services, a working person's accommodation service and services for people with physical disabilities and young people
- Completed 13 tender exercises for services that have expanded capacity, brought in innovation, improved service quality and performance and value for money

As part of delivering a balanced housing commissioning budget in 2018/19 c. £2m of savings will be delivered through reduced spending on supported housing services. Contracts for services are being renegotiated following reviews of service provision to provide existing provision more efficiently without impacting upon front-line service delivery in terms of the vulnerability of individuals supported or the level of service provided.

The commissioning strategy is designed to continue the approach of investing in services whilst increasing the efficiency and performance of the sector whilst meeting Council's strategic goals. For example Westminster's commitment to ending rough sleeping remains and is key to delivering the government and Mayor's target to end rough sleeping through initiatives such as 'no second night out' and increased focus on prevention of a street lifestyle. Westminster continues to support delivery of these targets and initiatives through being a key part of the 'No Nights Sleeping Rough Taskforce'. This is set out in detail in the Council's new Rough Sleeping Strategy which is included as an appendix to this EIA and was the product of extensive consultation and sets out how rough sleeping is prevented, the vulnerable supported in partnership with a wide variety of different statutory and voluntary agencies and rough sleepers assisted off the streets to find accommodation.

The approach taken in reaching decisions to re-commission services and renegotiate contract values includes the following activities:

- Value for money. Westminster's approach has developed over time and has focused on reducing highest costs of services, the building's capacity for improvements, assessing levels of support provided and the strategic relevance of services.
- The Strategic need for the service
- Information about presenting needs on each service area is gathered from a variety of primary and secondary, local and national sources, children and adult services and other official statistics. Based on this data any gaps or changes in presenting needs can be identified and these findings are used to inform future service development work in order to ensure that housing related support needs are met effectively across all the service areas.
- Quality Assessment Framework (QAF) and our new Outcomes Framework audit tool: Self assessments are completed by many service providers across five objectives which covers, assessment and support planning, health & safety, Equality & fair access, Safeguarding and protection from abuse and client involvement and empowerment. QAF scores are validated and these should be at least level 'B' with action plans for each service to attain 'A'.

#### Details of the lead person completing the screening/EIA

- (i) Full Name Jennifer Travassos
- (ii) Position – Head of Prevention
- (iii) Department: Housing and Regeneration
- (iv) Contact Details [jtravassos@westminster.gov.uk](mailto:jtravassos@westminster.gov.uk)

Date sent to [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

#### Version number and date of update

Version 2 – 09 August 2017

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |                                     |   |                                     |                          |
|---|--|-------------------------------------|---|-------------------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                                     |   |                                     |                          |
|   |  | <b>None</b>                         | <b>Positive</b>   | <b>Negative</b>                     | <b>Not sure</b>          |
|   | Disabled people  | <input type="checkbox"/>            | <input type="checkbox"/>  | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/>            | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/>            | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/>            | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/>            | <input type="checkbox"/> |
|   | People on low incomes  | <input type="checkbox"/>            | <input type="checkbox"/>  | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <input type="checkbox"/>            | <input type="checkbox"/>  | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/>            | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  |                                     | <input type="checkbox"/>  | <input type="checkbox"/>            |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |                                     |   |                                     |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                                     |   |                                     |                          |
|   | <b>None/ Minimal</b>   |                                     | <b>Significant</b>  |                                     |                          |
|   | <b>X</b>   |                                     | <input type="checkbox"/>  |                                     |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                                     |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |                                     |   |                                     |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>   |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | <p>A wide range of housing related support services will continue to be available for all the range of protected groups, there will be no reduction in service availability for vulnerable groups and services will be provided more efficiently.</p> <p>Where services are being decommissioned (e.g. Rough Sleeper’s Day Centres) a robust assessment of the organisations’ ability to draw in additional funding has been assessed and officers are confident that the service will continue to operate the same service without the Council’s funding. Similarly the competitive tendering of young person’s and rough sleeping services, the changes in the way that some mental health supported housing services are provided which will target support at those most in need and changes to some single homeless services will not lead to a reduction in capacity and all high support hostels will continue to have 24 hour cover thus maintaining the level of service</p> <p>However given the range of service provision as described in section1 officers have completed a full EIA to confirm the outcome that the management of the reduced spend will not have a significant impact on any protected group.</p> |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|            |   |
|------------|---|
| <b>3.1</b> | <p><b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b></p> <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul>  |
|            | <p>The following section summarises the use of supported housing services by those in acute housing and support need, in particular rough sleepers, on the basis of age, support need, race etc.</p> <p>Westminster saw a total of 2767 rough sleepers in 2016/17. The number reflects a large range of demographics and ethnicities, with a proportion being from specific countries in Central and Eastern Europe. The figures below reflect demographic data from 2014/15 and are derived from GLA commissioned figure from the CHAIN database (rough sleeper database).</p> |

| <b><i>Ethnicity</i></b>                     | <b><i>% of WCC's rough sleeping population</i></b> |
|---|--|
| <i>White Other</i>                          | 35   |
| <i>White Irish</i>                          | 3  |
| <i>White British</i>                        | 30   |
| <i>Gypsy/Romany/Irish Traveller</i>         | 8  |
| <i>Mixed: White &amp; Black Caribbean</i>   | 1  |
| <i>Mixed: White &amp; Black African</i>     | 0  |
| <i>Mixed: Other</i>                         | 2  |
| <i>Black or Black British - other</i>       | 2  |
| <i>Black or Black British - Caribbean</i>   | 1  |
| <i>Black or Black British - African</i>     | 5  |
| <i>Asian or Asian British - Pakistani</i>   | 0  |
| <i>Asian or Asian British - other</i>       | 1  |
| <i>Asian or Asian British - Indian</i>      | 0  |
| <i>Asian or Asian British – Bangladeshi</i> | 0  |
| <i>Arab</i>                                 | 1  |
| <i>Chinese</i>                              | 0  |
| <i>Other</i>                                | 3  |
| <i>Refused</i>                              | 6  |

Of the total people contacted on the streets, their support needs are categorised into three of the most prominent sets: drugs, alcohol and mental health.

\*please note people may identify with more than support need

| <b><i>Support Need</i></b>  | <b><i>% of people who identify area as their need</i></b> |
|---|---|
| <i>Alcohol</i>  | 37  |
| <i>Drugs</i>  | 30  |
| <i>Mental health</i>  | 47  |
| <i>No alcohol, drugs or mental health support need identified</i> | 25  |

*Over 74% of this population is transient and will move on or away from the streets after being contacted by a street outreach service.*

1074 people moved into supported housing services between January 2014 and January 2015. The table below provides a breakdown of the primary client groups of new referrals into services.

| Primary Client Group                | %           |
|-------------------------------------|-------------|
| Older people with support needs     | 5%          |
| Older people mental health          | 2%          |
| Mental health problems              | 21%         |
| Learning disabilities               | 1%          |
| Physical or sensory disability      | 1%          |
| Single homeless with support needs  | 20%         |
| Alcohol misuse problems             | 2%          |
| Drug misuse problems                | 3%          |
| Offenders/at risk of offending      | 3%          |
| Young people at risk                | 7%          |
| Young people leaving care           | 2%          |
| Teenage parents                     | 1%          |
| Rough Sleeper                       | 13%         |
| People at risk of domestic violence | 7%          |
| Generic/Complex needs               | 12%         |
| <b>Total</b>                        | <b>100%</b> |

**Age**

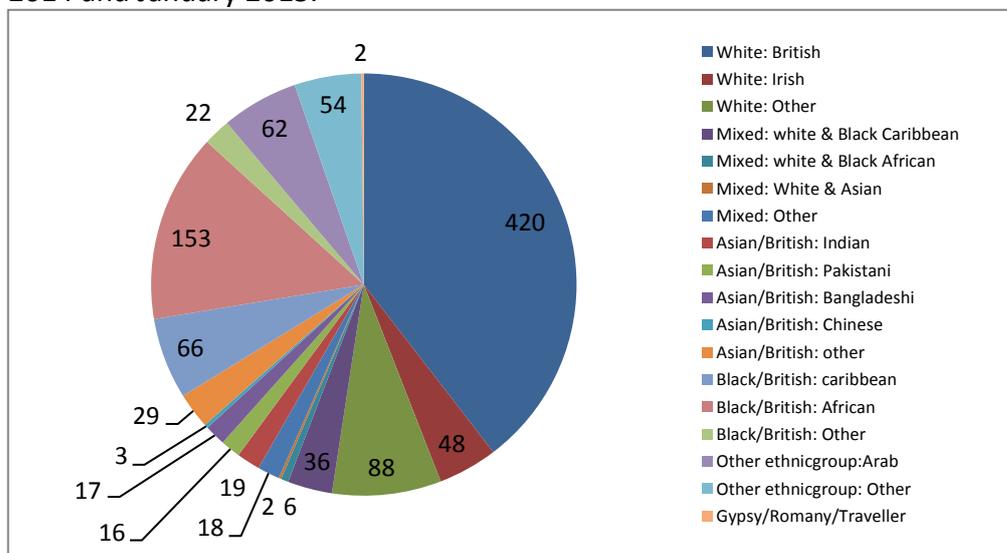
63% of residents were male, 19% were aged 16 to 24 years, 44% aged 25 to 45 years, and 31% aged 46 to 64 and 6% over aged 70.

**Disability**

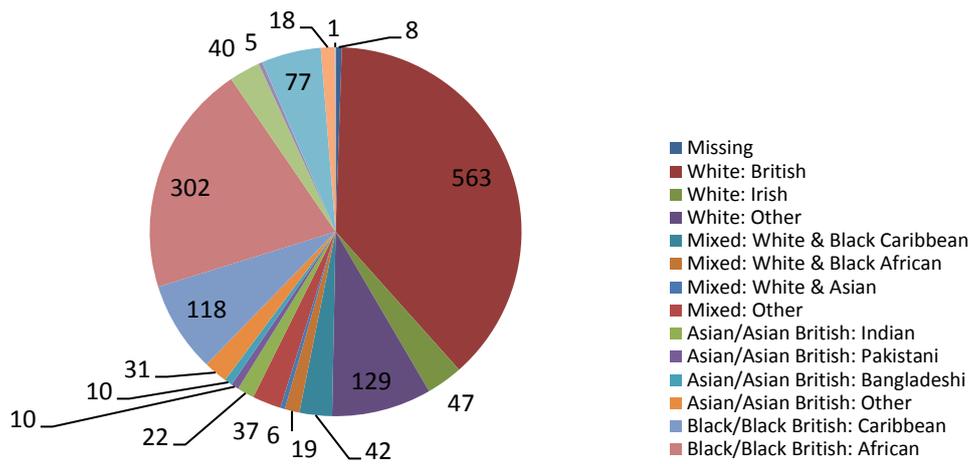
30% of residents moving into services recorded having a disability.

**Ethnicity**

The proportion of residents from a white ethnic background is just over 50% which is comparable to Westminster’s proportion of residents. The table below provides the ethnicity breakdown of new services users moving into supported housing schemes between January 2014 and January 2015.



**Ethnicity Breakdown of new service users between April 2010 - March 2011**



**Income**

Of the 1074 clients, 487 are actively seeking employment.

**2.2 Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?** *If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster’s population is on the Equalities page on the WIRE.*

The breakdown above describes the groups that present with a need for rough sleeping and supported housing services and these services meet the needs of a broad range of vulnerable groups and will continue to be provided

**2.3 Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?** *If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.*

No, the data for Westminster is comparable to pan-London data (although the volumes are greater within Westminster.)

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|                   |   |
|-------------------|---|
| <p><b>3.1</b></p> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>  |
|                   | <p>There is a wide range of service user engagement processes and quality assurance systems in place that drive the commissioning of services. For example the use of the Quality Assurance Framework (QAF.) As highlighted above QAF Self assessments are completed by all service providers across five objectives which covers, assessment and support planning, health &amp; safety, Equality &amp; fair access, Safeguarding and protection from abuse and client involvement and empowerment.</p> <p>Part of the validation of QAF assessments involves commissioners visiting services to assess the quality of front-line service delivery. This includes speaking directly with service users and their experience of support planning, knowledge of safeguarding practice, review of complaints etc.</p> <p>In particular recent reviews of young persons and rough sleeping services (in preparation for the publication of an updated rough sleeping strategy) have involved panels of current and former service users visiting services and talking directly to users to obtain feedback. The outcome of these visits is available on request but generally this practice has seen the average QAF score increase over the past 8 years and has informed commissioning decisions.</p> |
| <p><b>3.2</b></p> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p>   |
|                   | <p>There will be no unlawful discrimination arising from the changes as it relates to proposals to reduce the total amount of spending on housing related support services in a planned way and the City Council remains committed to commissioning housing related support services for the vulnerable and as set out above has a strong track record in developing new more efficient services such as the new Passage House Assessment Centre and the service for those working in low income jobs</p> <p>Gender:</p> <ul style="list-style-type: none"> <li>▪ Alongside the rough sleeping pathway, there is a single homeless pathway model in place for vulnerable clients to access further supported accommodation within borough.</li> <li>▪ There is adequate supported provision enabling access for both genders</li> <li>▪ Appropriate advice and assistance can also being offered by the Housing Options Service regarding entitlement to housing and the options available</li> </ul>   |

|  |   |
|--|---|
|  | <p>Ethnicity:</p> <ul style="list-style-type: none"> <li>▪ The City Council closely monitors access to supported housing services to ensure that systems do not discriminate on the groups of ethnicity.</li> <li>▪ The analysis of the CHAIN database and contract monitoring of each service shows that people from a range of different ethnic groups are accessing supported housing and this will continued to be monitored to ensure this continues</li> </ul> <p>Disability:</p> <p>Generally the support needs of the residents accessing services is high but through on-going scheme monitoring we have determined that there are other schemes which are fully able to meet the needs of those who have disabilities</p> |
|--|---|

**SECTION 4: REDUCING & MITIGATING IMPACT**

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

|            |  |   |
|------------|--|---|
| <b>4.1</b> | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).   |   |
|            | <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p> <p>The remodelling of services to deliver savings has been part of an ongoing programme of service reviews as highlighted in previous EIA’s and the commissioning structures in place mitigate against negative impacts from the changes being delivered.</p> |   |
|            | <b>Column A – Issues or barriers, things to take into account</b>  | <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |
|            | Changes to housing related support services for the vulnerable do impact on a wide range of different vulnerable people across all protected groups. Changes to services will impact on the wider housing pathway for each group.  | On-going assessment of the impact of changes to the vulnerable housing pathways is required through the existing commissioning and user involvement structures across each area.  |
|            | Ensure that the equalities data used is the most up to date available.   | Ensure the 2016/17 full year CHAIN data is used to inform commissioning decisions (and to compare to previous year’s take-up of services)   |
|            |  |   |

|            |  |   |
|------------|--|---|
| <b>4.2</b> | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>  |   |
|            | <input checked="" type="checkbox"/> 1. No major change (no impacts identified)<br><input type="checkbox"/> 2. Adjust the policy<br><input type="checkbox"/> 3. Continue the policy (impacts identified)<br><input type="checkbox"/> 4. Stop and remove the policy  | <p>Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.</p> <p>You will take steps to remove barriers or to better advance equality.</p> <p>You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.</p> <p>There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.</p> |
| <b>4.3</b> | <b>Please document the reasons for your decision</b>   |   |
|            | <p>There is no unlawful discrimination, there is a commitment to improving the range and quality of service provision and the impact will be in relation to improving the efficiency of services. The City Council has a strong track record in reducing levels of resources in this area whilst maintain and improving service outcomes and delivering housing pathways for the vulnerable.</p> <p>On-going assessment and monitoring of services and needs data using existing commissioning and user involvement structures are in place across each area. Equalities and needs data will also be reviewed to inform commissioning decisions.</p> |   |

## SECTION 5: ACTION PLAN

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

| 5.1      | Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.<br><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i><br><br>NB. Add any additional rows, if required. |                          |  |                         |  |                            |     |
|----------|--|--------------------------|--|-------------------------|--|----------------------------|-----|
| Page 331 | Action Required  | Equality Groups Targeted | Intended outcome   | Resources Needed        | Name of Lead, Unit & Contact Details   | Completion Date (DD/MM/YY) | RAG |
|          | Ensure website information on availability of and access to supported housing service provision is up to date  | All                      | Services are accessible  | No additional resources | <b>Jennifer Travassos</b><br><b>Head of Prevention</b><br><a href="mailto:jtravassos@westminster.gov.uk">jtravassos@westminster.gov.uk</a> | 30/11/2017                 | A   |
|          | Housing Commissioning teams will take into account and mitigate the possible negative impacts listed in 4.1 through the management of the different vulnerable housing pathways to ensure the needs of the vulnerable are effectively met  | All                      | Has no negative impacts on equality groups<br><br>Has no negative impact on the numbers of rough sleepers presenting in Westminster<br><br>Has no impact on the number of homeless vulnerable people | No additional resources | <b>Jennifer Travassos</b><br><b>Head of Prevention</b><br><a href="mailto:jtravassos@westminster.gov.uk">jtravassos@westminster.gov.uk</a> | 30/11/2017                 | A   |

| THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER |                |
|--|----------------|
| SIGNATURE:   | .....          |
| FULL NAME:   | .....          |
| UNIT: Housing and Regeneration                               | .....          |
| EMAIL & TELEPHONE EXT:                                       | .....          |
| DATE (DD/MM/YYYY):   | 09/08/17 ..... |

**WHAT NEXT?**

It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.

All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.

All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

| Title  |
|--|
| <p><b>4.16 Spot purchases of housing for intermediate affordable housing</b></p>   |
| <p>What are you analysing?</p> <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>   |
| <p>The activity covered by this EIA relates to the purchase of 50 properties on the open market in Westminster for affordable housing use.</p> <p>The purpose of these proposals is to provide a mix of properties purchased for Temporary Accommodation use to provide homes for homeless households at affordable levels and intermediate rented homes for eligible households to be let at affordable levels.</p> <p>It is intended that those in housing need will benefit from being provided with affordable housing within the Government’s Housing benefit cap.</p> <p>This proposal will result in increasing the level of affordable housing in Westminster providing more opportunities to homeless household and help the council achieve its housing duties.</p> <p>The Council has ongoing statutory duties to homeless households.</p> <p>The provision of intermediate homes will broaden the range of affordable homes made available to household who do not qualify for social housing but are unable to afford market housing.</p> |
| Details of the lead person completing the screening/EIA  |
| <ul style="list-style-type: none"> <li>(i) Full Name: Fergus Coleman</li> <li>(ii) Position: Head of Affordable and Private Sector Housing</li> <li>(iii) Unit: Growth Property and Housing (GPH)</li> <li>(iv) Contact Details: <a href="mailto:fcoleman@westminster.gov.uk">fcoleman@westminster.gov.uk</a></li> </ul>   |
| Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a>  |
| <p>9 August 2017</p>   |
| Version number and date of update  |
| <p><i>You will need to update your EIA as you move through the decision-making process. Record the version number here and the date you updated the EIA. Keep all versions so you have evidence that you have considered equality throughout the process.</i></p>  |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|            |  |                          |   |                          |                          |
|------------|--|--------------------------|---|--------------------------|--------------------------|
| <b>1.1</b> | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                          |   |                          |                          |
|            |  | <b>None</b>              | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|            | Disabled people  | <input type="checkbox"/> | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> |
|            | Particular ethnic groups   | <input type="checkbox"/> | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> |
|            | Men or women (include impacts due to pregnancy/ maternity)   | <input type="checkbox"/> | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> |
|            | People or particular sexual orientation/s  | <input type="checkbox"/> | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> |
|            | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input type="checkbox"/> | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> |
|            | People on low incomes  | <input type="checkbox"/> | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> |
|            | People in particular age groups  | <input type="checkbox"/> | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> |
|            | Groups with particular faiths and beliefs  | <input type="checkbox"/> | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> |
|            | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  |                          | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> |
|            | <b>If the answer is “negative” or “unclear” consider doing a full EIA</b>  |                          |   |                          |                          |
| <b>1.2</b> | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                          |   |                          |                          |
|            | <b>None/ Minimal</b>   |                          | <b>Significant</b>  |                          |                          |
|            | <input checked="" type="checkbox"/>  |                          | <input type="checkbox"/>  |                          |                          |
|            | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                          | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
|            | <b>If the answer is “significant” consider doing a full EIA</b>  |                          |   |                          |                          |

|            |   |
|------------|---|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>  |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>   |
| <b>1.4</b> | <b>How have you come to this decision?</b>  |
|            | This project will provide additional accommodation for homeless households and households eligible for intermediate housing that would otherwise not be available and consequently can only have a positive impact upon this client group |

## **EQUALITY IMPACT ASSESSMENT**

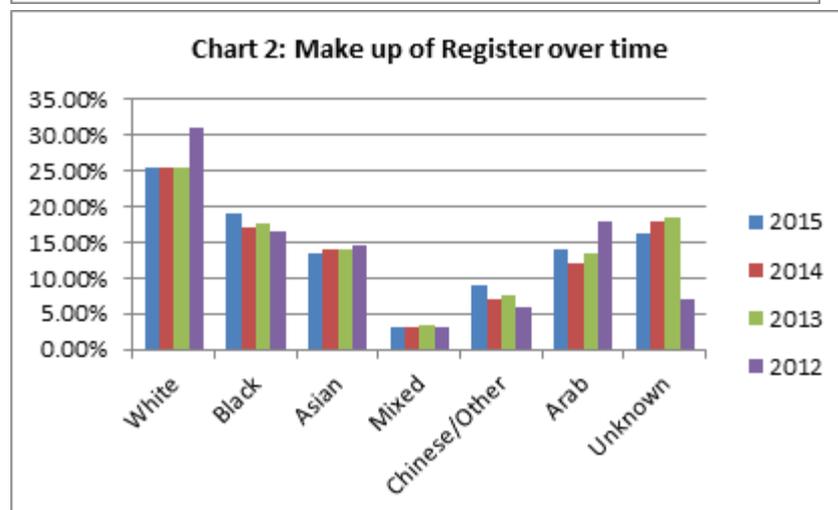
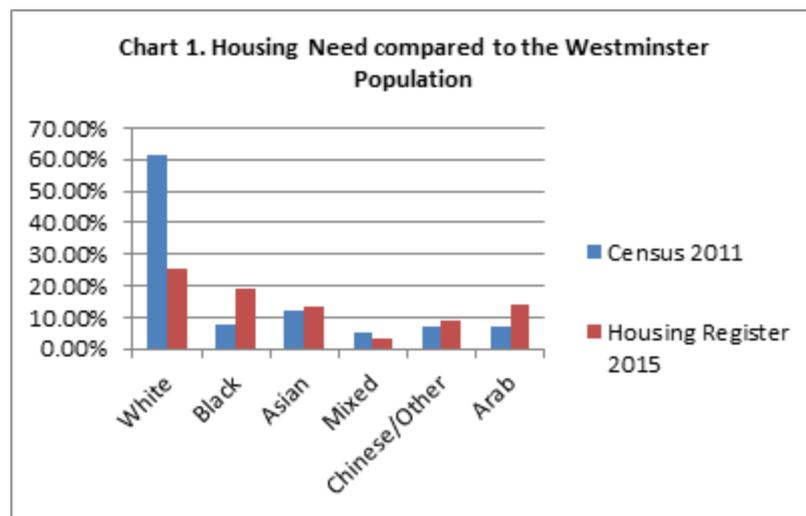
### **SECTION 2: BUILDING AN EVIDENCE BASE**

|   |   |  |   |                                       |     |                                       |            |                                       |        |                                       |      |                                       |                    |                                       |                    |                                       |
|---|---|--|---|---------------------------------------|-----|---------------------------------------|------------|---------------------------------------|--------|---------------------------------------|------|---------------------------------------|--------------------|---------------------------------------|--------------------|---------------------------------------|
| <b>2.1</b>  | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>  |  |   |                                       |     |                                       |            |                                       |        |                                       |      |                                       |                    |                                       |                    |                                       |
|   | <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul>  |  |   |                                       |     |                                       |            |                                       |        |                                       |      |                                       |                    |                                       |                    |                                       |
|   | <table border="1"> <tr> <td>How many people use the service currently? What is this as a % of Westminster's population?</td> <td>See below for analysis of service use</td> </tr> <tr> <td>Age</td> <td>See below for analysis of service use</td> </tr> <tr> <td>Disability</td> <td>See below for analysis of service use</td> </tr> <tr> <td>Gender</td> <td>See below for analysis of service use</td> </tr> <tr> <td>Race</td> <td>See below for analysis of service use</td> </tr> <tr> <td>Religion or belief</td> <td>See below for analysis of service use</td> </tr> <tr> <td>Sexual orientation</td> <td>See below for analysis of service use</td> </tr> </table> |  | How many people use the service currently? What is this as a % of Westminster's population? | See below for analysis of service use | Age | See below for analysis of service use | Disability | See below for analysis of service use | Gender | See below for analysis of service use | Race | See below for analysis of service use | Religion or belief | See below for analysis of service use | Sexual orientation | See below for analysis of service use |
| How many people use the service currently? What is this as a % of Westminster's population? | See below for analysis of service use   |  |   |                                       |     |                                       |            |                                       |        |                                       |      |                                       |                    |                                       |                    |                                       |
| Age   | See below for analysis of service use   |  |   |                                       |     |                                       |            |                                       |        |                                       |      |                                       |                    |                                       |                    |                                       |
| Disability  | See below for analysis of service use   |  |   |                                       |     |                                       |            |                                       |        |                                       |      |                                       |                    |                                       |                    |                                       |
| Gender  | See below for analysis of service use   |  |   |                                       |     |                                       |            |                                       |        |                                       |      |                                       |                    |                                       |                    |                                       |
| Race  | See below for analysis of service use   |  |   |                                       |     |                                       |            |                                       |        |                                       |      |                                       |                    |                                       |                    |                                       |
| Religion or belief  | See below for analysis of service use   |  |   |                                       |     |                                       |            |                                       |        |                                       |      |                                       |                    |                                       |                    |                                       |
| Sexual orientation  | See below for analysis of service use   |  |   |                                       |     |                                       |            |                                       |        |                                       |      |                                       |                    |                                       |                    |                                       |

**Demand for housing in 2015**

Only households with priority for housing under the Allocations Scheme are **registered**, so the profile of the housing register is driven by the eligibility criteria.

As in previous years, certain ethnic groups (Black, Asian, Chinese and Arab) continued to have higher levels of housing need compared with their share of the population (see chart 1 below). White households continued to be under represented on the register in 2015 compared to their population share, making up 25% of need and 61% of the population

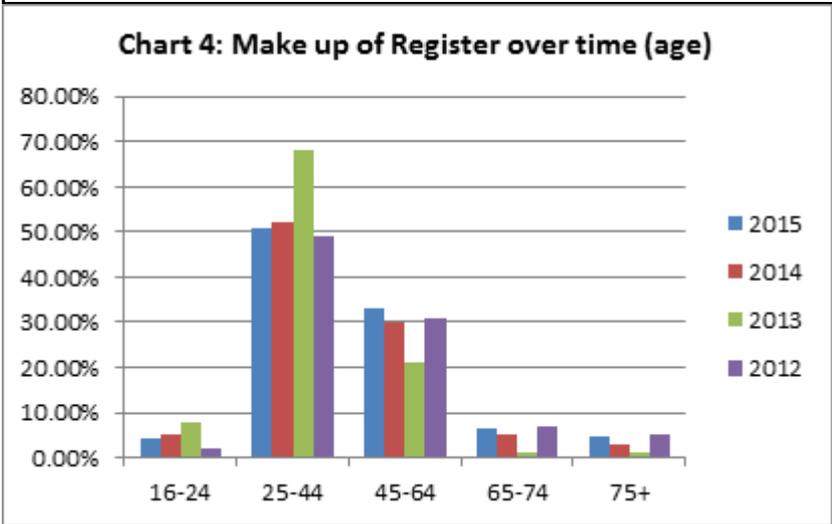
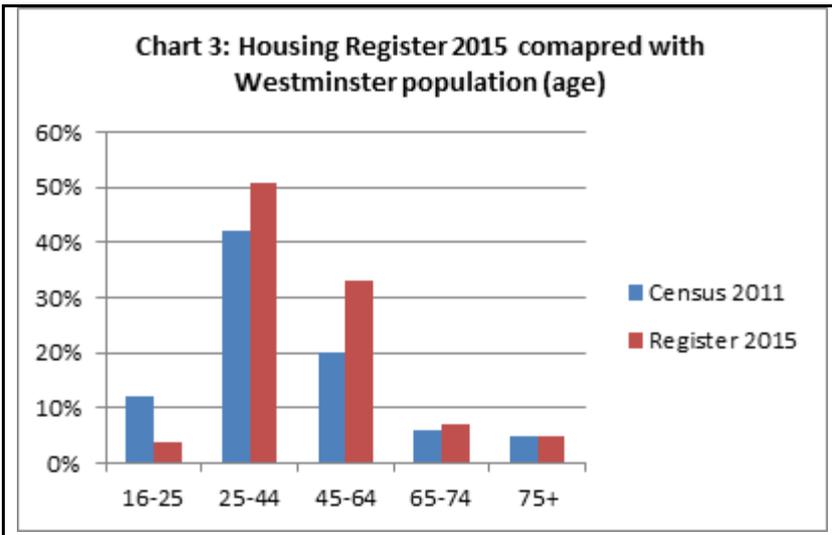


The profile of the register has changed over time – most notably the proportion of White households has fallen. In 2012 these households made up 31% of the register compared with 25% in 2015. The proportion of households with an Unknown ethnic origin rose in 2013 but has seen a gradual reduction in 2014 and 2015.

29% of applicants needed three or more bedrooms, and some ethnic groups continued to have an above average need for them i.e. 55% of Asian and 52% of Arab households needed larger homes.

A higher proportion of women (66%) were lead applicants on the housing register compared with their 49% share of the population.

The 25-44 age group continued to make up the biggest share (51%) of the housing register in 2015, albeit at a slightly lower proportion than in 2014 when they made up 54%. They also make up the largest group in the Westminster population at 42%. Older people (65 and over) are slightly under represented making up 11.5% of the register and 15% of the population – although their proportion on the register has fluctuated over time as chart 4 shows.



Less than 1% of households needed a fully wheel chair adapted property which is the same as the 2006 housing needs survey estimate for the overall Westminster’s population. However there has been an increase in the number of households in TA requiring wheelchair accessible accommodation.

|  |   |  |
|--|---|--|
|  |   |  |
|  | <p><b>2.2 Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster’s population is on the Equalities page on the WIRE.</i></p>  |  |
|  | <p>The above information in 2.1 shows that customers that will benefit from the purchase of properties are more likely to:</p> <ul style="list-style-type: none"> <li>• Be from an ethnic minority background</li> <li>• Be between the ages of 25 – 44 (the age group more likely to have children)</li> <li>• Have children</li> <li>• Be single parents</li> <li>• Have a mental health issue</li> <li>• Have low incomes</li> </ul> |  |
|  | <p><b>2.3 Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>  |  |
|  | <p><i>The analysis in 2.1</i> shows that customers that will benefit from the purchase of properties are less likely to:</p> <ul style="list-style-type: none"> <li>• Be younger people</li> <li>• Be people from a White ethnic background</li> </ul>  |  |
|  |   |  |

|            |   |
|------------|---|
| <b>2.2</b> | <b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i> |
|            | <i>No</i>   |
| <b>2.3</b> | <b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i>   |
|            | <i>As above</i>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |   |
|------------|---|
| <b>3.1</b> | <b>Consultation Information</b><br><i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i> |
|            | <i>N/A</i>  |

|            |  |
|------------|--|
| <b>3.2</b> | <b>What might the potential impact on individuals or groups be?</b><br><i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i> |
|            |  |

## SECTION 4: REDUCING & MITIGATING IMPACT

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| 4.1  | Where you have identified an impact, what can be done to reduce or mitigate the impact? (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).  |  |  |  |  |                          |                      |   |                          |   |   |                          |                               |  |
|--|--|--|--|--|--|--------------------------|----------------------|---|--------------------------|---|---|--------------------------|-------------------------------|--|
|  | <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p> <table border="1" data-bbox="264 689 1538 1200"> <thead> <tr> <th data-bbox="264 689 748 831">Column A – Issues or barriers, things to take into account</th> <th data-bbox="756 689 1538 831">Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).</th> </tr> </thead> <tbody> <tr> <td data-bbox="264 837 748 925"></td> <td data-bbox="756 837 1538 925"></td> </tr> <tr> <td data-bbox="264 931 748 1019"></td> <td data-bbox="756 931 1538 1019"></td> </tr> <tr> <td data-bbox="264 1025 748 1113"></td> <td data-bbox="756 1025 1538 1113"></td> </tr> <tr> <td data-bbox="264 1120 748 1200"><i>Enter additional rows if require</i></td> <td data-bbox="756 1120 1538 1200"></td> </tr> </tbody> </table>  |  | Column A – Issues or barriers, things to take into account | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |                          |                      |   |                          |   | <i>Enter additional rows if require</i>   |                          |                               |  |
| Column A – Issues or barriers, things to take into account | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).   |  |  |  |  |                          |                      |   |                          |   |   |                          |                               |  |
|  |  |  |  |  |  |                          |                      |   |                          |   |   |                          |                               |  |
|  |  |  |  |  |  |                          |                      |   |                          |   |   |                          |                               |  |
|  |  |  |  |  |  |                          |                      |   |                          |   |   |                          |                               |  |
| <i>Enter additional rows if require</i>                    |  |  |  |  |  |                          |                      |   |                          |   |   |                          |                               |  |
| 4.2  | Now that you have considered the potential or actual effect on equality, what action are you taking?   |  |  |  |  |                          |                      |   |                          |   |   |                          |                               |  |
|  | <table border="1" data-bbox="264 1413 1538 1845"> <tbody> <tr> <td data-bbox="264 1413 371 1563"><input checked="" type="checkbox"/></td> <td data-bbox="376 1413 716 1563">1. No major change (no impacts identified)</td> <td data-bbox="721 1413 1538 1563">Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.</td> </tr> <tr> <td data-bbox="264 1563 371 1644"><input type="checkbox"/></td> <td data-bbox="376 1563 716 1644">2. Adjust the policy</td> <td data-bbox="721 1563 1538 1644">You will take steps to remove barriers or to better advance equality.</td> </tr> <tr> <td data-bbox="264 1644 371 1765"><input type="checkbox"/></td> <td data-bbox="376 1644 716 1765">3. Continue the policy (impacts identified)</td> <td data-bbox="721 1644 1538 1765">You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.</td> </tr> <tr> <td data-bbox="264 1765 371 1845"><input type="checkbox"/></td> <td data-bbox="376 1765 716 1845">4. Stop and remove the policy</td> <td data-bbox="721 1765 1538 1845">There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.</td> </tr> </tbody> </table> |  | <input checked="" type="checkbox"/>                        | 1. No major change (no impacts identified)   | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. | <input type="checkbox"/> | 2. Adjust the policy | You will take steps to remove barriers or to better advance equality. | <input type="checkbox"/> | 3. Continue the policy (impacts identified) | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified. | <input type="checkbox"/> | 4. Stop and remove the policy | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating. |
| <input checked="" type="checkbox"/>                        | 1. No major change (no impacts identified)   | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |  |  |  |                          |                      |   |                          |   |   |                          |                               |  |
| <input type="checkbox"/>                                   | 2. Adjust the policy   | You will take steps to remove barriers or to better advance equality.  |  |  |  |                          |                      |   |                          |   |   |                          |                               |  |
| <input type="checkbox"/>                                   | 3. Continue the policy (impacts identified)  | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.  |  |  |  |                          |                      |   |                          |   |   |                          |                               |  |
| <input type="checkbox"/>                                   | 4. Stop and remove the policy  | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |  |  |  |                          |                      |   |                          |   |   |                          |                               |  |
| 4.3  | Please document the reasons for your decision  |  |  |  |  |                          |                      |   |                          |   |   |                          |                               |  |
|  |  |  |  |  |  |                          |                      |   |                          |   |   |                          |                               |  |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 342</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

**SIGNATURE:** Barbara Brownlee

**FULL NAME:** Barbara Brownlee

**UNIT:** GPH – Housing and Regeneration

**EMAIL & TELEPHONE EXT:** 02076415949

**DATE :** 09/08/17

**WHAT NEXT?**

**It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.**

**All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.**

**All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)**

|  |
|--|
| Title  |
| <b>4.17 City West Homes – Property Fee Income</b>  |
| What are you analysing?  |
| <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>  |
| <p>CityWest Residential (CWR) is the Estate Agency business unit within City West Homes. It undertakes the disposal of WCC housing stock at an agreed rate of 2%, below market leader (Foxtons 3%). This is an improved service to other Agencies, and operates in a niche market (ex-council stock) that brings particular challenges. It makes a general fund contribution from the 'surplus'. If Westminster adjusts either the rate, or number of disposals made, CWR could return a greater contribution.</p> |
| Details of the lead person completing the screening/EIA  |
| <p>(i) Full Name: Martin Edgerton</p> <p>(ii) Position: City West Homes</p> <p>(iii) Unit: City West Homes</p> <p>(iv) Contact Details: 0207 245 2022</p>  |
| Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a>  |
| August 2018  |
| Version number and date of update  |
| <p><i>You will need to update your EIA as you move through the decision-making process. Record the version number here and the date you updated the EIA. Keep all versions so you have evidence that you have considered equality throughout the process.</i></p>  |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |                                     |   |                          |                          |
|---|--|-------------------------------------|---|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                                     |   |                          |                          |
|   |  | <b>None</b>                         | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  |                                     | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |                                     |   |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                                     |   |                          |                          |
|   | <b>None/ Minimal</b>   |                                     | <b>Significant</b>  |                          |                          |
|   | <input checked="" type="checkbox"/>  |                                     | <input type="checkbox"/>  |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |                                     |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b> |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | It is not expected that this proposals will have any impact on those vulnerable members of society.                                  |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|            |   |  |
|------------|---|--|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b> <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul> |  |
|            | How many people use the service currently? What is this as a % of Westminster’s population?   |  |
|            | Age   |  |
|            | Disability  |  |
|            | Gender  |  |
|            | Race  |  |
|            | Religion or belief  |  |
|            | Sexual orientation  |  |

|            |  |
|------------|--|
| <b>2.2</b> | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></p> |
|            | <p><i>If yes, provide details.</i></p>   |
| <b>2.3</b> | <p><b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>   |
|            | <p><i>If yes, provide details.</i></p>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>   |
|            | <p><i>It is helpful to identify whether you have conducted any consultations for your proposal, in some cases a statutory consultation is required. If your proposal has not required a consultation, please highlight this here. Consultations will help you identify what the potential impact of your proposal might be.</i></p>                                  |
| <b>3.2</b> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p>  |
|            | <p><i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i></p> |

**SECTION 4: REDUCING & MITIGATING IMPACT**

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| <b>4.1</b>  | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|---|--|--|--|--|--|--------------------------|-----------------------------|---|--------------------------|--|---|--------------------------|--------------------------------------|--|--|--|---|--|
| <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p>  |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="background-color: #F4C08E; padding: 5px;">Column A – Issues or barriers, things to take into account</th> <th style="background-color: #F4C08E; padding: 5px;">Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).</th> </tr> </thead> <tbody> <tr><td style="height: 30px;"></td><td></td></tr> <tr> <td style="padding: 5px;"><i>Enter additional rows if require</i></td> <td></td> </tr> </tbody> </table>  |  |  | Column A – Issues or barriers, things to take into account | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  | <i>Enter additional rows if require</i> |  |
| Column A – Issues or barriers, things to take into account  | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).           |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <i>Enter additional rows if require</i>   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <b>4.2</b>  | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <tbody> <tr> <td style="width: 5%; text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="width: 35%; background-color: yellow; padding: 5px;"><b>1. No major change (no impacts identified)</b></td> <td style="padding: 5px;">Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.</td> </tr> <tr> <td style="text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="background-color: yellow; padding: 5px;"><b>2. Adjust the policy</b></td> <td style="padding: 5px;">You will take steps to remove barriers or to better advance equality.</td> </tr> <tr> <td style="text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="background-color: yellow; padding: 5px;"><b>3. Continue the policy (impacts identified)</b></td> <td style="padding: 5px;">You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.</td> </tr> <tr> <td style="text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="background-color: yellow; padding: 5px;"><b>4. Stop and remove the policy</b></td> <td style="padding: 5px;">There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.</td> </tr> </tbody> </table> |  |  | <input type="checkbox"/>                                   | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. | <input type="checkbox"/> | <b>2. Adjust the policy</b> | You will take steps to remove barriers or to better advance equality. | <input type="checkbox"/> | <b>3. Continue the policy (impacts identified)</b> | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified. | <input type="checkbox"/> | <b>4. Stop and remove the policy</b> | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating. |  |  |   |  |
| <input type="checkbox"/>  | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>2. Adjust the policy</b>  | You will take steps to remove barriers or to better advance equality.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>3. Continue the policy (impacts identified)</b>   | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>4. Stop and remove the policy</b>   | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |

| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |                                   |                          |                  |                  |                                      |                            |     |
|---|-----------------------------------|--------------------------|------------------|------------------|--------------------------------------|----------------------------|-----|
| <p><b>5.1</b> Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |                                   |                          |                  |                  |                                      |                            |     |
| Page 351  | Action Required                   | Equality Groups Targeted | Intended outcome | Resources Needed | Name of Lead, Unit & Contact Details | Completion Date (DD/MM/YY) | RAG |
|   |                                   |                          |                  |                  |                                      |                            |     |
|   |                                   |                          |                  |                  |                                      |                            |     |
|   |                                   |                          |                  |                  |                                      |                            |     |
|   |                                   |                          |                  |                  |                                      |                            |     |
|   | Enter additional rows if required |                          |                  |                  |                                      |                            |     |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

**SIGNATURE:** Martin Edgerton

**FULL NAME:** Martin Edgerton

**UNIT:** City West Homes

**EMAIL & TELEPHONE EXT:** 0207 245 2022

**DATE (DD/MM/YYYY):**09/08/2017

**WHAT NEXT?**

It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.

All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

|  |
|--|
| Title  |
| <b>1.3 Digital Transformation – Further CMC Savings</b>  |
| <p>What are you analysing?</p> <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>   |
| <p>Westminster’s ambition is that customers will ‘choose digital’ as the way they transact, the services they receive will be quicker, simpler and more cost effective, resulting in an effective and efficient customer experience comparable to other online services they use.</p> <p>The ambition of the Smart council states clearly <i>“WCC want to provide the best customer experience for our residents, making it as easy as possible to access local services. We will take responsibility for dealing with problems in full the first time and working with people and families to prevent more complex issues developing.”</i></p> <p>In addition, and equally important to the organization is that this transformation delivers a more effective and efficient organisation which in parallel support our ambition to retain and attract great people.</p> <p>The ambition is to provide “digital services that are so straightforward and convenient that all those who can use them will choose to do so, whilst those who can’t are not excluded”. The programme will act as an enabler to support the service areas.</p> <p>A Smart Council will provide digital end-to-end services, processes and platforms designed to connect communities, enhance customer experience and reduce cost. Citizens, businesses and stakeholders, wherever they are and whatever the time, will be able to have their say on the issues that matter to them and do business with the council using the Internet. Services will have been digitally disrupted and transformed through user-centric design so that, for example, whether it’s applying for a license or permit, paying for pest control or parking, reporting rubbish on the street, making a planning application, planning a marriage or civil partnership, it can be done quickly and easily online.</p> <p>To create the pull across the organisation and mobilise the services to take advantage of the digital team’s capabilities, it is proposed the targets below will be held at both executive and service level and cascaded to team members and suppliers where appropriate. This set of measurements will promote the adoption across the council of the digital agenda by service area. It is recognised that not all measures are relevant to all services, but the sum of the parts should meet the outcomes.</p> |
| Details of the lead person completing the screening/EIA  |
| <p>Kieran Fitsall<br/> Head of Service Improvement &amp; Transformation<br/> City Management &amp; Communities<br/> kfitsall@westminster.gov.uk</p>  |
| Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a>  |
| 3 <sup>rd</sup> August 2017  |

Version number and date of update

V1 03/08/17

## SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

| 1.1   | Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative? |                          |                          |                          |          |
|---|---|--------------------------|--------------------------|--------------------------|----------|
|   |   | None                     | Positive                 | Negative                 | Not sure |
| Disabled people   | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |          |
| Particular ethnic groups  | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |          |
| Men or women (include impacts due to pregnancy/ maternity)  | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |          |
| People or particular sexual orientation/s   | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |          |
| People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |          |
| People on low incomes   | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |          |
| People in particular age groups   | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |          |
| Groups with particular faiths and beliefs   | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |          |
| Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?     | <b>NO</b>   | <input type="checkbox"/> | <input type="checkbox"/> |                          |          |
| <p><b>If the answer is “negative” or “unclear” consider doing a full EIA</b></p>  |   |                          |                          |                          |          |

| <b>1.2</b>   | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |               |             |                                     |                          |  |   |
|--|--|---------------|-------------|-------------------------------------|--------------------------|--|---|
|  | <table border="1" style="width: 100%;"> <thead> <tr> <th style="width: 50%; text-align: center;">None/ Minimal</th> <th style="width: 50%; text-align: center;">Significant</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;"><input checked="" type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.</td> <td>Significant impact would be where there is an impact is identified that has substantial impact on any groups.</td> </tr> </tbody> </table> <p style="text-align: center;"><b>If the answer is “significant” consider doing a full EIA</b></p> | None/ Minimal | Significant | <input checked="" type="checkbox"/> | <input type="checkbox"/> | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups. | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |
| None/ Minimal  | Significant  |               |             |                                     |                          |  |   |
| <input checked="" type="checkbox"/>  | <input type="checkbox"/>   |               |             |                                     |                          |  |   |
| None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups. | Significant impact would be where there is an impact is identified that has substantial impact on any groups.  |               |             |                                     |                          |  |   |
| <b>1.3</b>   | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>   |               |             |                                     |                          |  |   |
|  | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |               |             |                                     |                          |  |   |
| <b>1.4</b>   | <b>How have you come to this decision?</b>   |               |             |                                     |                          |  |   |
|  | The projects will not disproportionately impact on groups as per responses to 1.2 and 1.3  |               |             |                                     |                          |  |   |

## EQUALITY IMPACT ASSESSMENT

### SECTION 2: BUILDING AN EVIDENCE BASE

|   |  |   |  |     |  |            |  |
|---|--|---|--|-----|--|------------|--|
| <b>2.1</b>  | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |   |  |     |  |            |  |
|   | <ul style="list-style-type: none"> <li>• <i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li>• <i>A baseline of data is <a href="#">available here</a></i></li> </ul> |   |  |     |  |            |  |
|   | <table border="1" style="width: 100%;"> <tbody> <tr> <td style="width: 40%;">How many people use the service currently? What is this as a % of Westminster’s population?</td> <td></td> </tr> <tr> <td>Age</td> <td></td> </tr> <tr> <td>Disability</td> <td></td> </tr> </tbody> </table>   | How many people use the service currently? What is this as a % of Westminster’s population? |  | Age |  | Disability |  |
| How many people use the service currently? What is this as a % of Westminster’s population? |  |   |  |     |  |            |  |
| Age   |  |   |  |     |  |            |  |
| Disability  |  |   |  |     |  |            |  |

|            |   |  |
|------------|---|--|
|            | Gender  |  |
|            | Race  |  |
|            | Religion or belief  |  |
|            | Sexual orientation  |  |
| <b>2.2</b> | <b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i> |  |
|            | No  |  |
| <b>2.3</b> | <b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i>   |  |
|            | No  |  |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <b>Consultation Information</b><br><i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i>  |
|            | <i>Engagement and consultation with users isn an integral part of programme plan and will be coordinated by the Digital Programme Team in conjunction with CMC.</i>  |
| <b>3.2</b> | <b>What might the potential impact on individuals or groups be?</b><br><i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i> |
|            | None   |

**SECTION 4: REDUCING & MITIGATING IMPACT**

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| <b>4.1</b>   | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |   |  |  |
|--|--|--|--|--|--|--------------------------|-----------------------------|---|--------------------------|--|---|--------------------------|--------------------------------------|--|---|--|--|
|  | <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="background-color: #F4C49E; padding: 5px;">Column A – Issues or barriers, things to take into account</th> <th style="background-color: #F4C49E; padding: 5px;">Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).</th> </tr> </thead> <tbody> <tr> <td style="padding: 5px;">None identified at this early stage</td> <td></td> </tr> <tr> <td style="padding: 5px;"> </td> <td></td> </tr> <tr> <td style="padding: 5px;"><i>Enter additional rows if require</i></td> <td></td> </tr> </tbody> </table>  |  | Column A – Issues or barriers, things to take into account | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). | None identified at this early stage  |                          |                             |   |                          |  |   |                          |                                      |  | <i>Enter additional rows if require</i> |  |  |
| Column A – Issues or barriers, things to take into account | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |   |  |  |
| None identified at this early stage                        |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |   |  |  |
|  |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |   |  |  |
|  |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |   |  |  |
|  |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |   |  |  |
|  |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |   |  |  |
| <i>Enter additional rows if require</i>                    |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |   |  |  |
| <b>4.2</b>   | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |   |  |  |
|  | <table border="1" style="width: 100%; border-collapse: collapse;"> <tbody> <tr> <td style="width: 5%; text-align: center; padding: 5px;"><input checked="" type="checkbox"/></td> <td style="width: 35%; padding: 5px;"><b>1. No major change (no impacts identified)</b></td> <td style="padding: 5px;">Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.</td> </tr> <tr> <td style="text-align: center; padding: 5px;"><input type="checkbox"/></td> <td style="padding: 5px;"><b>2. Adjust the policy</b></td> <td style="padding: 5px;">You will take steps to remove barriers or to better advance equality.</td> </tr> <tr> <td style="text-align: center; padding: 5px;"><input type="checkbox"/></td> <td style="padding: 5px;"><b>3. Continue the policy (impacts identified)</b></td> <td style="padding: 5px;">You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.</td> </tr> <tr> <td style="text-align: center; padding: 5px;"><input type="checkbox"/></td> <td style="padding: 5px;"><b>4. Stop and remove the policy</b></td> <td style="padding: 5px;">There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.</td> </tr> <tr> <td style="padding: 5px;"> </td> <td style="padding: 5px;"> </td> <td style="padding: 5px;"> </td> </tr> </tbody> </table> |  | <input checked="" type="checkbox"/>                        | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. | <input type="checkbox"/> | <b>2. Adjust the policy</b> | You will take steps to remove barriers or to better advance equality. | <input type="checkbox"/> | <b>3. Continue the policy (impacts identified)</b> | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified. | <input type="checkbox"/> | <b>4. Stop and remove the policy</b> | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating. |   |  |  |
| <input checked="" type="checkbox"/>                        | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |   |  |  |
| <input type="checkbox"/>                                   | <b>2. Adjust the policy</b>  | You will take steps to remove barriers or to better advance equality.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |   |  |  |
| <input type="checkbox"/>                                   | <b>3. Continue the policy (impacts identified)</b>   | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |   |  |  |
| <input type="checkbox"/>                                   | <b>4. Stop and remove the policy</b>   | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |   |  |  |
|  |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |   |  |  |
| <b>4.3</b>   | <b>Please document the reasons for your decision</b>   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |   |  |  |
|  | This will be kept under review as the Digital Programme progresses.  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |   |  |  |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 359</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER****SIGNATURE:****FULL NAME:** Kieran Fitsall**UNIT:** CMC**EMAIL & TELEPHONE EXT:** [kfitsall@westminster.gov.uk](mailto:kfitsall@westminster.gov.uk)**DATE (DD/MM/YYYY):** 03/08/17**WHAT NEXT?**

It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.

All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.

All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

|  |
|--|
| Title  |
| <b>6.9 Licensing pre-application advice service</b>  |
| <p>What are you analysing?</p> <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>   |
| <p><i>A member of the public should have a good grasp of the proposal after reading this section.</i></p> <p>To help those who wish to apply for a premises licence application (under the Licensing Act 2003) for activities such as selling alcohol and providing entertainment, the Licensing Service offer an advice service to assist with the process of making an application. The service offers pre-application in order to help applicants:</p> <ul style="list-style-type: none"> <li>• understand how council policies will be applied to the proposed application</li> <li>• identify the need for specialist input, layout design, acoustic measures, etc</li> <li>• make the application correctly and reduce unnecessary delays</li> <li>• reduce time spent applying</li> <li>• save time and money by understanding when an application is unacceptable</li> </ul> <p>This will benefit, the applicant (and their representative if they chose to employ one) and the City Council as the advice given will facilitate a process of applying for and being granted a licence.</p> <p>This service is needed as it can pre-empt potential problems with the licensing process. ‘Prevention is better than cure’. The service can also help small businesses who don’t have the resource to employ larger companies.</p> |
| Details of the lead person completing the screening/EIA  |
| <p>(i) Full Name: David Hine</p> <p>(ii) Position: Team Manager EH Consultation Team</p> <p>(iii) Unit: Public Protection and Licensing</p> <p>(iv) Contact Details: dhine@westminster.gov.uk</p>  |
| Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a>  |
|  |
| Version number and date of update  |
| <b>Version 1.0 date 01.08.17</b>   |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |                                     |   |                          |                          |
|---|--|-------------------------------------|---|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                                     |   |                          |                          |
|   |  | <b>None</b>                         | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  |                                     | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |                                     |   |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                                     |   |                          |                          |
|   | <b>None/ Minimal</b>   |                                     | <b>Significant</b>  |                          |                          |
|   | <input checked="" type="checkbox"/>  |                                     | <input type="checkbox"/>  |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |                                     |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b> |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | There is either none or minimal impact on the groups listed above.   |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|            |  |  |
|------------|--|--|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |  |
|            | <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul> |  |
|            | How many people use the service currently? What is this as a % of Westminster's population?  |  |
|            | Age  |  |
|            | Disability   |  |
|            | Gender   |  |
|            | Race   |  |
|            | Religion or belief   |  |
|            | Sexual orientation   |  |

|     |  |
|-----|--|
| 2.2 | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></p> |
|     | <p><i>If yes, provide details.</i></p>   |
| 2.3 | <p><b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>   |
|     | <p><i>If yes, provide details.</i></p>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>   |
|            | <p><i>It is helpful to identify whether you have conducted any consultations for your proposal, in some cases a statutory consultation is required. If your proposal has not required a consultation, please highlight this here. Consultations will help you identify what the potential impact of your proposal might be.</i></p>                                  |
| <b>3.2</b> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p>  |
|            | <p><i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i></p> |

## SECTION 4: REDUCING & MITIGATING IMPACT

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| 4.1  | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|--|---|--|--|--|--|--------------------------|-----------------------------|---|--------------------------|--|---|--------------------------|--------------------------------------|--|--|--|---|--|
|  | <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p> <table border="1" data-bbox="264 651 1525 1350"> <thead> <tr> <th data-bbox="264 651 748 797">Column A – Issues or barriers, things to take into account</th> <th data-bbox="748 651 1525 797">Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).</th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr> <td data-bbox="264 1256 748 1339"><i>Enter additional rows if require</i></td> <td data-bbox="748 1256 1525 1339"> </td> </tr> </tbody> </table>  |  | Column A – Issues or barriers, things to take into account | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  | <i>Enter additional rows if require</i> |  |
| Column A – Issues or barriers, things to take into account | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  |   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  |   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  |   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  |   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  |   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  |   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <i>Enter additional rows if require</i>                    |   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| 4.2  | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  | <table border="1" data-bbox="264 1559 1525 1995"> <tbody> <tr> <td data-bbox="264 1559 371 1715"><input type="checkbox"/></td> <td data-bbox="371 1559 719 1715"> <b>1. No major change (no impacts identified)</b> </td> <td data-bbox="719 1559 1525 1715">Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.</td> </tr> <tr> <td data-bbox="264 1715 371 1798"><input type="checkbox"/></td> <td data-bbox="371 1715 719 1798"> <b>2. Adjust the policy</b> </td> <td data-bbox="719 1715 1525 1798">You will take steps to remove barriers or to better advance equality.</td> </tr> <tr> <td data-bbox="264 1798 371 1912"><input type="checkbox"/></td> <td data-bbox="371 1798 719 1912"> <b>3. Continue the policy (impacts identified)</b> </td> <td data-bbox="719 1798 1525 1912">You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.</td> </tr> <tr> <td data-bbox="264 1912 371 1995"><input type="checkbox"/></td> <td data-bbox="371 1912 719 1995"> <b>4. Stop and remove the policy</b> </td> <td data-bbox="719 1912 1525 1995">There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.</td> </tr> </tbody> </table> |  | <input type="checkbox"/>                                   | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. | <input type="checkbox"/> | <b>2. Adjust the policy</b> | You will take steps to remove barriers or to better advance equality. | <input type="checkbox"/> | <b>3. Continue the policy (impacts identified)</b> | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified. | <input type="checkbox"/> | <b>4. Stop and remove the policy</b> | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating. |  |  |   |  |
| <input type="checkbox"/>                                   | <b>1. No major change (no impacts identified)</b>   | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>                                   | <b>2. Adjust the policy</b>   | You will take steps to remove barriers or to better advance equality.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>                                   | <b>3. Continue the policy (impacts identified)</b>  | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>                                   | <b>4. Stop and remove the policy</b>  | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |

| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 368</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

**SIGNATURE:** .....

**FULL NAME:** .....

**UNIT:** .....

**EMAIL & TELEPHONE EXT:** .....

**DATE (DD/MM/YYYY):** .....

**WHAT NEXT?**

**It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.**

**All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.**

**All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)**

|  |
|--|
| Title  |
| <b>6.10 Charging for revisits – Food team</b>  |
| What are you analysing?  |
| <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>  |
| <p>This is the introduction of a new charge to food businesses – a fee of £210 per visit.</p> <p>Food premises are first rated during a routine official control inspection in accordance with Food Standards Agency (FSA) guidance. Once inspected and rated (0-5), a business can request a revisit to reassess their standards and obtain a new and potentially higher food hygiene rating. A new version of the guidance was issued in March 2017 giving a framework to councils to charge for requested re-rating visits as these are non-statutory revisits. We introduced the FSA national scheme in 2012 and the number of revisits has been significantly high since.</p> <p>Businesses will have their request assessed first and if they are eligible, an invoice will be raised and sent to them via BT. Businesses will be given 2 weeks to pay for the re-rating inspection visit to take place within 3 months of payment.</p> <p>If payment is not made within 2 weeks, an automatic reminder is sent by BT but within 28 days so this allows an extra 2 weeks for businesses to process their payment before receiving a reminder. In case of non-payment, the re-rating inspection will not be carried out and the business will have to wait for the next statutory inspection.</p> <p>Calculation methods are purely cost recovery and based on time taken by officers to carry out the revisit including pre/post admin work.</p> <p>In 2015-16, we carried out 87 revisits. We expect this number to decrease slightly once charging becomes applicable with an estimated 60 revisits a year.</p> <p>The cost of each visit and the charging scheme process has been benchmarked against the Welsh costing and the London boroughs of Southwark, Havering, Greenwich and City of London.</p> |
| Details of the lead person completing the screening/EIA  |
| (ii) Full Name: Sue Jones  |
| (ii) Position: Head of Commercial Services   |
| (iii) Unit: PP&L   |
| (iv) Contact Details: <a href="mailto:sjones@westminster.gov.uk">sjones@westminster.gov.uk</a>   |
| Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a>  |
| 25/7/17  |
| Version number and date of update  |
| V.1  |

## SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

| 1.1 Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative? |                                     |   |                          |                          |
|---|-------------------------------------|---|--------------------------|--------------------------|
|   | None                                | Positive  | Negative                 | Not sure                 |
| Disabled people   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Particular ethnic groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Men or women (include impacts due to pregnancy/ maternity)  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People or particular sexual orientation/s   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People on low incomes   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People in particular age groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Groups with particular faiths and beliefs   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?   |                                     | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b>   |                                     |   |                          |                          |
| 1.2 What do you think that the overall NEGATIVE impact on groups and communities will be?   |                                     |   |                          |                          |
| <b>None/ Minimal</b>  |                                     | <b>Significant</b>  |                          |                          |
| <input checked="" type="checkbox"/>   |                                     | <input type="checkbox"/>  |                          |                          |
| None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                      |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>   |                                     |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b> |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | By assessing responses in 1.1, 1.2<br><br>There is no negative impact identified.  |

## EQUALITY IMPACT ASSESSMENT

### SECTION 2: BUILDING AN EVIDENCE BASE

|            |  |  |
|------------|--|--|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |  |
|            | <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul> |  |
|            | How many people use the service currently? What is this as a % of Westminster's population?  |  |
|            | Age  |  |
|            | Disability   |  |
|            | Gender   |  |
|            | Race   |  |
|            | Religion or belief   |  |
|            | Sexual orientation   |  |

|     |  |
|-----|--|
| 2.2 | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></p> |
|     | <p><i>If yes, provide details.</i></p>   |
| 2.3 | <p><b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>   |
|     | <p><i>If yes, provide details.</i></p>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>   |
|            | <p><i>It is helpful to identify whether you have conducted any consultations for your proposal, in some cases a statutory consultation is required. If your proposal has not required a consultation, please highlight this here. Consultations will help you identify what the potential impact of your proposal might be.</i></p>                                  |
| <b>3.2</b> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p>  |
|            | <p><i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i></p> |



|            |  |
|------------|--|
|            |  |
| <b>4.3</b> | <b>Please document the reasons for your decision</b> |
|            |  |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 377</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

**SIGNATURE:** .....

**FULL NAME:** .....

**UNIT:** .....

**EMAIL & TELEPHONE EXT:** .....

**DATE (DD/MM/YYYY):** .....

**WHAT NEXT?**

**It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.**

**All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.**

**All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)**

## Title

**6.11 Better working in our neighbourhoods**

## What are you analysing?

- What is the purpose of the policy/project/activity/strategy?
- In what context will it operate?
- Who is it intended to benefit?
- What results are intended?
- Why is it needed?

**1. Background**

1.1 Significant progress had been made over the last two years to improve how services are delivered through an emerging 'Area Management' model of delivery and the creation of the Public Protection and Licencing Service within City Management and Communities. The proposed changes are to further develop this model and fully design and embed an operating model across the council and with key partners to work more effectively within Westminster's neighbourhoods. The programme will deliver one of the Council's key 'Routemap to Success' programmes for 'better working within neighbourhoods' aligned to the City for All vision.

**2. Aim and vision**

2.1 The purpose of the programme is to define and implement a neighbourhood approach to develop 'a world class Westminster, where services are delivered locally and are tailored to the need of the community.'

**3. Objectives**

- To design a new operating model for the delivery of appropriate front line services to neighbourhoods.
- To implement the new operating model across the council and with partners which promotes improved neighbourhood working.
- To review current and future provision of technology to support the implementation of the new operating model.
- To save £0.9 m from the Council's budget from 18/19.

**4. Overview of proposed changes**

4.1 To implement a new operating model and a new structure that delivers services within a neighbourhood setting, creating multi-disciplinary neighbourhood teams focused on local priorities, using area-based insight to reduce risk and protect the vulnerable.

4.2 This new model will look for synergies and remove duplication in our current activities, blending appropriate roles and combining functions and disciplines to provide more efficient, accessible and effective services.

4.3 The new model will also identify and put in place a structure designed to generate additional income from delivering supplementary services and appropriate 'enforcement' activities.

4.4 The proposed changes will deliver a new service operating model and culture that aligns with the Council's 'One Front Door' vision and its principles as follows:

**People** - Are we using a multi-skilled workforce which take responsibility for dealing with issues the first time no matter what they are?

- On first contact, staff have the skills and knowledge to identify need and the pathway to appropriate services
- Relationship managers act as advocates to guide those with entrenched multiple and complex needs through the system to effect meaningful change
- Staff have sufficient autonomy to make meaningful decisions
- All engagement is delivered via a strengths based model - positive conversations at any point in the customer journey

**Processes** - Is the right service in the right place at the right time for our customers and community?

- Services are co-commissioned thematically
- Budgets are pooled to enable a thematic approach
- A 'Council view' is shared across services on thresholds and allocation of resources
- Work takes place in a location where it is done with the most efficiency

**Technology** - Are we working in our neighbourhoods, sharing information and use the latest technology to give the best possible experience to our customers?

- Data is proactively shared (within appropriate caveats)
- Technology supports effective (self and professional led) triage and advocacy
- Data is easy to transfer and reusable within the organisation

4.5 Following the design of the operating model, the proposal is to implement the model in two phases. City Management and Communities and Growth, Planning and Housing and Public Health will implement the model in the first phase and Children and Adult Services, alongside external partners, in the second phase.

4.6 It is anticipated, subject to approval, that staff consultation for the services in phase 1 will commence in mid-October 2017 with a formal 30 day consultation process.

## **5. Impact on service delivery**

5.1 The introduction of a neighbourhood delivery model will deliver increased efficiencies, enabling us to improve compliance and deliver enhanced services to our communities. However, the impact will be fully assessed following staff consultation and final organisational structures and a further Equality Impact Assessment will be produced at this point.

5.2 Potential changes to the delivery of services will continue to provide high quality services that fulfil statutory requirements with strengthened civic leadership as the concept of Effective Neighbourhood Working' develops.

5.3 The new delivery model will increase the services currently delivered and will result in additional enforcement activities, which is expected to have a positive effect on local communities.

5.4 This will include a focus on improved housing compliance and setting the standards for a world class City, utilising new legislative powers to bring penalties against those who are not in line with our standards for Westminster. We will repurpose roles to focus on local priorities and give additional powers to our partners to enable them to help set the standards for a world class Westminster, ensuring that our activity is aligned with the concerns from our communities.

5.5 It is expected that this will result in an increase in enforcement income, although the ultimate aim from any enforcement activity is to achieve compliance. Any changes to enforcement procedures will be subject to specific policy and procedural documentation and will be subject to their own equalities impact assessments as these are applied. We do not however envisage that these will have a detrimental effect on any particular group.

#### Details of the lead person completing the screening/EIA

(i) Full Name: Richard Barker

(ii) Position: Director of Community Services / ENW Programme director

(iii) Unit: City Management and Communities

(iv) Contact Details: rbarker@westminster.gov.uk

Date sent to [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

#### Version number and date of update

- v.0.3 10<sup>th</sup> August 2017

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

| 1.1 Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative? |                                     |   |                          |                          |
|---|-------------------------------------|---|--------------------------|--------------------------|
|   | None                                | Positive  | Negative                 | Not sure                 |
| Disabled people   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Particular ethnic groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Men or women (include impacts due to pregnancy/ maternity)  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People or particular sexual orientation/s   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People on low incomes   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People in particular age groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Groups with particular faiths and beliefs   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?   |                                     | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b>   |                                     |   |                          |                          |
| 1.2 What do you think that the overall NEGATIVE impact on groups and communities will be?   |                                     |   |                          |                          |
| <b>None/ Minimal</b><br><input checked="" type="checkbox"/>   |                                     | <b>Significant</b><br><input type="checkbox"/>  |                          |                          |
| None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                      |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>   |                                     |   |                          |                          |

|            |   |
|------------|---|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>  |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>   |
| <b>1.4</b> | <b>How have you come to this decision?</b>  |
|            | The council is committed to retaining the current level of services under these proposals, and the changes will have substantial improvements from a customer point of view. Whilst levels of employee-led activity may change as resource is reduced, this will be carefully managed to ensure a broad quality of universal provision is maintained. |

## EQUALITY IMPACT ASSESSMENT

### SECTION 2: BUILDING AN EVIDENCE BASE

|            |  |  |
|------------|--|--|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |  |
|            | <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul> |  |
|            | How many people use the service currently? What is this as a % of Westminster's population?  | At this emergent stage in the project, it is not possible to provide a baseline of data as the services which will be in scope have not yet been determined. This will be provided in a subsequent EIA once the programme is more evolved. |
|            | Age  |  |
|            | Disability   |  |
|            | Gender   |  |
|            | Race   |  |
|            | Religion or belief   |  |
|            | Sexual orientation   |  |

|     |  |
|-----|--|
| 2.2 | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></p> |
|     | <p><i>If yes, provide details.</i></p>   |
| 2.3 | <p><b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>   |
|     | <p><i>If yes, provide details.</i></p>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>   |
|            | <p><i>Formal consultation has not been required.</i></p>   |
| <b>3.2</b> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p>  |
|            | <p><i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i></p> |

## SECTION 4: REDUCING & MITIGATING IMPACT

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| 4.1   | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|---|--|--|---|---|--|--------------------------|-----------------------------|---|--------------------------|--|---|--------------------------|--------------------------------------|--|--|--|---|--|
|   | <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p> <table border="1" data-bbox="264 689 1538 1384"> <thead> <tr> <th data-bbox="264 689 746 835"> <b>Column A – Issues or barriers, things to take into account</b> </th> <th data-bbox="746 689 1538 835"> <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).           </th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr> <td data-bbox="264 1294 746 1384"><i>Enter additional rows if require</i></td> <td data-bbox="746 1294 1538 1384"> </td> </tr> </tbody> </table>   |  | <b>Column A – Issues or barriers, things to take into account</b> | <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  | <i>Enter additional rows if require</i> |  |
| <b>Column A – Issues or barriers, things to take into account</b> | <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
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|   |  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <i>Enter additional rows if require</i>                           |  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| 4.2   | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   | <table border="1" data-bbox="264 1594 1538 2029"> <tbody> <tr> <td data-bbox="264 1594 371 1753"> <input checked="" type="checkbox"/> </td> <td data-bbox="371 1594 719 1753"> <b>1. No major change (no impacts identified)</b> </td> <td data-bbox="719 1594 1538 1753">           Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.         </td> </tr> <tr> <td data-bbox="264 1753 371 1834"> <input type="checkbox"/> </td> <td data-bbox="371 1753 719 1834"> <b>2. Adjust the policy</b> </td> <td data-bbox="719 1753 1538 1834">           You will take steps to remove barriers or to better advance equality.         </td> </tr> <tr> <td data-bbox="264 1834 371 1951"> <input type="checkbox"/> </td> <td data-bbox="371 1834 719 1951"> <b>3. Continue the policy (impacts identified)</b> </td> <td data-bbox="719 1834 1538 1951">           You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.         </td> </tr> <tr> <td data-bbox="264 1951 371 2029"> <input type="checkbox"/> </td> <td data-bbox="371 1951 719 2029"> <b>4. Stop and remove the policy</b> </td> <td data-bbox="719 1951 1538 2029">           There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.         </td> </tr> </tbody> </table> |  | <input checked="" type="checkbox"/>                               | <b>1. No major change (no impacts identified)</b>   | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. | <input type="checkbox"/> | <b>2. Adjust the policy</b> | You will take steps to remove barriers or to better advance equality. | <input type="checkbox"/> | <b>3. Continue the policy (impacts identified)</b> | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified. | <input type="checkbox"/> | <b>4. Stop and remove the policy</b> | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating. |  |  |   |  |
| <input checked="" type="checkbox"/>                               | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>2. Adjust the policy</b>  | You will take steps to remove barriers or to better advance equality.  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>3. Continue the policy (impacts identified)</b>   | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>4. Stop and remove the policy</b>   | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |

|            |   |
|------------|---|
|            |   |
| <b>4.3</b> | <b>Please document the reasons for your decision</b>  |
|            | <p>As previously noted, it is not anticipated that this programme of work will result in significant changes to the services but seeks to promote more effective, efficient and accessible ways of delivering services, at a neighbourhood level.</p> |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 388</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

**SIGNATURE:** .....

**FULL NAME:** Richard Barker

**UNIT:** City Management & Communities

**EMAIL & TELEPHONE EXT:** rbarker@westminster.gov.uk

**DATE (DD/MM/YYYY):** 9/8/17

**WHAT NEXT?**

**It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.**

**All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.**

**All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)**

|  |
|--|
| Title  |
| <b>6.12 Additional income from Waste Enforcement following an increase in the statutory fees payable</b>   |
| <p>What are you analysing?</p> <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>   |
| <p>Westminster City Council, as a Waste Enforcement Authority, has a duty placed on it by the Environmental Protection Act 1990 to manage and regulate waste. The Council is committed to maintaining a clean and safe environment for the benefit of everyone in the City. This commitment recognises our responsibility to keep the streets and local environment clear of litter, and other local environmental quality issues.</p> <p>The Council's 'City For All' strategic vision recognises that residents, visitors and businesses want clean streets, less litter, less graffiti and attractive parks and open spaces. A cleaner and safer environment helps people to feel safer and less fearful of crime, improving the quality of life for all those who live, work and visit the City. Our approach is to work with residents and businesses to ensure compliance, and this is primarily done through information and advice.</p> <p>The recent amendments have increased the offences that can be discharged by the payment of a Fixed Penalty Notice where a business or residents commit an offence under the Environmental Protection Act. The amendments also increased the amount to be paid. City Inspectors are deployed to ensure monitoring and investigations are undertaken and FPNs served where appropriate.</p> |
| Details of the lead person completing the screening/EIA  |
| <p>(iii) Full Name: Andrew Ralph</p> <p>(ii) Position: Head of West End and City Operations</p> <p>(iii) Unit: Public Protection and Licensing</p> <p>(iii) Contact Details: 0207 641 2706</p>   |
| Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a>  |
| Version number and date of update  |
| V1.0. 31 July 2017   |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |                                     |   |                          |                          |
|---|--|-------------------------------------|---|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                                     |   |                          |                          |
|   |  | <b>None</b>                         | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  | <input checked="" type="checkbox"/> |   | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |                                     |   |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                                     |   |                          |                          |
|   | <b>None/ Minimal</b>   |                                     | <b>Significant</b>  |                          |                          |
|   | <input checked="" type="checkbox"/>  |                                     | <input type="checkbox"/>  |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |                                     |   |                          |                          |

|            |   |
|------------|---|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>  |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>   |
| <b>1.4</b> | <b>How have you come to this decision?</b>  |
|            | The Council has a duty placed on it by the Environmental Protection Act 1990 to manage and regulate waste. The City Inspectors discharge this duty by undertaking regular waste enforcement patrols. This has been occurring since the 90's and the process has recently undergone a complete review in order to implement the change in legislation. |

## EQUALITY IMPACT ASSESSMENT

### SECTION 2: BUILDING AN EVIDENCE BASE

|            |  |  |
|------------|--|--|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |  |
|            | <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul> |  |
|            | How many people use the service currently? What is this as a % of Westminster's population?  |  |
|            | Age  |  |
|            | Disability   |  |
|            | Gender   |  |
|            | Race   |  |
|            | Religion or belief   |  |
|            | Sexual orientation   |  |

|            |   |
|------------|---|
| <b>2.2</b> | <b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster’s population is on the Equalities page on the WIRE.</i> |
|            | <i>If yes, provide details.</i>   |
| <b>2.3</b> | <b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i>   |
|            | <i>If yes, provide details.</i>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>   |
|            | <p><i>It is helpful to identify whether you have conducted any consultations for your proposal, in some cases a statutory consultation is required. If your proposal has not required a consultation, please highlight this here. Consultations will help you identify what the potential impact of your proposal might be.</i></p>                                  |
| <b>3.2</b> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p>  |
|            | <p><i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i></p> |

**SECTION 4: REDUCING & MITIGATING IMPACT**

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

|            |  |   |
|------------|--|---|
| <b>4.1</b> | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |   |
|            | <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p>                         |   |
|            | <b>Column A – Issues or barriers, things to take into account</b>  | <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |
|            |  |   |
|            |  |   |
|            |  |   |
|            |  |   |
|            |  |   |
|            | <i>Enter additional rows if require</i>  |   |
| <b>4.2</b> | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>  |   |
|            | <input type="checkbox"/> 1. No major change (no impacts identified)  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups.                                      |
|            | <input type="checkbox"/> 2. Adjust the policy  | You will take steps to remove barriers or to better advance equality.   |
|            | <input type="checkbox"/> 3. Continue the policy (impacts identified)   | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.   |
|            | <input type="checkbox"/> 4. Stop and remove the policy   | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.  |

|            |  |
|------------|--|
|            |  |
| <b>4.3</b> | <b>Please document the reasons for your decision</b> |
|            |  |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

| <b>5.1</b> | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |                          |                  |                  |                                      |                            |     |
|------------|--|--------------------------|------------------|------------------|--------------------------------------|----------------------------|-----|
| Page 397   | Action Required  | Equality Groups Targeted | Intended outcome | Resources Needed | Name of Lead, Unit & Contact Details | Completion Date (DD/MM/YY) | RAG |
|            |  |                          |                  |                  |                                      |                            |     |
|            |  |                          |                  |                  |                                      |                            |     |
|            |  |                          |                  |                  |                                      |                            |     |
|            |  |                          |                  |                  |                                      |                            |     |
|            | <i>Enter additional rows if required</i>   |                          |                  |                  |                                      |                            |     |

| THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER |       |
|--|-------|
| SIGNATURE:   | ..... |
| FULL NAME:   | ..... |
| UNIT:  | ..... |
| EMAIL & TELEPHONE EXT:                                       | ..... |
| DATE (DD/MM/YYYY):   | ..... |

**WHAT NEXT?**

It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.

All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.

All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

| Title  |  |
|--|--|
| <b>7.12 Sports and leisure savings Phase 2</b>   |  |
| What are you analysing?  |  |
| <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>  |  |
| <p>This EIA seeks to assess the equality impacts concerning the sports and leisure transformation programme (phase 1 and 2) for 2018/19- 2019/20 which form part of the Council's Medium Term Plan savings.</p> <p>The key activities which form part of this transition programme include:</p> <ol style="list-style-type: none"> <li>1. The closure of the existing Jubilee Sports Centre and the opening of the new Moberly Sports Centre and</li> <li>2. The achievement of savings arising from the re-procurement of the Councils sports and leisure facility management contract, which was awarded to Sports and Leisure Management (SLM) and commenced on 1<sup>st</sup> July 2016</li> </ol> <p>Given the universal nature of the services being delivered (i.e. they are open to the whole community) and as many of the services will continue to be delivered to at least the same standard (under a specification and contract for services) by an external partner(s), <b>it is not felt that there are any impacts on people who share a protected characteristic under the Equality Act 2010.</b></p> <p>It is not felt that either of the activities above will impact on any group more than others or that the opportunity to access services will change.</p> |  |
| Details of the lead person completing the screening/EIA  |  |
| (i) Full Name:   | Richard Barker   |
| (ii) Position:   | Director of Community Services   |
| (iii) Unit:  | Community Services (City Management and Communities)   |
| (iii) Contact Details:   | (e) <a href="mailto:rbarker@westminster.gov.uk">rbarker@westminster.gov.uk</a> (t) 020 7641 2693 |
| Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a>  |  |
| 16/8/17  |  |
| Version number and date of update  |  |
| V1   |  |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |                                     |   |                          |                          |
|---|--|-------------------------------------|---|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                                     |   |                          |                          |
|   |  | <b>None</b>                         | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  |                                     | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |                                     |   |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                                     |   |                          |                          |
|   | <b>None/ Minimal</b>   |                                     | <b>Significant</b>  |                          |                          |
|   | <input checked="" type="checkbox"/>  |                                     | <input type="checkbox"/>  |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |                                     |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>   |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | <p>The new facilities being developed through the Moberly/ Jubilee project will provide a wider range of opportunities than currently available and the range of programmes and services within and around these facilities (i.e. through specified outreach programmes) will broaden opportunities for the whole community, including protected groups.</p> <p>The new leisure management contract has been awarded and the specification for this service will ensure an increase in opportunities rather than any reductions.</p> |

## EQUALITY IMPACT ASSESSMENT

### SECTION 2: BUILDING AN EVIDENCE BASE

|   |  |   |   |     |            |        |      |                    |  |
|---|--|---|---|-----|------------|--------|------|--------------------|--|
| <b>3.1</b>  | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |   |   |     |            |        |      |                    |  |
|   | <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul>   |   |   |     |            |        |      |                    |  |
|   | <table border="1"> <tr> <td>How many people use the service currently? What is this as a % of Westminster’s population?</td> <td rowspan="6"> <p>The Council’s portfolio of sports and leisure facilities attract over 3.5 million visits per annum. The services are universal in their nature the activities and programmes promoted seek to attract the whole community.</p> <p><b>Appendix 1</b> provides a summary of participation levels in sport and physical activity in Westminster including a breakdown of key groups and also includes data and a breakdown of members from the Council’s leisure centres by gender and ethnicity.</p> </td> </tr> <tr> <td>Age</td> </tr> <tr> <td>Disability</td> </tr> <tr> <td>Gender</td> </tr> <tr> <td>Race</td> </tr> <tr> <td>Religion or belief</td> </tr> </table> | How many people use the service currently? What is this as a % of Westminster’s population? | <p>The Council’s portfolio of sports and leisure facilities attract over 3.5 million visits per annum. The services are universal in their nature the activities and programmes promoted seek to attract the whole community.</p> <p><b>Appendix 1</b> provides a summary of participation levels in sport and physical activity in Westminster including a breakdown of key groups and also includes data and a breakdown of members from the Council’s leisure centres by gender and ethnicity.</p> | Age | Disability | Gender | Race | Religion or belief |  |
| How many people use the service currently? What is this as a % of Westminster’s population? | <p>The Council’s portfolio of sports and leisure facilities attract over 3.5 million visits per annum. The services are universal in their nature the activities and programmes promoted seek to attract the whole community.</p> <p><b>Appendix 1</b> provides a summary of participation levels in sport and physical activity in Westminster including a breakdown of key groups and also includes data and a breakdown of members from the Council’s leisure centres by gender and ethnicity.</p>  |   |   |     |            |        |      |                    |  |
| Age   |  |   |   |     |            |        |      |                    |  |
| Disability  |  |   |   |     |            |        |      |                    |  |
| Gender  |  |   |   |     |            |        |      |                    |  |
| Race  |  |   |   |     |            |        |      |                    |  |
| Religion or belief  |  |   |   |     |            |        |      |                    |  |

|            |   |  |
|------------|---|--|
|            | Sexual orientation  |  |
| <b>2.2</b> | <b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i> |  |
|            | <p><i>If yes, provide details.</i></p> <p>Generally participation levels in Westminster are higher than the London and national average figures and participation by some equality groups (e.g. women and those from Black and Minority Ethnic backgrounds) is higher than the London average.</p>  |  |
| <b>2.3</b> | <b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i>   |  |
|            | <p><i>If yes, provide details.</i></p> <p>Overall, and recognising the limitations of the data available, there is a reasonable representation relative to the size of the population and relative to the London wide and national comparators.</p>   |  |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|     |  |
|-----|--|
| 3.1 | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>   |
|     | <p><i>It is helpful to identify whether you have conducted any consultations for your proposal, in some cases a statutory consultation is required. If your proposal has not required a consultation, please highlight this here. Consultations will help you identify what the potential impact of your proposal might be.</i></p> <p>An extensive programme of consultation was undertaken as part of the proposals to redevelop the Moberly and Jubilee Sports Centre sites. Key consultation activities included:</p> <ul style="list-style-type: none"> <li>• engaging with local Ward Members and meeting with key resident groups</li> <li>• writing to all local residents within a 1 mile catchment of both sports centres on two occasions</li> <li>• writing to key amenity societies and community groups and asking for their feedback</li> <li>• liaising with community groups, local GPs, schools and head teachers, the youth service, the local police Chief Superintendent and the Council’s crime policy team</li> <li>• contacting all key hirers and schools and all centre members that use both centres and asking for their feedback</li> <li>• displaying information and plans on the proposals in both sports centres (letters on reception, posters advertising the consultation events)</li> <li>• holding consultation ‘drop in’ events at both centres over two days in April and two days in July</li> <li>• attending resident consultation meetings and a special meeting organised by the ‘Save Jubilee Sports Centre’ campaigners to discuss the proposals</li> <li>• communicating the proposals through media releases, a dedicated section on the Council’s website and inclusion in the Westminster Reporter</li> <li>• information signposting to the website was also in the April-September 2012 ActiveWestminster Guide, which has a circulation of 10,000 copies.</li> </ul> <p>The details regarding the consultation are available in a Cabinet Member report titled ‘a formal response to the consultation regarding proposals for a new Moberly Sports Centre’ dated 28th August 2012.</p> |

|     |  |
|-----|--|
| 3.2 | <p><b>What might the potential impact on individuals or groups be?</b></p> <p><i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p>  |
|     | <p><i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i></p> <p>Given the universal nature of the services being delivered (i.e. they are open to the whole community) and as many of the services will continue to be delivered to at least the same standard (and under a specification and contract for services) by an external partner(s), <b>it is not felt that there are any impacts on people who share a protected characteristic under the Equality Act 2010.</b></p> <p>It is not felt that either of the activities above will impact on any group more than others or that the opportunity to access services will change.</p> <p>The overall offer for sports and leisure services will increase and improve as a result of the 2 key activities detailed in this EIA which will benefit the whole community, including protected groups.</p> |

## SECTION 4: REDUCING & MITIGATING IMPACT

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| 4.1 | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |   |
|-----|--|---|
|     | Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.                                |   |
|     | <b>Column A – Issues or barriers, things to take into account</b>  | <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).   |
|     | Closure of Jubilee Sports Centre   | <p>Having considered the permanent closure of the Jubilee Sports Centre it is not anticipated that there will be a significant negative impact on protected groups such as young people, older people and those with disabilities as the creation of a new £26m sports centre 0.6 miles away at Moberly will be larger than the two existing sports centres combined and will offer new and state of the art facilities, a variety of improved, targeted and universal programmes and a fees and charges policy which is consistent with the existing centres. In addition, as a direct result of public consultation there will be a smaller community sports facility at the Jubilee site as well as an upgrade of the pitch and a new outdoor fitness facility at nearby Queen’s Park Gardens.</p> <p>Sport England facility planning research regarding the proposals shows that the overall sports and leisure facility offer will not be detrimentally affected by the closure of the swimming pool at Jubilee (and the new Moberly will provide a better overall offer with main pool and dedicated learner pool) once complete. The Jubilee site will remain open until the new Moberly facility is complete to ensure a continuity of swimming provision for the Queens Park area.</p> |
|     | New Moberly Sports Centre  | <p>The creation of the new £26m public sports facility at Moberly will be a vast improvement on the current overall sporting offer in the most deprived part of Westminster (Queen’s Park). When looking at the impact on key groups such as young people, older people and those with disabilities it is clear that the combination of new and bigger spatial areas and facilities (ie 2 pools) will be very beneficial for these groups with the smaller teaching pool being able to accommodate targeted sessions. The new centre will be fully IFI accredited (Inclusive Fitness Initiative) and will</p>   |

|  |  |   |
|--|--|---|
|  |  | <p>much improve the quality of the offer for users with disabilities. There will also be dedicated disabled parking and a drop off and pick up area at the new sports centre. The development of basketball and boxing at the new centre will be important for engagement with hard to reach younger people who are normally reached via estates based programming (over 130 free hours offered across Westminster each week) and free to access activity on outdoor Multiple Use Games Areas (MUGAs) which will be enhanced by the upgrading of the facilities at nearby Queens Park Gardens.</p> <p>This is a project which the ActiveWestminster Board, Sport England and local clubs support. In addition the new centre (managed by an operator on the Council's behalf) will be able to offer a much more comprehensive programme of activities for these groups and will work with clubs and organisations through ActiveWestminster to ensure that the all Westminster residents can benefit from the improvements. It is anticipated that usage of the new facility will be significantly higher than that for the existing facilities combined.</p> |
|--|--|---|

**4.2 Now that you have considered the potential or actual effect on equality, what action are you taking?**

|                                     |   |  |
|-------------------------------------|---|--|
| <input checked="" type="checkbox"/> | 1. No major change (no impacts identified)  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |
| <input type="checkbox"/>            | 2. Adjust the policy                        | You will take steps to remove barriers or to better advance equality.  |
| <input type="checkbox"/>            | 3. Continue the policy (impacts identified) | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.  |
| <input type="checkbox"/>            | 4. Stop and remove the policy               | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |

|     |  |
|-----|--|
| 4.3 | <b>Please document the reasons for your decision</b>   |
|     | <p>As noted earlier it is not felt that there are any impacts on people who share a protected characteristic as:</p> <ul style="list-style-type: none"><li>• Given the universal nature of the services being delivered (ie they are open to the whole community) and as many of the services will continue to be delivered to at least the same standard (and under a specification and contract for services) by an external partner(s),</li><li>• It is not felt that either of the activities above will impact on any group more than others or that the opportunity to access services will change.</li><li>• The overall offer for sports and leisure services will increase and improve as a result of the 2 key activities detailed in this EIA which will benefit the whole community, including protected groups.</li></ul> |

## SECTION 5: ACTION PLAN

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |   |                                |   |  |                     |
|---|--|--|---|--------------------------------|---|--|---------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |   |                                |   |  |                     |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 408</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p>           | <p><b>Intended outcome</b></p>  | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p>              | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p>   |
|   | <p>To ensure the detailed design of new facilities (including the new Moberly Centre and new community facilities on the Jubilee site) promote universal opportunities including groups with protected characteristics.</p>  | <p>All groups</p>                                | <p>New facilities encourage access for the whole community and promote the requirements of the Equality Act 2010</p>                        | <p>N/A</p>                     | <p>Richard Barker<br/>Director of Community Services</p>            | <p>2017/18</p>                           | <p><b>Green</b></p> |
|   | <p>To develop a programme of activities for users with disabilities at the community sports facility at Jubilee (in addition to those at the new Moberly) to mitigate any impact of the closure of Jubilee Sports Centre</p>   | <p>Residents with disabilities/ older people</p> | <p>That people in this grouping are engaged and assisted in accessing and participating in sport and leisure activities in Queen's Park</p> | <p>N/A</p>                     | <p>Richard Barker<br/>Director of Sports, Leisure and Wellbeing</p> | <p>2018/19</p>                           | <p><b>Green</b></p> |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER****SIGNATURE:** .....**FULL NAME:** Richard Barker**UNIT:** Community Services, City Management and Communities**EMAIL & TELEPHONE EXT:** rbarker@westminster.gov.uk**DATE (DD/MM/YYYY):** 16/8/17**WHAT NEXT?**

**It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.**

**All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.**

**All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)**

|   |
|---|
| Title   |
| <b>7.15 Libraries &amp; Archives – stock efficiencies of £100,000</b>   |
| What are you analysing?   |
| <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>   |
| <ul style="list-style-type: none"> <li>• This project will reduce the expenditure on new books and other library resources by £100,000</li> <li>• The service has already made substantial savings as part of its transformation programme which delivered £750,000 savings this financial year. Even so, Westminster remains the highest spending authority per resident for library services in England, with amongst the highest spend on library stock (books, periodicals and online databases) of any</li> <li>• The service has already reduced expenditure on stock as part of the digital programme in 2016/17, saving £275,000. The approach has been to foster and drive use of online resources in preference to print, reducing the impact of the saving by continuing to provide the same wide range of information, knowledge and literature in forms that are often cheaper to acquire, store and use. It has the added benefit of making the content more accessible – for example, comparing 24/7 access from anywhere to e-books with the traditional library model of a print book that is available from one location to a single user at a time</li> <li>• This benefits customers with better flexibility and convenience, and the service with reduced costs</li> <li>• The approach is already tried and tested in the service, and in other library services nationally</li> <li>• In addition to this contracts will be reviewed to ensure that they are best servicing the changing customer need and to ensure that we are getting best value for money from our stock contracts.</li> </ul> |
| Details of the lead person completing the screening/EIA   |
| (iv) Full Name: Mike Clarke   |
| (ii) Position: Director of Libraries & Culture  |
| (iii) Unit: Libraries & Culture   |
| (iii) Contact Details: x2199  |
| Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a>   |
| Version number and date of update   |
| <i>You will need to update your EIA as you move through the decision-making process. Record the version number here and the date you updated the EIA. Keep all versions so you have evidence that you have considered equality throughout the process.</i>  |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

| 1.1 Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative? |                                     |   |                                     |                          |
|---|-------------------------------------|---|-------------------------------------|--------------------------|
|   | None                                | Positive  | Negative                            | Not sure                 |
| Disabled people   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/>            | <input type="checkbox"/> |
| Particular ethnic groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/>            | <input type="checkbox"/> |
| Men or women (include impacts due to pregnancy/ maternity)  | <input type="checkbox"/>            | <input type="checkbox"/>  | <input type="checkbox"/>            | <input type="checkbox"/> |
| People or particular sexual orientation/s   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/>            | <input type="checkbox"/> |
| People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/>            | <input type="checkbox"/> |
| People on low incomes   | <input type="checkbox"/>            | <input type="checkbox"/>  | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| People in particular age groups   | <input type="checkbox"/>            | <input type="checkbox"/>  | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Groups with particular faiths and beliefs   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/>            | <input type="checkbox"/> |
| Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?   |                                     | <input type="checkbox"/>  | <input type="checkbox"/>            |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b>   |                                     |   |                                     |                          |
| 1.2 What do you think that the overall NEGATIVE impact on groups and communities will be?   |                                     |   |                                     |                          |
| <b>None/ Minimal</b>  |                                     | <b>Significant</b>  |                                     |                          |
| <input checked="" type="checkbox"/>   |                                     | <input type="checkbox"/>  |                                     |                          |
| None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                      |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                                     |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>   |                                     |   |                                     |                          |

|     |  |
|-----|--|
|     | <p>There is a possibility of an impact on two groups:</p> <p><b>People on low incomes:</b> It is possible that there will be some marginal reduction in the overall range and scope of library collections because the e-lending market is not yet fully matured and not all titles are available to libraries for loan. Some publishers do not permit e-lending of their products, or place limitations on it. A shift to digital may therefore disadvantage some library users who cannot afford to purchase all the reading and information material they require and may not be able to obtain all their needs from the library because of these limitations.</p> <p><b>People in particular age groups:</b> older library users are less likely to use digital to access reading and information needs than younger age groups, so may be disadvantaged by digital channel shift if the items they require are not available in print.</p> <p>Both these impacts can be mitigated by careful purchasing to ensure the service continues to offer a good range of materials in print as well as digital. Although there will be reductions in the print items bought, there will continue to be a substantial budget for print materials – larger than most other local authority library services. Particular care will be given to ensure that it is not assumed that a digital copy alone is sufficient for all needs, and in purchasing stock most likely to appeal to elders there will continue to be a priority for printed items.</p> <p>For these reasons, the impact on these groups is likely to be negligible as experience has already shown with the previous digital savings.</p> |
| 1.3 | <p><b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b></p>  |
|     | <p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>   |
| 1.4 | <p><b>How have you come to this decision?</b></p>  |
|     | <p>Purchase of stock will continue to include a wide range of materials in both print and digital formats and care will be taken to mitigate the effects on the two groups identified as at risk of disadvantage. Since Westminster will remain one of the highest spending authorities for library stock in the country, it is considered that this reduction can be absorbed and quality of service maintained with monitoring to ensure that usage of library stock remains high and take up of new digital services grows.</p>   |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|   |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
|---|--|---|--|-----|--|------------|--|--------|--|------|--|--------------------|--|--------------------|--|
| <b>2.1</b>  | <p><b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b></p> <ul style="list-style-type: none"> <li>• <i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li>• <i>A baseline of data is <a href="#">available here</a></i></li> </ul>   |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
|   | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 40%; padding: 5px;">How many people use the service currently? What is this as a % of Westminster’s population?</td> <td style="width: 60%;"></td> </tr> <tr> <td style="padding: 5px;">Age</td> <td></td> </tr> <tr> <td style="padding: 5px;">Disability</td> <td></td> </tr> <tr> <td style="padding: 5px;">Gender</td> <td></td> </tr> <tr> <td style="padding: 5px;">Race</td> <td></td> </tr> <tr> <td style="padding: 5px;">Religion or belief</td> <td></td> </tr> <tr> <td style="padding: 5px;">Sexual orientation</td> <td></td> </tr> </table> | How many people use the service currently? What is this as a % of Westminster’s population? |  | Age |  | Disability |  | Gender |  | Race |  | Religion or belief |  | Sexual orientation |  |
| How many people use the service currently? What is this as a % of Westminster’s population? |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| Age   |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| Disability  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| Gender  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| Race  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| Religion or belief  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| Sexual orientation  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| <b>2.2</b>  | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster’s population is on the Equalities page on the WIRE.</i></p>   |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
|   | <p><i>If yes, provide details.</i></p>   |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |

|            |   |
|------------|---|
| <b>2.3</b> | <b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i> |
|            | <i>If yes, provide details.</i>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <b>Consultation Information</b><br><i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i>  |
|            | <p><i>It is helpful to identify whether you have conducted any consultations for your proposal, in some cases a statutory consultation is required. If your proposal has not required a consultation, please highlight this here. Consultations will help you identify what the potential impact of your proposal might be.</i></p>                                  |
| <b>3.2</b> | <b>What might the potential impact on individuals or groups be?</b><br><i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i>   |
|            | <p><i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i></p> |



| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 418</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

**SIGNATURE:** .....

**FULL NAME:** .....

**UNIT:** .....

**EMAIL & TELEPHONE EXT:** .....

**DATE (DD/MM/YYYY):** .....

**WHAT NEXT?**

**It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.**

**All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.**

**All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)**

| Title  |
|--|
| <b>7.16 Libraries &amp; Archives – additional commercial activity £50,000</b>  |
| What are you analysing?  |
| <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>  |
| <ul style="list-style-type: none"> <li>• This project proposes to generate an additional £50,000 of income through extending commercial activity in libraries</li> <li>• Although the core service is free at point of use, libraries already raise income through charges levied on overdue books, and for the hire of DVDs and CDs, together with room hire and copy/print charges. However, some of these are in longterm decline due to channel shift – for example e-books cannot be overdue, so there is no income potential compared to printed items</li> <li>• Libraries need to find new and sustainable ways to generate income which will protect the core service but also be complementary to the library space, providing additional “added value” services for customers</li> <li>• Some quick wins – smallscale, easily implemented – have already been introduced eg coffee vending, Amazon lockers and it is proposed to build on these while adding some larger scale services</li> <li>• Examples include retail points of sale selling merchandise and co-working hubs for microbusinesses and start ups. The exact range and nature will depend on the varied library spaces available and suitability/ROI assessments</li> <li>• This project is necessary as an alternative to reducing library budgets and potentially reducing opening hours</li> </ul> |
| Details of the lead person completing the screening/EIA  |
| (v) Full Name: Mike Clarke   |
| (ii) Position: Director of Libraries & Culture   |
| (iii) Unit: Libraries & Culture  |
| (iv) Contact Details: x2199  |
| Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a>  |
| Version number and date of update  |
| <i>You will need to update your EIA as you move through the decision-making process. Record the version number here and the date you updated the EIA. Keep all versions so you have evidence that you have considered equality throughout the process.</i>   |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |                                     |   |                          |                          |
|---|--|-------------------------------------|---|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                                     |   |                          |                          |
|   |  | <b>None</b>                         | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <input type="checkbox"/>            | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  |                                     | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |                                     |   |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                                     |   |                          |                          |
|   | <b>None/ Minimal</b>   |                                     | <b>Significant</b>  |                          |                          |
|   | <input checked="" type="checkbox"/>  |                                     | <input type="checkbox"/>  |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |                                     |   |                          |                          |

|            |   |
|------------|---|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>  |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>   |
| <b>1.4</b> | <b>How have you come to this decision?</b>  |
|            | Introducing additional commercial activity should not disadvantage any group and will provide advantages to all of a sustainable service and more reasons to visit a library, potentially growing use. Any new services introduced will be carefully managed to make use of under-utilised space or will replace unused or outmoded facilities. This should provide a positive change for all library users and attract new users not currently engaging with library services. |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|            |  |  |
|------------|--|--|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |  |
|            | <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul> |  |
|            | How many people use the service currently? What is this as a % of Westminster’s population?  |  |
|            | Age  |  |
|            | Disability   |  |
|            | Gender   |  |
|            | Race   |  |
|            | Religion or belief   |  |
|            | Sexual orientation   |  |

|     |  |
|-----|--|
| 2.2 | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></p> |
|     | <p><i>If yes, provide details.</i></p>   |
| 2.3 | <p><b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>   |
|     | <p><i>If yes, provide details.</i></p>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>   |
|            | <p><i>It is helpful to identify whether you have conducted any consultations for your proposal, in some cases a statutory consultation is required. If your proposal has not required a consultation, please highlight this here. Consultations will help you identify what the potential impact of your proposal might be.</i></p>                                  |
| <b>3.2</b> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p>  |
|            | <p><i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i></p> |

## SECTION 4: REDUCING & MITIGATING IMPACT

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| 4.1   | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|---|---|--|---|---|--|--------------------------|-----------------------------|---|--------------------------|--|---|--------------------------|--------------------------------------|--|--|--|---|--|
|   | <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p> <table border="1" data-bbox="264 689 1538 1384"> <thead> <tr> <th data-bbox="264 689 746 831"> <b>Column A – Issues or barriers, things to take into account</b> </th> <th data-bbox="746 689 1538 831"> <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).           </th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr> <td data-bbox="264 1294 746 1384"><i>Enter additional rows if require</i></td> <td data-bbox="746 1294 1538 1384"> </td> </tr> </tbody> </table>  |  | <b>Column A – Issues or barriers, things to take into account</b> | <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  | <i>Enter additional rows if require</i> |  |
| <b>Column A – Issues or barriers, things to take into account</b> | <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <i>Enter additional rows if require</i>                           |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| 4.2   | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   | <table border="1" data-bbox="264 1592 1538 2029"> <tbody> <tr> <td data-bbox="264 1592 371 1749"> <input type="checkbox"/> </td> <td data-bbox="371 1592 719 1749"> <b>1. No major change (no impacts identified)</b> </td> <td data-bbox="719 1592 1538 1749">           Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.         </td> </tr> <tr> <td data-bbox="264 1749 371 1832"> <input type="checkbox"/> </td> <td data-bbox="371 1749 719 1832"> <b>2. Adjust the policy</b> </td> <td data-bbox="719 1749 1538 1832">           You will take steps to remove barriers or to better advance equality.         </td> </tr> <tr> <td data-bbox="264 1832 371 1951"> <input type="checkbox"/> </td> <td data-bbox="371 1832 719 1951"> <b>3. Continue the policy (impacts identified)</b> </td> <td data-bbox="719 1832 1538 1951">           You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.         </td> </tr> <tr> <td data-bbox="264 1951 371 2029"> <input type="checkbox"/> </td> <td data-bbox="371 1951 719 2029"> <b>4. Stop and remove the policy</b> </td> <td data-bbox="719 1951 1538 2029">           There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.         </td> </tr> </tbody> </table> |  | <input type="checkbox"/>  | <b>1. No major change (no impacts identified)</b>   | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. | <input type="checkbox"/> | <b>2. Adjust the policy</b> | You will take steps to remove barriers or to better advance equality. | <input type="checkbox"/> | <b>3. Continue the policy (impacts identified)</b> | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified. | <input type="checkbox"/> | <b>4. Stop and remove the policy</b> | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating. |  |  |   |  |
| <input type="checkbox"/>  | <b>1. No major change (no impacts identified)</b>   | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>2. Adjust the policy</b>   | You will take steps to remove barriers or to better advance equality.  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>3. Continue the policy (impacts identified)</b>  | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>4. Stop and remove the policy</b>  | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |

|            |  |
|------------|--|
|            |  |
| <b>4.3</b> | <b>Please document the reasons for your decision</b> |
|            |  |



**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

**SIGNATURE:** .....

**FULL NAME:** .....

**UNIT:** .....

**EMAIL & TELEPHONE EXT:** .....

**DATE (DD/MM/YYYY):** .....

**WHAT NEXT?**

**It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.**

**All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.**

**All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)**

|   |  |
|---|--|
| Title   |  |
| <b>7.18 Leisure Additional Income</b>   |  |
| What are you analysing?   |  |
| <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>   |  |
| <p>This EIA seeks to assess the equality impacts concerning proposals for additional income from the Council's leisure services which forms part of the Council's Medium Term Plan savings for 18/19.</p> <p>A differentiated and market driven approach is already in place for fees and charges for sports and leisure services and the proposal will expand opportunities to further increase charges for key high demand/ commercial activities (e.g. commercial events and commercial activities within the Outdoor Learning Unit).</p> <p>Savings will be delivered through an increase in income for direct delivered services and some contractual savings through the leisure contract. It is not anticipated that the proposal will include any FTE reductions.</p> <p>Given the universal nature of the services being delivered (i.e. they are open to the whole community), given the fees and charges structures for the service seek to promote participation for the whole community (i.e. discounts are offered for residents and concessionary groups) and as many of the services will continue to be delivered to at least the same standard (both directly and under a specification and contract for services) by an external partner, <b>it is not felt that there are any impacts on people who share a protected characteristic under the Equality Act 2010.</b></p> <p>It is not felt that either of the activities above will impact on any group more than others or that the opportunity to access services will change.</p> |  |
| Details of the lead person completing the screening/EIA   |  |
| (i) Full Name:  | Richard Barker   |
| (ii) Position:  | Director of Community Services   |
| (iii) Unit:   | Community Services (City Management and Communities)   |
| (iii) Contact Details:  | (e) <a href="mailto:rbarker@westminster.gov.uk">rbarker@westminster.gov.uk</a> (t) 020 7641 2693 |
| Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a>   |  |
| 16/8/17   |  |
| Version number and date of update   |  |
| V1  |  |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

| 1.1 Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative? |                                     |   |                          |                          |
|---|-------------------------------------|---|--------------------------|--------------------------|
|   | None                                | Positive  | Negative                 | Not sure                 |
| Disabled people   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Particular ethnic groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Men or women (include impacts due to pregnancy/ maternity)  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People or particular sexual orientation/s   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People on low incomes   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People in particular age groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Groups with particular faiths and beliefs   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?   |                                     | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b>   |                                     |   |                          |                          |
| 1.2 What do you think that the overall NEGATIVE impact on groups and communities will be?   |                                     |   |                          |                          |
| <b>None/ Minimal</b>  |                                     | <b>Significant</b>  |                          |                          |
| <input checked="" type="checkbox"/>   |                                     | <input type="checkbox"/>  |                          |                          |
| None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                      |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>   |                                     |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>   |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | <p>The new leisure management contract has been awarded and the specification for this service will ensure an increase in opportunities rather than any reductions.</p> <p>The services concerned are of a universal nature delivered (i.e. they are open to the whole community) and fees and charges structures for the service seek to promote participation for the whole community (i.e. discounts are offered for residents and concessionary groups).</p> <p>It is not anticipated that there will be a change in the quality or breadth of services provided (both directly and under a specification and contract for services) by an external partner.</p> |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|   |  |   |   |     |            |        |      |                    |  |
|---|--|---|---|-----|------------|--------|------|--------------------|--|
| <b>3.1</b>  | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |   |   |     |            |        |      |                    |  |
|   | <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul>   |   |   |     |            |        |      |                    |  |
|   | <table border="1"> <tr> <td>How many people use the service currently? What is this as a % of Westminster's population?</td> <td rowspan="6"> <p>The Council's portfolio of sports and leisure facilities attract over 3.5 million visits per annum. The services are universal in their nature the activities and programmes promoted seek to attract the whole community.</p> <p><b>Appendix 1</b> provides a summary of participation levels in sport and physical activity in Westminster including a breakdown of key groups and also includes data and a breakdown of members from the Council's leisure centres by gender and ethnicity.</p> </td> </tr> <tr> <td>Age</td> </tr> <tr> <td>Disability</td> </tr> <tr> <td>Gender</td> </tr> <tr> <td>Race</td> </tr> <tr> <td>Religion or belief</td> </tr> </table> | How many people use the service currently? What is this as a % of Westminster's population? | <p>The Council's portfolio of sports and leisure facilities attract over 3.5 million visits per annum. The services are universal in their nature the activities and programmes promoted seek to attract the whole community.</p> <p><b>Appendix 1</b> provides a summary of participation levels in sport and physical activity in Westminster including a breakdown of key groups and also includes data and a breakdown of members from the Council's leisure centres by gender and ethnicity.</p> | Age | Disability | Gender | Race | Religion or belief |  |
| How many people use the service currently? What is this as a % of Westminster's population? | <p>The Council's portfolio of sports and leisure facilities attract over 3.5 million visits per annum. The services are universal in their nature the activities and programmes promoted seek to attract the whole community.</p> <p><b>Appendix 1</b> provides a summary of participation levels in sport and physical activity in Westminster including a breakdown of key groups and also includes data and a breakdown of members from the Council's leisure centres by gender and ethnicity.</p>  |   |   |     |            |        |      |                    |  |
| Age   |  |   |   |     |            |        |      |                    |  |
| Disability  |  |   |   |     |            |        |      |                    |  |
| Gender  |  |   |   |     |            |        |      |                    |  |
| Race  |  |   |   |     |            |        |      |                    |  |
| Religion or belief  |  |   |   |     |            |        |      |                    |  |

|            |  |  |
|------------|--|--|
|            | Sexual orientation   |  |
| <b>2.2</b> | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></p> |  |
|            | <p><i>If yes, provide details.</i></p> <p>Generally participation levels in Westminster are higher than the London and national average figures and participation by some equality groups (e.g. women and those from Black and Minority Ethnic backgrounds) is higher than the London average.</p>   |  |
| <b>2.3</b> | <p><b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>   |  |
|            | <p><i>If yes, provide details.</i></p> <p>Overall, and recognising the limitations of the data available, there is a reasonable representation relative to the size of the population and relative to the London wide and national comparators.</p>  |  |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|                   |  |
|-------------------|--|
| <p><b>3.1</b></p> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>   |
|                   | <p><i>It is helpful to identify whether you have conducted any consultations for your proposal, in some cases a statutory consultation is required. If your proposal has not required a consultation, please highlight this here. Consultations will help you identify what the potential impact of your proposal might be.</i></p> <p>As it is note anticipated that there will be a significant change to the services provided for users, there has not been any consultation undertaken for these proposals.</p>   |
| <p><b>3.2</b></p> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p>  |
|                   | <p><i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i></p> <p>Given the universal nature of the services being delivered (i.e. they are open to the whole community) and as many of the services will continue to be delivered to at least the same standard (and under a specification and contract for services) by an external partner(s), <b>it is not felt that there are any impacts on people who share a protected characteristic under the Equality Act 2010.</b></p> <p>It is not felt that either of the activities above will impact on any group more than others or that the opportunity to access services will change.</p> |

## SECTION 4: REDUCING & MITIGATING IMPACT

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| <b>4.1</b>   | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).   |  |  |  |  |                          |                      |   |                          |   |   |                          |                               |  |
|--|--|--|--|--|--|--------------------------|----------------------|---|--------------------------|---|---|--------------------------|-------------------------------|--|
|  | <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p> <table border="1" data-bbox="264 689 1540 1014"> <thead> <tr> <th data-bbox="264 689 746 831">Column A – Issues or barriers, things to take into account</th> <th data-bbox="746 689 1540 831">Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).</th> </tr> </thead> <tbody> <tr> <td data-bbox="264 831 746 922">N/A</td> <td data-bbox="746 831 1540 922"></td> </tr> <tr> <td data-bbox="264 922 746 1014"></td> <td data-bbox="746 922 1540 1014"></td> </tr> </tbody> </table>  |  | Column A – Issues or barriers, things to take into account | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). | N/A  |                          |                      |   |                          |   |   |                          |                               |  |
| Column A – Issues or barriers, things to take into account | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).   |  |  |  |  |                          |                      |   |                          |   |   |                          |                               |  |
| N/A  |  |  |  |  |  |                          |                      |   |                          |   |   |                          |                               |  |
|  |  |  |  |  |  |                          |                      |   |                          |   |   |                          |                               |  |
| <b>4.2</b>   | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>  |  |  |  |  |                          |                      |   |                          |   |   |                          |                               |  |
|  | <table border="1" data-bbox="264 1227 1540 1659"> <tbody> <tr> <td data-bbox="264 1227 371 1384"><input checked="" type="checkbox"/></td> <td data-bbox="371 1227 719 1384">1. No major change (no impacts identified)</td> <td data-bbox="719 1227 1540 1384">Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.</td> </tr> <tr> <td data-bbox="264 1384 371 1462"><input type="checkbox"/></td> <td data-bbox="371 1384 719 1462">2. Adjust the policy</td> <td data-bbox="719 1384 1540 1462">You will take steps to remove barriers or to better advance equality.</td> </tr> <tr> <td data-bbox="264 1462 371 1581"><input type="checkbox"/></td> <td data-bbox="371 1462 719 1581">3. Continue the policy (impacts identified)</td> <td data-bbox="719 1462 1540 1581">You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.</td> </tr> <tr> <td data-bbox="264 1581 371 1659"><input type="checkbox"/></td> <td data-bbox="371 1581 719 1659">4. Stop and remove the policy</td> <td data-bbox="719 1581 1540 1659">There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.</td> </tr> </tbody> </table> |  | <input checked="" type="checkbox"/>                        | 1. No major change (no impacts identified)   | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. | <input type="checkbox"/> | 2. Adjust the policy | You will take steps to remove barriers or to better advance equality. | <input type="checkbox"/> | 3. Continue the policy (impacts identified) | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified. | <input type="checkbox"/> | 4. Stop and remove the policy | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating. |
| <input checked="" type="checkbox"/>                        | 1. No major change (no impacts identified)   | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |  |  |  |                          |                      |   |                          |   |   |                          |                               |  |
| <input type="checkbox"/>                                   | 2. Adjust the policy   | You will take steps to remove barriers or to better advance equality.  |  |  |  |                          |                      |   |                          |   |   |                          |                               |  |
| <input type="checkbox"/>                                   | 3. Continue the policy (impacts identified)  | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.  |  |  |  |                          |                      |   |                          |   |   |                          |                               |  |
| <input type="checkbox"/>                                   | 4. Stop and remove the policy  | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |  |  |  |                          |                      |   |                          |   |   |                          |                               |  |
| <b>4.3</b>   | <b>Please document the reasons for your decision</b>   |  |  |  |  |                          |                      |   |                          |   |   |                          |                               |  |
|  | <p>As noted earlier it is not felt that there are any impacts on people who share a protected characteristic as:</p> <ul data-bbox="316 1910 1540 2096" style="list-style-type: none"> <li>• Given the universal nature of the services being delivered (ie they are open to the whole community)</li> <li>• It is not felt that either of the activities above will impact on any group more than others or that the opportunity to access services will change.</li> <li>• The overall offer for sports and leisure services will remain unchanged</li> </ul>  |  |  |  |  |                          |                      |   |                          |   |   |                          |                               |  |

## SECTION 5: ACTION PLAN

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |   |                                |   |  |                     |
|---|--|--|---|--------------------------------|---|--|---------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |   |                                |   |  |                     |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 435</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p>           | <p><b>Intended outcome</b></p>  | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p>              | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p>   |
|   | <p>To ensure the detailed design of new facilities (including the new Moberly Centre and new community facilities on the Jubilee site) promote universal opportunities including groups with protected characteristics.</p>  | <p>All groups</p>                                | <p>New facilities encourage access for the whole community and promote the requirements of the Equality Act 2010</p>                        | <p>N/A</p>                     | <p>Richard Barker<br/>Director of Community Services</p>            | <p>2017/18</p>                           | <p><b>Green</b></p> |
|   | <p>To develop a programme of activities for users with disabilities at the community sports facility at Jubilee (in addition to those at the new Moberly) to mitigate any impact of the closure of Jubilee Sports Centre</p>   | <p>Residents with disabilities/ older people</p> | <p>That people in this grouping are engaged and assisted in accessing and participating in sport and leisure activities in Queen's Park</p> | <p>N/A</p>                     | <p>Richard Barker<br/>Director of Sports, Leisure and Wellbeing</p> | <p>2018/19</p>                           | <p><b>Green</b></p> |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER****SIGNATURE:** .....**FULL NAME:** Richard Barker**UNIT:** Community Services, City Management and Communities**EMAIL & TELEPHONE EXT:** rbarker@westminster.gov.uk**DATE (DD/MM/YYYY):** 16/8/17**WHAT NEXT?**

It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.

All EIAs for proposed changes to levels of service arising from budget proposals must be completed by **2 September 2016**.

All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

## Title

**7.21 CMC Controllable Spend Review**

What are you analysing?

- What is the purpose of the policy/project/activity/strategy?
- In what context will it operate?
- Who is it intended to benefit?
- What results are intended?
- Why is it needed?

Following a review of current budgets against historic spend levels, a saving of £550k in controllable spend has been identified across CMC. The breakdown of the detail of these savings can be found below. All savings involve retracting budgets where there have been historic underspends, and there are no service level or staffing implications associated with any of the savings.

| Saving area                                     | Service                         | Sum of £000s |
|---|---------------------------------|--------------|
| <b>Activities and Events</b>                    | Community Services              | 12.0         |
|   | Waste and Parks                 | 20.0         |
|   | Public Protection and Licensing | 3.0          |
| <b>Activities and Events Total</b>              |                                 | <b>35</b>    |
| <b>Bank Charges</b>                             | Parking                         | 60.9         |
| <b>Bank Charges Total</b>                       |                                 | <b>60.9</b>  |
| <b>Catering</b>                                 | Central CMC costs               | 0.1          |
| <b>Catering Total</b>                           |                                 | <b>0.1</b>   |
| <b>Hired and Contracted Services</b>            | Central CMC costs               | 20.5         |
|   | Waste and Parks                 | 30.0         |
|   | Libraries                       | 40.0         |
| <b>Hired and Contracted Services Total</b>      |                                 | <b>90.5</b>  |
| <b>IT Hardware Maintenance</b>                  | Central CMC costs               | 0.3          |
| <b>IT Hardware Maintenance Total</b>            |                                 | <b>0.3</b>   |
| <b>Legal Fees</b>                               | Public Protection and Licensing | 120.0        |
| <b>Legal Fees Total</b>                         |                                 | <b>120</b>   |
| <b>Private contractors</b>                      | Waste and Parks                 | 64.0         |
|   | Highways                        | 35.0         |
| <b>Private contractors Total</b>                |                                 | <b>99</b>    |
| <b>Rent</b>                                     | Public Protection and Licensing | 60.0         |
| <b>Rent Total</b>                               |                                 | <b>60</b>    |
| <b>Salaries*</b>                                | Community Services              | 20.1         |
| <b>Salaries Total</b>                           |                                 | <b>20.1</b>  |
| <b>Stationery</b>                               | Community Services              | 3.0          |
| <b>Stationery Total</b>                         |                                 | <b>3</b>     |
| <b>Telephony</b>                                | Central CMC costs               | 3.0          |
| <b>Telephony Total</b>                          |                                 | <b>3.0</b>   |
| <b>Training</b>                                 | Community Services              | 2.9          |
|   | Central CMC costs               | 5.0          |
|   | Public Protection and Licensing | 15.0         |
| <b>Training Total</b>                           |                                 | <b>22.9</b>  |
| <b>Staff expenses</b>                           | Community Services              | 8.0          |
| <b>Staff expenses Total</b>                     |                                 | <b>8</b>     |
| <b>Staff travelling expenses/car allowances</b> | Central CMC costs               | 0.1          |

|  |                                 |             |
|--|---------------------------------|-------------|
|  | Public Protection and Licensing | 20.0        |
| <b>Staff travelling expenses/car allowances Total</b>  |                                 | <b>20.1</b> |
| <b>Printing, publications and advertising/stationery</b>   | Community Services              | 4.0         |
|  | Central CMC costs               | 3.1         |
| <b>Printing, publications and advertising/stationery Total</b>   |                                 | <b>7.1</b>  |
| <b>Grand Total</b>   |                                 | <b>550</b>  |
| <p>*The salaries saving relates to additional residual budget identified within Community Services following the redistribution of staff from the business and performance team across the directorate. The salaries saving is not associated with any post and there are no staffing implications arising as a result of this saving.</p> |                                 |             |
| <b>Details of the lead person completing the screening/EIA</b>   |                                 |             |
| (vi) Full Name: Catherine Murphy   |                                 |             |
| (ii) Position: Strategic Finance Manager, City Management and Communities  |                                 |             |
| (iii) Unit: City Treasurer's   |                                 |             |
| (iv) Contact Details: 0207 641 1247  |                                 |             |
| Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a>  |                                 |             |
| <b>Version number and date of update</b>   |                                 |             |
| V2.0 – 14/08/2017  |                                 |             |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |                                     |   |                          |                          |
|---|--|-------------------------------------|---|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                                     |   |                          |                          |
|   |  | <b>None</b>                         | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  | <b>No</b>                           | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |                                     |   |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                                     |   |                          |                          |
|   | <b>None/ Minimal</b>   |                                     | <b>Significant</b>  |                          |                          |
|   | <input checked="" type="checkbox"/>  |                                     | <input type="checkbox"/>  |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |                                     |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>         |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | This proposal relates to non-staffing savings which will have no impact on service delivery and will not impact on any group of individuals. |

## EQUALITY IMPACT ASSESSMENT

### SECTION 2: BUILDING AN EVIDENCE BASE

|            |  |  |
|------------|--|--|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |  |
|            | <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul> |  |
|            | How many people use the service currently? What is this as a % of Westminster’s population?  |  |
|            | Age  |  |
|            | Disability   |  |
|            | Gender   |  |
|            | Race   |  |
|            | Religion or belief   |  |
|            | Sexual orientation   |  |

|            |  |
|------------|--|
| <b>2.2</b> | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></p> |
|            | <p><i>If yes, provide details.</i></p>   |
| <b>2.3</b> | <p><b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>   |
|            | <p><i>If yes, provide details.</i></p>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>   |
|            | <p><i>It is helpful to identify whether you have conducted any consultations for your proposal, in some cases a statutory consultation is required. If your proposal has not required a consultation, please highlight this here. Consultations will help you identify what the potential impact of your proposal might be.</i></p>                                  |
| <b>3.2</b> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p>  |
|            | <p><i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i></p> |

**SECTION 4: REDUCING & MITIGATING IMPACT**

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| <b>4.1</b>  | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|---|--|--|--|--|--|--------------------------|-----------------------------|---|--------------------------|--|---|--------------------------|--------------------------------------|--|--|--|---|--|
| <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p>  |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr style="background-color: #F4C49E;"> <th style="width: 45%; padding: 5px;">Column A – Issues or barriers, things to take into account</th> <th style="width: 55%; padding: 5px;">Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).</th> </tr> </thead> <tbody> <tr><td style="height: 30px;"></td><td></td></tr> <tr> <td style="padding: 5px;"><i>Enter additional rows if require</i></td> <td></td> </tr> </tbody> </table>   |  |  | Column A – Issues or barriers, things to take into account | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  | <i>Enter additional rows if require</i> |  |
| Column A – Issues or barriers, things to take into account  | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).           |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <i>Enter additional rows if require</i>   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <b>4.2</b>  | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <tbody> <tr> <td style="width: 5%; text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="width: 35%; background-color: yellow; padding: 5px;"><b>1. No major change (no impacts identified)</b></td> <td style="padding: 5px;">Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.</td> </tr> <tr> <td style="text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="background-color: yellow; padding: 5px;"><b>2. Adjust the policy</b></td> <td style="padding: 5px;">You will take steps to remove barriers or to better advance equality.</td> </tr> <tr> <td style="text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="background-color: yellow; padding: 5px;"><b>3. Continue the policy (impacts identified)</b></td> <td style="padding: 5px;">You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.</td> </tr> <tr> <td style="text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="background-color: yellow; padding: 5px;"><b>4. Stop and remove the policy</b></td> <td style="padding: 5px;">There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.</td> </tr> </tbody> </table> |  |  | <input type="checkbox"/>                                   | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. | <input type="checkbox"/> | <b>2. Adjust the policy</b> | You will take steps to remove barriers or to better advance equality. | <input type="checkbox"/> | <b>3. Continue the policy (impacts identified)</b> | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified. | <input type="checkbox"/> | <b>4. Stop and remove the policy</b> | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating. |  |  |   |  |
| <input type="checkbox"/>  | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>2. Adjust the policy</b>  | You will take steps to remove barriers or to better advance equality.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>3. Continue the policy (impacts identified)</b>   | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>4. Stop and remove the policy</b>   | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |

|            |  |
|------------|--|
|            |  |
| <b>4.3</b> | <b>Please document the reasons for your decision</b> |
|            |  |



**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

**SIGNATURE:** .....

**FULL NAME:** .....

**UNIT:** .....

**EMAIL & TELEPHONE EXT:** .....

**DATE (DD/MM/YYYY):** .....

**WHAT NEXT?**

**It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.**

**All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.**

**All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)**

|   |
|---|
| Title   |
| <b>7.23 Voluntary Sector Support</b>  |
| What are you analysing? <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>                                 |
| <p>Removal of the historic £200k from the under spend on the Voluntary Sector Budget held by PPC.</p> <p>There will be no change to service levels as a result of this. There is full provision within the remaining budget to fully fund all current and planned services funded by the Voluntary Sector Budget held by PPC.</p> |
| Details of the lead person completing the screening/EIA   |
| <p>(vii) Full Name: Ezra Wallace</p> <p>(ii) Position: Head of Corporate Strategy</p> <p>(iii) Unit: PPC</p> <p>(iii) Contact Details: ewallace@westminster.gov.uk</p>  |
| Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a>   |
| 17 Aug 2017   |
| Version number and date of update   |
| <b>V1 – 17.8.17</b>   |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |                                     |   |                          |                          |
|---|--|-------------------------------------|---|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                                     |   |                          |                          |
|   |  | <b>None</b>                         | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |                                     |   |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                                     |   |                          |                          |
|   | <b>None/ Minimal</b>   |                                     | <b>Significant</b>  |                          |                          |
|   | <input checked="" type="checkbox"/>  |                                     | <input type="checkbox"/>  |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |                                     |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>   |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | The saving is being made from a recurring underspend on an existing budget. There will be no change to service levels as a result of this. There is full provision within the remaining budget to fully fund all current and planned services funded by the Voluntary Sector Budget held by PPC. |

## EQUALITY IMPACT ASSESSMENT

### SECTION 2: BUILDING AN EVIDENCE BASE

|            |  |              |
|------------|--|--------------|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |              |
|            | <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul> |              |
|            | How many people use the service currently? What is this as a % of Westminster's population?  | Not relevant |
|            | Age  |              |
|            | Disability   |              |
|            | Gender   |              |
|            | Race   |              |
|            | Religion or belief   |              |
|            | Sexual orientation   |              |

|            |   |
|------------|---|
| <b>2.2</b> | <b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i> |
|            | <i>No</i>   |
| <b>2.3</b> | <b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i>   |
|            | <i>No, not relevant</i>   |

**SECTION 3: ASSESSING THE IMPACT**

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|                   |   |
|-------------------|---|
| <p><b>3.1</b></p> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>  |
|                   | <p><i>No consultation required</i></p>  |
| <p><b>3.2</b></p> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p> |
|                   | <p><i>Not relevant</i></p>  |

## SECTION 4: REDUCING & MITIGATING IMPACT

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| 4.1   | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|---|---|--|---|---|--|--------------------------|-----------------------------|---|--------------------------|--|---|--------------------------|--------------------------------------|--|--|--|---|--|
|   | <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p> <table border="1" data-bbox="264 689 1538 1384"> <thead> <tr> <th data-bbox="264 689 748 831"> <b>Column A – Issues or barriers, things to take into account</b> </th> <th data-bbox="756 689 1538 831"> <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).           </th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr> <td data-bbox="264 1294 748 1384"><i>Enter additional rows if require</i></td> <td data-bbox="756 1294 1538 1384"> </td> </tr> </tbody> </table>  |  | <b>Column A – Issues or barriers, things to take into account</b> | <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  | <i>Enter additional rows if require</i> |  |
| <b>Column A – Issues or barriers, things to take into account</b> | <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <i>Enter additional rows if require</i>                           |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| 4.2   | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   | <table border="1" data-bbox="264 1592 1538 2029"> <tbody> <tr> <td data-bbox="264 1592 371 1749"> <input type="checkbox"/> </td> <td data-bbox="376 1592 716 1749"> <b>1. No major change (no impacts identified)</b> </td> <td data-bbox="721 1592 1538 1749">           Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.         </td> </tr> <tr> <td data-bbox="264 1756 371 1827"> <input type="checkbox"/> </td> <td data-bbox="376 1756 716 1827"> <b>2. Adjust the policy</b> </td> <td data-bbox="721 1756 1538 1827">           You will take steps to remove barriers or to better advance equality.         </td> </tr> <tr> <td data-bbox="264 1834 371 1951"> <input type="checkbox"/> </td> <td data-bbox="376 1834 716 1951"> <b>3. Continue the policy (impacts identified)</b> </td> <td data-bbox="721 1834 1538 1951">           You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.         </td> </tr> <tr> <td data-bbox="264 1957 371 2029"> <input type="checkbox"/> </td> <td data-bbox="376 1957 716 2029"> <b>4. Stop and remove the policy</b> </td> <td data-bbox="721 1957 1538 2029">           There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.         </td> </tr> </tbody> </table> |  | <input type="checkbox"/>  | <b>1. No major change (no impacts identified)</b>   | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. | <input type="checkbox"/> | <b>2. Adjust the policy</b> | You will take steps to remove barriers or to better advance equality. | <input type="checkbox"/> | <b>3. Continue the policy (impacts identified)</b> | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified. | <input type="checkbox"/> | <b>4. Stop and remove the policy</b> | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating. |  |  |   |  |
| <input type="checkbox"/>  | <b>1. No major change (no impacts identified)</b>   | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>2. Adjust the policy</b>   | You will take steps to remove barriers or to better advance equality.  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>3. Continue the policy (impacts identified)</b>  | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>4. Stop and remove the policy</b>  | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |

| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|                   |  |  |                                |                                |  |  |                   |
|-------------------|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p> | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p>Page 454</p>   | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|                   |  |  |                                |                                |  |  |                   |
|                   |  |  |                                |                                |  |  |                   |
|                   |  |  |                                |                                |  |  |                   |
|                   |  |  |                                |                                |  |  |                   |
|                   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

**SIGNATURE:**



**FULL NAME:** ...Steve Muldoon.....

**UNIT:** City Treasurers, Commercial & Financial Management

**EMAIL & TELEPHONE EXT:** [smuldoon@westminster.gov.uk](mailto:smuldoon@westminster.gov.uk) x3686

**DATE (DD/MM/YYYY):** 11 August 2017

**WHAT NEXT?**

It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.

All EIAs for proposed changes to levels of service arising from budget proposals must be completed by **2 September 2016**.

All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

|   |
|---|
| Title   |
| <b>9.8 Development Planning Income</b>  |
| What are you analysing?   |
| <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>   |
| <p>As part of Governments proposals to increase the level of housing supply across the Country, financial support is being given to local authorities to ensure their planning services are able to determine applications within the required timescales. Funding from this fee increase is ring fenced to those teams determining applications but this present an opportunity for the authority. Help from Westminster finance team will be required to maximise this opportunity.</p> |
| Details of the lead person completing the screening/EIA   |
| <p>(viii) Full Name: John Walker</p> <p>(ii) Position: Director of Planning</p> <p>(iii) Unit: Development Planning</p> <p>(iii) Contact Details: 020 7641 2524</p>   |
| Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a>   |
| August 2018   |
| Version number and date of update   |
| <p><i>You will need to update your EIA as you move through the decision-making process. Record the version number here and the date you updated the EIA. Keep all versions so you have evidence that you have considered equality throughout the process.</i></p>   |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

| 1.1 Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative? |                                     |   |                          |                          |
|---|-------------------------------------|---|--------------------------|--------------------------|
|   | None                                | Positive  | Negative                 | Not sure                 |
| Disabled people   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Particular ethnic groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Men or women (include impacts due to pregnancy/ maternity)  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People or particular sexual orientation/s   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People on low incomes   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People in particular age groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Groups with particular faiths and beliefs   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?   |                                     | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b>   |                                     |   |                          |                          |
| 1.2 What do you think that the overall NEGATIVE impact on groups and communities will be?   |                                     |   |                          |                          |
| <b>None/ Minimal</b>  |                                     | <b>Significant</b>  |                          |                          |
| <input checked="" type="checkbox"/>   |                                     | <input type="checkbox"/>  |                          |                          |
| None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                      |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>   |                                     |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b> |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | It is not expected that this proposals will have any impact on those vulnerable members of society.                                  |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|            |  |  |
|------------|--|--|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |  |
|            | <ul style="list-style-type: none"> <li>• <i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li>• <i>A baseline of data is <a href="#">available here</a></i></li> </ul> |  |
|            | How many people use the service currently? What is this as a % of Westminster’s population?  |  |
|            | Age  |  |
|            | Disability   |  |
|            | Gender   |  |
|            | Race   |  |
|            | Religion or belief   |  |
|            | Sexual orientation   |  |

|                   |  |
|-------------------|--|
| <p><b>2.2</b></p> | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster’s population is on the Equalities page on the WIRE.</i></p> |
|                   | <p><i>If yes, provide details.</i></p>   |
| <p><b>2.3</b></p> | <p><b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>   |
|                   | <p><i>If yes, provide details.</i></p>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>   |
|            | <p><i>It is helpful to identify whether you have conducted any consultations for your proposal, in some cases a statutory consultation is required. If your proposal has not required a consultation, please highlight this here. Consultations will help you identify what the potential impact of your proposal might be.</i></p>                                  |
| <b>3.2</b> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p>  |
|            | <p><i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i></p> |



| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 463</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

| THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER |                            |
|--|----------------------------|
| SIGNATURE:   | John Walker.....           |
| FULL NAME:   | John Walker.....           |
| UNIT:  | Development Planning ..... |
| EMAIL & TELEPHONE EXT:                                       | 020 7641 2519.....         |
| DATE (DD/MM/YYYY):   | 02/08/2017 .....           |

**WHAT NEXT?**

It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.

All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

|   |
|---|
| Title   |
| <b>9.10 Planning Performance Agreements</b>   |
| What are you analysing? <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>   |
| <p>Planning Performance Agreements (PPAs) are an agreement reached between a developer and the authority over the timescales for determining their planning applications. Normally these agreements are only used for large scale planning applications.</p> <p>Despite increasing the range of services covered by this initiative in 2016, there has been no increase in fee level charges since the introduction of PPA's in 2014. This proposal therefore aims to raise the basic charge for a Major Application from £26k to £36k.</p> |
| Details of the lead person completing the screening/EIA   |
| <p>(ix) Full Name: John Walker</p> <p>(ii) Position: Director of Planning</p> <p>(iii) Unit: Development Planning</p> <p>(iii) Contact Details: 020 7641 2524</p>   |
| Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a>   |
| August 2018   |
| Version number and date of update   |
| <p><i>You will need to update your EIA as you move through the decision-making process. Record the version number here and the date you updated the EIA. Keep all versions so you have evidence that you have considered equality throughout the process.</i></p>   |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |                                     |   |                          |                          |
|---|--|-------------------------------------|---|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                                     |   |                          |                          |
|   |  | <b>None</b>                         | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  |                                     | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |                                     |   |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                                     |   |                          |                          |
|   | <b>None/ Minimal</b>   |                                     | <b>Significant</b>  |                          |                          |
|   | <input checked="" type="checkbox"/>  |                                     | <input type="checkbox"/>  |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |                                     |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>   |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | Planning have adopted this approach to handling major applications since 2014. In general developers are willing to pay for receiving certainty over the timescales in determining an application. In reality, this fee charge is minimal in the context of preparing and submitting an application. |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|            |  |  |
|------------|--|--|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |  |
|            | <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul> |  |
|            | How many people use the service currently? What is this as a % of Westminster’s population?  |  |
|            | Age  |  |
|            | Disability   |  |
|            | Gender   |  |
|            | Race   |  |
|            | Religion or belief   |  |
|            | Sexual orientation   |  |

|     |  |
|-----|--|
| 2.2 | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></p> |
|     | <p><i>If yes, provide details.</i></p>   |
| 2.3 | <p><b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>   |
|     | <p><i>If yes, provide details.</i></p>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>   |
|            | <p><i>It is helpful to identify whether you have conducted any consultations for your proposal, in some cases a statutory consultation is required. If your proposal has not required a consultation, please highlight this here. Consultations will help you identify what the potential impact of your proposal might be.</i></p>                                  |
| <b>3.2</b> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p>  |
|            | <p><i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i></p> |

**SECTION 4: REDUCING & MITIGATING IMPACT**

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| <b>4.1</b>  | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|---|--|--|--|--|--|--------------------------|-----------------------------|---|--------------------------|--|---|--------------------------|--------------------------------------|--|--|--|---|--|
| <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p>  |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr style="background-color: #F4C49E;"> <th style="width: 45%; padding: 5px;">Column A – Issues or barriers, things to take into account</th> <th style="width: 55%; padding: 5px;">Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).</th> </tr> </thead> <tbody> <tr><td style="height: 30px;"></td><td></td></tr> <tr> <td style="padding: 5px;"><i>Enter additional rows if require</i></td> <td></td> </tr> </tbody> </table>   |  |  | Column A – Issues or barriers, things to take into account | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  | <i>Enter additional rows if require</i> |  |
| Column A – Issues or barriers, things to take into account  | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).           |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
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|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <i>Enter additional rows if require</i>   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <b>4.2</b>  | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <tbody> <tr> <td style="width: 5%; text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="width: 40%; padding: 5px;"><b>1. No major change (no impacts identified)</b></td> <td style="padding: 5px;">Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.</td> </tr> <tr> <td style="text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="padding: 5px;"><b>2. Adjust the policy</b></td> <td style="padding: 5px;">You will take steps to remove barriers or to better advance equality.</td> </tr> <tr> <td style="text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="padding: 5px;"><b>3. Continue the policy (impacts identified)</b></td> <td style="padding: 5px;">You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.</td> </tr> <tr> <td style="text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="padding: 5px;"><b>4. Stop and remove the policy</b></td> <td style="padding: 5px;">There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.</td> </tr> </tbody> </table> |  |  | <input type="checkbox"/>                                   | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. | <input type="checkbox"/> | <b>2. Adjust the policy</b> | You will take steps to remove barriers or to better advance equality. | <input type="checkbox"/> | <b>3. Continue the policy (impacts identified)</b> | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified. | <input type="checkbox"/> | <b>4. Stop and remove the policy</b> | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating. |  |  |   |  |
| <input type="checkbox"/>  | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>2. Adjust the policy</b>  | You will take steps to remove barriers or to better advance equality.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>3. Continue the policy (impacts identified)</b>   | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>4. Stop and remove the policy</b>   | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |

| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 472</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
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|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

| THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER |  |
|--|--|
| SIGNATURE: John Walker.....                                  |  |
| FULL NAME: John Walker.....                                  |  |
| UNIT: Development Planning .....                             |  |
| EMAIL & TELEPHONE EXT: 020 7641 2519.....                    |  |
| DATE (DD/MM/YYYY):02/08/2017 .....                           |  |

**WHAT NEXT?**

It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.

All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

|   |
|---|
| <b>Title</b>  |
| <b>9.11 Proceeds of Crime Act – Planning Enforcement</b>  |
| <p>What are you analysing?</p> <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>  |
| <p>This is a new initiative using the Proceeds of Crime Act (POCA) to identify and locate proceeds gained from undertaking illegal activities e.g. illegal short term letting. Under this legislation authorities can keep up to 30% of income identified. The Planning Enforcement team have undertaken a pilot project over the past 18 months and it is felt that we could derive an income source from this activity.</p> |
| <b>Details of the lead person completing the screening/EIA</b>  |
| <p>(i) Full Name: John Walker</p> <p>(ii) Position: Director of Planning</p> <p>(iii) Unit: Development Planning</p> <p>(iii) Contact Details: 020 7641 2524</p>  |
| <b>Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a></b>  |
| August 2017   |
| <b>Version number and date of update</b>  |
| <p><i>You will need to update your EIA as you move through the decision-making process. Record the version number here and the date you updated the EIA. Keep all versions so you have evidence that you have considered equality throughout the process.</i></p>   |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |                                     |   |                          |                          |
|---|--|-------------------------------------|---|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                                     |   |                          |                          |
|   |  | <b>None</b>                         | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  |                                     | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |                                     |   |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                                     |   |                          |                          |
|   | <b>None/ Minimal</b>   |                                     | <b>Significant</b>  |                          |                          |
|   | <input checked="" type="checkbox"/>  |                                     | <input type="checkbox"/>  |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |                                     |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>                           |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | In undertaking the pilot on this initiative over the past 18 months little if any detrimental impact on those vulnerable members of society has been realised. |

## EQUALITY IMPACT ASSESSMENT

### SECTION 2: BUILDING AN EVIDENCE BASE

|            |  |  |
|------------|--|--|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |  |
|            | <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul> |  |
|            | How many people use the service currently? What is this as a % of Westminster's population?  |  |
|            | Age  |  |
|            | Disability   |  |
|            | Gender   |  |
|            | Race   |  |
|            | Religion or belief   |  |
|            | Sexual orientation   |  |

|            |   |
|------------|---|
| <b>2.2</b> | <b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i> |
|            | <i>If yes, provide details.</i>   |
| <b>2.3</b> | <b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i>   |
|            | <i>If yes, provide details.</i>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <b>Consultation Information</b><br><i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i>  |
|            | <i>It is helpful to identify whether you have conducted any consultations for your proposal, in some cases a statutory consultation is required. If your proposal has not required a consultation, please highlight this here. Consultations will help you identify what the potential impact of your proposal might be.</i> |

|            |   |
|------------|---|
| <b>3.2</b> | <b>What might the potential impact on individuals or groups be?</b><br><i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i>  |
|            | <i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i> |

## SECTION 4: REDUCING & MITIGATING IMPACT

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| 4.1   | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|---|---|--|---|---|--|--------------------------|-----------------------------|---|--------------------------|--|---|--------------------------|--------------------------------------|--|--|--|---|--|
|   | <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p> <table border="1" data-bbox="264 689 1538 1384"> <thead> <tr> <th data-bbox="264 689 746 831"> <b>Column A – Issues or barriers, things to take into account</b> </th> <th data-bbox="751 689 1538 831"> <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).           </th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr> <td data-bbox="264 1294 746 1384"><i>Enter additional rows if require</i></td> <td data-bbox="751 1294 1538 1384"> </td> </tr> </tbody> </table>  |  | <b>Column A – Issues or barriers, things to take into account</b> | <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  | <i>Enter additional rows if require</i> |  |
| <b>Column A – Issues or barriers, things to take into account</b> | <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <i>Enter additional rows if require</i>                           |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| 4.2   | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   | <table border="1" data-bbox="264 1592 1538 2029"> <tbody> <tr> <td data-bbox="264 1592 371 1749"> <input type="checkbox"/> </td> <td data-bbox="376 1592 715 1749"> <b>1. No major change (no impacts identified)</b> </td> <td data-bbox="719 1592 1538 1749">           Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.         </td> </tr> <tr> <td data-bbox="264 1756 371 1827"> <input type="checkbox"/> </td> <td data-bbox="376 1756 715 1827"> <b>2. Adjust the policy</b> </td> <td data-bbox="719 1756 1538 1827">           You will take steps to remove barriers or to better advance equality.         </td> </tr> <tr> <td data-bbox="264 1834 371 1951"> <input type="checkbox"/> </td> <td data-bbox="376 1834 715 1951"> <b>3. Continue the policy (impacts identified)</b> </td> <td data-bbox="719 1834 1538 1951">           You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.         </td> </tr> <tr> <td data-bbox="264 1957 371 2029"> <input type="checkbox"/> </td> <td data-bbox="376 1957 715 2029"> <b>4. Stop and remove the policy</b> </td> <td data-bbox="719 1957 1538 2029">           There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.         </td> </tr> </tbody> </table> |  | <input type="checkbox"/>  | <b>1. No major change (no impacts identified)</b>   | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. | <input type="checkbox"/> | <b>2. Adjust the policy</b> | You will take steps to remove barriers or to better advance equality. | <input type="checkbox"/> | <b>3. Continue the policy (impacts identified)</b> | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified. | <input type="checkbox"/> | <b>4. Stop and remove the policy</b> | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating. |  |  |   |  |
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| <input type="checkbox"/>  | <b>2. Adjust the policy</b>   | You will take steps to remove barriers or to better advance equality.  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>3. Continue the policy (impacts identified)</b>  | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>4. Stop and remove the policy</b>  | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |

| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |



| THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER |                            |
|--|----------------------------|
| SIGNATURE:   | John Walker.....           |
| FULL NAME:   | John Walker.....           |
| UNIT:  | Development Planning ..... |
| EMAIL & TELEPHONE EXT:                                       | 020 7641 2519.....         |
| DATE (DD/MM/YYYY):   | 02/08/2017 .....           |

**WHAT NEXT?**

It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.

All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

**Annex B - Part C**

**Equality Impact Assessments**

**Completed for all 2018/18 savings proposals within cabinet portfolio(s):**

**Adult Social Services & Public Health  
Children, Families & Young People**

## Title of Proposal

**ASC Commissioning Strategy Programme:** All proposals associated with commissioned longer term care and support services have been brought together into one overarching programme. The core aim of the programme is to deliver improved processes, better outcomes that maximise independence, more choice and personalised services. The underpinning business case is based on the aim that we can continue to improve the quality of life that customers with eligible needs have and make a moderate level of continued savings by taking this approach.

The programme incorporates the following projects and work streams. The position on EIA considerations is set out for each.

|         |   |  |
|---------|---|--|
|         |   | <p><b>Promoting wellbeing, prevention, and independence to manage care package costs:</b> This is a continuing approach that is based on improving social work practice and the range and quality of targeted prevention and reablement services available to customers. The policy is consistent with the Care Act 2014 and considers diverse needs through all the key stages of assessment, support planning and annual review. Further business as usual arrangements that work to understand and managed equalities elements include the annual customer survey and service contract standards and monitoring arrangements. Savings associated with this proposal are counterbalanced by growth plans so that unavoidable market and demographic cost increases are provided for.</p> |
| 3.3(ii) | C | <p>For these reasons this continuing proposal is not considered appropriate for full EIA</p>   |
| 3.17    | C | <p><b>Alternative delivery models including Commercial Trading:</b> The council is considering market opportunities for selling niche services such as the Flexible Response (LD behaviour improvement service) and increasing paid subscriptions to community alarm and response services. Further a full review of all remaining in-house services is well underway and will be considering the business case for transitioning delivery to an alternative delivery vehicle. The former aspect of this proposal is based on expansion without changing the offer to Westminster residents; it is too early to warrant further consideration of EIA for the second element.</p>   |
| 3.20    | C | <p><b>Review care pathways and Re-Commission Key Services:</b> Work is well underway to review and improve care pathways for each ASC client group and to use this understanding to re-commission for major service areas; Learning Disabilities Accommodation and Support, MH Accommodation and Support, Extra Care Housing, and Day Care. Our procurement framework requires us to consider EIA implications of re-commissions in a proportionate way and we are differing to this work and plans for each of the noted recommissions. Savings of around 5% for each recommission are counterbalanced by growth plans so that unavoidable market and demographic cost increases are provided for.</p>  |
| 3.21    | C | <p><b>Younger Adults- Improved transition &amp; promoting independence:</b> this is a aspect of the above noted approach set out for 3.3 (ii) and the same position applies. The Preparation for Adult Hood Project is being delivered jointly with Children's Services and is strengthening transition management work so that joint preparation begins at 14 and young people are transitioned to the most appropriate care and support arrangement as adults.</p>   |
| 3.27    | C | <p><b>Remodel In-House Service Portfolio:</b> An in-depth value for money assessment of the council's in-house care and support service portfolio of services including day care, emergency response and LD employment services. This proposal is effectively phase one of a potential two phase initiative. The savings proposal 3.1' represents a potential phase two. The emphasis of the review is to identify any remaining efficiency savings, changes that can be made to improve the outcomes the service delivers and defining the long term market position of services. The review work will be completed in October 2017 when detailed proposals and associated EIA implications can be considered further.</p>  |

|  |   |
|--|---|
| 3.28 C   | <p><b>Direct Payments as first choice:</b> This is associated with a long standing and continuing ambition to move to Direct Payments (DP's) as the first choice option for the management of Personal Budgets. Practically this means putting DPs at the front and centre of marketing, communications, and care management. Whilst a shift to DPs by default (i.e. the only offer for those considered capable of taking it) has been taken in some boroughs our approach is to continue to increase uptake by choice.</p> <p>Equalities aspects of the system are considered on an ongoing business as usual basis and we have identified mental health as a key top priority where uptake rates are significantly lower.</p>  |
| 3.29 C   | <p><b>Forensic Needs &amp; payments analysis:</b> This saving is associated with continuing work to resolve several system weaknesses that lead to avoidable costs including; ensuring invoicing and payments are aligned to care and support services provided, switching off short term care packages and completing financial assessments in a timely manner and controlling new and increasing packages of care. As the work is focused on necessary process and system improvements there are no equalities implications.</p>  |
| 3.30 C   | <p><b>E Market dynamic purchasing systems;</b> The Department is committed to establishing a web based portal system that enables staff and customers to navigate the market, extending choice, competition, and transparency of how costs compare. Care place was switched on in May 17 to support staff to broker placements and market options for a wider portal for customers are now being evaluated. The service offer commissioned will need to adhere to standards for e-service equitable access set out in the Care Act 2014 and will be catered for through the procurement process.</p>  |
| 3.33 C   | <p><b>Review of workforce costs:</b> The main opportunities to reduce staff costs have been undertaken through major restructures of back office, commissioning and operational services since the formation of the One ASC Department in 2012. A strategic review to consider all opportunities for reducing the total staffing bill will be undertaken with an ambition to achieve a total reduction in costs of 2%-4% against the total. This focus of this work includes is around better application of existing management arrangements including:</p> <ul style="list-style-type: none"> <li>• A review of controls, pay rates and leave take-up of all interim and agency staff;</li> <li>• Opportunities for savings through improved recruitment campaigns and retention including retaining re-deployed; and</li> <li>• Extending opportunities for flexible working and work-life balance options.</li> </ul> <p>The existing savings commitment is less than 0.02% of total staff costs so detailed consideration of EIA implications is not required.</p> |
| 3.36 C   | <p><b>ASC differential charges;</b> The Council has established a programme led by Corporate Finance to introduce a range of new charging priorities that relate to differential (higher grade services) and new market opportunities for profit generation. ASC have set a minimum target contribution based on a range of potential opportunities that have been identified. We have yet to agree detailed proposals for ASC and until then defer EIA considerations to that which has been undertaken for the Corporate Programme.</p>   |
| <p>i. <b>Full Name:</b> Mike Boyle<br/> ii. <b>Position:</b> Interim Tri-Borough Director of Policy<br/> iii. <b>Department:</b> ASC<br/> iv. <b>Contact Details:</b> <a href="mailto:rachel.wigley@lbhf.gov.uk">rachel.wigley@lbhf.gov.uk</a></p> |   |

|   |
|---|
| <b>Has this project, policy or proposal had an EIA carried out on it previously? If yes, please state date of original and append to this document for information.</b> |
| There are legacy EIA's undertaken in September 2016 for some elements of the programme which have been reviewed and are wrapped up into this overarching assessment.    |
| <b>Version number and date of update</b>  |
| V2 17 <sup>th</sup> August 2017   |

## **SECTION 1: Initial screening: Do you must complete an Equality Impact Assessment (EIA)?**

*Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.*

|            |   |             |                 |                 |                 |
|------------|---|-------------|-----------------|-----------------|-----------------|
| <b>1.1</b> | <b>What are you analysing?</b>  |             |                 |                 |                 |
|            | The above noted programme   |             |                 |                 |                 |
| <b>1.2</b> | <b>Does the project, policy or proposal have the potential to <u>disproportionately</u> impact on any of the following groups? If so, is the impact positive or negative?</b> |             |                 |                 |                 |
|            |   | <b>None</b> | <b>Positive</b> | <b>Negative</b> | <b>Not sure</b> |
|            | Disabled people   |             | x               |                 |                 |
|            | Ethnic groups   |             | x               |                 |                 |
|            | Men or women (include impacts due to pregnancy/ maternity)  |             | x               |                 |                 |
|            | People or particular sexual orientation/s   |             | x               |                 |                 |
|            | People who are proposing to undergo, are undergoing, or have undergone a process or part of a process of gender reassignment  |             | x               |                 |                 |
|            | People on low incomes   |             | x               |                 |                 |
|            | People in particular age groups   |             | x               |                 |                 |
|            | Groups with particular faiths and beliefs   |             | x               |                 |                 |
|            | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?   |             | x               |                 |                 |

**If the answer is “negative” or “unclear” consider doing a full EIA**

|  |  |                       |                          |
|--|--|-----------------------|--------------------------|
| <b>1.3</b>   | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b> | <b>None / Minimal</b> | <b>Significant</b>       |
|  |  | x                     | <input type="checkbox"/> |
| <p><u>None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.</u><br/>Wherever a negative impact has been identified you should consider undertaking a full EIA by completing the rest of the form.</p> |  |                       |                          |

|            |  |
|------------|--|
| <b>1.4</b> | <b>Using the screening and information in questions 1.2 and 1.3, should a full assessment be carried out on the project, policy or proposal?</b>   |
|            | <p>No <input checked="" type="checkbox"/></p> <p>The position will be reviewed for key milestones where appropriate as set out in the action plan.</p>   |
| <b>1.5</b> | <b>How have you come to this decision?</b>   |
|            | <ul style="list-style-type: none"> <li>The overarching ambition of the programme is to improve services, choice and outcomes.</li> <li>Social work and procurement standards provide assurance that diversity and equalities aspects are being proactively managed.</li> <li>Savings levels are moderate (£8.426m) and counterbalanced by growth plans; further the latter have substantially increased following provision of new monies for 2017-2020 to sustain and support transformation of adult social care services totalling £23.48m</li> </ul> |

## SECTION 2: EQUALITY IMPACT ASSESSMENT

### Building an Evidence Base: What do you know?

*This section will help you build your evidence base and interpret what the likely impact will be of your service.*

#### Sections 2

|            |   |  |
|------------|---|--|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>  |  |
|            | <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> </ul> |  |
|            | <b>How many people use the service currently? What is this as a % of Westminster's population?</b>  |  |
|            | <b>Disabled people</b>  |  |
|            | <b>Particular ethnic groups</b>   |  |
|            | <b>Men or women (include impacts due to pregnancy/maternity)</b>  |  |

|  |  |  |
|--|--|--|
|  | <b>People of particular sexual orientations</b>  |  |
|  | <b>People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment</b> |  |
|  | <b>People on low incomes</b>   |  |
|  | <b>People in particular age groups</b>   |  |
|  | <b>Groups with particular faiths and beliefs</b>   |  |
|  | <b>Any other groups who may be affected by the proposal?</b>   |  |

| <b>2.2 Summary (to be completed following analysis of the evidence above)</b> |   |                          |                          |                          |                          |
|---|---|--------------------------|--------------------------|--------------------------|--------------------------|
|   |   | <b>None</b>              | <b>Positive</b>          | <b>Negative</b>          | <b>Not sure</b>          |
|   | Does the project, policy or proposal have the potential to have a <u>disproportionate</u> impact on any of the following groups? If so, is the impact positive or negative? |                          |                          |                          |                          |
|   | <b>Disabled people</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | <b>Particular ethnic groups</b>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | <b>Men or women (include impacts due to pregnancy/maternity)</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | <b>People of particular sexual orientations</b>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | <b>People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | <b>People on low incomes</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | <b>People in particular age groups</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | <b>Groups with particular faiths and beliefs</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | <b>Are there any other groups that you think this proposal may affect negatively or positively?</b>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

## SECTION 3: Assessing Impact

*In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.*

|            |   |  |
|------------|---|--|
| <b>3.1</b> | <b>Consultation Information</b>   |  |
|            | <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i>  |  |
|            | <p><b>i. Who have you consulted with?</b></p> <p><b>ii. How did you consult?</b> (<i>inc meeting dates, activity undertaken &amp; groups consulted</i>)</p>       |  |
| <b>3.2</b> | <b>What might the potential impact on individuals or groups be?</b>   |  |
|            | <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i> |  |
|            | <b>Generic impact (across all groups)</b>   |  |
|            | <b>Men or women (include impacts due to pregnancy/maternity)</b>  |  |
|            | <b>People of particular sexual orientation</b>  |  |
|            | <b>People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment</b>                                |  |
|            | <b>Disabled people</b>  |  |
|            | <b>Particular ethnic groups</b>   |  |
|            | <b>People on low incomes</b>  |  |
|            | <b>People in particular age groups</b>  |  |
|            | <b>Groups with particular faiths and beliefs</b>  |  |
|            | <b>Other excluded individuals and groups</b>  |  |

## SECTION 4: Reducing & Mitigating Impact

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| 4.1 | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> <i>(Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).</i> |  |
|-----|---|--|
|     | Impact 1: [Dissatisfaction and/or anxiety associated with managing change and transition]   |  |
|     | Impact 2: [Inequitable approach to making changes were customers refuse/complain/appeal]  |  |
|     | Impact 3: [Decline in physical and/or mental health following changes due to poor adjustment]   |  |
|     | Impact 4: [Insert impact here]  |  |
|     | Impact 5: [Insert impact here]  |  |

| 4.2 | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>  |                                     |
|-----|--|-------------------------------------|
|     | No major change (no impacts identified)  | <input checked="" type="checkbox"/> |
|     | Adjust the policy  | <input type="checkbox"/>            |
|     | Continue the policy (impacts identified)   | <input type="checkbox"/>            |
|     | Stop and remove the policy   | <input type="checkbox"/>            |
| 4.3 | <b>Please document the reasons for your decision</b>   |                                     |
|     | <b>Potential for detrimental impacts has been catered for in the policy and approach to implementation.</b>  |                                     |
| 4.4 | <b>How will the impact of the project, policy or proposal and any changes made to reduce the impact be monitored?</b>  |                                     |
|     | <b>Follow up monitoring shortly after changes and annual review process.</b>   |                                     |
| 4.5 | <b>Conclusion</b><br><i>This section should record the overall impact, who will be impacted upon and the steps being taken to reduce/mitigate impact</i>   |                                     |
|     | This is 3% of the total service portfolio and as noted the focus is on delivering better outcomes for a little less money. Indepth analysis works has been undertaken which has identified a level of low value services, digital opportunities and duplication in services; this provides assurance about viability of the ambition. The exact details on how savings will be achieved including any services that are to be decommissioned will be set out at the end of October 2017. |                                     |

## SECTION 5: Next Steps

| 5.1      | <b>Action Plan</b><br><i>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</i><br><br><i>NB. Add any additional rows, if required.</i>   |                          |                  |                  |   |                                   |       |
|----------|--|--------------------------|------------------|------------------|---|-----------------------------------|-------|
|          | Action Required  | Equality Groups Targeted | Intended Outcome | Resources Needed | Name of Lead, Unit & Contact Details  | Completion Date (DD/MM/YY)        | RAG   |
| Page 491 | Review EIA at end of October 2017 when detailed for:<br><br>In house Service Reviews and ADV's<br><br>Differential Charges<br><br>Consider equalities impact implications at all key stages of the 4 major service recommissions now underway and in line with the procurement delivery plan | ALL                      |                  |                  | <a href="mailto:Martin.calleja@LBHF.gov.uk">Martin.calleja@LBHF.gov.uk</a><br><br><br><br>Jonathan.Lillistone@lbhf.gov.uk | End Nov 17<br><br><br><br>Ongoing | GREEN |

## 5.2 Risk Table

| Ref  | Risk   | Impact  | Actions in place to mitigate the risk                         | Current risk score                                  | Further actions to be developed  |
|------|--|---|---|---|--|
| R1.1 | [Enter risk here]  | [Enter here the likely impact if the risk came to pass] | [Record here any actions already in place to reduce the risk] | [Using the key below, enter the current risk score] | [Enter here any actions that can be developed in future to reduce the risk identified] |
|      | <b>Risks will not be clear until detailed proposals are set out.</b> |   |   |   |  |
|      |  |   |   |   |  |
|      |  |   |   |   |  |



**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

Signature:

Full Name: Mike Boyle, Interim Tri-Borough Director of Commissioning

Date of Completion: 17<sup>th</sup> August 2017

**WHAT NEXT?**

Please email your completed EIA to the Equalities Lead: [equalities@westminster.gov.uk](mailto:equalities@westminster.gov.uk)

## Title of Proposal

**ASC Whole Systems Integration Programme:** This is an ongoing programme to bring together back office, social work services and commissioning budgets with health, housing, and other partners. The key elements of this wide ranging programme that have some committed savings associated with them are set out below. The overall aim of the programmes are to deliver a better customer experience, reduce duplication and reduce the need for expensive health and social care services associated with lost opportunities for improving or maintaining health. The programme is managed within the boroughs continuing Health and Well Being Strategy and Better Care Fund Programme and wider Sustainability and Delivery Plan. All this work is very much focused on identifying and addressing inequalities in health and wellbeing.

- 3.18 Joint commissioning with health to deliver shared demand and costs management.** This proposal supports the continued development of demand and shared costs management with health through the evolution of joint commissioning plans in key service areas. Delivery of these plans will be a further step toward a fully integrated health and social care system underpinned by an accountable care partnership. Shared priorities include reducing acute care and managing discharge pressures, mental health recovery and the timeliness of continuing health care assessments.
- 3.22 Joint Commissioning Plan, capitated budgets & accountable care partnerships:** Care systems across the country are moving to accountable care models which prioritise investment in the prevention of ill health. The approach we are taking is one where we will continue to evolve towards integration over time, rather than going for a big bang approach. It is therefore important to see the other key ASC savings proposal around shared costs management (3.18) as a building block to the successful delivery of this whole systems project.
- Detailed plans for delivery of Savings from 3.18 and 3.22 have yet to be finalised; they will be set out in the next 2017-2019 BCF Programme that is to be finalised in October 2017. At this stage the emphasis will be on; increased health funding and/or opportunities for reducing costs associated with duplication in health and social care service systems and failure demand.
- 3.31 Realising the full efficiency benefits of integrated LD & MH services;** this is a small scale saving to be achieved through a reduction of (up to 3) posts through the further integration of service practice and systems. Workforce management changes will be subject to required standards and statutory duties and do not present any further EIA considerations beyond this.
- 3.32 Integrated back office functions with PH & Health:** the original ambition of this proposal has not been matched by the readiness of health partners to integrate key services including commissioning, programme and workforce management by 2018/19. Year 1 savings will be delivered by eliminating vacant points and consolidating services across adults, children's, public health, and corporate functions through the trexit process. This work will not be finalised until the end of September as such it is not possible to gauge EIA implications at this stage.
- 3.37 Increase in iBCF Grant.** This is the increase over and above the 2017/18 allocation of the improved Better Care Fund (iBCF) grant which is to be used on a ring-fenced basis to meet adult social care needs and support the integration work between the NHS and Social Care Services. Detailed plans for the use of this funding, which is focused on sustaining social care services and further system integration are being worked up with a view to finalisation of the BCF October 2017.

|   |
|---|
| <p>v. Full Name: Dylan Champion</p> <p>vi. Position: Interim Bi-Borough Head of Health Partnerships</p> <p>vii. Department: ASC</p> <p>viii. Contact Details: dylan.champion@wcc.gov.uk</p> |
| <p><b>Has this project, policy or proposal had an EIA carried out on it previously? If yes, please state date of original and append to this document for information.</b></p>              |
| <p>No</p>   |
| <p><b>Version number and date of update</b></p>   |
| <p>V1 17<sup>th</sup> August 2017</p>   |

## **SECTION 1: Initial screening: Do you must complete an Equality Impact Assessment (EIA)?**

*Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.*

| <b>1.1 What are you analysing?</b>  |  |      |          |          |          |
|---|--|------|----------|----------|----------|
|   | The above noted programme  |      |          |          |          |
| <b>1.2 Does the project, policy or proposal have the potential to <u>disproportionately</u> impact on any of the following groups? If so, is the impact positive or negative?</b> |  |      |          |          |          |
|   |  | None | Positive | Negative | Not sure |
|   | Disabled people  |      | x        |          |          |
|   | Ethnic groups  |      | x        |          |          |
|   | Men or women (include impacts due to pregnancy/ maternity)   |      | x        |          |          |
|   | People or particular sexual orientation/s  |      | x        |          |          |
|   | People who are proposing to undergo, are undergoing, or have undergone a process or part of a process of gender reassignment |      | x        |          |          |
|   | People on low incomes  |      | x        |          |          |
|   | People in particular age groups  |      | x        |          |          |
|   | Groups with particular faiths and beliefs  |      | x        |          |          |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?      |      | x        |          |          |

**If the answer is “negative” or “unclear” consider doing a full EIA**

|  |  |                       |                          |
|--|--|-----------------------|--------------------------|
| <b>1.3</b>   | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b> | <b>None / Minimal</b> | <b>Significant</b>       |
|  |  | x                     | <input type="checkbox"/> |
| <p><u>None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.</u><br/>Wherever a negative impact has been identified you should consider undertaking a full EIA by completing the rest of the form.</p> |  |                       |                          |

|            |   |
|------------|---|
| <b>1.4</b> | <b>Using the screening and information in questions 1.2 and 1.3, should a full assessment be carried out on the project, policy or proposal?</b>  |
|            | <p>No <input checked="" type="checkbox"/></p> <p>The position will be reviewed for key milestones where appropriate as set out in the action plan.</p>  |
| <b>1.5</b> | <b>How have you come to this decision?</b>  |
|            | <ul style="list-style-type: none"> <li>• The overarching ambition of the programme is to improve services, choice and outcomes.</li> <li>• Social work and procurement standards provide assurance that diversity and equalities aspects are being proactively managed.</li> <li>• Savings levels are moderate (£1.94m over the two years 2017 – 2020) and counterbalanced by growth plans; further the later have substantially increased following provision of new monies for 2017-2020 to sustain and support transformation of adult social care services totalling £23.48m</li> </ul> |

## SECTION 2: EQUALITY IMPACT ASSESSMENT

### Building an Evidence Base: What do you know?

*This section will help you build your evidence base and interpret what the likely impact will be of your service.*

#### Sections 2

|            |   |
|------------|---|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>  |
|            | <ul style="list-style-type: none"> <li>• <i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> </ul> |
|            | <p><b>How many people use the service currently? What is this as a % of Westminster's population?</b></p>   |
|            | <b>Disabled people</b>  |
|            | <b>Particular ethnic groups</b>   |
|            | <b>Men or women (include impacts due to pregnancy/maternity)</b>  |

|  |   |  |
|--|---|--|
|  | People of particular sexual orientations  |  |
|  | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment |  |
|  | People on low incomes   |  |
|  | People in particular age groups   |  |
|  | Groups with particular faiths and beliefs   |  |
|  | Any other groups who may be affected by the proposal?   |  |

| <b>2.2 Summary (to be completed following analysis of the evidence above)</b> |   |                          |                          |                          |                          |
|---|---|--------------------------|--------------------------|--------------------------|--------------------------|
|   |   | <b>None</b>              | <b>Positive</b>          | <b>Negative</b>          | <b>Not sure</b>          |
|   | Does the project, policy or proposal have the potential to have a <u>disproportionate</u> impact on any of the following groups? If so, is the impact positive or negative? |                          |                          |                          |                          |
|   | <b>Disabled people</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | <b>Particular ethnic groups</b>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | <b>Men or women (include impacts due to pregnancy/maternity)</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | <b>People of particular sexual orientations</b>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | <b>People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | <b>People on low incomes</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | <b>People in particular age groups</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | <b>Groups with particular faiths and beliefs</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | <b>Are there any other groups that you think this proposal may affect negatively or positively?</b>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

## SECTION 3: Assessing Impact

*In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.*

|            |   |  |
|------------|---|--|
| <b>3.1</b> | <b>Consultation Information</b>   |  |
|            | <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i>  |  |
|            | <p><b>iii. Who have you consulted with?</b></p> <p><b>iv. How did you consult?</b> (<i>inc meeting dates, activity undertaken &amp; groups consulted</i>)</p>     |  |
| <b>3.2</b> | <b>What might the potential impact on individuals or groups be?</b>   |  |
|            | <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i> |  |
|            | <b>Generic impact (across all groups)</b>   |  |
|            | <b>Men or women (include impacts due to pregnancy/maternity)</b>  |  |
|            | <b>People of particular sexual orientation</b>  |  |
|            | <b>People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment</b>                                |  |
|            | <b>Disabled people</b>  |  |
|            | <b>Particular ethnic groups</b>   |  |
|            | <b>People on low incomes</b>  |  |
|            | <b>People in particular age groups</b>  |  |
|            | <b>Groups with particular faiths and beliefs</b>  |  |
|            | <b>Other excluded individuals and groups</b>  |  |

## SECTION 4: Reducing & Mitigating Impact

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| <b>4.1 Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> <i>(Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).</i> |  |
|---|--|
| Impact 1: [Dissatisfaction and/or anxiety associated with managing change and transition]   |  |
| Impact 2: [Inequitable approach to making changes were customers refuse/complain/appeal]  |  |
| Impact 3: [Decline in physical and/or mental health following changes due to poor adjustment]   |  |
| Impact 4: [Insert impact here]  |  |
| Impact 5: [Insert impact here]  |  |

| <b>4.2 Now that you have considered the potential or actual effect on equality, what action are you taking?</b>  |                                     |
|--|-------------------------------------|
| No major change (no impacts identified)  | <input checked="" type="checkbox"/> |
| Adjust the policy  | <input type="checkbox"/>            |
| Continue the policy (impacts identified)   | <input type="checkbox"/>            |
| Stop and remove the policy   | <input type="checkbox"/>            |
| <b>4.3 Please document the reasons for your decision</b>   |                                     |
| Potential for detrimental impacts has been catered for in the policy and approach to implementation.   |                                     |
| <b>4.4 How will the impact of the project, policy or proposal and any changes made to reduce the impact be monitored?</b>  |                                     |
| Follow up monitoring shortly after changes and annual review process.  |                                     |
| <b>4.5 Conclusion</b>  |                                     |
| <i>This section should record the overall impact, who will be impacted upon and the steps being taken to reduce/mitigate impact</i>  |                                     |
| This is 3% of the total service portfolio and as noted the focus is on delivering better outcomes for a little less money. Indepth analysis works has been undertaken which has identified a level of low value services, digital opportunities and duplication in services; this provides assurance about viability of the ambition. The exact details on how savings will be achieved including any services that are to be decommissioned will be set out at the end of October 2017. |                                     |

**SECTION 5: Next Steps**

| <b>5.1</b> | <b>Action Plan</b><br><i>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</i><br><br><i>NB. Add any additional rows, if required.</i> |                          |                  |                  |                                      |                            |       |
|------------|--|--------------------------|------------------|------------------|--------------------------------------|----------------------------|-------|
|            | Action Required  | Equality Groups Targeted | Intended Outcome | Resources Needed | Name of Lead, Unit & Contact Details | Completion Date (DD/MM/YY) | RAG   |
| Page 500   | Review EIA at end of October 2017 when the BCF Programme and complete detail on proposals is finalised.  | ALL                      |                  |                  | dylan.champion@LBHF.gov.ui           | End Nov 17                 | GREEN |

| 5.2 Risk Table |  |   |   |   |  |
|----------------|--|---|---|---|--|
| Ref            | Risk   | Impact  | Actions in place to mitigate the risk                         | Current risk score                                  | Further actions to be developed  |
| R1.1           | [Enter risk here]  | [Enter here the likely impact if the risk came to pass] | [Record here any actions already in place to reduce the risk] | [Using the key below, enter the current risk score] | [Enter here any actions that can be developed in future to reduce the risk identified] |
|                | <b>Risks will not be clear until detailed proposals are set out.</b> |   |   |   |  |
|                |  |   |   |   |  |
|                |  |   |   |   |  |

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**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

Signature:

Full Name: Dylan Champion

Date of Completion: 17<sup>th</sup> August 2017

**WHAT NEXT?**

**Please email your completed EIA to the Equalities Lead: [equalities@westminster.gov.uk](mailto:equalities@westminster.gov.uk)**

| Title of Proposal  |   |
|--|---|
| ASC Front Door and Demand Management Programme which incorporates the following proposals;   |   |
| <b>3.25</b>  | <b>Integrated front door with Health &amp; digital by default</b>                   |
| <b>3.26</b>  | <b>Asset Based Commissioning of prevention services</b>                             |
| ix.  | Full Name:  |
| x.   | Position: Tri-Borough Deputy Executive Director & Director of Finance and Resources |
| xi.  | Department: ASC   |
| xii.   | Contact Details: rachel.wigley@lbhf.gov.uk  |
| Has this project, policy or proposal had an EIA carried out on it previously? If yes, please state date of original and append to this document for information. |   |
| No   |   |
| Version number and date of update  |   |
| V2 17 <sup>th</sup> August 2017  |   |

### SECTION 1: Initial screening: Do you must complete an Equality Impact Assessment (EIA)?

*Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.*

| 1.1 | What are you analysing?  |                                     |                          |                          |                          |
|-----|--|-------------------------------------|--------------------------|--------------------------|--------------------------|
|     | ASC's <b>Front Door and Demand Management</b> programme was established in July 2016 to Join up and digitalise services and integrate commissioning budgets for front door and prevention services. It has a remit to deliver more for less. The combined front door and digital service portfolio, including funding contributions from Housing, Health, Public Health, and CCG is over £7.9m. Savings of £230k have been committed which will be delivered through a combination of digital development, re-commissioning and contract management. |                                     |                          |                          |                          |
| 1.2 | Does the project, policy or proposal have the potential to <u>disproportionately</u> impact on any of the following groups? If so, is the impact positive or negative?   |                                     |                          |                          |                          |
|     |  | None                                | Positive                 | Negative                 | Not sure                 |
|     | Disabled people  | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|     | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|     | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|     | People or particular sexual orientation/s  | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|     | People who are proposing to undergo, are undergoing, or have undergone a process or  | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

|  |   |                                     |                          |                          |                          |
|--|---|-------------------------------------|--------------------------|--------------------------|--------------------------|
|  | part of a process of gender reassignment  |                                     |                          |                          |                          |
|  | People on low incomes   | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  | People in particular age groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  | Groups with particular faiths and beliefs   | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |                          |
|  |   |                                     | <input type="checkbox"/> | <input type="checkbox"/> |                          |

**If the answer is “negative” or “unclear” consider doing a full EIA**

|            |  |  |                          |
|------------|--|--|--------------------------|
| <b>1.3</b> | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b> | <b>None / Minimal</b>  | <b>Significant</b>       |
|            |  | x  | <input type="checkbox"/> |
|            |  | <p><u>None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.</u> Wherever a negative impact has been identified you should consider undertaking a full EIA by completing the rest of the form.</p> |                          |

|            |  |
|------------|--|
| <b>1.4</b> | <b>Using the screening and information in questions 1.2 and 1.3, should a full assessment be carried out on the project, policy or proposal?</b> |
|            | No <input checked="" type="checkbox"/> is to be de-comissioned of downsized. of downsized. of downsized. of downsized.                           |
| <b>1.5</b> | <b>How have you come to this decision?</b>   |
|            |  |

## SECTION 2: EQUALITY IMPACT ASSESSMENT

### Building an Evidence Base: What do you know?

*This section will help you build your evidence base and interpret what the likely impact will be of your service.*

#### Sections 2

| 2.1 | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |  |
|-----|--|--|
|     | <ul style="list-style-type: none"> <li>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</li> </ul> |  |
|     | <b>How many people use the service currently? What is this as a % of Westminster's population?</b>   |  |
|     | <b>Disabled people</b>   |  |
|     | <b>Particular ethnic groups</b>  |  |
|     | <b>Men or women (include impacts due to pregnancy/maternity)</b>   |  |
|     | <b>People of particular sexual orientations</b>  |  |
|     | <b>People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment</b>   |  |
|     | <b>People on low incomes</b>   |  |
|     | <b>People in particular age groups</b>   |  |
|     | <b>Groups with particular faiths and beliefs</b>   |  |
|     | <b>Any other groups who may be affected by the proposal?</b>   |  |

| 2.2 | <b>Summary (to be completed following analysis of the evidence above)</b>   |                          |                          |                          |                          |
|-----|---|--------------------------|--------------------------|--------------------------|--------------------------|
|     | Does the project, policy or proposal have the potential to have a <u>disproportionate</u> impact on any of the following groups? If so, is the impact positive or negative? | <b>None</b>              | <b>Positive</b>          | <b>Negative</b>          | <b>Not sure</b>          |
|     | <b>Disabled people</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|     | <b>Particular ethnic groups</b>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|     | <b>Men or women (include impacts due to pregnancy/maternity)</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|     | <b>People of particular sexual orientations</b>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

|   |                          |                          |                          |                          |
|---|--------------------------|--------------------------|--------------------------|--------------------------|
| People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| People on low incomes   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| People in particular age groups   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Groups with particular faiths and beliefs   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Are there any other groups that you think this proposal may affect negatively or positively?                                | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   |                          | <input type="checkbox"/> | <input type="checkbox"/> |                          |

**SECTION 3: Assessing Impact**

*In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.*

|            |  |
|------------|--|
| <b>3.1</b> | <b>Consultation Information</b><br><i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i>  |
|            | <p><b>v. Who have you consulted with?</b></p> <p><b>vi. How did you consult?</b> <i>(inc meeting dates, activity undertaken &amp; groups consulted)</i></p>  |
| <b>3.2</b> | <b>What might the potential impact on individuals or groups be?</b><br><i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i> |
|            | <b>Generic impact (across all groups)</b>  |
|            | <b>Men or women (include impacts due to pregnancy/maternity)</b>   |
|            | <b>People of particular sexual orientation</b>   |
|            | <b>People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment</b>   |
|            | <b>Disabled people</b>   |
|            | <b>Particular ethnic groups</b>  |
|            | <b>People on low incomes</b>   |
|            | <b>People in particular age groups</b>   |
|            | <b>Groups with particular faiths and beliefs</b>   |
|            | <b>Other excluded individuals and groups</b>   |

## SECTION 4: Reducing & Mitigating Impact

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| <b>4.1 Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> <i>(Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).</i> |  |
|---|--|
| Impact 1: [Dissatisfaction and/or anxiety associated with managing change and transition]   |  |
| Impact 2: [Inequitable approach to making changes were customers refuse/complain/appeal]  |  |
| Impact 3: [Decline in physical and/or mental health following changes due to poor adjustment]   |  |
| Impact 4: [Insert impact here]  |  |
| Impact 5: [Insert impact here]  |  |

| <b>4.2 Now that you have considered the potential or actual effect on equality, what action are you taking?</b>  |                                     |
|--|-------------------------------------|
| No major change (no impacts identified)  | <input checked="" type="checkbox"/> |
| Adjust the policy  | <input type="checkbox"/>            |
| Continue the policy (impacts identified)   | <input type="checkbox"/>            |
| Stop and remove the policy   | <input type="checkbox"/>            |
| <b>4.3 Please document the reasons for your decision</b>   |                                     |
| Potential for detrimental impacts has been catered for in the policy and approach to implementation.   |                                     |
| <b>4.4 How will the impact of the project, policy or proposal and any changes made to reduce the impact be monitored?</b>  |                                     |
| Follow up monitoring shortly after changes and annual review process.  |                                     |
| <b>4.5 Conclusion</b>  |                                     |
| <i>This section should record the overall impact, who will be impacted upon and the steps being taken to reduce/mitigate impact</i>  |                                     |
| This is 3% of the total service portfolio and as noted the focus is on delivering better outcomes for a little less money. Indepth analysis works has been undertaken which has identified a level of low value services, digital opportunities and duplication in services; this provides assurance about viability of the ambition. The exact details on how savings will be achieved including any services that are to be decommissioned will be set out at the end of October 2017. |                                     |

## SECTION 5: Next Steps

| 5.1 | <b>Action Plan</b><br><i>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</i><br><br><i>NB. Add any additional rows, if required.</i> |                          |                  |                  |                                      |                            |       |
|-----|--|--------------------------|------------------|------------------|--------------------------------------|----------------------------|-------|
|     | Action Required  | Equality Groups Targeted | Intended Outcome | Resources Needed | Name of Lead, Unit & Contact Details | Completion Date (DD/MM/YY) | RAG   |
|     | Review EIA at end of October 2017 when detailed proposals for change are advised by commissioning.   | ALL                      |                  |                  | Steven.Falvey@lbhf.gov.uk            | End Nov 17                 | GREEN |

| 5.2 Risk Table |  |   |   |   |  |
|----------------|--|---|---|---|--|
| Ref            | Risk   | Impact  | Actions in place to mitigate the risk                         | Current risk score                                  | Further actions to be developed  |
| R1.1           | [Enter risk here]  | [Enter here the likely impact if the risk came to pass] | [Record here any actions already in place to reduce the risk] | [Using the key below, enter the current risk score] | [Enter here any actions that can be developed in future to reduce the risk identified] |
|                | <b>Risks will not be clear until detailed proposals are set out.</b> |   |   |   |  |
|                |  |   |   |   |  |
|                |  |   |   |   |  |

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**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

Signature:

Full Name: Sue Redmond, Interim **Tri-Borough Executive Director**

Date of Completion: 17<sup>th</sup> August 2017

**WHAT NEXT?**

Please email your completed EIA to the Equalities Lead: [equalities@westminster.gov.uk](mailto:equalities@westminster.gov.uk)

|   |  |
|---|--|
| <b>Title of Proposal</b>  |  |
| <b>3.35 ASC Levy – Continuation for Charging ASC Council Tax Precept</b>  |  |
| Adult Social Care Westminster Savings Proposals;<br>Line by line review of all supplies and services (LD) – ref 3.15  |  |
| xiii.   | <b>Full Name:</b> Rachel Wigley  |
| xiv.  | <b>Position:</b> Tri-Borough Deputy Executive Director & Director of Finance and Resources |
| xv.   | <b>Department:</b> ASC   |
| xvi.  | <b>Contact Details:</b> rachel.wigley@lbhf.gov.uk  |
| <b>Has this project, policy or proposal had an EIA carried out on it previously? If yes, please state date of original and append to this document for information.</b> |  |
| Yes - 29 <sup>th</sup> September 2016   |  |
| <b>Version number and date of update</b>  |  |
| V2 17 <sup>th</sup> August 2017   |  |

### **SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

*Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.*

|            |  |                                     |                          |                          |                          |
|------------|--|-------------------------------------|--------------------------|--------------------------|--------------------------|
| <b>1.1</b> | <b>What are you analysing?</b>   |                                     |                          |                          |                          |
|            | <p>Continued discretionary charging for council tax charge 'the adult social care precept' from 2017/18 which is to be used on a ringfenced basis to support delivery of adult social care services. The Secretary of State for Communities and Local Government made an offer to adult social care authorities. The offer is the option of an adult social care authority being able to charge a "precept" of up to 2% on its council tax for the financial year beginning in 2016 without holding a referendum, to assist the authority in meeting expenditure on adult social care. Subject to the annual approval of the House of Commons, the Secretary of State intends to offer the option of charging the "precept" in relation to each financial year up to and including the financial year 2019-20. WCC has chosen to apply the precept from 2017/18.</p> <p>The precept charges are so marginal to the full Council Tax Bills EIA consideration should be wrapped up within the wider management of affordability, recovery and access to information for Council Tax Charges.</p> |                                     |                          |                          |                          |
| <b>1.2</b> | <b>Does the project, policy or proposal have the potential to <u>disproportionately</u> impact on any of the following groups? If so, is the impact positive or negative?</b>  |                                     |                          |                          |                          |
|            |  | <b>None</b>                         | <b>Positive</b>          | <b>Negative</b>          | <b>Not sure</b>          |
|            | Disabled people  | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|            | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

|  |   |                                     |                          |                          |                          |
|--|---|-------------------------------------|--------------------------|--------------------------|--------------------------|
|  | Men or women (include impacts due to pregnancy/ maternity)  | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  | People or particular sexual orientation/s   | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  | People on low incomes   | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  | People in particular age groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  | Groups with particular faiths and beliefs   | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?     | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |                          |

**If the answer is “negative” or “unclear” consider doing a full EIA**

|  |  |                       |                          |
|--|--|-----------------------|--------------------------|
| <b>1.3</b>   | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b> | <b>None / Minimal</b> | <b>Significant</b>       |
|  |  | x                     | <input type="checkbox"/> |
| <p><u>None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups. Wherever a negative impact has been identified you should consider undertaking a full EIA by completing the rest of the form.</u></p> |  |                       |                          |

|            |   |
|------------|---|
| <b>1.4</b> | <b>Using the screening and information in questions 1.2 and 1.3, should a full assessment be carried out on the project, policy or proposal?</b>  |
|            | No <input checked="" type="checkbox"/>  |
| <b>1.5</b> | <b>How have you come to this decision?</b>  |
|            | The additional charge has been introduced equitably to all Council Tax payers and within the wider existing system for charging based on income and ability to pay. Further the charge is limited to 2% of Council Tax charges. |

## SECTION 2: EQUALITY IMPACT ASSESSMENT

### Building an Evidence Base: What do you know?

*This section will help you build your evidence base and interpret what the likely impact will be of your service.*

#### Sections 2

| 2.1 | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |  |
|-----|--|--|
|     | <ul style="list-style-type: none"> <li>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</li> </ul> |  |
|     | How many people use the service currently? What is this as a % of Westminster's population?  |  |
|     | Disabled people  |  |
|     | Particular ethnic groups   |  |
|     | Men or women (include impacts due to pregnancy/maternity)  |  |
|     | People of particular sexual orientations   |  |
|     | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  |  |
|     | People on low incomes  |  |
|     | People in particular age groups  |  |
|     | Groups with particular faiths and beliefs  |  |
|     | Any other groups who may be affected by the proposal?  |  |

| 2.2   | <b>Summary (to be completed following analysis of the evidence above)</b> |                          |                          |                          |
|---|---|--------------------------|--------------------------|--------------------------|
|   | None  | Positive                 | Negative                 | Not sure                 |
| Does the project, policy or proposal have the potential to have a <u>disproportionate</u> impact on any of the following groups? If so, is the impact positive or negative? |   |                          |                          |                          |
| Disabled people   | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Particular ethnic groups  | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Men or women (include impacts due to pregnancy/maternity)   | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

|   |                          |                          |                          |                          |
|---|--------------------------|--------------------------|--------------------------|--------------------------|
| People of particular sexual orientations  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| People on low incomes   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| People in particular age groups   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Groups with particular faiths and beliefs   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Are there any other groups that you think this proposal may affect negatively or positively?                                | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

### SECTION 3: Assessing Impact

*In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.*

|            |  |
|------------|--|
| <b>3.1</b> | <b>Consultation Information</b><br><i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i>  |
|            | <p><b>vii. Who have you consulted with?</b></p> <p><b>viii. How did you consult?</b> (<i>inc meeting dates, activity undertaken &amp; groups consulted</i>)</p>  |
| <b>3.2</b> | <b>What might the potential impact on individuals or groups be?</b><br><i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i> |
|            | <b>Generic impact (across all groups)</b>  |
|            | <b>Men or women (include impacts due to pregnancy/maternity)</b>   |
|            | <b>People of particular sexual orientation</b>   |
|            | <b>People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment</b>   |
|            | <b>Disabled people</b>   |
|            | <b>Particular ethnic groups</b>  |
|            | <b>People on low incomes</b>   |
|            | <b>People in particular age groups</b>   |

|  |  |  |
|--|--|--|
|  | <b>Groups with particular faiths and beliefs</b> |  |
|  | <b>Other excluded individuals and groups</b>     |  |

#### SECTION 4: Reducing & Mitigating Impact

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

|            |   |  |
|------------|---|--|
| <b>4.1</b> | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> <i>(Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).</i> |  |
|            | Impact 1: [Dissatisfaction and/or anxiety associated with managing change and transition]   |  |
|            | Impact 2: [Inequitable approach to making changes were customers refuse/complain/appeal]  |  |
|            | Impact 3: [Decline in physical and/or mental health following changes due to poor adjustment]   |  |
|            | Impact 4: [Insert impact here]  |  |
|            | Impact 5: [Insert impact here]  |  |

|            |  |                                     |
|------------|--|-------------------------------------|
| <b>4.2</b> | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>  |                                     |
|            | No major change (no impacts identified)  | <input checked="" type="checkbox"/> |
|            | Adjust the policy  | <input type="checkbox"/>            |
|            | Continue the policy (impacts identified)   | <input type="checkbox"/>            |
|            | Stop and remove the policy   | <input type="checkbox"/>            |
| <b>4.3</b> | <b>Please document the reasons for your decision</b>   |                                     |
|            | Potential for detrimental impacts has been catered for in the policy and approach to implementation.   |                                     |
| <b>4.4</b> | <b>How will the impact of the project, policy or proposal and any changes made to reduce the impact be monitored?</b>  |                                     |
|            | Follow up monitoring shortly after changes and annual review process.  |                                     |
| <b>4.5</b> | <b>Conclusion</b><br><i>This section should record the overall impact, who will be impacted upon and the steps being taken to reduce/mitigate impact</i>   |                                     |
|            | The precept charges are so marginal to the full Council Tax Bills EIA consideration should be wrapped up within the wider management of affordability, recovery and access to information for Council Tax Charges. |                                     |

**SECTION 5: Next Steps**

|  |  |                          |                  |                  |                                      |                            |     |
|--|--|--------------------------|------------------|------------------|--------------------------------------|----------------------------|-----|
| <b>5.1</b>                                       | <b>Action Plan</b>   |                          |                  |                  |                                      |                            |     |
|  | <i>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</i> |                          |                  |                  |                                      |                            |     |
| <i>NB. Add any additional rows, if required.</i> |  |                          |                  |                  |                                      |                            |     |
|  | Action Required  | Equality Groups Targeted | Intended Outcome | Resources Needed | Name of Lead, Unit & Contact Details | Completion Date (DD/MM/YY) | RAG |
|  |  |                          |                  |                  |                                      |                            |     |
|  |  |                          |                  |                  |                                      |                            |     |
|  |  |                          |                  |                  |                                      |                            |     |

| 5.2 Risk Table |                   |   |   |   |  |
|----------------|-------------------|---|---|---|--|
| Ref            | Risk              | Impact  | Actions in place to mitigate the risk                         | Current risk score                                  | Further actions to be developed  |
| R1.1           | [Enter risk here] | [Enter here the likely impact if the risk came to pass] | [Record here any actions already in place to reduce the risk] | [Using the key below, enter the current risk score] | [Enter here any actions that can be developed in future to reduce the risk identified] |
|                |                   |   |   |   |  |
|                |                   |   |   |   |  |
|                |                   |   |   |   |  |



**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

Signature:

Full Name: Rachel Wigley, **Tri-Borough Deputy Executive Director & Director of Finance and Resources**

Date of Completion: 18<sup>th</sup> August 2017

**WHAT NEXT?**

Please email your completed EIA to the Equalities Lead: [equalities@westminster.gov.uk](mailto:equalities@westminster.gov.uk)

| Title  |                   |                             |                   |                       |                   |                             |                   |                  |       |         |       |               |       |         |       |                  |       |         |       |                     |       |         |       |                                      |       |         |       |                                      |               |                |               |                               |       |       |       |                                   |               |                |               |
|--|-------------------|-----------------------------|-------------------|-----------------------|-------------------|-----------------------------|-------------------|------------------|-------|---------|-------|---------------|-------|---------|-------|------------------|-------|---------|-------|---------------------|-------|---------|-------|--------------------------------------|-------|---------|-------|--------------------------------------|---------------|----------------|---------------|-------------------------------|-------|-------|-------|-----------------------------------|---------------|----------------|---------------|
| <b>3.38 Public Health Contract Savings</b>   |                   |                             |                   |                       |                   |                             |                   |                  |       |         |       |               |       |         |       |                  |       |         |       |                     |       |         |       |                                      |       |         |       |                                      |               |                |               |                               |       |       |       |                                   |               |                |               |
| What are you analysing?  |                   |                             |                   |                       |                   |                             |                   |                  |       |         |       |               |       |         |       |                  |       |         |       |                     |       |         |       |                                      |       |         |       |                                      |               |                |               |                               |       |       |       |                                   |               |                |               |
| <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>  |                   |                             |                   |                       |                   |                             |                   |                  |       |         |       |               |       |         |       |                  |       |         |       |                     |       |         |       |                                      |       |         |       |                                      |               |                |               |                               |       |       |       |                                   |               |                |               |
| <p>The commissioning budget for Public Health in 2018/19 shows a reduction in cost, which was factored in at the procurement stage and reflects our need for suppliers to continually seek efficiencies without affecting the service to residents.</p> <p>The savings between 17/18 and 18/19 are part of the long-term financial management of Public Health and will ensure that the service continues to deliver excellent services whilst addressing the environment of reducing income.</p> <p>The savings arise from previously agreed payment and performance standards which request an annual saving attributable to efficiencies. In addition, large contracts commenced in Sexual Health in 2017/18, so any set-up costs will be discontinued into 2018/19 and so realising a saving.</p> <p>A table of the areas in which savings have been gained is as follows:</p>   |                   |                             |                   |                       |                   |                             |                   |                  |       |         |       |               |       |         |       |                  |       |         |       |                     |       |         |       |                                      |       |         |       |                                      |               |                |               |                               |       |       |       |                                   |               |                |               |
| <table border="1"> <thead> <tr> <th>Commissioned Services</th> <th>2017/18 Budget £m</th> <th>Contract / Grant Savings £m</th> <th>2018/19 Budget £m</th> </tr> </thead> <tbody> <tr> <td>Substance Misuse</td> <td>7.532</td> <td>(1.880)</td> <td>5.653</td> </tr> <tr> <td>Sexual Health</td> <td>6.966</td> <td>(0.981)</td> <td>5.986</td> </tr> <tr> <td>Behaviour Change</td> <td>2.699</td> <td>(0.651)</td> <td>2.048</td> </tr> <tr> <td>Family and Children</td> <td>8.569</td> <td>(1.930)</td> <td>6.640</td> </tr> <tr> <td>Intelligence and Social Determinants</td> <td>0.102</td> <td>(0.052)</td> <td>0.050</td> </tr> <tr> <td><b>Directorate Managed Contracts</b></td> <td><b>25.870</b></td> <td><b>(5.493)</b></td> <td><b>20.377</b></td> </tr> <tr> <td>Public Health Investment Fund</td> <td>9.041</td> <td>0.009</td> <td>9.050</td> </tr> <tr> <td><b>Total Commissioned Budgets</b></td> <td><b>34.910</b></td> <td><b>(5.484)</b></td> <td><b>29.426</b></td> </tr> </tbody> </table> |                   |                             |                   | Commissioned Services | 2017/18 Budget £m | Contract / Grant Savings £m | 2018/19 Budget £m | Substance Misuse | 7.532 | (1.880) | 5.653 | Sexual Health | 6.966 | (0.981) | 5.986 | Behaviour Change | 2.699 | (0.651) | 2.048 | Family and Children | 8.569 | (1.930) | 6.640 | Intelligence and Social Determinants | 0.102 | (0.052) | 0.050 | <b>Directorate Managed Contracts</b> | <b>25.870</b> | <b>(5.493)</b> | <b>20.377</b> | Public Health Investment Fund | 9.041 | 0.009 | 9.050 | <b>Total Commissioned Budgets</b> | <b>34.910</b> | <b>(5.484)</b> | <b>29.426</b> |
| Commissioned Services  | 2017/18 Budget £m | Contract / Grant Savings £m | 2018/19 Budget £m |                       |                   |                             |                   |                  |       |         |       |               |       |         |       |                  |       |         |       |                     |       |         |       |                                      |       |         |       |                                      |               |                |               |                               |       |       |       |                                   |               |                |               |
| Substance Misuse   | 7.532             | (1.880)                     | 5.653             |                       |                   |                             |                   |                  |       |         |       |               |       |         |       |                  |       |         |       |                     |       |         |       |                                      |       |         |       |                                      |               |                |               |                               |       |       |       |                                   |               |                |               |
| Sexual Health  | 6.966             | (0.981)                     | 5.986             |                       |                   |                             |                   |                  |       |         |       |               |       |         |       |                  |       |         |       |                     |       |         |       |                                      |       |         |       |                                      |               |                |               |                               |       |       |       |                                   |               |                |               |
| Behaviour Change   | 2.699             | (0.651)                     | 2.048             |                       |                   |                             |                   |                  |       |         |       |               |       |         |       |                  |       |         |       |                     |       |         |       |                                      |       |         |       |                                      |               |                |               |                               |       |       |       |                                   |               |                |               |
| Family and Children  | 8.569             | (1.930)                     | 6.640             |                       |                   |                             |                   |                  |       |         |       |               |       |         |       |                  |       |         |       |                     |       |         |       |                                      |       |         |       |                                      |               |                |               |                               |       |       |       |                                   |               |                |               |
| Intelligence and Social Determinants   | 0.102             | (0.052)                     | 0.050             |                       |                   |                             |                   |                  |       |         |       |               |       |         |       |                  |       |         |       |                     |       |         |       |                                      |       |         |       |                                      |               |                |               |                               |       |       |       |                                   |               |                |               |
| <b>Directorate Managed Contracts</b>   | <b>25.870</b>     | <b>(5.493)</b>              | <b>20.377</b>     |                       |                   |                             |                   |                  |       |         |       |               |       |         |       |                  |       |         |       |                     |       |         |       |                                      |       |         |       |                                      |               |                |               |                               |       |       |       |                                   |               |                |               |
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| <b>Total Commissioned Budgets</b>  | <b>34.910</b>     | <b>(5.484)</b>              | <b>29.426</b>     |                       |                   |                             |                   |                  |       |         |       |               |       |         |       |                  |       |         |       |                     |       |         |       |                                      |       |         |       |                                      |               |                |               |                               |       |       |       |                                   |               |                |               |
| Details of the lead person completing the screening/EIA  |                   |                             |                   |                       |                   |                             |                   |                  |       |         |       |               |       |         |       |                  |       |         |       |                     |       |         |       |                                      |       |         |       |                                      |               |                |               |                               |       |       |       |                                   |               |                |               |
| <p>(i) Full Name: John Forde<br/> (ii) Position: Deputy Director of Public Health<br/> (iii) Unit: Public Health<br/> (iii) Contact Details: <a href="mailto:jforde@westminster.gov.uk">jforde@westminster.gov.uk</a></p>  |                   |                             |                   |                       |                   |                             |                   |                  |       |         |       |               |       |         |       |                  |       |         |       |                     |       |         |       |                                      |       |         |       |                                      |               |                |               |                               |       |       |       |                                   |               |                |               |
| Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a>  |                   |                             |                   |                       |                   |                             |                   |                  |       |         |       |               |       |         |       |                  |       |         |       |                     |       |         |       |                                      |       |         |       |                                      |               |                |               |                               |       |       |       |                                   |               |                |               |
| 10 <sup>th</sup> October 2017  |                   |                             |                   |                       |                   |                             |                   |                  |       |         |       |               |       |         |       |                  |       |         |       |                     |       |         |       |                                      |       |         |       |                                      |               |                |               |                               |       |       |       |                                   |               |                |               |
| Version number and date of update  |                   |                             |                   |                       |                   |                             |                   |                  |       |         |       |               |       |         |       |                  |       |         |       |                     |       |         |       |                                      |       |         |       |                                      |               |                |               |                               |       |       |       |                                   |               |                |               |
| <p><i>You will need to update your EIA as you move through the decision-making process. Record the version number here and the date you updated the EIA. Keep all versions so you have evidence that you have considered equality throughout the process.</i></p>  |                   |                             |                   |                       |                   |                             |                   |                  |       |         |       |               |       |         |       |                  |       |         |       |                     |       |         |       |                                      |       |         |       |                                      |               |                |               |                               |       |       |       |                                   |               |                |               |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

| 1.1 Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative? |                                     |   |                          |                          |
|---|-------------------------------------|---|--------------------------|--------------------------|
|   | None                                | Positive  | Negative                 | Not sure                 |
| Disabled people   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Particular ethnic groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Men or women (include impacts due to pregnancy/ maternity)  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People or particular sexual orientation/s   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People on low incomes   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People in particular age groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Groups with particular faiths and beliefs   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?   |                                     | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b>   |                                     |   |                          |                          |
| 1.2 What do you think that the overall NEGATIVE impact on groups and communities will be?   |                                     |   |                          |                          |
| <b>None/ Minimal</b>  |                                     | <b>Significant</b>  |                          |                          |
| <input checked="" type="checkbox"/>   |                                     | <input type="checkbox"/>  |                          |                          |
| None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                      |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>   |                                     |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b> |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | There are no negative or unclear equalities implications arising from the savings.   |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|            |  |  |
|------------|--|--|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |  |
|            | <ul style="list-style-type: none"> <li>• <i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li>• <i>A baseline of data is <a href="#">available here</a></i></li> </ul> |  |
|            | How many people use the service currently? What is this as a % of Westminster’s population?  |  |
|            | Age  |  |
|            | Disability   |  |
|            | Gender   |  |
|            | Race   |  |
|            | Religion or belief   |  |
|            | Sexual orientation   |  |

|     |  |
|-----|--|
| 2.2 | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></p> |
|     | <p><i>If yes, provide details.</i></p>   |
| 2.3 | <p><b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>   |
|     | <p><i>If yes, provide details.</i></p>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>   |
|            | <p><i>It is helpful to identify whether you have conducted any consultations for your proposal, in some cases a statutory consultation is required. If your proposal has not required a consultation, please highlight this here. Consultations will help you identify what the potential impact of your proposal might be.</i></p>                                  |
| <b>3.2</b> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p>  |
|            | <p><i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i></p> |

**SECTION 4: REDUCING & MITIGATING IMPACT**

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| <b>4.1</b>  | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|---|--|--|--|--|--|--------------------------|-----------------------------|---|--------------------------|--|---|--------------------------|--------------------------------------|--|--|--|---|--|
| <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p>  |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr style="background-color: #F4C49E;"> <th style="width: 45%; padding: 5px;">Column A – Issues or barriers, things to take into account</th> <th style="width: 55%; padding: 5px;">Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).</th> </tr> </thead> <tbody> <tr><td style="height: 30px;"></td><td></td></tr> <tr> <td style="padding: 5px;"><i>Enter additional rows if require</i></td> <td></td> </tr> </tbody> </table>   |  |  | Column A – Issues or barriers, things to take into account | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  | <i>Enter additional rows if require</i> |  |
| Column A – Issues or barriers, things to take into account  | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).           |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <i>Enter additional rows if require</i>   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <b>4.2</b>  | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <tbody> <tr> <td style="width: 5%; text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="width: 35%; background-color: yellow; padding: 5px;"><b>1. No major change (no impacts identified)</b></td> <td style="padding: 5px;">Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.</td> </tr> <tr> <td style="text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="background-color: yellow; padding: 5px;"><b>2. Adjust the policy</b></td> <td style="padding: 5px;">You will take steps to remove barriers or to better advance equality.</td> </tr> <tr> <td style="text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="background-color: yellow; padding: 5px;"><b>3. Continue the policy (impacts identified)</b></td> <td style="padding: 5px;">You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.</td> </tr> <tr> <td style="text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="background-color: yellow; padding: 5px;"><b>4. Stop and remove the policy</b></td> <td style="padding: 5px;">There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.</td> </tr> </tbody> </table> |  |  | <input type="checkbox"/>                                   | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. | <input type="checkbox"/> | <b>2. Adjust the policy</b> | You will take steps to remove barriers or to better advance equality. | <input type="checkbox"/> | <b>3. Continue the policy (impacts identified)</b> | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified. | <input type="checkbox"/> | <b>4. Stop and remove the policy</b> | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating. |  |  |   |  |
| <input type="checkbox"/>  | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>2. Adjust the policy</b>  | You will take steps to remove barriers or to better advance equality.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>3. Continue the policy (impacts identified)</b>   | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>4. Stop and remove the policy</b>   | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |

| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 526</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

**SIGNATURE:** .....

**FULL NAME:** .....

**UNIT:** .....

**EMAIL & TELEPHONE EXT:** .....

**DATE (DD/MM/YYYY):** .....

**WHAT NEXT?**

It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.

All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.

All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

| Title   |
|---|
| <p><b>8.1A Specialist Intervention - Perfect Pathways</b></p>   |
| <p>What are you analysing?</p> <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>  |
| <p>In 2017 Children’s Commissioning launched The Perfect Pathways project, a system wide review of services for children with SEND which would take a completely new look at the way in which Westminster City Council provided targeted support for children with special educational needs and disabilities from the age of 0-25, specifically focussing on:</p> <ul style="list-style-type: none"> <li>• Short Breaks for Children with Disabilities</li> <li>• SEN Outreach</li> <li>• Early Years provision</li> <li>• Information, advice, and consultation</li> </ul> <p>The overarching aim of the project has been to develop an improved system for providing targeted support for Children with Special Educational Needs and Disabilities in Westminster. We want efficient and effective services which provide the best value and experience for children and families.</p> <p>Following a successful bid based on our desire to provide this improved targeted support for Children with Special Educational Needs and Disabilities, the project has benefited from the ‘Design in the Public Sector’ programme, which is delivered by the Design Council. The Design in the Public Sector programme brings together officers involved in the design and delivery of public services to learn and apply strategic design approaches to their challenges to deliver impact and improvement for their communities. The focus of the programme is to enable local authorities to work with communities to develop radically different solutions to challenges, so they can continue to provide excellent services that are both efficient and effective.</p> <p>Factors driving the project have included:</p> <ul style="list-style-type: none"> <li>• The needs of the population are changing – for example an increase in young people with Autistic Spectrum Disorder (ASD).</li> <li>• Legislative requirements to make the offer more personalised and enable more parental control over how money is spent. Parents and professionals tell us that the offer can feel fragmented and navigating between services can be complex.</li> <li>• We are not maximising the use and value of our physical estate</li> <li>• There is a saving Medium Term savings target against the commissioned budget in 2018/19 of £0.205m, following a saving of £0.16m in 2017/18</li> <li>• An improvement in relationships between stakeholders across the system is needed to establish a more joined up system better able to meet the needs of children and families</li> <li>• Inconsistent advice and support is increasing pressure on specialist services, contrary to the strategic commitment to enabling children to benefit from inclusive mainstream settings wherever possible.</li> </ul> |

Our challenge is therefore to fundamentally rethink our current model to address these challenges. Since April 2017 the focus of the work delivered has been the application of design methodology to better identify the problems the program is seeking to address. Research has been delivered as a joint effort between The Parent Participation Group, The Design Council, current providers in the system and the Core Project Group.

The research methodology has identified common themes RE problems in the system, summarised below:

- The Local Offer can feel fragmented and navigating between services can be complex.
- Inconsistent advice and support is increasing pressure on specialist services, contrary to the strategic commitment to enabling children to benefit from inclusive mainstream settings wherever possible.
- Parents articulated the value of services that provide information on wider social sector provision.
- Responses from parents frequently focused on the impact services have on them, rather than their children, and how they wanted services that supported their ability to manage the lives of their whole family.
- Enthusiasm for key working.
- Services to be designed around the parent's challenges.
- The need for family services and or environments that parents and their families could mix in, feeling accepted and comfortable.
- Improvements in both access to and the inclusivity of existing community resources.
- The desire for access to some services without the need for social worker assessment.

Through the research undertaken **several possible solutions** to the issues faced in the system have been identified. *These include:*

- *Effective front door for health notifications and other referrals, which improves the process for identification and tracking of children with emerging SEND needs*
- *Triage process with clear guidance that enables a multi-disciplinary team to recommend the next steps for the child and the family regarding their support from the local offer*
- *Family Key Working model, which appropriate children and families can be referred to for personalised support, helping them to navigate the SEND support system, access the local offer and be empowered to manage their lives more effectively*
- *Short breaks core offer, which will enable children who are eligible for a short break but do not need SW intervention to do so without extensive assessment*
- *Drop-in family hub facility/ facilities, which provides space(s) for families to receive information advice and guidance and access inclusive activities on an ad-hoc basis*
- *Closer working relationship and collaboration between WCC parents and the LA to widen parent influence*
- *Behaviour support offer for 0-18 age group.*
- A HUB could act as a spring board to the broader local offer, hosting a key working service that can help parents navigate the local offer so their child can access the right support, at the right time, with the right professionals.
- The new model, services and processes should enable parents to be supported through a more coherent set of pathways.

- The local offer itself could offer greater differentiation or graduation with the introduction of the core offer. This could enable each parent to receive an offer that's better tailored to their child's need.
- Where possible, parents could also access an offer that meets their child's needs without social work assessment.

These solutions will be taken forward through several work streams. Perfect Pathways will conclude with the following outputs:

- Clarity on the challenges facing the system
- An improvement in relationships across the system, particularly with parents
- Increased confidence in local authority commissioning and transformation processes
- A delivery of the £365k savings target set against the Specialist Commissioning Intervention budget
- A series of recommendations for future services and a model to take forward.

Future work streams will include a focus on Early Intervention to achieve outcomes for children at an earlier stage and which will manage demand in a more sustainable way.

#### Details of the lead person completing the screening/EIA

(i) Full Name: Annabel Saunders

(ii) Position: Director of Commissioning – Children's Services

(iii) Unit: Children's Services

(iv) Contact Details: [Annabel.Saunders@rbkc.gov.uk](mailto:Annabel.Saunders@rbkc.gov.uk)

#### Date sent to [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

16 August 2017, updated 02/10/2017

#### Version number and date of update

**V2.0 slight**

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |   |                                     |   |                          |
|---|--|---|-------------------------------------|---|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |   |                                     |   |                          |
|   |  | <b>None</b>   | <b>Positive</b>                     | <b>Negative</b>                               | <b>Not sure</b>          |
|   | Disabled people  | <input type="checkbox"/>  | <input checked="" type="checkbox"/> | <input type="checkbox"/>                      | <input type="checkbox"/> |
|   | Particular ethnic groups   | <input checked="" type="checkbox"/>   | <input type="checkbox"/>            | <input type="checkbox"/>                      | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/>   | <input type="checkbox"/>            | <input type="checkbox"/>                      | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <input checked="" type="checkbox"/>   | <input type="checkbox"/>            | <input type="checkbox"/>                      | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/>   | <input type="checkbox"/>            | <input type="checkbox"/>                      | <input type="checkbox"/> |
|   | People on low incomes  | <input type="checkbox"/>  | <input checked="" type="checkbox"/> | <input type="checkbox"/>                      | <input type="checkbox"/> |
|   | People in particular age groups  | <input checked="" type="checkbox"/>   | <input type="checkbox"/>            | <input type="checkbox"/>                      | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/>   | <input type="checkbox"/>            | <input type="checkbox"/>                      | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  |   | <input type="checkbox"/>            | <b>No</b> <input checked="" type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |   |                                     |   |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |   |                                     |   |                          |
|   | <b>None/ Minimal</b>   | <b>Significant</b>  |                                     |   |                          |
|   | <input checked="" type="checkbox"/>  | <input type="checkbox"/>  |                                     |   |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                                     |   |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |   |                                     |   |                          |

|            |   |
|------------|---|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>  |
|            | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>   |
| <b>1.4</b> | <b>How have you come to this decision?</b>  |
|            | The revised model of support based on increased personalisation and increased access into universal settings will have positive impacts on disabled children and their families. There is a risk that the reduction in overall funding will have an impact on the ability of the services in scope to adapt to accommodate increasing demand into the future. It will be important to mitigate this risk by considering how the transition to the new model can be resourced to ensure a model is in place that can meet increasing demand into the future. |

## EQUALITY IMPACT ASSESSMENT

### SECTION 2: BUILDING AN EVIDENCE BASE

|            |  |   |
|------------|--|---|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |   |
|            | <ul style="list-style-type: none"> <li>• <i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li>• <i>A baseline of data is <a href="#">available here</a></i></li> </ul> |   |
|            | How many people use the service currently? What is this as a % of Westminster's population?  | Approximately 450 children and their families will be impacted by the changes to Short Breaks. This is approximately 0.2% of the overall population or 1% of the under 19 population.   |
|            | Age  | This project covers SEND children and young people aged 0-18 but also their parents/ carers/ family members.  |
|            | Disability   | To be eligible for a short break, a child would have a disability.  |
|            | Gender   | The DCT's cohort of children with SEND is majority male (67% male, 33% female) which is representative of children with SEND more broadly.  |
|            | Race   | The Disabled Children Teams cohort is very diverse which is broadly representative of the population served. In majority order the cohort's ethnicity is: Other Ethnic Groups (28%) Black/ African/ Caribbean/ Black British (23%), White (18%), Asian/Asian British/ Chinese (12%) and Mixed/ Multiple Ethnic Groups (7%) There is a significant segment of the cohort for whom ethnicity is not recorded (12%). |

|            |   |  |
|------------|---|--|
|            | Religion or belief  | In majority order the cohort has the following religious representation: Muslim (43%), Christian (27%) Catholic (6%), No Religion (5%) Not stated (5%), Jewish (1%). The remaining % are either not recored or are statistically insignifciant (e.g. Hindu - 1 child). |
|            | Sexual orientation  | Data on sexual orientation is currently not available but it is unlikely that this proposal will impact either positively or negatively on this protected characteristic.  |
| <b>2.2</b> | <b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i> |  |
|            | By the nature of the service young people with disabilities are overrepresented relative to the size of the population.   |  |
| <b>2.3</b> | <b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i>   |  |
|            | As above, the service is specifically targeted at children with disabilities and therefore these are the only groups represented.   |  |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |   |
|------------|---|
| <b>3.1</b> | <p><b>Consultation Information</b><br/><i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>   |
|            | <p>In the early stages of the review of services for children with SEND through 2016 consultation activity was completed with Parent Forum leads, parent/carers and stakeholders. This included group discussions, 1:1, facilitated conversation and questionnaires. Feedback received from other boroughs and schools were tested out to see if the themes were consistent.</p> <p>In addition, since April 2017, the focus of the work delivered has been the application of design methodology to better identify the problems the program is seeking to address. Research has been delivered as a joint effort between The Parent Participation Group, The Design Council, current providers in the system and the Core Project Group.</p> <p>This Discovery Work has involved Photo Journals, Journey Mapping, Parent Interviews, Observations in Settings and a range of workshop activities completed with parents. A member of the core team has also met with the Westminster Special Schools Head regarding SEN Outreach.</p> <p>Collectively the research and consultation work completed has provided a view of parent and families wishes. We hope the emphasis the project has had on understanding parent's views has been an encouragement to the parents' groups.</p> <p>Currently broader engagement is underway with professionals across Health, Education, and Social Care to triangulate findings established to date.</p> <p>The projects next steps have been identified as:</p> <ul style="list-style-type: none"> <li>• Further exploratory visits are being held across Early Years Settings</li> <li>• Multiagency Working groups are being established to take forward emerging recommendations</li> <li>• Proposed solutions emerging from professional input will be further developed through coproduction workshops</li> <li>• The necessary savings will be achieved for April 2018.</li> </ul> |
| <b>3.2</b> | <p><b>What might the potential impact on individuals or groups be?</b><br/><i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p>  |
|            | <p>The change in funding means that all funds in the system must be focused towards children with SEND to ensure compliance with statutory legislation and, most importantly, to deliver the necessary support to meet the needs of children and families affected by complex needs.</p>  |

|  |  |
|--|--|
|  | <p>This may mean the decommissioning of budgets paying for services which are not currently meeting the needs of the budget's target population.</p> <p>The objective of the review is to better meet the needs of disabled children and families. It is believed that an improved model for children with SEND can be achieved despite the increased financial constraints.</p> <p>There could be transitional issues with the move to a new model. This move will require careful management to ensure that parents and young people are adequately supported.</p> |
|--|--|

#### SECTION 4: REDUCING & MITIGATING IMPACT

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

|                                     |   |  |                          |  |  |                          |                      |   |                                     |   |   |                          |                               |  |
|-------------------------------------|---|--|--------------------------|--|--|--------------------------|----------------------|---|-------------------------------------|---|---|--------------------------|-------------------------------|--|
| <b>4.1</b>                          | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).  |  |                          |  |  |                          |                      |   |                                     |   |   |                          |                               |  |
|                                     | No negative impacts identified.   |  |                          |  |  |                          |                      |   |                                     |   |   |                          |                               |  |
| <b>4.2</b>                          | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>   |  |                          |  |  |                          |                      |   |                                     |   |   |                          |                               |  |
|                                     | <table border="1"> <tr> <td style="width: 5%; text-align: center;"><input type="checkbox"/></td> <td style="width: 35%;">1. No major change (no impacts identified)</td> <td>Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.</td> </tr> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td>2. Adjust the policy</td> <td>You will take steps to remove barriers or to better advance equality.</td> </tr> <tr> <td style="text-align: center;"><input checked="" type="checkbox"/></td> <td>3. Continue the policy (impacts identified)</td> <td>You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.</td> </tr> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td>4. Stop and remove the policy</td> <td>There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.</td> </tr> </table> |  | <input type="checkbox"/> | 1. No major change (no impacts identified) | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. | <input type="checkbox"/> | 2. Adjust the policy | You will take steps to remove barriers or to better advance equality. | <input checked="" type="checkbox"/> | 3. Continue the policy (impacts identified) | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified. | <input type="checkbox"/> | 4. Stop and remove the policy | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating. |
| <input type="checkbox"/>            | 1. No major change (no impacts identified)  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |                          |  |  |                          |                      |   |                                     |   |   |                          |                               |  |
| <input type="checkbox"/>            | 2. Adjust the policy  | You will take steps to remove barriers or to better advance equality.  |                          |  |  |                          |                      |   |                                     |   |   |                          |                               |  |
| <input checked="" type="checkbox"/> | 3. Continue the policy (impacts identified)   | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.  |                          |  |  |                          |                      |   |                                     |   |   |                          |                               |  |
| <input type="checkbox"/>            | 4. Stop and remove the policy   | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |                          |  |  |                          |                      |   |                                     |   |   |                          |                               |  |
| <b>4.3</b>                          | <b>Please document the reasons for your decision</b>  |  |                          |  |  |                          |                      |   |                                     |   |   |                          |                               |  |
|                                     | <p>Whilst there are risks from the reduction in spend on short break services, there are opportunities through a redesign of services to ensure that, in future, funding is used in a smarter way which is more closely based around parental preference and personalisation.</p> <p>It will be critical to ensure that parents and young people are involved throughout this process.</p> <p>Additionally, we will need to build in a robust mobilisation plan which will ensure that there is sufficient time for children's needs to be carefully considered and planned for as the new model is developed.</p>  |  |                          |  |  |                          |                      |   |                                     |   |   |                          |                               |  |

## SECTION 5: ACTION PLAN

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation, or Religion/Belief*

|          |  |
|----------|--|
| 5.1      | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (Inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |
| Page 536 | N/A  |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER****SIGNATURE:** .....**FULL NAME:** Annabel Saunders**UNIT:** Children's Commissioning**EMAIL & TELEPHONE EXT:** Annabel.Saunders@rbkc.gov.uk**DATE (DD/MM/YYYY):** 02/10/2017**WHAT NEXT?**

**It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.**

**All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.**

**All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)**

|  |
|--|
| <b>Title</b>   |
| <b>8.1B Children’s Commissioning Directorate Restructure</b>   |
| <p>What are you analysing?</p> <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>   |
| <p>The Tri-borough Children’s Commissioning Directorate is responsible for approximately £80m of external spend on more than 1000 contracts including home to school transport and schools meals, looked after children placements and packages of support for disabled children, children’s centres and youth services, amongst others. The role of the service is to ensure that decisions on spend are made on the basis of robust evidence of need, to source cost effective quality provision which drives innovation, to manage and develop markets and oversee and challenge provider performance.</p> <p>The Tri-borough Commissioning team review and restructure in 2016 has resulted in a net reduction of 25 Tri – Borough Full Time Equivalent (FTE’s) from 109 to 84. This is the combined movement of :</p> <ol style="list-style-type: none"> <li>a. Reduction of 37 FTE’s</li> <li>b. Addition of 12 FTE new service roles into Commissioning.</li> </ol> <p>A second restructure is planned to review the Joint Commissioning Team (a jointly funded service with the Clinical Commissioning Group). It is expected to be fully implemented by March 2018.</p> |
| <b>Details of the lead person completing the screening/EIA</b>   |
| <p>(i) Full Name: Rachael Wright-Turner</p> <p>(ii) Position: Triborough Director for Children's Commissioning</p> <p>(iii) Unit: Children’s Services</p> <p>(iv) Contact Details: <a href="mailto:Rachael.Wright-Turner@rbkc.gov.uk">Rachael.Wright-Turner@rbkc.gov.uk</a></p>  |
| <b>Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a></b>   |
| 22 <sup>nd</sup> August 2017   |
| <b>Version number and date of update</b>   |
| V2.0 (update 22 <sup>nd</sup> August 2017)   |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |                                     |   |                          |                          |
|---|--|-------------------------------------|---|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                                     |   |                          |                          |
|   |  | <b>None</b>                         | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  | <b>No</b>                           | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |                                     |   |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                                     |   |                          |                          |
|   | <b>None/ Minimal</b>   |                                     | <b>Significant</b>  |                          |                          |
|   | <input checked="" type="checkbox"/>  |                                     | <input type="checkbox"/>  |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |                                     |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>   |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | <p>The Commissioning reorganisation has delivered the saving following the staff consultation process which took place in November 2015.</p> <p>The saving associated with this activity has been delivered. There were 5 Westminster City Council Staff that requested voluntary redundancy as part of the process. There are no negative implications for the workforce and no reduction in service as a result of this restructure.</p> |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|            |  |  |
|------------|--|--|
| <b>3.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |  |
|            | <ul style="list-style-type: none"> <li>• <i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li>• <i>A baseline of data is <a href="#">available here</a></i></li> </ul> |  |
|            | How many people use the service currently? What is this as a % of Westminster's population?  |  |
|            | Age  |  |
|            | Disability   |  |
|            | Gender   |  |
|            | Race   |  |
|            | Religion or belief   |  |
|            | Sexual orientation   |  |

|     |  |
|-----|--|
| 2.2 | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></p> |
|     | N/A  |
| 2.3 | <p><b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>   |
|     | N/A  |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |   |
|------------|---|
| <b>3.1</b> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>  |
|            | <p>A staff consultation process took place in November 2015. A second staff consultation in relation to the Joint Commissioning Team is expected in autumn 2017.</p>  |
| <b>3.2</b> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p> |
|            | <p>N/A</p>  |

## SECTION 4: REDUCING & MITIGATING IMPACT

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| 4.1 | Where you have identified an impact, what can be done to reduce or mitigate the impact? (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |   |
|-----|---|---|
|     | <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p>                  |   |
|     | <b>Column A – Issues or barriers, things to take into account</b>   | <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |
|     |   |   |
|     |   |   |
|     |   |   |
|     |   |   |
|     |   |   |
|     | <i>Enter additional rows if require</i>   |   |
| 4.2 | Now that you have considered the potential or actual effect on equality, what action are you taking?  |   |
|     | <input type="checkbox"/> 1. No major change (no impacts identified)   | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups.                                      |
|     | <input type="checkbox"/> 2. Adjust the policy   | You will take steps to remove barriers or to better advance equality.   |
|     | <input type="checkbox"/> 3. Continue the policy (impacts identified)  | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.   |
|     | <input type="checkbox"/> 4. Stop and remove the policy  | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.  |

| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 545</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

**SIGNATURE:** .....

**FULL NAME:** .....

**UNIT:** .....

**EMAIL & TELEPHONE EXT:** .....

**DATE (DD/MM/YYYY):** .....

**WHAT NEXT?**

**It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.**

**All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.**

**All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)**

|   |
|---|
| <b>Title</b>  |
| <b>8.1C Tracking and Survey Re-commissioning</b>  |
| <p>What are you analysing?</p> <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>  |
| <p>To identify savings from the delivery of the Tracking and Survey function of young people to understand learning and employment destinations, and ensure the delivery of careers information advice and guidance to young people with a disability and/or learning difficulties.</p> <p>The current contract with the incumbent Tracking and Survey provider is approaching the end of its term. Casework and specialist advice is already provided by the SEN service, and the contract specification for Tracking and Surveys will be reviewed and re-commissioned to identify and release efficiencies and savings. Services will continue to meet statutory requirements, and appropriate support to young people and education providers will continue.</p> |
| <b>Details of the lead person completing the screening/EIA</b>  |
| <p>(i) Full Name: Rupa Parmar</p> <p>(ii) Position: Consultant - Programme Lead, Commissioning &amp; Transition</p> <p>(iii) Unit: Children's Services – Commissioning Directorate</p> <p>(iv) Contact Details: <a href="mailto:Rupa.Parmar@rbkc.gov.uk">Rupa.Parmar@rbkc.gov.uk</a></p>  |
| <b>Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a></b>  |
| 15 <sup>th</sup> August 2017  |
| <b>Version number and date of update</b>  |
| <b>V3 – 15<sup>th</sup> August 2017</b>   |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |                                     |   |                          |                          |
|---|--|-------------------------------------|---|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                                     |   |                          |                          |
|   |  | <b>None</b>                         | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <input type="checkbox"/>            | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  | <b>No</b>                           | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |                                     |   |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                                     |   |                          |                          |
|   | <b>None/ Minimal</b>   |                                     | <b>Significant</b>  |                          |                          |
|   | <input checked="" type="checkbox"/>  |                                     | <input type="checkbox"/>  |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |                                     |   |                          |                          |

|     |   |
|-----|---|
| 1.3 | Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal   |
|     | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>   |
| 1.4 | How have you come to this decision?   |
|     | <p>A review of service arrangements has identified that there are more efficient ways to deliver services, which will not negatively impact on service provision. Both Tracking and Survey functions, coupled with the requirement to undertake Education, Health and Care Plans for Children with Special Educational Needs remain statutory functions of the Local Authority. Whilst service reviews have identified more efficient ways to deliver the Tracking and Survey function through a competitive procurement exercise, both this and the Education, Health and Care Plans will continue to be provided.</p> <p>Both the Tracking and Survey function for all young people aged 16 to 17, and the requirement to undertake EHC plans, (of which there are 334 plans in schools across Westminster), for children with Special Educational Needs from age 0 through to 25 are statutory services available to the whole cohorts of young people within these age groups, (year 11, 1591, year 12, 1472 &amp; year 13, 1181). Re-commissioning the Tracking &amp; Survey function will not result in reduced provision of the service. Discussions have been held with the incumbent provider of the Tracking and Survey service across Westminster to advise on our proposed approach to re-tender this service as a Tracking and Survey contract only. Following the procurement process arrangements will be made with the successful service provider for the continuation of service delivery. Discussions are on-going over the staffing and resource requirements for staff working on this contract undertaking EHC plans, however, service delivery from the SEN team will continue.</p> <p>As there are no proposed changes to the requirement to undertake the Tracking and Survey function it is not anticipated there will be an impact on individuals or groups. Young people in academic years 11, 12 and 13 will continue to be reported to the Department for Education and where participation is unknown, their activity will be tracked. As the same number of key worker posts will continue in the Special Educational Needs department it is not anticipated that there will be an impact on young people with Special Educational Needs or Disabilities that are undergoing an assessment for, or have an on-going EHC plan. The 334 plans in place for young people in schools across Westminster will continue to have an allocated keyworker from the SEN department.</p> |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|   |   |  |   |  |     |     |            |     |        |     |      |     |                    |     |                    |     |
|---|---|--|---|--|-----|-----|------------|-----|--------|-----|------|-----|--------------------|-----|--------------------|-----|
| 2.1   | <p><b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b></p> <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul>  |  |   |  |     |     |            |     |        |     |      |     |                    |     |                    |     |
|   | <table border="1"> <tr> <td data-bbox="264 633 727 824">How many people use the service currently? What is this as a % of Westminster's population?</td> <td data-bbox="743 633 1538 824">The statutory requirement is to track, record and report on the participation activity for all young people resident within Westminster aged 16 and 17, and up to 25 for those with Special Educational Needs.</td> </tr> <tr> <td data-bbox="264 824 727 913">Age</td> <td data-bbox="743 824 1538 913">n/a</td> </tr> <tr> <td data-bbox="264 913 727 1003">Disability</td> <td data-bbox="743 913 1538 1003">n/a</td> </tr> <tr> <td data-bbox="264 1003 727 1093">Gender</td> <td data-bbox="743 1003 1538 1093">n/a</td> </tr> <tr> <td data-bbox="264 1093 727 1182">Race</td> <td data-bbox="743 1093 1538 1182">n/a</td> </tr> <tr> <td data-bbox="264 1182 727 1272">Religion or belief</td> <td data-bbox="743 1182 1538 1272">n/a</td> </tr> <tr> <td data-bbox="264 1272 727 1373">Sexual orientation</td> <td data-bbox="743 1272 1538 1373">n/a</td> </tr> </table> |  | How many people use the service currently? What is this as a % of Westminster's population? | The statutory requirement is to track, record and report on the participation activity for all young people resident within Westminster aged 16 and 17, and up to 25 for those with Special Educational Needs. | Age | n/a | Disability | n/a | Gender | n/a | Race | n/a | Religion or belief | n/a | Sexual orientation | n/a |
| How many people use the service currently? What is this as a % of Westminster's population? | The statutory requirement is to track, record and report on the participation activity for all young people resident within Westminster aged 16 and 17, and up to 25 for those with Special Educational Needs.  |  |   |  |     |     |            |     |        |     |      |     |                    |     |                    |     |
| Age   | n/a   |  |   |  |     |     |            |     |        |     |      |     |                    |     |                    |     |
| Disability  | n/a   |  |   |  |     |     |            |     |        |     |      |     |                    |     |                    |     |
| Gender  | n/a   |  |   |  |     |     |            |     |        |     |      |     |                    |     |                    |     |
| Race  | n/a   |  |   |  |     |     |            |     |        |     |      |     |                    |     |                    |     |
| Religion or belief  | n/a   |  |   |  |     |     |            |     |        |     |      |     |                    |     |                    |     |
| Sexual orientation  | n/a   |  |   |  |     |     |            |     |        |     |      |     |                    |     |                    |     |
| 2.2   | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></p>  |  |   |  |     |     |            |     |        |     |      |     |                    |     |                    |     |
|   |   |  |   |  |     |     |            |     |        |     |      |     |                    |     |                    |     |

|            |   |
|------------|---|
| <b>2.3</b> | <b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i> |
|            |   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <b>Consultation Information</b><br><i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i>  |
|            |  |
| <b>3.2</b> | <b>What might the potential impact on individuals or groups be?</b><br><i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i> |
|            |  |

## SECTION 4: REDUCING & MITIGATING IMPACT

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| 4.1  | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|--|--|--|--|--|--|--------------------------|-----------------------------|---|--------------------------|--|---|--------------------------|--------------------------------------|--|--|--|---|--|
|  | <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p> <table border="1" data-bbox="264 730 1538 1451"> <thead> <tr> <th data-bbox="264 730 748 875">Column A – Issues or barriers, things to take into account</th> <th data-bbox="748 730 1538 875">Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).</th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr> <td data-bbox="264 1361 748 1451"><i>Enter additional rows if require</i></td> <td data-bbox="748 1361 1538 1451"> </td> </tr> </tbody> </table>   |  | Column A – Issues or barriers, things to take into account | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  | <i>Enter additional rows if require</i> |  |
| Column A – Issues or barriers, things to take into account | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <i>Enter additional rows if require</i>                    |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| 4.2  | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  | <table border="1" data-bbox="264 1659 1538 2092"> <tbody> <tr> <td data-bbox="264 1659 371 1821"><input checked="" type="checkbox"/></td> <td data-bbox="371 1659 716 1821"> <b>1. No major change (no impacts identified)</b> </td> <td data-bbox="716 1659 1538 1821">           Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.         </td> </tr> <tr> <td data-bbox="264 1821 371 1899"><input type="checkbox"/></td> <td data-bbox="371 1821 716 1899"> <b>2. Adjust the policy</b> </td> <td data-bbox="716 1821 1538 1899">           You will take steps to remove barriers or to better advance equality.         </td> </tr> <tr> <td data-bbox="264 1899 371 2018"><input type="checkbox"/></td> <td data-bbox="371 1899 716 2018"> <b>3. Continue the policy (impacts identified)</b> </td> <td data-bbox="716 1899 1538 2018">           You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.         </td> </tr> <tr> <td data-bbox="264 2018 371 2092"><input type="checkbox"/></td> <td data-bbox="371 2018 716 2092"> <b>4. Stop and remove the policy</b> </td> <td data-bbox="716 2018 1538 2092">           There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.         </td> </tr> </tbody> </table> |  | <input checked="" type="checkbox"/>                        | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. | <input type="checkbox"/> | <b>2. Adjust the policy</b> | You will take steps to remove barriers or to better advance equality. | <input type="checkbox"/> | <b>3. Continue the policy (impacts identified)</b> | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified. | <input type="checkbox"/> | <b>4. Stop and remove the policy</b> | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating. |  |  |   |  |
| <input checked="" type="checkbox"/>                        | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>                                   | <b>2. Adjust the policy</b>  | You will take steps to remove barriers or to better advance equality.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>                                   | <b>3. Continue the policy (impacts identified)</b>   | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>                                   | <b>4. Stop and remove the policy</b>   | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |

| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 554</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER****SIGNATURE:** .....**FULL NAME:** Rupa Parmar**UNIT:** Commissioning Directorate**EMAIL & TELEPHONE EXT:** [Rupa.Parmar@rbkc.gov.uk](mailto:Rupa.Parmar@rbkc.gov.uk)**DATE (DD/MM/YYYY):****WHAT NEXT?**

**It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.**

**All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.**

**All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)**

|   |
|---|
| Title   |
| <b>8.5A Review of Dedicated Schools Grant</b>   |
| What are you analysing?   |
| <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>   |
| <p>The project focuses on the new arrangements for the administration of both the High Needs Block and Early Years Block of the Dedicated Schools Grant.</p> <p>The High Needs element relates to the costs of administration children resident in from other boroughs attending special schools with the borough. The new arrangements allow for an administrative charge to be applied.</p> <p>The development of local offer has seen more pupils placed locally and reduced the spend in the independent sector. An element of the savings from independent sector spend are transferred to reduce spend on Home to School transport.</p> <p>The Early year's element relates to the increased allocation for the administration costs of payments to all providers delivering the new 30 hour's childcare offer.</p> <p>A service review has enabled these additional responsibilities and activities to be delivered within existing resources.</p> |
| (ii) Full Name: Andrew Tagg   |
| (ii) Position: Head of Resources  |
| (iii) Unit: Children's Finance  |
| (iv) Contact Details: Email: <a href="mailto:andrew.tagg@rbkc.gov.uk">andrew.tagg@rbkc.gov.uk</a> ; Mobile: 07739313407   |
| Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a>   |
| 18 <sup>th</sup> September 2017   |
| Version number and date of update   |
| <b>V1.0 – 18<sup>th</sup> September 2017</b>  |

## SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

| 1.1 Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative? |      |   |                          |                          |
|---|------|---|--------------------------|--------------------------|
|   | None | Positive  | Negative                 | Not sure                 |
| Disabled people   | X    | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Particular ethnic groups  | X    | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Men or women (include impacts due to pregnancy/ maternity)  | X    | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People or particular sexual orientation/s   | X    | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment   | x    | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People on low incomes   | x    | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People in particular age groups   | x    | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Groups with particular faiths and beliefs   | x    | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?   | x    | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b>   |      |   |                          |                          |
| 1.2 What do you think that the overall NEGATIVE impact on groups and communities will be?   |      |   |                          |                          |
| <b>None/ Minimal</b>  |      | <b>Significant</b>  |                          |                          |
| x   |      | <input type="checkbox"/>  |                          |                          |
| None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                      |      | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>   |      |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b> |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | Having reviewed impact, the actions taken in this project will not disproportionately impact on particular groups.                   |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|            |  |  |
|------------|--|--|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |  |
|            | <ul style="list-style-type: none"> <li>• <i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li>• <i>A baseline of data is <a href="#">available here</a></i></li> </ul> |  |
|            | How many people use the service currently? What is this as a % of Westminster's population?  |  |
|            | Age  |  |
|            | Disability   |  |
|            | Gender   |  |
|            | Race   |  |
|            | Religion or belief   |  |
|            | Sexual orientation   |  |

|            |  |
|------------|--|
| <b>2.2</b> | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></p> |
|            | <p><i>If yes, provide details.</i></p>   |
| <b>2.3</b> | <p><b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>   |
|            | <p><i>If yes, provide details.</i></p>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>   |
|            | <p><i>It is helpful to identify whether you have conducted any consultations for your proposal, in some cases a statutory consultation is required. If your proposal has not required a consultation, please highlight this here. Consultations will help you identify what the potential impact of your proposal might be.</i></p>                                  |
| <b>3.2</b> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p>  |
|            | <p><i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i></p> |

## SECTION 4: REDUCING & MITIGATING IMPACT

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| 4.1 | Where you have identified an impact, what can be done to reduce or mitigate the impact? (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |   |
|-----|---|---|
|     | <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p>                  |   |
|     | <p><b>Column A – Issues or barriers, things to take into account</b></p>  | <p><b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).</p>                      |
|     |   |   |
|     |   |   |
|     |   |   |
|     |   |   |
|     |   |   |
|     | <i>Enter additional rows if require</i>   |   |
| 4.2 | Now that you have considered the potential or actual effect on equality, what action are you taking?  |   |
|     | <input type="checkbox"/>  | <p><b>1. No major change (no impacts identified)</b><br/>Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.</p> |
|     | <input type="checkbox"/>  | <p><b>2. Adjust the policy</b><br/>You will take steps to remove barriers or to better advance equality.</p>  |
|     | <input type="checkbox"/>  | <p><b>3. Continue the policy (impacts identified)</b><br/>You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.</p>   |
|     | <input type="checkbox"/>  | <p><b>4. Stop and remove the policy</b><br/>There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.</p>  |

| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 563</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

SIGNATURE: .....

FULL NAME: .....

UNIT: .....

EMAIL &amp; TELEPHONE EXT: .....

DATE (DD/MM/YYYY): .....

**WHAT NEXT?**

It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.

All EIAs for proposed changes to levels of service arising from budget proposals must be completed by **2 September 2016**.

All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

|   |
|---|
| Title   |
| <b>8.5B Development of Traded Offer</b>   |
| What are you analysing?   |
| <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>   |
| <p>The service is currently reviewing the full traded service level agreement offer to schools and external organisations in light to the changes in funding for Local Authorities through the reduction in Education Services Grant.</p> <p>The review will look for efficiencies in the delivery of services and additionally focus future service delivery on the provision of high quality services. The new traded services will be developed in partnership with schools to develop and improve the service offer. This will include the decommissioning of services that are not delivering value for money.</p> <p>The aim is to produce a high quality service offer which delivers value for money, added value and is flexible to changing statutory requirements.</p> |
| (iii) Full Name: Andrew Tagg  |
| (ii) Position: Head of Resources  |
| (iii) Unit: Children’s Finance  |
| (iv) Contact Details: Email: <a href="mailto:andrew.tagg@rbkc.gov.uk">andrew.tagg@rbkc.gov.uk</a> ; Mobile: 07739313407   |
| Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a>   |
| 18 <sup>th</sup> September 2017   |
| Version number and date of update   |
| V1.0 – 18 <sup>th</sup> September 2017  |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |   |                          |                          |                          |
|---|--|---|--------------------------|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |   |                          |                          |                          |
|   |  | <b>None</b>   | <b>Positive</b>          | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <b>X</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <b>X</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <b>X</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <b>X</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <b>x</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <b>x</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <b>x</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <b>x</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  | <b>x</b>  | <input type="checkbox"/> | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |   |                          |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |   |                          |                          |                          |
|   | <b>None/ Minimal</b>   | <b>Significant</b>  |                          |                          |                          |
|   | <b>x</b>   | <input type="checkbox"/>  |                          |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |   |                          |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b> |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | Having reviewed impact, the actions taken in this project will not disproportionately impact on particular groups.                   |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|            |  |  |
|------------|--|--|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |  |
|            | <ul style="list-style-type: none"> <li>• <i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li>• <i>A baseline of data is <a href="#">available here</a></i></li> </ul> |  |
|            | How many people use the service currently? What is this as a % of Westminster’s population?  |  |
|            | Age  |  |
|            | Disability   |  |
|            | Gender   |  |
|            | Race   |  |
|            | Religion or belief   |  |
|            | Sexual orientation   |  |

|     |  |
|-----|--|
| 2.2 | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></p> |
|     | <p><i>If yes, provide details.</i></p>   |
| 2.3 | <p><b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>   |
|     | <p><i>If yes, provide details.</i></p>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>   |
|            | <p><i>It is helpful to identify whether you have conducted any consultations for your proposal, in some cases a statutory consultation is required. If your proposal has not required a consultation, please highlight this here. Consultations will help you identify what the potential impact of your proposal might be.</i></p>                                  |
| <b>3.2</b> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p>  |
|            | <p><i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i></p> |

**SECTION 4: REDUCING & MITIGATING IMPACT**

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| <b>4.1</b>   | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|--|---|--|--|--|--|--------------------------|-----------------------------|---|--------------------------|--|---|--------------------------|--------------------------------------|--|--|--|---|--|
|  | <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr style="background-color: #D9EAD3;"> <th style="width: 45%; padding: 5px;">Column A – Issues or barriers, things to take into account</th> <th style="width: 55%; padding: 5px;">Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).</th> </tr> </thead> <tbody> <tr><td style="height: 30px;"></td><td></td></tr> <tr> <td style="padding: 5px;"><i>Enter additional rows if require</i></td> <td></td> </tr> </tbody> </table>  |  | Column A – Issues or barriers, things to take into account | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  | <i>Enter additional rows if require</i> |  |
| Column A – Issues or barriers, things to take into account | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  |   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  |   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  |   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  |   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  |   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  |   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <i>Enter additional rows if require</i>                    |   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <b>4.2</b>   | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  | <table border="1" style="width: 100%; border-collapse: collapse;"> <tbody> <tr> <td style="width: 5%; text-align: center; vertical-align: top;"><input type="checkbox"/></td> <td style="width: 35%; background-color: yellow; padding: 5px;"><b>1. No major change (no impacts identified)</b></td> <td style="padding: 5px;">Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.</td> </tr> <tr> <td style="text-align: center; vertical-align: top;"><input type="checkbox"/></td> <td style="background-color: yellow; padding: 5px;"><b>2. Adjust the policy</b></td> <td style="padding: 5px;">You will take steps to remove barriers or to better advance equality.</td> </tr> <tr> <td style="text-align: center; vertical-align: top;"><input type="checkbox"/></td> <td style="background-color: yellow; padding: 5px;"><b>3. Continue the policy (impacts identified)</b></td> <td style="padding: 5px;">You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.</td> </tr> <tr> <td style="text-align: center; vertical-align: top;"><input type="checkbox"/></td> <td style="background-color: yellow; padding: 5px;"><b>4. Stop and remove the policy</b></td> <td style="padding: 5px;">There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.</td> </tr> </tbody> </table> |  | <input type="checkbox"/>                                   | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. | <input type="checkbox"/> | <b>2. Adjust the policy</b> | You will take steps to remove barriers or to better advance equality. | <input type="checkbox"/> | <b>3. Continue the policy (impacts identified)</b> | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified. | <input type="checkbox"/> | <b>4. Stop and remove the policy</b> | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating. |  |  |   |  |
| <input type="checkbox"/>                                   | <b>1. No major change (no impacts identified)</b>   | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>                                   | <b>2. Adjust the policy</b>   | You will take steps to remove barriers or to better advance equality.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>                                   | <b>3. Continue the policy (impacts identified)</b>  | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>                                   | <b>4. Stop and remove the policy</b>  | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |

| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 572</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

**SIGNATURE:** .....

**FULL NAME:** .....

**UNIT:** .....

**EMAIL & TELEPHONE EXT:** .....

**DATE (DD/MM/YYYY):** .....

**WHAT NEXT?**

**It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.**

**All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.**

**All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)**

|  |                                 |
|--|---------------------------------|
| <b>Title</b>   |                                 |
| <b>8.5C Asset Strategy – Feasibility Budget</b>  |                                 |
| <p>What are you analysing?</p> <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>   |                                 |
| <p>Feasibility studies are undertaken to assess whether building works or alterations would help deliver the education priorities more effectively.</p> <p>The works following such feasibility studies in the primary sector to date, have mainly been capitalised (ie. the spend is shown over a number of years, rather than being shown all in one year), hence generating the savings against the 17/18 and 18/19 budget.</p> |                                 |
| <b>Details of the lead person completing the screening/EIA</b>   |                                 |
| (i) Full Name:   | Alan Wharton                    |
| (ii) Position:   | Tri-Borough Head Asset Strategy |
| (iii) Unit:  | Children’s Services             |
| (iv) Contact Details:  | awharton@westminster.gov.uk     |
| <b>Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a></b>   |                                 |
| 18/08/17   |                                 |
| <b>Version number and date of update</b>   |                                 |
| <b>V1.0 18/08/17</b>   |                                 |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |                                     |   |                          |                          |
|---|--|-------------------------------------|---|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                                     |   |                          |                          |
|   |  | <b>None</b>                         | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  | <b>No</b>                           | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |                                     |   |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                                     |   |                          |                          |
|   | <b>None/ Minimal</b>   |                                     | <b>Significant</b>  |                          |                          |
|   | <input checked="" type="checkbox"/>  |                                     | <input type="checkbox"/>  |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |                                     |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>   |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | The works that has been done to date, have mainly been capitalised (ie. the spend is shown over a number of years, rather than being shown all in one year), hence generating the savings against the 17/18 budget. There will be no impact on staff or service users. |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|            |  |  |
|------------|--|--|
| <b>3.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |  |
|            | <ul style="list-style-type: none"> <li>• <i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li>• <i>A baseline of data is <a href="#">available here</a></i></li> </ul> |  |
|            | How many people use the service currently? What is this as a % of Westminster's population?  |  |
|            | Age  |  |
|            | Disability   |  |
|            | Gender   |  |
|            | Race   |  |
|            | Religion or belief   |  |
|            | Sexual orientation   |  |

|            |   |
|------------|---|
| <b>2.2</b> | <b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i> |
|            |   |
| <b>2.3</b> | <b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i>   |
|            |   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>   |
|            | <p><i>It is helpful to identify whether you have conducted any consultations for your proposal, in some cases a statutory consultation is required. If your proposal has not required a consultation, please highlight this here. Consultations will help you identify what the potential impact of your proposal might be.</i></p>                                  |
| <b>3.2</b> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p>  |
|            | <p><i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i></p> |

**SECTION 4: REDUCING & MITIGATING IMPACT**

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| <b>4.1</b>  | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|---|--|--|--|--|--|--------------------------|-----------------------------|---|--------------------------|--|---|--------------------------|--------------------------------------|--|--|--|---|--|
| <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p>  |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr style="background-color: #D9EAD3;"> <th style="width: 45%; padding: 5px;">Column A – Issues or barriers, things to take into account</th> <th style="width: 55%; padding: 5px;">Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).</th> </tr> </thead> <tbody> <tr><td style="height: 30px;"> </td><td> </td></tr> <tr> <td style="padding: 5px;"><i>Enter additional rows if require</i></td> <td> </td> </tr> </tbody> </table>  |  |  | Column A – Issues or barriers, things to take into account | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  | <i>Enter additional rows if require</i> |  |
| Column A – Issues or barriers, things to take into account  | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).           |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <i>Enter additional rows if require</i>   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <b>4.2</b>  | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <tbody> <tr> <td style="width: 5%; text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="width: 35%; padding: 5px;"><b>1. No major change (no impacts identified)</b></td> <td style="padding: 5px;">Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.</td> </tr> <tr> <td style="text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="padding: 5px;"><b>2. Adjust the policy</b></td> <td style="padding: 5px;">You will take steps to remove barriers or to better advance equality.</td> </tr> <tr> <td style="text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="padding: 5px;"><b>3. Continue the policy (impacts identified)</b></td> <td style="padding: 5px;">You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.</td> </tr> <tr> <td style="text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="padding: 5px;"><b>4. Stop and remove the policy</b></td> <td style="padding: 5px;">There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.</td> </tr> </tbody> </table> |  |  | <input type="checkbox"/>                                   | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. | <input type="checkbox"/> | <b>2. Adjust the policy</b> | You will take steps to remove barriers or to better advance equality. | <input type="checkbox"/> | <b>3. Continue the policy (impacts identified)</b> | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified. | <input type="checkbox"/> | <b>4. Stop and remove the policy</b> | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating. |  |  |   |  |
| <input type="checkbox"/>  | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>2. Adjust the policy</b>  | You will take steps to remove barriers or to better advance equality.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>3. Continue the policy (impacts identified)</b>   | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>4. Stop and remove the policy</b>   | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |

| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 581</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

**SIGNATURE:** .....

**FULL NAME:** Alan Wharton.....

**UNIT:** Children’s Services Education.....

**EMAIL & TELEPHONE EXT:** **awharton@westminster.gov.uk** .....

**DATE (DD/MM/YYYY):** 18/08/18.....

**WHAT NEXT?**

It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.

All EIAs for proposed changes to levels of service arising from budget proposals must be completed by **2 September 2016**.

All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

|  |
|--|
| Title  |
| <b>8.5D School Standards Service Staffing Efficiencies</b>   |
| What are you analysing?  |
| <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>  |
| <p>The project brings about further efficiencies in the delivery of central school standards services. The project makes sure that the responsibilities of the business support officers reporting to the business service manager are in line with the duties that are now required and reduces the central number of advisers in line with the changes to the duties of the school improvement service. Savings will be realised across 2017/18 and 2018/19 <i>following a post deletion in 2016/17.</i></p> |
| Details of the lead person completing the screening/EIA  |
| (i) Full Name: Richard Stanley   |
| (ii) Position: Assistant Director  |
| (iii) Unit: School Standards, Education  |
| (iv) Contact Details: Richard.stanley@rbkc.gov.uk  |
| Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a>  |
| 18/08/17   |
| Version number and date of update  |
| <b>V1.0 – 18/08/17</b>   |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |                                     |   |                          |                          |
|---|--|-------------------------------------|---|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                                     |   |                          |                          |
|   |  | <b>None</b>                         | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  | <b>None</b>                         | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |                                     |   |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                                     |   |                          |                          |
|   | <b>None/ Minimal</b>   |                                     | <b>Significant</b>  |                          |                          |
|   | <input checked="" type="checkbox"/>  |                                     | <input type="checkbox"/>  |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |                                     |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b> |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | Having reviewed impact, the actions taken in this project will not disproportionately impact on particular groups.                   |

**EQUALITY IMPACT ASSESSMENT**  
**SECTION 2: BUILDING AN EVIDENCE BASE**

|   |   |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
|---|---|---|--|-----|--|------------|--|--------|--|------|--|--------------------|--|--------------------|--|--|
| <b>3.1</b>  | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b> <ul style="list-style-type: none"> <li>• <i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li>• <i>A baseline of data is <a href="#">available here</a></i></li> </ul> |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
|   | <table border="1"> <tr> <td>How many people use the service currently? What is this as a % of Westminster’s population?</td> <td></td> </tr> <tr> <td>Age</td> <td></td> </tr> <tr> <td>Disability</td> <td></td> </tr> <tr> <td>Gender</td> <td></td> </tr> <tr> <td>Race</td> <td></td> </tr> <tr> <td>Religion or belief</td> <td></td> </tr> <tr> <td>Sexual orientation</td> <td></td> </tr> </table>  | How many people use the service currently? What is this as a % of Westminster’s population? |  | Age |  | Disability |  | Gender |  | Race |  | Religion or belief |  | Sexual orientation |  |  |
| How many people use the service currently? What is this as a % of Westminster’s population? |   |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
| Age   |   |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
| Disability  |   |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
| Gender  |   |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
| Race  |   |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
| Religion or belief  |   |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
| Sexual orientation  |   |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |

|                   |  |
|-------------------|--|
| <p><b>2.2</b></p> | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster’s population is on the Equalities page on the WIRE.</i></p> |
|                   |  |
| <p><b>2.3</b></p> | <p><b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>   |
|                   |  |

**SECTION 3: ASSESSING THE IMPACT**

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|                   |   |
|-------------------|---|
| <p><b>3.1</b></p> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>  |
|                   |   |
| <p><b>3.2</b></p> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p> |
|                   |   |



| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 590</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

| THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER |       |
|--|-------|
| SIGNATURE:   | ..... |
| FULL NAME:   | ..... |
| UNIT:  | ..... |
| EMAIL & TELEPHONE EXT:                                       | ..... |
| DATE (DD/MM/YYYY):   | ..... |

**WHAT NEXT?**

**It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.**

**All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.**

**All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)**

|  |
|--|
| <b>Title</b>   |
| <b>8.5E Impact of proposed reduction in staffing budget of Westminster Disabled Children Team 2018-19</b>  |
| <p>What are you analysing?</p> <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>   |
| <p>The Disabled Children Team provides a range of statutory services to children with disabilities and their families 0-18. Most families are supported with a short break through an assessment of need and this forms part of their care plan either as a CIN [Child in Need] or LAC [Looked after Child]</p> <p>This is part of a three-year programme of efficiencies agreed in 2015. Over 2016-17 and 2017-18 efficiencies have been found through contract negotiation and changes in facility management. Whilst significant financial reductions were made no reduction in staffing or short breaks was needed.</p> <p>The final £50,000 was originally badged against staffing. In light of the spend and budget it is now identified that the efficiency can be found against team overhead costs including stationary and travel. As such there will be no requirement to consider reduction in staffing posts.</p> |
| <b>Details of the lead person completing the screening/EIA</b>   |
| <p>(iv) Full Name: Zoe Richards</p> <p>(ii) Position: Head of Short Breaks and Resources [Transformation]</p> <p>(iii) Unit: Education Service: DCT</p> <p>(iv) Contact Details: zoe.richards@rbkc.gov.uk</p>  |
| <b>Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a></b>   |
| 18.08.17   |
| <b>Version number and date of update</b>   |
| <b>V1.3 12 September 2017</b>  |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |                                     |   |                          |                          |
|---|--|-------------------------------------|---|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                                     |   |                          |                          |
|   |  | <b>None</b>                         | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  | <b>NO</b>                           | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |                                     |   |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                                     |   |                          |                          |
|   | <b>Minimal?</b>  |                                     | <b>Significant</b>  |                          |                          |
|   | <input checked="" type="checkbox"/>  |                                     | <input type="checkbox"/>  |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |                                     |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>   |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | This is part of the development of a disability early help approach that has been designed alongside and in partnership with parent, carers and stakeholders. The efficiencies will be found through smarter use of overhead budget. |

## EQUALITY IMPACT ASSESSMENT

### SECTION 2: BUILDING AN EVIDENCE BASE

|            |  |  |
|------------|--|--|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |  |
|            | <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul> |  |
|            | How many people use the service currently? What is this as a % of Westminster's population?  | Currently 200 children receive support from the DCT and with the development of key working/core offer this would raise to approximately 450 children and their families. This is approximately 0.2% of the overall population or 1% of the under 19 population. |
|            | Age  | 0-18   |
|            | Disability   | Yes  |
|            | Gender   | ALL  |
|            | Race   | All  |
|            | Religion or belief   | All  |
|            | Sexual orientation   | All  |

|     |   |
|-----|---|
| 2.2 | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></p>  |
|     | <p><i>It is anticipated that approximately 5% of the population has a level of disability however most will not require support from statutory services. It is for this reason that a core offer and `light touch` family support approach is being developed.</i></p> <p><i>There are approximately 100 families at any one time that require SW intervention and have either a LAC/CIN plan in place. This requires approximately 6 SW plus management.</i></p> |
| 2.3 | <p><b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>  |
|     | <p><i>There are currently approximately 150 families requiring a family support approach and is it projected that another 100 will require one off support to access short breaks. This will require a minimum of 4 keyworkers</i></p> <p><i>There are opportunities to develop capacity through service redesign however this is potentially impacted by the return of statutory work to Family Services</i></p>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>   |
|            | <p><i>Over a period of 18m parent carers and stakeholders have been consulted as to the development of a `light touch` approach and the development of a core offer to better achieve a differentiated short break offer and improve access.</i></p> <p><i>Staff within DCT have been part of work to identify split between statutory and non-statutory work.</i></p> |
| <b>3.2</b> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p>  |
|            | <p>Families will continue to be supported through development of a light touch approach and/or commissioned support.</p>   |

## SECTION 4: REDUCING & MITIGATING IMPACT

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| 4.1   | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).   |  |   |   |  |                          |                             |   |                                     |  |   |                          |                                      |  |  |  |   |  |
|---|--|--|---|---|--|--------------------------|-----------------------------|---|-------------------------------------|--|---|--------------------------|--------------------------------------|--|--|--|---|--|
|   | <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p> <table border="1" data-bbox="264 689 1538 1384"> <thead> <tr> <th data-bbox="264 689 746 831"> <b>Column A – Issues or barriers, things to take into account</b> </th> <th data-bbox="751 689 1538 831"> <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).           </th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr> <td data-bbox="264 1294 746 1384"><i>Enter additional rows if require</i></td> <td data-bbox="751 1294 1538 1384"> </td> </tr> </tbody> </table>   |  | <b>Column A – Issues or barriers, things to take into account</b> | <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |                          |                             |   |                                     |  |   |                          |                                      |  |  |  | <i>Enter additional rows if require</i> |  |
| <b>Column A – Issues or barriers, things to take into account</b> | <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).  |  |   |   |  |                          |                             |   |                                     |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |   |   |  |                          |                             |   |                                     |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |   |   |  |                          |                             |   |                                     |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |   |   |  |                          |                             |   |                                     |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |   |   |  |                          |                             |   |                                     |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |   |   |  |                          |                             |   |                                     |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |   |   |  |                          |                             |   |                                     |  |   |                          |                                      |  |  |  |   |  |
| <i>Enter additional rows if require</i>                           |  |  |   |   |  |                          |                             |   |                                     |  |   |                          |                                      |  |  |  |   |  |
| 4.2   | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>  |  |   |   |  |                          |                             |   |                                     |  |   |                          |                                      |  |  |  |   |  |
|   | <table border="1" data-bbox="264 1592 1538 2029"> <tbody> <tr> <td data-bbox="264 1592 368 1749"><input type="checkbox"/></td> <td data-bbox="373 1592 715 1749"> <b>1. No major change (no impacts identified)</b> </td> <td data-bbox="719 1592 1538 1749">           Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.         </td> </tr> <tr> <td data-bbox="264 1756 368 1827"><input type="checkbox"/></td> <td data-bbox="373 1756 715 1827"> <b>2. Adjust the policy</b> </td> <td data-bbox="719 1756 1538 1827">           You will take steps to remove barriers or to better advance equality.         </td> </tr> <tr> <td data-bbox="264 1834 368 1951"><input checked="" type="checkbox"/></td> <td data-bbox="373 1834 715 1951"> <b>3. Continue the policy (impacts identified)</b> </td> <td data-bbox="719 1834 1538 1951">           You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.         </td> </tr> <tr> <td data-bbox="264 1957 368 2029"><input type="checkbox"/></td> <td data-bbox="373 1957 715 2029"> <b>4. Stop and remove the policy</b> </td> <td data-bbox="719 1957 1538 2029">           There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.         </td> </tr> </tbody> </table> |  | <input type="checkbox"/>  | <b>1. No major change (no impacts identified)</b>   | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. | <input type="checkbox"/> | <b>2. Adjust the policy</b> | You will take steps to remove barriers or to better advance equality. | <input checked="" type="checkbox"/> | <b>3. Continue the policy (impacts identified)</b> | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified. | <input type="checkbox"/> | <b>4. Stop and remove the policy</b> | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating. |  |  |   |  |
| <input type="checkbox"/>  | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |   |   |  |                          |                             |   |                                     |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>2. Adjust the policy</b>  | You will take steps to remove barriers or to better advance equality.  |   |   |  |                          |                             |   |                                     |  |   |                          |                                      |  |  |  |   |  |
| <input checked="" type="checkbox"/>                               | <b>3. Continue the policy (impacts identified)</b>   | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.  |   |   |  |                          |                             |   |                                     |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>4. Stop and remove the policy</b>   | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |   |   |  |                          |                             |   |                                     |  |   |                          |                                      |  |  |  |   |  |

| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 599</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

| THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER |  |
|--|--|
| <b>SIGNATURE:</b>  | .....Zoe Richards.....                         |
| <b>FULL NAME:</b>  | .....Zoe Richards.....                         |
| <b>UNIT:</b>   | .....  |
| <b>EMAIL &amp; TELEPHONE EXT:</b>                            | .....zoe.richards@rbkc.gov.uk 07808879024..... |
| <b>DATE (DD/MM/YYYY):</b>                                    | .....12.09.17.....                             |

**WHAT NEXT?**

**It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.**

**All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.**

**All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)**

| Title  |
|--|
| <p><b>8.5F An improved offer of independent travel training</b></p>  |
| <p>What are you analysing?</p> <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>   |
| <p><b>What is the project, policy or proposal?</b></p> <ul style="list-style-type: none"> <li>• To implement an Improved offer of Independent Travel Training as part of the development of an “Alternative Travel” Strategy</li> <li>• A separate EQIA on the Passenger Transport Mitigations was produced and provided to the Strategy Unit on 6<sup>th</sup> October 2016 in relation to the Cabinet Member Report for Passenger Transport re-procurement agreed by the Cabinet Member for Children and Young People on 16<sup>th</sup> November 2016. This EQIA set out the phases of consultation in relation to the re-procurement due to go out to tender in December 2017.</li> </ul> <p><b>What is the purpose of the policy/project/activity/strategy?</b></p> <p>A key objective of social care and educational provision for vulnerable adults and children/young people with special educational needs that require a statement of Special Educational Needs or an Education, Health and Care Plan, and/or disabilities, is the promotion of independence and the development of independent living skills. The appropriate use of Alternative Travel solutions and particularly Independent Travel Training supports this objective. Moreover, the earlier a service user is able to make successful use of these alternatives the greater the benefits to the individual, and to the Councils, in terms of reduced 'lifetime' transport costs.</p> <p><b>In what context will it operate?</b></p> <p>It is important to understand from the outset that this project, and the Alternative Travel Strategy, does not seek to update or replace the Children’s Service Travel Assistance Policy (updated 2016) which has up-to-date and legally scrutinised content agreed by Cabinet members; or any “Local Offer” policy or published transport policy statement to support young people aged 16-19 and learners with learning difficulties and / or disabilities (LDD) aged up to 25, to access further education. Rather, the Alternative Travel Strategy is designed to be a complementary document which “sits beneath” these Policy documents.</p> <p><b>What results are intended?</b></p> <ul style="list-style-type: none"> <li>• A co-ordinated approach to the provision of alternative travel options including independent travel training across Adult Social Care and Children’s Services to provide consistency and enable savings to be achieved.</li> <li>• As the Children’s Services’ Policy for Travel Assistance states, it is recognised that alternative travel solutions (including independent travel training) will not be appropriate for all service users, nevertheless, the promotion of alternative travel solutions, particularly through well-delivered and supportive travel training, can offer significant benefits for some service users in terms of improving confidence and developing much broader independent living skills and preparation for adulthood.</li> </ul> |

**Why is it needed?**

As previously stated, a key objective of social care and educational provision for vulnerable adults and children/young people with special educational needs that require a statement of Special Educational Needs or an Education, Health and Care Plan, and/or disabilities, is the promotion of independence and the development of independent living skills. The appropriate use of Alternative Travel solutions and particularly Travel Training supports this objective. Moreover, the earlier a service user is able to make successful use of these alternatives the greater the benefits to the individual, and to the Council, in terms of reduced 'lifetime' transport costs.

The Council has adopted a number of widely used Alternative Travel solutions with some success. However, their application is “patchy” and inconsistent within and across CHS and ASC, and it has not always been clear that the approaches used will provide a net benefit to the Council or that they are the most cost-effective ways of achieving the desired outcomes for the Council.

There are three Council employees across the 3 Boroughs who are “travel trainers”, plus one within Wood Lane school paid for by the Council from the SEN budget. However, their qualifications are unclear and there is a lack of clarity in terms of their contracts, working hours and salaries. There is no Management Information in terms of their performance, throughput, service standards/criteria for successful training or the levels of success.

We understand there is some travel training activity within a number of the Colleges, including City of Westminster and Westminster Kingsway. However, once again there is no management information available in terms of activity or “success” levels.

In addition, there are a few independently managed schemes, such as the Westminster Society, [www.wspld.org.uk](http://www.wspld.org.uk) who from April 2016 to March 2017 have, using WCC funding, “remodelled” a pilot sample of short break services with the aim of supporting parents to become more resilient in their own capacity and resources and enabling, where appropriate, children and young people to learn positive travel skills to aid their future independence; such as walking to and from a venue or being able to use public transport. A report was produced in January 2017 which highlighted significant success, in particular in relation to the introduction of a Walking Pick Up (WPU) service using the support of walking escorts to those assessed as being able to travel on foot or by public transport. Commissioners involved in this report felt that this represented a “significant reduction (in) previous spend”, with the reduction estimated to be in the region of over £100k (exact costs and therefore savings have not been released due to the current ongoing tender process). The report also highlighted some of the issues encountered and the solutions utilised, in particular about supporting parents to understand the long term benefits for the child, the importance of building a relationship with the child and an effective risk assessment process.

Financial analysis noted an average annual cost of transport provision of some £7,560 for children in WCC. This sum is per service user per year based on the average cost of all transport users, as opposed to eligible Service Users or children overall. Of course, the actual costs for an individual service user may be significantly more or less than these averages but nevertheless, these figures show that there is generally considerable scope to fund alternative solutions at significantly less cost particularly where the full saving in the cost of transport provision by the Council can be realised.

There is a firm understanding of what Alternative Travel solutions should be in place, however the current travel training capacity has no governance or Management Information available.

There is no standardised or consistent approach to the assessment of clients for their suitability for travel training or to the delivery of that training.

Currently, once the SEN Administration Team has reviewed the application, the “Yes/No” Panel makes a decision on eligibility and will determine what type of travel assistance should be offered. The current options available are a travel card for the parent/carer where there is “financial hardship” (in line with the Post 16 DfE Statutory Guidance, which sets out that local authorities are expected to target any support on those young people – and their families – who need it most, particularly those with a low income), a mileage allowance, a travel allowance or Council-provided transport.

Structurally or organisationally within the SEN Service, there is also no current capacity, say in the form of a Travel Assistance Co-ordinator or Commissioner, to consider alternative travel options in detail before transport requests, having been agreed by the Panel, are submitted to the Transport Care and Support Team (TCST).

It is also worth noting that work is underway to develop a Resource Allocation System (RAS) for Children’s Services which could have a future role in terms of the provision of alternative transport, particularly in relation to the use of personal budgets for the provision of travel assistance.

#### **Who is it intended to benefit and how?**

Children and young people who have special educational needs and disabilities will benefit in the following ways:

- a) Those with the requisite skills will have access to a more robust offer of support to help them gain independent travel skills, which will enhance their transition to adulthood.
- b) Those young people with the most need will continue to have access to a transport to and from school.

As previously stated it is recognised that alternative travel solutions (including independent travel training) will not be appropriate for all service users, nevertheless, the promotion of alternative travel solutions, particularly through well-delivered and supportive travel training, can offer significant benefits for some service users in terms of improving confidence and developing much broader independent living skills and preparation for adulthood.

#### **Details of the lead person completing the screening/EIA**

|                       |                          |
|-----------------------|--------------------------|
| (i) Full Names        | Etiene Steyn             |
| (ii) Position:        | Strategic Commissioner   |
| (iii) Unit:           | Children’s Services      |
| (iv) Contact Details: | Etiene.Steyn@rbkc.gov.uk |

#### **Date sent to [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)**

18/08/17

#### **Version number and date of update**

**V1.0 18-08-18**

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |                                     |   |                          |                          |
|---|--|-------------------------------------|---|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                                     |   |                          |                          |
|   |  | <b>None</b>                         | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <input type="checkbox"/>            | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <input type="checkbox"/>            | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  | <b>NO</b>                           | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |                                     |   |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                                     |   |                          |                          |
|   | <b>None/ Minimal</b>   |                                     | <b>Significant</b>  |                          |                          |
|   | <input checked="" type="checkbox"/>  |                                     | <input type="checkbox"/>  |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |                                     |   |                          |                          |

|            |   |
|------------|---|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>  |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>   |
| <b>1.4</b> | <b>How have you come to this decision?</b>  |
|            | <p>The proposals only affect the ‘age’ and ‘disabilities’ areas, as they focus specifically on children and young people with special educational needs and disabilities.</p> <p>The plans are being implemented in such a way as to confer a positive, rather than negative impact on these groups, summarised as a stronger programme of support to enable more young people to take steps towards independence, better preparing them for their transition to adulthood.</p> |

## EQUALITY IMPACT ASSESSMENT

### SECTION 2: BUILDING AN EVIDENCE BASE

|            |  |  |
|------------|--|--|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |  |
|            | <ul style="list-style-type: none"> <li>• <i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li>• <i>A baseline of data is <a href="#">available here</a></i></li> </ul> |  |
|            | How many people use the service currently? What is this as a % of Westminster’s population?  |  |
|            | Age  |  |
|            | Disability   |  |
|            | Gender   |  |
|            | Race   |  |
|            | Religion or belief   |  |
|            | Sexual orientation   |  |

|     |  |
|-----|--|
| 2.2 | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></p> |
|     |  |
| 2.3 | <p><b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>   |
|     |  |

**SECTION 3: ASSESSING THE IMPACT**

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|                   |   |
|-------------------|---|
| <p><b>3.1</b></p> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>  |
|                   |   |
| <p><b>3.2</b></p> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p> |
|                   |   |

## SECTION 4: REDUCING & MITIGATING IMPACT

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| 4.1                      | Where you have identified an impact, what can be done to reduce or mitigate the impact? (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |   |
|--------------------------|---|---|
|                          | <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p>                  |   |
|                          | <b>Column A – Issues or barriers, things to take into account</b>   | <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |
|                          |   |   |
|                          |   |   |
|                          |   |   |
|                          |   |   |
|                          |   |   |
|                          | <i>Enter additional rows if require</i>   |   |
| 4.2                      | Now that you have considered the potential or actual effect on equality, what action are you taking?  |   |
| <input type="checkbox"/> | <b>1. No major change (no impacts identified)</b>   | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups.                                      |
| <input type="checkbox"/> | <b>2. Adjust the policy</b>   | You will take steps to remove barriers or to better advance equality.   |
| <input type="checkbox"/> | <b>3. Continue the policy (impacts identified)</b>  | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.   |
| <input type="checkbox"/> | <b>4. Stop and remove the policy</b>  | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.  |

| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 610</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

| THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER |       |
|--|-------|
| SIGNATURE:   | ..... |
| FULL NAME:   | ..... |
| UNIT:  | ..... |
| EMAIL & TELEPHONE EXT:                                       | ..... |
| DATE (DD/MM/YYYY):   | ..... |

**WHAT NEXT?**

**It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.**

**All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2017.**

**All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)**

|  |
|--|
| Title  |
| <b>8.6A Release Uncommitted Finance &amp; Resources Budget</b>   |
| <p>What are you analysing?</p> <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>   |
| <p>Following a review of current budgets against historic spend levels the following savings have been identified:</p> <ul style="list-style-type: none"> <li>• £142k for third party expenditure in the Finance and Resources Directorate, where an historic underspend and ongoing forecast underspend versus budget has been identified.</li> <li>• A further £233k budget has been identified to be released following review as part of the Medium Term Financial planning.</li> </ul> <p>Both savings involve retracting budgets where there have been historic underspends, and there are no service level or staffing implications associated with any of the savings.</p> |
| Details of the lead person completing the screening/EIA  |
| <p>(v) Full Name: Tony Burton</p> <p>(ii) Position: Head of Children’s Finance</p> <p>(iii) Unit: Children’s Services</p> <p>(iv) Contact Details: <a href="mailto:tburton@westminster.gov.uk">tburton@westminster.gov.uk</a> 0207 641 2462</p>  |
| Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a>  |
| 21/08/17   |
| Version number and date of update  |
| <b>V1.0</b>  |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |                                     |   |                          |                          |
|---|--|-------------------------------------|---|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                                     |   |                          |                          |
|   |  | <b>None</b>                         | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  | <b>NO</b>                           | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |                                     |   |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                                     |   |                          |                          |
|   | <b>None/ Minimal</b>   |                                     | <b>Significant</b>  |                          |                          |
|   | <input checked="" type="checkbox"/>  |                                     | <input type="checkbox"/>  |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |                                     |   |                          |                          |

|            |   |
|------------|---|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>  |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>   |
| <b>1.4</b> | <b>How have you come to this decision?</b>  |
|            | Proposal involves the deletion of historic budget underspends and does not have any impact on staff groups, service users, the public or service delivery in Children’s Services. |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|   |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
|---|--|---|--|-----|--|------------|--|--------|--|------|--|--------------------|--|--------------------|--|--|
| <b>2.1</b>  | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b> <ul style="list-style-type: none"> <li>• <i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li>• <i>A baseline of data is <a href="#">available here</a></i></li> </ul>  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
|   | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="padding: 5px;">How many people use the service currently? What is this as a % of Westminster’s population?</td> <td style="width: 70%;"></td> </tr> <tr> <td style="padding: 5px;">Age</td> <td></td> </tr> <tr> <td style="padding: 5px;">Disability</td> <td></td> </tr> <tr> <td style="padding: 5px;">Gender</td> <td></td> </tr> <tr> <td style="padding: 5px;">Race</td> <td></td> </tr> <tr> <td style="padding: 5px;">Religion or belief</td> <td></td> </tr> <tr> <td style="padding: 5px;">Sexual orientation</td> <td></td> </tr> </table> | How many people use the service currently? What is this as a % of Westminster’s population? |  | Age |  | Disability |  | Gender |  | Race |  | Religion or belief |  | Sexual orientation |  |  |
| How many people use the service currently? What is this as a % of Westminster’s population? |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
| Age   |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
| Disability  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
| Gender  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
| Race  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
| Religion or belief  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
| Sexual orientation  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |

|     |  |
|-----|--|
| 2.2 | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></p> |
|     | <p><i>If yes, provide details.</i></p>   |
| 2.3 | <p><b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>   |
|     | <p><i>If yes, provide details.</i></p>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>   |
|            | <p><i>It is helpful to identify whether you have conducted any consultations for your proposal, in some cases a statutory consultation is required. If your proposal has not required a consultation, please highlight this here. Consultations will help you identify what the potential impact of your proposal might be.</i></p>                                  |
| <b>3.2</b> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p>  |
|            | <p><i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i></p> |

**SECTION 4: REDUCING & MITIGATING IMPACT**

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| <b>4.1</b>  | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
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| <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p>  |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
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| <i>Enter additional rows if require</i>   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <b>4.2</b>  | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <tbody> <tr> <td style="width: 5%; text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="width: 35%; background-color: yellow; padding: 5px;"><b>1. No major change (no impacts identified)</b></td> <td style="padding: 5px;">Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.</td> </tr> <tr> <td style="text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="background-color: yellow; padding: 5px;"><b>2. Adjust the policy</b></td> <td style="padding: 5px;">You will take steps to remove barriers or to better advance equality.</td> </tr> <tr> <td style="text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="background-color: yellow; padding: 5px;"><b>3. Continue the policy (impacts identified)</b></td> <td style="padding: 5px;">You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.</td> </tr> <tr> <td style="text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="background-color: yellow; padding: 5px;"><b>4. Stop and remove the policy</b></td> <td style="padding: 5px;">There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.</td> </tr> </tbody> </table> |  |  | <input type="checkbox"/>                                   | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. | <input type="checkbox"/> | <b>2. Adjust the policy</b> | You will take steps to remove barriers or to better advance equality. | <input type="checkbox"/> | <b>3. Continue the policy (impacts identified)</b> | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified. | <input type="checkbox"/> | <b>4. Stop and remove the policy</b> | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating. |  |  |   |  |
| <input type="checkbox"/>  | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>2. Adjust the policy</b>  | You will take steps to remove barriers or to better advance equality.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
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| <input type="checkbox"/>  | <b>4. Stop and remove the policy</b>   | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |

| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 619</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
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|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

| THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER |       |
|--|-------|
| SIGNATURE:   | ..... |
| FULL NAME:   | ..... |
| UNIT:  | ..... |
| EMAIL & TELEPHONE EXT:                                       | ..... |
| DATE (DD/MM/YYYY):   | ..... |

**WHAT NEXT?**

It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.

All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.

All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

|   |
|---|
| Title   |
| <b>8.6B Post Tri-borough to Bi-Borough Staffing Reviews – Management Savings</b>  |
| What are you analysing?   |
| <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>   |
| <p>Children’s Services will review Management arrangements in Bi-borough and Sovereign Services in 2018/19 once these structures have become operational as part of ongoing service efficiency reviews.</p> <p>Whilst the precise detail as to how this saving will be delivered is not known at this time, Children’s Services management believe £175k saving is achievable in the context of the wider CHS staffing establishment and budget. Options to deliver this saving will need to be modelled at an appropriate time on the future and equality impact assessments undertaken in each case.</p> <p>Any saving would have a part year effect in 2018/19 financial year but any shortfall against target is expected to be managed by vacancies held in the period following the move from Tri-borough to Bi-borough service models.</p> |
| Details of the lead person completing the screening/EIA   |
| <p>(vi) Full Name: Tony Burton</p> <p>(ii) Position: Head of Children’s Finance</p> <p>(iii) Unit: Children’s Services</p> <p>(iv) Contact Details: <a href="mailto:tburton@westminster.gov.uk">tburton@westminster.gov.uk</a> 0207 641 2462</p>  |
| Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a>   |
| 21/08/17  |
| Version number and date of update   |
| <b>V1.0</b>   |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |                                     |   |                          |                          |
|---|--|-------------------------------------|---|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                                     |   |                          |                          |
|   |  | <b>None</b>                         | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  | <b>NO</b>                           | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |                                     |   |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                                     |   |                          |                          |
|   | <b>None/ Minimal</b>   |                                     | <b>Significant</b>  |                          |                          |
|   | <input checked="" type="checkbox"/>  |                                     | <input type="checkbox"/>  |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |                                     |   |                          |                          |

|            |   |
|------------|---|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>                |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>   |
| <b>1.4</b> | <b>How have you come to this decision?</b>  |
|            | Options to deliver this saving will need to be modelled at an appropriate time in the future and equality impact assessments reviewed in each case. |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|            |  |  |
|------------|--|--|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |  |
|            | <ul style="list-style-type: none"> <li>• <i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li>• <i>A baseline of data is <a href="#">available here</a></i></li> </ul> |  |
|            | How many people use the service currently? What is this as a % of Westminster’s population?  |  |
|            | Age  |  |
|            | Disability   |  |
|            | Gender   |  |
|            | Race   |  |
|            | Religion or belief   |  |
|            | Sexual orientation   |  |

|     |  |
|-----|--|
| 2.2 | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></p> |
|     | <p><i>If yes, provide details.</i></p>   |
| 2.3 | <p><b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>   |
|     | <p><i>If yes, provide details.</i></p>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>   |
|            | <p><i>It is helpful to identify whether you have conducted any consultations for your proposal, in some cases a statutory consultation is required. If your proposal has not required a consultation, please highlight this here. Consultations will help you identify what the potential impact of your proposal might be.</i></p>                                  |
| <b>3.2</b> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p>  |
|            | <p><i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i></p> |

**SECTION 4: REDUCING & MITIGATING IMPACT**

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| <b>4.1</b>   | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|--|---|--|--|--|--|--------------------------|-----------------------------|---|--------------------------|--|---|--------------------------|--------------------------------------|--|--|--|---|--|
|  | <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr style="background-color: #D9EAD3;"> <th style="width: 45%; padding: 5px;">Column A – Issues or barriers, things to take into account</th> <th style="width: 55%; padding: 5px;">Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).</th> </tr> </thead> <tbody> <tr><td style="height: 30px;"></td><td></td></tr> <tr> <td style="padding: 5px;"><i>Enter additional rows if require</i></td> <td></td> </tr> </tbody> </table>  |  | Column A – Issues or barriers, things to take into account | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  | <i>Enter additional rows if require</i> |  |
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| <i>Enter additional rows if require</i>                    |   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <b>4.2</b>   | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
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| <input type="checkbox"/>                                   | <b>2. Adjust the policy</b>   | You will take steps to remove barriers or to better advance equality.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
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| <input type="checkbox"/>                                   | <b>4. Stop and remove the policy</b>  | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |

| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 628</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

| THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER |       |
|--|-------|
| SIGNATURE:   | ..... |
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| UNIT:  | ..... |
| EMAIL & TELEPHONE EXT:                                       | ..... |
| DATE (DD/MM/YYYY):   | ..... |

**WHAT NEXT?**

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|   |
|---|
| <b>Title</b>  |
| <b>8.9A Placement Cost Reduction and Third Party Contributions</b>  |
| <p>What are you analysing?</p> <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>  |
| <p>The savings are to be achieved through :</p> <ol style="list-style-type: none"> <li>1. Reducing demand due to a re-configuration of Early Help services including an Edge of Care Team.</li> <li>2. Reducing high cost placements through a review of need and better contracting and thereby reducing unit costs.</li> <li>3. Maximising Health Contributions to Placement Costs</li> <li>4. With respect to reducing S17 support, implement robust decision making and financial control and monitoring processes together with liaison with Housing services with respect to less costly accommodation options. 'NRPF Connect' – explore opportunities for this scheme where the Home Office may fast-track decision on No Recourse to Public Funds cases.</li> </ol> |
| <b>Details of the lead person completing the screening/EIA</b>  |
| <p>(i) Full Name: Melissa Caslake</p> <p>(ii) Position: Executive Director of Children's Services</p> <p>(iii) Unit: Children's Services</p> <p>(iv) Contact Details: <a href="mailto:mcaslake@westminster.gov.uk">mcaslake@westminster.gov.uk</a></p>  |
| <b>Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a></b>  |
| 18-08-18  |
| <b>Version number and date of update</b>  |
| V1.0 – 18 <sup>th</sup> August 2018   |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |                                     |   |                          |                          |
|---|--|-------------------------------------|---|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                                     |   |                          |                          |
|   |  | <b>None</b>                         | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |                                     |   |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                                     |   |                          |                          |
|   | <b>None/ Minimal</b>   |                                     | <b>Significant</b>  |                          |                          |
|   | <input checked="" type="checkbox"/>  |                                     | <input type="checkbox"/>  |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |                                     |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>   |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | <p>The impact of reducing placement demand will keep more children out of care or place them with a permanent family and represents a positive outcome. Therefore there are no negative impacts from this activity on people with protected characteristics.</p> <p>More cost effective placements will result in reductions in unit cost. However this will not affect the service offer, and therefore no one is disadvantaged by the proposals.</p> |

**EQUALITY IMPACT ASSESSMENT**  
**SECTION 2: BUILDING AN EVIDENCE BASE**

|            |  |  |
|------------|--|--|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |  |
|            | <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul> |  |
|            | How many people use the service currently? What is this as a % of Westminster’s population?  |  |
|            | Age  |  |
|            | Disability   |  |
|            | Gender   |  |
|            | Race   |  |
|            | Religion or belief   |  |
|            | Sexual orientation   |  |

|                   |  |
|-------------------|--|
| <p><b>2.2</b></p> | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster’s population is on the Equalities page on the WIRE.</i></p> |
|                   |  |
| <p><b>2.3</b></p> | <p><b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>   |
|                   |  |

**SECTION 3: ASSESSING THE IMPACT**

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|                   |   |
|-------------------|---|
| <p><b>3.1</b></p> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>  |
|                   |   |
| <p><b>3.2</b></p> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p> |
|                   |   |

**SECTION 4: REDUCING & MITIGATING IMPACT**

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| <b>4.1</b>  | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|---|--|--|--|--|--|--------------------------|-----------------------------|---|--------------------------|--|---|--------------------------|--------------------------------------|--|--|--|---|--|
| <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p>  |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr style="background-color: #D9EAD3;"> <th style="width: 45%; padding: 5px;">Column A – Issues or barriers, things to take into account</th> <th style="width: 55%; padding: 5px;">Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).</th> </tr> </thead> <tbody> <tr><td style="height: 30px;"></td><td></td></tr> <tr><td style="height: 30px;"><i>Enter additional rows if require</i></td><td></td></tr> </tbody> </table>  |  |  | Column A – Issues or barriers, things to take into account | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  | <i>Enter additional rows if require</i> |  |
| Column A – Issues or barriers, things to take into account  | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).           |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <i>Enter additional rows if require</i>   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <b>4.2</b>  | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <tbody> <tr> <td style="width: 5%; text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="width: 35%; background-color: yellow; padding: 5px;"><b>1. No major change (no impacts identified)</b></td> <td style="padding: 5px;">Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.</td> </tr> <tr> <td style="text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="background-color: yellow; padding: 5px;"><b>2. Adjust the policy</b></td> <td style="padding: 5px;">You will take steps to remove barriers or to better advance equality.</td> </tr> <tr> <td style="text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="background-color: yellow; padding: 5px;"><b>3. Continue the policy (impacts identified)</b></td> <td style="padding: 5px;">You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.</td> </tr> <tr> <td style="text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="background-color: yellow; padding: 5px;"><b>4. Stop and remove the policy</b></td> <td style="padding: 5px;">There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.</td> </tr> </tbody> </table> |  |  | <input type="checkbox"/>                                   | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. | <input type="checkbox"/> | <b>2. Adjust the policy</b> | You will take steps to remove barriers or to better advance equality. | <input type="checkbox"/> | <b>3. Continue the policy (impacts identified)</b> | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified. | <input type="checkbox"/> | <b>4. Stop and remove the policy</b> | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating. |  |  |   |  |
| <input type="checkbox"/>  | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>2. Adjust the policy</b>  | You will take steps to remove barriers or to better advance equality.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>3. Continue the policy (impacts identified)</b>   | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>4. Stop and remove the policy</b>   | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |

| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 637</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

**SIGNATURE:** .....

**FULL NAME:** .....

**UNIT:** .....

**EMAIL & TELEPHONE EXT:** .....

**DATE (DD/MM/YYYY):** .....

**WHAT NEXT?**

**It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.**

**All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.**

**All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)**

|   |
|---|
| Title   |
| <b>8.9B Service Reviews – Restructures</b>  |
| What are you analysing?   |
| <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>   |
| <p>The proposals involve staffing efficiencies through service reviews but focused on the deletion of vacant post in Tri-b MASH - Multi Agency Safeguarding Hub Shared Service (post 1/3 funded by WCC) and a further post reduction achievable without a service impact due to better collaboration and working with other services.</p> |
| Details of the lead person completing the screening/EIA   |
| <p>(vii) Full Name: Miranda Gittos</p> <p>(ii) Position: Interim Director of Family Services</p> <p>(iii) Unit: Children’s Services</p> <p>(iv) Contact Details:</p>  |
| Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a>   |
| 05/09/17  |
| Version number and date of update   |
| <b>V0.3 updated 02/10/17</b>  |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |                                     |   |                          |                          |
|---|--|-------------------------------------|---|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                                     |   |                          |                          |
|   |  | <b>None</b>                         | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  | <b>NO</b>                           | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |                                     |   |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                                     |   |                          |                          |
|   | <b>None/ Minimal</b>   |                                     | <b>Significant</b>  |                          |                          |
|   | <input checked="" type="checkbox"/>  |                                     | <input type="checkbox"/>  |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |                                     |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b> |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | Savings are from a current vacant post and a fixed term contract so no implications on the service are foreseen.                     |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|   |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
|---|--|---|--|-----|--|------------|--|--------|--|------|--|--------------------|--|--------------------|--|--|
| <b>2.1</b>  | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b> <ul style="list-style-type: none"> <li>• <i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li>• <i>A baseline of data is <a href="#">available here</a></i></li> </ul>  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
|   | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="padding: 5px;">How many people use the service currently? What is this as a % of Westminster’s population?</td> <td style="width: 60%;"></td> </tr> <tr> <td style="padding: 5px;">Age</td> <td></td> </tr> <tr> <td style="padding: 5px;">Disability</td> <td></td> </tr> <tr> <td style="padding: 5px;">Gender</td> <td></td> </tr> <tr> <td style="padding: 5px;">Race</td> <td></td> </tr> <tr> <td style="padding: 5px;">Religion or belief</td> <td></td> </tr> <tr> <td style="padding: 5px;">Sexual orientation</td> <td></td> </tr> </table> | How many people use the service currently? What is this as a % of Westminster’s population? |  | Age |  | Disability |  | Gender |  | Race |  | Religion or belief |  | Sexual orientation |  |  |
| How many people use the service currently? What is this as a % of Westminster’s population? |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
| Age   |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
| Disability  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
| Gender  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
| Race  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
| Religion or belief  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
| Sexual orientation  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |

|     |  |
|-----|--|
| 2.2 | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></p> |
|     | <p><i>If yes, provide details.</i></p>   |
| 2.3 | <p><b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>   |
|     | <p><i>If yes, provide details.</i></p>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>   |
|            | <p><i>It is helpful to identify whether you have conducted any consultations for your proposal, in some cases a statutory consultation is required. If your proposal has not required a consultation, please highlight this here. Consultations will help you identify what the potential impact of your proposal might be.</i></p>                                  |
| <b>3.2</b> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p>  |
|            | <p><i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i></p> |

**SECTION 4: REDUCING & MITIGATING IMPACT**

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| <b>4.1</b>  | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|---|--|--|--|--|--|--------------------------|-----------------------------|---|--------------------------|--|---|--------------------------|--------------------------------------|--|--|--|---|--|
| <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p>  |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr style="background-color: #F4C08E;"> <th style="width: 45%; padding: 5px;">Column A – Issues or barriers, things to take into account</th> <th style="width: 55%; padding: 5px;">Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).</th> </tr> </thead> <tbody> <tr><td style="height: 30px;"></td><td></td></tr> <tr> <td style="padding: 5px;"><i>Enter additional rows if require</i></td> <td></td> </tr> </tbody> </table>   |  |  | Column A – Issues or barriers, things to take into account | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  | <i>Enter additional rows if require</i> |  |
| Column A – Issues or barriers, things to take into account  | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).           |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <i>Enter additional rows if require</i>   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <b>4.2</b>  | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <tbody> <tr> <td style="width: 5%; text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="width: 35%; background-color: yellow; padding: 5px;"><b>1. No major change (no impacts identified)</b></td> <td style="padding: 5px;">Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.</td> </tr> <tr> <td style="text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="background-color: yellow; padding: 5px;"><b>2. Adjust the policy</b></td> <td style="padding: 5px;">You will take steps to remove barriers or to better advance equality.</td> </tr> <tr> <td style="text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="background-color: yellow; padding: 5px;"><b>3. Continue the policy (impacts identified)</b></td> <td style="padding: 5px;">You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.</td> </tr> <tr> <td style="text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="background-color: yellow; padding: 5px;"><b>4. Stop and remove the policy</b></td> <td style="padding: 5px;">There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.</td> </tr> </tbody> </table> |  |  | <input type="checkbox"/>                                   | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. | <input type="checkbox"/> | <b>2. Adjust the policy</b> | You will take steps to remove barriers or to better advance equality. | <input type="checkbox"/> | <b>3. Continue the policy (impacts identified)</b> | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified. | <input type="checkbox"/> | <b>4. Stop and remove the policy</b> | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating. |  |  |   |  |
| <input type="checkbox"/>  | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>2. Adjust the policy</b>  | You will take steps to remove barriers or to better advance equality.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>3. Continue the policy (impacts identified)</b>   | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>4. Stop and remove the policy</b>   | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |

| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|  |  |                                 |                         |                         |   |                                   |            |  |
|--|--|---------------------------------|-------------------------|-------------------------|---|-----------------------------------|------------|--|
| <p><b>5.1</b></p> <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                 |                         |                         |   |                                   |            |  |
| Page 646   | <b>Action Required</b>                   | <b>Equality Groups Targeted</b> | <b>Intended outcome</b> | <b>Resources Needed</b> | <b>Name of Lead, Unit &amp; Contact Details</b> | <b>Completion Date (DD/MM/YY)</b> | <b>RAG</b> |  |
|  |  |                                 |                         |                         |   |                                   |            |  |
|  |  |                                 |                         |                         |   |                                   |            |  |
|  |  |                                 |                         |                         |   |                                   |            |  |
|  |  |                                 |                         |                         |   |                                   |            |  |
|  | <i>Enter additional rows if required</i> |                                 |                         |                         |   |                                   |            |  |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

**SIGNATURE:** .....

**FULL NAME:** .....

**UNIT:** .....

**EMAIL & TELEPHONE EXT:** .....

**DATE (DD/MM/YYYY):** .....

**WHAT NEXT?**

**It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.**

**All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.**

**All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)**

| Title  |
|--|
| <b>8.22 Health Visiting Services Contract Savings in Westminster – 0-19 Service Savings</b>  |
| <p>What are you analysing?</p> <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>   |
| <p>In the new health visiting contract, effective 1<sup>st</sup> July 2017, commissioners have negotiated annual savings of £680k (16.5%) from the Westminster health visiting service budget with the incumbent provider, NHS Central London Community Health. The value of the direct award is calculated at £8,629,545 and will be funded through the Public Health Grant.</p> <p>The purpose of this Equality Impact Assessment is to assess the impact the new contract may have on any group of the service users.</p> <p>Negotiations with the provider have ensured that the new contract will continue to be targeted to the same population: pregnant women, children aged 0-5 and their families. The health visiting service is a universal health visiting service delivered in line with the national Healthy Child Programme. This aims to promote optimal health and wellbeing of children, families and local communities and reduce health inequalities. Those with additional needs defined as the targeted or vulnerable group are offered additional support proportionate to need.</p> <p>With the new contract the quality of the service will either continue, in some areas enhanced There will also be an increase in the number offered the service.</p> <p>The new changes will include:</p> <ol style="list-style-type: none"> <li>1) A universal health visiting offer to low risk women. Previously this was only targeted at those with increased need.</li> <li>2) Consider additional screening for 2-2.5 year old children identified as requiring further input. This will ensure identification of potential vulnerabilities and subsequent referrals for support.</li> <li>3) Some universal contacts previously undertaken in a home setting will now be undertaken in a clinic or children centre. This will mean an increased commute to access the service and possible transport costs. The need for commute on parents or children with disabilities was considered as part of this Equality Impact Assessment. It is not anticipated that the new changes will disproportionately disadvantage them. As per current practice they will ordinarily be under the health visitor vulnerable list. Under this criteria, the option for a home visit will remain in place. Those on low incomes with financial issues unable to access a service will be assessed on a case by case basis and provision for a home visit considered to ensure that they are not disproportionately disadvantaged.</li> </ol> <p>As part of the health visiting transformation programme for the new contract, officers will work with the provider to ensure that implementation of these proposals are equitable to all service users including those set out in section 1.1.</p> |

|   |   |
|---|---|
| Details of the lead person completing the screening/EIA                                       |   |
| (i)   | Full Name: Maureen Mandirahwe   |
| (ii)  | Position: Commissioning and Transformation Lead, Children   |
| (iii)   | Unit: Triboroughs, Public Health  |
| (iv)  | Contact Details: <a href="mailto:mmandirahwe@westminster.gov.uk">mmandirahwe@westminster.gov.uk</a> |
| Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a> |   |
| 18/08/2017  |   |
| Version number and date of update   |   |
| V1.0 17/08/2017   |   |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|  |  |  |   |                          |                          |
|--|--|--|---|--------------------------|--------------------------|
| <b>1.1</b>   | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |  |   |                          |                          |
|  |  | None   | Positive  | Negative                 | Not sure                 |
|  | Disabled people  | ✓ <input type="checkbox"/>                                       | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|  | Particular ethnic groups   | ✓ <input type="checkbox"/>                                       | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|  | Men or women (include impacts due to pregnancy/ maternity)   | ✓ <input type="checkbox"/>                                       | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|  | People or particular sexual orientation/s  | ✓ <input type="checkbox"/>                                       | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|  | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | ✓ <input type="checkbox"/>                                       | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|  | People on low incomes  | ✓ <input type="checkbox"/>                                       | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|  | People in particular age groups  | ✓ <input type="checkbox"/>                                       | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|  | Groups with particular faiths and beliefs  | ✓ <input type="checkbox"/>                                       | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|  | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  | -Pregnant women<br>-2-2.5 year old children as<br>aforementioned | ✓ <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| If the answer is “negative” or “unclear” consider doing a full EIA |  |  |   |                          |                          |
| <b>1.2</b>   | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |  |   |                          |                          |
|  | None/ Minimal<br>✓ <input type="checkbox"/>  |  | Significant<br><input type="checkbox"/>   |                          |                          |
|  | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |  | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| If the answer is “significant” consider doing a full EIA           |  |  |   |                          |                          |

|     |   |
|-----|---|
| 1.3 | Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal   |
|     | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>   |
| 1.4 | How have you come to this decision?   |
|     | No negative impact is anticipated for any group in the new contract as outlined in the first section of this document. Current practice will continue be enhanced and additional users will be offered the health visiting service. |

**EQUALITY IMPACT ASSESSMENT**

**SECTION 2: BUILDING AN EVIDENCE BASE**

|   |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
|---|--|---|--|-----|--|------------|--|--------|--|------|--|--------------------|--|--------------------|--|--|
| 2.1   | Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal <ul style="list-style-type: none"> <li>• <i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li>• <i>A baseline of data is <a href="#">available here</a></i></li> </ul> |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
|   | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">How many people use the service currently? What is this as a % of Westminster’s population?</td> <td></td> </tr> <tr> <td>Age</td> <td></td> </tr> <tr> <td>Disability</td> <td></td> </tr> <tr> <td>Gender</td> <td></td> </tr> <tr> <td>Race</td> <td></td> </tr> <tr> <td>Religion or belief</td> <td></td> </tr> <tr> <td>Sexual orientation</td> <td></td> </tr> </table>                                 | How many people use the service currently? What is this as a % of Westminster’s population? |  | Age |  | Disability |  | Gender |  | Race |  | Religion or belief |  | Sexual orientation |  |  |
| How many people use the service currently? What is this as a % of Westminster’s population? |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
| Age   |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
| Disability  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
| Gender  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
| Race  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
| Religion or belief  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
| Sexual orientation  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |

|     |   |
|-----|---|
| 2.2 | <p>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population? <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></p> |
|     | <p><i>If yes, provide details.</i></p>  |
| 2.3 | <p>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population? <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>   |
|     | <p><i>If yes, provide details.</i></p>  |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|     |  |
|-----|--|
| 3.1 | <p>Consultation Information<br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>  |
|     | <p><i>It is helpful to identify whether you have conducted any consultations for your proposal, in some cases a statutory consultation is required. If your proposal has not required a consultation, please highlight this here. Consultations will help you identify what the potential impact of your proposal might be.</i></p>                                  |
| 3.2 | <p>What might the potential impact on individuals or groups be?<br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p>   |
|     | <p><i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i></p> |

## SECTION 4: REDUCING & MITIGATING IMPACT

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

|   |   |  |
|---|---|--|
| 4.1   | Where you have identified an impact, what can be done to reduce or mitigate the impact? (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |
| Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified. |   |  |
| Column A – Issues or barriers, things to take into account  |   | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |
|   |   |  |
|   |   |  |
|   |   |  |
|   |   |  |
|   |   |  |
| <i>Enter additional rows if require</i>   |   |  |
| 4.2   | Now that you have considered the potential or actual effect on equality, what action are you taking?  |  |
| <input type="checkbox"/>  | 1. No major change (no impacts identified)  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups.                               |
| <input type="checkbox"/>  | 2. Adjust the policy  | You will take steps to remove barriers or to better advance equality.  |
| <input type="checkbox"/>  | 3. Continue the policy (impacts identified)   | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.  |
| <input type="checkbox"/>  | 4. Stop and remove the policy   | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |

|     |   |
|-----|---|
|     |   |
| 4.3 | Please document the reasons for your decision |
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|                 |   |                                 |                         |                         |   |                                   |            |
|-----------------|---|---------------------------------|-------------------------|-------------------------|---|-----------------------------------|------------|
| <p>5.1</p>      | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p>NB. Add any additional rows, if required.</p> |                                 |                         |                         |   |                                   |            |
| <p>Page 656</p> | <p>Action Required</p>  | <p>Equality Groups Targeted</p> | <p>Intended outcome</p> | <p>Resources Needed</p> | <p>Name of Lead, Unit &amp; Contact Details</p> | <p>Completion Date (DD/MM/YY)</p> | <p>RAG</p> |
|                 |   |                                 |                         |                         |   |                                   |            |
|                 |   |                                 |                         |                         |   |                                   |            |
|                 |   |                                 |                         |                         |   |                                   |            |
|                 |   |                                 |                         |                         |   |                                   |            |
|                 | <p><i>Enter additional rows if required</i></p>   |                                 |                         |                         |   |                                   |            |

THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER

SIGNATURE: .....

FULL NAME: .....

UNIT: .....

EMAIL & TELEPHONE EXT: .....

DATE (DD/MM/YYYY): .....

WHAT NEXT?

It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.

All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.

All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

<https://officesharedservice.sharepoint.com/sites/intranet/wcc-comms/Pages/Equality-Impact-Assessments-.aspx>

3.2 Negotiations with the provider have ensured that the quality of the service will continue and, alongside this a revised performance framework will produce more robust data which will assist the development of a new model in the longer term.

deliver both efficiencies and better streamlined services and outcomes for children and young people.

health visitor as the central point of contact leading a team with the relevant mix of skills and experience delivering the service.

3.6 The award of these contracts will also contribute £680,000 per annum to the overall savings in order to meet targets set within the Medium Term Budget Plan.

The transfer of commissioning responsibilities for children's Public Health to local authorities is providing an opportunity to take a fresh look at delivering coherent, effective support for children locally.

This Programme sets out the schedule for the delivery of services during the early years, and includes both universal services and additional interventions for families with more complex needs

- Improve the health and wellbeing of children and reduce inequalities in outcomes as part of an integrated multi-agency approach to supporting and empowering children and families;
- Ensure a strong focus on prevention, health promotion, early identification of needs, early intervention and clear packages of support;
- Ensure delivery of the HCP to all children and families, including fathers, starting in the antenatal period;

These services are funded through the Public Health Grant.

- a. The additional data required as part of the revised KPI framework will contribute to the review of health visiting services and inform the new integrated services model going forward.
- b. Commissioners have negotiated annual savings of £680k or 16.5%. The £680k expenditure saving on the Public Health contract for Health Visiting and Family Nurse Partnership is assumed to release Public Health Grant to fund other expenditure meeting Public Health outcomes, but currently met from the General Fund budget. There is therefore a confirmed procurement saving of £680k which contributes to the £896k Medium Term Financial Plan (MTP) target saving in Westminster subject to agreement from the Cabinet Member for Adult Social Services and Public Health (a revision of the Public Health Financial Plan will be provided in due course).

5.3 Commissioners have negotiated annual savings of £680k or 16.5%. The £680k expenditure saving on the Public Health contract for Health Visiting and Family Nurse Partnership is assumed to release Public Health Grant to fund other expenditure meeting Public Health outcomes, but currently met from the General Fund budget. There is therefore a confirmed procurement saving of £680k which contributes to the £896k Medium Term Financial Plan (MTP) target saving in Westminster subject to agreement from the Cabinet Member for Adult Social Services and Public Health (a revision of the Public Health Financial Plan will be provided in due course).

10.2 The report includes a recommendation to directly award a contract to the incumbent provider. By choosing to directly award a contract without a tender process, the Council is not complying with the competition requirements set out in Chapter 3, Section 7 of the Regulations. Therefore, there may be a risk of challenge and an application for a declaration of ineffectiveness (whereby a contract may be set aside) may be made from an economic operator interested in providing this service.

**Annex B - Part D**

**Equality Impact Assessments**

**Completed for all 2018/18 savings proposals within cabinet portfolio:**

**City Highways**

## 5.10 Compliance and Audit Contract – Contract Efficiencies

What are you analysing?

- What is the purpose of the policy/project/activity/strategy?
- In what context will it operate?
- Who is it intended to benefit?
- What results are intended?
- Why is it needed?

- **What is the project, policy or proposal?**

This EIA covers the proposal to reduce compliance monitoring costs through the application of project and client fees which are chargeable to individual schemes. The Compliance and Audit contract provides assurance of the quality and commercial management of the Highways and Transportation Service contracts and includes Public Lighting, Drainage, Bridges and Structures and Traffic Management Order services.

- **What is the purpose of the policy/project/activity/strategy?**

These proposals are aimed at implementing the change through reviewing and refocussing the audit needs across the various services and meeting medium term savings targets.

- **In what context will it operate?**

This proposal has a unique Business Case and will have its own action plan, delivery lead and implementation process. This Business Case will operate as the overarching monitoring tool for implementation and monitoring of the individual proposals.

- **What results are intended?**

The intended result of the proposals are :

- To achieve a medium term saving in revenue funding of £50k from 2018/19 across City Management and Communities
- To deliver services in the most coordinated and efficient manner
- To minimise impact on service levels
- To deliver where possible an improved customer service and minimise the impact on Westminster's Businesses, Residents and Visitors

- **Why is it needed?**

Central Governments reduction in funding will result in a significant drop in available funding for Local Authorities. As a consequence, additional revenue savings need to be found across City Management and Communities in order to help close this funding gap. Failure to achieve sufficient savings will lead to further structural problems within Westminster's overall budget.

- **Who is it intended to benefit and how?**

The intended benefits will cover all of Westminster's Residents, Tourists and Workers.

- **Who, potentially, could this project, policy or proposal have a detrimental effect on, and how?**

It is not envisaged that this will impact on anyone other than the service provider.

Details of the lead person completing the screening/EIA

(i) Full Name: Kevin Goad

(ii) Position: Interim Manager, Highways and Public Realm

(iii) Unit: CMC

(iv) Contact Details: [kgoad@westminster.gov.uk](mailto:kgoad@westminster.gov.uk) 020 7641 3808

Date sent to [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

18/08/2017

Version number and date of update

*You will need to update your EIA as you move through the decision-making process. Record the version number here and the date you updated the EIA. Keep all versions so you have evidence that you have considered equality throughout the process.*

**V3 – 18 August 2017**

## SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?

Not all proposals will require an EIA; this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

| 1.1 Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative? |                                     |   |                          |                          |
|---|-------------------------------------|---|--------------------------|--------------------------|
|   | None                                | Positive  | Negative                 | Not sure                 |
| Disabled people   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Particular ethnic groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Men or women (include impacts due to pregnancy/ maternity)  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People or particular sexual orientation/s   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People on low incomes   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| People in particular age groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Groups with particular faiths and beliefs   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
| Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?   | None                                | <input checked="" type="checkbox"/>   | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b>   |                                     |   |                          |                          |
| 1.2 What do you think that the overall NEGATIVE impact on groups and communities will be?   |                                     |   |                          |                          |
| <b>None/ Minimal</b>  |                                     | <b>Significant</b>  |                          |                          |
| <input checked="" type="checkbox"/>   |                                     | <input type="checkbox"/>  |                          |                          |
| None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                      |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>   |                                     |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>   |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | This Business Case/proposal is an overarching framework to show how the City Management and Communities is responding to savings requirements and as such has no negative impact on groups or communities. |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|            |  |   |
|------------|--|---|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |   |
|            | <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul> |   |
|            | How many people use the service currently? What is this as a % of Westminster's population?  | <b>A million visitors each day to Westminster will all interact at some point with the services linked to the proposals. This is 4.4 times the resident population.</b> |
|            | Age  |   |
|            | Disability   |   |
|            | Gender   |   |
|            | Race   |   |
|            | Religion or belief   |   |
|            | Sexual orientation   |   |

|            |  |
|------------|--|
| <b>2.2</b> | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></p> |
|            | <p><i>If yes, provide details.</i></p>   |
| <b>2.3</b> | <p><b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>   |
|            | <p><i>If yes, provide details.</i></p>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>   |
|            | <p>No consultation has been required to date but where the individual initiatives require consultation, this will take place with residents groups, disabled groups and any other group identified as affected.</p>  |
| <b>3.2</b> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p>  |
|            | <p><i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i></p> |

## SECTION 4: REDUCING & MITIGATING IMPACT

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| 4.1 | Where you have identified an impact, what can be done to reduce or mitigate the impact? (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |   |
|-----|---|---|
|     | Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.                         |   |
|     | <b>Column A – Issues or barriers, things to take into account</b>   | <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).                 |
|     |   |   |
|     |   |   |
|     |   |   |
|     |   |   |
|     |   |   |
|     | <i>Enter additional rows if require</i>   |   |
| 4.2 | Now that you have considered the potential or actual effect on equality, what action are you taking?  |   |
|     | <input checked="" type="checkbox"/>   | <b>1. No major change (no impacts identified)</b><br>Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |
|     | <input type="checkbox"/>  | <b>2. Adjust the policy</b><br>You will take steps to remove barriers or to better advance equality.  |
|     | <input type="checkbox"/>  | <b>3. Continue the policy (impacts identified)</b><br>You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.   |
|     | <input type="checkbox"/>  | <b>4. Stop and remove the policy</b><br>There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.  |

| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

## SECTION 5: ACTION PLAN

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 668</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

**SIGNATURE:** .....

**FULL NAME:** .....Kevin Goad

**UNIT:** .....CMC.....

**EMAIL & TELEPHONE EXT:** ...kgoad@westminster.gov.uk

**DATE (DD/MM/YYYY):** ...02/09/2016.....

**WHAT NEXT?**

**It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.**

**All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.**

**All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)**

## Title

**5.13 Highways – Expenditure Review**

What are you analysing?

- What is the purpose of the policy/project/activity/strategy?
- In what context will it operate?
- Who is it intended to benefit?
- What results are intended?
- Why is it needed?

This EIA covers proposed revenue saving from the Highways budgets in 2018/19 and will come from a number of areas including IT software maintenance, printing, fees, and contract efficiencies.

- **What is the purpose of the policy/project/activity/strategy?**

The purpose of this proposal is to ensure that the City Management and Communities Directorate is operating efficiently and effectively, providing a good customer service and meeting medium term savings targets.

- **In what context will it operate?**

This Business Case will consider a series of options for reducing costs on highways maintenance whilst minimising the potential impact on the levels and quality of service. The proposal will have its own action plan, delivery lead and implementation process.

- **What results are intended?**

The intended result of the proposals are :

- To achieve a medium term saving in revenue funding of £1million on 2017/18
- To minimise impact on service levels
- To deliver where possible an improved customer service and minimise the impact on Westminster's Businesses, Residents and Visitors

- **Why is it needed?**

Central Governments reduction in funding will result in a significant drop in available funding for Local Authorities. As a consequence, revenue savings needs to be found across the Highways and Public Realm service within City Management and Communities for 2017/18 in order to help close this funding gap. Failure to achieve sufficient savings will lead to further structural problems within Westminster's overall budget.

- **Who is it intended to benefit and how?**

The intended benefits will cover all of Westminster's Residents, Visitors and Workers.

- **Who, potentially, could this project, policy or proposal have a detrimental effect on, and how?**

Some of the individual proposals could potentially disproportionately impact Westminster's Residents, Tourists and Workers and not just those with protected characteristics. For example, alterations to existing service levels, however every effort will be made to keep any impacts to a minimum.

| Details of the lead person completing the screening/EIA  |
|--|
| <ul style="list-style-type: none"><li>(i) Full Name: Kevin Goad</li><li>(ii) Position: Interim Manager</li><li>(iii) Unit: Highways and Public Realm</li><li>(iv) Contact Details: 0207 641 1903</li></ul> |
| Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a>  |
| 18/08/2017   |
| Version number and date of update  |
| <b>V2.0 August 2017</b>  |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA; this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |                                     |   |                          |                          |
|---|--|-------------------------------------|---|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                                     |   |                          |                          |
|   |  | <b>None</b>                         | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  | <b>X</b>                            | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |                                     |   |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                                     |   |                          |                          |
|   | <b>None/ Minimal</b>   |                                     | <b>Significant</b>  |                          |                          |
|   | <input checked="" type="checkbox"/>  |                                     | <input type="checkbox"/>  |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |                                     |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b> |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            |  |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|            |  |  |
|------------|--|--|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |  |
|            | <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul> |  |
|            | How many people use the service currently? What is this as a % of Westminster's population?  | <b>A million visitors each day to Westminster will all interact at some point with the services linked to the proposals. This is 4.4 times the resident population</b> |
|            | Age  |  |
|            | Disability   |  |
|            | Gender   |  |
|            | Race   |  |
|            | Religion or belief   |  |
|            | Sexual orientation   |  |

|            |   |
|------------|---|
| <b>2.2</b> | <b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i> |
|            | <i>If yes, provide details.</i>   |
| <b>2.3</b> | <b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i>   |
|            | <i>If yes, provide details.</i>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <b>Consultation Information</b><br><i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i>  |
|            | <p>No consultation has been required to date but where the individual initiatives require consultation, this will take place with residents groups, disabled groups and any other group identified as affected.</p>  |
| <b>3.2</b> | <b>What might the potential impact on individuals or groups be?</b><br><i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i>   |
|            | <p><i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i></p> |

## SECTION 4: REDUCING & MITIGATING IMPACT

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| 4.1   | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|---|--|--|---|---|--|--------------------------|-----------------------------|---|--------------------------|--|---|--------------------------|--------------------------------------|--|--|--|---|--|
|   | <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p> <table border="1" data-bbox="264 689 1525 1384"> <thead> <tr> <th data-bbox="264 689 748 831"> <b>Column A – Issues or barriers, things to take into account</b> </th> <th data-bbox="748 689 1525 831"> <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).           </th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr> <td data-bbox="264 1294 748 1384"><i>Enter additional rows if require</i></td> <td data-bbox="748 1294 1525 1384"> </td> </tr> </tbody> </table>   |  | <b>Column A – Issues or barriers, things to take into account</b> | <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  | <i>Enter additional rows if require</i> |  |
| <b>Column A – Issues or barriers, things to take into account</b> | <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <i>Enter additional rows if require</i>                           |  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| 4.2   | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   | <table border="1" data-bbox="264 1592 1525 2029"> <tbody> <tr> <td data-bbox="264 1592 371 1749"> <input checked="" type="checkbox"/> </td> <td data-bbox="371 1592 719 1749"> <b>1. No major change (no impacts identified)</b> </td> <td data-bbox="719 1592 1525 1749">           Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.         </td> </tr> <tr> <td data-bbox="264 1749 371 1827"> <input type="checkbox"/> </td> <td data-bbox="371 1749 719 1827"> <b>2. Adjust the policy</b> </td> <td data-bbox="719 1749 1525 1827">           You will take steps to remove barriers or to better advance equality.         </td> </tr> <tr> <td data-bbox="264 1827 371 1951"> <input type="checkbox"/> </td> <td data-bbox="371 1827 719 1951"> <b>3. Continue the policy (impacts identified)</b> </td> <td data-bbox="719 1827 1525 1951">           You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.         </td> </tr> <tr> <td data-bbox="264 1951 371 2029"> <input type="checkbox"/> </td> <td data-bbox="371 1951 719 2029"> <b>4. Stop and remove the policy</b> </td> <td data-bbox="719 1951 1525 2029">           There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.         </td> </tr> </tbody> </table> |  | <input checked="" type="checkbox"/>                               | <b>1. No major change (no impacts identified)</b>   | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. | <input type="checkbox"/> | <b>2. Adjust the policy</b> | You will take steps to remove barriers or to better advance equality. | <input type="checkbox"/> | <b>3. Continue the policy (impacts identified)</b> | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified. | <input type="checkbox"/> | <b>4. Stop and remove the policy</b> | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating. |  |  |   |  |
| <input checked="" type="checkbox"/>                               | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>2. Adjust the policy</b>  | You will take steps to remove barriers or to better advance equality.  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>3. Continue the policy (impacts identified)</b>   | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>4. Stop and remove the policy</b>   | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |

| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (Inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 678</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

**SIGNATURE:** Kevin Goad

**FULL NAME:** Kevin Goad

**UNIT:** Highways and Public Realm

**EMAIL & TELEPHONE EXT:** [kgoad@westminster.gov.uk](mailto:kgoad@westminster.gov.uk) 1903

**DATE (DD/MM/YYYY):** 02/09/2016

**WHAT NEXT?**

It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.

All EIAs for proposed changes to levels of service arising from budget proposals must be completed by **2 September 2016**.

All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

## Title

**5.14 Review of Highways Services including Road Management**

What are you analysing?

- What is the purpose of the policy/project/activity/strategy?
- In what context will it operate?
- Who is it intended to benefit?
- What results are intended?
- Why is it needed?

This EIA covers an end to end review of the Highways service with a focus on the Road Management service considering its efficiency and effectiveness and the implementation of a new model for service delivery.

- **What is the purpose of the policy/project/activity/strategy?**

The purpose of this proposal is to ensure that the City Management and Communities Directorate is operating efficiently and effectively, providing a good customer service and meeting medium term savings targets.

- **In what context will it operate?**

This Business Case will consider a series of options for reducing the costs associated with the delivery of services across the public realm whilst minimising the potential impact on the levels and quality of service. The proposal will have its own action plan, delivery lead and implementation process.

- **What results are intended?**

The intended result of the proposals are :

- To achieve a medium term saving in revenue funding of £750k in 2017/18
- To minimise impact on service levels
- To deliver where possible an improved customer service and minimise the impact on Westminster's Businesses, Residents and Visitors

- **Why is it needed?**

Central Governments reduction in funding will result in a significant drop in available funding for Local Authorities. As a consequence, revenue savings needs to be found across the Highways and Public Realm service within City Management and Communities for 2017/18 in order to help close this funding gap. Failure to achieve sufficient savings will lead to further structural problems within Westminster's overall budget.

- **Who is it intended to benefit and how?**

The intended benefits will cover all of Westminster's Residents, Visitors, Businesses and Workers.

- **Who, potentially, could this project, policy or proposal have a detrimental effect on, and how?**

This proposal will impact existing staff in order to meet savings levels. A full staff consultation will be undertaken and relevant approvals agreed with cabinet members prior to any implementation.

| Details of the lead person completing the screening/EIA   |
|---|
| (i) Full Name: Kevin Goad<br>(ii) Position: Interim Manager<br>(iii) Unit: Highways and Public Realm<br>(iv) Contact Details: 0207 641 1903 |
| Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a>   |
| 18/08/2017  |
| Version number and date of update   |
| <b>V2.0 August 2017</b>   |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA; this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |                                     |   |                          |                          |
|---|--|-------------------------------------|---|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                                     |   |                          |                          |
|   |  | <b>None</b>                         | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  | <b>X</b>                            | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |                                     |   |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                                     |   |                          |                          |
|   | <b>None/ Minimal</b>   |                                     | <b>Significant</b>  |                          |                          |
|   | <input checked="" type="checkbox"/>  |                                     | <input type="checkbox"/>  |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                                     | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |                                     |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b> |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            |  |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|   |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
|---|--|---|--|-----|--|------------|--|--------|--|------|--|--------------------|--|--------------------|--|--|
| <b>2.1</b>  | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b> <ul style="list-style-type: none"> <li>• <i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li>• <i>A baseline of data is <a href="#">available here</a></i></li> </ul>  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
|   | <table border="1"> <tr> <td>How many people use the service currently? What is this as a % of Westminster’s population?</td> <td><b>A million visitors each day to Westminster will all interact at some point with the services linked to the proposals. This is 4.4 times the resident population</b></td> </tr> <tr> <td>Age</td> <td></td> </tr> <tr> <td>Disability</td> <td></td> </tr> <tr> <td>Gender</td> <td></td> </tr> <tr> <td>Race</td> <td></td> </tr> <tr> <td>Religion or belief</td> <td></td> </tr> <tr> <td>Sexual orientation</td> <td></td> </tr> </table> | How many people use the service currently? What is this as a % of Westminster’s population? | <b>A million visitors each day to Westminster will all interact at some point with the services linked to the proposals. This is 4.4 times the resident population</b> | Age |  | Disability |  | Gender |  | Race |  | Religion or belief |  | Sexual orientation |  |  |
| How many people use the service currently? What is this as a % of Westminster’s population? | <b>A million visitors each day to Westminster will all interact at some point with the services linked to the proposals. This is 4.4 times the resident population</b>   |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
| Age   |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
| Disability  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
| Gender  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
| Race  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
| Religion or belief  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |
| Sexual orientation  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |  |

|     |  |
|-----|--|
| 2.2 | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></p> |
|     | <p><i>If yes, provide details.</i></p>   |
| 2.3 | <p><b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>   |
|     | <p><i>If yes, provide details.</i></p>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|                   |  |
|-------------------|--|
| <p><b>3.1</b></p> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>   |
|                   | <p>No consultation has been required to date but where the individual initiatives require consultation, this will take place with residents groups, disabled groups and any other group identified as affected.</p>  |
| <p><b>3.2</b></p> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p>  |
|                   | <p><i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i></p> |



| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (Inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 688</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

**SIGNATURE:** Kevin Goad

**FULL NAME:** Kevin Goad

**UNIT:** Highways and Public Realm

**EMAIL & TELEPHONE EXT:** [kgoad@westminster.gov.uk](mailto:kgoad@westminster.gov.uk) 1903

**DATE (DD/MM/YYYY):** 02/09/2016

**WHAT NEXT?**

It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.

All EIAs for proposed changes to levels of service arising from budget proposals must be completed by **2 September 2016**.

All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

|   |
|---|
| <b>Title</b>  |
| <b>5.15 Provision of Electric Vehicle Charging Points</b>   |
| <p>What are you analysing?</p> <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>  |
| <p>The Council provide a number of kerbside electric vehicle (EV) charging bays throughout the City for the exclusive use of electric and plug-in hybrid vehicles.</p> <p>For some time, the number of charging points has remained relatively static with 56 recharging points operated at 66 bays, via Chargemaster, Elektromotive and POD Point under an inherited TfL contract through Source London, managed by Blue Point London Ltd (BPL). However there has been substantial growth in the EV market over the past few years and the process of how points are being managed, and by whom, is changing.</p> <p>Responsibility for each charging point is being transitioned to the respective operators through concession agreements, with each provider being charged a minimum of £1,300 per licence to operate the charge point on the highway. In doing so, the providers are free to introduce charges for membership, pay-as-you-go bay use and electricity. For the user this will mean greater choice, reliability and availability as charge points are expanded, upgraded and replaced, but an end to free charging. Users may wish to sign up with more than one operator and this system will create a competitive market. For the Council, responsibility for points, including maintenance costs and electricity charges, will now rest with the respective operators.</p> |
| <b>Details of the lead person completing the screening/EIA</b>  |
| <p>(i) Full Name: Darren Montague</p> <p>(ii) Position: Service Implementation Manager</p> <p>(iii) Unit: Parking Services</p> <p>(iv) Contact Details: <a href="mailto:dmontague@westminster.gov.uk">dmontague@westminster.gov.uk</a> / x2293</p>  |
| <b>Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a></b>  |
| 18/08/2017  |
| <b>Version number and date of update</b>  |
| V1.0 – 18/08/17   |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |                          |   |                          |                          |
|---|--|--------------------------|---|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                          |   |                          |                          |
|   |  | <b>None</b>              | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <b>X</b>                 | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <b>X</b>                 | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <b>X</b>                 | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <b>X</b>                 | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <b>X</b>                 | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <input type="checkbox"/> | <input type="checkbox"/>  | <b>X</b>                 | <input type="checkbox"/> |
|   | People in particular age groups  | <b>X</b>                 | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <b>X</b>                 | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  | <b>X</b>                 | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |                          |   |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                          |   |                          |                          |
|   | <b>None/ Minimal</b>   |                          | <b>Significant</b>  |                          |                          |
|   | <b>X</b>   |                          | <input type="checkbox"/>  |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                          | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |                          |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>   |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | <p>Only very minimal financial impact identified for people on low incomes.</p> <p>People on low incomes may be disproportionately affected by the proposals in the sense that charges are to be introduced. However, the financial impact of these proposals is individually fairly minimal, and would only affect EV car drivers whose demographic would generally tend to not currently include those within low income groups.</p> |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|   |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
|---|--|---|--|-----|--|------------|--|--------|--|------|--|--------------------|--|--------------------|--|
| <b>2.1</b>  | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b> <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul>  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
|   | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 45%; padding: 5px;">How many people use the service currently? What is this as a % of Westminster's population?</td> <td style="width: 55%;"></td> </tr> <tr> <td style="padding: 5px;">Age</td> <td></td> </tr> <tr> <td style="padding: 5px;">Disability</td> <td></td> </tr> <tr> <td style="padding: 5px;">Gender</td> <td></td> </tr> <tr> <td style="padding: 5px;">Race</td> <td></td> </tr> <tr> <td style="padding: 5px;">Religion or belief</td> <td></td> </tr> <tr> <td style="padding: 5px;">Sexual orientation</td> <td></td> </tr> </table> | How many people use the service currently? What is this as a % of Westminster's population? |  | Age |  | Disability |  | Gender |  | Race |  | Religion or belief |  | Sexual orientation |  |
| How many people use the service currently? What is this as a % of Westminster's population? |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| Age   |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| Disability  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| Gender  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| Race  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| Religion or belief  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| Sexual orientation  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| <b>2.2</b>  | <b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i>  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
|   | <i>If yes, provide details.</i>  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |

|            |   |
|------------|---|
| <b>2.3</b> | <b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i> |
|            | <i>If yes, provide details.</i>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |   |
|------------|---|
| <b>3.1</b> | <b>Consultation Information</b><br><i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i>   |
|            | <i>It is helpful to identify whether you have conducted any consultations for your proposal, in some cases a statutory consultation is required. If your proposal has not required a consultation, please highlight this here. Consultations will help you identify what the potential impact of your proposal might be.</i>                                  |
| <b>3.2</b> | <b>What might the potential impact on individuals or groups be?</b><br><i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i>  |
|            | <i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i> |

**SECTION 4: REDUCING & MITIGATING IMPACT**

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| <b>4.1</b>  | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|---|--|--|---|---|--|--------------------------|-----------------------------|---|--------------------------|--|---|--------------------------|--------------------------------------|--|--|--|---|--|
| <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p>  |  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
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|   |  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <i>Enter additional rows if require</i>   |  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <b>4.2</b>  | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
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| <input type="checkbox"/>  | <b>4. Stop and remove the policy</b>   | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |

| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 697</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER****SIGNATURE:** .....**FULL NAME:** Adam Warnes.**UNIT:** Parking Services**EMAIL & TELEPHONE EXT:** [awarnes@westminster.gov.uk](mailto:awarnes@westminster.gov.uk) / x4074.**DATE (DD/MM/YYYY):** 18/08/2017.**WHAT NEXT?**

It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.

All EIAs for proposed changes to levels of service arising from budget proposals must be completed by **2 September 2016**.

All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

| Title  |
|--|
| <p><b>5.16 Flexible car sharing operators</b></p>  |
| <p>What are you analysing?</p> <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>   |
| <p>Since 2009, the Council has operated a car club service to provide greener modes of transport in response to growing pressure on residents' parking, to help tackle congestion and poor air quality, and to free up kerbside space. The current contract, with Zipcar, is due to expire on 30 September 2017. Car clubs offer a pay-as-you-go service which provides an alternative for those who use their cars occasionally or do not want the expense of owning and running their own vehicle. Members pay an annual membership fee and then hire vehicles for a period of one hour to six months. The contractor supplies 185 vehicles operating from dedicated kerbside bays and is charged £1,500 per vehicle/bay, There are currently 11,000 members of the Westminster Car Club service.</p> <p>As well as the current fixed point/back to base model run by Zipcar, other car sharing models are now operating in London: floating (one-way) and point-to-point. Due to the rapidly expanding and ever-changing nature of the car club market, the Council has agreed a revised car sharing strategy for the new contract.</p> <p>The Council wish to incorporate alternative models into the contract and are therefore looking to split the procurement of the new contract into 2 separate lots: a fixed point service and a floating service. This will ensure service continuity for the existing customers whilst also introducing a new model of car sharing to complement our over-riding service objectives. Furthermore this will introduce competition to the service, giving customers greater choice and improving quality.</p> |
| Details of the lead person completing the screening/EIA  |
| <ul style="list-style-type: none"> <li>(i) Full Name: Darren Montague</li> <li>(ii) Position: Service Implementation Manager</li> <li>(iii) Unit: Parking Services</li> <li>(iv) Contact Details: <a href="mailto:dmontague@westminster.gov.uk">dmontague@westminster.gov.uk</a> / x2293</li> </ul>  |
| Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a>  |
| 18/08/2017   |
| Version number and date of update  |
| V1.0 – 18/08/17  |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |                          |   |                          |                          |
|---|--|--------------------------|---|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |                          |   |                          |                          |
|   |  | <b>None</b>              | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <input type="checkbox"/> | <b>X</b>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <b>X</b>                 | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <b>X</b>                 | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <b>X</b>                 | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <b>X</b>                 | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <input type="checkbox"/> | <b>X</b>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <b>X</b>                 | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <b>X</b>                 | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  | <b>X</b>                 | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |                          |   |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                          |   |                          |                          |
|   | <b>None/ Minimal</b>   |                          | <b>Significant</b>  |                          |                          |
|   | <b>X</b>   |                          | <input type="checkbox"/>  |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |                          | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |                          |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>   |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | <p>The only impacts identified to the respective groups would be a positive impact for both disabled people and people on low incomes.</p> <p>The Car sharing service will increase resident choice and provide a service for people who may not need to, wish to or be able to afford to own and keep their own vehicle. It offers flexibility and convenience of use and the competitive element of the new contract should keep prices minimal.</p> |

# EQUALITY IMPACT ASSESSMENT

## SECTION 2: BUILDING AN EVIDENCE BASE

|  |  |  |  |            |  |                   |  |               |  |             |  |                           |  |                           |  |
|--|--|--|--|------------|--|-------------------|--|---------------|--|-------------|--|---------------------------|--|---------------------------|--|
| <p><b>2.1</b></p>  | <p><b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b></p> <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul>   |  |  |            |  |                   |  |               |  |             |  |                           |  |                           |  |
|  | <table border="1"> <tr> <td data-bbox="264 633 770 786"> <p>How many people use the service currently? What is this as a % of Westminster’s population?</p> </td> <td data-bbox="770 633 1516 786"></td> </tr> <tr> <td data-bbox="264 786 770 880"> <p>Age</p> </td> <td data-bbox="770 786 1516 880"></td> </tr> <tr> <td data-bbox="264 880 770 974"> <p>Disability</p> </td> <td data-bbox="770 880 1516 974"></td> </tr> <tr> <td data-bbox="264 974 770 1068"> <p>Gender</p> </td> <td data-bbox="770 974 1516 1068"></td> </tr> <tr> <td data-bbox="264 1068 770 1162"> <p>Race</p> </td> <td data-bbox="770 1068 1516 1162"></td> </tr> <tr> <td data-bbox="264 1162 770 1256"> <p>Religion or belief</p> </td> <td data-bbox="770 1162 1516 1256"></td> </tr> <tr> <td data-bbox="264 1256 770 1350"> <p>Sexual orientation</p> </td> <td data-bbox="770 1256 1516 1350"></td> </tr> </table> | <p>How many people use the service currently? What is this as a % of Westminster’s population?</p> |  | <p>Age</p> |  | <p>Disability</p> |  | <p>Gender</p> |  | <p>Race</p> |  | <p>Religion or belief</p> |  | <p>Sexual orientation</p> |  |
| <p>How many people use the service currently? What is this as a % of Westminster’s population?</p> |  |  |  |            |  |                   |  |               |  |             |  |                           |  |                           |  |
| <p>Age</p>   |  |  |  |            |  |                   |  |               |  |             |  |                           |  |                           |  |
| <p>Disability</p>  |  |  |  |            |  |                   |  |               |  |             |  |                           |  |                           |  |
| <p>Gender</p>  |  |  |  |            |  |                   |  |               |  |             |  |                           |  |                           |  |
| <p>Race</p>  |  |  |  |            |  |                   |  |               |  |             |  |                           |  |                           |  |
| <p>Religion or belief</p>  |  |  |  |            |  |                   |  |               |  |             |  |                           |  |                           |  |
| <p>Sexual orientation</p>  |  |  |  |            |  |                   |  |               |  |             |  |                           |  |                           |  |
| <p><b>2.2</b></p>  | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster’s population is on the Equalities page on the WIRE.</i></p>   |  |  |            |  |                   |  |               |  |             |  |                           |  |                           |  |
|  | <p><i>If yes, provide details.</i></p>   |  |  |            |  |                   |  |               |  |             |  |                           |  |                           |  |

|            |   |
|------------|---|
| <b>2.3</b> | <b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i> |
|            | <i>If yes, provide details.</i>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |   |
|------------|---|
| <b>3.1</b> | <b>Consultation Information</b><br><i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i>   |
|            | <i>It is helpful to identify whether you have conducted any consultations for your proposal, in some cases a statutory consultation is required. If your proposal has not required a consultation, please highlight this here. Consultations will help you identify what the potential impact of your proposal might be.</i>                                  |
| <b>3.2</b> | <b>What might the potential impact on individuals or groups be?</b><br><i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i>  |
|            | <i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i> |

**SECTION 4: REDUCING & MITIGATING IMPACT**

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| <b>4.1</b>   | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|--|---|--|--|--|--|--------------------------|-----------------------------|---|--------------------------|--|---|--------------------------|--------------------------------------|--|--|--|---|--|
|  | <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr style="background-color: #F4C08E;"> <th style="width: 45%; padding: 5px;">Column A – Issues or barriers, things to take into account</th> <th style="width: 55%; padding: 5px;">Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).</th> </tr> </thead> <tbody> <tr><td style="height: 30px;"></td><td></td></tr> <tr> <td style="padding: 5px;"><i>Enter additional rows if require</i></td> <td></td> </tr> </tbody> </table>  |  | Column A – Issues or barriers, things to take into account | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  | <i>Enter additional rows if require</i> |  |
| Column A – Issues or barriers, things to take into account | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  |   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  |   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  |   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  |   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  |   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  |   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <i>Enter additional rows if require</i>                    |   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <b>4.2</b>   | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>   |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|  | <table border="1" style="width: 100%; border-collapse: collapse;"> <tbody> <tr> <td style="width: 5%; text-align: center; vertical-align: top;"><input type="checkbox"/></td> <td style="width: 35%; padding: 5px;"><b>1. No major change (no impacts identified)</b></td> <td style="padding: 5px;">Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.</td> </tr> <tr> <td style="text-align: center; vertical-align: top;"><input type="checkbox"/></td> <td style="padding: 5px;"><b>2. Adjust the policy</b></td> <td style="padding: 5px;">You will take steps to remove barriers or to better advance equality.</td> </tr> <tr> <td style="text-align: center; vertical-align: top;"><input type="checkbox"/></td> <td style="padding: 5px;"><b>3. Continue the policy (impacts identified)</b></td> <td style="padding: 5px;">You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.</td> </tr> <tr> <td style="text-align: center; vertical-align: top;"><input type="checkbox"/></td> <td style="padding: 5px;"><b>4. Stop and remove the policy</b></td> <td style="padding: 5px;">There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.</td> </tr> </tbody> </table> |  | <input type="checkbox"/>                                   | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. | <input type="checkbox"/> | <b>2. Adjust the policy</b> | You will take steps to remove barriers or to better advance equality. | <input type="checkbox"/> | <b>3. Continue the policy (impacts identified)</b> | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified. | <input type="checkbox"/> | <b>4. Stop and remove the policy</b> | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating. |  |  |   |  |
| <input type="checkbox"/>                                   | <b>1. No major change (no impacts identified)</b>   | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>                                   | <b>2. Adjust the policy</b>   | You will take steps to remove barriers or to better advance equality.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
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| <input type="checkbox"/>                                   | <b>4. Stop and remove the policy</b>  | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |

| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 706</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER****SIGNATURE:** .....**FULL NAME:** Adam Warnes.**UNIT:** Parking Services**EMAIL & TELEPHONE EXT:** [awarnes@westminster.gov.uk](mailto:awarnes@westminster.gov.uk) / x4074.**DATE (DD/MM/YYYY):** 18/08/2017.**WHAT NEXT?**

It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.

All EIAs for proposed changes to levels of service arising from budget proposals must be completed by **2 September 2016**.

All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

|   |
|---|
| Title   |
| <b>5.17 Direct Deployment of Parking Marshals</b>   |
| <p>What are you analysing?</p> <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>  |
| <p>Parking Services' People &amp; Resources contract with NSL Ltd, which amongst other things provides on-street Marshals and equipment, runs until June 2018, with provision to extend until June 2020.</p> <p>As part of extension negotiations with NSL to deliver savings on the current contract, discussions are taking place for NSL to deploy the on-street Marshals in a smarter way. The service currently procures around 400,000 hours of employed Marshalling hours p/a at an annual contractual cost of approx. £6m. However around 15-20% of all employed hours are 'lost' due to travel time.</p> <p>It is therefore proposed that a significant cost saving could be made by deploying Marshals directly to their beat from home. The number of deployed hours would thus be unaffected but the number of employed hours would reduce significantly.</p> |
| Details of the lead person completing the screening/EIA   |
| <p>(ii) Full Name: Darren Montague</p> <p>(ii) Position: Service Implementation Manager</p> <p>(iii) Unit: Parking Services</p> <p>(iii) Contact Details: <a href="mailto:dmontague@westminster.gov.uk">dmontague@westminster.gov.uk</a> / x2293</p>  |
| Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a>   |
| 18/08/2017  |
| Version number and date of update   |
| V1.0 – 18/08/17   |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |   |                          |                          |                          |
|---|--|---|--------------------------|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |   |                          |                          |                          |
|   |  | <b>None</b>   | <b>Positive</b>          | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <b>X</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <b>X</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <b>X</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <b>X</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <b>X</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <b>X</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <b>X</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <b>X</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  | <b>X</b>  | <input type="checkbox"/> | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |   |                          |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |   |                          |                          |                          |
|   | <b>None/ Minimal</b>   | <b>Significant</b>  |                          |                          |                          |
|   | <b>X</b>   | <input type="checkbox"/>  |                          |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |   |                          |                          |                          |

|            |   |
|------------|---|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>  |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>   |
| <b>1.4</b> | <b>How have you come to this decision?</b>  |
|            | <p>No disproportionate negative impacts identified for any particular group.</p> <p>Instead of travelling from home to a base to then travel to a beat, staff would just directly travel to their beat.</p> |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|   |   |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
|---|---|---|--|-----|--|------------|--|--------|--|------|--|--------------------|--|--------------------|--|
| <b>2.1</b>  | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b> <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul>   |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
|   | <table border="1"> <tr> <td data-bbox="264 633 770 786">How many people use the service currently? What is this as a % of Westminster's population?</td> <td data-bbox="770 633 1525 786"></td> </tr> <tr> <td data-bbox="264 786 770 880">Age</td> <td data-bbox="770 786 1525 880"></td> </tr> <tr> <td data-bbox="264 880 770 974">Disability</td> <td data-bbox="770 880 1525 974"></td> </tr> <tr> <td data-bbox="264 974 770 1068">Gender</td> <td data-bbox="770 974 1525 1068"></td> </tr> <tr> <td data-bbox="264 1068 770 1162">Race</td> <td data-bbox="770 1068 1525 1162"></td> </tr> <tr> <td data-bbox="264 1162 770 1256">Religion or belief</td> <td data-bbox="770 1162 1525 1256"></td> </tr> <tr> <td data-bbox="264 1256 770 1350">Sexual orientation</td> <td data-bbox="770 1256 1525 1350"></td> </tr> </table> | How many people use the service currently? What is this as a % of Westminster's population? |  | Age |  | Disability |  | Gender |  | Race |  | Religion or belief |  | Sexual orientation |  |
| How many people use the service currently? What is this as a % of Westminster's population? |   |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| Age   |   |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| Disability  |   |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| Gender  |   |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| Race  |   |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| Religion or belief  |   |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| Sexual orientation  |   |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| <b>2.2</b>  | <b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population? <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></b>   |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
|   | <p><i>If yes, provide details.</i></p>  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |

|            |   |
|------------|---|
| <b>2.3</b> | <b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i> |
|            | <i>If yes, provide details.</i>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |   |
|------------|---|
| <b>3.1</b> | <b>Consultation Information</b><br><i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i>   |
|            | <i>It is helpful to identify whether you have conducted any consultations for your proposal, in some cases a statutory consultation is required. If your proposal has not required a consultation, please highlight this here. Consultations will help you identify what the potential impact of your proposal might be.</i>                                  |
| <b>3.2</b> | <b>What might the potential impact on individuals or groups be?</b><br><i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i>  |
|            | <i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i> |



| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 715</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER****SIGNATURE:** .....**FULL NAME:** Adam Warnes.**UNIT:** Parking Services**EMAIL & TELEPHONE EXT:** [awarnes@westminster.gov.uk](mailto:awarnes@westminster.gov.uk) / x4074.**DATE (DD/MM/YYYY):** 18/08/2017.**WHAT NEXT?**

It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.

All EIAs for proposed changes to levels of service arising from budget proposals must be completed by **2 September 2016**.

All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

|   |
|---|
| <b>Title</b>  |
| <b>5.18 Parking: Business Processing and Technology Contract Review</b>   |
| <p>What are you analysing?</p> <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>  |
| <p>Westminster City Council has a reputation as a leader in delivering innovation in parking services. Parking is an ever-changing environment, and we constantly seek new ways of working, using new technologies to make use of the finite amount of space we have on our streets, all with the objective of delivering an easy, safe and fair parking service for our customers.</p> <p>The transformation of the Parking Service in 2014 saw a number of contracts consolidated into two main contracts: People and Resources (P&amp;R) and Business Processing and Technology (BP&amp;T), both delivered through NSL Ltd.</p> <p>Parking Services' aim was to provide a fully integrated service by seeking to procure solutions capable of providing services beyond 2014 and into the future. In terms of BP&amp;T, the Council wished to re-define how the Parking Service was delivered and introduced new operating models for managing the kerbside and the back office functions that used best practice and innovative solutions to deliver services to our residents, visitors and businesses alike, with a strong focus on self-serve.</p> <p>However one innovative solution procured within BP&amp;T was the IBM Intelligent Operations Centre tool (IOC). The tool, finally delivered, offers little operational benefit and no enhancement of the customer experience. It is therefore proposed that this technology systems and its associated hosting architecture be removed from the contract through change control procedures and in the process reduce unnecessary maintenance and licensing costs.</p> |
| <b>Details of the lead person completing the screening/EIA</b>  |
| <p>(iii) Full Name: Darren Montague</p> <p>(ii) Position: Service Implementation Manager</p> <p>(iii) Unit: Parking Services</p> <p>(iv) Contact Details: <a href="mailto:dmontague@westminster.gov.uk">dmontague@westminster.gov.uk</a> / x2293</p>  |
| <b>Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a></b>  |
| 18/08/2017  |
| <b>Version number and date of update</b>  |
| V1.0 – 18/08/17   |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |             |   |                          |                          |
|---|--|-------------|---|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |             |   |                          |                          |
|   |  | <b>None</b> | <b>Positive</b>   | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <b>X</b>    | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <b>X</b>    | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <b>X</b>    | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <b>X</b>    | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <b>X</b>    | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <b>X</b>    | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <b>X</b>    | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <b>X</b>    | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  | <b>X</b>    | <input type="checkbox"/>  | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |             |   |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |             |   |                          |                          |
|   | <b>None/ Minimal</b>   |             | <b>Significant</b>  |                          |                          |
|   | <b>X</b>   |             | <input type="checkbox"/>  |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         |             | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |             |   |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>   |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | <p>No negative impacts identified.</p> <p>The changes proposed would have no detrimental impact on customers.</p> <p>The proposed changes would have no TUPE implications for NSL staff.</p> |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|   |   |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
|---|---|--|---|--|-----|--|------------|--|--------|--|------|--|--------------------|--|--------------------|--|
| <b>2.1</b>  | <p><b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b></p> <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul>  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
|   | <table border="1"> <tr> <td data-bbox="266 633 770 786">How many people use the service currently? What is this as a % of Westminster's population?</td> <td data-bbox="774 633 1516 786"></td> </tr> <tr> <td data-bbox="266 790 770 880">Age</td> <td data-bbox="774 790 1516 880"></td> </tr> <tr> <td data-bbox="266 884 770 974">Disability</td> <td data-bbox="774 884 1516 974"></td> </tr> <tr> <td data-bbox="266 978 770 1068">Gender</td> <td data-bbox="774 978 1516 1068"></td> </tr> <tr> <td data-bbox="266 1072 770 1162">Race</td> <td data-bbox="774 1072 1516 1162"></td> </tr> <tr> <td data-bbox="266 1167 770 1256">Religion or belief</td> <td data-bbox="774 1167 1516 1256"></td> </tr> <tr> <td data-bbox="266 1261 770 1350">Sexual orientation</td> <td data-bbox="774 1261 1516 1350"></td> </tr> </table> |  | How many people use the service currently? What is this as a % of Westminster's population? |  | Age |  | Disability |  | Gender |  | Race |  | Religion or belief |  | Sexual orientation |  |
| How many people use the service currently? What is this as a % of Westminster's population? |   |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| Age   |   |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| Disability  |   |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| Gender  |   |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| Race  |   |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| Religion or belief  |   |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| Sexual orientation  |   |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| <b>2.2</b>  | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></p>  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
|   | <p><i>If yes, provide details.</i></p>  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |

|            |   |
|------------|---|
| <b>2.3</b> | <b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i> |
|            | <i>If yes, provide details.</i>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |   |
|------------|---|
| <b>3.1</b> | <b>Consultation Information</b><br><i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i>   |
|            | <i>It is helpful to identify whether you have conducted any consultations for your proposal, in some cases a statutory consultation is required. If your proposal has not required a consultation, please highlight this here. Consultations will help you identify what the potential impact of your proposal might be.</i>                                  |
| <b>3.2</b> | <b>What might the potential impact on individuals or groups be?</b><br><i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i>  |
|            | <i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i> |

## SECTION 4: REDUCING & MITIGATING IMPACT

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| 4.1 | Where you have identified an impact, what can be done to reduce or mitigate the impact? (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |   |
|-----|---|---|
|     | Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.                         |   |
|     | <b>Column A – Issues or barriers, things to take into account</b>   | <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |
|     |   |   |
|     |   |   |
|     |   |   |
|     |   |   |
|     |   |   |
|     | <i>Enter additional rows if require</i>   |   |
| 4.2 | Now that you have considered the potential or actual effect on equality, what action are you taking?  |   |
|     | <input type="checkbox"/> 1. No major change (no impacts identified)   | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups.                                      |
|     | <input type="checkbox"/> 2. Adjust the policy   | You will take steps to remove barriers or to better advance equality.   |
|     | <input type="checkbox"/> 3. Continue the policy (impacts identified)  | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.   |
|     | <input type="checkbox"/> 4. Stop and remove the policy  | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.  |

| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 724</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER****SIGNATURE:** .....**FULL NAME:** Adam Warnes.**UNIT:** Parking Services**EMAIL & TELEPHONE EXT:** [awarnes@westminster.gov.uk](mailto:awarnes@westminster.gov.uk) / x4074.**DATE (DD/MM/YYYY):** 18/08/2017.**WHAT NEXT?**

It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.

All EIAs for proposed changes to levels of service arising from budget proposals must be completed by **2 September 2016**.

All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

|   |
|---|
| <b>Title</b>  |
| <b>5.19 Pay-to-Park Benchmarking</b>  |
| <p>What are you analysing?</p> <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>  |
| <p>The RingGo pay-to-park system is provided by Cobalt via the Business Processing and Technology (BP&amp;T) contract the Council has with NSL Ltd. As part of this contract, the Council pay Cobalt an 11.685p transaction charge for every pay-to-park transaction made through the RingGo service, including amendments and cancellations. This is separate and in addition to the Council paying a payment service provider fee as well as a merchant acquiring fee, which varies depending on the type of card used: debit or credit.</p> <p>Since the procurement of the contract, PaybyPhone (our previous supplier) have been purchased by the VW Group and there have been a number of new entrants into the market, notably Passport and Just Park. Intelligence from recent market procurement activity suggests that the transaction market rate has fallen significantly in this time and Cobalt's rate is no longer considered competitive, especially given the volume of transactions experienced in Westminster.</p> <p>The Council therefore are invoking a contractual clause within the BP&amp;T contract to activate a market benchmarking exercise. This will force the incumbent supplier to match the market rate derived from the exercise, lest we are then able to change supplier.</p> <p>This exercise is expected to reduce the current transaction costs by up to 33%.</p> |
| <b>Details of the lead person completing the screening/EIA</b>  |
| <p>(i) Full Name: Darren Montague</p> <p>(ii) Position: Service Implementation Manager</p> <p>(iii) Unit: Parking Services</p> <p>(iv) Contact Details: <a href="mailto:dmontague@westminster.gov.uk">dmontague@westminster.gov.uk</a> / x2293</p>  |
| <b>Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a></b>  |
| 18/08/2017  |
| <b>Version number and date of update</b>  |
| V1.0 – 18/08/17   |

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |   |                          |                          |                          |
|---|--|---|--------------------------|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |   |                          |                          |                          |
|   |  | <b>None</b>   | <b>Positive</b>          | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <b>X</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <b>X</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <b>X</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <b>X</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <b>X</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <b>X</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <b>X</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <b>X</b>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  | <b>X</b>  | <input type="checkbox"/> | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |   |                          |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |   |                          |                          |                          |
|   | <b>None/ Minimal</b>   | <b>Significant</b>  |                          |                          |                          |
|   | <b>X</b>   | <input type="checkbox"/>  |                          |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |   |                          |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b> |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | This is a contractual arrangement that has no impact, disproportionate or otherwise, on any of the listed groups.                    |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|   |   |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
|---|---|---|--|-----|--|------------|--|--------|--|------|--|--------------------|--|--------------------|--|
| 2.1   | <p><b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b></p> <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul>  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
|   | <table border="1"> <tr> <td data-bbox="264 633 770 786">How many people use the service currently? What is this as a % of Westminster's population?</td> <td data-bbox="770 633 1514 786"></td> </tr> <tr> <td data-bbox="264 786 770 880">Age</td> <td data-bbox="770 786 1514 880"></td> </tr> <tr> <td data-bbox="264 880 770 974">Disability</td> <td data-bbox="770 880 1514 974"></td> </tr> <tr> <td data-bbox="264 974 770 1068">Gender</td> <td data-bbox="770 974 1514 1068"></td> </tr> <tr> <td data-bbox="264 1068 770 1162">Race</td> <td data-bbox="770 1068 1514 1162"></td> </tr> <tr> <td data-bbox="264 1162 770 1256">Religion or belief</td> <td data-bbox="770 1162 1514 1256"></td> </tr> <tr> <td data-bbox="264 1256 770 1350">Sexual orientation</td> <td data-bbox="770 1256 1514 1350"></td> </tr> </table> | How many people use the service currently? What is this as a % of Westminster's population? |  | Age |  | Disability |  | Gender |  | Race |  | Religion or belief |  | Sexual orientation |  |
| How many people use the service currently? What is this as a % of Westminster's population? |   |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| Age   |   |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| Disability  |   |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| Gender  |   |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| Race  |   |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| Religion or belief  |   |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| Sexual orientation  |   |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| 2.2   | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></p>  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
|   | <p><i>If yes, provide details.</i></p>  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |

|            |   |
|------------|---|
| <b>2.3</b> | <b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i> |
|            | <i>If yes, provide details.</i>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |   |
|------------|---|
| <b>3.1</b> | <b>Consultation Information</b><br><i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i>   |
|            | <i>It is helpful to identify whether you have conducted any consultations for your proposal, in some cases a statutory consultation is required. If your proposal has not required a consultation, please highlight this here. Consultations will help you identify what the potential impact of your proposal might be.</i>                                  |
| <b>3.2</b> | <b>What might the potential impact on individuals or groups be?</b><br><i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i>  |
|            | <i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i> |

## SECTION 4: REDUCING & MITIGATING IMPACT

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| 4.1   | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).  |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|---|---|--|---|---|--|--------------------------|-----------------------------|---|--------------------------|--|---|--------------------------|--------------------------------------|--|--|--|---|--|
|   | <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p> <table border="1" data-bbox="264 689 1538 1384"> <thead> <tr> <th data-bbox="264 689 746 831"> <b>Column A – Issues or barriers, things to take into account</b> </th> <th data-bbox="746 689 1538 831"> <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).           </th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr> <td data-bbox="264 1294 746 1384"><i>Enter additional rows if require</i></td> <td data-bbox="746 1294 1538 1384"> </td> </tr> </tbody> </table>  |  | <b>Column A – Issues or barriers, things to take into account</b> | <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  | <i>Enter additional rows if require</i> |  |
| <b>Column A – Issues or barriers, things to take into account</b> | <b>Column B – what changes can be made to remove or reduce barriers or negative impacts</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <i>Enter additional rows if require</i>                           |   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| 4.2   | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>   |  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   | <table border="1" data-bbox="264 1592 1538 2029"> <tbody> <tr> <td data-bbox="264 1592 371 1749"> <input type="checkbox"/> </td> <td data-bbox="371 1592 719 1749"> <b>1. No major change (no impacts identified)</b> </td> <td data-bbox="719 1592 1538 1749">           Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.         </td> </tr> <tr> <td data-bbox="264 1749 371 1832"> <input type="checkbox"/> </td> <td data-bbox="371 1749 719 1832"> <b>2. Adjust the policy</b> </td> <td data-bbox="719 1749 1538 1832">           You will take steps to remove barriers or to better advance equality.         </td> </tr> <tr> <td data-bbox="264 1832 371 1951"> <input type="checkbox"/> </td> <td data-bbox="371 1832 719 1951"> <b>3. Continue the policy (impacts identified)</b> </td> <td data-bbox="719 1832 1538 1951">           You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.         </td> </tr> <tr> <td data-bbox="264 1951 371 2029"> <input type="checkbox"/> </td> <td data-bbox="371 1951 719 2029"> <b>4. Stop and remove the policy</b> </td> <td data-bbox="719 1951 1538 2029">           There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.         </td> </tr> </tbody> </table> |  | <input type="checkbox"/>  | <b>1. No major change (no impacts identified)</b>   | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. | <input type="checkbox"/> | <b>2. Adjust the policy</b> | You will take steps to remove barriers or to better advance equality. | <input type="checkbox"/> | <b>3. Continue the policy (impacts identified)</b> | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified. | <input type="checkbox"/> | <b>4. Stop and remove the policy</b> | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating. |  |  |   |  |
| <input type="checkbox"/>  | <b>1. No major change (no impacts identified)</b>   | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>2. Adjust the policy</b>   | You will take steps to remove barriers or to better advance equality.  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>3. Continue the policy (impacts identified)</b>  | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.  |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>4. Stop and remove the policy</b>  | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |   |   |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |

| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|  |                                   |                          |                  |                  |                                      |                            |     |  |
|--|-----------------------------------|--------------------------|------------------|------------------|--------------------------------------|----------------------------|-----|--|
| <p><b>5.1</b></p> <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |                                   |                          |                  |                  |                                      |                            |     |  |
| Page 733   | Action Required                   | Equality Groups Targeted | Intended outcome | Resources Needed | Name of Lead, Unit & Contact Details | Completion Date (DD/MM/YY) | RAG |  |
|  |                                   |                          |                  |                  |                                      |                            |     |  |
|  |                                   |                          |                  |                  |                                      |                            |     |  |
|  |                                   |                          |                  |                  |                                      |                            |     |  |
|  |                                   |                          |                  |                  |                                      |                            |     |  |
|  | Enter additional rows if required |                          |                  |                  |                                      |                            |     |  |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER****SIGNATURE:** .....**FULL NAME:** Adam Warnes.**UNIT:** Parking Services**EMAIL & TELEPHONE EXT:** [awarnes@westminster.gov.uk](mailto:awarnes@westminster.gov.uk) / x4074.**DATE (DD/MM/YYYY):** 18/08/2017.**WHAT NEXT?**

It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.

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All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

| Title  |
|--|
| <p><b>5.20 Bay Suspension Relocation Service</b></p> <p>What are you analysing?</p> <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended and why is it needed?</li> </ul>  |
| <p>Since the cessation of the vehicle removals service in 2008, WCC has employed a policy of vehicle relocation which allows for vehicles contravening parking contraventions to be relocated to a nearby location where this is deemed necessary or appropriate, at no cost to the owner/driver of the vehicle.</p> <p>A contract was let for this service in July 2016 to Mansfield Group. This contract provides a dedicated relocations vehicle available within the borough Mon–Sat 08:30-14.30. Outside of these hours WCC can call in extra relocation resources for emergencies and to cover scheduled Special Events and other departmental work such as the tree pruning.</p> <p>The provision of this service allows vehicles that are contravening parking regulations to be relocated to a more suitable parking space allowing WCC to carry out its core functions under the Traffic Management Act 2004 to secure the expeditious movement of traffic on the authority's road network.</p> <p>The relocation service is commonly used to relocate vehicles parked in contravention of bays that have been suspended. This service, which is free to the motorist, operates on a priority basis meaning that there is no guarantee that we can always depend on the vehicle being available for use at any specific location at any given time. Where customers are unable to access bays they have suspended for a particular purpose this inconveniences them and regular bay users (e.g. residents), and can result in not insignificant costs to both themselves and WCC.</p> <p>Anecdotally some customers would be willing to pay a premium on top of the standard suspensions charges to guarantee the use of a relocation truck with an SLA for removal. This proposal is therefore looking to provide this additional service and generate additional income on top of the &gt;£20m p/a already generated by the suspensions service.</p> |
| <p>Details of the lead person completing the screening/EIA</p>   |
| <p>(iv) Full Name: Darren Montague</p> <p>(ii) Position: Service Implementation Manager</p> <p>(iii) Unit: Parking Services</p> <p>(iv) Contact Details: <a href="mailto:dmontague@westminster.gov.uk">dmontague@westminster.gov.uk</a> / x2293</p>  |
| <p>Date sent to <a href="mailto:Equalities@westminster.gov.uk">Equalities@westminster.gov.uk</a></p>   |
| <p>18/08/2017</p>  |
| <p>Version number and date of update</p>   |
| <p>V1.0 – 18/08/17</p>   |

## SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

| 1.1 | Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative? |  |                          |                          |                          |
|-----|---|--|--------------------------|--------------------------|--------------------------|
|     |   | <b>None</b>  | <b>Positive</b>          | <b>Negative</b>          | <b>Not sure</b>          |
|     | Disabled people   | <input type="checkbox"/>   | <b>X</b>                 | <b>X</b>                 | <input type="checkbox"/> |
|     | Particular ethnic groups  | <b>X</b>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|     | Men or women (include impacts due to pregnancy/ maternity)  | <b>X</b>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|     | People or particular sexual orientation/s   | <b>X</b>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|     | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment                                     | <b>X</b>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|     | People on low incomes   | <b>X</b>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|     | People in particular age groups   | <b>X</b>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|     | Groups with particular faiths and beliefs   | <b>X</b>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|     | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?   | <b>X</b>   | <input type="checkbox"/> | <input type="checkbox"/> |                          |
|     | <b>If the answer is “negative” or “unclear” consider doing a full EIA</b>   |  |                          |                          |                          |
| 1.2 | What do you think that the overall NEGATIVE impact on groups and communities will be?   |  |                          |                          |                          |
|     | <b>None/ Minimal</b>  | <b>Significant</b>   |                          |                          |                          |
|     | <b>X</b>  | <input type="checkbox"/>   |                          |                          |                          |
|     | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                  | Significant impact would be where there is an impact identified that has substantial impact on any groups. |                          |                          |                          |
|     | <b>If the answer is “significant” consider doing a full EIA</b>   |  |                          |                          |                          |

|            |  |
|------------|--|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>   |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |
| <b>1.4</b> | <b>How have you come to this decision?</b>   |
|            | <p>Only very minimal financial impact.</p> <p>The provision of this service relates to the relocation of motor vehicles which are parked in contravention of the parking regulations. The relocation service itself has been the subject of a separate EIA in August 2016.</p> <p>The vehicles that are relocated are placed on the street at a site as near as possible to where the vehicle was found and within the WCC boundary area. Details of relocated vehicles are updated to London Councils' TRACE system which motorists contact to ascertain the status and location of the relocated vehicle. Should the motorist fear that their vehicle has been stolen, the Police will advise that a TRACE check be made in the first instance.</p> <p>No financial charge is made against any individual for vehicle relocation, it is just used as a means to free up road space that is needed for other reasons, in this case a pre-paid and pre-arranged bay suspension. Vehicles are therefore only relocated in certain, limited circumstances.</p> <p>The only potential negative impact identified through this EIA was relating to disabled people. However should a disabled driver park in contravention in a suspended bay WCC operate a policy that if a vehicle is displaying a disabled badge it is not to be relocated unless absolutely necessary and all steps to trace the owner/driver should be made before relocation. However the service can also conversely act as a positive for disabled people in the sense that should they be suspending a bay for any reason, for an extra charge this proposal could then guarantee them access to that space.</p> <p>People on low incomes could theoretically be disproportionately affected by the proposals in the sense that this extra service would be chargeable. However, it is expected that for each individual suspension the financial impact of these proposals be minimal and in reality would only affect those already paying to suspended a bay or bays. This element of the EIA has therefore been marked as 'no impact'.</p> <p>This proposal has no TUPE implications or redundancies of existing staff.</p> |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|   |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
|---|--|---|--|-----|--|------------|--|--------|--|------|--|--------------------|--|--------------------|--|
| <b>2.1</b>  | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b> <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul>  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
|   | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 45%; padding: 5px;">How many people use the service currently? What is this as a % of Westminster’s population?</td> <td style="width: 55%;"></td> </tr> <tr> <td style="padding: 5px;">Age</td> <td></td> </tr> <tr> <td style="padding: 5px;">Disability</td> <td></td> </tr> <tr> <td style="padding: 5px;">Gender</td> <td></td> </tr> <tr> <td style="padding: 5px;">Race</td> <td></td> </tr> <tr> <td style="padding: 5px;">Religion or belief</td> <td></td> </tr> <tr> <td style="padding: 5px;">Sexual orientation</td> <td></td> </tr> </table> | How many people use the service currently? What is this as a % of Westminster’s population? |  | Age |  | Disability |  | Gender |  | Race |  | Religion or belief |  | Sexual orientation |  |
| How many people use the service currently? What is this as a % of Westminster’s population? |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| Age   |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| Disability  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| Gender  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| Race  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| Religion or belief  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| Sexual orientation  |  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
| <b>2.2</b>  | <b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster’s population is on the Equalities page on the WIRE.</i>  |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |
|   | <p><i>If yes, provide details.</i></p>   |   |  |     |  |            |  |        |  |      |  |                    |  |                    |  |

|            |   |
|------------|---|
| <b>2.3</b> | <b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i> |
|            | <i>If yes, provide details.</i>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |   |
|------------|---|
| <b>3.1</b> | <b>Consultation Information</b><br><i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i>   |
|            | <i>It is helpful to identify whether you have conducted any consultations for your proposal, in some cases a statutory consultation is required. If your proposal has not required a consultation, please highlight this here. Consultations will help you identify what the potential impact of your proposal might be.</i>                                  |
| <b>3.2</b> | <b>What might the potential impact on individuals or groups be?</b><br><i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i>  |
|            | <i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i> |



| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|                   |  |  |                                |                                |  |  |                   |
|-------------------|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p> | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p>Page 742</p>   | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|                   |  |  |                                |                                |  |  |                   |
|                   |  |  |                                |                                |  |  |                   |
|                   |  |  |                                |                                |  |  |                   |
|                   |  |  |                                |                                |  |  |                   |
|                   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER****SIGNATURE:** .....**FULL NAME:** Adam Warnes.**UNIT:** Parking Services**EMAIL & TELEPHONE EXT:** [awarnes@westminster.gov.uk](mailto:awarnes@westminster.gov.uk) / x4074.**DATE (DD/MM/YYYY):** 18/08/2017.**WHAT NEXT?**

It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.

All EIAs for proposed changes to levels of service arising from budget proposals must be completed by **2 September 2016**.

All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

Title

## 5.21 Temporary Structures Charging Review

What are you analysing?

- What is the purpose of the policy/project/activity/strategy?
- In what context will it operate?
- Who is it intended to benefit?
- What results are intended?
- Why is it needed?

Road Management has a £150k MTP target associated with charging building contractors for routine cleansing of gullies in a proximity to their sites. While we have always checked for clearly blocked gullies around sites, as both part of our routine highway inspection works and the scheduled inspections of the licenced structures of a site, we have never proactively undertaken cleanses and investigation of the actual inner-workings of gullies that could be affected by poor working practices by the builders. Gullies are susceptible to damage from builders due to the nature of the works and the materials that they use. It is all too easy for those working on building sites to wash concrete run-off or silt/sand down our gullies. We hold sites accountable for the mess they leave on a daily basis so to avoid failing to keep the highway clean an inconsiderate builder could see it as an easy option to flush material away; out of sight, out of mind. However this material can cause blockages within our gullies that may not manifest for some time, perhaps even years after they have completed their works.

What our new proposal aims to achieve is to close this gap whereby subterranean damage goes undetected and our residents suffer from poorly functioning assets which have to be repaired at public expense.

The simplest way to implement this process is through a surcharge to each highway licence to cover the costs of our works with an update to the process to ensure that the pre-works inspections identify each potentially affected gully that will need to be treated. This has the added benefit that gullies would be inspected and cleaned at every renewal of a licence in addition to the start/end of the period of building activity.

The uplift to the Licences will apply to all applicants. The size of the increase is proposed to be set at two levels depending on whether the site falls into our existing small or large licence categories. It is proposed that we will make an assumption as to the average number of gullies affected by both small sites and large sites when deciding the suitable increase for each category. The costs for the service will be apportioned to ensure that larger sites pay proportionally more than smaller sites. This will pass the greater costs onto the large developers undertaking significant works and subsidise the impact on residents or businesses undertaking minor works.

This proposed change will enable the Council to improve the functionality of our gullies and ensure that developers and contractors meet their social responsibility duties to their neighbours and passing road-users.

Details of the lead person completing the screening/EIA

- (v) Full Name: Jonathan Rowing
- (ii) Position: Head of Road Management
- (iii) Unit: Highways and Public Realm/CM&C
- (iv) Contact Details: jrowing@westminster.gov.uk

Date sent to [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

18/08/2017

Version number and date of update

**V1.0 18<sup>th</sup> August 2017**

*You will need to update your EIA as you move through the decision-making process. Record the version number here and the date you updated the EIA. Keep all versions so you have evidence that you have considered equality throughout the process.*

**SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?**

Not all proposals will require an EIA, this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

|   |  |   |                          |                          |                          |
|---|--|---|--------------------------|--------------------------|--------------------------|
| <b>1.1</b>  | <b>Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative?</b> |   |                          |                          |                          |
|   |  | <b>None</b>   | <b>Positive</b>          | <b>Negative</b>          | <b>Not sure</b>          |
|   | Disabled people  | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Particular ethnic groups   | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Men or women (include impacts due to pregnancy/ maternity)   | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People or particular sexual orientation/s  | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment  | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People on low incomes  | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | People in particular age groups  | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Groups with particular faiths and beliefs  | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|   | Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?  |   | <input type="checkbox"/> | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b> |  |   |                          |                          |                          |
| <b>1.2</b>  | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |   |                          |                          |                          |
|   | <b>None/ Minimal</b>   | <b>Significant</b>  |                          |                          |                          |
|   | <input checked="" type="checkbox"/>  | <input type="checkbox"/>  |                          |                          |                          |
|   | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.                         | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |                          |                          |                          |
| <b>If the answer is “significant” consider doing a full EIA</b>           |  |   |                          |                          |                          |

|            |   |
|------------|---|
| <b>1.3</b> | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>  |
|            | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>   |
| <b>1.4</b> | <b>How have you come to this decision?</b>  |
|            | The proposal is City Wide and aims to improve the public amenity for all road users though better management of the highway at the cost of those organisations potentially causing it damage. |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|            |  |  |
|------------|--|--|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |  |
|            | <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul> |  |
|            | How many people use the service currently? What is this as a % of Westminster's population?  |  |
|            | Age  |  |
|            | Disability   |  |
|            | Gender   |  |
|            | Race   |  |
|            | Religion or belief   |  |
|            | Sexual orientation   |  |

|            |  |
|------------|--|
| <b>2.2</b> | <p><b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i></p> |
|            | <p><i>If yes, provide details.</i></p>   |
| <b>2.3</b> | <p><b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i></p>   |
|            | <p><i>If yes, provide details.</i></p>   |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>   |
|            | <p><i>It is helpful to identify whether you have conducted any consultations for your proposal, in some cases a statutory consultation is required. If your proposal has not required a consultation, please highlight this here. Consultations will help you identify what the potential impact of your proposal might be.</i></p>                                  |
| <b>3.2</b> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p>  |
|            | <p><i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i></p> |

**SECTION 4: REDUCING & MITIGATING IMPACT**

As a result of what you have learned, what can you do to minimise the impact of the proposed changes on equality groups and other excluded / vulnerable groups, as outlined above?

| <b>4.1</b>  | <b>Where you have identified an impact, what can be done to reduce or mitigate the impact?</b> (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|---|--|--|--|--|--|--------------------------|-----------------------------|---|--------------------------|--|---|--------------------------|--------------------------------------|--|--|--|---|--|
| <p>Consider what actions can be put in place to remove or reduce your identified impact(s). Record all potential actions to show you have considered all options. Please note if no mitigating actions have been identified.</p>  |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr style="background-color: #F4C49E;"> <th style="width: 45%; padding: 5px;">Column A – Issues or barriers, things to take into account</th> <th style="width: 55%; padding: 5px;">Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).</th> </tr> </thead> <tbody> <tr><td style="height: 30px;"></td><td></td></tr> <tr> <td style="padding: 5px;"><i>Enter additional rows if require</i></td> <td></td> </tr> </tbody> </table>   |  |  | Column A – Issues or barriers, things to take into account | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact). |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  | <i>Enter additional rows if require</i> |  |
| Column A – Issues or barriers, things to take into account  | Column B – what changes can be made to remove or reduce barriers or negative impacts (Remember to think about the Council as a whole, another service area may already be providing services which can help to deal with any negative impact).           |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
|   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <i>Enter additional rows if require</i>   |  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <b>4.2</b>  | <b>Now that you have considered the potential or actual effect on equality, what action are you taking?</b>  |  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <tbody> <tr> <td style="width: 5%; text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="width: 35%; background-color: yellow; padding: 5px;"><b>1. No major change (no impacts identified)</b></td> <td style="padding: 5px;">Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality &amp; foster good relations between groups.</td> </tr> <tr> <td style="text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="background-color: yellow; padding: 5px;"><b>2. Adjust the policy</b></td> <td style="padding: 5px;">You will take steps to remove barriers or to better advance equality.</td> </tr> <tr> <td style="text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="background-color: yellow; padding: 5px;"><b>3. Continue the policy (impacts identified)</b></td> <td style="padding: 5px;">You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.</td> </tr> <tr> <td style="text-align: center; vertical-align: middle;"><input type="checkbox"/></td> <td style="background-color: yellow; padding: 5px;"><b>4. Stop and remove the policy</b></td> <td style="padding: 5px;">There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.</td> </tr> </tbody> </table> |  |  | <input type="checkbox"/>                                   | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. | <input type="checkbox"/> | <b>2. Adjust the policy</b> | You will take steps to remove barriers or to better advance equality. | <input type="checkbox"/> | <b>3. Continue the policy (impacts identified)</b> | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified. | <input type="checkbox"/> | <b>4. Stop and remove the policy</b> | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating. |  |  |   |  |
| <input type="checkbox"/>  | <b>1. No major change (no impacts identified)</b>  | Your analysis demonstrates that the policy is robust and the evidence shows no potential for discrimination and you have taken all appropriate steps to advance equality & foster good relations between groups. |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>2. Adjust the policy</b>  | You will take steps to remove barriers or to better advance equality.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>3. Continue the policy (impacts identified)</b>   | You will adopt your proposal, despite any adverse effect provided you are satisfied that it does not unlawfully discriminate and it is justified.  |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |
| <input type="checkbox"/>  | <b>4. Stop and remove the policy</b>   | There are adverse effects that are not justified and cannot be mitigated. The policy is unlawfully discriminating.   |  |  |  |                          |                             |   |                          |  |   |                          |                                      |  |  |  |   |  |

|            |  |
|------------|--|
|            |  |
| <b>4.3</b> | <b>Please document the reasons for your decision</b> |
|            |  |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 752</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

**SIGNATURE:** .....

**FULL NAME:** .....

**UNIT:** .....

**EMAIL & TELEPHONE EXT:** .....

**DATE (DD/MM/YYYY):** .....

**WHAT NEXT?**

It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.

All EIAs for proposed changes to levels of service arising from budget proposals must be completed by 2 September 2016.

All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

| Title   |
|---|
| <b>5.22 Abnormal loads cost recovery</b>  |
| <p>What are you analysing?</p> <ul style="list-style-type: none"> <li>• What is the purpose of the policy/project/activity/strategy?</li> <li>• In what context will it operate?</li> <li>• Who is it intended to benefit?</li> <li>• What results are intended?</li> <li>• Why is it needed?</li> </ul>  |
| <p>This EIA covers proposed revenue saving by recovering costs to the Council for facilitating abnormal loads (e.g. cranes) through the review of existing charging arrangements.</p> <ul style="list-style-type: none"> <li>• <b>What is the purpose of the policy/project/activity/strategy?</b><br/>The purpose of this proposal is to ensure that the City Management and Communities Directorate is operating efficiently and effectively, providing a good customer service and meeting medium term savings targets.</li> <li>• <b>In what context will it operate?</b><br/>This Business Case will consider a series of options for full cost recovery whilst minimising the potential impact on the levels and quality of service. The proposal will have its own action plan, delivery lead and implementation process which will align with the wider full service review that is also currently taking place.</li> <li>• <b>What results are intended?</b><br/>The intended result of the proposals are : <ul style="list-style-type: none"> <li>○ To achieve a medium term saving in revenue funding of £100k in 2017/18</li> <li>○ To minimise impact on service levels</li> <li>○ To deliver where possible an improved customer service and minimise the impact on Westminster's Businesses, Residents and Visitors</li> </ul> </li> <li>• <b>Why is it needed?</b><br/>Central Government's reduction in funding will result in a significant drop in available funding for Local Authorities. As a consequence, revenue savings needs to be found across the Highways and Public Realm service within City Management and Communities for 2017/18 in order to help close this funding gap. Failure to achieve sufficient savings will lead to further structural problems within Westminster's overall budget.</li> <li>• <b>Who is it intended to benefit and how?</b><br/>The intended benefits will cover all of Westminster's Residents, Visitors and Workers.</li> <li>• <b>Who, potentially, could this project, policy or proposal have a detrimental effect on, and how?</b><br/>It is not envisaged that this will impact on anyone other than the service provider.</li> </ul> |
| <b>Details of the lead person completing the screening/EIA</b>  |
| <ul style="list-style-type: none"> <li>(i) Full Name: Kevin Goad</li> <li>(ii) Position: Interim Manager</li> <li>(iii) Unit: Highways and Public Realm</li> <li>(iv) Contact Details: 0207 641 1903</li> </ul>   |

Date sent to [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)

18/08/2017

Version number and date of update

**V2.0 August 2017**

## SECTION 1: Initial screening: Do you need to complete an Equality Impact Assessment (EIA)?

Not all proposals will require an EIA; this initial screening will help you decide if your project or policy requires a full EIA by looking at the potential impact on any equality groups.

| 1.1 Does the project, policy or proposal have the potential to disproportionately impact on any of the following groups? If so, is the impact positive or negative? |                                     |                          |                          |                          |
|---|-------------------------------------|--------------------------|--------------------------|--------------------------|
|   | None                                | Positive                 | Negative                 | Not sure                 |
| Disabled people   | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Particular ethnic groups  | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Men or women (include impacts due to pregnancy/ maternity)  | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| People or particular sexual orientation/s   | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| People who are proposing to undergo, are undergoing or have undergone a process or part of a process of gender reassignment   | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| People on low incomes   | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| People in particular age groups   | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Groups with particular faiths and beliefs   | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Are there any other groups that you think may be affected negatively or positively by this project, policy or proposal?   | <b>X</b>                            | <input type="checkbox"/> | <input type="checkbox"/> |                          |
| <b>If the answer is “negative” or “unclear” consider doing a full EIA</b>   |                                     |                          |                          |                          |

|  |  |                      |                    |                                     |                          |  |   |
|--|--|----------------------|--------------------|-------------------------------------|--------------------------|--|---|
| <b>1.2</b>   | <b>What do you think that the overall NEGATIVE impact on groups and communities will be?</b>   |                      |                    |                                     |                          |  |   |
|  | <table border="1" style="width: 100%;"> <tr> <td style="text-align: center;"><b>None/ Minimal</b></td> <td style="text-align: center;"><b>Significant</b></td> </tr> <tr> <td style="text-align: center;"><input checked="" type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups.</td> <td>Significant impact would be where there is an impact is identified that has substantial impact on any groups.</td> </tr> </table> <p style="text-align: center;"><b>If the answer is “significant” consider doing a full EIA</b></p> | <b>None/ Minimal</b> | <b>Significant</b> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups. | Significant impact would be where there is an impact is identified that has substantial impact on any groups. |
| <b>None/ Minimal</b>   | <b>Significant</b>   |                      |                    |                                     |                          |  |   |
| <input checked="" type="checkbox"/>  | <input type="checkbox"/>   |                      |                    |                                     |                          |  |   |
| None or minimal impact would be where there is no negative impact identified, or where there will be no change to the services for any groups. | Significant impact would be where there is an impact is identified that has substantial impact on any groups.  |                      |                    |                                     |                          |  |   |
| <b>1.3</b>   | <b>Using the screening information in questions 1.1 and 1.2, should a full EIA be carried out on the project, policy or proposal</b>   |                      |                    |                                     |                          |  |   |
|  | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>  |                      |                    |                                     |                          |  |   |
| <b>1.4</b>   | <b>How have you come to this decision?</b>   |                      |                    |                                     |                          |  |   |
|  |  |                      |                    |                                     |                          |  |   |

## **EQUALITY IMPACT ASSESSMENT**

### **SECTION 2: BUILDING AN EVIDENCE BASE**

|            |  |  |
|------------|--|--|
| <b>2.1</b> | <b>Build up a picture of who uses/will use your service or facility and identify who are likely to be impacted by the proposal</b>   |  |
|            | <ul style="list-style-type: none"> <li><i>If you do not formally collect data about a particular group then use the results of local surveys or consultations, census data, national trends or anecdotal evidence (indicate where this is the case). Please attempt to complete all boxes.</i></li> <li><i>A baseline of data is <a href="#">available here</a></i></li> </ul> |  |
|            | How many people use the service currently? What is this as a % of Westminster’s population?  | <b>A million visitors each day to Westminster will all interact at some point with the services linked to the proposals. This is 4.4 times the resident population</b> |
|            | Age  |  |
|            | Disability   |  |

|            |   |  |
|------------|---|--|
|            | Gender  |  |
|            | Race  |  |
|            | Religion or belief  |  |
|            | Sexual orientation  |  |
| <b>2.2</b> | <b>Are there any equality groups that are overrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the proposal may have a disproportionate impact on this group even if it is a universal service. Information about Westminster's population is on the Equalities page on the WIRE.</i> |  |
|            | <i>If yes, provide details.</i>   |  |
| <b>2.3</b> | <b>Are there any equality groups that are underrepresented in the monitoring information relative to their size of the population?</b> <i>If so, this could indicate that the service may not be accessible to all groups or there may be some form of direct or indirect discrimination occurring.</i>   |  |
|            | <i>If yes, provide details.</i>   |  |

### SECTION 3: ASSESSING THE IMPACT

In order to be able to identify ways to mitigate any potential impact it is essential that we know what those potential impacts might be.

|            |  |
|------------|--|
| <b>3.1</b> | <p><b>Consultation Information</b><br/> <i>This section should record the consultation activity undertaken in relation to this project, policy or proposal</i></p>   |
|            | <p>No consultation has been required to date but where the individual initiatives require consultation, this will take place with residents groups, disabled groups and any other group identified as affected.</p>  |
| <b>3.2</b> | <p><b>What might the potential impact on individuals or groups be?</b><br/> <i>Consider disability, race, gender, sexual orientation, transgender, age, faith or belief and those on low incomes and other excluded individuals or groups</i></p>  |
|            | <p><i>Using the evidence gathered in section 2 and any consultation activity highlighted in 3.1; explain what the potential impact of your proposal might be on the groups you have identified. You may wish to further supplement the evidence you have gathered in order to properly consider the impact. Please state when no impact has been identified.</i></p> |



| 4.3 | Please document the reasons for your decision |
|-----|---|
|     |   |

**SECTION 5: ACTION PLAN**

*This section is for actions related any of the 9 protected characteristic: Age, Disability, Gender, Gender reassignment; Pregnancy & maternity, Race, Sexual Orientation or Religion/Belief*

|   |  |  |                                |                                |  |  |                   |
|---|--|--|--------------------------------|--------------------------------|--|--|-------------------|
| <p><b>5.1</b></p>   | <p>Complete the action plan if you need to reduce or remove the negative impacts you have identified, take steps to foster good relations or fill data gaps.</p> <p><i>Please include the action required by your team/unit, groups affected, the intended outcome of your action, resources needed, a lead person responsible for undertaking the action (Inc. their department and contact details), the completion date for the action, and the relevant RAG rating: R(ed) – action not initiated, A(mber) – action initiated and in progress, G(reen) – action complete.</i></p> <p><b>NB. Add any additional rows, if required.</b></p> |  |                                |                                |  |  |                   |
| <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 761</p> | <p><b>Action Required</b></p>  | <p><b>Equality Groups Targeted</b></p> | <p><b>Intended outcome</b></p> | <p><b>Resources Needed</b></p> | <p><b>Name of Lead, Unit &amp; Contact Details</b></p> | <p><b>Completion Date (DD/MM/YY)</b></p> | <p><b>RAG</b></p> |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   |  |  |                                |                                |  |  |                   |
|   | <p><i>Enter additional rows if required</i></p>  |  |                                |                                |  |  |                   |

**THIS SECTION TO BE COMPLETED BY THE RELEVANT SERVICE MANAGER**

**SIGNATURE:** Kevin Goad

**FULL NAME:** Kevin Goad

**UNIT:** Highways and Public Realm

**EMAIL & TELEPHONE EXT:** [kgoad@westminster.gov.uk](mailto:kgoad@westminster.gov.uk) 1903

**DATE (DD/MM/YYYY):** 02/09/2016

**WHAT NEXT?**

It is the responsibility of the service to complete an EIA to the required standard and the quality and completeness of EIAs will be monitored by EMT.

All EIAs for proposed changes to levels of service arising from budget proposals must be completed by **2 September 2016**.

All completed EIAs should be sent to: [Equalities@westminster.gov.uk](mailto:Equalities@westminster.gov.uk)



## City of Westminster Cabinet

|                           |   |
|---------------------------|---|
| <b>Decision Maker:</b>    | <b>Cabinet</b>  |
| <b>Date</b>               | <b>19 February 2018</b>   |
| <b>Classification:</b>    | <b>For General Release</b>  |
| <b>Title:</b>             | <b>Capital Strategy 2018/19 to 2022/23, forecast position for 2017/18 and future years forecasts summarised up to 2031/32.</b>  |
| <b>Wards Affected:</b>    | <b>All</b>  |
| <b>Financial Summary:</b> | <b>This report outlines the City Council's Capital Strategy and proposed expenditure and income budgets from 2018/19 to 2022/23, forecast position for 2017/18 and future years' forecasts summarised up to 2031/32. It outlines the proposed £2.594bn expenditure budget, funded by £785.8m external funding, £438.6m capital receipts with a £1.369bn net funding requirement from 2017/18 to 2031/32. Funding of the proposed programme, revenue implications, and risks and mitigations are detailed.</b> |
| <b>The Report of:</b>     | <b>Steven Mair, City Treasurer</b><br><b>Tel: 020 7641 2904</b><br><b>Email: <a href="mailto:smair@westminster.gov.uk">smair@westminster.gov.uk</a></b>   |

## 1. Executive Summary

- 1.1. This report outlines the City Council's capital strategy and proposed expenditure and income budgets from 2018/19 to 2022/23, forecast position for 2017/18 and future years' forecasts summarised up to 2031/32. The Council has developed a significant, long-term capital strategy. This report includes the detail of this up to 2022/23 and also summarised information up to 2031/32 to clearly show the full quantum of expenditure commitments during this period. This is to ensure that the benefits the Council intends to deliver through the programme are financially viable in the long-term.
- 1.2. To facilitate effective planning of both capital and revenue budget, the capital strategy was considered by Cabinet at its October meeting. This report updates that strategy with the latest forecasts and projections over future years in light of monitoring undertaken in the intervening weeks. Forecasts are based on information received from individual project managers up to the 9<sup>th</sup> January 2018.
- 1.3. The strategic sections of the report provide details on the policy context within which the programme is constructed, and the aims and objectives it is designed to deliver. The report further sets out the governance processes which establish the principles to be followed in agreeing how to invest capital resources and achieve value for money for the Council. Governance processes have continued to evolve over the year to date particularly with the development of the programme management functions and initiatives which are detailed further in Sections 5 and 6.
- 1.4. The Council has a significant capital programme across both the General Fund and the Housing Revenue Account (HRA). This supports the strategic aims of the Council, as defined in its *City for All* programme, with its vision for a city of choice, aspiration and heritage. Capital proposals are considered within the Council's overall medium to long term priorities, and the preparation of the capital programme is an integral part of the financial planning process. This includes taking full account of the revenue implications of the projects in the revenue budget setting process.
- 1.5. The General Fund capital programme covers three areas of expenditure. These are:
  - Development – these schemes will help the Council achieve strategic aims and generate income (£1.024bn).

- Investment – schemes within this category will help to generate income and increase the diversification of the Council’s property portfolio and will be self-funded by creating additional income and efficiency savings (£87.613m).
- Operational – these schemes are related to day to day activities that will ensure the Council meets its statutory requirements (£1.482bn).

These categories are explained in more detail in section 7 of this report.

1.6. These programme areas will deliver a wide range of benefits to the City, including:

- new improved leisure, adult social care and education facilities, as well as enterprise space and improved public realm.
- 2,034 new and replacement affordable homes to be completed by 2022/23, with 529 of these homes currently under construction.
- improved public spaces, transport and other infrastructure to ensure the continued success of the West End as a business, leisure and heritage destination.
- improved public realm and pedestrian environments to accommodate safe and efficient travel in the City.
- well-maintained and efficiently managed infrastructure, allowing residents, businesses and visitors to enjoy clean, high quality streets.

1.7. The report includes a summary overview of proposed budgets which is followed by a more detailed breakdown of the programme by service. This includes an analysis of the changes in the programme from that recently approved in October 2017, risks and how these will be mitigated, and the financial implications of the programme.

1.8. The Housing Revenue Account (HRA) capital programme has a value of £790m over the next five years (2018/19 to 2022/23). It is important to note that HRA resources can only be applied for HRA purposes, and that HRA capital receipts are restricted to fund affordable housing, regeneration or debt redemption.

1.9. The changes from the currently approved 2017/18 to 2021/22 General Fund programme can be summarised as follows:

- A reduction in gross expenditure of £2.508m as a result of the reduction in forecast for contingency budget as the need decreases throughout the financial year. However, it should be noted that this will be dependent upon any other calls on the contingency. Also underspends on existing projects which have been released from the programme. These are partially offset by additional purchases of temporary accommodation properties in addition to the budget and further investment on projects already within the programme. Also by the prudent forecasting into future years of the ICT scheme which is deemed to be recurring on the basis that ICT hardware and software will need to be refreshed as assets come to the end of their life cycle or new technology may need to be adopted to replace obsolete systems in the future which may form part of a wider transformation agenda for the Council.
  - A decrease in gross income of £18.367m due to a re-categorisation of £8.080m of external funding to capital receipts and other minor variances.
  - An increase in capital receipts of £12.305m due to some unbudgeted disposals and the funding for Sir Simon Milton University Technical College (£8.080m) being re-categorised as a capital receipt.
  - A re-profiling of projects already included in the programme across the financial years and other minor variances.
- 1.10. The projects that have been re-profiled were committed or commenced in 2017/18 and thus had an approved budget. They have been re-profiled for a variety of reasons including delays in the tender process, completion of acquisition/land assembly stages, obtaining planning permission and starting on-site construction.
- 1.11. The proposed budget is fully funded after Council borrowing, but this does depend on the schemes being delivered on time and within budget. The impact of potential changes in cost and timescale are fully explored in the financial implications of the report, outlined in Section 13. Any increases in expenditure or reductions in income will need to be managed by the service areas and either contained within the project or funded from elsewhere within the relevant service.

## **2. Recommendations**

### **That the Cabinet recommend the Council:**

- 2.1. To approve the capital strategy as set out in this report
- 2.2. To approve the capital expenditure for the General Fund as set out in Appendix A for 2018/19 to 2021/22 and future years to 2031/32.
- 2.3. To approve the capital expenditure forecasts for the General Fund as set out in Appendix A for 2017/18.
- 2.4. To approve the expenditure forecast for 2017/18 for the HRA as set out in Appendix B.
- 2.5. To note the capital expenditure for the HRA for 2018/19 to 2022/23 as in accordance with the 30 year HRA Business Plan and as included in Appendix B.
- 2.6. To note the financial implications of the HRA capital programme including the references to the debt cap and the level of reserves as detailed in Sections 10.19 and 10.20.
- 2.7. To approve that in the event that any additional expenditure is required by a capital scheme over and above this approved programme the revenue consequences of this will be financed by revenue savings or income generation from relevant service areas.
- 2.8. To approve that all development and investment projects follow the previously approved business case governance process as set out in section 6.9 to 6.18 of this report.
- 2.9. To approve that no financing sources unless stipulated in regulations or necessary agreements are ring fenced.
- 2.10. To approve that contingency in respect of major projects are held corporately with bids for access to those contingencies to be approved by the Capital Review Group (CRG) in the event they are required to fund capital project costs, as detailed in Section 11.15 to 11.19. These total £594.505m from 2017/18 to 2031/32 but include a sum of £400m which is an allowance for general capital expenditure (e.g. highways improvements) in future years beyond 2021/22.
- 2.11. As approved last year, the Council plans to use capital receipts to fund the revenue costs of three eligible proposals – the refurbishment of Westminster City Hall (£18m), the Digital Transformation programme (£3m)

and a contribution to the pension fund deficit (£30m) under the MHCLG Guidance on the Flexible Use of Capital Receipts if considered beneficial to the Council's finances by the City Treasurer at year end.

- 2.12. To approve the financing of the capital programme and revenue implications as set out in paragraph 13.22 of this report.
- 2.13. To approve the financing of the capital programme been delegated to the City Treasurer at the year end and to provide sufficient flexibility to allow for the most effective use of Council resources.

### **3. Reasons for Decision**

- 3.1. The Council is required to set a balanced budget and the capital strategy and subsequent capital programme form part of this process, along with the governance process to monitor and manage the programme.

### **4. Policy Context**

- 4.1. The capital strategy is based on the strategic aims of City for All. The City for All programme was refreshed for 2017/18 to include three new priorities. These were:

- civic leadership and responsibility at the heart of all we do
- opportunity and fairness across the city
- setting the standards for a world class city

- 4.2. In addition, five new programmes have been established to deliver against these priorities which are summarised as:

- civic leadership
- building homes and celebrating neighbourhoods
- creating a greener city
- maintaining a world class Westminster
- a smart council

- 4.3. The Council has embarked on an ambitious capital programme, with plans to invest £2.594bn in a number of developments throughout the City. Many of these schemes will help to modernise areas of the City, helping to maintain and develop Westminster's reputation as a global centre of tourism, retail, entertainment and business. Capital investment will contribute to the key

strategic aims of City for All and this is demonstrated by the below examples which show that:

- Westminster City Council, in partnership with other public and private sector partners, has established the West End Partnership (WEP) to transform the long term performance and success of the West End of London. The West End is the cultural and economic capital of the UK which belongs to and benefits everyone in the UK. It generates greater economic output than anywhere else in the UK with more than £51bn in Gross Value Added per year, 15% of London's economic output. Employing more than 650,000 people, the area generates the largest proportion of taxes with more than £17 billion of tax receipts per year.
- the West End is primarily responsible for London's status as the world's most popular visitor destination with more than 31m international visitors spending over £11bn in the West End. The West End is an important gateway to other UK tourist destinations and drives growth across the UK. Oxford Street is also the UK's high street with more than 50m UK based visitors. The West End's success and long term growth cannot be taken for granted and investment is needed to ensure that the West End can continue to compete with its global competitors.
- the WEP has developed a substantial investment programme that will transform the international competitiveness and productivity of the West End and the UK. The WEP programme will unlock growth, attract investment, improve competitiveness, improve air quality, create jobs and generate substantial tax revenues to the Exchequer. Business cases were submitted to government to request funding for WEP's priority projects including the £430m transformation of Oxford Street District, the £29m redevelopment of The Strand / Aldwych and the West End Jobs programme. The three identified priority projects had a funding gap of £320m. A decision on funding the WEP investment bid was not included in the Chancellor's autumn budget and informal feedback from the treasury has suggested that it will not be considered again in that form until the next budget cycle in autumn 2018. While this does not preclude further approaches to the Treasury and other parts of Government before then, the WEP team are considering other funding options for the WEP investment bid and the scale and nature of the projects themselves. The development projects within the portfolio will result in significant investment which will provide residents of Westminster with new improved leisure, adult social care and education facilities, as well as enterprise space and improved public realm. This will improve the wellbeing and prosperity of residents as well as delivering broader economic benefits. To offset some of these costs

there is provision of broader commercial aspects within the developments which will provide on-going revenue income streams or capital receipts.

- a number of large development schemes within the capital programme are planned to deliver 2,034 new and replacement affordable homes, with 529 under construction. This will ease the pressure on temporary accommodation. The building of new residential properties is at the heart of giving residents the opportunity to aspire.
  - continued investment in the public realm within Westminster creates and preserves spaces where people enjoy living, working and visiting. The investment reflects the pride we take in our role as custodian of the City, protecting our heritage by managing places and spaces that can be enjoyed both now and in the future. Additionally, investment in improving the public realm and pedestrian environment helps to accommodate the safe and efficient movement of growing numbers of people entering and moving around Westminster, managing vehicular traffic and making walking safer and more enjoyable. This creates opportunities for everyone in the city to be physically active.
  - the City Council's investment on our core infrastructure of carriageways, footways, lighting and bridges recognises the commitment the council has to managing the performance, risk and expenditure on its infrastructure assets in an optimal and sustainable manner throughout their lifecycle, covering planning, design, development, operation, maintenance and disposal. This programme ensures our infrastructure is in a safe and reliable condition, is efficiently managed and means our residents and visitors can enjoy clean, high quality streets.
- 4.4. The above is taking place against a background of austerity and significant reductions in central funding for local government. It is therefore a key aim of the Council's capital strategy that it delivers a return on investment which is financial, such as capital receipts or new revenue streams, or delivering key strategic priorities.
- 4.5. The Council is a key partner in the development of the Sustainability & Transformation Plan (STP) for the North West London region, which comprises eight London boroughs and Clinical Commissioning Groups (CCGs). These plans will be produced across England, showing how local health and social care services will evolve and become sustainable over the coming years.

- 4.6. As part of the wider STP plan, an Estates Strategy is required, which aims to reduce the burden on acute care by devolving care delivered from hospitals to modern, multi-purpose primary care facilities. There will be long term capital implications as a result of the strategy, which is tasked with reducing the capital demand on the NHS.
- 4.7. This may involve the sale of surplus real estate to fund new primary care facilities, or joint venture development with house builders to ensure delivery of new facilities as well as new housing stock. It will be necessary to investigate new funding models to identify the most appropriate method for raising capital to deliver the strategy. Over the past year in which the Council has been involved in the project, it has become apparent that there are currently no capital projects in planning by Health which are likely to have a direct impact on the capital programme of the council. Consequently, no provision has been made in the capital programme for any such related expenditure. However, this could change as Health's plans develop and pilot schemes elsewhere may demonstrate a new way of working which delivers benefits which are then sought to be replicated more widely. Officers remain engaged with Health on the STP project and will monitor for any changes in the status of the Estates Strategy.

## **5. Governance**

### **Capital Review Group**

- 5.1. The main forum for reviewing all financial aspects of the capital programme is the Capital Review Group (CRG). This group reviews the strategic direction of the programme, ensures outcomes are aligned with City for All, significant projects have a viable Business Case and that Value for Money (VfM) is delivered for the Council. It also monitors the expenditure and funding requirements of the capital programme and subsequent revenue impacts.

### **Programme Management Office**

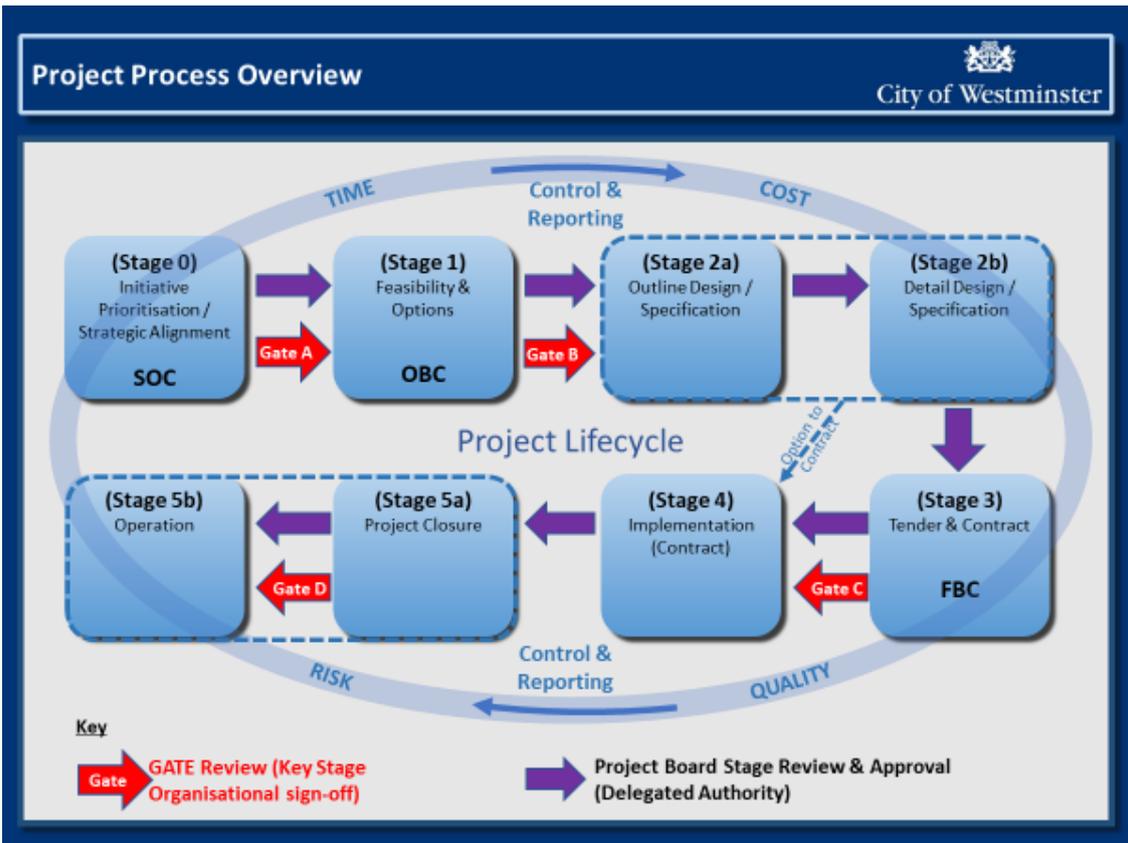
- 5.2. The Council is currently in the process of setting up a programme management office (PMO). The project management handbook has now been created and covers everything from the principals of good project management, what is a project vs. a programme, project governance, project lifecycles and templates. The key point about the handbook is that it will require a cultural change in the way the council works.
- 5.3. The purpose of the PMO is to provide a stable framework that supports and overviews all project teams and stakeholders to improve the probability of

successful delivery of projects.

5.4. The key objectives of the PMO are to:

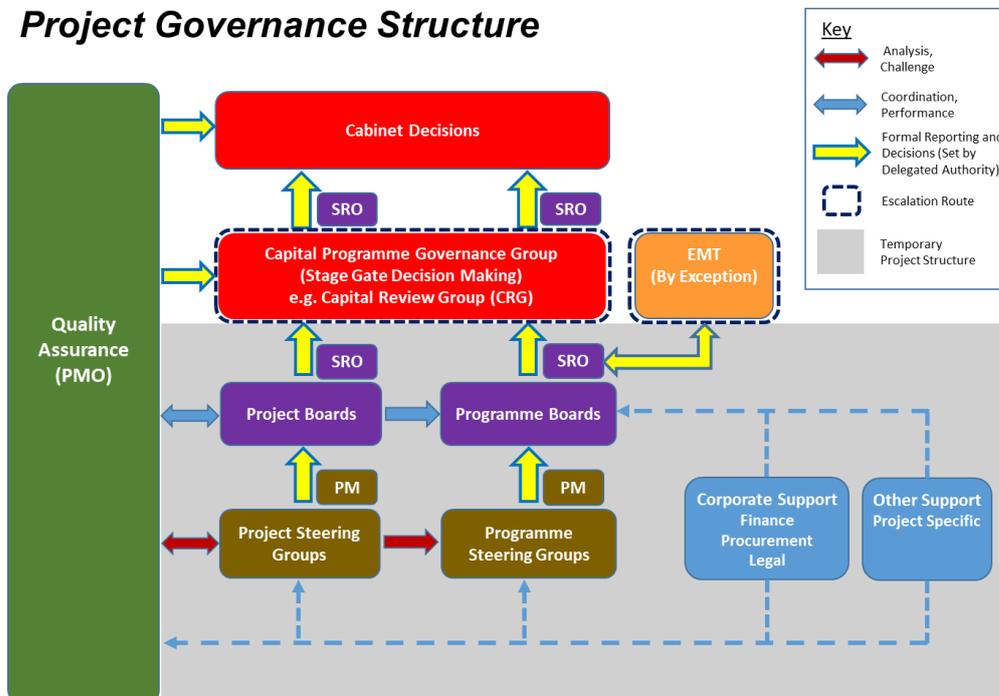
- demonstrate added value through key performance measures.
- establish a standardised project management process and serve as a centre of excellence and support for the system ensuring continual improvement.
- supplement resources and provide advice for specific project activities such as initial project planning, project monitoring and performance measurement.
- maximise the efficiency of the Capital Programme (oversight, co-ordination of time and risk, resources).
- undertake the administration of certain parts of the process e.g. Project Prioritisation.
- provide quality assurance – regular reviews of key projects will be carried out against standard health checks ensuring verification and transparency of status.
- provide administrative support for the programme and instil knowledge share and best practice / learning between departments.
- support development of in-house project management skills – by mentoring support, training, apprentices, Project Management Community.

5.5. The PMO is on track to be setup in early 2018/19, following approval by senior officers and members. A transitional strategy has been put together and the overall strategy is being developed. The draft Project Process Overview and Governance Structure are detailed below:



*\*high level project processes – there is more detail behind each stage.*

## Project Governance Structure



## 6. Project Prioritisation

- 6.1. To manage the business case and budget setting process, CRG has implemented a process which requires all schemes to complete Capital

Programme Submission Request (CPSR) forms. These are reviewed prior to inclusion in the capital programme.

- 6.2. The CPSR forms have been updated this year in line with the proposed prioritisation framework that is part of the development of the Project Management Office.
- 6.3. The prioritisation framework and the CPSR forms are fully included in the project management handbook. However, the weightings for the different criteria within the framework still needs to be decided.
- 6.4. The final governance arrangements for the framework are yet to be agreed but will be fully established in readiness for the next financial year.
- 6.5. The framework identifies five key themes to assess projects and is in line with the Council's overarching objectives and other key factors that are needed to assess the priority ranking of projects. These themes are:
  - strategic fit - how the project aligns with the Council's objectives and priorities and what it is trying to achieve.
  - financial – what are the financial circumstances for the project, e.g. is funding readily available and is it affordable?
  - legislation and compliance – is the project needed to meet statutory/legislative requirements.
  - indirect need – is the project needed because of another scheme or development.
  - risk – is the success of the project dependent on mitigating high associated risks.
- 6.6. Budget/project managers were asked to score their projects against each theme and the outcome of this scoring was presented to senior officers and members.
- 6.7. The prioritisation process should support the Council in making decisions about which projects to progress, especially in an environment of limited financial and officer resources.
- 6.8. The process will continue to develop and a group will be setup as part of the PMO to review projects and moderate scoring to ensure they are in line with Council priorities and are deliverable.

## **Business Cases**

- 6.9. Governance of project business cases will vary depending on the type of work that is being carried out. This process was approved by Full Council in the Capital Strategy report of 2nd March 2016. This allows CRG to have a full overview of the priorities, risk, deliverables, cost, and revenue implications of all areas of the capital programme.
- 6.10. These large, long term schemes are important to reach good business decisions. The development branch governance centres on the five case model which is based on HM Treasury Green Book Guidance on Better Business Cases, but adapted for the Council. The Council, through CRG will assess the prioritisation of assets and decide on which assets need developing in order to aid the Council in meeting its strategic objectives.

### Stage 1 - Scoping the Scheme and Preparing the Strategic Outline Case (SOC)

The purpose of this stage is to confirm the strategic context, and provide a robust case for change. This stage includes an options appraisal with a long list of options including indicative costs and benefits and a financial appraisal will be carried out based on a methodology such as the Net Present Value (NPV); as a result of this a preferred way forward is identified and feasibility funding will be approved.

### Stage 2 - Planning the Scheme & Preparing the Outline Business Case (OBC)

The purpose of this stage is to revisit the earlier SOC assumptions and analysis in order to identify a preferred option which optimises value for money (VfM), following more detailed design work. It also sets out its affordability, and details the supporting procurement strategy, together with management arrangements for the successful delivery of the project.

### Stage 3 - Procuring the Solution and Preparing the Full Business Case (FBC)

The purpose of the FBC is to revisit and where required rework the OBC analysis and assumptions, taking account of the formal procurement. The FBC will recommend the most economically advantageous offer, documenting the contractual arrangements, confirm funding and affordability and set out the detailed management arrangements and plans for successful delivery and post evaluation.

All three business cases stages will be reviewed by CRG, and recommended for approval, should the group accept them.

#### Stage 4 - Implementation

The business case should be used during the implementation stage as a reference point for monitoring implementation and for logging any material changes that the Council are required to make. The management tools developed in accordance with the development framework for the business case – the implementation plan, benefits register and risk register etc. – will be used in delivering the scheme and provide the basis for reporting back regularly to CRG.

#### Stage 5 - Evaluation

The business case and its supporting documentation should be used as the starting point for post implementation evaluation, both in terms of how well the project was delivered (project evaluation review) and whether it has delivered its projected benefits as planned (post implementation review) to the Council, in meeting strategic aims.

At all stages of the five case model, the business cases must include the following sections:

- i. The Strategic Case
- ii. The Economic Case
- iii. The Commercial Case
- iv. The Financial Case
- v. The Management Case

Assessing all these areas within the business case will ensure that all aspects of a potential development scheme are analysed and the impact on all stakeholders identified. Therefore, the Council will be able to gain a full understanding on how a specific scheme will impact on the overall strategy, the local economy, officers and resources of the Council.

### **Capital Programme Governance**

- 6.11. The annual capital programme, which is updated for new proposed schemes, revised profiling, slippage and changes in expenditure projections, is presented to Full Council every year. Council approval of the programme gives an allocation to budget managers in the capital programme. Separate approval is required in line with financial rules to spend in line with their budget envelopes.
- 6.12. In previous years this has covered a five-year period. However, the Council has now developed an ambitious programme which has longer-term commitments for large development schemes. For this reason, this report

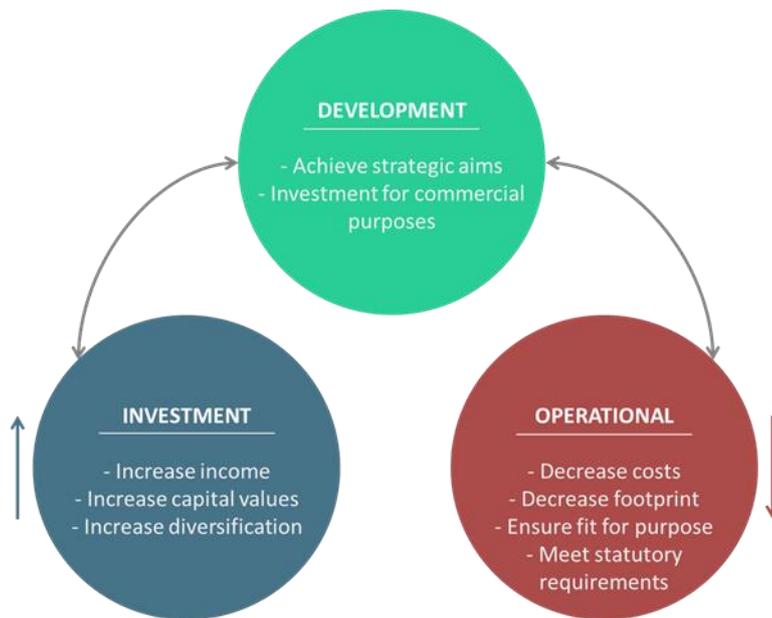
covers the period up to 2031/32.

- 6.13. A key issue in managing the capital programme is in year movements of budgets from one financial year to another. Capital budgets can be re-profiled across years to reflect delays or spend brought forward with appropriate approval. However, re-profiling needs to be managed appropriately to ensure that annual capital forecasts are as accurate as possible as inaccuracies can lead to long term revenue costs – for example if the Council has to borrow more than originally forecast.
- 6.14. The Council will continually look to ensure that periodic projections during the year are as accurate as possible and where projects do slip, a rigorous process is applied to ensure budget managers are made accountable and gain the relevant approval from CRG to move those budgets into future years with appropriate explanations as to why the project needs re-phasing.
- 6.15. The first call on capital resources will be any operational schemes that are required to be in the programme for statutory or legal reasons. In addition, all schemes already contractually committed will be supported and sufficient resources will be provided to enable them to proceed. Schemes which already have approval will be supported providing they continue to have a viable business case which is delivering to Council priorities.
- 6.16. There are a number of circumstances where concerns could be raised about a project in the capital programme. These include where:
- the business case is reviewed and considered to be no longer viable.
  - the headline cost figure goes beyond the approved figure.
  - issues are raised by other stakeholders e.g. in respect of planning.
  - there is a change in Council priorities.
- 6.17. While these would be discussed by CRG for the purposes of recommending mitigating action, any formal decision making would be through a Cabinet Member report or the Capital Strategy which is approved by Full Council.
- 6.18. VfM is a key component of all capital projects. All projects must evidence a level of economy, efficiency and effectiveness in order to be approved. Therefore, projects will have to show that all potential options have been considered, and the option that is chosen is cost efficient and effective in achieving the City for All ethos. In order to achieve this, the Council has put in place the following cornerstones:

- **business case development** – the Council has adopted the Five Case Business Model, which was developed by HM Treasury and the Welsh government specifically for public sector business case development. The business cases for major projects include full option appraisal and links to core strategy to ensure that they are delivering on key Council objectives.
- **effective financing** – funding options are constantly reviewed to ensure the most cost effective use of the Council’s resources. In order to reduce financing costs, many of the major development schemes will deliver significant capital receipts for reinvestment in future projects, thus reducing reliance on external borrowing. Capital receipts are applied to expenditure where it will provide the most financial benefit.
- **procurement** – robust options and appraisal of procurement routes for projects.
- **risk management** – this function is co-ordinated by CRG, which takes an overview of identifying and mitigating risk across the programme and further developments are planned in this area during 2017/18. More detail on the mechanisms the Council has in place to effectively manage and identify risk can be found in Section 11.
- **Project management** – the development of the Programme Management Office as noted above will continue to strengthen project management in the Council. The PMO will ensure that projects are in line with Council priorities and sufficiently resourced in order to be developed within timescales.

## 7. Overview of Capital Programme and Delivery Strategies

- 7.1. The Council’s capital programme is prioritised into three key areas; Development, Investment and Operational.
- 7.2. The diagram below provides an overview of these areas.



## Development

- 7.3. Development projects are key schemes that directly support the Council’s strategic aims, in line with City for All. This includes the long term sustainability of Council services through income generation and meeting service objectives in areas such as affordable housing and regeneration. This will help Westminster’s residents and businesses in creating a strong local economy to live and work in, helping to embed the City for All ethos. These factors combined will help to sustain council services and ensure that Westminster City Council remains at the forefront of public service delivery.
- 7.4. Many of the major development schemes will deliver housing for sale on the open market. This will generate capital receipts for the Council, which will be reinvested in future capital expenditure projects. These are projected to contribute 17% of the funding of the Council’s capital programme. The risks associated with reliance on this delivery and funding route are fully explored in Section 11.
- 7.5. The Council will review the best delivery routes for development projects. Different delivery routes for projects largely fall into the following categories: self-develop; joint-venture; or developer led. The self-develop option involves the Council undertaking the project independently and therefore provides the greatest level of potential return but also the greatest cost and exposure to risk. The developer option is the opposite; it usually involves selling the opportunity to a developer resulting in the least return but also the least cost and risk. A joint-venture is a compromise between the two, this can be a good option to limit risk, broaden expertise and capacity on the project whilst still sharing in the returns. In both the latter two options it

is likely the Council will have to undertake site assembly and the initial stages of planning before a partner is prepared to enter into an agreement on the opportunity.

- 7.6. Development schemes make up a significant portion of the gross capital budget at £1.024bn and of the capital receipts in the programme at £338.473m, are related to these schemes. The scope of the major development projects is outlined below, organised by Directorate, and full details can be found in paragraph 10.5 to 10.9.

### **Investment**

- 7.7. One of the key objectives is for the Council to maximise its return on investments and grow income through active management of the investment portfolio. Income through these means will support the on-going financing costs of the capital programme.
- 7.8. An initial £50m drawdown facility for investment schemes to generate additional income towards future MTP savings and frontline services was approved as part of the previous year's Capital strategy. Of this a total of £12.397m was invested leaving a balance of £37.613m. For this new Capital Strategy an additional £50m has been added to this budget to produce a total budget including 2017/18 of £87.613m.
- 7.9. Each investment will be subject to a detailed assessment report setting out a business case, full investment appraisal and value for money assessment.

### **Operational**

- 7.10. The Council's operational capital strategy is centred on capital improvement works to the Council's operational property portfolio.
- 7.11. The main objectives of the operational element of the capital strategy are to ensure assets meet health and safety standards, are fit for purpose in terms of statutory guidance and legislation, as well as helping the Council to reduce costs and reduce its environmental footprint.
- 7.12. Another key objective of the operational element is to ensure that the Council continues to invest in its current buildings and long term assets and avoids incurring significant future costs, essentially spending now to save money in the future.
- 7.13. Operational schemes in the five-year capital programme have a total expenditure of £1.482bn. Details of this expenditure and how it is funded can be found in Appendix A.

## **8. Housing Revenue Account**

8.1. The expenditure to support this as set out in the five-year investment plan is analysed slightly differently to the General Fund and consists of:

- HRA major works on the council's stock.
- regeneration and renewal spend.
- other investment plans.

## 9. Summary Capital Programme

**Table 1: Current approved capital programme 2017/18 – 2031/32 at Period 4**

|                                      | Forecast         | Five Year Plan   |                  |                  |                  |                  | Future Years to  | Total              |
|--------------------------------------|------------------|------------------|------------------|------------------|------------------|------------------|------------------|--------------------|
|                                      | 2017/18<br>£000  | 2018/19<br>£000  | 2019/20<br>£000  | 2020/21<br>£000  | 2021/22<br>£000  | 2022/23<br>£000  | 2031/32<br>£000  |                    |
| <b>Expenditure</b>                   |                  |                  |                  |                  |                  |                  |                  |                    |
| Adult Services                       | 770              | 777              | 400              | 200              | -                | -                | -                | 2,147              |
| Children's Services                  | 10,847           | 13,279           | 250              | 250              | 250              | 250              | -                | 25,126             |
| City Management & Communities        | 68,031           | 94,370           | 46,029           | 26,706           | 22,398           | 21,201           | 990              | 279,726            |
| City Treasurer                       | 42,500           | 38,849           | 26,040           | 18,681           | 17,898           | 21,486           | 486,051          | 651,505            |
| Corporate Services                   | 2,326            | 6,210            | 975              | 1,125            | 525              | -                | -                | 11,161             |
| Growth, Planning & Housing           | 245,509          | 247,438          | 304,893          | 234,993          | 167,211          | 77,199           | 349,134          | 1,626,377          |
| Policy, Performance & Communications | 38               | 50               | -                | -                | -                | -                | -                | 88                 |
| <b>Total Expenditure</b>             | <b>370,020</b>   | <b>400,973</b>   | <b>378,588</b>   | <b>281,955</b>   | <b>208,282</b>   | <b>120,136</b>   | <b>836,175</b>   | <b>2,596,130</b>   |
| <b>Funding</b>                       |                  |                  |                  |                  |                  |                  |                  |                    |
| External Funding                     | (125,352)        | (177,687)        | (187,905)        | (135,037)        | (83,255)         | (51,143)         | (43,754)         | (804,133)          |
| Capital Receipts                     | (79,750)         | -                | (21,964)         | (20,535)         | (57,425)         | (72,476)         | (174,153)        | (426,303)          |
| <b>Total Funding</b>                 | <b>(205,102)</b> | <b>(177,687)</b> | <b>(209,869)</b> | <b>(155,572)</b> | <b>(140,680)</b> | <b>(123,619)</b> | <b>(217,907)</b> | <b>(1,230,436)</b> |
| <b>Net Funding Requirement</b>       | <b>164,918</b>   | <b>223,286</b>   | <b>168,720</b>   | <b>126,383</b>   | <b>67,602</b>    | <b>(3,483)</b>   | <b>618,268</b>   | <b>1,365,695</b>   |

9.1. These budgets have now been re-profiled to reflect up-to-date project planning as part of the budget setting exercise, which when taken alongside the CPSR submissions and updated expenditure and income forecasts, have produced the revised budget below.

**Table 2: Proposed capital programme 2017/18 – 2031/32 as at Period 9**

|                                      | Forecast         | Five Year Plan   |                  |                  |                  |                  | Future Years to    | Total              |
|--------------------------------------|------------------|------------------|------------------|------------------|------------------|------------------|--------------------|--------------------|
|                                      | 2017/18<br>£000  | 2018/19<br>£000  | 2019/20<br>£000  | 2020/21<br>£000  | 2021/22<br>£000  | 2022/23<br>£000  | to 2030/31<br>£000 |                    |
| <b>Expenditure</b>                   |                  |                  |                  |                  |                  |                  |                    |                    |
| Adult Services                       | 446              | 1,059            | 400              | 200              | -                | -                | -                  | 2,105              |
| Children's Services                  | 10,856           | 13,343           | 250              | 250              | 250              | 250              | -                  | 25,199             |
| City Management & Communities        | 55,163           | 99,140           | 46,287           | 30,151           | 22,398           | 21,201           | 990                | 275,330            |
| City Treasurer                       | 33,500           | 38,849           | 26,040           | 18,681           | 17,898           | 21,486           | 486,051            | 642,505            |
| Corporate Services                   | 3,073            | 5,459            | 975              | 1,125            | 525              | 2,250            | 9,200              | 22,607             |
| Growth, Planning & Housing           | 169,731          | 239,479          | 203,209          | 129,054          | 95,296           | 35,528           | 331,880            | 1,204,177          |
| WEP                                  | 3,832            | 22,475           | 146,715          | 117,787          | 71,915           | 41,671           | 17,254             | 421,649            |
| Policy, Performance & Communications |                  | 50               | -                | -                | -                | -                | -                  | 50                 |
| <b>Total Expenditure</b>             | <b>276,601</b>   | <b>419,854</b>   | <b>423,876</b>   | <b>297,248</b>   | <b>208,282</b>   | <b>122,386</b>   | <b>845,375</b>     | <b>2,593,622</b>   |
| <b>Funding</b>                       |                  |                  |                  |                  |                  |                  |                    |                    |
| External Funding                     | (105,119)        | (168,083)        | (199,375)        | (135,037)        | (83,255)         | (51,143)         | (43,754)           | (785,766)          |
| Capital Receipts                     | (92,055)         | -                | (21,964)         | (20,535)         | (57,425)         | (72,476)         | (174,153)          | (438,608)          |
| <b>Total Funding</b>                 | <b>(197,174)</b> | <b>(168,083)</b> | <b>(221,339)</b> | <b>(155,572)</b> | <b>(140,680)</b> | <b>(123,619)</b> | <b>(217,907)</b>   | <b>(1,224,374)</b> |
| <b>Net Funding Requirement</b>       | <b>79,427</b>    | <b>251,771</b>   | <b>202,537</b>   | <b>141,676</b>   | <b>67,602</b>    | <b>(1,233)</b>   | <b>627,468</b>     | <b>1,369,247</b>   |

9.2. The high-level changes from the currently approved capital programme are:

- a reduction in gross expenditure of £2.508m as a result of the reduction in forecast for contingency budget as the need decreases throughout the financial year, but will be dependent upon any other calls on the contingency. Also underspends on existing projects which have been released from the programme. These are partially offset by additional purchases of temporary accommodation properties in addition to the budget and further investment on projects already within the programme.

Also by the prudent forecasting into future years of the ICT scheme which is deemed to be recurring on the basis that ICT hardware and software will need to be refreshed as assets come to the end of their life cycle or new technology may need to be adopted to replace obsolete systems in the future which may form part of a wider transformation agenda for the Council.

- a decrease in gross income of £18.367m due to a re-categorisation of £8.080m of external funding to capital receipts and other minor variances.
  - an increase in capital receipts of £12.305m due to some unbudgeted disposals and the funding for Sir Simon Milton University Technical College (£8.080m) being re-categorised as a capital receipt.
  - a re-profiling of projects already included in the programme across the financial years and other minor variances.
- 9.3. It should be noted that given the long-term nature of some of the larger development schemes, this has profiled some of the budgets into future years beyond the five-year programme. These have been reported in the “Future Years to 2031/32” column for completeness and to ensure the budget is approved within the context of the whole capital programme.
- 9.4. In addition, an assumption of £400m annual expenditure on operational schemes has been included within contingencies. This ensures that development and investment schemes are affordable in addition to the annual operational capital expenditure programme.
- 9.5. The above fully funded position clearly depends on the schemes being delivered on time and within the estimates set out in this report. Any increases in expenditure or reductions in income will need to be compensated for by the relevant project or the consequential revenue impacts funded in full by the individual service.

## 10. Service Analysis

10.1. The following section reviews what is included in the individual capital programmes for each Council directorate from 2017/18 onwards, excluding the assumed £400m operational budget for future years. This section aims to detail what is included and also explain changes to the schemes included within each Directorate portfolio.

### Growth Planning and Housing (GPH)

10.2. Growth, Planning and Housing (GPH) contains the council's Housing, Investment and Operational Property, Development Planning and Economy & Infrastructure services. For the purposes of this document the HRA is included separately.

10.3. GPH has the largest Capital Programme within the Council. The gross expenditure budget for GPH up to 2030/31 is £1.204bn and forecast external funding is anticipated to be £214m.

10.4. On a net basis this is a proposed budget of £990m for GPH, which excludes capital receipts, and this is shown in the table below:

|                                | Forecast        | Five Year Plan  |                 |                 |                 |                 | Future Years<br>to 2030/31 | Total<br>£000  |
|--------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|----------------------------|----------------|
|                                | 2017/18<br>£000 | 2018/19<br>£000 | 2019/20<br>£000 | 2020/21<br>£000 | 2021/22<br>£000 | 2022/23<br>£000 |                            |                |
| Expenditure                    | 169,731         | 239,479         | 203,209         | 129,054         | 95,296          | 35,528          | 331,880                    | 1,204,177      |
| External Funding               | (59,888)        | (66,750)        | (36,573)        | (10,775)        | (6,275)         | (6,275)         | (27,525)                   | (214,061)      |
| <b>Net Funding Requirement</b> | <b>109,843</b>  | <b>172,729</b>  | <b>166,636</b>  | <b>118,279</b>  | <b>89,021</b>   | <b>29,253</b>   | <b>304,355</b>             | <b>990,116</b> |

### General Fund Major Projects

10.5. The capital programme presented within this report forecasts a gross capital expenditure budget of approximately £926m for General Fund Major Projects (both live and potential future projects). As well as producing capital receipts, many of these projects will also generate on-going revenue streams.

10.6. The Major Projects team have continued to progress a number of schemes since the last capital programme was approved. Some of the milestones achieved in the last year include approval to appoint a contractor for the Beachcroft site, the approval to progress with the refurbishment of Seymour Leisure Centre (to include a library), approval to progress the Luxborough Development to detailed design and Cabinet approval to progress Huguenot House designs and consult further on the options.

- 10.7. The Council also has a number of sites under construction with the Moberly, Jubilee phase 1, Sir Simon Milton UTC and the Dudley House Academy and intermediate rental all on site.
- 10.8. Furthermore, refinement of design work, massing studies and financials has meant a number of projects are now ready to go through the business case process this year and next on Huguenot House, Lisson Grove Programme, Carlton Dene and Westmead are progressing.
- 10.9. Below is a summary of all the general fund capital projects being managed by Major Projects (unless otherwise stated):

Dudley House

The project is now on site and as per the programme. Target completion for the Marylebone Boys School is September 2018 with the intermediate rent accommodation completing in April 2019.

The project board are currently assessing options for the management of the residential units with the preferred option being the use of an operator model.

Huguenot House

Following a Cabinet decision in July a formal consultation will now be carried out with residents on the residential led option with affordable housing. The outcome of this will be reported back to members. In addition to this the OBC will be progressed and presented to members over the coming months. Expenditure to date has primarily related the spot purchasing of residential properties in the block as they become available.

Sir Simon Milton UTC

The works are progressing well and the project remains on track and the school opened in September 2017. The residential units are due to complete in March 2018 and the project is fully funded.

Seymour Leisure Centre

A cabinet member report for this project was approved in September 2017 for the refurbishment option which will include the existing sports centre and a library. Procurement of the design team has commenced and an appointment is due next month.

### Strategic Acquisitions - Development

Potential acquisitions to facilitate future development opportunities that may arise in the future.

### Luxborough Development

Following the approval of a cabinet member report the project will be progressed to a detailed design and an OBC for a revised mixed use development scheme is will be developed and is expected to be presented to members in 2017/18.

### Moberly and Jubilee

The projects at both Moberly and Jubilee are on site and progressing, with anticipated phase 1 practical completion in 2018 with Jubilee Phase 2 to follow.

### Beachcroft (managed by City West Homes)

The Full Business case has now been approved and the project is on course to be completed by December 2019 and within budget. This development is linked to the projects at Westmead and Carlton Dene.

### Westmead/Carlton Dene

Both these projects are linked to the development at Beachcroft as residents in both these homes have to be decanted to Beachcroft in order for the sites to be redeveloped. Officers have now received agreement from the Cabinet Member as to a preferred option which maximises the care provision whilst ensuring the final costs to run the project are cost neutral at worst. Architectural massing studies are planning to be undertaken this year, which will further develop the options for the schemes.

### Lisson Grove Programme

The programme aims to provide a more modern office space, however options are being assessed to identify any other opportunities to develop housing or commercial space linked to the programme. An indicative figure has been included in the analysis above, resulting in additional expenditure of £80m (excluding contingencies) on the capital programme which will be subject to further review regarding financing as the business case progresses.

### City Hall

Whilst this project sits within Corporate Property/Major Projects, it has a specific governance procedure in place to monitor and project manage the process with a programme board and steering group.

The refurbishment of City Hall on Victoria Street has now commenced. The programme from 2017/18 has a capital budget of £76m (excluding contingency) with the completed scheme delivering increased income streams for the council from rental income as well as reduced running costs. This decant process has an allocated revenue budget of £22.4m to fund the related costs, which will be funded by flexible capital receipts.

### **Corporate Property**

- 10.10. The Corporate Property Capital Programme has an approved budget of £115m. In addition to investment acquisitions of circa £87m, this also contains on-going building improvement works of £13.6m on the Forward Management Plan and Landlord Responsibilities. The balance of the budget is made up of individual projects such as £0.3m for ensuring properties within the investment portfolio are up to Minimum Energy Efficiency Standards (MEEs).
- 10.11. The Council have purchased one commercial property this year, 14-20 Orange Street, which will generate an on-going revenue stream for the Council.
- 10.12. The property team are actively reviewing the market for appropriate opportunities that will provide a good return whilst diversifying the property portfolio.

### **General Fund Housing**

- 10.13. The Housing General Fund capital programme contains schemes to provide additional affordable housing both in and out of borough. In total there is an expenditure budget of £155m largely offset by external income.
- 10.14. The Affordable Housing Fund represents Section 106 agreements ring fenced monies paid to the Council in lieu of the direct provision of new social housing and is used for the delivery of in borough housing projects by Registered Social Landlords. The fund is also applied to fund HRA and General Fund new affordable housing schemes such as Dudley House. It is used to fund various projects in borough to provide additional housing. Properties are also bought out of borough through a Temporary Accommodation purchases programme which will also be funded through the Affordable Housing Fund.

## Other Schemes

- 10.15. The remainder of the GPH capital budget of circa £7m made up of smaller schemes in Placeshaping, Planning and the Economy team.

## Housing Revenue Account

- 10.16. The HRA capital investment requirement over the next 30 years is £1.878bn, and over the first five years from 2018/19 is £790m. The HRA is subject to a different business planning process that is linked to modelling of the HRA business plan over 30 years.
- 10.17. The programme has been developed to deliver the maximum number of new affordable units that the HRA can reasonably deliver within the context of its current financial constraints, there is a significant increase in the development capacity of both WCC and CWH that accompanies this proposed plan to support these initiatives

The programme is funded over the next five financial years as follows:

| <b>Funding</b>                            | <b>Total<br/>£'000</b> |
|---|------------------------|
| Capital Receipts                          | 270,938                |
| Right To Buy                              | 29,189                 |
| Grants                                    | 25,968                 |
| Affordable Housing Fund (AHF)             | 179,786                |
| Revenue Contribution to Capital<br>Outlay | 130,021                |
| Major Repairs Reserve (MRA)               | 116,655                |
| Borrowing                                 | 37,650                 |
| <b>Total Funding</b>                      | <b>790,206</b>         |

- 10.18. Key changes between the October 2018/19 proposed and 2018/19 revised HRA five-year capital programme budgets are:

- gross expenditure – overall reduction of £4m consisting of:
  - Church Street Phase 2 – reduction in spend of £21m during the five year period as the expenditure profile for the project has been revised into future years in line with the masterplan document.
  - an additional £3m on fire precautions to reflect the latest projections.
  - an additional £8m of spend on the infill schemes.

- refinements on other schemes.

- 10.19. HRA reserves – an increase of £82m contribution from the HRA I&E over the period. The HRA reserves will contribute £130m (16%) of the £790m required to fund the 2018/19 five-year capital programme. This will leave accumulated reserves close to the minimum level of £11m during the full five years and beyond of the programme. The reserves level will not generally increase until 2034/35 as any surpluses are assumed to be applied to reduce debt levels in the HRA.
- 10.20. The proposed HRA investment plans commit and utilise almost all of the headroom (borrowing limit) and financial capacity within the HRA in the period up to 2023/24. This will result in the HRA reaching a peak debt balance of £330m compared to the current statutory limit on indebtedness of £334m. Minimum levels (£11m) of HRA reserves until 2034/35.
- 10.21. The HRA business plan currently projects that HRA debt will fall progressively in the latter part of the programme and at year 30 the level of debt will be £34m with revenue balances of £36m.
- 10.22. As the HRA is legally not allowed to run a deficit this means that if there is an overspend on the capital programme or elsewhere, or if capital receipts are reduced or delayed, then the need to contain these pressures will necessitate either reducing, re-profiling or stopping spend on the capital programme, realising funds through the disposal of HRA assets, or applying more funding from the Affordable Housing Fund. The range of management options available within the HRA to mitigate any additional risks are set out in section 11.22.

### **West End Partnership (WEP)**

- 10.23. The new capital programme includes a substantial gross budget for the West End Partnership programme of works of £421.6m. The majority of this relates to the Oxford Street District at £342.0m.
- 10.24. A decision on funding the WEP investment bid was not included in the Chancellor's autumn budget and informal feedback from the treasury has suggested that it will not be considered again in that form until the next budget cycle in autumn 2018. While this does not preclude further approaches to the Treasury and other parts of Government before then, the WEP team are considering other funding options for the WEP investment bid and the scale and nature of the projects themselves.
- 10.25. A summary of the WEP budgets is included below:

|                                | Forecast        | Five Year Plan  |                 |                 |                 |                 | Future Years<br>to 2030/31<br>£000 | Total<br>£000 |
|--------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|------------------------------------|---------------|
|                                | 2017/18<br>£000 | 2018/19<br>£000 | 2019/20<br>£000 | 2020/21<br>£000 | 2021/22<br>£000 | 2022/23<br>£000 |                                    |               |
| Expenditure                    | 3,832           | 22,475          | 146,715         | 117,787         | 71,915          | 41,671          | 17,254                             | 421,649       |
| External Funding               | (1,563)         | (19,703)        | (137,336)       | (113,117)       | (67,345)        | (35,046)        | (16,004)                           | (390,114)     |
| <b>Net Funding Requirement</b> | <b>2,269</b>    | <b>2,772</b>    | <b>9,379</b>    | <b>4,670</b>    | <b>4,570</b>    | <b>6,625</b>    | <b>1,250</b>                       | <b>31,535</b> |

10.26. Further projects include Strand/Aldwych and the cross cutting themes such as Broadband and Freight.

10.27. The overall net budget for WEP is £31.5m (including 2017/18 forecasts) and this is mainly due to the WEP General budget and the Council funding for the cross cutting themes.

### City Management & Communities

10.28. City Management and Communities (CM&C) contains Highways Infrastructure and Public Realm, Sports and Leisure, Libraries and Culture, Public Protection & Licensing, Parking, and Waste, Parks & Cemeteries services.

10.29. As a directorate, this has a significant capital programme. Including 2017/18, gross expenditure within the capital programme totals £275.3m, with external income of £156.3m from a range of third parties.

|                                | Forecast        | Five Year Plan  |                 |                 |                 |                 | Future Years<br>to 2030/31<br>£000 | Total<br>£000  |
|--------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|------------------------------------|----------------|
|                                | 2017/18<br>£000 | 2018/19<br>£000 | 2019/20<br>£000 | 2020/21<br>£000 | 2021/22<br>£000 | 2022/23<br>£000 |                                    |                |
| Expenditure                    | 55,163          | 99,140          | 46,287          | 30,151          | 22,398          | 21,201          | 990                                | 275,330        |
| External Funding               | (33,173)        | (67,478)        | (25,066)        | (10,945)        | (9,635)         | (9,822)         | (225)                              | (156,344)      |
| <b>Net Funding Requirement</b> | <b>21,990</b>   | <b>31,662</b>   | <b>21,221</b>   | <b>19,206</b>   | <b>12,763</b>   | <b>11,379</b>   | <b>765</b>                         | <b>118,986</b> |

10.30. The majority of this expenditure comes within Highways Infrastructure and Public Realm, which can be split across (gross expenditure budget in brackets):

- planned preventative maintenance and named structural projects within Highways (£86.3m) – all but £2.4m is funded by the Council
- public realm externally funded (£140.6m) – £127.5m is funded by contributions from third parties
- transport schemes - (£20.1m) - £17.1m externally funded, largely Transport for London

10.31. Of the remainder of the programme, the main areas of expenditure are:

- cemeteries and parks (£2.5m) - £0.6m is funded through CIL contributions

- libraries (£3.3m)
- sports and leisure (£8.2m) - £1.0m is funded by external parties
- public protection and licensing (£10.6m) - £7.8m is funded by grant contributions
- waste (£3.1m)

10.32. The gross expenditure and income contained within the new capital programme is consistent with the capital programme approved in October 2017, which contained £279.7m gross expenditure and £158.2m income from 2017/18 onwards. Overall there is a small net decrease (of £2.5m) in the programme which is due to the application of CIL funding against certain capital projects (e.g. Hanover Square, Queensway Streetscape).

### Adult Social Care

10.33. The Executive Directorate of Adult Social Care and Public Health has a capital programme which plans to deliver gross works expenditure of £2.1m. Project relating to this are mainly Information and Communications Technology (ICT) and agile working projects with one building refurbishment project at 66 Lupus Street and one at Carlton Gate, Barnard and Florey Lodges. All of the advised projects for Adult Social Care and Public Health have identified capital grant funding to 100% of the expected expenditure values, which is held on Westminster City Council's balance sheet.

|                                | Forecast        | Five Year Plan  |                 |                 |                 |                 | Future Years to 2030/31 | Total   |
|--------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|-------------------------|---------|
|                                | 2017/18<br>£000 | 2018/19<br>£000 | 2019/20<br>£000 | 2020/21<br>£000 | 2021/22<br>£000 | 2022/23<br>£000 |                         |         |
| Expenditure                    | 446             | 1,059           | 400             | 200             | -               | -               |                         | 2,105   |
| External Funding               | (446)           | (1,059)         | (400)           | (200)           | -               | -               |                         | (2,105) |
| <b>Net Funding Requirement</b> | -               | -               | -               | -               | -               | -               | -                       | -       |

10.34. This continues the major change to the five-year budget from 2016/17 which contained the major projects delivering residential care home replacements at Beachcroft, Carlton Dene and Westmead. These had a value of £55m when transferred to Growth, Planning and Housing along with any earmarked funding. As part of the current five-year budget plan, the project at Barnard and Florey Lodges (Carlton Gate) was due to complete in 2017/18, and owing to later lease agreements this has been re-profiled to complete in 2018/19. The project at 66 Lupus Street and three of the four ICT projects are forecast to complete in 2018/19 with the final project to complete in 2020/21.

## Children's Services

10.35. From 2017/18 to 2022/23, the Children's Services capital programme plans to deliver £25.2m of works.

|                                | Forecast        | Five Year Plan  |                 |                 |                 |                 | Future Years<br>to 2030/31<br>£000 | Total<br>£000 |
|--------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|------------------------------------|---------------|
|                                | 2017/18<br>£000 | 2018/19<br>£000 | 2019/20<br>£000 | 2020/21<br>£000 | 2021/22<br>£000 | 2022/23<br>£000 |                                    |               |
| Expenditure                    | 10,856          | 13,343          | 250             | 250             | 250             | 250             |                                    | 25,199        |
| External Funding               | (10,049)        | (13,093)        | -               | -               | -               | -               |                                    | (23,142)      |
| <b>Net Funding Requirement</b> | <b>807</b>      | <b>250</b>      | <b>250</b>      | <b>250</b>      | <b>250</b>      | <b>250</b>      | <b>-</b>                           | <b>2,057</b>  |

10.36. These can be broadly categorised as (gross expenditure budget in brackets):

- non-schools estate rolling programme: planned and reactive building works to non-schools sites (£2.1m)
- schools estate rolling programme: planned and reactive building works to schools sites (£2.0m)
- primary and secondary school expansion projects: expansion projects to increase pupil places (£20.2m)

10.37. The Basic Needs and condition allocation grants are awarded for the purposes for which they are being applied and the programme benefits to the value of £20.6m.

10.38. In comparison to the five-year budget set in advance of the 2017/18 financial year and the capital programme approved in October 2017, there have been only minor changes to the programme. There is just a £73k increase which is matched by an increase in the external income budget because the related expenditure is funded from council borrowing.

## Corporate Services and Policy, Performance and Communications

|                                | Forecast        | Five Year Plan  |                 |                 |                 |                 | Future Years<br>to 2030/31<br>£000 | Total<br>£000 |
|--------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|------------------------------------|---------------|
|                                | 2017/18<br>£000 | 2018/19<br>£000 | 2019/20<br>£000 | 2020/21<br>£000 | 2021/22<br>£000 | 2022/23<br>£000 |                                    |               |
| Expenditure                    | 3,073           | 5,509           | 975             | 1,125           | 525             | 2,250           | 9,200                              | 22,657        |
| External Funding               | -               | -               | -               | -               | -               | -               | -                                  | -             |
| <b>Net Funding Requirement</b> | <b>3,073</b>    | <b>5,509</b>    | <b>975</b>      | <b>1,125</b>    | <b>525</b>      | <b>2,250</b>    | <b>9,200</b>                       | <b>22,657</b> |

10.39. The proposed gross expenditure budget is £22.657m.

10.40. The latest capital strategy report reflects an increase in capital funding which is mainly due to the inclusion of future year's capital budget for ICT schemes. In Corporate Services, the ICT scheme are deemed to be recurring on the basis that ICT hardware and software will need to be refreshed as assets come to the end of their life cycle or new technology

may need to be adopted to replace obsolete systems in the future which may form part of a wider transformation agenda for the Council.

## City Treasurer

|                                | Forecast        | Five Year Plan  |                 |                 |                 |                 | Future Years<br>to 2030/31 | Total<br>£000  |
|--------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|----------------------------|----------------|
|                                | 2017/18<br>£000 | 2018/19<br>£000 | 2019/20<br>£000 | 2020/21<br>£000 | 2021/22<br>£000 | 2022/23<br>£000 |                            |                |
| Expenditure                    | 33,500          | 38,849          | 26,040          | 18,681          | 17,898          | 21,486          | 486,051                    | 642,505        |
| External Funding               | -               | -               | -               | -               | -               | -               | -                          | -              |
| <b>Net Funding Requirement</b> | <b>33,500</b>   | <b>38,849</b>   | <b>26,040</b>   | <b>18,681</b>   | <b>17,898</b>   | <b>21,486</b>   | <b>486,051</b>             | <b>642,505</b> |

10.41. The City Treasurer's capital budget holds the Contingency Provision totalling £594.505m. It also holds the majority of the revenue expenditure to be funded by the Flexible Use of Capital Receipts which is in region of £18m for the refurbishment of Westminster City Hall and a £30m contribution to the pension fund deficit and the Digital Transformation programme (£3m). Further detail can be found in paragraphs 13.12 and 13.13

10.42. There has been no change to the City Treasurer's net capital budget, except for the 2017/18 Contingency Provision forecast reduction by £9m, out of an annual budget of £13.5m, as the year has progressed and the degree of certainty has increased.

10.43. In line with current financial regulations, no expenditure on projects will be incurred without appropriate Cabinet Member or Delegated Authority approval. Every scheme would need to be fully approved.

## 11. Risk Management

11.1. Major capital projects require careful management to mitigate the potential risks which can arise. The effective monitoring, management and mitigation of these risks is a key part of managing the capital strategy.

### General Risks – Identification and Mitigation

11.2. General risks are those which are faced as a consequence of the nature of the major projects being undertaken. Most of these risks are outside of the Council's control but mitigations have been developed as part of the business planning and governance process. These risks are set out below along with key mitigations:

11.3. **Interest Rate Risk** – the Council is planning to externally borrow £499.9m as set out in this Capital Strategy over the next five years. Interest rates are variable and an increase could increase the cost of servicing debt to a level which is not affordable. To mitigate this, the Council has used interest

rate forecasts which include a prudent provision against interest rate rises. These are shown in the table below.

|                       | 2017/18<br>(%age) | 2018/19<br>(%age) | 2019/20<br>(%age) | 2020/21<br>(%age) | 2021/22<br>(%age) |
|-----------------------|-------------------|-------------------|-------------------|-------------------|-------------------|
| Assumed Interest Rate | 2.52%             | 3.00%             | 3.50%             | 3.50%             | 4.00%             |

- 11.4. In the event that interest rates rose beyond this forecast plus contingency the revenue interest cost to the Council would increase for all borrowing not yet entered into (we would typically borrow on fixed rate terms). A rise of an extra 1% would cost an extra £5.0m per annum on the full £499.9m borrowed by the end of 2022/23 – rising to £8.2m if rates were 1% higher by 2031/32.
- 11.5. **Inflation Risk** – construction inflation over and above that budgeted by the Council’s professionals and advisors and built into project budgets could impact on the affordability of the capital programme. A 1% rise in the cost of the programme would increase the cost of the programme by around £26m. This is mitigated through the provision of contingencies, updating estimates regularly as they change and monitoring the impact through governance processes. This is also mitigated post the signature of contracts with construction companies and developers through fixed price contracts.
- 11.6. **Change in Law Risk** – Capital schemes need to comply with the latest law and regulations which can change leading to an impact on construction costs and may be retrospective in their nature. This is mitigated by awareness of pipeline legislative changes and through contingencies.
- 11.7. **Market health / Commercial Values** – the Council’s capital programme relies on commercial activity as a key supporting strategy. This involves generation of income from property letting, generation of capital receipts from property sales in some cases post development, attracting developers to projects based on a potential share of profits and other revenue/capital financial flows. In some cases, it is likely that the Council will commit to large projects, property acquisitions or other forms of expenditure on the basis of further business case assumptions about the market value of future asset or economic values. Should market movements mean that these assumptions are inaccurate then the Council may suffer financially. This risk can be mitigated through contingencies in projects.

### Management of Project Risks

- 11.8. Project risks are those which relate to the delivery of capital projects which in many cases can be controlled, influenced or directly mitigated in ways other

than making contingencies available. These risks would mostly be related to unforeseen project delays and cost increases which could arise from a range of circumstances. The effective management of these risks is mostly linked to the following strategies:

**11.9. Supplier Financial Stability** – construction companies and developers contracting with the Council which experience financial instability post a significant risk. They may not be able to raise finance to cash flow operations, any potential insolvency process could lead to a costly process of changing suppliers without any guarantee of remaining within overall budget, the Council could suffer direct financial loss and any defects or other issues may not be resolvable as anticipated. To mitigate the Council carefully considers the financial robustness of any contractor and requests appropriate financial standing assurance and support wherever possible.

**11.10. Effective Business Case Development** - the documentation which is required will depend on the project's size. However, for 2017/18 the types of business cases required for larger projects are:

- strategic case – this is where it is confirmed that the project outcomes as scoped align with the strategic objectives of the organisation.
- outline business case – sets out the preliminary thoughts regarding a proposed project. It should contain the information needed to help the council make decisions regarding the adoption of the project. It should state envisaged outcomes, benefits and potential risks associated with the project.
- full business case - the preparation of the FBC is a mandatory part of the business case development process, which is completed following procurement of the scheme but prior to contract signature.

**11.11. Risk Management** - projects are required to maintain a risk register. Risk registers are aligned with general guidance on risk review.

**11.12. Highlight reporting** - property major projects as an example create monthly highlight reports for all projects to help project board and wider interested parties aware of progress and risks of projects on an on-going basis.

**11.13. Appointment of professional team** - to ensure timely delivery of projects and robust planning and review, the major projects team has enlisted the help of many different internal and external experts. Projects have required assistance considering impacts of national and council policy and planning on project financial feasibility and general deliverability. Also qualified roles

have been put in place for key surveying and financial planning roles to give assurance on quality of work and assumptions.

- 11.14. **Risk of Revenue Write Off** – the Council commits to feasibility studies on many of its significant capital schemes at the point where spend is revenue in nature or when capital spend may be written off should the scheme in question not progress. This is managed through careful consideration and approval of all expenditure potentially at risk of revenue wrote off.

### **Contingencies in the Capital Programme**

- 11.15. In the initial stages of development, major capital projects will have significant uncertainties. For example, these may relate to the planning process, the views / interest of stakeholders who must be consulted, ground conditions, or the costs of rectifying or demolishing existing buildings (e.g. the cost of asbestos removal).
- 11.16. For this reason, the Council has adopted a structured process of identifying and managing contingencies which is in line with guidance issued by HM Treasury. In the initial stages of a project these contingencies are necessarily broad estimates due to the number of unknown factors. As projects progressed the unknown factors become clearer and project managers focus on managing these in the most effective way possible, utilizing contingencies to do so as needed.
- 11.17. It is recommended that a decision is taken to hold contingencies corporately with any release of these funds to be subject to approval from CRG. The value of these contingencies is £104.0m.
- 11.18. Currently a risk allocation of 20% is being used on new large scale development projects. 15% of this is held corporately and 5% is held against the project.
- 11.19. This is considered appropriate based on HM Treasury guidance and experience from previous projects. However, once the projects are sufficiently progressed, it is expected that each project will have a fully costed risk register compiled and agreed by the project team. The value of the costed risk register will be used instead of the flat rate of 20%. All projects are working towards this.

### **Housing Revenue Account – Risk Mitigation Strategy**

- 11.20. As the HRA is legally not allowed to run a deficit this means that if there is an overspend on the capital programme or elsewhere, or if capital receipts are

reduced or delayed, that the options available to contain these pressures will necessitate either reducing, re-profiling or stopping spend on the capital programme, realising funds through the disposal of HRA assets, or applying more funding from the Affordable Housing Fund.

11.21. The funding of the increase in the expected capital programme over the next five years is largely dependent upon the timing and value of asset disposals that underpin the regeneration programme. The reduction in the capacity of the HRA and the potential impact of risk factors requires a strong risk mitigation strategy that can be quickly adopted if any of adverse risks materialise.

11.22. The range of management options available within the HRA to mitigate additional risks are (in no particular order):

- project spend monitoring and management information. It is key that there are early warning indicators for management to be able to identify whether any projects are going to overspend in order to be able assess the impact on the HRA plan.
- regular updates to the HRA business plan. Quarterly reviews and updates to the business plan are undertaken, at which point any changes identified in operating or capital project performance can be remodelled to identify the impact and any further mitigation required. The fact that the business plan is updated on an annual basis means that steps can be taken to re-profile or reprioritise elements of the plan well in advance of any peak year. In reality, we would seek to avoid getting too close to the cap in the near term.
- utilisation of contingency. The main regeneration schemes each have a certain level of contingency built into the cost of the projects as a buffer against overspend within the project budget. This will be the first port of call for any overspend within a project. Monitoring the use and need for contingency on a project will be important as an indicator of whether a project is going to go over budget. Secondly, the capital programme has a separate contingency budget which has not been specifically allocated any given scheme. This amounts to £17.4m over the next 5 years.
- reduce or delay the reinvestment of self-financing capital expenditure. Currently it is assumed that the cash generated through disposal of HRA assets for re investment is fully reinvested back into acquiring new stock. There is £40m assumed for reinvestment over the next 5 years. The rate of reinvestment could be slowed so as to avoid the plan going into deficit or exceeding the borrowing limit of £333.8m. The consequence of this

strategy that a reducing housing stock within the HRA would have a direct impact on the cost of Temporary Accommodation in the General Fund, creating pressures on the rest of the Council to stay within budget.

- dispose of HRA assets. Similar to the above, but without reinvesting the cash generated. Achieved through identifying surplus assets or selling additional HRA properties.
- increase or accelerate funding drawn from the Affordable Housing Fund (AHF). The risk of increases in cost for the acquisition of affordable housing can be met from the AHF fund through reprioritisation of funding. However, the AHF currently held by the council is assumed to be fully used over the coming years, and the plan as a whole assumes that further AHF money will be received and used in order to make the whole plan affordable. This would need careful modelling to understand the impact on other schemes assumed to draw from the fund in later years.
- transfer schemes from HRA into an alternative vehicle, such as a wholly owned company. This could help the profile of the business plan by moving expenditure from peak years when the borrowing cap is under pressure to another delivery vehicle so that the scheme can still proceed without drawing upon HRA borrowing. This could enable more to be achieved than is currently shown within the plan. It could also generate a capital receipt sooner for the HRA through the transfer of land out of the HRA. The downside would be that this could be removing schemes which would generate longer term benefits in terms of rental income on the affordable housing which was otherwise planned to be retained within the HRA.
- re-profile, extend or delay regeneration capital expenditure:
  - re-profile the regeneration spend so that schemes run sequentially rather in parallel, or delay some projects until the peak borrowing period has passed.
  - re-profile and extend regeneration scheme programmes to be delivered over a longer period, slowing down the rate of spend. This however is likely to be an inefficient way of working and not favourable with development partners.
  - some elements of the plan or certain schemes could be decided to begin or progress only when certain other conditions have been met which assure the financial safeguarding of the plan, such as the level of capital receipts received needing to be met.

- these would need to be modelled so as to demonstrate the impact of not only the deferred expenditure but also the deferred capital receipts arising at the end of the schemes when the income from private sale units comes through.
- reduce major works expenditure. This amounts to £206m over the next 5 years, £919m over 30 years. However, this could be a risky strategy as the council has recently signed up to term contracts which gave an indication of a certain minimum level of spend with the suppliers. If these minimum levels were not achieved, the council could be subject to penalties or compensation which negate or reduce the potential mitigation and impact on the council's reputation.
- increase affordable rents assumed in the new units to be delivered through the regeneration schemes to 80% of market rents. Average rents for new units have been modelled at £150 a week but could be increased up to £187 per week to increase the annual return and total dwellings rent received.
- increase HRA rents following the period of 1% reductions to the maximum allowable. At this stage however it is not clear what limitations will be placed on local authorities following this period (i.e. from 1 April 2020). Currently the business plan assumes increases of CPI+1% for the 4 years following before reverting to annual CPI increases. When the 1% reductions legislation came in, this had a significant impact on the HRA plan, as the reductions have a compounding and lasting effect on future years. Reversing this position would have a similar but favourable effect on the plan. Rent policy is only guidance and the only control at present is the limit on Housing Benefit.
- lobby for legislative changes such as an increase in the debt cap, reversal of the 1% rent reduction etc. This is not something that the council can directly change (only try and influence) as it is subject to central government decision making, and could take some time to be implemented if at all. This has already been referenced to in correspondence with government in the aftermath of Grenfell. The cost impact of remedial works in the light of Grenfell is modelled at £29.3m; it is conceivable that the cap could be increased to account for the pressure caused by this previously unforeseen expenditure. At time of writing we have not had a formal response to our communication.
- the model maintains a minimum reserves balance of £11m, but this in itself is a buffer against overspends and hence acts as a source of mitigation.

## **12. Brexit**

- 12.1. In the aftermath of result of the UK's decision to leave the European Union on 23 June 2016 there was an immediate period of volatility caused by uncertainty in the property market. This has since stabilised but the impact on the capital strategy particularly in respect of construction costs and property values will continue to be monitored on an on-going basis.

## **13. Financial Implications**

- 13.1. The Council has proposed a gross General Fund capital programme of £2.594bn. This has to be financed from three key funding sources which are:

- external funding (e.g. grants and contributions)
- internal funding (e.g. capital receipts)
- borrowing

### **Funding**

- 13.2. The main sources of external funding, shown in the table below, are via government grants and contributions (from government and external agencies) and Section 106 receipts. These are difficult to forecast on a medium to long term basis, and can be restrictive in terms of the capital schemes they can fund. Many grants, Section 106 receipts and contributions have specific terms and conditions which have to be met for their use. Therefore, any forecasting of external funding for the capital programme has to be done prudently. However, there are no on-going revenue implications of this method of financing. The borrowing in the table below represents total borrowing rather than "external" borrowing, as the use of Council's cash balances will be used to optimise the need to borrow externally.

| Financed By:                          | 2017/18<br>£m | 2018/19<br>£m | 2019/20<br>£m | 2020/21<br>£m | 2021/22<br>£m | 2022/23<br>£m | 2023/24<br>to<br>2031/32<br>£m | Total<br>£m    |
|---------------------------------------|---------------|---------------|---------------|---------------|---------------|---------------|--------------------------------|----------------|
| DfE Basic Needs Grant                 | 8.5           | 9.0           | 0.0           | 0.0           | 0.0           | 0.0           | 0.0                            | 17.5           |
| DfE Schools Condition Allocation      | 1.5           | 1.5           | 0.0           | 0.0           | 0.0           | 0.0           | 0.0                            | 3.0            |
| DCLG Disabled Facilities Grant        | 0.0           | 1.3           | 1.3           | 1.3           | 1.3           | 1.3           | 0.0                            | 6.5            |
| DCLG Other Grant (WEP)                | 0.0           | 18.4          | 123.5         | 101.5         | 56.6          | 26.0          | 4.5                            | 330.5          |
| GLA Other Loan                        | 1.3           | 0.7           | 0.0           | 0.0           | 0.0           | 0.0           | 0.0                            | 2.0            |
| Transport for London (TfL) Grant      | 13.1          | 15.4          | 8.7           | 1.7           | 0.0           | 0.0           | 0.0                            | 39.0           |
| Education Funding Agency (EFA) Grant  | 17.6          | 28.2          | 2.6           | 0.0           | 0.0           | 0.0           | 0.0                            | 48.4           |
| DoH Community Capacity Grant          | 1.7           | 1.1           | 0.5           | 0.2           | 0.0           | 0.0           | 0.0                            | 3.5            |
| European Regional Development Fund    | 0.2           | 0.8           | 0.3           | 0.0           | 0.0           | 0.0           | 0.0                            | 1.3            |
| Other Grants and Contribution         | 2.2           | 10.8          | 14.7          | 11.9          | 10.7          | 9.3           | 11.7                           | 71.2           |
| Sport England Grant                   | 1.0           | 0.0           | 0.1           | 0.0           | 0.1           | 0.1           | 0.0                            | 1.3            |
| Section 106 Contributions             | 11.2          | 22.6          | 9.2           | 6.3           | 8.4           | 8.3           | 0.0                            | 65.9           |
| Section 278 Contributions             | 8.0           | 19.0          | 4.8           | 1.4           | 0.0           | 0.0           | 0.0                            | 33.2           |
| Community Infrastructure Levy (CIL)   | 0.0           | 4.6           | 0.0           | 0.0           | 0.0           | 0.0           | 0.0                            | 4.6            |
| Affordable Housing Fund Contributions | 38.6          | 34.6          | 33.0          | 10.8          | 6.3           | 6.3           | 27.5                           | 157.0          |
| Revenue Reserve                       | 0.0           | 0.1           | 0.8           | 0.0           | 0.0           | 0.0           | 0.0                            | 0.9            |
| <b>Sub Total</b>                      | <b>105.1</b>  | <b>168.1</b>  | <b>199.4</b>  | <b>135.0</b>  | <b>83.3</b>   | <b>51.1</b>   | <b>43.8</b>                    | <b>785.8</b>   |
| Capital Receipts                      | 92.1          | 0.0           | 22.0          | 20.5          | 57.4          | 72.5          | 174.2                          | 438.6          |
| Borrowing                             | 79.4          | 251.8         | 202.5         | 141.7         | 67.60         | -1.2          | 627.5                          | 1,369.2        |
| <b>Total</b>                          | <b>276.6</b>  | <b>419.9</b>  | <b>423.9</b>  | <b>297.2</b>  | <b>208.3</b>  | <b>122.4</b>  | <b>801.6</b>                   | <b>2,593.6</b> |

- 13.3. Capital grants and contributions include grants from the Department for Education (DfE) which are provided to ensure that the Council is meeting their statutory requirements of providing school places and ensuring that school buildings are in a good condition. Other grants the Council receives includes TfL grant funding for infrastructure improvements across the City, EFA Grant, Disabled Facilities Grant (DFG) and Community Capacity Grants in Adult Social Care.
- 13.4. Community Infrastructure Levy (CIL) will predominantly replace the current Section 106 receipts system. Instead of the planning obligations that developers have to make currently, they will now have to pay a charge (levy). The income from this levy will be held corporately and the Council will decide (via an internal governance process) how to allocate these funds to relevant infrastructure projects.
- 13.5. CIL differs from Section 106 which essentially is a contract between a developer and the Council. However, CIL is a levy which the developer is liable to pay if a planning permission is approved and the development is underway post CIL coming into effect. The Council has greater flexibility compared to Section 106 as the developer cannot stipulate any terms.
- 13.6. The Council will continue to look for innovative ways to fund the capital programme; this could include Tax Increment Financing (TIF) and private sector capital contributions.

- 13.7. The main sources of internal funding are from capital receipts or revenue in the form of reserves or in-year underspends.
- 13.8. Capital receipts are generated from the sale of non-current assets, and apart from special circumstances, can only be used to fund the capital programme. The Council holds all capital receipts corporately which ensures it can be used to fund the overall programme; therefore, individual services are not reliant on their ability to generate capital receipts. However, in special cases, some capital receipts maybe ring-fenced for the particular services, but this will need approval by CRG.
- 13.9. It is estimated that the proposed capital programme will be funded via £438.6m worth of capital receipts, primarily through the sale of properties as part of development projects. The use of capital receipts will peak in 2020/21 and in 2022/23 and will be used to reduce the funding gap.
- 13.10. Although the council has a disposals programme which aids projections for the funding of the capital programme, the timing and value of asset sales can be volatile. Therefore, asset disposals have to be closely monitored as any in year shortfalls need to be met by increasing borrowing.
- 13.11. Revenue budgets can be transferred to capital. As this will necessarily impact on revenue budgets this is only used as a source of funding when the capital project will deliver future revenue savings. This allows the Council to generate savings which will mitigate funding reductions in future years. A business case would be required to support revenue funding of a project.
- 13.12. In March 2016, the MHCLG issued statutory guidance on the flexible use of capital receipts, which allows local authorities to use capital receipts to fund the revenue costs for projects which are forecast to generate ongoing savings. This guidance covered the period 1 April 2016 to 31 March 2019, and applies only to capital receipts generated during this period. The authority has identified three capital projects, Westminster City Hall refurbishment, contribution to the pension fund deficit and Digital Transformation, which have significant revenue spend and is seeking approval to part-fund these from capital receipts. In the Provisional Local Government Finance Settlement in December 2018 it was announced that this would be extended for a further three years.
- 13.13. It is planned to use in the region of £18m of capital receipts for the revenue costs associated with the refurbishment of Westminster City Hall, £30m pension cost liability, and £3m for the Digital Transformation programme costs. The ability to fund these revenue costs from flexible capital receipts

is predicated on the delivery of the planned 2017/18 additional capital receipts.

## Borrowing

- 13.14. Borrowing is a source of funding available to the Council in funding its capital programme. Borrowing can take the form of internal or external borrowing.

|                       | Forecast        | Five Year Plan  |                 |                 |                 |                 | Future Years<br>to 2030/31 | Total<br>£000 |
|-----------------------|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|----------------------------|---------------|
|                       | 2017/18<br>£000 | 2018/19<br>£000 | 2019/20<br>£000 | 2020/21<br>£000 | 2021/22<br>£000 | 2022/23<br>£000 |                            |               |
| Borrowing Requirement | 79,427          | 251,771         | 202,537         | 141,676         | 67,602          | (1,233)         | 627,468                    | 1,369,247     |

- 13.15. Internal borrowing is the term used to describe the use of Council resources, such as reserves and cash balances, to finance capital expenditure. In effect, this is capital expenditure not supported by direct funding, external borrowing or any other form of external financing. While this has to be repaid it does not represent a formal debt in the same way as external borrowing.

- 13.16. This strategy is a prudent use of Council resources. Currently, investment returns are low and counterparty risk is relatively high. Should these balances not be available for internal borrowing, the Council could potentially have to take on long-term external borrowing paying a higher interest rate than could be achieved for a long-term investment.

- 13.17. External borrowing is the process of going to an external financial institution to obtain money. The Council would generally borrow from the Public Works Loans Board (PWLB) due to their favourable rates for public sector bodies. However, the market is regularly monitored to ensure that rates continue to be competitive.

- 13.18. An alternative source of debt finance is to borrow via a bond issued by the Municipal Bonds Agency. The agency is an independent body with its own governance structure, accountable to its local authority shareholders and the LGA. It raises money on the capital markets by issuing bonds to financial institutions which are then lent on to participating local authorities. The Council has been actively working with the MBA to enable it to deliver its first bond issuance and realise its potential as a mainstream lender to local authorities. Typically, the MBA will issue bonds to institutions such as insurers and pension funds who tend to want to prioritise secure income streams over interest, compared with more traditional borrowing from banks. It is expected the bond will be issued at a rate substantially lower than PWLB rates and is expected to provide a

viable alternative to the PWLB.

13.19. Another borrowing option for the Council is through the European Investment Bank (EIB). The EIB offer competitive rates; however, there are strict governance processes around any loans that are taken out with the EIB. Therefore, the Council would have to clearly set out the reasons for the loan, what it would be used for, and the EIB would then have to decide if this is an appropriate use of their funds. This is becoming a higher profile form of funding with local authorities, for example the London Borough of Croydon recently borrowed from the EIB.

13.20. Development and investment schemes will be required to cover the costs of borrowing through identifying increased income streams or revenue savings in order to fund repayments. To address this, on completion of the scheme the services budget will be reduced by the level of borrowing costs. However for operational schemes, due to the nature of the spend, this is unlikely to result in increased income or revenue savings, these will be assessed on a scheme by scheme basis and if appropriate budgeted for corporately.

13.21. The table below gives a summary of the financing of the General Fund capital programme. The largest proportion of funding in the programme comes from borrowing, at 53%. Internal funding from capital receipts make up a further 17%. This is largely from the sale of residential units that will be built as part of a number of development schemes. The remainder will come from various grants and other income sources.

|                  | Forecast        | Five Year Plan  |                 |                 |                 |                 | Future Years<br>to 2030/31 | Total<br>£000    |
|------------------|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|----------------------------|------------------|
|                  | 2017/18<br>£000 | 2018/19<br>£000 | 2019/20<br>£000 | 2020/21<br>£000 | 2021/22<br>£000 | 2022/23<br>£000 |                            |                  |
| External Funding | 105,119         | 168,083         | 199,375         | 135,037         | 83,255          | 51,143          | 43,754                     | <b>785,766</b>   |
| Capital Receipts | 92,055          | -               | 21,964          | 20,535          | 57,425          | 72,476          | 174,153                    | <b>438,608</b>   |
| Borrowing        | 79,427          | 251,771         | 202,537         | 141,676         | 67,602          | (1,233)         | 627,468                    | <b>1,369,247</b> |
| <b>Total</b>     | <b>276,601</b>  | <b>419,854</b>  | <b>423,876</b>  | <b>297,248</b>  | <b>208,282</b>  | <b>122,386</b>  | <b>845,375</b>             | <b>2,593,622</b> |

### Revenue Implications

13.22. The financing costs in the table below include interest payable and an allocation for repayment of debt (MRP) as a result of the borrowing. The total net revenue costs of the proposed capital programme are expected to be £456.0m by the end of 2031/32.

|                               | Forecast        | Five Year Plan  |                 |                 |                 |                 | Future           | Total<br>£000    |
|-------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|------------------|------------------|
|                               | 2017/18<br>£000 | 2018/19<br>£000 | 2019/20<br>£000 | 2020/21<br>£000 | 2021/22<br>£000 | 2022/23<br>£000 | Years to<br>£000 |                  |
| Expenditure                   | 276,601         | 419,854         | 423,876         | 297,248         | 208,282         | 122,386         | 845,375          | 2,593,622        |
| External Funding              | (105,119)       | (168,083)       | (199,375)       | (135,037)       | (83,255)        | (51,143)        | (43,754)         | (785,766)        |
| Capital Receipts              | (92,055)        | -               | (21,964)        | (20,535)        | (57,425)        | (72,476)        | (174,153)        | (438,608)        |
| <b>Borrowing Requirement</b>  | <b>79,427</b>   | <b>251,771</b>  | <b>202,537</b>  | <b>141,676</b>  | <b>67,602</b>   | <b>(1,233)</b>  | <b>627,468</b>   | <b>1,369,247</b> |
| Revenue Impacts:              |                 |                 |                 |                 |                 |                 |                  |                  |
| Capital Financing Cost        | 7,841           | 7,192           | 11,370          | 22,943          | 31,072          | 33,853          | 557,548          | 671,821          |
| Financed By:                  |                 |                 |                 |                 |                 |                 |                  |                  |
| Commercial Income             | (512)           | (2,022)         | (3,381)         | (2,812)         | (4,040)         | (5,488)         | (197,541)        | (215,795)        |
| Net Revenue Position          | 7,330           | 5,170           | 7,989           | 20,132          | 27,032          | 28,365          | 360,007          | 456,025          |
| Sinking Fund Adjusted Balance | 1,738           | 7,198           | 4,379           | (4,561)         | (7,815)         | (5,594)         | 4,654            | -                |
| <b>MTP Budget Assumptions</b> | <b>9,068</b>    | <b>12,368</b>   | <b>12,368</b>   | <b>15,571</b>   | <b>19,218</b>   | <b>22,771</b>   | <b>377,067</b>   | <b>468,431</b>   |

- 13.23. The Council aims to maximise its balance sheet assets and as such is able to utilise cash balances derived from working capital (such items as the appeals provision, reserves, affordable housing fund, etc.) rather than borrow externally to finance the net cost of the capital programme. This is referred to as “internal borrowing”. Of the £2.594bn gross General Fund capital expenditure, it is anticipated that £829.5m will ultimately need to be borrowed externally.
- 13.24. The external borrowing is assumed to be PWLB, although other sources of funding will be explored as outlined in this paper. The PWLB interest rate is assumed to increase steadily to 4.7% by 2026/27 and remain at this rate. Every 1% increase in the interest rate will result in an additional £8.3m of revenue cost by 2031/32.
- 13.25. As noted in Section 5, CRG will have a pivotal role in monitoring the cost of funding the programme and ensuring project business cases continue to be viable, and the programme as a whole affordable. Where they assess this not to be the case, action will be taken to bring the programme back to an affordable position.
- 13.26. MRP is applied where the Council has to set aside a revenue allocation for provision of debt repayments (borrowing in the capital programme). MRP replaces other capital charges (e.g. depreciation) in the statement of accounts and has an impact on the Council’s bottom line. MRP will increase and decrease throughout the programme and is sensitive to both expenditure and funding changes. The Council will continue to balance the use of capital receipts, internal borrowing and external borrowing to ensure the most efficient use of resources, including the need to fund MRP.
- 13.27. The Council has an on-going capital programme and will continue to invest in capital projects beyond 2021/22 and will therefore need to ensure that funds are set aside for the future costs of borrowing.

- 13.28. As part of the closure of the Council's annual accounts the City Treasurer will make the most cost effective and appropriate financing arrangements for the capital programme as a whole. Thus funds will not be ring fenced unless legally required.
- 13.29. The above revenue implications of the capital programme will be covered through a mixture of efficiency savings, income generation, use of existing budgets and use of reserves.
- 13.30. The large development schemes, as well as the investment budget, are planned and required to generate an ongoing income stream. The key schemes include Dudley House, Huguenot House and income generated through the investment in the property portfolio.
- 13.31. The current MTP assumed a circa £3.3m annual increase in the cost of financing the capital programme over the next fourteen years. Continuing that policy over the duration of the proposed capital programme, and indexing for inflation, will result in a total budget spend of £468.4m to fund the capital programme
- 13.32. There is a peak revenue impact over the development period, before the key schemes start generating income and efficiency savings. The peak year revenue impact is 2023/24 and 2024/25 therefore it should be noted that reserves will be required to bridge this gap, before being repaid.

### **HRA Financial Implications**

- 13.33. The HRA capital investment requirement over the next 30 years is £1.878bn, and over the first five years £790m. The HRA is subject to a different business planning process that is linked to modelling of the HRA business plan over 30 years. An important distinction compared to other Council capital investment decisions is that HRA resources can only be applied for HRA purposes, and that HRA capital receipts are restricted to fund affordable housing, regeneration or debt redemption.
- 13.34. The Council's latest HRA 30-year business plan focuses upon delivering three key programmes. These are:
- investment to maintain and improve existing council-owned homes
  - delivery of new affordable homes
  - implementation of the housing regeneration programme

- 13.35. The business plan outlines the proposed HRA investment programme and the context within which the business planning has been undertaken. This includes key assumptions as well as a risk register and proposed management strategies available to mitigate any risk.
- 13.36. The indicative proposed five year investment plan is broken down between the three main categories of spend: - HRA major works on our own stock, regeneration spend and other investment plans.
- 13.37. Gross HRA capital expenditure of £790m over the next five years is required to deliver the plans within this investment strategy, including: £206m on works to existing stock; £412m on housing estate regeneration; and £173m on other investment opportunities. This will be funded from £130m of HRA revenue resources, £300m from capital receipts and right to buy sales, £180m from the Councils AHF together with £38m of new borrowing and a capital grant of £26m.

| HRA FIVE YEAR CAPITAL PROGRAMME  |                              |                  |                  |                  |                  |                  |                |                          |
|----------------------------------|------------------------------|------------------|------------------|------------------|------------------|------------------|----------------|--------------------------|
| Schemes                          | 2017-18<br>Forecast<br>£'000 | 2018-19<br>£'000 | 2019-20<br>£'000 | 2020-21<br>£'000 | 2021-22<br>£'000 | 2022-23<br>£'000 | Total<br>£'000 | Total<br>30yr Plan<br>£m |
| <b>Major Works</b>               |                              |                  |                  |                  |                  |                  |                |                          |
| OT Adaptation                    | 1,197                        | 1,200            | 1,200            | 1,200            | 1,200            | 1,200            | 6,000          | 31,197                   |
| Electrical Works & Laterals      | 4,957                        | 7,139            | 5,729            | 6,012            | 6,499            | 5,383            | 30,762         | 286,357                  |
| External Repairs & Decorations   | 8,245                        | 27,747           | 24,301           | 19,095           | 15,363           | 21,305           | 107,812        | 378,842                  |
| Fire Precautions                 | 4,161                        | 13,378           | 11,418           | 4,111            | 2,120            | 2,200            | 33,227         | 61,388                   |
| General                          | 2,511                        | 680              | 50               | 0                | 0                | 500              | 1,230          | 8,941                    |
| Kitchen & Bathroom               | 930                          | 750              | 750              | 700              | 700              | 700              | 3,600          | 26,780                   |
| Lifts                            | 2,698                        | 2,389            | 2,000            | 2,000            | 2,000            | 2,000            | 10,389         | 49,087                   |
| Major Voids                      | 3,500                        | 2,500            | 2,500            | 2,500            | 2,500            | 2,500            | 12,500         | 76,000                   |
| <b>Total Major Works</b>         | <b>28,199</b>                | <b>55,783</b>    | <b>47,948</b>    | <b>35,618</b>    | <b>30,382</b>    | <b>35,788</b>    | <b>205,519</b> | <b>918,592</b>           |
| <b>Regeneration</b>              |                              |                  |                  |                  |                  |                  |                |                          |
| Cosway Street                    | 623                          | 6,545            | 18,638           | 5,856            | 657              | 0                | 31,696         | 32,319                   |
| Lisson Arches                    | 1,985                        | 8,319            | 17,101           | 1,708            | 331              | 0                | 27,460         | 29,445                   |
| Luton Street                     | 246                          | 2,135            | 6,392            | 5,770            | 0                | 0                | 14,296         | 14,542                   |
| Parsons North                    | 621                          | 8,666            | 15,786           | 2,434            | 299              | 0                | 27,185         | 27,806                   |
| Ashbridge                        | 519                          | 5,266            | 7,805            | 181              | 0                | 0                | 13,252         | 13,771                   |
| Church Street Phase Two          | 695                          | 5,312            | 4,595            | 64,891           | 40,494           | 64,306           | 179,598        | 309,918                  |
| Tollgate Gardens                 | 7,257                        | 10,005           | 0                | 0                | 0                | 0                | 10,005         | 17,262                   |
| Other Estates Regeneration       | 10,975                       | 17,274           | 32,876           | 28,481           | 14,153           | 15,424           | 108,208        | 159,216                  |
| <b>Total Regeneration</b>        | <b>22,922</b>                | <b>63,523</b>    | <b>103,193</b>   | <b>109,321</b>   | <b>55,934</b>    | <b>79,729</b>    | <b>411,700</b> | <b>604,279</b>           |
| <b>Other Schemes</b>             |                              |                  |                  |                  |                  |                  |                |                          |
| District Heating Network Scheme  | 726                          | 1,854            | 1,920            | 5,898            | 413              | 0                | 10,085         | 17,713                   |
| Edgware Rd                       | 2,003                        | 37               | 6,564            | 300              | 0                | 0                | 6,901          | 8,904                    |
| Infill Schemes                   | 3,767                        | 12,716           | 17,934           | 15,015           | 10,961           | 15,411           | 72,037         | 152,858                  |
| Self Financing                   | 22,000                       | 10,000           | 0                | 10,000           | 10,000           | 10,000           | 40,000         | 124,800                  |
| Section 106 Acquisitions         | 0                            | 0                | 12,428           | 10               | 10               | 12,428           | 24,876         | 24,876                   |
| Kemp House/Berwick Street        | 10                           | 734              | 24               | 0                | 0                | 0                | 758            | 768                      |
| Ashmill                          | 70                           | 269              | 621              | 10               | 0                | 0                | 900            | 969                      |
| Central Contingency              | 0                            | 5,429            | 6,305            | 2,317            | 1,983            | 1,397            | 17,430         | 24,414                   |
| <b>Total Other Schemes</b>       | <b>28,575</b>                | <b>31,039</b>    | <b>45,795</b>    | <b>33,550</b>    | <b>23,367</b>    | <b>39,236</b>    | <b>172,987</b> | <b>355,302</b>           |
| <b>Total Capital Expenditure</b> | <b>79,697</b>                | <b>150,345</b>   | <b>196,937</b>   | <b>178,489</b>   | <b>109,682</b>   | <b>154,753</b>   | <b>790,206</b> | <b>1,878,173</b>         |
| <b>Financed By:</b>              |                              |                  |                  |                  |                  |                  |                |                          |
| Capital Receipts                 | 15,424                       | 45,605           | 63,862           | 68,653           | 28,911           | 63,906           | 270,938        | 416,830                  |
| Right To Buy                     | 17,476                       | 8,643            | 5,730            | 1,593            | 8,708            | 4,515            | 29,189         | 92,408                   |
| Grants                           | 245                          | 5,905            | 4,563            | 12,000           | 3,500            | 0                | 25,968         | 26,213                   |
| AHF                              | 15,220                       | 18,431           | 25,385           | 66,020           | 21,875           | 48,075           | 179,786        | 328,306                  |
| RCCO                             | 8,001                        | 46,430           | 38,416           | 6,892            | 23,358           | 14,926           | 130,021        | 226,771                  |
| MRA                              | 23,331                       | 23,331           | 23,331           | 23,331           | 23,331           | 23,331           | 116,655        | 699,930                  |
| Borrowing                        | 0                            | 2,000            | 35,650           | 0                | 0                | 0                | 37,650         | 87,715                   |
| <b>Total Financing</b>           | <b>79,697</b>                | <b>150,345</b>   | <b>196,937</b>   | <b>178,489</b>   | <b>109,682</b>   | <b>154,753</b>   | <b>790,206</b> | <b>1,878,173</b>         |

\*\* Forecast is based upon P9 forecast, adjusted to include works arising as a consequence of the impact of Grenfell on Council properties, Self-financing is the spend on new affordable housing assets funded by disposals of assets identified as no longer required. This is part of the strategic asset management strategy

MRA is the HRA proxy for depreciation and is available to fund new capital spend

## 14. Legal Implications

14.1. The legal implications for each individual scheme within the capital programme will be considered when approval is sought for that particular scheme. Each scheme within the capital programme will be approved in accordance with the Council's constitution.

15. **Staffing Implications**

15.1. None specifically in relation to this report

16. **Consultation**

16.1. Consultation and engagement will be carried out on individual schemes with the capital programme.

**If you have any queries about this Report or wish to inspect any of the Background Papers, please contact:**

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smair@westminster.gov.uk  
020 7641 2904*

**BACKGROUND PAPERS:**

Capital Strategy Report 2018-2019 – Cabinet 30<sup>th</sup> October 2017

Capital programme working papers

Capital Programme Submission Requests for individual projects

**Appendices**

**Appendix A1 – Capital Programme 2018/19 to 2022/23, forecast position for 2017/18 and future years' forecasts summarised up to 2031/32 by Cabinet Member**

**Appendix A2 – Capital Programme 2018/19 to 2022/23, forecast position for 2017/18 and future years' forecasts summarised up to 2031/32 by Chief Officer**

**Appendix B – HRA Capital Programme 2018/19 to 2022/23**

## Appendix B - HRA Capital Programme 2018/19 to 2022/23

| HRA FIVE YEAR CAPITAL PROGRAMME  |                  |                  |                  |                  |                  |                |
|----------------------------------|------------------|------------------|------------------|------------------|------------------|----------------|
| Schemes                          | 2018-19<br>£'000 | 2019-20<br>£'000 | 2020-21<br>£'000 | 2021-22<br>£'000 | 2022-23<br>£'000 | Total<br>£'000 |
| <b>Major Works</b>               |                  |                  |                  |                  |                  |                |
| OT Adaptation                    | 1,200            | 1,200            | 1,200            | 1,200            | 1,200            | 6,000          |
| Electrical Works & Laterals      | 7,139            | 5,729            | 6,012            | 6,499            | 5,383            | 30,762         |
| External Repairs & Decorations   | 27,747           | 24,301           | 19,095           | 15,363           | 21,305           | 107,812        |
| Fire Precautions                 | 13,378           | 11,418           | 4,111            | 2,120            | 2,200            | 33,227         |
| General                          | 680              | 50               | 0                | 0                | 500              | 1,230          |
| Kitchen & Bathroom               | 750              | 750              | 700              | 700              | 700              | 3,600          |
| Lifts                            | 2,389            | 2,000            | 2,000            | 2,000            | 2,000            | 10,389         |
| Major Voids                      | 2,500            | 2,500            | 2,500            | 2,500            | 2,500            | 12,500         |
| <b>Total Major Works</b>         | <b>55,783</b>    | <b>47,948</b>    | <b>35,618</b>    | <b>30,382</b>    | <b>35,788</b>    | <b>205,519</b> |
| <b>Regeneration</b>              |                  |                  |                  |                  |                  |                |
| Cosway Street                    | 6,545            | 18,638           | 5,856            | 657              | 0                | 31,696         |
| Lisson Arches                    | 8,319            | 17,101           | 1,708            | 331              | 0                | 27,460         |
| Luton Street                     | 2,135            | 6,392            | 5,770            | 0                | 0                | 14,296         |
| Parsons North                    | 8,666            | 15,786           | 2,434            | 299              | 0                | 27,185         |
| Ashbridge                        | 5,266            | 7,805            | 181              | 0                | 0                | 13,252         |
| Church Street Phase Two          | 5,312            | 4,595            | 64,891           | 40,494           | 64,306           | 179,598        |
| Tollgate Gardens                 | 10,005           | 0                | 0                | 0                | 0                | 10,005         |
| Other Estates Regeneration       | 17,274           | 32,876           | 28,481           | 14,153           | 15,424           | 108,208        |
| <b>Total Regeneration</b>        | <b>63,523</b>    | <b>103,193</b>   | <b>109,321</b>   | <b>55,934</b>    | <b>79,729</b>    | <b>411,700</b> |
| <b>Other Schemes</b>             |                  |                  |                  |                  |                  |                |
| District Heating Network Scheme  | 1,854            | 1,920            | 5,898            | 413              | 0                | 10,085         |
| Edgware Rd                       | 37               | 6,564            | 300              | 0                | 0                | 6,901          |
| Infill Schemes                   | 12,716           | 17,934           | 15,015           | 10,961           | 15,411           | 72,037         |
| Self Financing                   | 10,000           | 0                | 10,000           | 10,000           | 10,000           | 40,000         |
| Section 106 Acquisitions         | 0                | 12,428           | 10               | 10               | 12,428           | 24,876         |
| Kemp House/Berwick Street        | 734              | 24               | 0                | 0                | 0                | 758            |
| Ashmill                          | 269              | 621              | 10               | 0                | 0                | 900            |
| Central Contingency              | 5,429            | 6,305            | 2,317            | 1,983            | 1,397            | 17,430         |
| <b>Total Other Schemes</b>       | <b>31,039</b>    | <b>45,795</b>    | <b>33,550</b>    | <b>23,367</b>    | <b>39,236</b>    | <b>172,987</b> |
| <b>Total Capital Expenditure</b> | <b>150,345</b>   | <b>196,937</b>   | <b>178,489</b>   | <b>109,682</b>   | <b>154,753</b>   | <b>790,206</b> |
| <b>Financed By:</b>              |                  |                  |                  |                  |                  |                |
| Capital Receipts                 | 45,605           | 63,862           | 68,653           | 28,911           | 63,906           | 270,938        |
| Right To Buy                     | 8,643            | 5,730            | 1,593            | 8,708            | 4,515            | 29,189         |
| Grants                           | 5,905            | 4,563            | 12,000           | 3,500            | 0                | 25,968         |
| AHF                              | 18,431           | 25,385           | 66,020           | 21,875           | 48,075           | 179,786        |
| RCCO                             | 46,430           | 38,416           | 6,892            | 23,358           | 14,926           | 130,021        |
| MRA                              | 23,331           | 23,331           | 23,331           | 23,331           | 23,331           | 116,655        |
| Borrowing                        | 2,000            | 35,650           | 0                | 0                | 0                | 37,650         |
| <b>Total Financing</b>           | <b>150,345</b>   | <b>196,937</b>   | <b>178,489</b>   | <b>109,682</b>   | <b>154,753</b>   | <b>790,206</b> |

**Appendix A1 – Capital Programme 2018/19 to 2022/23, forecast position for 2017/18 and future years' forecasts summarised up to 2031/32 by Cabinet Member**

| Project Name   | 2017/18 |                  |           | 2018/19 |                  |           | 2019/20 |                  |           | 2020/21 |                  |           | 2021/22 |                  |           | 2022/23 |                  |           | Future Years |                  |           | Total   | Total            | Total  |
|--|---------|------------------|-----------|---------|------------------|-----------|---------|------------------|-----------|---------|------------------|-----------|---------|------------------|-----------|---------|------------------|-----------|--------------|------------------|-----------|---------|------------------|--------|
|  | Spend   | External Funding | Net Total | Spend        | External Funding | Net Total | Spend   | External Funding | Total  |
| BARNEY & FLOREY  | -       | -                | -         | 182     | (182)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 182     | (182)            | -      |
| BEACHCROFT   | 3,400   | (2,000)          | 1,400     | 13,958  | (1,150)          | 12,808    | 11,881  | (2,802)          | 9,079     | 308     | -                | 308       | -       | -                | -         | -       | -                | -         | -            | -                | -         | 29,547  | (5,952)          | 23,595 |
| CARLTON DENE   | 100     | -                | 100       | 300     | -                | 300       | 5,175   | (19,760)         | (14,585)  | 21,990  | -                | 21,990    | 21,000  | -                | 21,000    | 331     | -                | 331       | -            | -                | -         | 48,896  | (19,760)         | 29,136 |
| CUSTOMER SELF SERVICE DIGITAL ENHANCEMENT                | -       | -                | -         | 100     | (100)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 100     | (100)            | -      |
| FRAMEWORKING UPGRADE TO MOSAIC                           | 246     | (246)            | -         | 150     | (150)            | -         | 400     | (400)            | -         | 200     | (200)            | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 996     | (996)            | -      |
| HEALTH INTEGRATION                                       | 50      | (50)             | -         | 150     | (150)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 200     | (200)            | -      |
| LUPUS STREET   | -       | -                | -         | 327     | (327)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 327     | (327)            | -      |
| MOBILE WORKING   | 100     | (100)            | -         | 100     | (100)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 200     | (200)            | -      |
| PEOPLE FIRST WEBSITE                                     | 50      | (50)             | -         | 50      | (50)             | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 100     | (100)            | -      |
| WESTMEAD   | 100     | -                | 100       | 300     | -                | 300       | 2,300   | -                | 2,300     | 10,600  | -                | 10,600    | 10,650  | -                | 10,650    | 580     | -                | 580       | -            | -                | -         | 24,530  | -                | 24,530 |
| Adult Social Services & Public Health Total              | 4,046   | (2,446)          | 1,600     | 15,617  | (2,209)          | 13,408    | 19,756  | (22,962)         | (3,206)   | 33,098  | (200)            | 32,898    | 31,650  | -                | 31,650    | 911     | -                | 911       | -            | -                | -         | 105,078 | (27,817)         | 77,261 |
| BEACHCROFT EXPANSION                                     | 130     | (130)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 130     | (130)            | -      |
| HALLFIELD COMMUNITY SPACES PROJECT                       | 230     | (230)            | -         | 687     | (687)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 917     | (917)            | -      |
| HALLFIELD HEATING & DISTRIBUTION                         | 642     | (642)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 642     | (642)            | -      |
| KING SOLOMON SCHOOL EXPANSION                            | 364     | (364)            | -         | 3,916   | (3,916)          | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 4,280   | (4,280)          | -      |
| PIMLICO ACADEMY  | 5       | (5)              | -         | 5,111   | (5,111)          | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 5,116   | (5,116)          | -      |
| PORTMAN - BOILER AND DISTRIBUTION                        | 104     | (104)            | -         | 750     | (620)            | 130       | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 854     | (724)            | 130    |
| QUEEN'S PARK SAFEGUARDING WORKS                          | 20      | (20)             | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 20      | (20)             | -      |
| QUEENS PARK SCHOOL - BOILER REPLACEMENT                  | 131     | (131)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 131     | (131)            | -      |
| REMODELLING OF EARLY HELP/CHILDREN'S SERVICES INVESTMENT | 807     | -                | 807       | 120     | -                | 120       | 250     | -                | 250       | 250     | -                | 250       | 250     | -                | 250       | 250     | -                | 250       | -            | -                | -         | 1,927   | -                | 1,927  |
| ROBINSFIELD NEW RECEPTION                                | 108     | (108)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 108     | (108)            | -      |
| SCHOOLS MINOR WORKS PROJECTS                             | 142     | (142)            | -         | 200     | (200)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 342     | (342)            | -      |
| ST GEORGE'S SCHOOL EXPANSION                             | 4,159   | (4,159)          | -         | 2,559   | (2,559)          | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 6,718   | (6,718)          | -      |
| UNIVERSAL INFANT FREE SCHOOL MEALS                       | 20      | (20)             | 0         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 20      | (20)             | 0      |
| WESTMINSTER CITY SCHOOL ACADEMY EXPANSION                | 3,994   | (3,994)          | 0         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 3,994   | (3,994)          | 0      |
| Children, Families And Young People Total                | 10,856  | (10,049)         | 807       | 13,343  | (13,093)         | 250       | 250     | -                | 250       | 250     | -                | 250       | 250     | -                | 250       | 250     | -                | 250       | -            | -                | -         | 25,199  | (23,142)         | 2,057  |
| BUSINESS PROCESSING AND TECHNOLOGY CONTRACT - PARKING    | -       | -                | -         | -       | -                | -         | 400     | -                | 400       | 350     | -                | 350       | -       | -                | -         | -       | -                | -         | -            | -                | -         | 750     | -                | 750    |
| CAMBRIDGE CIRCUS IMPROVEMENTS                            | 1,268   | (542)            | 726       | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 1,268   | (542)            | 726    |
| CCTV CRIME AND DISORDER ESTATE                           | 1,546   | -                | 1,546     | 158     | -                | 158       | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 1,704   | -                | 1,704  |
| CYCLE SCHEMES  | 2,952   | (2,952)          | -         | 6,000   | (6,000)          | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 8,952   | (8,952)          | -      |
| HARROW ROAD BRIDGE CATHODIC PROTECTION                   | 100     | -                | 100       | 2,400   | -                | 2,400     | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 2,500   | -                | 2,500  |
| LED LIGHTING   | -       | -                | -         | 988     | -                | 988       | 1,700   | -                | 1,700     | 1,100   | -                | 1,100     | -       | -                | -         | -       | -                | -         | -            | -                | -         | 3,788   | -                | 3,788  |
| LOCAL SAFETY AND TRAFFIC MANAGEMENT SCHEMES              | 3,798   | (2,587)          | 1,211     | 4,333   | (3,833)          | 500       | 1,100   | (700)            | 400       | 1,100   | (700)            | 400       | 1,060   | (275)            | 785       | 1,065   | (275)            | 790       | -            | -                | -         | 10,331  | (7,820)          | 2,511  |
| PEDESTRIAN CROSSING FACILITIES                           | -       | -                | -         | 850     | (300)            | 550       | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 850     | (300)            | 550    |
| PICCADILLY UNDERPASS                                     | 100     | -                | 100       | 3,300   | -                | 3,300     | 2,000   | -                | 2,000     | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 5,400   | -                | 5,400  |
| PLANNED PREVENTATIVE MAINTENANCE - BRIDGES AND STRUCTURE | 871     | (200)            | 671       | 1,115   | (375)            | 740       | 1,010   | (250)            | 760       | 1,060   | (275)            | 785       | 1,060   | (275)            | 785       | 1,065   | (275)            | 790       | -            | -                | -         | 6,181   | (1,650)          | 4,531  |
| PLANNED PREVENTATIVE MAINTENANCE - HIGHWAYS              | 9,467   | (721)            | 8,746     | 8,800   | -                | 8,800     | 8,090   | -                | 8,090     | 8,243   | -                | 8,243     | 7,405   | -                | 7,405     | 5,590   | -                | 5,590     | -            | -                | -         | 47,595  | (721)            | 46,874 |
| PLANNED PREVENTATIVE MAINTENANCE - LIGHTING              | 2,890   | -                | 2,890     | 3,068   | -                | 3,068     | 2,708   | -                | 2,708     | 2,779   | -                | 2,779     | 2,855   | -                | 2,855     | 2,931   | -                | 2,931     | -            | -                | -         | 17,231  | -                | 17,231 |
| VICTORIA EMBANKMENT STURGEONS                            | 420     | -                | 420       | 200     | -                | 200       | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 620     | -                | 620    |
| WATERLOO AND GOLDEN JUBILEE BRIDGE                       | 900     | -                | 900       | 1,455   | -                | 1,455     | 600     | -                | 600       | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 2,955   | -                | 2,955  |
| City Highways Total                                      | 24,312  | (7,002)          | 17,310    | 32,667  | (10,508)         | 22,159    | 17,608  | (950)            | 16,658    | 14,632  | (975)            | 13,657    | 11,320  | (275)            | 11,045    | 9,586   | (275)            | 9,311     | -            | -                | -         | 110,125 | (19,985)         | 90,140 |
| BAKER STREET TWO WAY                                     | 5,700   | (5,700)          | -         | 6,574   | (6,346)          | 228       | 6,326   | (5,803)          | 523       | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 18,600  | (17,849)         | 751    |
| BOND STREET  | 4,922   | (3,787)          | 1,135     | 2,361   | (1,610)          | 751       | 716     | (560)            | 156       | 101     | (510)            | (409)     | -       | -                | -         | -       | -                | -         | -            | -                | -         | 8,100   | (6,467)          | 1,633  |
| CHURCH STREET GREEN SPINE PHASE 1                        | -       | -                | -         | 2,800   | (2,800)          | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 2,800   | (2,800)          | -      |
| CROSS RAIL, BOND STREET WESTERN TICKET HALL              | -       | -                | -         | 1,013   | (1,013)          | -         | 1,213   | (1,213)          | -         | -       | -                | -         | 1,213   | (1,213)          | -         | -       | -                | -         | -            | -                | -         | 3,439   | (3,439)          | -      |
| EVENTS AND FILMING                                       | -       | -                | -         | 50      | -                | 50        | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 50      | -                | 50     |
| HANOVER SQUARE   | 750     | (750)            | -         | 5,421   | (5,421)          | -         | 4,128   | (2,992)          | 1,136     | 3,445   | -                | 3,445     | -       | -                | -         | -       | -                | -         | -            | -                | -         | 13,744  | (9,163)          | 4,581  |
| NEW HOME BONUS PLACES OF WORK                            | -       | -                | -         | 400     | (400)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 400     | (400)            | -      |
| QUEENSWAY STREETScape                                    | 600     | -                | 600       | 4,551   | (2,300)          | 2,251     | 500     | (500)            | -         | 750     | (750)            | -         | 1,750   | (1,750)          | -         | 3,000   | (3,000)          | -         | -            | -                | -         | 11,151  | (8,300)          | 2,851  |
| Deputy Leader , Business, Culture & Heritage Total       | 11,972  | (10,237)         | 1,735     | 23,170  | (19,890)         | 3,280     | 12,883  | (11,068)         | 1,815     | 4,296   | (1,260)          | 3,036     | 2,963   | (2,963)          | -         | 3,000   | (3,000)          | -         | -            | -                | -         | 58,284  | (48,418)         | 9,866  |
| CEMETERIES IMPROVEMENTS                                  | 67      | -                | 67        | 50      | -                | 50        | 38      | -                | 38        | 38      | -                | 38        | 38      | -                | 38        | 38      | -                | 38        | -            | -                | -         | 269     | -                | 269    |
| CHANGING ROOM REFURBISHMENT PROGRAMME                    | 150     | -                | 150       | 50      | -                | 50        | 150     | -                | 150       | 100     | -                | 100       | 150     | -                | 150       | 100     | -                | 100       | -            | -                | -         | 700     | -                | 700    |
| LEISURE FACILITIES CAPITAL INVESTMENT PROGRAMME          | 576     | (100)            | 476       | 730     | -                | 730       | 430     | -                | 430       | 565     | -                | 565       | 375     | -                | 375       | 425     | -                | 425       | 375          | -                | 375       | 3,476   | (100)            | 3,376  |
| LIBRARIES 6 YEAR REDECORATION PROGRAMME                  | 314     | -                | 314       | 985     | -                | 985       | 500     | -                | 500       | 400     | -                | 400       | 400     | -                | 400       | 400     | -                | 400       | -            | -                | -         | 2,999   | -                | 2,999  |
| MOBERLEY SPORTS CENTRE REDEVELOPMENT                     | 11,335  | (1,400)          | 9,935     | 1,239   | -                | 1,239     | 1,067   | -                | 1,067     | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 13,641  | (1,400)          | 12,241 |
| MULTI USE GAMES AREAS AND OUTDOOR FITNESS FACILITIES     | 70      | -                | 70        | 345     | (170)            | 175       | 35      | -                | 35        | 35      | -                | 35        | 35      | -                | 35        | 35      | -                | 35        | -            | -                | -         | 485     | (170)            | 315    |
| OPEN SPACES AND GREENER PLACES                           | -       | -                | -         | 225     | (25)             | 200       | 225     | (25)             | 200       | 225     | (25)             | 200       | 225     | (25)             | 200       | 225     | (25)             | 200       | 225          | (25)             | 200       | 1,350   | (150)            | 1,200  |
| OPEN SPACES STRATEGY AND PARKS CAPITAL WORKS             | 401     | -                | 401       | 150     | -                | 150       | 150     | -                | 150       | 150     | -                | 150       | 150     | -                | 150       | 150     | -                | 150       | -            | -                | -         | 1,151   | -                | 1,151  |
| PADDINGTON RECREATION GROUND CAPITAL IMPROVEMENTS        | 137     | -                | 137       | 45      |                  |           |         |                  |           |         |                  |           |         |                  |           |         |                  |           |              |                  |           |         |                  |        |

**Appendix A1 – Capital Programme 2018/19 to 2022/23, forecast position for 2017/18 and future years' forecasts summarised up to 2031/32 by Cabinet Member**

| Project Name   | 2017/18 |                  |           | 2018/19 |                  |           | 2019/20 |                  |           | 2020/21 |                  |           | 2021/22 |                  |           | 2022/23 |                  |           | Future Years |                  |           | Total       |                        |                 |
|--|---------|------------------|-----------|---------|------------------|-----------|---------|------------------|-----------|---------|------------------|-----------|---------|------------------|-----------|---------|------------------|-----------|--------------|------------------|-----------|-------------|------------------------|-----------------|
|  | Spend   | External Funding | Net Total | Spend        | External Funding | Net Total | Total Spend | Total External Funding | Total Net Total |
| 9/11 NEW CAVENDISH STREET                              | 414     | -                | 414       | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 414       | -           | 414                    |                 |
| CAPITAL CONTINGENCY                                    | 4,500   | -                | 4,500     | 19,849  | -                | 19,849    | 26,040  | -                | 26,040    | 18,681  | -                | 18,681    | 17,898  | -                | 17,898    | 21,486  | -                | 21,486    | 86,051       | -                | 86,051    | 194,505     | -                      | 194,505         |
| CAPITALISATION OF PENSION CONTRIBUTION                 | 20,000  | -                | 20,000    | 10,000  | -                | 10,000    | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 30,000    | -           | 30,000                 |                 |
| CAPITALISED SALARY COSTS                               | 504     | -                | 504       | 554     | -                | 554       | 565     | -                | 565       | 576     | -                | 576       | 588     | -                | 588       | 600     | -                | 600       | -            | -                | -         | 3,387       | -                      | 3,387           |
| CIRCUS ROAD  | 45      | -                | 45        | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 45        | -           | 45                     |                 |
| CITY HALL IMPROVEMENT - MAJOR REFURBISHMENT            | 30,000  | -                | 30,000    | 46,091  | -                | 46,091    | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 76,091    | -           | 76,091                 |                 |
| CITY HALL REVENUE COSTS                                | 9,000   | -                | 9,000     | 9,000   | -                | 9,000     | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 18,000    | -           | 18,000                 |                 |
| CORPORATE SOFTWARE LICENCES                            | 15      | -                | 15        | 50      | -                | 50        | -       | -                | -         | 50      | -                | 50        | 50      | -                | 50        | 50      | -                | 50        | 400          | -                | 400       | 615         | -                      | 615             |
| COSWAY STREET  | 200     | -                | 200       | 300     | -                | 300       | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 500       | -           | 500                    |                 |
| COUNCIL HOUSE FIT OUT OF ADDITIONAL REQUIREMENTS       | 696     | -                | 696       | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 696       | -           | 696                    |                 |
| COUNCIL HOUSE LEASE DISPOSAL COSTS                     | 1,656   | -                | 1,656     | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 1,656     | -           | 1,656                  |                 |
| DATA CENTRE REFRESH                                    | 90      | -                | 90        | 110     | -                | 110       | 100     | -                | 100       | 100     | -                | 100       | 100     | -                | 100       | 100     | -                | 100       | 800          | -                | 800       | 1,400       | -                      | 1,400           |
| DATA NETWORK REFRESH                                   | 401     | -                | 401       | 449     | -                | 449       | 200     | -                | 200       | 200     | -                | 200       | 200     | -                | 200       | 200     | -                | 200       | 1,600        | -                | 1,600     | 3,250       | -                      | 3,250           |
| DIGITAL TRANSFORMATION                                 | 2,056   | -                | 2,056     | 1,944   | -                | 1,944     | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 4,000     | -           | 4,000                  |                 |
| DUDLEY HOUSE   | 31,825  | (15,846)         | 15,979    | 41,438  | (28,180)         | 13,258    | 5,008   | (2,573)          | 2,435     | 906     | -                | 906       | -       | -                | -         | -       | -                | -         | -            | -                | 79,177    | (46,599)    | 32,578                 |                 |
| END USER COMPUTING REFRESH                             | 434     | -                | 434       | 2,283   | -                | 2,283     | 600     | -                | 600       | 700     | -                | 700       | 100     | -                | 100       | 1,500   | -                | 1,500     | 4,400        | -                | 4,400     | 10,017      | -                      | 10,017          |
| ENERGY MONITOR & TARGET                                | 230     | -                | 230       | 520     | -                | 520       | 150     | -                | 150       | 50      | -                | 50        | 50      | -                | 50        | 50      | -                | 50        | -            | -                | 1,050     | -           | 1,050                  |                 |
| FARM STREET  | 199     | -                | 199       | 54      | -                | 54        | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 253       | -           | 253                    |                 |
| FORWARD MANAGEMENT PLAN                                | 1,100   | -                | 1,100     | 1,007   | -                | 1,007     | 817     | -                | 817       | 842     | -                | 842       | 867     | -                | 867       | 893     | -                | 893       | -            | -                | 5,526     | -           | 5,526                  |                 |
| FUTURE EDUCATION NEEDS PROJECT                         | -       | -                | -         | 650     | -                | 650       | 15,000  | (5,000)          | 10,000    | 15,000  | (4,500)          | 10,500    | 5,000   | -                | 5,000     | -       | -                | -         | -            | -                | 35,650    | (9,500)     | 26,150                 |                 |
| FUTURE YEAR NET SPEND                                  | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | 400,000      | -                | 400,000   | 400,000     | -                      | 400,000         |
| LANDLORD RESP – ABBEY CENTRE                           | 55      | -                | 55        | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 55        | -           | 55                     |                 |
| LANDLORD RESPONSIBILITIES                              | 898     | -                | 898       | 1,719   | -                | 1,719     | 1,250   | -                | 1,250     | 1,250   | -                | 1,250     | 1,500   | -                | 1,500     | 1,500   | -                | 1,500     | -            | -                | 8,117     | -           | 8,117                  |                 |
| LANDLORD RESPONSIBILITY - MAYFAIR LIBRARY              | 815     | -                | 815       | 135     | -                | 135       | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 950       | -           | 950                    |                 |
| LANDLORD RESPONSIBILITY- REGENCY CAFE                  | -       | -                | -         | 140     | -                | 140       | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 140       | -           | 140                    |                 |
| LEICESTER SQUARE TICKET BOOTH                          | -       | -                | -         | 470     | -                | 470       | 2,000   | -                | 2,000     | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 2,470     | -           | 2,470                  |                 |
| STRATEGIC ACQUISITIONS - DEVELOPMENT                   | -       | -                | -         | -       | -                | -         | 2,676   | -                | 2,676     | 5,810   | -                | 5,810     | 7,032   | -                | 7,032     | 11,847  | -                | 11,847    | 271,930      | -                | 271,930   | 299,295     | -                      | 299,295         |
| LISSON GROVE IMPROVEMENT-INFRASTRUCTURE                | 600     | -                | 600       | 681     | -                | 681       | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 1,281     | -           | 1,281                  |                 |
| LISSON GROVE PROGRAMME                                 | 1,000   | -                | 1,000     | 2,000   | -                | 2,000     | 3,000   | -                | 3,000     | 12,000  | -                | 12,000    | 18,000  | -                | 18,000    | 12,000  | -                | 12,000    | 32,000       | -                | 32,000    | 80,000      | -                      | 80,000          |
| LUXBOROUGH DEVELOPMENT                                 | 200     | -                | 200       | 1,200   | -                | 1,200     | 7,835   | -                | 7,835     | 10,839  | -                | 10,839    | 2,756   | -                | 2,756     | -       | -                | -         | -            | -                | 22,830    | -           | 22,830                 |                 |
| MANDELA WAY UPGRADE RENTAL PROPERTY                    | -       | -                | -         | 398     | -                | 398       | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 398       | -           | 398                    |                 |
| MINIMUM ENERGY EFFICIENCY STANDARD (MEES) - INVESTMENT | -       | -                | -         | 50      | -                | 50        | 125     | -                | 125       | 50      | -                | 50        | 25      | -                | 25        | 25      | -                | 25        | 25           | -                | 300       | -           | 300                    |                 |
| PARKING & INTEGRATED STREET MANAGEMENT IT              | 77      | -                | 77        | 623     | -                | 623       | 75      | -                | 75        | 75      | -                | 75        | 75      | -                | 75        | 400     | -                | 400       | 2,000        | -                | 2,000     | 3,325       | -                      | 3,325           |
| PROPERTY INVESTMENT SCHEMES                            | 16,000  | -                | 16,000    | 46,613  | -                | 46,613    | 25,000  | -                | 25,000    | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 87,613    | -           | 87,613                 |                 |
| REFURBISHMENT OF CORONERS COURT                        | 50      | -                | 50        | 2,850   | -                | 2,850     | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 2,900     | -           | 2,900                  |                 |
| SEYMOUR LEISURE CENTRE (MARYLEBONE LIBRARY)            | 150     | -                | 150       | 1,850   | -                | 1,850     | 3,033   | -                | 3,033     | 1,550   | -                | 1,550     | 100     | -                | 100       | -       | -                | -         | -            | -                | 6,683     | -           | 6,683                  |                 |
| SIR SIMON MILTON UNIVERSITY TECHNICAL COLLEGE          | 4,021   | (8,303)          | (4,282)   | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 4,021     | (8,303)     | (4,282)                |                 |
| STRATEGIC ACQUISITION - HUGUENOT HOUSE                 | 3,500   | -                | 3,500     | 5,000   | -                | 5,000     | 16,400  | -                | 16,400    | 1,500   | -                | 1,500     | -       | -                | -         | -       | -                | -         | -            | -                | 26,400    | -           | 26,400                 |                 |
| STRATEGIC ACQUISITIONS                                 | 4,500   | -                | 4,500     | 16,942  | -                | 16,942    | 89,422  | -                | 89,422    | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 110,864   | -           | 110,864                |                 |
| Finance, Property & Corporate Services Total           | 136,580 | (24,149)         | 112,431   | 216,210 | (28,420)         | 187,790   | 203,126 | (7,736)          | 195,390   | 109,287 | (4,500)          | 104,787   | 75,394  | -                | 75,394    | 51,678  | -                | 51,678    | 799,206      | -                | 799,206   | 1,591,481   | (64,805)               | 1,526,676       |
| AFFORDABLE HOUSING FUNDING BUDGET                      | 12,588  | (12,588)         | -         | 17,287  | (17,287)         | -         | 6,250   | (6,250)          | -         | 6,250   | (6,250)          | -         | 6,250   | (6,250)          | -         | 6,250   | (6,250)          | -         | 27,500       | (27,500)         | -         | 82,375      | (82,375)               | -               |
| CHURCH STREET GREEN SPINAL                             | 200     | (200)            | -         | -       | (500)            | (500)     | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 200       | (700)       | (500)                  |                 |
| DISABLED FACILITIES GRANT PROGRAMME                    | 1,297   | (1,297)          | -         | 1,297   | (1,297)          | -         | 1,297   | (1,297)          | -         | 1,297   | (1,297)          | -         | 1,297   | (1,297)          | -         | 1,297   | (1,297)          | -         | -            | -                | 7,782     | (7,782)     | -                      |                 |
| HOUSING INVESTMENT IN DISCHARGE OF DUTY                | 13,500  | -                | 13,500    | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 13,500    | -           | 13,500                 |                 |
| HOUSING INVESTMENT IN DISCHARGE OF DUTY PHASE 2        | 3,000   | -                | 3,000     | 12,000  | -                | 12,000    | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 15,000    | -           | 15,000                 |                 |
| SAFE AND SECURE RENOVATION                             | 100     | -                | 100       | 200     | -                | 200       | 200     | -                | 200       | 200     | -                | 200       | 200     | -                | 200       | 200     | -                | 200       | -            | -                | 1,100     | -           | 1,100                  |                 |
| TEMPORARY ACCOMMODATION PURCHASES                      | 5,779   | -                | 5,779     | 2,700   | -                | 2,700     | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 8,479     | -           | 8,479                  |                 |
| TEMPORARY ACCOMMODATION PURCHASES (IN BOROUGH BUY)     | 19,551  | (19,551)         | -         | 16,168  | (16,168)         | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 35,719    | (35,719)    | -                      |                 |
| Housing Total  | 56,015  | (33,636)         | 22,379    | 49,652  | (35,252)         | 14,400    | 7,747   | (7,547)          | 200       | 7,747   | (7,547)          | 200       | 7,747   | (7,547)          | 200       | 7,747   | (7,547)          | 200       | 27,500       | (27,500)         | 164,155   | (126,576)   | 37,579                 |                 |
| ABELL AND CLELAND PUBLIC REALM                         | 100     | (100)            | -         | 1,040   | (1,040)          | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 1,140     | (1,140)     | -                      |                 |
| BERKELEY SQUARE NORTH                                  | 500     | (500)            | -         | 4,500   | (4,500)          | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 5,000     | (5,000)     | -                      |                 |
| CEREMONIAL STREETScape                                 | 1,500   | (1,500)          | -         | 8,400   | (8,400)          | -         | 2,000   | (2,000)          | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 11,900    | (11,900)    | -                      |                 |
| CLEVELAND ROW PUBLIC REALM                             | 58      | (58)             | -         | 992     | (1,012)          | (20)      | 20      | -                | 20        | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 1,070     | (1,070)     | -                      |                 |
| CORK STREET MEWS PUBLIC REALM                          | 55      | (55)             | -         | 850     | (850)            | -         | 320     | (350)            | (30)      | 30      | -                | 30        | -       | -                | -         | -       | -                | -         | -            | -                | 1,255     | (1,255)     | -                      |                 |
| COVENT GARDEN STREETScape SCHEME                       | -       | -                | -         | 2,000   | (2,000)          | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 2,000     | (2,000)     | -                      |                 |
| DUKE STREET PUBLIC REALM                               | 654     | (654)            | -         | 1,200   | (1,200)          | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 1,854     | (1,854)     | -                      |                 |
| EAST MAYFAIR PUBLIC REALM SCHEME                       | 421     | (421)            | -         | 3,365   | (3,096)          | 269       | 1,411   | (1,411)          | -         | 1,393   | (1,393)          | -         | -       | -                | -         | -       | -                | -         | -            | -                | 6,590     | (6,321)     | 269                    |                 |
| GLASSHOUSE STREET HIGHWAY SOFTENING                    | 14      | (14)             | -         | 800     | (800)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 814       | (814)       | -                      |                 |
| JERMYN STREET  | 3,000   | (3,000)          | -         | 3,000   | (3,700)          | (700)     | 600     | -                | 600       | 100     | -                | 100       | -       | -                | -         | -       | -                | -         | -            | -                | 6,700     | (6,700)     | -                      |                 |
| MARYLEBONE LANE PHASE 2                                | 664     | (664)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 664       | (664)       | -                      |                 |
| MOTCOMB STREET PUBLIC REALM IMPROVEMENTS               | 922     | (922)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 922       | (922)       | -                      |                 |
| NEWPORT PLACE  | 1,000   | (1,000)          | -         | 1,350   | (1,000)          | 350       | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 2,350     | (2,000)     | 350                    |                 |
| NORTH AUDLEY STREET PUBLIC REALM                       | 150     | (150)            | -         | 300     | (300)            | -         | 450     | (450)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 900       | (900)       | -                      |                 |
| PARLIAMENTARY ESTATES DUCTING                          | 1,800   | (1,800)          | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 1,800     | (1,800)     | -                      |                 |
| POLLEN STREET PUBLIC REALM                             | 110     | (110)            | -         | 400     | (400)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 510       | (510)       | -                      |                 |
| PUBLIC REALM IMPROVEMENT SCHEMES                       | 3,267   | (3,192)          | 75        | 5,890   | (5,890)          | -         | 6,000   | (6,000)          | -         | 5,000   | (5,000)          | -         | 5,000   | (5,000)          | -         | 5,000   | (5,000)          | -         | -            | -                | 30,157    | (30,082)    | 75                     |                 |
| SHERWOOD STREET FOOTWAYS MODIFICATIONS                 | -       | -                | -         | 650     | (650)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 650       | (650)       | -                      |                 |
| ST JAMES'S PALACE FORECOURT                            | 250     | (250)            | -         | 1,950   | (1,950)          | -         | 450     | (450)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | 2,650     | (2,650)     | -                      |                 |
| STREET TREES - NEW PLANTING                            | 170     | -                | 170       | 200     | -                | 200       | 200     | -                | 200       | 200     |                  |           |         |                  |           |         |                  |           |              |                  |           |             |                        |                 |

**Appendix A1 – Capital Programme 2018/19 to 2022/23, forecast position for 2017/18 and future years' forecasts summarised up to 2031/32 by Cabinet Member**

| Project Name                      | 2017/18                          |                  |                | 2018/19        |                  |                | 2019/20        |                  |                | 2020/21        |                  |                | 2021/22        |                  |                | 2022/23          |                  |               | Future Years   |                  |                | Total            | Total            | Total            |       |
|-----------------------------------|----------------------------------|------------------|----------------|----------------|------------------|----------------|----------------|------------------|----------------|----------------|------------------|----------------|----------------|------------------|----------------|------------------|------------------|---------------|----------------|------------------|----------------|------------------|------------------|------------------|-------|
|                                   | Spend                            | External Funding | Net Total      | Spend          | External Funding | Net Total      | Spend          | External Funding | Net Total      | Spend          | External Funding | Net Total      | Spend          | External Funding | Net Total      | Spend            | External Funding | Net Total     | Spend          | External Funding | Net Total      | Spend            | External Funding | Total Net        |       |
| WEP - FREIGHT                     | -                                | -                | -              | -              | -                | -              | 2,550          | (2,300)          | 250            | 1,200          | (1,100)          | 100            | 250            | (200)            | 50             | 50               | (50)             | -             | -              | -                | -              | 4,050            | (3,650)          | 400              |       |
| WEP - GENERAL FUNDING             | -                                | -                | -              | -              | -                | -              | 6,507          | -                | 6,507          | 3,000          | -                | 3,000          | 3,000          | -                | 3,000          | 3,000            | -                | 3,000         | -              | -                | -              | 15,507           | -                | 15,507           |       |
| WEP - OXFORD STREET EAST          | 597                              | (512)            | 85             | -              | -                | -              | 76,141         | (75,629)         | 512            | 53,455         | (53,455)         | -              | 39,874         | (39,874)         | -              | 14,296           | (14,296)         | -             | 1,545          | (1,545)          | -              | 185,908          | (185,311)        | 597              |       |
| WEP - OXFORD STREET WEST          | 1,496                            | (728)            | 768            | 19,738         | (18,860)         | 878            | 35,458         | (35,458)         | -              | 41,413         | (41,413)         | -              | 23,524         | (23,524)         | -              | 20,300           | (20,300)         | -             | 14,209         | (14,209)         | -              | 156,138          | (154,492)        | 1,646            |       |
| WEP - THE STRAND/ALDWYCH          | 936                              | (146)            | 790            | 251            | -                | 251            | 10,859         | (10,909)         | (50)           | 12,119         | (12,119)         | -              | 3,067          | (3,067)          | -              | 2,125            | -                | 2,125         | -              | -                | -              | -                | 29,357           | (26,241)         | 3,116 |
| <b>West End Partnership Total</b> | <b>3,832</b>                     | <b>(1,563)</b>   | <b>2,269</b>   | <b>22,475</b>  | <b>(19,703)</b>  | <b>2,772</b>   | <b>146,715</b> | <b>(137,336)</b> | <b>9,379</b>   | <b>117,787</b> | <b>(113,117)</b> | <b>4,670</b>   | <b>71,915</b>  | <b>(67,345)</b>  | <b>4,570</b>   | <b>41,671</b>    | <b>(35,046)</b>  | <b>6,625</b>  | <b>17,254</b>  | <b>(16,004)</b>  | <b>1,250</b>   | <b>421,649</b>   | <b>(390,114)</b> | <b>31,535</b>    |       |
| <b>Grand Total</b>                | <b>276,601</b>                   | <b>(105,119)</b> | <b>171,482</b> | <b>419,854</b> | <b>(168,083)</b> | <b>251,771</b> | <b>423,876</b> | <b>(199,375)</b> | <b>224,501</b> | <b>297,248</b> | <b>(135,037)</b> | <b>162,211</b> | <b>208,282</b> | <b>(83,255)</b>  | <b>125,027</b> | <b>122,386</b>   | <b>(51,143)</b>  | <b>71,243</b> | <b>845,375</b> | <b>(43,754)</b>  | <b>801,621</b> | <b>2,593,622</b> | <b>(785,766)</b> | <b>1,807,855</b> |       |
|                                   | Spend                            | 276,601          |                | 419,854        |                  | 423,876        |                | 297,248          |                | 208,282        |                  | 122,386        |                | 845,375          |                | 2,593,622        |                  |               |                |                  |                |                  |                  |                  |       |
|                                   | External Funding                 | (105,119)        |                | (168,083)      |                  | (199,375)      |                | (135,037)        |                | (83,255)       |                  | (51,143)       |                | (43,754)         |                | (785,766)        |                  |               |                |                  |                |                  |                  |                  |       |
|                                   |                                  | <b>171,482</b>   |                | <b>251,771</b> |                  | <b>224,501</b> |                | <b>162,211</b>   |                | <b>125,027</b> |                  | <b>71,243</b>  |                | <b>801,621</b>   |                | <b>1,807,855</b> |                  |               |                |                  |                |                  |                  |                  |       |
|                                   | Capital Receipts                 | (92,055)         |                | (21,964)       |                  | (21,964)       |                | (20,535)         |                | (57,425)       |                  | (72,476)       |                | (174,153)        |                | (438,608)        |                  |               |                |                  |                |                  |                  |                  |       |
|                                   | <b>Net Borrowing Requirement</b> | <b>79,427</b>    |                | <b>251,771</b> |                  | <b>202,537</b> |                | <b>141,676</b>   |                | <b>67,602</b>  |                  | <b>(1,233)</b> |                | <b>627,468</b>   |                | <b>1,369,247</b> |                  |               |                |                  |                |                  |                  |                  |       |

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**Appendix A2 – Capital Programme 2018/19 to 2022/23, forecast position for 2017/18 and future years' forecasts summarised up to 2031/32 by Chief Officer**

| Project Name   | 2017/18 |                  |           | 2018/19 |                  |           | 2019/20 |                  |           | 2020/21 |                  |           | 2021/22 |                  |           | 2022/23 |                  |           | Future Years |                  |           | Total       |                        |                 |
|--|---------|------------------|-----------|---------|------------------|-----------|---------|------------------|-----------|---------|------------------|-----------|---------|------------------|-----------|---------|------------------|-----------|--------------|------------------|-----------|-------------|------------------------|-----------------|
|  | Spend   | External Funding | Net Total | Spend        | External Funding | Net Total | Total Spend | Total External Funding | Total Net Total |
| BARNEY & FLOREY  | -       | -                | -         | 182     | (182)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 182         | (182)                  | -               |
| CUSTOMER SELF SERVICE DIGITAL ENHANCEMENT                | -       | -                | -         | 100     | (100)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 100         | (100)                  | -               |
| FRAMEWORKING UPGRADE TO MOSAIC                           | 246     | (246)            | -         | 150     | (150)            | -         | 400     | (400)            | -         | 200     | (200)            | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 996         | (996)                  | -               |
| HEALTH INTEGRATION                                       | 50      | (50)             | -         | 150     | (150)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 200         | (200)                  | -               |
| LUPUS STREET   | -       | -                | -         | 327     | (327)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 327         | (327)                  | -               |
| MOBILE WORKING   | 100     | (100)            | -         | 100     | (100)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 200         | (200)                  | -               |
| PEOPLE FIRST WEBSITE                                     | 50      | (50)             | -         | 50      | (50)             | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 100         | (100)                  | -               |
| Adult's Services Total                                   | 446     | (446)            | -         | 1,059   | (1,059)          | -         | 400     | (400)            | -         | 200     | (200)            | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 2,105       | (2,105)                | -               |
| BEACHCROFT EXPANSION                                     | 130     | (130)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 130         | (130)                  | -               |
| HALLFIELD COMMUNITY SPACES PROJECT                       | 230     | (230)            | -         | 687     | (687)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 917         | (917)                  | -               |
| HALLFIELD HEATING & DISTRIBUTION                         | 642     | (642)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 642         | (642)                  | -               |
| KING SOLOMON SCHOOL EXPANSION                            | 364     | (364)            | -         | 3,916   | (3,916)          | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 4,280       | (4,280)                | -               |
| PIMLICO ACADEMY  | 5       | (5)              | -         | 5,111   | (5,111)          | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 5,116       | (5,116)                | -               |
| PORTMAN - BOILER AND DISTRIBUTION                        | 104     | (104)            | -         | 750     | (620)            | 130       | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 854         | (724)                  | 130             |
| QUEEN'S PARK SAFEGUARDING WORKS                          | 20      | (20)             | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 20          | (20)                   | -               |
| QUEENS PARK SCHOOL - BOILER REPLACEMENT                  | 131     | (131)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 131         | (131)                  | -               |
| REMODELLING OF EARLY HELP/CHILDREN'S SERVICES INVESTMENT | 807     | -                | 807       | 120     | -                | 120       | 250     | -                | 250       | 250     | -                | 250       | 250     | -                | 250       | 250     | -                | 250       | -            | 250              | -         | 1,927       | -                      | 1,927           |
| ROBINFIELD NEW RECEPTION                                 | 108     | (108)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 108         | (108)                  | -               |
| SCHOOLS MINOR WORKS PROJECTS                             | 142     | (142)            | -         | 200     | (200)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 342         | (342)                  | -               |
| ST GEORGE'S SCHOOL EXPANSION                             | 4,159   | (4,159)          | -         | 2,559   | (2,559)          | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 6,718       | (6,718)                | -               |
| UNIVERSAL INFANT FREE SCHOOL MEALS                       | 20      | (20)             | 0         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 20          | (20)                   | 0               |
| WESTMINSTER CITY SCHOOL ACADEMY EXPANSION                | 3,994   | (3,994)          | 0         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 3,994       | (3,994)                | 0               |
| Children's Services Total                                | 10,856  | (10,049)         | 807       | 13,343  | (13,093)         | 250       | 250     | -                | 250       | 250     | -                | 250       | 250     | -                | 250       | 250     | -                | 250       | -            | 250              | -         | 25,199      | (23,142)               | 2,057           |
| ABELL AND CLELAND PUBLIC REALM                           | 100     | (100)            | -         | 1,040   | (1,040)          | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 1,140       | (1,140)                | -               |
| BAKER STREET TWO WAY                                     | 5,700   | (5,700)          | -         | 6,574   | (6,346)          | 228       | 6,326   | (5,803)          | 523       | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 18,600      | (17,849)               | 751             |
| BERKELEY SQUARE NORTH                                    | 500     | (500)            | -         | 4,500   | (4,500)          | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 5,000       | (5,000)                | -               |
| BOND STREET  | 4,922   | (3,787)          | 1,135     | 2,361   | (1,610)          | 751       | 716     | (560)            | 156       | 101     | (510)            | (409)     | -       | -                | -         | -       | -                | -         | -            | -                | -         | 8,100       | (6,467)                | 1,633           |
| BUSINESS PROCESSING AND TECHNOLOGY CONTRACT - PARKING    | -       | -                | -         | -       | -                | -         | 400     | -                | 400       | 350     | -                | 350       | -       | -                | -         | -       | -                | -         | -            | -                | -         | 750         | -                      | 750             |
| CAMBRIDGE CIRCUS IMPROVEMENTS                            | 1,268   | (542)            | 726       | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 1,268       | (542)                  | 726             |
| CCTV CRIME AND DISORDER ESTATE                           | 1,546   | -                | 1,546     | 158     | -                | 158       | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 1,704       | -                      | 1,704           |
| CEMETERIES IMPROVEMENTS                                  | 67      | -                | 67        | 50      | -                | 50        | 38      | -                | 38        | 38      | -                | 38        | 38      | -                | 38        | 38      | -                | 38        | -            | 38               | -         | 269         | -                      | 269             |
| CEREMONIAL STREETScape                                   | 1,500   | (1,500)          | -         | 8,400   | (8,400)          | -         | 2,000   | (2,000)          | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 11,900      | (11,900)               | -               |
| CHANGING ROOM REFURBISHMENT PROGRAMME                    | 150     | -                | 150       | 50      | -                | 50        | 150     | -                | 150       | 100     | -                | 100       | 150     | -                | 150       | 100     | -                | 100       | -            | 100              | -         | 700         | -                      | 700             |
| CLEVELAND ROW PUBLIC REALM                               | 58      | (58)             | -         | 992     | (1,012)          | (20)      | 992     | (1,012)          | (20)      | 20      | -                | 20        | -       | -                | -         | -       | -                | -         | -            | -                | -         | 1,070       | (1,070)                | -               |
| CORK STREET MEWS PUBLIC REALM                            | 55      | (55)             | -         | 850     | (850)            | -         | 320     | (350)            | (30)      | 30      | -                | 30        | -       | -                | -         | -       | -                | -         | -            | -                | -         | 1,255       | (1,255)                | -               |
| COVENT GARDEN STREETScape SCHEME                         | -       | -                | -         | 2,000   | (2,000)          | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 2,000       | (2,000)                | -               |
| CROSS RAIL, BOND STREET WESTERN TICKET HALL              | -       | -                | -         | 1,013   | (1,013)          | -         | 1,213   | (1,213)          | -         | -       | -                | -         | 1,213   | (1,213)          | -         | -       | -                | -         | -            | -                | -         | 3,439       | (3,439)                | -               |
| CYCLE SCHEMES  | 2,952   | (2,952)          | -         | 6,000   | (6,000)          | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 8,952       | (8,952)                | -               |
| DISABLED FACILITIES GRANT PROGRAMME                      | 1,297   | (1,297)          | -         | 1,297   | (1,297)          | -         | 1,297   | (1,297)          | -         | 1,297   | (1,297)          | -         | 1,297   | (1,297)          | -         | 1,297   | (1,297)          | -         | -            | -                | -         | 7,782       | (7,782)                | -               |
| DUKE STREET PUBLIC REALM                                 | 654     | (654)            | -         | 1,200   | (1,200)          | -         | 1,200   | (1,200)          | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 1,854       | (1,854)                | -               |
| EAST MAYFAIR PUBLIC REALM SCHEME                         | 421     | (421)            | -         | 3,365   | (3,096)          | 269       | 1,411   | (1,411)          | -         | 1,393   | (1,393)          | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 6,590       | (6,321)                | 269             |
| GLASSHOUSE STREET HIGHWAY SOFTENING                      | 14      | (14)             | -         | 800     | (800)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 814         | (814)                  | -               |
| HANOVER SQUARE   | 750     | (750)            | -         | 5,421   | (5,421)          | -         | 4,128   | (2,992)          | 1,136     | 3,445   | -                | 3,445     | -       | -                | -         | -       | -                | -         | -            | -                | -         | 13,744      | (9,163)                | 4,581           |
| HARROW ROAD BRIDGE CATHODIC PROTECTION                   | 100     | -                | 100       | 2,400   | -                | 2,400     | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 2,500       | -                      | 2,500           |
| JERMYN STREET  | 3,000   | (3,000)          | -         | 3,000   | (3,700)          | (700)     | 600     | -                | 600       | 100     | -                | 100       | -       | -                | -         | -       | -                | -         | -            | -                | -         | 6,700       | (6,700)                | -               |
| LED LIGHTING   | -       | -                | -         | 988     | -                | 988       | 1,700   | -                | 1,700     | 1,100   | -                | 1,100     | -       | -                | -         | -       | -                | -         | -            | -                | -         | 3,788       | -                      | 3,788           |
| LEISURE FACILITIES CAPITAL INVESTMENT PROGRAMME          | 576     | (100)            | 476       | 730     | -                | 730       | 430     | -                | 430       | 565     | -                | 565       | 375     | -                | 375       | 425     | -                | 425       | 375          | -                | 375       | 3,476       | (100)                  | 3,376           |
| LIBRARIES 6 YEAR REDECORATION PROGRAMME                  | 314     | -                | 314       | 985     | -                | 985       | 500     | -                | 500       | 400     | -                | 400       | 400     | -                | 400       | 400     | -                | 400       | -            | -                | -         | 2,999       | -                      | 2,999           |
| LOCAL SAFETY AND TRAFFIC MANAGEMENT SCHEMES              | 3,798   | (2,587)          | 1,211     | 4,333   | (3,833)          | 500       | 1,100   | (700)            | 400       | 1,100   | (700)            | 400       | -       | -                | -         | -       | -                | -         | -            | -                | -         | 10,331      | (7,820)                | 2,511           |
| MARYLEBONE LANE PHASE 2                                  | 664     | (664)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 664         | (664)                  | -               |
| MOTCOMB STREET PUBLIC REALM IMPROVEMENTS                 | 922     | (922)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 922         | (922)                  | -               |
| MULTI USE GAMES AREAS AND OUTDOOR FITNESS FACILITIES     | 70      | -                | 70        | 345     | (170)            | 175       | 35      | -                | 35        | 35      | -                | 35        | -       | -                | -         | -       | -                | -         | -            | -                | -         | 485         | (170)                  | 315             |
| NEWPORT PLACE  | 1,000   | (1,000)          | -         | 1,350   | (1,000)          | 350       | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 2,350       | (2,000)                | 350             |
| NORTH AUDLEY STREET PUBLIC REALM                         | 150     | (150)            | -         | 300     | (300)            | -         | 450     | (450)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 900         | (900)                  | -               |
| OPEN SPACES STRATEGY AND PARKS CAPITAL WORKS             | 401     | -                | 401       | 150     | -                | 150       | 150     | -                | 150       | 150     | -                | 150       | 150     | -                | 150       | 150     | -                | 150       | -            | -                | -         | 1,151       | -                      | 1,151           |
| PADDINGTON RECREATION GROUND CAPITAL IMPROVEMENTS        | 137     | -                | 137       | 45      | -                | 45        | 40      | -                | 40        | 30      | -                | 30        | 240     | (100)            | 140       | 240     | (100)            | 140       | 40           | -                | 40        | 772         | (200)                  | 572             |
| PADDINGTON RECREATION GROUND CHILDRENS PLAYGROUND        | 90      | -                | 90        | 110     | -                | 110       | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 200         | -                      | 200             |
| PADDINGTON RECREATION GROUND SYNTHETIC PITCH REPLACEMENT | -       | -                | -         | 400     | -                | 400       | 50      | -                | 50        | 50      | -                | 50        | -       | -                | -         | -       | -                | -         | -            | -                | -         | 500         | -                      | 500             |
| PARKS - BERKELEY SQUARE INFRASTRUCTURE IMPROVEMENTS      | -       | -                | -         | 240     | (240)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 240         | (240)                  | -               |
| PARKS LANDSCAPING AND INFRASTRUCTURE IMPROVEMENTS        | -       | -                | -         | 215     | (215)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 215         | (215)                  | -               |
| PARLIAMENTARY ESTATES DUCTING                            | 1,800   | (1,800)          | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 1,800       | (1,800)                | -               |
| PEDESTRIAN CROSSING FACILITIES                           | -       | -                | -         | 850     | (300)            | 550       | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 850         | (300)                  | 550             |
| PICCADILLY UNDERPASS                                     | 100     | -                | 100       | 3,300   | -                | 3,300     | 2,000   | -                | 2,000     | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 5,400       | -                      | 5,400           |
| PLANNED PREVENTATIVE MAINTENANCE - BRIDGES AND STRUCTURE | 871     | (200)            | 671       | 1,115   | (375)            | 740       | 1,010   | (250)            | 760       | 1,060   | (275)            | 785       | 1,060   | (275)            | 785       | 1,065   | (275)            | 790       | -            | -                | -         | 6,181       | (1,650)                | 4,531           |
| PLANNED PREVENTATIVE MAINTENANCE - HIGHWAYS              | 9,467   | (721)            | 8,746     | 8,800   | -                | 8,800     | 8,090   | -                | 8,090     | 8,243   | -                | 8,243     | 7,405   | -                | 7,405     | 5,590   | -                | 5,590     | -            | -                | -         | 47,595      | (721)                  | 46,874          |
| PLANNED PREVENTATIVE MAINTENANCE - LIGHTING              | 2,890   | -                | 2,890     | 3,068   | -                | 3,068     | 2,708   | -                | 2,708     | 2,779   | -                | 2,779     | 2,855   | -                | 2,855     | 2,931   | -                | 2,931     | -            | -                | -         | 17,231      | -                      | 17,231          |
| PLAY FACILITIES - FUNDED                                 | -       | -                | -         | 185     | (185)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 185         | (185)                  | -               |
| PLAYGROUNDS MINOR WORKS                                  | 81      | -                | 81        | 50      | -                | 50        | 50      | -                | 50        | 50      | -                | 50        | 50      | -                | 50        | 50      | -                | 50        | -            | -                | -         | 331         | -                      | 331             |
| POLLEN STREET PUBLIC REALM                               | 110     | (110)            | -         | 400     | (400)            | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -            | -                | -         | 510         | (510)                  | -               |
| PORCHESTER SPA - MAIN POOL CAPITAL WORKS                 | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | -       | -                | -         | 500     | (150)            | 350       | 500          | (150)            | 350       | 1,000       | (300)                  | 700             |
| PUBLIC REALM IMPROVEMENT SCHEMES                         | 3,290   |                  |           |         |                  |           |         |                  |           |         |                  |           |         |                  |           |         |                  |           |              |                  |           |             |                        |                 |

**Appendix A2 – Capital Programme 2018/19 to 2022/23, forecast position for 2017/18 and future years' forecasts summarised up to 2031/32 by Chief Officer**

| Project Name   | 2017/18       |                  |               | 2018/19       |                  |               | 2019/20       |                  |               | 2020/21       |                  |               | 2021/22       |                  |               | 2022/23       |                  |               | Future Years   |                  |                | Total          |                        |                |
|--|---------------|------------------|---------------|---------------|------------------|---------------|---------------|------------------|---------------|---------------|------------------|---------------|---------------|------------------|---------------|---------------|------------------|---------------|----------------|------------------|----------------|----------------|------------------------|----------------|
|  | Spend         | External Funding | Net Total     | Spend          | External Funding | Net Total      | Total Spend    | Total External Funding | Total Net      |
| ST JAMES'S PALACE FORECOURT                            | 250           | (250)            | -             | 1,950         | (1,950)          | -             | 450           | (450)            | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -              | -                | 2,650          | (2,650)        | -                      |                |
| ST JOHNS GARDEN HORSEFERRY ROAD WALL                   | 107           | -                | 107           | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -              | -                | 107            | -              | 107                    |                |
| STRUTTON GROUND  | 300           | (124)            | 176           | 2,414         | (1,270)          | 1,144         | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -              | -                | 2,714          | (1,394)        | 1,320                  |                |
| ULTRA LOW EMISSION ZONE COMPLIANCE - WASTE FLEET       | -             | -                | -             | 2,070         | -                | 2,070         | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -              | -                | 2,070          | -              | 2,070                  |                |
| VICTORIA EMBANKMENT STURGEONS                          | 420           | -                | 420           | 200           | -                | 200           | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -              | -                | 620            | -              | 620                    |                |
| VILLIERS STREET PUBLIC REALM                           | -             | -                | -             | 100           | (100)            | -             | 1,000         | (1,000)          | -             | 1,500         | (1,000)          | 500           | -             | -                | -             | -             | -                | -             | -              | -                | 2,600          | (2,100)        | 500                    |                |
| WASTE CONTAINERS                                       | 180           | -                | 180           | 140           | -                | 140           | 140           | -                | 140           | -             | 140              | 140           | 140           | -                | 140           | 140           | -                | 140           | -              | 140              | -              | -              | 880                    |                |
| WATERLOO AND GOLDEN JUBILEE BRIDGE                     | 900           | -                | 900           | 1,455         | -                | 1,455         | 600           | -                | 600           | -             | -                | -             | -             | -                | -             | -             | -                | -             | -              | -                | 2,955          | -              | 2,955                  |                |
| WESTMINSTER REFERENCE LIBRARY REFURBISHMENT            | 340           | -                | 340           | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -              | -                | 340            | -              | 340                    |                |
| <b>City Management &amp; Communities Total</b>         | <b>55,163</b> | <b>(33,173)</b>  | <b>21,990</b> | <b>99,140</b> | <b>(67,478)</b>  | <b>31,662</b> | <b>46,287</b> | <b>(25,066)</b>  | <b>21,221</b> | <b>30,151</b> | <b>(10,945)</b>  | <b>19,206</b> | <b>22,398</b> | <b>(9,635)</b>   | <b>12,763</b> | <b>21,201</b> | <b>(9,822)</b>   | <b>11,379</b> | <b>990</b>     | <b>(225)</b>     | <b>765</b>     | <b>275,330</b> | <b>(156,344)</b>       | <b>118,986</b> |
| CAPITAL CONTINGENCY                                    | 4,500         | -                | 4,500         | 19,849        | -                | 19,849        | 26,040        | -                | 26,040        | 18,681        | -                | 18,681        | 17,898        | -                | 17,898        | 21,486        | -                | 21,486        | 86,051         | -                | 86,051         | 194,505        | -                      | 194,505        |
| CAPITALISATION OF PENSION CONTRIBUTION                 | 20,000        | -                | 20,000        | 10,000        | -                | 10,000        | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -              | -                | -              | 30,000         | -                      | 30,000         |
| CITY HALL REVENUE COSTS                                | 9,000         | -                | 9,000         | 9,000         | -                | 9,000         | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -              | -                | -              | 18,000         | -                      | 18,000         |
| FUTURE YEAR NET SPEND                                  | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | 400,000        | -                | 400,000        | 400,000        | -                      | 400,000        |
| <b>City Treasurer Total</b>                            | <b>33,500</b> | <b>-</b>         | <b>33,500</b> | <b>38,849</b> | <b>-</b>         | <b>38,849</b> | <b>26,040</b> | <b>-</b>         | <b>26,040</b> | <b>18,681</b> | <b>-</b>         | <b>18,681</b> | <b>17,898</b> | <b>-</b>         | <b>17,898</b> | <b>21,486</b> | <b>-</b>         | <b>21,486</b> | <b>486,051</b> | <b>-</b>         | <b>486,051</b> | <b>642,505</b> | <b>-</b>               | <b>642,505</b> |
| CORPORATE SOFTWARE LICENCES                            | 15            | -                | 15            | 50            | -                | 50            | -             | -                | -             | 50            | -                | 50            | 50            | -                | 50            | 50            | -                | 50            | 400            | -                | 400            | 615            | -                      | 615            |
| DATA CENTRE REFRESH                                    | 90            | -                | 90            | 110           | -                | 110           | 100           | -                | 100           | 100           | -                | 100           | 100           | -                | 100           | 100           | -                | 100           | 800            | -                | 800            | 1,400          | -                      | 1,400          |
| DATA NETWORK REFRESH                                   | 401           | -                | 401           | 449           | -                | 449           | 200           | -                | 200           | 200           | -                | 200           | 200           | -                | 200           | 200           | -                | 200           | 1,600          | -                | 1,600          | 3,250          | -                      | 3,250          |
| DIGITAL TRANSFORMATION                                 | 2,056         | -                | 2,056         | 1,944         | -                | 1,944         | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -              | -                | -              | 4,000          | -                      | 4,000          |
| END USER COMPUTING REFRESH                             | 434           | -                | 434           | 2,283         | -                | 2,283         | 600           | -                | 600           | 700           | -                | 700           | 100           | -                | 100           | 1,500         | -                | 1,500         | 4,400          | -                | 4,400          | 10,017         | -                      | 10,017         |
| PARKING & INTEGRATED STREET MANAGEMENT IT              | 77            | -                | 77            | 623           | -                | 623           | 75            | -                | 75            | 75            | -                | 75            | 75            | -                | 75            | 400           | -                | 400           | 2,000          | -                | 2,000          | 3,325          | -                      | 3,325          |
| <b>Corporate Services Total</b>                        | <b>3,073</b>  | <b>-</b>         | <b>3,073</b>  | <b>5,459</b>  | <b>-</b>         | <b>5,459</b>  | <b>975</b>    | <b>-</b>         | <b>975</b>    | <b>1,125</b>  | <b>-</b>         | <b>1,125</b>  | <b>525</b>    | <b>-</b>         | <b>525</b>    | <b>2,250</b>  | <b>-</b>         | <b>2,250</b>  | <b>9,200</b>   | <b>-</b>         | <b>9,200</b>   | <b>22,607</b>  | <b>-</b>               | <b>22,607</b>  |
| 291 HARROW ROAD  | -             | -                | -             | 240           | (240)            | -             | 330           | (163)            | 167           | -             | -                | -             | -             | -                | -             | -             | -                | -             | -              | -                | -              | 570            | (403)                  | 167            |
| 33 TACHBROOK STREET                                    | 950           | -                | 950           | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -              | -                | -              | 950            | -                      | 950            |
| 41 WHITCOMB/HUGUENOT HOUSE REDEVELOPMENT               | 400           | -                | 400           | 1,000         | -                | 1,000         | 3,500         | -                | 3,500         | 39,108        | -                | 39,108        | 21,053        | -                | 21,053        | 1,027         | -                | 1,027         | -              | -                | -              | 66,088         | -                      | 66,088         |
| 9/11 NEW CAVENDISH STREET                              | 414           | -                | 414           | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -              | -                | -              | 414            | -                      | 414            |
| AFFORDABLE HOUSING FUNDING BUDGET                      | 12,588        | (12,588)         | -             | 17,287        | (17,287)         | -             | 6,250         | (6,250)          | -             | 6,250         | (6,250)          | -             | 6,250         | (6,250)          | -             | 6,250         | (6,250)          | -             | 27,500         | (27,500)         | -              | 82,375         | (82,375)               | -              |
| BEACHCROFT   | 3,400         | (2,000)          | 1,400         | 13,958        | (1,150)          | 12,808        | 11,881        | (2,802)          | 9,079         | 308           | -                | 308           | -             | -                | -             | -             | -                | -             | -              | -                | -              | 29,547         | (5,952)                | 23,595         |
| CAPITALISED SALARY COSTS                               | 504           | -                | 504           | 554           | -                | 554           | 565           | -                | 565           | 576           | -                | 576           | 588           | -                | 588           | 600           | -                | 600           | -              | -                | -              | 3,387          | -                      | 3,387          |
| CARLTON DENE   | 100           | -                | 100           | 300           | -                | 300           | 5,175         | (19,760)         | (14,585)      | 21,990        | -                | 21,990        | 21,000        | -                | 21,000        | 331           | -                | 331           | -              | -                | -              | 48,896         | (19,760)               | 29,136         |
| CHURCH STREET GREEN SPINAL                             | 200           | (200)            | -             | -             | (500)            | (500)         | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -              | -                | -              | 200            | (700)                  | (500)          |
| CHURCH STREET GREEN SPINE PHASE 1                      | -             | -                | -             | 2,800         | (2,800)          | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -              | -                | -              | 2,800          | (2,800)                | -              |
| CIRCUS ROAD  | 45            | -                | 45            | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -              | -                | -              | 45             | -                      | 45             |
| CITY HALL IMPROVEMENT - MAJOR REFURBISHMENT            | 30,000        | -                | 30,000        | 46,091        | -                | 46,091        | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -              | -                | -              | 76,091         | -                      | 76,091         |
| COSWAY STREET  | 200           | -                | 200           | 300           | -                | 300           | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -              | -                | -              | 500            | -                      | 500            |
| COUNCIL HOUSE FIT OUT OF ADDITIONAL REQUIREMENTS       | 696           | -                | 696           | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -              | -                | -              | 696            | -                      | 696            |
| COUNCIL HOUSE LEASE DISPOSAL COSTS                     | 1,656         | -                | 1,656         | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -              | -                | -              | 1,656          | -                      | 1,656          |
| DUDLEY HOUSE   | 31,825        | (15,846)         | 15,979        | 41,438        | (28,180)         | 13,258        | 5,008         | (2,573)          | 2,435         | 906           | -                | 906           | -             | -                | -             | -             | -                | -             | -              | -                | -              | 79,177         | (46,599)               | 32,578         |
| ENERGY MONITOR & TARGET                                | 230           | -                | 230           | 520           | -                | 520           | 150           | -                | 150           | 50            | -                | 50            | 50            | -                | 50            | 50            | -                | 50            | -              | -                | -              | 1,050          | -                      | 1,050          |
| FARM STREET  | 199           | -                | 199           | 54            | -                | 54            | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -              | -                | -              | 253            | -                      | 253            |
| FORWARD MANAGEMENT PLAN                                | 1,100         | -                | 1,100         | 1,007         | -                | 1,007         | 817           | -                | 817           | 842           | -                | 842           | 867           | -                | 867           | 893           | -                | 893           | -              | -                | -              | 5,526          | -                      | 5,526          |
| FUTURE EDUCATION NEEDS PROJECT                         | -             | -                | -             | 650           | -                | 650           | 15,000        | (5,000)          | 10,000        | 15,000        | (4,500)          | 10,500        | 5,000         | -                | 5,000         | -             | -                | -             | -              | -                | -              | 35,650         | (9,500)                | 26,150         |
| HOUSING INVESTMENT IN DISCHARGE OF DUTY                | 13,500        | -                | 13,500        | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -              | -                | -              | 13,500         | -                      | 13,500         |
| HOUSING INVESTMENT IN DISCHARGE OF DUTY PHASE 2        | 3,000         | -                | 3,000         | 12,000        | -                | 12,000        | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -              | -                | -              | 15,000         | -                      | 15,000         |
| LANDLORD RESP – ABBEY CENTRE                           | 55            | -                | 55            | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -              | -                | -              | 55             | -                      | 55             |
| LANDLORD RESPONSIBILITIES                              | 898           | -                | 898           | 1,719         | -                | 1,719         | 1,250         | -                | 1,250         | 1,250         | -                | 1,250         | 1,500         | -                | 1,500         | 1,500         | -                | 1,500         | -              | -                | -              | 8,117          | -                      | 8,117          |
| LANDLORD RESPONSIBILITY - MAYFAIR LIBRARY              | 815           | -                | 815           | 135           | -                | 135           | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -              | -                | -              | 950            | -                      | 950            |
| LANDLORD RESPONSIBILITY- REGENCY CAFE                  | -             | -                | -             | 140           | -                | 140           | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -              | -                | -              | 140            | -                      | 140            |
| LEICESTER SQUARE TICKET BOOTH                          | -             | -                | -             | 470           | -                | 470           | 2,000         | -                | 2,000         | -             | -                | -             | -             | -                | -             | -             | -                | -             | -              | -                | -              | 2,470          | -                      | 2,470          |
| STRATEGIC ACQUISITIONS - DEVELOPMENT                   | -             | -                | -             | -             | -                | -             | 2,676         | -                | 2,676         | 5,810         | -                | 5,810         | 7,032         | -                | 7,032         | 11,847        | -                | 11,847        | 271,930        | -                | 271,930        | 299,295        | -                      | 299,295        |
| LISSON GROVE IMPROVEMENT-INFRASTRUCTURE                | 600           | -                | 600           | 681           | -                | 681           | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -              | -                | -              | 1,281          | -                      | 1,281          |
| LISSON GROVE PROGRAMME                                 | 1,000         | -                | 1,000         | 2,000         | -                | 2,000         | 3,000         | -                | 3,000         | 12,000        | -                | 12,000        | 18,000        | -                | 18,000        | 12,000        | -                | 12,000        | 32,000         | -                | 32,000         | 80,000         | -                      | 80,000         |
| LUXBOROUGH DEVELOPMENT                                 | 200           | -                | 200           | 1,200         | -                | 1,200         | 7,835         | -                | 7,835         | 10,839        | -                | 10,839        | 2,756         | -                | 2,756         | -             | -                | -             | -              | -                | -              | 22,830         | -                      | 22,830         |
| MANDELA WAY UPGRADE RENTAL PROPERTY                    | -             | -                | -             | 398           | -                | 398           | -             | -                | -             | -             | -                | -             | -             | -                | -             | -             | -                | -             | -              | -                | -              | 398            | -                      | 398            |
| MINIMUM ENERGY EFFICIENCY STANDARD (MEES) - INVESTMENT | -             | -                | -             | 50            | -                | 50            | 125           | -                | 125           | 50            | -                | 50            | 25            | -                | 25            | 25            | -                | 25            | 25             | -                | 25             | 300            | -                      | 300            |
| MOBERLEY SPORTS CENTRE REDEVELOPMENT                   | 11,335        | (1,400)          | 9,935         | 1,239         | -                | 1,239         | 1,067         | -                | 1,067         | -             | -                | -             | -             | -                | -             | -             | -                | -             | -              | -                | -              | 13,641         | (1,400)                | 12,241         |
| NEW HOME BONUS PLACES OF WORK                          | -             | -                | -             | 400           | (400)            | -             | -             | -                |               |               |                  |               |               |                  |               |               |                  |               |                |                  |                |                |                        |                |

**Appendix A2 – Capital Programme 2018/19 to 2022/23, forecast position for 2017/18 and future years' forecasts summarised up to 2031/32 by Chief Officer**

| Project Name             | 2017/18                          |                  |                | 2018/19        |                  |                | 2019/20        |                  |                | 2020/21        |                  |                | 2021/22        |                  |                | 2022/23        |                  |               | Future Years   |                  |                | Total            |                        |                  |
|--------------------------|----------------------------------|------------------|----------------|----------------|------------------|----------------|----------------|------------------|----------------|----------------|------------------|----------------|----------------|------------------|----------------|----------------|------------------|---------------|----------------|------------------|----------------|------------------|------------------------|------------------|
|                          | Spend                            | External Funding | Net Total      | Spend          | External Funding | Net Total      | Spend          | External Funding | Net Total      | Spend          | External Funding | Net Total      | Spend          | External Funding | Net Total      | Spend          | External Funding | Net Total     | Spend          | External Funding | Net Total      | Total Spend      | Total External Funding | Total Net Total  |
| WEP - OXFORD STREET WEST | 1,496                            | (728)            | 768            | 19,738         | (18,860)         | 878            | 35,458         | (35,458)         | -              | 41,413         | (41,413)         | -              | 23,524         | (23,524)         | -              | 20,300         | (20,300)         | -             | 14,209         | (14,209)         | -              | 156,138          | (154,492)              | 1,646            |
| WEP - THE STRAND/ALDWYCH | 936                              | (146)            | 790            | 251            | -                | 251            | 10,859         | (10,909)         | (50)           | 12,119         | (12,119)         | -              | 3,067          | (3,067)          | -              | 2,125          | -                | 2,125         | -              | -                | -              | 29,357           | (26,241)               | 3,116            |
| <b>WEP Total</b>         | <b>3,832</b>                     | <b>(1,563)</b>   | <b>2,269</b>   | <b>22,475</b>  | <b>(19,703)</b>  | <b>2,772</b>   | <b>146,715</b> | <b>(137,336)</b> | <b>9,379</b>   | <b>117,787</b> | <b>(113,117)</b> | <b>4,670</b>   | <b>71,915</b>  | <b>(67,345)</b>  | <b>4,570</b>   | <b>41,671</b>  | <b>(35,046)</b>  | <b>6,625</b>  | <b>17,254</b>  | <b>(16,004)</b>  | <b>1,250</b>   | <b>421,649</b>   | <b>(390,114)</b>       | <b>31,535</b>    |
| <b>Grand Total</b>       | <b>276,601</b>                   | <b>(105,119)</b> | <b>171,482</b> | <b>419,854</b> | <b>(168,083)</b> | <b>251,771</b> | <b>423,876</b> | <b>(199,375)</b> | <b>224,501</b> | <b>297,248</b> | <b>(135,037)</b> | <b>162,211</b> | <b>208,282</b> | <b>(83,255)</b>  | <b>125,027</b> | <b>122,386</b> | <b>(51,143)</b>  | <b>71,243</b> | <b>845,375</b> | <b>(43,754)</b>  | <b>801,621</b> | <b>2,593,622</b> | <b>(785,766)</b>       | <b>1,807,855</b> |
|                          | Spend                            | 276,601          |                | 419,854        |                  | 251,771        | 423,876        |                  | 224,501        | 297,248        |                  | 162,211        | 208,282        |                  | 125,027        | 122,386        |                  | 71,243        | 845,375        |                  | 801,621        | 2,593,622        |                        | 1,807,855        |
|                          | External Funding                 | (105,119)        |                | (168,083)      |                  | 251,771        | (199,375)      |                  | 224,501        | (135,037)      |                  | 162,211        | (83,255)       |                  | 125,027        | (51,143)       |                  | 71,243        | (43,754)       |                  | 801,621        | (785,766)        |                        | 1,807,855        |
|                          | Capital Receipts                 | (92,055)         |                |                |                  |                | (21,964)       |                  |                | (20,535)       |                  |                | (57,425)       |                  |                | (72,476)       |                  |               | (174,153)      |                  |                | (438,608)        |                        |                  |
|                          | <b>Net Borrowing Requirement</b> | <b>79,427</b>    |                | <b>251,771</b> |                  | <b>251,771</b> | <b>202,537</b> |                  | <b>224,501</b> | <b>141,676</b> |                  | <b>162,211</b> | <b>67,602</b>  |                  | <b>125,027</b> | <b>(1,233)</b> |                  | <b>71,243</b> | <b>627,468</b> |                  | <b>801,621</b> | <b>1,369,247</b> |                        | <b>1,807,855</b> |

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## City of Westminster

|                           |  |
|---------------------------|--|
| <b>Decision Maker:</b>    | <b>Cabinet</b>   |
| <b>Date:</b>              | <b>19 February 2018</b>  |
| <b>Classification:</b>    | <b>General Release</b>   |
| <b>Title:</b>             | <b>Integrated Investment Framework</b>   |
| <b>Wards Affected:</b>    | <b>All</b>   |
| <b>Policy Context:</b>    | <b>To manage the Council's finances prudently and efficiently.</b>   |
| <b>Cabinet Member</b>     | <b>Cllr T Mitchell, Cabinet Member for Finance, Property and Corporate Services</b>  |
| <b>Financial Summary:</b> | <b>Implementation of an Integrated Investment Framework will influence investment decisions going forwards and deliver added value to Council services. This report identifies the potential for improved returns aspiring to match inflation in a full year compared with the current forecast return of 0.55%.</b> |
| <b>Report of:</b>         | <b>Steven Mair, City Treasurer<br/>020 7641 2831<br/>smair@westminster.gov.uk</b>  |

### EXECUTIVE SUMMARY

1. Members will be aware that the 8 November 2017 meeting of Full Council gave approval to implement a comprehensive strategic integrated investment framework for bringing together and managing all of its investments.
2. The Council holds £1.4bn of short term cash based investments (as at 12 January 2018), managed under the Treasury Management Strategy, which passes through Scrutiny, Cabinet and Full Council on an annual basis. The Council also owns a significant number of Investment Properties, currently valued at £455m, which are considered as part of the Capital Programme, and holds longer term investments, mostly Government bonds and equity shareholdings. In addition, the Council is responsible for managing the Pension Fund which has net assets of £1.3bn, and operates under the Investment Strategy Statement (ISS) set by the Pension Fund Committee.
3. In summary, the Council holds £1.4bn of treasury investments for less than one year in high grade but very liquid investments, generating a forecast return of 0.55% and £0.4bn in much longer term illiquid property investments, generating around 4.2%. Compared with the current inflation rate as measured by CPI of 3.0% (as at January 2018), treasury investments are depreciating in value. The £1.4bn treasury portfolio

is 68% concentrated in the banking sector, and the property portfolio is concentrated within the borough. There is currently therefore limited diversification in the current investment portfolio.

4. This report sets out:
- the Council's strategic objectives in respect of risk management, and its attitude towards investment risk;
  - current levels of investment activity;
  - proposals for an Integrated Investment Framework for the Council going forward which seeks to diversify the risk and thus future-proof the Council against possible future economic downturns;
  - actions to be taken in connection with implementing this Framework, if agreed.

## **RECOMMENDATIONS**

5. That the Council:
- a) approve and implement the Integrated Investment Framework set out in this report;
  - b) approve that the target for the overall return on Council investments should aspire to match inflation;
  - c) approve that the benefits of investing in the Pension Fund should be used as a benchmark when evaluating other investments;
  - d) adopt the asset allocation percentages set out in the Framework and work towards achieving these;
  - e) agree that the overarching objective of this Framework is to achieve an overall return on Council investments aspiring to match inflation, or to reduce costs and liabilities at an equivalent rate, whilst maintaining adequate cash balances for operational purposes, and not exposing the capital value of investments to unnecessary risk;
  - f) approve that investments in out-of-borough property developments should be considered individually and should outweigh the benefits of investing in-borough (which can have a number of non-commercial benefits, e.g., place making) and in a diversified property fund. Individual decisions should be subject to Cabinet Member approval;
  - g) approve that the property and alternative asset allocation should focus on in-borough, with out of borough options being explored as and when they arise and subject to Cabinet Member approval;
  - h) approve the establishment of an Investment Executive, comprising the membership set out in paragraph 55, to implement, monitor and report on the investment strategy. The Investment Executive will meet half yearly, supplemented with ad hoc calls and meetings in times of change.

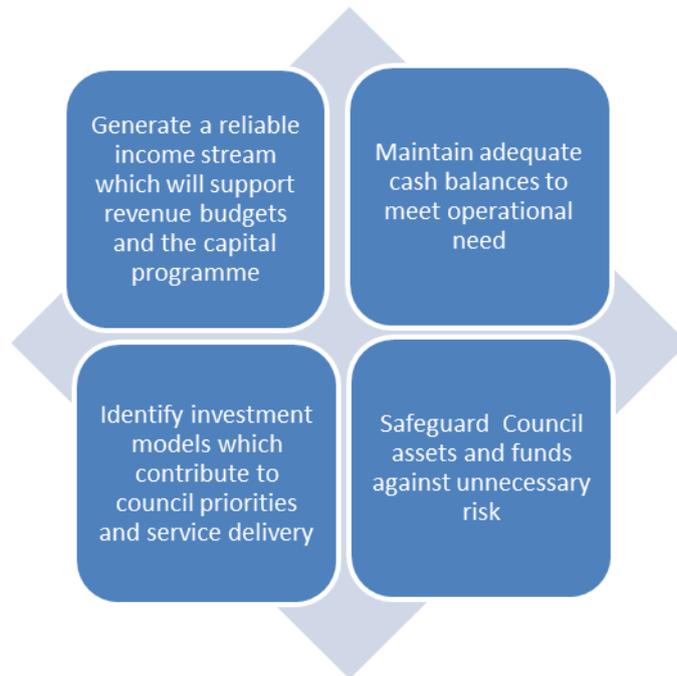
## **INTEGRATED INVESTMENT FRAMEWORK**

### **BACKGROUND**

6. The Council is responsible for managing its cashflows and assets exceeding £7bn at 31 March 2017. At 12 January 2018, investments totalled £1.8bn, comprising £1.4bn of short-term cash investments and £0.4bn of investment property. It is important that the Council is able to take a holistic view of its all its investment pools and align them with its funding needs and goals. The scale of these figures makes their positive and proactive financial management very important. Investments held as part of the Council's pension fund are managed under a separate regulatory framework and are outside the scope of this report from the point of view of investment management.
7. In previous years, the Council's Investment Strategy formed part of the Treasury Management Strategy Statement (TMSS) which is developed and updated as part of the Council's Medium Term Financial Plan (MTFP). The TMSS has tended to focus on the policies for placing short-term cash based investments, whilst decisions regarding other types of longer term investment have been considered on an individual basis as opportunities arose.
8. While the assets are distributed across a range of areas, the complexity of the Council and its funding need means that there is a need for the assets to be considered collectively and holistically as, in the aggregate, they represent a very significant pool of resources. More specifically, in view of:
  - the significant value of investments held by the Council;
  - their increasing importance in terms of generating income which supports revenue budgets and capital investment;
  - their potential to add value and contribute towards corporate objectives in their own right.
9. It was felt appropriate to give this aspect of financial management more detailed consideration and to develop a more integrated approach to investment decision making.

### **STRATEGIC CONTEXT**

10. The Council's key focus is on delivering high quality services within the context of reduced government funding and increased demand for services due to demographic change. The Council also needs to have regard to the longer term, given its moral and legal responsibilities regarding sustainability and stewardship of public assets.
11. The role of investment management is to support service delivery by balancing four key strategic objectives as follows:



12. An appropriate investment strategy which balances the above objectives is therefore key.
13. The Council is exposed to possible future events, such as:
- the potential impact of an economic downturn following the UK's exit from the EU, which could reduce the UK's gross domestic product (GDP) and increase demand for Council services;
  - more general economic dynamics because of the multiple links that the Council has into the economy through its service and revenue streams;
  - increases to pay and price inflation, which will place cost pressure on both revenue and capital budgets;
  - the pensions deficit which may result in increased employer contribution rates (although the Council has begun to address this);
  - interest rate changes which could materially impact on the cost of the capital programme;
  - Government funding policy changes.
14. Ideally, the investment strategy should be aimed at generating future income to address these longer term risks.

### **ACCEPTABLE RISK LEVELS**

15. An appropriate investment strategy which balances the above objectives consists of one which:
- focuses on investments with a reasonable return based on reasonable risk;
  - includes other Treasury opportunities not covered in the TMSS; and
  - investigates property investment opportunities.
16. The suggested policy going forward is that the Council will generally seek to obtain the maximum amount of income consistent with an optimum level of risk and will be willing to accept a lower level of income in exchange for a low risk product which does not expose the capital value of the investment to potential loss.

17. By more proactive and appropriate management of the Council's investment portfolio, an increased level of income can be achieved, but also ensuring that appropriate security is maintained over the Council's assets.
18. Such investments shall be separately identified in Council records and will be subject to the Council's detailed budget monitoring and review as a result.

## CURRENT INVESTMENT ACTIVITY

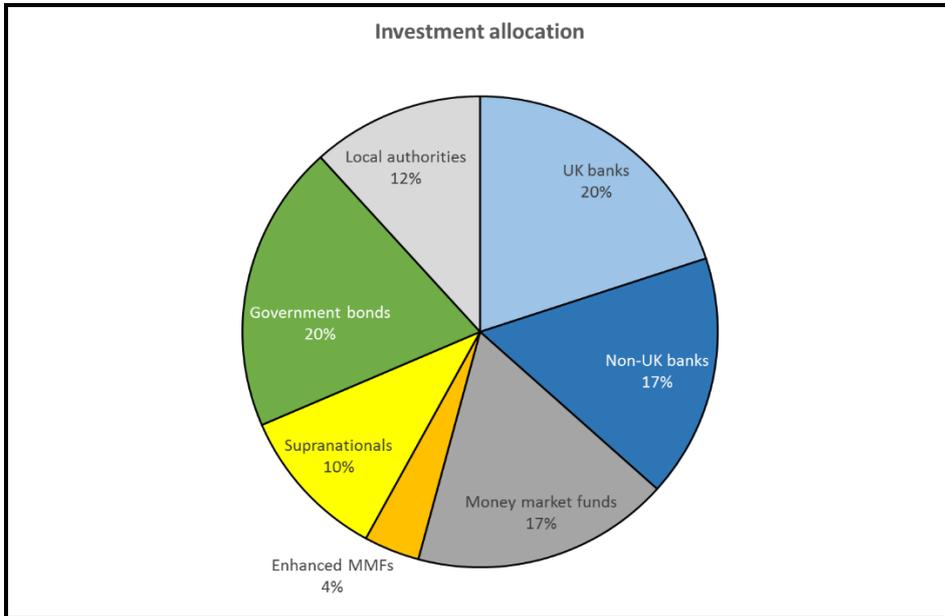
19. The Council is responsible for managing two broad investment portfolios:
  - the Council investment portfolio of £1.8bn comprising £1.4bn of short-term cash-based investments generating a forecast return of 0.55%, and the investment property portfolio of £0.4bn generating 4.2%, both managed entirely separately; and
  - the City of Westminster Pension Fund of £1.3bn which generates an average annual return of 9% measured over the past 10 years.
20. The Council investment portfolio (see below) is larger than any other local authority in the UK, exceeding not just the Council's own pension fund but over 40% of all local authority pension funds in England, Scotland and Wales.

| Type of Investment   | Expected rate of return | Value at 12 January 2018<br>£ million | Value at 31 March 2017<br>£ million | Value at 31 March 2016<br>£ million |
|--|-------------------------|---------------------------------------|-------------------------------------|-------------------------------------|
| Short term investments (mostly overnight cash deposits, money market etc.)   | 0.55%                   | 1,374                                 | 743                                 | 515                                 |
| Long term investments, mostly shareholdings in controlled companies such as CityWest Homes, Westminster Community Homes, WestCo trading etc. | Under 0.5%              | 41                                    | 41                                  | 46                                  |
| Pooled property fund   | 6.0%                    | 7                                     | 0                                   | 0                                   |
| Investment properties  | 4.2%                    | 455                                   | 455                                 | 405                                 |
| <b>Total</b>   |                         | <b>1,877</b>                          | <b>1,239</b>                        | <b>966</b>                          |

21. The Pension Fund is a separate legal entity and, therefore, its assets cannot fit within the wider investment framework of the Council. However, despite this ring-fencing, the pension fund has a significant second-order impact on the Council's financial position and funding needs, because of the existing deficit in the scheme, and the contribution plan in place to close this over a 17-year horizon.
22. Although the funding position of the Pension Fund has improved from 74% at March 2013 to 88% at September 2017, this still represents a liability of £171m. To close the deficit, the Council is injecting additional contributions over the period 2017/18 to 2019/20, comprising £30m of one-off resources and increased revenue contributions followed by inflation-linked levels of contributions thereafter until the deficit is resolved.
23. The funding of the Pension Fund assumes an annualised rate of return of 5.1% over the 17-year recovery period as represented in the discount rate used to value the pension fund liabilities. From the Council perspective, as an employer paying into the Pension Fund, the £171m deficit represents a form of borrowing with an interest rate set at the discount rate of 5.1%.

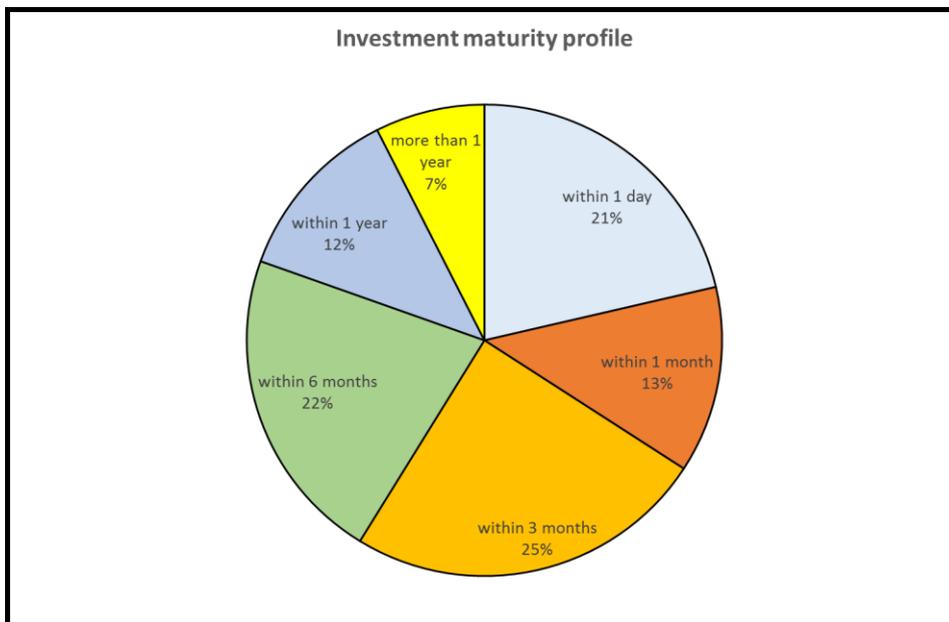
## SHORT-TERM INVESTMENTS

24. In line with the current investment strategy, the treasury portfolio of short term cash-based investments is concentrated in the banking sector with 37% in bank deposits, 21% in money market funds and 10% in supranational banks as shown below.



Source: TreasuryLive as at 12 January 2018

25. 93% of investments mature within 12 months as shown below.



Source: TreasuryLive as at 12 January 2018

26. In line with the above, the portfolio is entirely investment grade and heavily biased toward the top end with 69% of instruments AAA or AA rated, a further 30% A rated with only one BBB rated investment with RBS.
27. This approach provides flexibility for the Council at very low levels of risk, but tends to result in fairly low returns, typically less than 0.50%, and an approach to investment management which focuses very much on short-term return as opposed to longer term considerations. Overall, this points to the lack of an optimisation for maximising the yield versus credit rating.

## INVESTMENT PROPERTY

28. Commercial property investment provides investors with:
- a higher income return than equities, bonds or cash;
  - a secure, regular income with income growth prospects to hedge against inflation;
  - capital value appreciation;
  - asset management opportunities to further increase rental and capital growth;
  - an underlying real asset with minimum capital value.
29. However, as with any investment, there are associated risks:
- illiquidity: property is a 'bricks and mortar' asset which takes time to sell/buy;
  - threat to income security if the tenancy fails and the property cannot be re-let;
  - capital depreciation: if the asset is not properly managed and kept in good repair.
30. Geographically, the investment property portfolio is inevitably concentrated within the borough, which self-evidently tends to concentrate the economic risk in one area. Commercial property yields are currently ranging from 3.25% in central London to 5.50% in the regions (see Appendix C). In-house investment property generated 4.20% yield (excluding capital growth) in 2016/17.
31. Currently, the property portfolio is heavily fragmented due to its historical incremental build-up with a heavy concentration in car parks which generates 39% of total income, followed by shops generating 22%, offices generating 17% and other smaller units generating the remainder.
32. The car park assets, which provide a steady income stream, offer value added opportunities through potential change of use and redevelopment over time. The Council is focused on delivering best returns which acquiring new assets and redevelopment of assets to improve the quality of the portfolio should help to achieve.
33. An initial £50m drawdown facility for investment schemes to generate additional income towards future Medium-Term Plan savings was approved as part of the previous year's Capital Strategy. Of this £12.397m was invested leaving a balance of £37.613m. Additional funding of £50m has been added to the Capital Strategy 2018/19-2022/23 for this budget producing a total budget of £87.613m. Schemes funded by this will go ahead if they generate additional income after full due diligence.
34. A more focused property investment strategy is likely to increase returns by:

- setting out more clearly the process and goals of the strategy;
- providing a framework for rationalising lot size over time which will improve both efficiency and reduce the costs of managing the portfolio;
- targeting properties with a modern specification and minimal management costs;
- diversifying risk, sector and geography;
- improving asset quality and increase in average asset value.

35. An appropriate Property Investment Strategy will be agreed with members once the overall investment objectives of the Council are agreed. Focus should be on optimising performance of the Council's existing portfolio and acquiring adjacent/adjoining assets which will improve performance and delivery of active asset management of the portfolio.
36. Any strategy or future scrutiny of the Investment property portfolio should take into consideration any recommendations and requirements of the statutory guidance on local government investments, notably recommendations for the use of indicators in evaluating performance and viability of investments. Example indicators and background of the statutory guidance are included in Appendix D.

## **LONG-TERM INVESTMENTS**

37. Prior to 2004, Councils were only permitted to make loans to, or invest in, other local authorities, the Government, banks or building societies. The introduction of the Prudential Code relaxed these restrictions and gave local authorities the flexibility to invest in much more innovative methods of service delivery and income generation by:
- establishing, controlling and participating in limited companies trading for profit; and
  - entering into loans and investments with “non-specified” counterparties, including limited companies and not-for-profit organisations.
38. These are classed as non-specified investments under the DCLG’s statutory guidance for local government investments.
39. No general legal restrictions are placed on the value, length or nature of such investments and the only proviso is that investments are placed in accordance with investment strategies formally approved by members. The City Council’s Treasury Management Strategy Statement (TMSS) expressly permits new investments in non-specified institutions. For any such investments, specific proposals will be considered by the Director of Treasury and Pensions, and approved by the s151 Officer subject to due diligence.
40. Non-specified investments include asset vehicles, such as infrastructure and housing, which offer additional possibilities. As well as generating additional income, they can, in and of themselves, make a contribution to corporate priorities and improve service delivery. They also diversify investment risk away from the banking sector and can offer more flexibility in terms of length of investment and timing of drawdowns.

41. This type of investment is becoming more common in local government with authorities investing in projects to increase low cost and affordable housing, improve transport infrastructure, and support sustainable energy programmes as well as pooled property or equity investments, venture capital funds to support new and growing businesses, bond issues and unit trusts.
42. Such investments typically offer returns of 4% to 8%. However, they also tend to carry more complex risk profiles and attract higher transaction/due diligence costs, and are unlikely to have a published unit price or credit rating. The onus therefore falls on the Council to make its own evaluation of the investment and whether or not to proceed.
43. The Council's current portfolio of non-specified investments is:

|  | Value at 12 January 2018<br>£ million | Value at 31 March 2017<br>£ million | Expected return  |
|--|---------------------------------------|-------------------------------------|--|
| Investments in companies controlled or significantly influenced by the Council | 14.4                                  | 14.4                                | Nil direct to the Council, profits made are usually reinvested in the business |
| Government (UK) gilts  | 24.9                                  | 25.6                                | 0.50%  |
| Supranational  | 73.7                                  | 0                                   | 0.52%  |
| Other arm's length investments in companies                                    | 1.3                                   | 1.3                                 | Occasional dividend income but no reliable income stream                       |
| Pooled property fund (Real Lettings)   | 6.6                                   | 0.0                                 | Annualised 6% over 7-year life of fund   |
| <b>Total</b>   | <b>120.9</b>                          | <b>41.3</b>                         |  |

44. By increasing its holdings in this area, the Council would reduce its reliance on the banking sector and facilitate the move towards a more long-term investment profile, as discussed below.
45. Identifying and investigating individual investment opportunities across multiple markets can be both time consuming and expensive. Therefore, appointing a Fund Manager to manage a "bundle" of separate investments across a range of markets can be cost effective and spread risk by taking assurance on the fund manager's own due diligence processes.

## LIABILITIES AND CASHFLOW NEEDS

46. In order to assess appropriate changes to the treasury portfolio, it is important to consider also the council's liabilities and cashflow needs over time. This is imperative as the purpose of investing the assets is to better match upcoming cashflow needs and also to minimise funding gaps.
47. The Council has a significant capital programme, totaling more than £2.5bn to 2031/32. This will be funded from £1.2bn of external funding, leaving a net funding requirement of £1.4bn, as set out below.

|   | Forecast    |            | Five year plan |            |           |                | Future     | Total        |
|---|-------------|------------|----------------|------------|-----------|----------------|------------|--------------|
|   | 2017/18     | 2018/19    | 2019/20        | 2020/21    | 2021/22   | 2022/23        | years to   |              |
|   | Within 1 yr | 1-2 yrs    | 2-3 yrs        | 3-4 yrs    | 4-5 yrs   | more than 5yrs | 2030/31    |              |
|   | £m          | £m         | £m             | £m         | £m        | £m             | £m         |              |
| Total expenditure                                 | 277         | 420        | 424            | 297        | 208       | 122            | 845        | 2,593        |
| Total funding                                     | (197)       | (168)      | (221)          | (155)      | (141)     | (124)          | (218)      | (1,224)      |
| <b>Net Funding Requirement</b>                    | <b>80</b>   | <b>252</b> | <b>203</b>     | <b>142</b> | <b>67</b> | <b>(2)</b>     | <b>627</b> | <b>1,369</b> |
| % of treasury portfolio set against funding needs | 6%          | 18%        | 15%            | 10%        | 5%        | 0%             | 46%        | 100%         |
| <b>Suggested maturity allocation</b>              | <b>10%</b>  | <b>20%</b> | <b>15%</b>     | <b>10%</b> | <b>5%</b> | <b>10%</b>     | <b>30%</b> | <b>100%</b>  |

Source: Capital Strategy 2018/19 to 2022/23

## INVESTMENT ALLOCATION

48. The Council's investment portfolio is currently polarised between very short term cash based short-term investments on the one hand and commercial property, pension investments and equity shareholdings which tend to be held for perpetuity or at least 20 years or more.
49. Using the net funding analysis above rounded to the nearest 5% provides a suggested allocation by time which more appropriately reflects the Council's cashflow needs.
50. Therefore, the proposed approach going forward is to move investment allocations towards agreed percentages as follows:

| Type of investment                             | Current allocation | Proposed allocation |
|--|--------------------|---------------------|
| Short-term investments – less than one year    | 69%                | 10%                 |
| Short-term investments – less than two years   | 6%                 | 20%                 |
| Short-term investments – less than three years | 0%                 | 15%                 |
| Short-term investments – less than four years  | 0%                 | 10%                 |
| Short-term investments – less than five years  | 0%                 | 5%                  |
| <b>More than five years:</b>                   |                    |                     |
| Property                                       | 25%                | 40%                 |
| Alternative investments                        | 1%                 |                     |

## OPTIONS FOR INCREASING YIELD

51. This will be achieved by making the following changes to the investment portfolio over the next 6 to 9 months. The following will be examined and assessed.

| Change   | Expected impact   | Risk   |
|--|---|--|
| <b>Treasury Management</b>   |   |  |
| 1. Lengthen the maturity structure from the current average 7 months to a target average maturity of 2 years   | By investing in longer maturity assets with same credit quality, some additional yield may be generated, but the gilt yield curve is relatively flat, so yields would likely increase by about 0.3%.  | Going out to longer dated bank deposits beyond 5 years would increase counterparty risk to individual banks, which becomes more of a risk if there is a future financial crisis  |
| 2. Widen the credit quality of investments by moving from the current average rating of AA to A. This would allow the Council to invest a greater number of instruments with a moderate amount of credit risk (eg corporate bonds) that have maturity beyond one year. Yields tend to be higher to compensate for the higher perceived risk and reduced liquidity  | For example, a portfolio of short duration investment grade sterling denominated credit benchmarked to the Barclays Sterling Corporate Bond index of 3 to 5 year maturities yields 1.24% currently, which is more than double the yield on the current treasury portfolio. The average credit rating of the index is BBB+/A | By diversifying away from bank deposits, although marginally lower credit rating, this would spread the risk in the event of a future financial crisis.  |
| 3. Add more credit sub-asset classes such as asset backed securities (ABS). These are typically listed rated bonds which can be traded, but liquidity varies depending on the issue. Types of credit include car loans, credit cards and residential mortgage backed securities (RMBSs)  | Yields are in the range of 0.7 to 0.9%, greater than the current treasury portfolio. Yields can be higher for AA or A rated asset backed securities eg a 3 to 5 year A rated portfolio could yield 2.25%  | The extra yield reflects the potential complexity of these instruments, but since the last financial crisis regulation has made asset backed securities more secure through risk retention rules, increased ratings scrutiny and credit protection, reflecting the government policy increasing lending to households and small businesses |
| <b>Investment property</b>   |   |  |
| 4. Adopt a more focused property investment strategy by reducing the number of properties and increasing the lot size to efficiency gains and reduce the cost of management and maintenance.<br>Given the added illiquidity of property investment, this only makes sense if the Council can achieve materially higher yields than the treasury portfolio and meet other objectives such as reducing risk (eg inflation) or help meet statutory duties.<br>Therefore new acquisitions should: <ul style="list-style-type: none"> <li>• target a yield of at least 5%;</li> <li>• widen the scope of investments from in-borough</li> </ul> | Increased return on property portfolio of at least 0.8%.  | Adverse property markets may result in a fall in sale value  |

|   |  |  |
|---|--|--|
| <ul style="list-style-type: none"> <li>ensure the sale of resultant assets to repay any associated financing costs within an envelope of 5 years.</li> </ul>  |  |  |
| 5. Expanding the use of fund structures to deliver specialist functions such as supported living housing, homeless shelters, asylum housing etc. This would meet statutory duties and generate a return   | Yields from public social housing real estate investment trusts (REITs), such as the Real Lettings Fund which the Council is currently invested in are generating returns of 5 to 6.5%                 | By using a fund structure, this arms-length approach distances the Council from the costs of directly managing such property and investment is secured on the underlying property                    |
| <b>Alternative assets</b>   |  |  |
| 6. These fall outside traditional investments, such as listed equities and bonds, and include renewable energy, infrastructure and commodities.   |  |  |
| 7. A multi-alternatives approach could comprise investment in private asset-backed debt (such as pools of mortgages, car loans, credit card loans, aircraft leases, invoices, debt factoring and SME loans), direct lending and commercial real estate debt | Private asset backed debt tends to yield 4 to 6% with a maturity of 2 to 5 years. Direct lending and commercial real estate debt tend to generate 7 to 12% with a similar credit profile to bank loans | Risks can be managed by appropriate due diligence such as credit analysis. This type of investment can be fairly specialised, therefore this may be an area which would outsourced to a fund manager |
| <b>Pension Fund</b>   |  |  |
| 8. Pension Deficit – invest an additional £50m to £60m in the pension fund over current contributions   | This would reduce the interest on the pension fund deficit by 20% to 24% and thus improve the funding position by 18% to 22%, providing ongoing revenue savings of £1.7m to £2.0m per annum            | Adverse markets in UK and abroad increase pensions deficit notwithstanding the additional investment made  |

## SCRUTINY

52. An investment task force was set up to ensure that the Council made best use of its resources and ensure value for money was being achieved in its investment strategy. The task force contains both Council Members and Officers.
53. The task force met on 13 September 2017 to perform an in depth review on the Council's wider investment framework document and provide suggestions improvements. The review looked at the council's property portfolio, short and long term treasury investments, governance arrangements and the impact of investing in the pension fund.
54. After the meeting the following recommendations were made:
- the pension fund should be used as a benchmark for all Council investments due to the high long term rate of return;
  - council wide investments should aspire to match inflation;
  - property and alternative investments should be focused initially within the borough, with out of borough investments considered as they arise subject to member decision;

- investments in out of borough property should be considered individually and outweigh the benefits of investing in Borough (which can include non-commercial benefits e.g. Place making) and in a diversified property fund. Individual decisions should be subject to cabinet member approval.

55. Governance arrangements for the investment strategy should be closer aligned to the Pension Fund Committee. The body responsible can then report to the council where formal decisions on the investment strategy will be taken.

## **OVERALL INVESTMENT TARGET**

56. It is estimated that, after taking the actions outlined above, the Council should be able to achieve significant improvements in the overall level of investment income generated to support Council services.

57. The overarching objective of this Framework is to increase income generated from Council investments aspiring to match inflation in a full year (compared with the current forecast return of 0.55%), or to reduce costs and liabilities at an equivalent rate whilst, at the same time, maintaining adequate cash balances for operational purposes and not exposing the capital value of investments to unnecessary risk. However, because 60% of the current portfolio is held for more than six months and some of the higher return generating options have a lead-in time of one to two years before generating a return, the impact in the shorter term will be likely to be more modest depending on the options within the strategy.

## **GOVERNANCE**

58. Innovation within the financial services industry leads to a constantly changing market and the availability of new asset classes, products and financial instruments. The Council needs to be able to operate flexibly, and make decisions quickly, in order to benefit from the opportunities presented by this environment and to successfully implement the changes outlined above.

59. The implementation, management, monitoring and reporting of this Integrated Investments Framework will therefore operate as now, being approved by Full Council with specific investment decisions that require such action being delegated to the Cabinet Member for Finance, Property and Corporate Services after due diligence and advice from the City Treasurer and Tri-Borough Director of Treasury and Pensions.

60. Day-to-day aspects of treasury management function will continue to be delegated to officers in the same way that they are at present, but the Integrated Investment Framework will:

- enhance the effectiveness of decision making;
- embed a good risk culture that encompasses appropriate due diligence, option appraisal and an atmosphere of open debate;
- ensure that a holistic approach is taken towards managing the Council's portfolio.

61. The implementation, monitoring and reporting will be delegated to the Investment Executive. The Investment Executive will comprise:

- the Cabinet Member for Finance, Property and Corporate Services and the Chair of the Audit and Performance Committee;

- the City Treasurer, Tri-Borough Director of Pensions and Treasury, and the Director of Property and Investments;
  - the Chief Executive and the Executive Director GPH as necessary.
62. The Investment Executive will meet half yearly supplemented with ad hoc calls and meetings in times of need of change.
63. Key information will be reported to Members on a half yearly basis through the half yearly investment reports.
64. Given the complexity of this important area, the Council will need to rely on independent experts and advisors. Therefore, the Council will engage at least two investment advisors who will:
- provide advice on the current investment market and recommend new products in which to invest;
  - benchmark the Council's performance and identify any areas where there is scope for improvement.

## **DUE DILIGENCE**

65. Due diligence is any process undertaken to:
- investigate a business or person prior to signing a contract;
  - record the reasons behind an investment decision;
  - demonstrate that the Council is acting responsibly and has adequately assessed the balance between risk and reward.
66. Due diligence should be undertaken on all investments in a consistent manner, albeit proportionate, in terms of the value and complexity of the financial instruments being considered, and their relative impact on the Council's finances as a whole.
67. For a simple instrument such as a corporate bond, for example, a few paragraphs summarising risks and expected rewards, together with analysis from an advisor would suffice. A more complex product might require specialist assistance, comprehensive risk analysis and work undertaken to monitor and re-assess risks and performance regularly.
68. The Council has developed a framework for undertaking due diligence which promotes consistency and rigour whilst, at the same time, allowing for flexibility and a proportionate approach. It is based around the "6 Ps" principle as set out in Appendix A.
69. Whilst this framework does not rule out in principle any specific type of investment, all proposals will be considered in terms of:
- reputational risk to the Council;
  - environmental, social, ethical and sustainability considerations.

## **OPTION APPRAISAL**

70. An important aspect of due diligence is assessing the value for money offered by a new investment. Option appraisal will be undertaken for all new investments as part of the due diligence process, on a proportionate basis, that reflects investment value, expected duration, and anticipated level of risk. It will be:
- outcome focused;
  - structured around the key questions set out in Appendix B;
  - take non-financial benefits into consideration where relevant.
71. Option appraisal should focus on the opportunity costs of the investment and a comparison against returns offered by other products or opportunities realistically available, rather than achievement of a “theoretical” rate of return.

## **FINANCIAL AND LEGAL IMPLICATIONS**

72. This report identifies the potential for improved returns aspiring to match inflation in a full year compared with the current forecast return of 0.55%. Approval and implementation will result in an integrated framework for managing the Council’s investment portfolio which supports improved returns and a more effective contribution to Council priorities and services.
73. A full review of the proposed Framework will be undertaken by Legal Services to ensure compliance with all legislative requirements and consistency with the Council’s existing Constitution, terms of reference and scheme of delegation.

## **RECOMMENDATION**

74. That Members:
- a) approve and implement the Integrated Investment Framework set out in this Report (to be reviewed on an annual basis);
  - b) approve the target for the overall return on Council investments should aspire to match inflation;
  - c) approve the benefits of investing in the Pension Fund should be used as a benchmark when evaluating other investments;
  - d) adopt the asset allocation percentages set out in the Framework and work towards achieving these;
  - e) agree that the overarching objective of this Framework is to achieve an overall return on Council investments aspiring to match inflation per annum, or to reduce costs and liabilities at an equivalent rate whilst maintaining adequate cash balances for operational purposes and not exposing the capital value of investments to unnecessary risk;
  - f) approve that investments in out-of-borough property developments should be considered individually and should outweigh the benefits of investing in-borough (which can have a number of non-commercial benefits e.g. place making) and in a diversified property fund. Individual decisions should be subject to Cabinet Member approval;

- g) approve that the property and alternative asset allocation should focus on in-borough, with out-of-borough options being explored as and when they arise and subject to Cabinet Member approval;
- h) approve the establishment of an Investment Executive, comprising the membership set out in paragraph 55, to implement, monitor and report on the investment strategy. The Investment Executive will meet half yearly supplemented with ad hoc calls and meetings in times of change.

## **BACKGROUND PAPERS**

### **Overview and scrutiny**

Treasury Monitoring Report – January 2018

### **Council**

2018/19 Draft Treasury Management Strategy - January 2018

2018/19 Council Tax and Capital Strategy – November 2017

2017/18 Statement of Accounts – April 2017

**If you have any queries about this Report or wish to inspect any of the Background Papers, please contact:**

**Phil Triggs, Tri-Borough Director of Treasury & Pensions**

**Tel: 0207 641 4136**

**Email: [ptringgs@westminster.gov.uk](mailto:ptringgs@westminster.gov.uk)**

## **APPENDIX A – DUE DILIGENCE FRAMEWORK**

1. The Council has developed a framework for undertaking due diligence which promotes consistency and rigour whilst at the same time allowing for flexibility and a proportionate approach. It is based around the “6 Ps” principle as set out below:

### **Powers**

- a) What legal powers is the Council relying on to make the investment being proposed;
- b) Has legality been considered in terms of the underlying nature of the activity, as well as the instrument or vehicle itself?
- c) Have capital financing and MRP requirements been considered?

### **Permission**

2. Does the Council need permission from the Secretary of State or anyone else before progressing this investment e.g.,
  - a) Members – and if so who (committee with delegated authority, cabinet or full Council)
  - b) Chief Officer if delegated decision making powers apply
  - c) Consultation with the public or staff may be a legal requirement
  - d) Does the proposal involve legal negotiations with a contractor or 3rd party?

### **Policy**

- a) Does the proposal fit within the Council’s policy objectives in terms of what it is trying to achieve?
- b) If not does the proposal need to go to Full Council for approval?

### **Payment**

- a) How is the proposal to be funded both in terms of initial and ongoing costs (i.e. is there a budget – revenue and capital)

### **Procurement**

- a) Has the proposal been subject to the Council’s procurement procedures?
- b) Does it need to go through formal tendering or does it need a waiver?
- c) Are there any State Aid or EU implications?

### **Press**

- a) Might the Council be exposing itself to criticism?

3. Whilst not all of the above considerations will apply to every investment scenario, this framework will be applied in principle to every investment proposal, with results reported to Members for consideration.

## APPENDIX B – OPTION APPRAISAL

1. Option appraisal should be structured around the following questions:

| Key questions  | Issues to consider  |
|--|---|
| How is the proposal to be funded in terms of initial and ongoing costs?    | Is there an existing budget or is virement required?<br>Does the proposal provide any added value to the Council in terms of improved efficiency, budget savings or reduced costs?  |
| What is the opportunity cost of using up these cash resources?             | What is the expected length of the investment period?<br>What additional costs are there (transaction costs, due diligence etc.) in addition to the capital investment itself?<br>Does the expenditure count as a capital transaction under capital accounting regulations? If so what are MRP/CFR implications? *<br>Is there an exit strategy? Will this involve additional costs?<br>Is there a risk of permanent impairment in the capital value of the investment? |
| Does the proposal link to corporate objectives and statutory services?     | If so how does it compare to the cost of achieving similar outcomes?<br>Will this delivery option increase or decrease outcome or cost risk?  |
| Is the proposal solely to generate income?                                 | What key assumptions and sensitivities are contained in the financial model? *<br>What are best, worst and medium case scenarios?<br>How do these compare to other investment opportunities within the same investment allocation?  |
| What transaction, professional and management costs need to be considered? | Consider for example:<br><br>Independent advice and “experts”<br>Legal fees/stamp duty<br>Tax, audit, accountancy, secretarial<br>Officer time in attending meetings etc.   |

\* To promote consistency when evaluating potential investments, any MRP set aside requirements for property or alternative investments will be calculated using the annuity method rather than on a straight line basis.

## APPENDIX C - Prime yields for commercial property

|                               | Feb 16 | Feb 17 | Jun 17 |
|-------------------------------|--------|--------|--------|
| West End offices              | 3.00%  | 3.25%  | 3.25%  |
| City Offices                  | 4.00%  | 4.00%  | 4.00%  |
| Offices M25                   | 5.00%  | 5.25%  | 5.25%  |
| Provincial Offices            | 4.75%  | 5.25%  | 5.25%  |
| High Street Retail            | 4.00%  | 4.00%  | 4.00%  |
| Shopping Centres              | 4.25%  | 4.50%  | 4.50%  |
| Retail warehouse (open A1)    | 4.50%  | 5.25%  | 5.25%  |
| Retail warehouse (restricted) | 5.25%  | 5.75%  | 5.75%  |
| Food stores                   | 5.00%  | 5.00%  | 5.00%  |
| Industrial distribution       | 4.50%  | 5.00%  | 5.00%  |
| Industrial multi-lets         | 4.75%  | 4.75%  | 4.50%  |
| Leisure Parks                 | 5.00%  | 5.00%  | 5.00%  |
| Regional Hotels               | 5.50%  | 5.25%  | 5.00%  |

Source: Savills

## APPENDIX D – Performance indicators

Statutory guidance on Local Government Investments proposes that:

Local authorities should present a range of indicators to allow members and other interested parties to understand the total exposure from borrowing and investment decisions. The indicators should cover both the local authority's current position and the expected position, assuming all planned investments for the following year are completed. The indicators do not need to take account of Treasury Management investments unless these are expected to be held for more than 12 months.

The Guidance requires local authorities to develop quantitative indicators that allow Councillors and the public to assess a local authority's total risk exposure as a result of its investment decisions.

Below are examples of performance indicators worth considering within a property investment portfolio.

|   |   |
|---|---|
| Target income returns   | Net revenue income compared to equity. This is a measure of achievement of the portfolio of properties.   |
| Benchmarking of returns   | As a measure against other investments and against other council's property portfolios.   |
| Gross and net income  | The income received from the investment portfolio at a gross level and net level (less costs) over time.  |
| Operating costs   | The trend in operating costs of the non-financial investment portfolio over time, as the portfolio of non-financial investments expands.  |
| Vacancy levels and tenant exposures for non-financial investments | Monitoring vacancy levels (voids), ensure the property portfolio is being managed (including marketing and tenant relations) to ensure the portfolio is productive as possible. |



## City of Westminster

|                                   |   |
|-----------------------------------|---|
| <b>Meeting or Decision Maker:</b> | <b>Cabinet</b>  |
| <b>Date:</b>                      | <b>19<sup>th</sup> February 2018</b>  |
| <b>Classification:</b>            | <b>General Release</b>  |
| <b>Title:</b>                     | <b>Housing Investment Strategy and Housing Revenue Account Business Plan 2018/19</b>  |
| <b>Wards Affected:</b>            | <b>All</b>  |
| <b>City for All:</b>              | <b>This report addresses the investment in the Council's current housing stock and the investment in new housing, non-residential buildings and public realm in regeneration areas and as such has a major impact upon all three aspects of Choice, Heritage and Aspiration in the City for All policy.</b>   |
| <b>Financial Summary:</b>         | <p><b>This report presents a 30 year Business Plan for the HRA and investment related activity. The capital investment budget and its funding are presented in detail for the five years 2018/19 to 2022/23 and in summary for the 30 year period. The plan sets out gross capital expenditure of £790m over the next five years and nearly £1.9bn over 30 years.</b></p> <p><b>The Business Plan demonstrates that the investment proposals are fundable, subject to the assumptions within the plan, and that the HRA remains sustainable and viable over the 30 year period. The investment over the next 10 years has been maximised within the available borrowing headroom, to within circa £3m by 2023/24. Headroom eases after that year.</b></p> <p><b>The funding of the programme over the next five years is highly dependent upon the timing and value of asset disposals (£271m) that underpin the regeneration programme, along with substantial contributions from the Affordable Housing Fund (£180m).</b></p> |

**The utilisation of the full funding capacity of the HRA over the next 10 years means that the affordability will be sensitive to changes in legislation or the assumptions used in the plan. The options available to mitigate risk are outlined in detail in Section 11.**

**Report of: Barbara Brownlee, Executive Director of Growth, Planning and Housing**

**Steven Mair, City Treasurer**

## **1. Executive Summary**

- 1.1 This report presents the Housing Investment Strategy and thirty-year Housing Revenue Account (HRA) Business Plan. The City Council's investment plans are ambitious and will deliver a range of lasting benefits for the City, its residents and the City Council. They will allow the City Council to realise much of its 'City for All' ambitions of aspiration and choice; delivering new homes and leveraging the value of our land assets to bring forward investment in some of Westminster's poorer neighbourhoods.
- 1.2 Since last year the 30 year plan for capital investment in the Council's existing stock and regeneration schemes has increased from approximately £1.64bn over thirty years to approximately £1.88bn. This increase of c. £240m is significantly driven by increases in Church Street (Phase 2) at £98m, Infill schemes increasing by £134m, Section 106 acquisitions of £25m and refinements on other schemes. This is offset by a £115m reduction in capex for major works; however, £46m of this is driven by expenditure being moved from capital to responsive and cyclical repairs in the Income and Expenditure account (I&E), recognising that a significant proportion of the work undertaken under major works is ultimately treated as revenue. Section 7.5 clarifies that a further £73m is explained as being driven by savings made through procurements.
- 1.3 The financing of this increase in expenditure has been achieved substantially through an increased use of the Affordable Housing Fund (up £226m), including future expected contributions to the fund and not solely the existing fund held.
- 1.4 Key elements of the HRA investment programmes included are:
  - Continued investment in existing housing stock (£918.6m);
  - Investment in the housing estate regeneration programme and other new supply schemes (£959.6m)
  - Affordable Housing Fund (AHF) expenditure on new HRA supply over the 5 year period 2018/19 to 2022/23 (£179.8m)
- 1.5 The operation of the 'higher value void' levy is still being considered by central government with a pilot scheme in the West Midlands being analysed over the

forthcoming years. The impact of such a levy was modelled in the corresponding report last year and this has been omitted this year given the uncertainty as to the implementation of this policy.

- 1.6 Despite the uncertainties and pressure on resources the Council remains committed to improving or renewing as appropriate our older stock and increasing housing supply. The Leader re-emphasised this through her commitment to deliver at least 1,850 affordable homes by 2023 in the 2017/18 refresh of 'City for All' and the Council remains on target to deliver its contribution. Between 2017/18 and 2022/23 it is anticipated that 2,034 new affordable homes will be delivered. 529 of these homes are currently under construction, with the remaining homes due to start and complete by March 2023. Of this pipeline of 2,034 units, the HRA is anticipated to deliver 904 affordable units. 199 of the HRA affordable homes will be delivered on 'infill' sites and an additional 183 homes on 'section 106' sites. 690 of the HRA units are to be delivered on either Housing Regeneration sites or in the Housing Zone. These HRA programmes will be delivered from a combination of HRA funding and the Affordable Housing Fund (AHF). In addition, a further 289 affordable homes will be delivered on General Fund sites, of which 212 homes are partially funded by the AHF. The remaining 841 affordable homes are anticipated to be delivered by Registered Provider (RP) partners mainly from 'section 106' opportunities in the City and through spot purchases of existing housing then converted to affordable housing use. This RP supply will be delivered using a combination of direct investment from RPs and the AHF.
- 1.7 The scale of the Council's regeneration plans has increased both within and outside of the HRA. The investment in the regeneration programme has increased in funding from £440m to £604m in this year's 30 year plan. The notable increase is for Church Street Phase 2 which has been revised in light of the masterplan approved by Cabinet this year.
- 1.8 The Council's HRA supply plans are dependent on historic levels of receipts into the AHF continuing into the future. Should this not occur the Council will need to look at other mitigations such as scaling back activity or using an alternative to the HRA such as a wholly-owned housing company to deliver some projects.
- 1.9 The Grenfell fire has had a significant impact on the housing sector in terms of the fire safety arrangements and cladding and other materials used in tower blocks maintained by all local authorities. The Council has made an assessment of its own tower blocks which would require remedial works to meet latest expectations and a cost estimate of £29.3m has been factored into the business plan.
- 1.10 Neighbourhood planning work has enabled the Council to identify more opportunities to build affordable housing on our own land. The final number and tenure of these houses will depend upon the level of funding received

from government. If the Council were to receive full funding from government these could be offered at social rents. There is a determination to build additional homes and further financial modelling is being carried out in relation to these opportunities. These can be incorporated into a future iteration of the business plan once the funding available has been clarified and confirmed.

## **2. Recommendations**

- 2.1 To approve the indicative HRA capital programme budgets for 2018/19 to 2022/23 (**Appendix B**).
- 2.2 To approve the proposed allocations from the Council's Affordable Housing Fund to new supply programmes of £328m (**Appendix B**).

## **3. Reasons for decision**

- 3.1 The plans outlined in this report will enable the Council to invest in maintaining and improving the existing stock of homes and neighbourhoods within its management, while also delivering wider benefits to the City's residents and businesses. The financial plan will ensure the housing stock continues to meet the housing needs with which the city is faced; and ensure the HRA remains sustainable and viable over the long term. Further modelling of a wholly owned company being set up to enable housing delivery, which may involve delivery of some of the schemes in this plan, together with a reference in the recent prime minister's party conference speech to an additional £2bn to be invested in affordable housing mean that the plan will continue to be assessed in the coming months.

## **4. Background**

- 4.1 The Council's *Housing Investment Strategy*, approved by Cabinet in 2012, centres on delivering three key programmes:
  - Investment to maintain and improve existing council-owned homes;
  - Delivery of new affordable homes; and
  - Implementation of the initial phases of the housing regeneration programme.
- 4.2 Annually, the Council reviews and updates its 30 year business plan in line with best practice. This report summarises the latest 30-year HRA Business Plan, and seeks approval from Cabinet for updated and re-profiled capital expenditure proposals. The annual update also outlines how the Council plans to utilise resources from the Affordable Housing Fund (AHF) to deliver new affordable housing supply initiatives.
- 4.3 The charts in paragraph 10.2 show the key business plan metrics for both last year's and this year's plans. The significant differences between the two years are:

- Fire safety interventions following the Grenfell Tower fire have increased as a proportion of the assumed budget by c.£29.3m (see section 7 for more detail);
  - A re-profiling of repairs (revenue) expenditure has resulted in a transfer of funds from capital expenditure on major works (c.£98m);
  - An anticipated decrease in the cost of undertaking void refurbishment works following the introduction of CityWest Homes' new 10-year Term Partnering Contracts (c.£17m);
- 4.4 The key achievements made in maintaining, improving and renewing the stock in the last 12 months are listed in **Appendix D**.

## **5. Government policy announcements and recent legislative changes**

- 5.1 This section provides a summary of the legislative changes and government policy announcements in recent years and the implications for the Council's housing investment plans.

### **Housing White Paper 2017 "Fixing our broken housing market"**

- 5.2 The paper covered all aspects of housing delivery:

***Planning for the right homes in the right places*** – the White Paper included a range of proposals to ensure local authorities have up to date plans to reflect their housing need and that sites are allocated for new housing development. Proposals also included amending the National Planning Policy Framework (NPPF) to encourage local authorities to consider the social and economic benefits of estate regeneration and use planning powers to deliver this to a high standard.

***Building homes faster*** – the White Paper included a range of proposals to speed up housing delivery by addressing skills shortages and blockages in the planning system; and by holding both developers and local authorities to account for non-delivery.

***Diversifying the market*** – proposals included: entering into bespoke housing deals with local authorities who have a genuine ambition to build; to address issues that are holding them back; supporting local authorities to create innovative ways of developing new homes i.e. by setting up local housing companies or joint venture vehicles.

***Helping people now*** – The White Paper set out that Starter Homes would not be a mandatory requirement, but the NPPF will be revised to introduce a clear policy expectation that housing sites deliver a minimum of 10% affordable home ownership units. NPPF will also clarify that Starter Homes should be available to households with an income of less than £80k (£90k in London), and that mortgages will be required to stop cash buyers. Where sold within the fifteen years, some (or all) of the discount will be repaid.

## **Welfare Reform and Work Act 2016**

### **Social rent reduction**

- 5.3 Section 23 of the Act provides for a 1% social rent reduction for 4 years from 1 April 2016. The Housing White Paper 2017 “Fixing our broken housing market” confirmed that the 1% per annum social rent reduction would remain in place until 2020, and said that a new rent policy post-2020 would be set out in due course. This has since been confirmed in a statement from DCLG which clarified that increases to social housing rents will be limited to the Consumer Price Index (CPI) plus 1% for five years from 2020. The business plan set out in this report is in line with this, with the assumption reverting to CPI increases beyond the confirmed period.

### **Universal Credit**

- 5.4 Full roll out in Westminster will be phased between October 2017 and March 2022. Currently only 71 council tenants receive Universal Credit (UC). Direct payments are a key feature of Universal Credit. The experiences of other social landlords indicate an impact on their HRA but it is anticipated that Government will take account of the experiences of pilot authorities in the final design of the system and that the impact on rent collection will be minimal but this remains a risk.
- 5.6 Government is proposing to introduce Trusted Partner Status for social landlords, whereby they will be able to identify vulnerable claimants and apply to have the housing element of their Universal Credit paid directly to the landlord before the tenant falls into arrears.
- 5.7 In modelling the impact on the rent roll it has been assumed that bad debts will rise from 1% to 1.5% until 2020 and then return to 1%. However, there remains uncertainty and this assumption will need to be reviewed annually in future business plans.

*The withdrawal of the housing cost element of Universal Credit for 18 – 21 year olds.*

- 5.8 This applies to new claims after 1st April 2017 and there are a number of exemptions relating to vulnerability. The impact of this on the HRA is not expected to be great as there were only 3 lets to under 22 year olds in 2016/17 and many young people applying for, and in social housing, are likely to be exempt from the policy change.

## **Local Housing Allowance (LHA) changes**

*Application of the shared accommodation rate to the under 35's to social sector tenancies.*

- 5.9 Currently single under 35's in the private rented sector have their Housing Benefit restricted to the shared accommodation rate. From 1st April 2018 this will also apply to social sector tenants with some exemptions. For those currently receiving Housing Benefit it will apply for all new tenancies signed from 1st April 2016.

The impact is not expected to be significant as council rents are generally within the LHA shared accommodation rate (which is £140.62 in central London) and there are relatively few lettings to the under 35's (29 in 2016/17). However some young people in council tenancies might be affected. Young people signing for a council tenancy are told about the policy and CityWest Homes is intending to identify anyone affected by the policy prior to it taking effect and will be proactively contacting people and working with them.

## **Housing & Planning Act 2016**

### Disposal of high value voids

- 5.10 This policy requires local authorities that maintain a HRA to make an annual financial contribution to government equivalent to the estimated revenue from disposal of properties that become void in that year, and which are considered to be 'higher value'. It is being introduced in order to fund an extension of the Right to Buy policy to tenants in the housing association sector. The secondary legislation that will provide for the details of this contribution is not yet made. In May 2017, the Government announced a regional pilot for the housing association right to buy extension (to be funded from the high value void policy) that will continue until 2022. It is not expected that a decision on this policy will be made until the results of the pilot is known. Given the uncertainty over whether this policy will be now be pursued by central government and if so its exact form and impact on the HRA it has not been included in the business plan.

### Rents for high income social tenants

- 5.11 The Act provides the enabling legislation to require stock retaining housing authorities to charge a market rent to households with incomes of £40k or above in London (£30k elsewhere), and that the extra income generated will be paid to government (less an amount to cover administrative costs). However government subsequently announced that the policy will not be mandatory. The council already has a pay to stay policy for flexible tenancies (most tenancies issued after September 2013 are on a fixed term or flexible

basis). The council will be reviewing its Tenancy Policy in 2018 and as part of this will review whether to adopt this type of approach for secure tenants.

#### Phasing out of tenancies for life

- 5.12 The Act includes a requirement that most new council tenants are offered tenancies for between two and ten years. Existing tenants that are forced to move due to regeneration, for example, can retain their security and local authorities will have some discretion as to when to grant a further secure tenancy e.g. when tenants are transferring. Government has advised that statutory guidance will be introduced to assist local authorities with the implementation of the policy. The date for publication of this guidance or implementation of the policy is unknown.

#### **Housing Strategic Options Study**

- 5.13 During the last year the work commissioned from Deloitte Real Estate (DRE) has been completed. This work responded to the fact that the HRA Business Plan utilises all of the foreseeable headroom and financial capacity within the HRA.

The study considered how the Council can best provide more social, affordable and intermediate housing both in and out of Borough to:

1. provide temporary and permanent accommodation to fulfill the Council's duties under homelessness legislation;
2. provide affordable housing for those working in Westminster;
3. contribute to a built environment which promotes health and wellbeing, and;
4. increase the capacity for regeneration within the Borough.

DRE provided a long-list and short-list of options for the Council to consider with the latter involving the intensification of estate regeneration; the establishment of joint ventures on council-owned land; joint ventures with other public sector bodies; and, the bulk purchase of completed housing units. DRE recommended that the Council consider the delivery options for the above with the creation of a wholly-owned housing company and/or a London-wide housing vehicle being the most obvious options. Officers have been considering the merits of establishing a wholly-owned housing company and will be bringing forth a separate report in the next few months. This will complement the activity of the HRA by developing or acquiring intermediate and market housing, alongside the new social and affordable housing provided within the HRA.

The idea is not new; more than a third of local housing authorities have or are considering setting up such subsidiary companies. They aim to deliver a range of housing provision, often responding to market failure such as where the private market is slow to respond to general housing need or needs 'kick-starting' or to supply a particular tenure and/or quality of housing. The key advantage over other options (for example, partnership with Registered Providers or developers) is that the Council retains 100% control and ownership of the company, its activities and the assets created.

The proposal will not involve additional staffing as management and operational activity can be delivered with a Board of Directors comprising Council directors and using agency arrangements with the Council and contracts with external advisors/ and construction/development companies. Funding will be provided by a mix of loans and equity investment from the General Fund at commercial rates and the Company must be able meet interest payments, repay its borrowings and provide a financial return to the Council.

To accompany the recommendation to create such a company a business case is being prepared based on a joint development with the HRA in relation to redevelopment proposals involving a mix of market sale, intermediate rent and new social/affordable housing, the latter being delivered for the HRA. This includes financial modelling to establish the viability of the proposal and ensure they can offer value for money to both the Council's HRA and General Fund.

### **Community Supported Housing (CSH)**

5.14 The Council recently received a draft report from the consultants it commissioned to assess if it is making the best use of its CSH (also known as sheltered housing) asset and to provide recommendations for change. The study asked three main questions:

1. How well is CSH meeting current demand and how well will it meet future demand?
2. How well does it contribute to meeting the Council's key priorities and objectives?
3. What changes are needed and how can they be made?

5.15 The draft report highlights that:

- Demand is predicted to outstrip supply in future years with much of it coming from older tenants from the private rented sector. A minimum of an additional 225 units by 2030 is required.
- Existing residents are generally satisfied with their housing and associated services.

- Potential future residents, such as ‘downsizers’, need to see that a move to sheltered housing can be an attractive offer.
- The use of CSH in complementing other policy objectives of the Council could be improved and become part of a wider ‘offer’ to older people.
- The design of most of the existing stock presents constraints in adapting it to meet modern expectations, but its geographical location is good.
- There is scope to increase the use of smart technology in the stock.
- To make the best use of the stock, it could be more differentiated to reflect different customer requirements.

5.16 The draft report also includes a framework for making future strategic decisions about the stock and options and recommendations will be presented for members in due course.

### **City for All**

5.17 In December 2015 the Council published its ‘Westminster Housing Strategy – Direction of travel statement’ in response to the *City for All* vision. Investment in existing and new homes, and in our communities, is central to achieving this vision of Westminster being a City of Aspiration, Choice and Heritage. Specific *City for All* commitments supported by the housing investment outlined in this report includes:

- Maximising the delivery of new affordable homes in Westminster;
- Working with others to support new supply within London;
- Delivering the housing renewal programme at Tollgate Gardens and Church Street and moving towards regeneration becoming ‘business as usual’;
- Developing new types of intermediate housing and increasing the supply of intermediate housing;
- Implementing the change programme at CityWest Homes to improve customer service and ensure value for money and improve resident engagement in the scrutiny of services;
- Improving energy efficiency in our stock and investing £12m to tackle cold and damp housing conditions and target action at the 450 tenants most at risk of ill-health from their home; and
- Reviewing the role of our community supported housing;

5.18 Despite the uncertainties and pressure on resources the Council remains committed to improving or renewing as appropriate our older stock and increasing housing supply. The Leader re-emphasised this through her commitment to deliver at least 1,850 affordable homes by 2023 in the 2017/18 refresh of ‘City for All’ and the Council remains on target to deliver its contribution. The housing renewal plans are now gaining momentum and the

volume of improvement work planned for the stock over the next five years is ambitious.

5.19 Plans for each of the Council's housing investment programmes are set out in the following sections.

## 6. Housing Regeneration

6.1 The HRA development programme will see £584.7m of capital expenditure committed over the next five years (2018/19 – 2022/23) on the development of new build housing, regeneration of existing estates and acquisition of affordable homes across Westminster. Within this total funding envelope, the Affordable Housing Fund (AHF) will invest £179.8m to support the delivery of the HRA development programme in addition to other funding sources, including external grant, capital receipts (derived from development agreements, open market sales, and disposals), and capital loans. Table 1 below sets out the detail of each scheme.

**Table 1 - Regeneration schemes**

| Description                     | Forecast to 31 March 2018 | 5yr Plan     | 30yr Plan    |
|---------------------------------|---------------------------|--------------|--------------|
|                                 | £m                        | £m           | £m           |
| Cosway Street                   | 0.6                       | 31.7         | 32.3         |
| Lisson Arches                   | 2.0                       | 27.5         | 29.4         |
| Luton Street                    | 0.2                       | 14.3         | 14.5         |
| Parsons North                   | 0.6                       | 27.2         | 27.8         |
| Ashbridge                       | 0.5                       | 13.3         | 13.8         |
| Church Street Phase Two         | 0.7                       | 179.6        | 309.9        |
| Tollgate Gardens                | 7.3                       | 10.0         | 17.3         |
| Other Estates Regeneration      | 11.0                      | 108.2        | 159.2        |
| <b>Total Regeneration</b>       | <b>22.9</b>               | <b>411.7</b> | <b>604.3</b> |
| Other Schemes                   |                           |              |              |
| District Heating Network Scheme | 0.7                       | 10.1         | 17.7         |
| Edgware Rd                      | 2.0                       | 6.9          | 8.9          |
| Infill Schemes                  | 3.8                       | 72.0         | 152.9        |
| Self Financing                  | 22.0                      | 40.0         | 124.8        |
| Section 106 Acquisitions        | -                         | 24.9         | 24.9         |
| Kemp House/Berwick Street       | -                         | 0.8          | 0.8          |
| Ashmill Street                  | 0.1                       | 0.9          | 1.0          |
| Central Contingency             | -                         | 17.4         | 24.4         |
| <b>Total Other Schemes</b>      | <b>28.6</b>               | <b>173.0</b> | <b>355.3</b> |
| <b>Total</b>                    | <b>51.5</b>               | <b>584.7</b> | <b>959.6</b> |

6.2 Investment in the regeneration programme has again been protected in this year's business plan and has increased from the £440m gross investment reported last year. The following schemes are illustrative of those that will progress over the next 5 years.

### 6.3 Cosway Street

In 2013/14 the Council acquired the long leasehold and freehold interests for Cosway Street from the City of Westminster College. Since acquisition of the site the proposed delivery model has progressed from being developer led to a self-delivery solution in order to combine and maximise the Council's development opportunities in the immediate area.

The current proposal involves the provision of 57 new residential units offered to the market as private sale. The surplus generated from the open market sales will be wholly used to subsidise other projects in the wider HRA regeneration portfolio. Cosway Street will be linked to Ashbridge Street via a dual-planning submission in order to meet planning policy compliance.



## 6.4 Lisson Arches

Lisson Arches is sited adjacent to disused railway arches within the Church Street ward. This development will provide 44 sheltered accommodation flats, 1 scheme manager's flat, and 14 private sale flats for adults aged 55 and over. The scheme is based on a two-stage tender process, with continuing negotiations taking place with the preferred main contractor (United Living). The on-going enabling works are being undertaken by FM Conway. The latter consists of several major service diversions that pose numerous logistical and technical difficulties that are having an impact upon the in delivery programme.

The 45 social housing units provide replacement stock for the 45 units earmarked for demolition in Penn House, a nearby sheltered accommodation block.



## 6.5 Luton Street

The developer, LinkCity, was selected by tender process via the Development Framework Panel in April 2014 as the preferred delivery partner. The terms of the development agreement have been re-negotiated due to a change in the design and movement on the anticipated sales values. The development will deliver 171 new residential units comprising of 62 affordable units and 109 private sector units.

The commercial negotiations were concluded in July 2017 and the developer has recently submitted a planning application and both parties can work towards agreeing an unconditional development agreement and a start on site date.

Under the structure of the Development Agreement, the Council will receive a receipt for the land from the developer in addition to other benefits, including a public realm improvement fund, a contribution to off-site works improvements to surrounding blocks and a WCC management fee. The Council will not enter into a direct build contract or take the risk on sale of the market units; however an overage agreement is in place that will benefit the Council should market sale proceeds exceed a specified threshold.



## 6.6 Parsons North

Parsons North was initially tendered on a developer-led delivery model. However, the preferred developer withdrew and the project has since been redesigned to increase density under a self-delivery strategy. It is proposed the scheme will deliver 60 new homes, of which 19 are affordable and 41 are private sale. It is intended that the surplus generated from the development will be used to fund enhanced landscaping and biodiversity upgrade works in the immediate vicinity.



## 6.7 Ashbridge Street

Ashbridge Street is the site of a former BT station that was acquired using AHF funding in 2014/15. An existing BT service core within the site is required to be retained and made accessible within the development. The current proposal is for the development of circa 28 affordable homes to provide decant facility for the wider Church Street regeneration. In addition, wider public realm improvements to the immediate surrounding area facilitated by the relocation of a vehicular ramp that accesses the existing underground car parking will benefit the Council-owned properties located within Alpha House and Earl House.



## 6.8 Church Street Phase 2

The second stage of the Church Street proposals have been subject to a masterplanning exercise in recent months and local residents and stakeholders have been consulted on the proposals.

Cabinet have now approved the masterplan as the Council's delivery framework for the regeneration programme in Church Street.

## 6.9 Tollgate Gardens

Tollgate Gardens is a developer led regeneration in the Maida Vale ward. The regeneration includes the demolition of 5 blocks previously comprising of 59 tenanted units and 30 private units. The scheme is being delivered by Clarion Group and will deliver 195 new residential units comprising of 86 affordable units, which the Council will purchase from the developer, and 109 private units. The existing Tollgate House tower block will be retained and improved. The project has commenced on site. This project is due to deliver a surplus to the HRA through the consideration paid for the long-lease on the land.



## 6.10 Infill Programme

The Infill Programme identifies development opportunities within the existing estate that can be brought forward for new housing. These include conversion of disused space such as basements, drying rooms and storage sheds and new build opportunities on underutilised garage sites, car parks and vacant land adjacent to estates.

A decision making framework is used to guide assessment of the optimum unit size mix, tenure and potential use of each site. The presumption is for family sized accommodation wherever possible and that new homes will be retained within the HRA. Sites that are unable to yield family homes are typically disposed on the open market, with the sales receipts reinvested back into the programme. It is proposed that the majority of funding is provided by the AHF and the HRA. The programme is structured to be continuously rolling which will result in new sites being brought forward for assessment and delivery. The programme is on track to achieve 25 new units between 2017/18 and 2018/19 with a further 40 units anticipated to be ready for start on site between 2018/19 and 2019/20. Schemes that are due to start on site in 2017/18 include a package of conversions (10 units) and a package of new builds (15 units).



## General Fund Projects

The following projects are funded by the General Fund five year capital programme set in February 2017 which included a gross capital budget of approximately £1bn, with projected income of approximately £500m. As well as producing capital receipts that can go back into funding future capital programmes, many of these projects will also generate an on-going revenue stream that is expected to contribute towards funding the delivery of front line services.

### 6.11 Dudley House (GF)

This site has been assembled utilising a former social housing block and a number of private street properties and will provide 197 intermediate rented residential units, the Marylebone Boys school, church and a retail unit.



Demolition began in October 2016 and works will complete in the Summer of 2019. The Dudley House scheme is currently on site and the images below provide an update of progress on site.



## 6.12 Farm Street (GF)

Redevelopment of the entire site will consist of demolishing an existing four storey building with the basement level to be retained. Construction incorporates a new four storey building comprising of ground/first floor street cleansing depot and 14 intermediate rent units at first, second and third floor levels. Demolition was due to commence in its entirety in June 2017, however this has been delayed due to a party wall issue with the existing neighbour and resulted in a more complicated demolition and construction methodologies. The new demolition completion date has been revised to October 2017, and works are due to be completed by August 2018.



## 6.13 Huguenot House (GF)

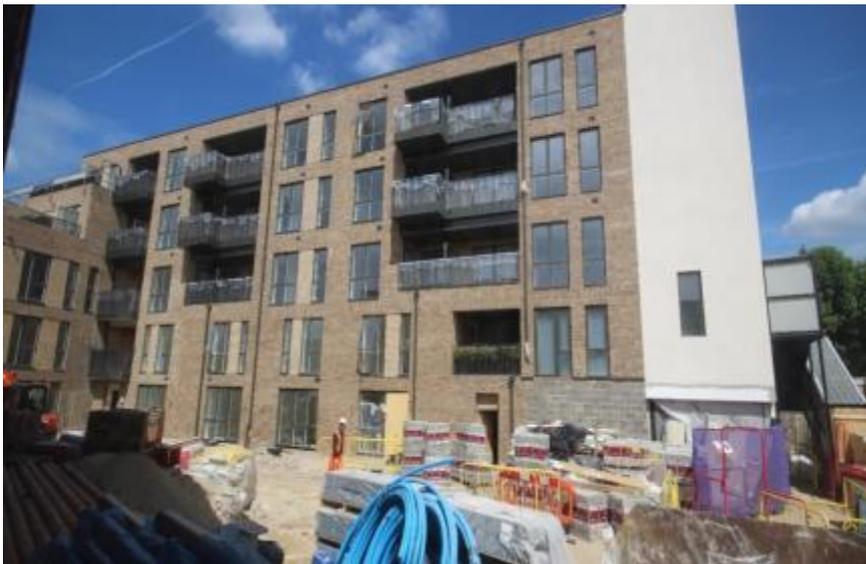
Huguenot House comprises of a cinema, two office floors, a 247 space car park, and 34 residential flats. Authority has been granted to progress the design for a mixed use scheme including a cinema, retail and office space, and incorporating 49 residential units with 35 being for private sale and 14 affordable units.



#### 6.14 Jubilee Leisure Centre Phase 1 (GF)

A new community leisure facility and residential development across two sites undertaken with the first phase providing 28 homes, comprised of 12 affordable and 16 market homes. The affordable homes were completed in September 2017 and are contracted to Genesis Housing Association. The market homes will complete in October 2017.

The second phase of the redevelopment of Jubilee Sports Centre, will provide a further 56 market homes and a community leisure centre of approximately 772 sq m (8,310 sq ft). This is forecast to complete in June 2020.



### 6.15 **Luxborough Street (GF)**

The proposed development site offers an opportunity to provide a mix of uses. The new proposal includes ground floor use for community and/or affordable housing alongside private residential apartments above



### 6.16 **SHSOP Programme**

The following three projects are combined into the SHSOP: Strategic Housing Strategy for Older People programme.

#### **Beachcroft House (GF)**

This site is a former pupil referral unit and will be redeveloped to provide an 84 unit sheltered scheme with a mixture of affordable and market sale units. Works will commence in the summer of 2017 and complete in the summer of 2019. The private units will be disposed on the open market via a sales agent.



## **Westmead (GF)**

This property is owned by Westminster City Council and was built in the 1970's and currently consists of 42 bedroom care home which is at the end of its useable existence. It is proposed to redevelop this site to provide a mix of nursing care, extra care and supported housing for people with learning disabilities, and residential for private sale. Construction is expected to commence after the completion of Beachcroft care home early 2020.



## **Carlton Dene (GF)**

This project is being progressed with Westmead as a joint scheme and consists of the redevelopment of an existing 42 bedroom care home, and it is proposed to redevelop this site to provide a mix of nursing care, extra care and supported housing for people with learning disabilities, and residential for private sale. Construction is expected to commence after the completion of Beachcroft care home early 2020.



## 7. HRA investment programme – expenditure on existing homes

- 7.1 The 2017/18 HRA Business Plan accepted that, because of the reduced income assumed as a result of Government rent changes, not all of the Council's housing stock would be able to be brought up to – or maintained at – the 'CityWest Standard'. Rather, a 30-year investment programme was set at £1.52 billion (£1,034m capital and £485m revenue), which should continue to enable the Council to meet the Government's Decent Homes standard.
- 7.2 Following further review of investment, and linked to the Council's desire to accelerate delivery of additional homes, a decrease in the 30 year spend has been budgeted as part of this year's Business Plan. Specifically, a reduction of c.£73m is assumed over the Plan period, leading to a total projected spend of c.£1.45 billion (£919m capital and £531m revenue). All of the stock should continue to be maintained at the Decent Homes Standard and at any one time, the majority of the stock will also meet the higher CityWest standard.
- 7.3 Excluding an assumed £29.2m (£3.5m in 2017/18, £25.7m in the next five years) investment in fire-related works following the Grenfell tragedy, total expenditure on other major works programmes in the first five years of the programme amounts to c.£294m (capital and revenue). This is broken down as shown below (**Appendix B** shows the capital spend in more detail):

**Table 2 – Expenditure on existing HRA stock**

| Description                | Forecast to<br>31 March 2018<br>£m | 5yr Plan<br>£m | 30yr Plan<br>£m |
|----------------------------|------------------------------------|----------------|-----------------|
| Mechanical & Electrical    | 5.0                                | 30.8           | 286.4           |
| External                   | 8.2                                | 107.8          | 378.8           |
| Major Voids                | 3.5                                | 12.5           | 76.0            |
| Kitchen & Bathrooms        | 0.9                                | 3.6            | 26.8            |
| Lifts                      | 2.7                                | 10.4           | 49.1            |
| General                    | 2.5                                | 1.2            | 8.9             |
| Fire precautions           | 4.1                                | 33.2           | 61.4            |
| Adaptations                | 1.2                                | 6.0            | 31.2            |
| <b>Total Capital Works</b> | <b>28.2</b>                        | <b>205.5</b>   | <b>918.6</b>    |
| Repairs & Maintenance      | 19.6                               | 89.4           | 531.1           |
| <b>Total Investment</b>    | <b>47.8</b>                        | <b>294.9</b>   | <b>1,449.7</b>  |

- 7.4 Following the tragic event of the fire at Grenfell Tower in June 2017, the Council has committed to undertaking a number of improvements to high-rise blocks within the housing stock. The cost of these works (c.£29.3m) includes re-cladding of the six tower blocks at the Warwick & Brindley estates, and retro-fitting sprinkler systems at a number of tower blocks across the Borough. This additional spend has placed pressure on the rest of the five year capital budget, meaning that certain other schemes will be carried out slightly later.
- 7.5 One of the key ways that CWH is seeking to continue to ensure better investment and budget control is through its current procurement exercise. This involves long term service agreements with a limited number of contractors. In late summer 2017, CWH entered into five new 10 year term contracts to provide services across their Property Services Directorate including: domestic heating; repairs and voids; mechanical services; electrical services; and lift services. In addition, in late autumn 2017, two further long term service agreements will also cover major works. These contracts will all provide better value for money, improved quality and drive a reduction in costs for the Council and leaseholders and assist in delivering savings of approximately £73m over 30 years.

### **Asset management**

- 7.6 To supplement allocated funding for new supply, CityWest Homes has instituted an active asset management approach, whereby non-performing assets (for example those where the net present value of the income is less than the net present value of costs) are subjected to an options appraisal. Stock deemed not to meet on-going needs is disposed of and the proceeds ring-fenced for investment in new homes that better meet the needs of residents.
- 7.7 To date, as part of this programme, the Council has disposed of 98 non-performing HRA void properties (mostly studios and 1-bedroom units) on the open market, with a further 8 agreed for disposal. Disposals have so far raised £45.6m, with a further £3.4m anticipated from already agreed disposals. Proceeds have so far been utilised to acquire 59 replacement family-sized homes at a cost of £30.4m.

## **8. New affordable housing supply schemes**

- 8.1 The majority of new affordable supply currently being delivered in the City is linked to market housing led developments where a proportion of new housing is required to be provided on site as affordable housing linked to Section 106 (s106) planning obligations. These s106 affordable homes are generally transferred by private developers to the Council's Register Provider (RP) partners once built and the Council then nominates households in housing need from its waiting lists to these new affordable homes.

- 8.2 RPs have therefore been the Council's main historical source of new affordable housing supply in the City. However, RPs are unable to compete with the private sector in Westminster for development site opportunities due to the high cost of land. Also, RPs operating in the City have very limited development capacity within their own estates to deliver new affordable housing supply.
- 8.3 As new RP affordable housing supply is generally limited to s106 sites, the Council and its partners have sought to supplement this limited affordable housing supply by bringing forward spot purchase programmes of market homes that are then used for affordable housing.
- 8.4. However, in future years the HRA will play an increasingly important role in delivering new affordable housing. Between 2018/19 and 2022/23 it is anticipated that 1,881 new affordable homes will be delivered. 568 of these homes are currently under construction, with the remaining homes due to start and complete by March 2023. Of this pipeline of 1,881 units, the HRA is anticipated to deliver 884 affordable units. 199 of the HRA affordable homes will be delivered on 'infill' sites and an additional 183 homes on 'section 106' sites. 681 of the HRA units are to be delivered on either Housing Regeneration sites or in the Housing Zone (and some 'infill' and Section 106 units will be within these geographical areas). These HRA programmes will be delivered from a combination of HRA funding and the Affordable Housing Fund (AHF). In addition, a further 251 affordable homes will be delivered on General Fund sites, of which 212 homes are partially funded by the AHF. The remaining 746 affordable homes are anticipated to be delivered by RP partners mainly from 'section 106' opportunities in the City and through spot purchases of existing housing then converted to affordable housing use. This RP supply will be delivered using a combination of direct investment from RPs and the AHF. Table 3 below provides further details of this supply, including the anticipated position at the end of 2017/18.

**Table 3 – New Affordable homes**

| Forecast Year             | Number of units to complete | Tenure     |              |            |                       | Funding route |              |                                      |
|---------------------------|-----------------------------|------------|--------------|------------|-----------------------|---------------|--------------|--------------------------------------|
|                           |                             | Social     | Intermediate | Specialist | Spots (Social and TA) | HRA           | General Fund | Section 106 or funded directly by RP |
| 2017-18                   | 153                         | 34         | 70           | 3          | 46                    | 20            | 38           | 95                                   |
| 2018-19                   | 201                         | 68         | 108          | 0          | 25                    | 23            | 15           | 163                                  |
| 2019-20                   | 700                         | 223        | 313          | 139        | 25                    | 174           | 211          | 315                                  |
| 2020-21                   | 393                         | 173        | 150          | 45         | 25                    | 193           | 5            | 195                                  |
| 2021-22                   | 198                         | 150        | 23           | 0          | 25                    | 130           | 20           | 48                                   |
| 2022-23                   | 389                         | 292        | 72           | 0          | 25                    | 364           | 0            | 25                                   |
|                           | <b>2,034</b>                | <b>940</b> | <b>736</b>   | <b>187</b> | <b>171</b>            | <b>904</b>    | <b>289</b>   | <b>841</b>                           |
|                           |                             |            |              |            | <b>2,034</b>          |               |              | <b>2,034</b>                         |
| <b>18/19 – 22/23 only</b> | <b>1,881</b>                | <b>906</b> | <b>666</b>   | <b>184</b> | <b>125</b>            | <b>884</b>    | <b>251</b>   | <b>746</b>                           |

Note- 'Spots' means spot acquisitions. 'TA' means temporary accommodation

### Affordable Housing Fund

- 8.5 Payments received from developers on planning schemes in lieu of affordable housing obligations are held in the Council's AHF. These funds are then used by the Council to invest in the delivery of affordable housing elsewhere in the City, either through Council-led developments, such as estate regeneration, or alternately in schemes delivered by housing associations.
- 8.6 Balances held in the AHF as of December 2017 total £305m. Minimum additional payments of £1.1m are expected during the remainder of 2017/18 from planning schemes that have been implemented. Future payments into the AHF will be dependent upon new planning applications being submitted and approved and where payments in lieu of on-site affordable housing are agreed instead of on-site affordable housing. The Leader's commitment towards the more vigorous enforcement of planning policy compliant applications, including the requirement for on-site affordable housing, may impact upon the level of AHF receipts.
- 8.7 Of the current AHF balances of £305m, £96.5m of these funds are presently formally committed against on-going affordable housing projects. These AHF commitments are made up of £15m against HRA schemes, £73m against schemes in the General Fund and £8.6m against registered providers schemes.

However, going forward to 2027/28, total funding of £465m will be required from the AHF by schemes in the HRA, General Fund and from the HA sector. This includes new schemes where funding from the AHF has yet to be approved by the Cabinet

Member for Housing and also schemes with existing funding approvals requiring further top-up funding from the AHF.

Allowing for existing balances held in the Council's Affordable Housing Fund of £305m, plus £1.1m of additional payments expected to be deposited in the AHF during the rest of 2017/18 linked to implemented planning schemes means that further minimum payments of c.£225m will be required from developers linked to new planning schemes up to 2022/23, in order to meet the total AHF funding requirement of £465m.

Table 5 below summarises the levels of funding anticipated to be drawn down by HRA, GF and HA schemes during the rest of 2017/2018, during the period 2018/2019 – 2022/2023 and funding required beyond this period.

**Table 5 – Existing and Predicted AHF requirements**

| Schemes      | 2017/18<br>£m | 2018/19-<br>2022/23<br>£m | Total funding<br>required after<br>2022/23<br>£m | Total Funding<br>Requirements<br>£m |
|--------------|---------------|---------------------------|--|-------------------------------------|
| HRA          | 8.2           | 179.8                     | 133.3  | 321.3                               |
| GF           | 32.0          | 54.4                      | -  | 86.4                                |
| HA           | 15.1          | 42.0                      | -  | 57.1                                |
| <b>Total</b> | <b>55.3</b>   | <b>276.2</b>              | <b>133.3</b>                                     | <b>464.8</b>                        |

### Registered Provider Schemes

- 8.8 Registered Providers (RPs) including Westminster Community Homes and Dolphin Living Foundation are anticipated to deliver 300 new affordable homes over the next five years with the assistance of the AHF. These homes will be delivered as a mixture of spot purchases and new build developments. It is anticipated that c. £42m will be required from the AHF to support the delivery of these 244 new affordable homes, supplementing the funding provided by the RPs themselves. Additional affordable housing supply of over 500 units will also be delivered through RPs during this period mainly from private developer led 's.106' sites and where the delivery of this supply will not be dependent upon investment from the AHF.
- 8.9 The Council continues to explore, with other boroughs, opportunities to deliver new affordable housing, where joint working will help bring about regeneration activity creating new affordable supply and where access to these new affordable housing supply opportunities will be shared by Westminster and the host borough.
- 8.10 Westminster will look to use capital receipts from the sale of non-performing HRA housing assets to part fund new affordable supply outside the borough which may include regeneration opportunity sites or new build opportunities currently in private ownership.

## 9. Financial Implications

- 9.1 The HRA Business Plan is assessed across a 30-year period so as to understand the long term financial implications of changes in the capital programme, legislative change and other strategic decisions. It has been updated to reflect the latest balance sheet position as reported and audited at the year-end just gone, so as to begin with an accurate opening position for the plan, and the current year (2017/18) budget as approved. It is then constructed so as to include the impact of known Government policies, capital plans, funding arrangements and risk factors.
- 9.2 Chart 2 in section 10.2 shows that, the capital programme as set out in **Appendix B** is affordable and sustainable across the 30 years of the plan. The borrowing limit of £333.5m which is imposed on the Council is not exceeded during the course of the plan and reserves of circa £11m are maintained throughout. The borrowing limit is approached to within circa £3m in 2023/24 which presents a risk should the assumptions not materialise as projected. However, as set out in section 11 below there are options available to the Council to mitigate and manage this risk.
- 9.3 The capital programme proposed sees a significant increase in capital spend over the coming 5-10 year period as the Council embarks on an ambitious plan of regeneration. The gross HRA capital expenditure required to deliver the plans within the investment strategy amounts to £790m over the next five years. This will rely upon funding of £130m of HRA revenue resources, £26m from a grant, £300m from RTB & Other capital receipts, £180m from the Affordable Housing Fund and £38m of new borrowing.
- 9.4 The funding of this programme is largely dependent upon the timing and value of asset disposals (i.e. capital receipts) that underpin the regeneration programme. These schemes are designed to increase the number of homes available for Westminster residents, in a mix of affordable and private sale units, with the private sale units generating a significant proportion of the overall capital receipts in the plan.
- 9.5 As funds are committed on the regeneration schemes, the borrowing headroom and hence financial capacity within the HRA reduces. In order to maintain a buffer, the plan aims to retain circa £11m in operating reserves. This also helps by enabling the repayment of debt and reducing interest charges on the debt. It is not until the last 3 years of the plan however that the debt has been substantially repaid and the operating reserves can begin to rise again. Borrowing is set to peak in 2023/24 at £330m before then gradually reducing over the remainder of the plan. This will limit the ability of the HRA to contribute major funds to any further housing development until year 10 and beyond. The Strategic Housing Options study is seeking alternative methods, such as a wholly owned subsidiary company, to increase capacity to build more homes on top of those schemes set out in this plan.

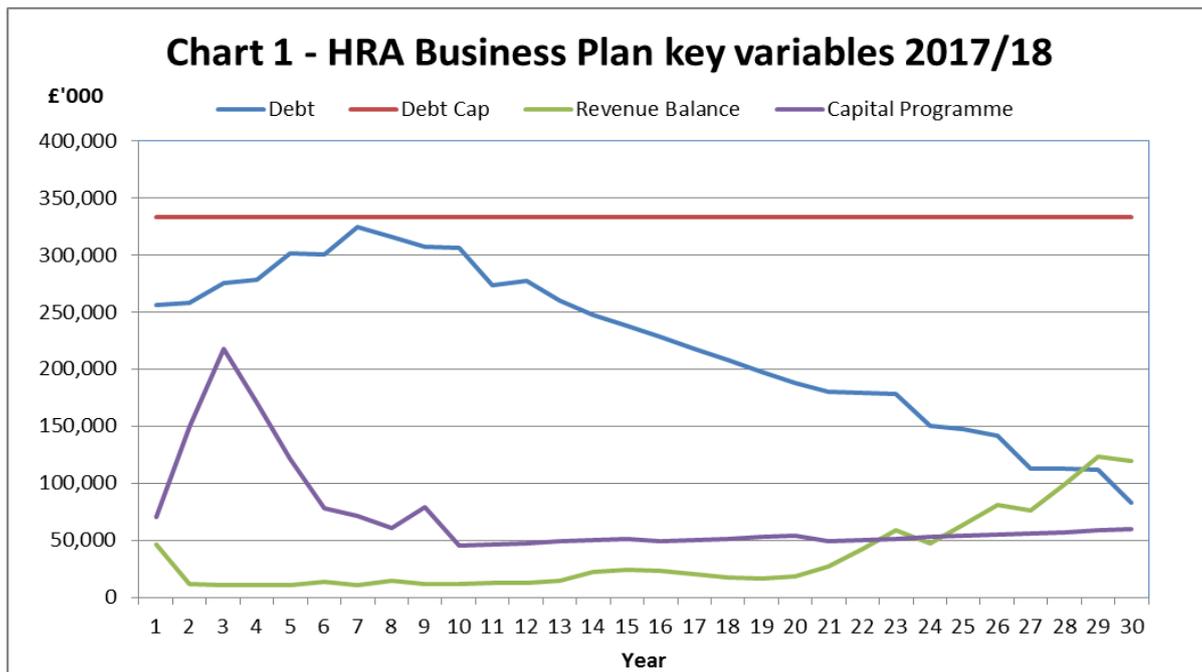
- 9.6 From year 7, the capital programme starts to reduce in size as the bulk of the estates regeneration plan completes. As it reduces, there is capacity for the HRA to start repaying the debt and it reduces from that point until the end of the plan.
- 9.7 The variables used in the assumptions can only be best estimates and any variation from these would have a significant impact over the full 30 year plan period. These assumptions and the associated impact/risk of change will require close monitoring and potentially the adoption of one or more of the range of management mitigations set out in section 11 if they have a material adverse impact upon the plan.
- 9.8 The reduction in the capacity of the HRA and the potential impact of risk factors requires a strong risk mitigation strategy that can be quickly adopted if any adverse risks materialise. The range of management options available to mitigate risk are outlined in detail within section 11.
- 9.9 In undertaking the HRA business planning process, all regeneration programmes have been subjected to continued robust scrutiny and challenge and an appropriate level of contingency on capex schemes has been provided for within the scheme budgets as well as a central contingency in the overall capital programme. **Appendix B** sets out the summary view of spend over both the coming 5 years and the totality of the 30 year period. This sets out the expenditure grouped into Major Works, which is the capital maintenance required for existing stock, Regeneration and Other Investments. There is a significant increase in the level of spend from 2017/18 to 2018/19 as the regeneration projects start to take off, and remedial works on existing stock take place.
- 9.10 The internal governance processes within Housing, involving CWH development and major projects teams have been rigorously reviewed and focus now upon key project management skills and tolerance reporting. These changes will help to ensure that regeneration scheme budgets and outcomes are managed within agreed exception reporting tolerances.
- 9.11 The business plan will be reviewed on a quarterly basis going forwards, feeding in changes from the annually agreed baseline to understand the impact of changes in the assumptions and capital expenditure on the affordability of the plans. This will enable management to identify any necessary mitigation required at an early stage.

## **10. The HRA business plan base financial position**

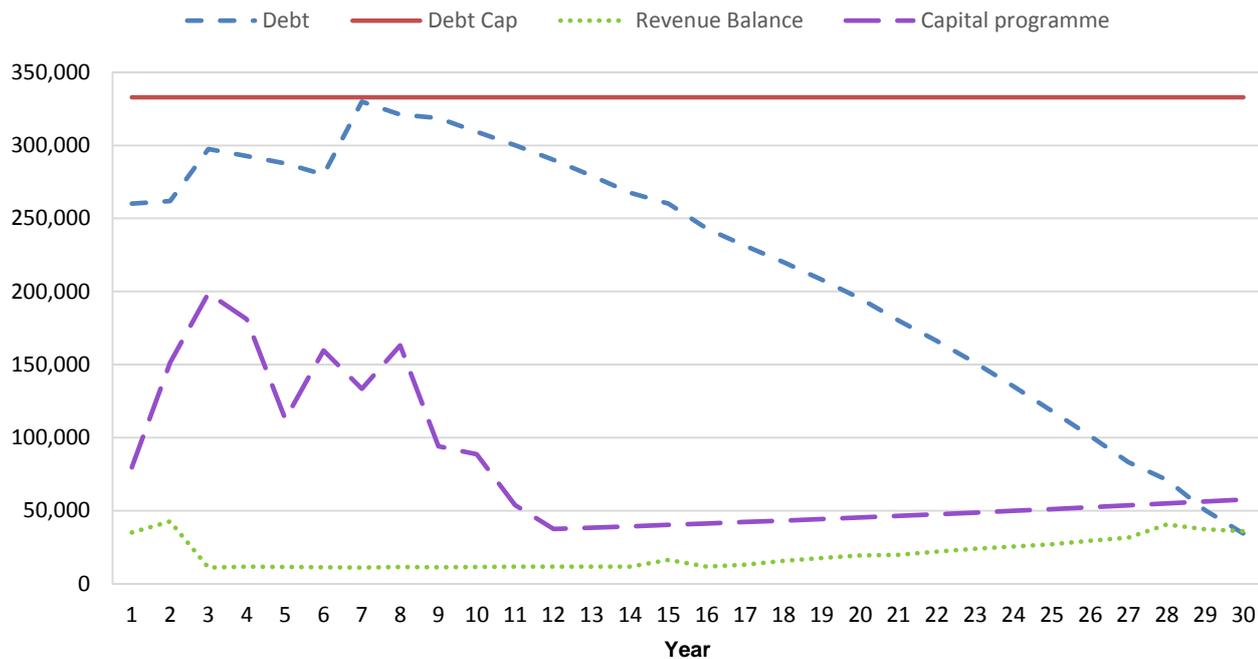
- 10.1 The base financial position will deliver the following:
- Investment in existing stock of £1.450bn, including major works capital expenditure of £0.919bn and revenue repairs and maintenance of £0.531bn.
  - Investment in new affordable housing of £0.960bn generating new HRA units, along with improved public realm and community facilities.
  - Reduction in HRA debt in year 30 to £34m.

- HRA Revenue balances in year 30 of £36m.
- Efficiency savings of £5.2m delivered across 2016/17 to 2020/21 which are reinvested in service delivery.

10.2 The charts below show the key variables of last year's and the current year's Business Plans: the debt cap (set by government under the self-financing settlement); the debt (total borrowing requirement); capital programme expenditure; and the operating reserve balance. Each of these is explained further below. The chart for the current year plan (Chart 2) shows that the HRA can fund the regeneration schemes and other capital investment requirements, with support from the affordable housing fund, a capital grant and increased capital receipts.



**Chart 2 - HRA Business Plan key variables 2018/19**

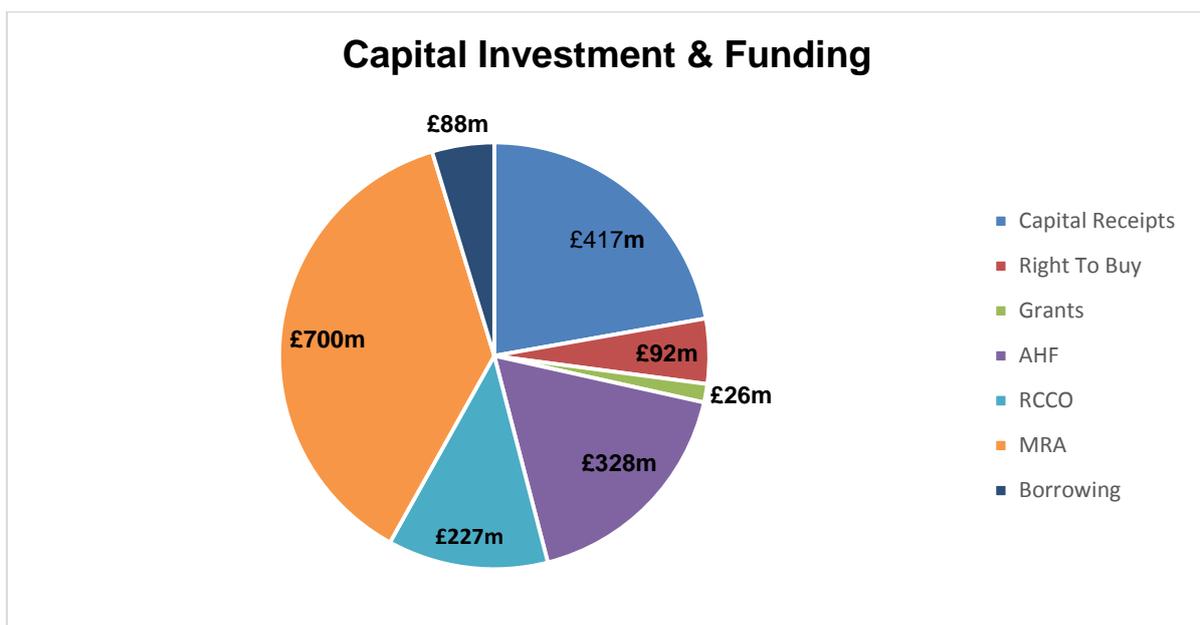


- 10.3 **Debt cap (red line)** - each local authority HRA has a debt cap, imposed by government as part of the 2012 self-financing settlement. This limits the amount of borrowing that the HRA can undertake. Westminster’s cap was originally set at £325m in 2012, but was increased in 2014/15 to £334m. As the chart shows, the borrowing limit remains the same over the 30 year period so the maximum amount the HRA can borrow stays in line with government rules.
- 10.4 **Debt (blue line)** - As the chart shows, the Council is able to fund the investment programmes outlined in this report with an increase in the level of borrowing. Borrowing rises from the current £260m and peaks in Year 7 just short of the maximum allowed, reducing thereafter as most of the regeneration schemes are completed or near completion. The plan assumes that maturing debt will be re-financed as long term loans expire and when resources allow the principal sums are progressively repaid. Debt levels fall to levels lower than that presented last year because of the approach of repaying debt while operating reserves allow in order to minimise interest costs incurred. Borrowing is estimated to fall to £34m (£82m in last year’s plan) over the life of the plan resulting in a net debt repayment of £226m (£174m last year) over the 30 year period. The borrowing headroom is estimated to improve from the current £73m (£78m last year) to £299m (£252m last year) at the end of the plan, providing future investment capacity in the later years of the programme. It can be seen from the graphs that the debt level rises more steeply and sooner than in the previous plan. This is driven by the increase in capital expenditure on regeneration schemes during the early years of the plan.
- 10.5 **Revenue balance (green line)** - A minimum reserves balance of £11m has been assumed as a key requirement in the plan as a contingency against unexpected expenditure, or shortfalls in income and to mitigate potential risk. The risks and other options for mitigation are set out in section 11 to this report, but one significant risk is

the dependency upon capital receipts in the plan and whether these happen to the scale and timing projected. These receipts are dependent upon delivery of the regeneration programme and the continued buoyancy of the property development market by the time any private housing units produced are sold off. This minimum reserves level is not a scientific figure but is felt to be prudent in light of the future uncertainty around Brexit, Government housing policy, rent policy, inflation, interest rates and other cash flow dependencies. The chart shows the revenue balance is projected to rise to £36m at the tail end of the plan. It is assumed that any reserve levels achieved significantly in excess of this level are used to repay debt, enabling the plan to maximise investment during the early years of the plan on the regeneration schemes, then to repay and reduce the debt levels over the latter years.

10.6 **Capital programme (purple line)** - Total planned capital investment in the HRA totals £1.88bn (£1.64bn last year) over 30 years. This includes major works on existing stock of £0.919bn (£1.034bn last year), regeneration £604m (£440m last year) and Other Schemes £355m (£169m). The programme is projected to rise sharply and peak first in 2019/20 and then 2024/25 as a result of increased regeneration expenditure, then gradually reduce from 2024/25 (year 7) onwards as the regeneration projects are completed or near completion. The amount of expenditure on capital projects, in particular on regeneration schemes, has increased compared with last year and consequently the chart shows higher and more sustained levels of capital expenditure over the first 9 years of the plan than previously. This drives the ambitious growth in the number of new homes in the city as set out elsewhere in the report.

10.7 The capital programme is forecast to be funded mainly from: Reserves & Contributions of £227m; capital receipts of £417m generated from land and market sale of new homes; capital grants of £26m; drawdowns from the Affordable Housing Fund of £328m; Right To Buy sales receipts of £92m; MRA of £700m; and borrowing of £88m where appropriate. This is shown in the chart below.



10.8 The Council's bid for housing zone status in respect of the Church Street regeneration area has been approved and both parties have entered into an Overarching Borough Agreement. The funding will provide £23m for site assembly on the western aspects of Church Street (primarily the acquisition costs of the residential leasehold interests in these blocks.) together with £2m for the Lisson Arches site.

**Key Business Plan assumptions**

10.9 The key assumptions that underpin the business plan are set out below.

10.10 **Housing stock** – the Plan is based on a forecast of increasing tenanted stock numbers from 11,753 at the beginning of year 1, to 12,188 in year 30. This includes a net total of 859 additional units (bought or built), offset by 509 RTB. The regeneration scheme will also lead to a further net increase in intermediate and leasehold stock, as set out in Table 6 below.

**Table 6 – HRA stock movement**

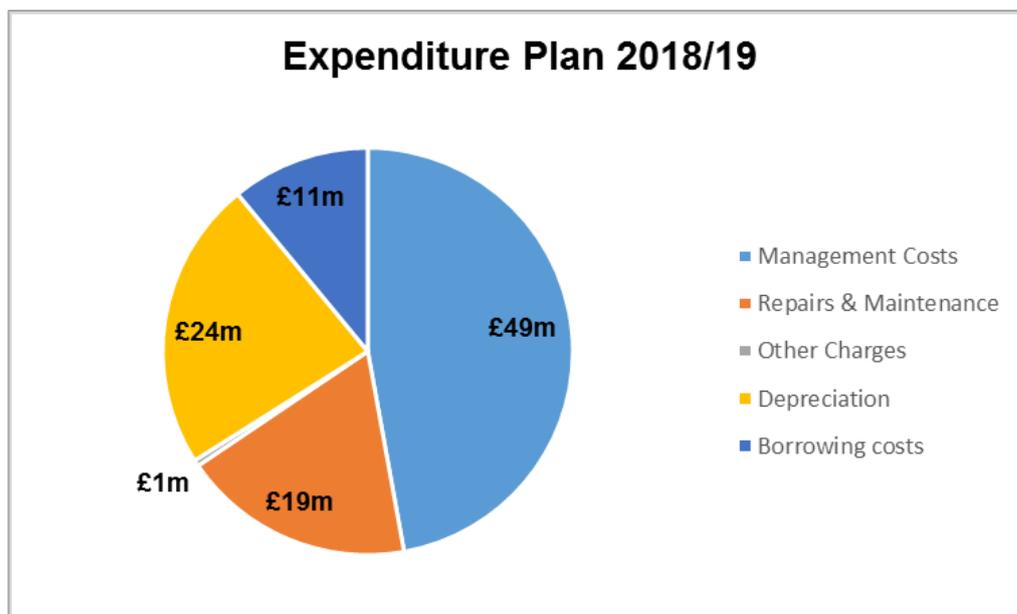
| Tenure                            | Tenanted      | Affordable / Intermediate | Leasehold    | Total         |
|-----------------------------------|---------------|---------------------------|--------------|---------------|
| Stock numbers at 01/04/2017       | 11,753        | -                         | 9,134        | 20,887        |
| Net Additions                     | 944           | 117                       | (202)        | 859           |
| Disposals - RTB                   | (509)         | -                         | 509          | -             |
| <b>Stock numbers at 31/3/2047</b> | <b>12,188</b> | <b>117</b>                | <b>9,431</b> | <b>21,736</b> |

10.11 **Dwelling rents** - average weekly rent per property is estimated to increase from £123.14 to £220.29 in year 30 of the plan. This reflects the 1% rent reduction in the first three years to 2019/20 in line with government regulation, followed by an estimated 3% average rent increase for the next five years (being CPI +1%) up to the end of the original 10 year rent policy. For subsequent years a prudent inflationary increase (CPI, at 2%) is assumed as Government rent policy beyond the initial 10 years rent policy period is yet to be determined.

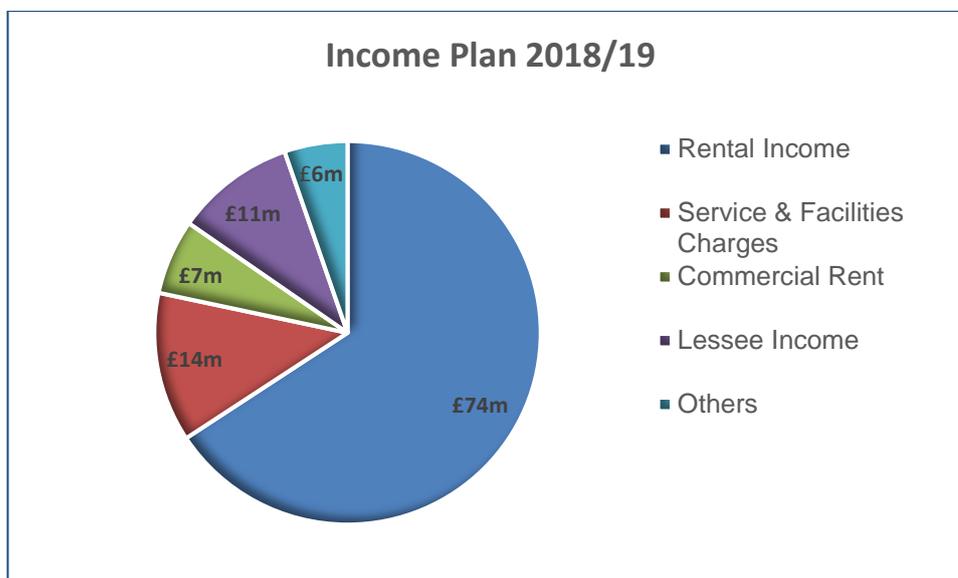
**Table 7 - Assumed rent increases**

| Year  | Year   | Average Rent per week | Assumed Rent Increase / (Decrease) | % (Decrease) / Increase | Real Terms Rent Increases |
|-------|--|-----------------------|------------------------------------|-------------------------|---------------------------|
| 1     | 2017.18  | £123.14               | (£1.15)                            | -1%                     | -1%-CPI                   |
| 2     | 2018.19  | £122.01               | (£1.13)                            | -1%                     | -1%-CPI                   |
| 3     | 2019.20  | £120.90               | (£1.11)                            | -1%                     | -1%-CPI                   |
| 4     | 2020.21  | £124.64               | £3.74                              | 3%                      | 1%                        |
| 5-9   | Annual increases in line with CPI +            |                       |                                    |                         | 1%                        |
| 10-30 | Thereafter annual increases in line with CPI + |                       |                                    |                         | 0%                        |

10.12 **Management Costs** – the chart below shows the operating account expenditure for 2018/19. The total annual expenditure is £104m, the bulk of which is the housing management and service costs of £49m. £41m of the management costs represents direct estate management services for tenants and lessees delivered through City West Homes (CWH) and other providers, and support services delivered through other Council service areas. The repairs comprise £5m of planned repairs, £13m of responsive repairs and £1m for void properties.



10.13 The chart below shows the operating account income of £112m for 2018/19 in the Business Plan. Rental income from dwellings, including £1m for sheds and garages, accounts for the majority at £74m. Service and facilities charges, mostly from lessees but some from tenants, is also significant at £14m. Rent from commercial properties brings in circa £7m gross before costs for repairs and management. Income from lessees in respect of major works is circa £11m but can fluctuate depending on the nature of works undertaken. The remainder of the spend includes recoveries for heating and hot water charges and other miscellaneous charges.



**Appendix C** of this report sets out the 30 year profile for income and expenditure.

10.14 CWH have in consultation with the Council and in response to an independent review by the housing consultancy Altair produced a new strategy and savings plan. The plan will by March 2021 produce permanent annualised savings of £5.2m to the HRA with approximately half of these derived from the CWH management fee. The key elements of this programme are listed below.

#### **Digital transformation programme**

- A new website and improved services available online, making it easier for customers to contact CWH and access information when they want.
- Mobile working to improve staff effectiveness when working on our estates and visiting residents in their homes.
- A new target operating model: channel shifting customers to on-line services wherever possible, improving the quality of the phone service, supporting on-line services and continuing to provide face to face services to tenants with greater support needs.
- Reviewing the role of their office portfolio.
- Reducing the volume of non-value added contacts.

#### **Setting new standards for customer service delivery**

- Revising the resident engagement processes to attract a broader range of residents.
- Consulting residents on their service requirements and developing tenure specific service standards that tenants and lessees can expect CWH to deliver upon.
- Regularly publishing performance against the standards for our customers to see.

### **Growth and improvement of the stock through effective asset strategy**

- Working through a series of options with the Council to make better use of the housing stock as an asset. Churning the stock to create more homes through disposals, acquisitions and new build.

### **New arrangements for repairs and major works**

- Seven new 10 year partnering contracts for maintenance repair and major works. All of these contracts have now been let.

These changes required some upfront investment which arose mainly in 2016/17 and 2017/18 and will achieve permanent annualised savings of £5.2m partly through reduced management costs, by 2020/21. The target of £1.05m in 2016/17 was exceeded with £1.38m of savings delivered and this will rise to £2.1m in 2018/19, being delivered through savings on re-procured 10 year contracts and reductions in the management fee charged by CWH to the HRA.

10.15 Being a 30 year plan, the HRA Business Plan is based on a number of assumptions about the future. Prudence has been applied in setting these assumptions so that risk is minimised. The key assumptions used in the plan are shown below. Section 11 sets out an assessment of the risks which are inherent in the plans and options for managing and mitigating against such risks.

| Risk area                  | Assumption  | Comment  |
|----------------------------|---|--|
| Inflation                  | RPI at 2.5%<br>CPI at 2%  | Assumed long term inflation for planning purposes applied to expenditure items.                                  |
| Rent policy                | Yrs 1-3: 1% reduction<br>Yrs 4-8: CPI +1%<br>Yr 9 on: CPI only                        | A conservative approach to rent increases as local authorities have flexibility under the self-financing regime. |
| Void rates                 | 1.0%  | Assumed long term void rate for planning   |
| Bad debt provision (BDP)   | 1.5% from Y2-Y4<br>1.0% Y5 onwards  | Assumed long term bad debt provision rate for planning   |
| Interest on debt/balances  | 0.5% on balances held;<br>4.5% on new and rescheduled debt;<br>5% from year 9 onwards | Reflects current rates available and historic evidence.  |
| RTB Receipts               | 24 in the first five years, 20 in years 6 & 7, then 15 thereafter.                    | Best estimate based on historical sales trends and expressions of interest                                       |
| Minimum operating reserves | £11m  | Approximately 10% of turnover. Prudent in light of current economic and market risks.                            |

10.16 Based on the above assumptions, the business plan remains viable over the 30-year period; and the investment programmes are deliverable.

## 11. Risk Management

- 11.1 As has been portrayed in the graphs and information earlier in this report, the latest plan seeks to maximise the investment in regeneration programmes in order to deliver new homes for the city. The consequence of this is that the capital expenditure profile drives up the level of borrowing required in order to achieve this objective, taking the peak borrowing year in the plan (2023/24) to within circa £3m of the borrowing limit. In the next 5 years, the peak borrowing year is in 2019/20 when the remaining headroom in borrowing capacity reduces to £40m before growing again over the subsequent 3 years. This reduced headroom in borrowing limits the ability of the HRA to absorb and manage the financial impact of unforeseen and unplanned risks that may materialise during the course of the plan.
- 11.2 This means that if any overspends to budget occur and build up, for example if caused by a change in legislation which places an increased burden on the HRA, or if capital receipts are delayed or reduced, this could push the borrowing requirement above the level of the cap. The HRA is by law not allowed to budget for a deficit or to exceed the borrowing cap, so this cannot be allowed to happen. Consequently, the Council would need to identify and implement a number of actions which mitigate and reduce the pressure on borrowing.
- 11.3 The range of management options available within the HRA to mitigate any additional risks are as follows (in no particular order):-

- a. Project spend monitoring and management information. It is key that there are early warning indicators for management to be able to identify whether any projects are going to overspend in order to be able to assess the impact on the HRA plan.
- b. Regular updates to the HRA business plan. Quarterly reviews and updates to the business plan are undertaken, at which point any changes identified in operating or capital project performance can be remodelled to identify the impact and any further mitigation required. The fact that the business plan is updated on an annual basis means that steps can be taken to reprofile or reprioritise elements of the plan well in advance of any peak year. In reality, we would seek to avoid getting too close to the cap in the near term.
- c. Utilisation of contingency. The main regeneration schemes each have a certain level of contingency built into the cost of the projects as a buffer against overspend within the project budget. This will be the first port of call for any overspend within a project. Monitoring the use and need for contingency on a project will be important as an indicator of whether a project is going to go over budget. Secondly, the capital programme has a separate contingency budget which has not been specifically allocated any given scheme. This amounts to £17.4m over the next 5 years.
- d. Reduce or delay the reinvestment of self-financing capital expenditure. Currently it is assumed that the cash generated through disposal of HRA assets for re investment is fully reinvested back into acquiring new stock. There is £40m assumed for reinvestment over the next 5 years. The rate of reinvestment could be slowed so as to avoid the plan going into deficit or exceeding the borrowing limit of £333.8m. The consequence of this strategy would be that a reducing housing stock within the HRA would have a direct impact on the cost of Temporary Accommodation in the General Fund, creating pressures on the rest of the Council to stay within budget.
- e. Dispose of HRA assets. Similar to the above, but without reinvesting the cash generated. Achieved through identifying surplus assets or selling additional HRA properties.
- f. Increase or accelerate funding drawn from the Affordable Housing Fund (AHF). The risk of increases in cost for the acquisition of affordable housing can be met from the AHF fund through reprioritisation of funding. However, the AHF currently held by the Council is assumed to be fully used over the coming years, and the plan as a whole assumes that further AHF money will be received and used in order to make the whole plan affordable. This would need careful modelling to understand the impact on other schemes assumed to draw from the fund in later years.
- g. Transfer schemes from HRA into an alternative vehicle, such as a wholly owned company. This could help the profile of the business plan by moving expenditure from peak years when the borrowing cap is under pressure to another delivery vehicle so that the scheme can still proceed without drawing upon HRA borrowing. This could enable more to be achieved than is currently shown within the plan. It could also generate a capital receipt sooner for the HRA through the transfer of land

- h. out of the HRA. The downside would be that this could be removing schemes which would generate longer term benefits in terms of rental income on the affordable housing which was otherwise planned to be retained within the HRA.
- i. Re-profile, extend or delay regeneration capital expenditure
  - i. Reprofile the regeneration spend so that schemes run sequentially rather in parallel, or delay some projects until the peak borrowing period has passed.
  - ii. Reprofile and extend regeneration scheme programmes to be delivered over a longer period, slowing down the rate of spend. This however is likely to be an inefficient way of working and not favourable with development partners.
  - iii. Some elements of the plan or certain schemes could be decided to begin or progress only when certain other conditions have been met which assure the financial safeguarding of the plan, such as the level of capital receipts received needing to be met.

These would need to be modelled so as to demonstrate the impact of not only the deferred expenditure but also the deferred capital receipts arising at the end of the schemes when the income from private sale units comes through.

- j. Reduce major works expenditure. This amounts to £206m over the next 5 years, £919m over 30 years. However, this could be a risky strategy as the Council has recently signed up to term contracts which gave an indication of a certain minimum level of spend with the suppliers. If these minimum levels were not achieved, the Council could be subject to penalties or compensation which negate or reduce the potential mitigation and impact on the Council's reputation.
- k. Increase affordable rents assumed in the new units to be delivered through the regeneration schemes to 80% of market rents. Average rents for new units have been modelled at £150 a week but could be increased up to £187 per week to increase the annual return and total dwellings rent received.
- l. Increase HRA rents following the period of 1% reductions to the maximum allowable. At this stage however it is not clear what limitations will be placed on local authorities following this period (i.e. from 1 April 2020). Currently the business plan assumes increases of CPI+1% for the 5 years following before reverting to annual CPI increases. When the 1% reductions legislation came in, this had a significant impact on the HRA plan, as the reductions have a compounding and lasting effect on future years. Reversing this position would have a similar but favourable effect on the plan. Rent policy is only guidance and the only control at present is the limit on Housing Benefit.
- m. Lobby for legislative changes such as an increase in the debt cap, reversal of the 1% rent reduction etc. This is not something that the Council can directly change (only try and influence) as it is subject to central government decision making, and could take some time to be implemented if at all. This has already been referenced to in

correspondence with government in the aftermath of Grenfell. The cost impact of remedial works in the light of Grenfell is modelled at £29.2m within Major Works; it is conceivable that the cap could be increased to account for the pressure caused by this previously unforeseen expenditure. At time of writing we have not had a formal response to our communication.

- n. The model maintains a minimum reserves balance of £11m, but this in itself is a buffer against overspends and hence acts as a source of mitigation.

11.4 As noted in section 10 above, the base business plan uses prudent assumptions so as to reduce the chance of certain risks arising. Set out below is a summary of other potential risks to the stability of the business plan. Quarterly reviews of the HRA business plan will be held between senior officers and the lead member, at which programme performance will be reviewed and risks monitored.

| Risk  | Impact   | Mitigation   |
|---|--|--|
| <p><b>Capital Receipts:</b><br/>The plan assumes estimated capital receipts of £592m will be generated and used to fund the development of new homes.</p> | <p>Any significant slippage in the timing or value of these receipts will pose a cash flow risk for staying within the borrowing limit.</p>  | <p>Robust monitoring of the timing and expected value of the receipts will help inform management action to mitigate this risk. Management options identified above would need to be applied.</p>  |
| <p><b>Rent Policy</b></p>   | <p>If rents were only to increase annually by CPI after the 1% reduction period, not by CPI+1% as modelled, the impact would be significant and the plan would be unviable.</p>  | <p>Lobbying is key to the success of avoiding this risk from happening in the first place. Regeneration spend would need to be significantly curtailed.</p>  |
| <p><b>Interest rates</b></p>  | <p>The rates assumed are between 4% and 5% on new borrowing throughout the plan. If interest rates were to rise this would have a significant adverse impact as the peak debt is only £3m less than the cap. Ignoring profiles of current fixed term loans, a 1% rise in interest would add £2-3m per annum to costs and increase debt</p> | <p>The HRA has some fixed loans in place which would not be affected until they matured and needed to be replaced. Further fixed rate loans could be taken out to prevent uncontrolled increases. However, the scale and pace of regeneration may need to be reviewed.</p> |

| Risk  | Impact   | Mitigation   |
|---|--|--|
|   | levels further. This would compound annually.  |  |
| <b>Inflation</b>  | If inflation were to increase above that assumed by 1%, the Plan would no longer be viable over 30 years.  | <p>The increase in costs would be partially offset by increased income as this is also based on CPI inflation.</p> <p>The situation would not be uncontrolled as there would need to be a decision as to whether certain expenditure is still deemed affordable or value for money. Management options identified above would also need to be applied.</p> |
| <b>Capital Costs</b>  | If the cost of construction and professional fees on the regeneration programme were to increase by 20% this would cost c£50m.   | This is provided for within contingency on the regeneration scheme budgets. The central contingency could be drawn upon. Other general estates expenditure could be reprofiled.  |
| <b>Welfare Reform:</b><br>Implementation of Universal Credit, benefit cap and other welfare reform changes. | May increase rent arrears which impacts HRA income.  | More active/proactive debt management action may be required. Robust monitoring of service activity to act as an early warning.  |
| <b>Brexit:</b><br>Adverse impacts on costs and values as a consequence of Brexit                            | There is increased uncertainty about the cost of projects due to changes in the cost of materials and labour arising from changes in the value of the pound relative to other currencies. Equally there are changes in the attractiveness of London as a residential investment, positively due to falls in the value of the pound and negatively from lack of | A selection of current projects are being reviewed to identify and seek to quantify the impacts based on the best evidence available to highlight areas where further measures need to be taken.   |

| Risk | Impact   | Mitigation |
|------|--|------------|
|      | access to Europe. These are highly uncertain and may lead to increased caution on the part of contractors and developers when bidding for work or assessing the risks/rewards of current projects. |            |

- 11.5 In addition, the Business Plan conforms to the Chartered Institute of Housing (CIH) and CIPFA voluntary code on self-financing HRAs. This includes compliance with CIPFA’s Code of Practice on Local Authority Accounting in the UK including depreciation of assets on a componential basis.
- 11.6 The Council complies with the both the principles of co-regulation as set out in “The Regulatory Framework for Social Housing in England from 2012.” and also the requirements of the CIPFA/CIH “Voluntary code of practice on self-financing HRAs”.
- 11.7 Under the Regulatory Framework code, governance arrangements should be fit for purpose, and reflect the complexity and risk profile of the organisation. Boards and Councillors need to set clear objectives and develop a forward looking strategy that enables their organisation to make the most of future opportunities and mitigate risks. There should be a continuous focus on effective financial management and improving value for money.
- 11.8 The self-financing code of practice is a voluntary framework of best practice for local authority governance of the HRA aimed at promoting effective governance, finance and business planning and aimed at providing transparency to stakeholders on how the housing business is being managed. Its key principles are:
- **Financial viability.** The housing authority has put in place arrangements to monitor the viability of the housing business and takes appropriate actions to maintain viability.
  - **Communications and governance.** The housing authority keeps under review the communications and governance arrangements with regards to the new operating environment and adopts governance arrangements appropriate to supporting viability and accountability of the housing business.
  - **Risk management.** The housing authority has in place an effective system for the on-going management, monitoring and reporting of risks to the HRA.
  - **Asset management.** The housing authority has in place arrangements to maintain its assets to maximise their value into the future. The authority complies with the principles of good asset management as they apply to HRA assets.

- **Financial and treasury management.** The housing authority complies with formal accounting practices including CIPFA's Code of Practice on Local Authority Accounting in the United Kingdom and CIPFA's Treasury Management in the Public Services Code of Practice.

## 12. Legal Implications

- 12.1 The expenditure referred to in this report will be spent pursuant to the Council's powers and duties. Individual reports on each project will be approved by the Cabinet or by the relevant Cabinet Member.
- 12.2 Statutory requirements as to the keeping of a Housing Revenue Account (HRA) are contained in the Local Government and Housing Act 1989. The provisions include a duty, under Section 76 of the Act, to budget to prevent a debit balance on the HRA and to implement and review the budget.
- 12.3 The Localism Act 2011 contains provisions relating to housing finance in Sections 167 to 175. These provisions introduced a new system of council housing finance which ended the current Housing Revenue Account subsidy system in England and replaced it with self-financing arrangements. Section 171 of the Localism Act 2011 empowered the Secretary of State to make provision relating to the level of indebtedness in relation to local housing authorities in England which keep a Housing Revenue Account.
- 12.4 Under Regulation 12 of the Local Authorities (Capital Finance and Accounting) (England) Regulations 2003 (as amended) local authorities are required to use RTB capital receipts to pay the "poolable amount" to the Secretary of State, on a quarterly basis.
- 12.5 This report deals with other legislative provisions which are expected to influence the Housing Investment Strategy such as the social rent reduction introduced by Section 23 of the Welfare Reform and Work Act 2016 and changes to the social benefits system under Sections 8 – 17 of the Welfare Reform and Work Act 2016.
- 12.6 The Housing and Planning Act 2016 is also likely to affect the findings of subsequent reports and also the Council's regeneration initiatives. The relevant provisions include the imposition of a liability for local housing authorities which maintain a Housing Revenue Account to make payments to the Secretary of State based on the market value of any vacant higher value void properties which the local authority owns. Additionally, under Chapter 6 and Schedule 7 the Housing and Planning Act 2016 seeks to phase out secure tenancies as life interests and replace them with fixed term secure tenancies thus potentially allowing for more flexibility in terms of stock management. Full details of any of these provisions are not available at the moment.

- 12.7 The Housing and Planning Act 2016 also contains provisions which have been implemented and may attract procedural changes in the way the Council progresses its regeneration projects. Such provisions include the amendments made to the planning regime under Part 6 and amendments to the compulsory purchase and appropriation procedures under Part 7.
- 12.8 The Equality Act 2010 introduced a single public sector equality duty. This duty requires the Council to have due regard in its decision-making processes to the need to:
- a. Eliminate discrimination, harassment, victimisation or other prohibited conduct;
  - b. Advance equality of opportunity between persons who share a relevant protected characteristic and those who do not share it, and;
  - c. Foster good relations between those who share a relevant characteristic and those that do not share it.
- 12.9 The relevant protected characteristics are age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex, sexual orientation.
- 12.10 The Council is required to act in accordance with the equality duty and have due regard to the duty when carrying out its functions, which includes making new decisions in the current context and in relation to the new Strategy. An Equalities Impact Assessment and or consultation maybe necessary if significant changes are envisaged to Housing Management Schemes.

### **13. Consultation**

- 13.1 Development of the Business Plan and Housing Investment Strategy has involved officers from within the Housing and Regeneration Department, City Treasurers and CityWest Homes. We have had regard to national and local housing policies and objectives which have informed the priorities for investment.
- 13.2 A key component of the housing regeneration programme is community engagement: officers and consultants have worked with local communities to develop plans for their neighbourhoods. Community engagement teams work on the ground with residents, visiting residents in their homes, staffing drop-in sessions and holding open days. Resident expectations are high, and the City Council is committed to an on-going programme of resident involvement as these schemes develop further.

**If you have any queries about this Report or wish to inspect any of the Background Papers please contact:**

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## **Appendix A**

### **Other Implications**

#### **1. Resources Implications**

The resourcing implications to deliver the proposed capital programme are contained within the attached indicative HRA capital programme.

#### **2. Business Plan Implications**

Approval of the HRA Business Plan is critical to delivery of key components of the Housing Business Plan, such as the estate regeneration programme and reducing homelessness pressures.

#### **3. Risk Management Implications**

See section 11 of the report.

#### **4. Health and Wellbeing Impact Assessment including Health and Safety Implications**

Programmes delivered within this strategy are aimed at addressing health and wellbeing issues, through improvements to housing and the public realm, and through related programmes addressing employment and skills and provision of community facilities.

A key part of the early years' investment in the existing stock will be to address health and safety issues brought to light as a result of the Grenfell Tower fire.

#### **5. Crime and Disorder Implications**

Safety and security measures form a component of the programme of works to existing stock, and the estate renewal schemes, both of which are factored into the HRA Business Plan.

#### **6. Impact on the Environment**

New homes are built to Code 4 as a minimum and environmental and energy efficiency works are key considerations in the works to existing housing stock and the housing regeneration schemes. The Church Street regeneration scheme incorporates a new Combined Heat and Power district heating scheme.

#### **7. Equalities Implications**

Each of the estate regeneration schemes has been subject to an Equalities Impact Assessment to ensure any arising issues are addressed. DDA works and disabled adaptations are included as essential works within the capital programme

#### **8. Human Rights Implications**

The investment programmes outlined in this report will involve the enforced displacement of residents and their human rights under Article 1 of the First Protocol and Article 8 of the European Convention on Human Rights will be taken into account at the appropriate time.

#### **9. Communications Implications**

See section 13 on consultation.

## Appendix B – Capital Expenditure

| HRA FIVE YEAR CAPITAL PROGRAMME  |                           |                       |                       |                       |                       |                       |                         |                          |
|----------------------------------|---------------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-------------------------|--------------------------|
| Schemes                          | 2017-18<br>Forecast<br>£m | 2018-19<br>Plan<br>£m | 2019-20<br>Plan<br>£m | 2020-21<br>Plan<br>£m | 2021-22<br>Plan<br>£m | 2022-23<br>Plan<br>£m | Total<br>5yr Plan<br>£m | Total<br>30yr Plan<br>£m |
| <b>Major Works</b>               |                           |                       |                       |                       |                       |                       |                         |                          |
| OT Adaptation                    | 1.2                       | 1.2                   | 1.2                   | 1.2                   | 1.2                   | 1.2                   | 6.0                     | 31.2                     |
| Electrical Works & Laterals      | 5.0                       | 7.1                   | 5.7                   | 6.0                   | 6.5                   | 5.4                   | 30.8                    | 286.4                    |
| External Repairs & Decorations   | 8.2                       | 27.7                  | 24.3                  | 19.1                  | 15.4                  | 21.3                  | 107.8                   | 378.8                    |
| Fire Precautions                 | 4.2                       | 13.4                  | 11.4                  | 4.1                   | 2.1                   | 2.2                   | 33.2                    | 61.4                     |
| General                          | 2.5                       | 0.7                   | 0.1                   | 0.0                   | 0.0                   | 0.5                   | 1.2                     | 8.9                      |
| Kitchen & Bathroom               | 0.9                       | 0.8                   | 0.8                   | 0.7                   | 0.7                   | 0.7                   | 3.6                     | 26.8                     |
| Lifts                            | 2.7                       | 2.4                   | 2.0                   | 2.0                   | 2.0                   | 2.0                   | 10.4                    | 49.1                     |
| Major Voids                      | 3.5                       | 2.5                   | 2.5                   | 2.5                   | 2.5                   | 2.5                   | 12.5                    | 76.0                     |
| <b>Total Major Works</b>         | <b>28.2</b>               | <b>55.8</b>           | <b>47.9</b>           | <b>35.6</b>           | <b>30.4</b>           | <b>35.8</b>           | <b>205.5</b>            | <b>918.6</b>             |
| <b>Regeneration</b>              |                           |                       |                       |                       |                       |                       |                         |                          |
| Cosway Street                    | 0.6                       | 6.5                   | 18.6                  | 5.9                   | 0.7                   | 0.0                   | 31.7                    | 32.3                     |
| Lisson Arches                    | 2.0                       | 8.3                   | 17.1                  | 1.7                   | 0.3                   | 0.0                   | 27.5                    | 29.4                     |
| Luton Street                     | 0.2                       | 2.1                   | 6.4                   | 5.8                   | 0.0                   | 0.0                   | 14.3                    | 14.5                     |
| Parsons North                    | 0.6                       | 8.7                   | 15.8                  | 2.4                   | 0.3                   | 0.0                   | 27.2                    | 27.8                     |
| Ashbridge                        | 0.5                       | 5.3                   | 7.8                   | 0.2                   | 0.0                   | 0.0                   | 13.3                    | 13.8                     |
| Church Street Phase Two          | 0.7                       | 5.3                   | 4.6                   | 64.9                  | 40.5                  | 64.3                  | 179.6                   | 309.9                    |
| Tollgate Gardens                 | 7.3                       | 10.0                  | 0.0                   | 0.0                   | 0.0                   | 0.0                   | 10.0                    | 17.3                     |
| Other Estates Regeneration       | 11.0                      | 17.3                  | 32.9                  | 28.5                  | 14.2                  | 15.4                  | 108.2                   | 159.2                    |
| <b>Total Regeneration</b>        | <b>22.9</b>               | <b>63.5</b>           | <b>103.2</b>          | <b>109.3</b>          | <b>55.9</b>           | <b>79.7</b>           | <b>411.7</b>            | <b>604.3</b>             |
| <b>Other Schemes</b>             |                           |                       |                       |                       |                       |                       |                         |                          |
| District Heating Network Scheme  | 0.7                       | 1.9                   | 1.9                   | 5.9                   | 0.4                   | 0.0                   | 10.1                    | 17.7                     |
| Edgware Rd                       | 2.0                       | 0.0                   | 6.6                   | 0.3                   | 0.0                   | 0.0                   | 6.9                     | 8.9                      |
| Infill Schemes                   | 3.8                       | 12.7                  | 17.9                  | 15.0                  | 11.0                  | 15.4                  | 72.0                    | 152.9                    |
| Self Financing                   | 22.0                      | 10.0                  | 0.0                   | 10.0                  | 10.0                  | 10.0                  | 40.0                    | 124.8                    |
| Section 106 Acquisitions         | 0.0                       | 0.0                   | 12.4                  | 0.0                   | 0.0                   | 12.4                  | 24.9                    | 24.9                     |
| Kemp House/Berwick Street        | 0.0                       | 0.7                   | 0.0                   | 0.0                   | 0.0                   | 0.0                   | 0.8                     | 0.8                      |
| Ashmill                          | 0.1                       | 0.3                   | 0.6                   | 0.0                   | 0.0                   | 0.0                   | 0.9                     | 1.0                      |
| Central Contingency              | 0.0                       | 5.4                   | 6.3                   | 2.3                   | 2.0                   | 1.4                   | 17.4                    | 24.4                     |
| <b>Total Other Schemes</b>       | <b>28.6</b>               | <b>31.0</b>           | <b>45.8</b>           | <b>33.6</b>           | <b>23.4</b>           | <b>39.2</b>           | <b>173.0</b>            | <b>355.3</b>             |
| <b>Total Capital Expenditure</b> | <b>79.7</b>               | <b>150.3</b>          | <b>196.9</b>          | <b>178.5</b>          | <b>109.7</b>          | <b>154.8</b>          | <b>790.2</b>            | <b>1,878.2</b>           |
| <b>Financed By:</b>              |                           |                       |                       |                       |                       |                       |                         |                          |
| Capital Receipts                 | 15.4                      | 45.6                  | 63.9                  | 68.7                  | 28.9                  | 63.9                  | 270.9                   | 416.8                    |
| Right To Buy                     | 17.5                      | 8.6                   | 5.7                   | 1.6                   | 8.7                   | 4.5                   | 29.2                    | 92.4                     |
| Grants                           | 0.2                       | 5.9                   | 4.6                   | 12.0                  | 3.5                   | 0.0                   | 26.0                    | 26.2                     |
| AHF                              | 15.2                      | 18.4                  | 25.4                  | 66.0                  | 21.9                  | 48.1                  | 179.8                   | 328.3                    |
| RCCO                             | 8.0                       | 46.4                  | 38.4                  | 6.9                   | 23.4                  | 14.9                  | 130.0                   | 226.8                    |
| MRA                              | 23.3                      | 23.3                  | 23.3                  | 23.3                  | 23.3                  | 23.3                  | 116.7                   | 699.9                    |
| Borrowing                        | 0.0                       | 2.0                   | 35.6                  | 0.0                   | 0.0                   | 0.0                   | 37.6                    | 87.7                     |
| <b>Total Financing</b>           | <b>79.7</b>               | <b>150.3</b>          | <b>196.9</b>          | <b>178.5</b>          | <b>109.7</b>          | <b>154.8</b>          | <b>790.2</b>            | <b>1,878.2</b>           |

## Appendix C – Operating Account

**WESTMINSTER CITY COUNCIL**  
**HRA Business Plan**  
**Operating Account**  
(expressed in money terms)

|      |         | Income          |              |             |              | Expenditure |              |                       |                     |                  |               |                |                 |                             |                    |                 |                 | Transfer from / (to) |                 | Surplus (Deficit) for the Year |            | Surplus (Deficit) b/fwd |       | Surplus (Deficit) c/fwd |       |       |       |       |       |       |       |       |
|------|---------|-----------------|--------------|-------------|--------------|-------------|--------------|-----------------------|---------------------|------------------|---------------|----------------|-----------------|-----------------------------|--------------------|-----------------|-----------------|----------------------|-----------------|--------------------------------|------------|-------------------------|-------|-------------------------|-------|-------|-------|-------|-------|-------|-------|-------|
| Year | Year    | Net rent Income | Other income | Misc Income | Total Income | Managt.     | Depreciation | Responsive & Cyclical | Other Revenue spend | HRA Cost of Rent | Misc expenses | Total expenses | Capital Charges | Net Operating (Expenditure) | Repayment of loans | Transfer to MRR | Revenue Reserve | RCCO                 | £,000           | £,000                          | £,000      | £,000                   |       |                         |       |       |       |       |       |       |       |       |
|      |         | £,000           | £,000        | £,000       | £,000        | £,000       | £,000        | £,000                 | £,000               | £,000            | £,000         | £,000          | £,000           | £,000                       | £,000              | £,000           | £,000           | £,000                | £,000           | £,000                          | £,000      | £,000                   | £,000 | £,000                   | £,000 | £,000 | £,000 | £,000 | £,000 | £,000 | £,000 | £,000 |
| 1    | 2017.18 | 87,944          | 5,559        | 15,678      | 109,181      | (47,697)    | (23,331)     | (19,615)              | (4,200)             | 0                | (460)         | (95,303)       | (12,269)        | <b>1,608</b>                | 0                  | 0               | 3,821           | (10,923)             | <b>(5,494)</b>  | <b>40,105</b>                  | <b>437</b> | <b>35,048</b>           |       |                         |       |       |       |       |       |       |       |       |
| 2    | 2018.19 | 87,046          | 5,697        | 19,384      | 112,127      | (48,889)    | (23,909)     | (19,016)              | (513)               | 0                | (1,148)       | (93,475)       | (11,337)        | <b>7,316</b>                | 0                  | 0               | 0               | 0                    | <b>7,316</b>    | <b>35,048</b>                  | <b>325</b> | <b>42,689</b>           |       |                         |       |       |       |       |       |       |       |       |
| 3    | 2019.20 | 86,976          | 5,840        | 18,702      | 111,517      | (50,112)    | (24,384)     | (18,947)              | 0                   | 0                | (1,108)       | (94,550)       | (11,530)        | <b>5,437</b>                | 0                  | 0               | 0               | (37,116)             | <b>(31,679)</b> | <b>42,689</b>                  | <b>139</b> | <b>11,149</b>           |       |                         |       |       |       |       |       |       |       |       |
| 4    | 2020.21 | 90,162          | 5,986        | 17,891      | 114,039      | (51,365)    | (25,170)     | (18,937)              | 0                   | 0                | (1,325)       | (96,797)       | (12,203)        | <b>5,039</b>                | (4,622)            | 0               | 0               | 0                    | <b>418</b>      | <b>11,149</b>                  | <b>167</b> | <b>11,733</b>           |       |                         |       |       |       |       |       |       |       |       |
| 5    | 2021.22 | 93,224          | 6,136        | 17,031      | 116,391      | (52,649)    | (25,844)     | (19,524)              | 0                   | 0                | (1,882)       | (99,899)       | (11,902)        | <b>4,590</b>                | (5,130)            | 0               | 0               | 0                    | <b>(540)</b>    | <b>11,733</b>                  | <b>218</b> | <b>11,411</b>           |       |                         |       |       |       |       |       |       |       |       |
| 6    | 2022.23 | 96,693          | 6,289        | 19,168      | 122,150      | (53,965)    | (26,400)     | (20,184)              | 0                   | 0                | (2,711)       | (103,260)      | (11,653)        | <b>7,237</b>                | (7,521)            | 0               | 0               | 0                    | <b>(284)</b>    | <b>11,411</b>                  | <b>113</b> | <b>11,241</b>           |       |                         |       |       |       |       |       |       |       |       |
| 7    | 2023.24 | 100,693         | 6,446        | 19,656      | 126,795      | (55,314)    | (27,488)     | (20,979)              | 0                   | 0                | (2,779)       | (106,560)      | (12,857)        | <b>7,378</b>                | 0                  | 0               | 0               | (7,607)              | <b>(228)</b>    | <b>11,241</b>                  | <b>64</b>  | <b>11,076</b>           |       |                         |       |       |       |       |       |       |       |       |
| 8    | 2024.25 | 104,304         | 6,607        | 20,524      | 131,436      | (56,697)    | (28,324)     | (21,662)              | 0                   | 0                | (2,849)       | (109,531)      | (12,832)        | <b>9,072</b>                | (8,828)            | 0               | 0               | 0                    | <b>244</b>      | <b>11,076</b>                  | <b>96</b>  | <b>11,416</b>           |       |                         |       |       |       |       |       |       |       |       |
| 9    | 2025.26 | 107,534         | 6,773        | 20,757      | 135,063      | (58,114)    | (29,219)     | (22,438)              | 0                   | 0                | (2,920)       | (112,691)      | (12,852)        | <b>9,520</b>                | (2,381)            | 0               | 0               | (7,457)              | <b>(318)</b>    | <b>11,416</b>                  | <b>96</b>  | <b>11,194</b>           |       |                         |       |       |       |       |       |       |       |       |
| 10   | 2026.27 | 110,583         | 6,942        | 20,357      | 137,881      | (59,567)    | (30,260)     | (23,178)              | 0                   | 0                | (2,993)       | (115,999)      | (12,543)        | <b>9,340</b>                | (9,260)            | 0               | 0               | 0                    | <b>80</b>       | <b>11,194</b>                  | <b>172</b> | <b>11,446</b>           |       |                         |       |       |       |       |       |       |       |       |
| 11   | 2027.28 | 114,035         | 7,115        | 19,128      | 140,279      | (61,056)    | (31,083)     | (24,009)              | 0                   | 0                | (3,068)       | (119,216)      | (12,091)        | <b>8,973</b>                | (9,145)            | 0               | 0               | 0                    | <b>(172)</b>    | <b>11,446</b>                  | <b>380</b> | <b>11,653</b>           |       |                         |       |       |       |       |       |       |       |       |
| 12   | 2028.29 | 117,404         | 7,293        | 19,607      | 144,304      | (62,583)    | (32,330)     | (24,820)              | 0                   | 0                | (3,144)       | (122,877)      | (11,612)        | <b>9,815</b>                | (10,166)           | 0               | 0               | 0                    | <b>(351)</b>    | <b>11,653</b>                  | <b>465</b> | <b>11,768</b>           |       |                         |       |       |       |       |       |       |       |       |
| 13   | 2029.30 | 119,851         | 7,476        | 20,097      | 147,423      | (64,147)    | (33,106)     | (25,410)              | 0                   | 0                | (3,223)       | (125,887)      | (11,139)        | <b>10,398</b>               | (10,842)           | 0               | 0               | 0                    | <b>(445)</b>    | <b>11,768</b>                  | <b>451</b> | <b>11,774</b>           |       |                         |       |       |       |       |       |       |       |       |
| 14   | 2030.31 | 122,346         | 7,662        | 20,599      | 150,608      | (65,751)    | (33,902)     | (26,014)              | 0                   | 0                | (3,304)       | (128,971)      | (10,667)        | <b>10,970</b>               | (11,404)           | 0               | 0               | 0                    | <b>(434)</b>    | <b>11,774</b>                  | <b>438</b> | <b>11,778</b>           |       |                         |       |       |       |       |       |       |       |       |
| 15   | 2031.32 | 124,893         | 7,854        | 21,114      | 153,861      | (67,395)    | (34,716)     | (26,633)              | 0                   | 0                | (3,386)       | (132,130)      | (10,278)        | <b>11,453</b>               | (7,364)            | 0               | 0               | 0                    | <b>4,089</b>    | <b>11,778</b>                  | <b>435</b> | <b>16,302</b>           |       |                         |       |       |       |       |       |       |       |       |
| 16   | 2032.33 | 127,490         | 8,050        | 21,642      | 157,182      | (69,080)    | (35,550)     | (27,266)              | 0                   | 0                | (3,471)       | (135,367)      | (9,782)         | <b>12,034</b>               | (16,941)           | 0               | 0               | 0                    | <b>(4,908)</b>  | <b>16,302</b>                  | <b>421</b> | <b>11,815</b>           |       |                         |       |       |       |       |       |       |       |       |
| 17   | 2033.34 | 130,139         | 8,252        | 22,183      | 160,574      | (70,807)    | (36,404)     | (27,915)              | 0                   | 0                | (3,558)       | (138,683)      | (9,216)         | <b>12,676</b>               | (11,938)           | 0               | 0               | 0                    | <b>738</b>      | <b>11,815</b>                  | <b>398</b> | <b>12,951</b>           |       |                         |       |       |       |       |       |       |       |       |
| 18   | 2034.35 | 132,843         | 8,458        | 22,738      | 164,039      | (72,577)    | (37,278)     | (28,578)              | 0                   | 0                | (3,647)       | (142,080)      | (8,799)         | <b>13,160</b>               | (10,934)           | 0               | 0               | 0                    | <b>2,226</b>    | <b>12,951</b>                  | <b>392</b> | <b>15,570</b>           |       |                         |       |       |       |       |       |       |       |       |
| 19   | 2035.36 | 135,602         | 8,669        | 23,306      | 167,577      | (74,391)    | (38,174)     | (29,258)              | 0                   | 0                | (3,738)       | (145,560)      | (8,353)         | <b>13,664</b>               | (11,930)           | 0               | 0               | 0                    | <b>1,734</b>    | <b>15,570</b>                  | <b>389</b> | <b>17,693</b>           |       |                         |       |       |       |       |       |       |       |       |
| 20   | 2036.37 | 138,417         | 8,886        | 23,889      | 171,192      | (76,251)    | (39,091)     | (29,953)              | 0                   | 0                | (3,831)       | (149,126)      | (7,806)         | <b>14,260</b>               | (12,871)           | 0               | 0               | 0                    | <b>1,388</b>    | <b>17,693</b>                  | <b>383</b> | <b>19,464</b>           |       |                         |       |       |       |       |       |       |       |       |
| 21   | 2037.38 | 141,289         | 9,108        | 24,486      | 174,883      | (78,157)    | (40,029)     | (30,665)              | 0                   | 0                | (3,927)       | (152,779)      | (7,163)         | <b>14,941</b>               | (14,922)           | 0               | 0               | 0                    | <b>19</b>       | <b>19,464</b>                  | <b>374</b> | <b>19,857</b>           |       |                         |       |       |       |       |       |       |       |       |
| 22   | 2038.39 | 144,219         | 9,336        | 25,098      | 178,653      | (80,111)    | (40,991)     | (31,394)              | 0                   | 0                | (4,025)       | (156,521)      | (6,431)         | <b>15,701</b>               | (13,918)           | 0               | 0               | 0                    | <b>1,783</b>    | <b>19,857</b>                  | <b>364</b> | <b>22,004</b>           |       |                         |       |       |       |       |       |       |       |       |
| 23   | 2039.40 | 147,209         | 9,569        | 25,726      | 182,504      | (82,114)    | (41,975)     | (32,140)              | 0                   | 0                | (4,126)       | (160,355)      | (5,699)         | <b>16,451</b>               | (14,914)           | 0               | 0               | 0                    | <b>1,537</b>    | <b>22,004</b>                  | <b>358</b> | <b>23,899</b>           |       |                         |       |       |       |       |       |       |       |       |
| 24   | 2040.41 | 150,261         | 9,809        | 26,369      | 186,438      | (84,167)    | (42,983)     | (32,904)              | 0                   | 0                | (4,229)       | (164,283)      | (4,916)         | <b>17,240</b>               | (15,910)           | 0               | 0               | 0                    | <b>1,330</b>    | <b>23,899</b>                  | <b>351</b> | <b>25,580</b>           |       |                         |       |       |       |       |       |       |       |       |
| 25   | 2041.42 | 153,375         | 10,054       | 27,028      | 190,457      | (86,271)    | (44,015)     | (33,686)              | 0                   | 0                | (4,335)       | (168,307)      | (4,083)         | <b>18,068</b>               | (16,905)           | 0               | 0               | 0                    | <b>1,162</b>    | <b>25,580</b>                  | <b>342</b> | <b>27,084</b>           |       |                         |       |       |       |       |       |       |       |       |
| 26   | 2042.43 | 156,554         | 10,305       | 27,704      | 194,562      | (88,428)    | (45,072)     | (34,486)              | 0                   | 0                | (4,443)       | (172,429)      | (3,224)         | <b>18,909</b>               | (16,901)           | 0               | 0               | 0                    | <b>2,009</b>    | <b>27,084</b>                  | <b>335</b> | <b>29,427</b>           |       |                         |       |       |       |       |       |       |       |       |
| 27   | 2043.44 | 159,798         | 10,563       | 28,396      | 198,757      | (90,638)    | (46,154)     | (35,306)              | 0                   | 0                | (4,554)       | (176,652)      | (2,340)         | <b>19,764</b>               | (17,896)           | 0               | 0               | 0                    | <b>1,868</b>    | <b>29,427</b>                  | <b>329</b> | <b>31,624</b>           |       |                         |       |       |       |       |       |       |       |       |
| 28   | 2044.45 | 163,105         | 10,827       | 29,106      | 203,038      | (92,904)    | (47,262)     | (36,145)              | 0                   | 0                | (4,668)       | (180,979)      | (1,583)         | <b>20,476</b>               | (11,891)           | 0               | 0               | 0                    | <b>8,585</b>    | <b>31,624</b>                  | <b>338</b> | <b>40,548</b>           |       |                         |       |       |       |       |       |       |       |       |
| 29   | 2045.46 | 166,480         | 11,098       | 29,834      | 207,412      | (95,227)    | (48,397)     | (37,003)              | 0                   | 0                | (4,785)       | (185,412)      | (752)           | <b>21,247</b>               | (20,784)           | 0               | 0               | (4,101)              | <b>(3,638)</b>  | <b>40,548</b>                  | <b>346</b> | <b>37,256</b>           |       |                         |       |       |       |       |       |       |       |       |
| 30   | 2046.47 | 169,925         | 11,375       | 30,580      | 211,880      | (97,608)    | (49,559)     | (37,882)              | 0                   | 0                | (4,904)       | (189,953)      | (1,521)         | <b>20,405</b>               | (15,881)           | 0               | 0               | (6,080)              | <b>(1,555)</b>  | <b>37,256</b>                  | <b>341</b> | <b>36,042</b>           |       |                         |       |       |       |       |       |       |       |       |

## Appendix D

### **Key achievements in the last 12 months**

Achievements in the past year have included:

- Church Street masterplan approved by Cabinet as delivery framework for the regeneration programme.
- Submission of planning application for Church Street Green Spine public realm improvements.
- Submission of planning application for Parsons North housing development, which includes 19 affordable units.
- Launch of the Church Street Neighbourhood Keepers programme, which delivers positive activities to promote health & wellbeing in the local community.
- Significant progress made on the Infills programme with 25 affordable units programmed for completion in the next 12 months and an identified pipeline for the next 5 years.
- Commercial negotiations completed and Base Case agreed with Linkcity on the Luton Street development that will deliver 62 new affordable homes. Planning submission to be completed in October 2017 with start on site to follow in 2018. Associated enabling works for Luton Street taking place at Tresham Crescent and Venables Street now complete.
- Works progressing well on the Tollgate Gardens development with the ground floor slab complete on all affordable blocks, which is noted as an important milestone under the development agreement.
- Imminent submission of a joint planning application on the Cosway and Ashbridge developments that will provide up to 28 affordable homes.
- CityWest Homes have implemented their new 'Target Operating Model' and instigated their 5 year savings plan. This has involved new operational structures; a new contact centre; office rationalisation; a new website and the beginning of the digitisation of customer transactions.
- Five of the seven new 10 year partnering agreements have been implemented with the remaining two about to complete this Autumn
- The Council has exceeded its City for All target of 479 new affordable homes to be delivered during the 2 year period 2015/2016 and 2016/2017. The actual outturn for this period was 532 new affordable homes delivered.

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City of Westminster

## Cabinet

|                           |   |
|---------------------------|---|
| <b>Decision Maker</b>     | <b>Cabinet</b>  |
| <b>Date:</b>              | <b>19 February 2018</b>   |
| <b>Status:</b>            | <b>General Release</b>  |
| <b>Title:</b>             | <b>Treasury Management Strategy Statement for 2018/19 to 2022/23</b>  |
| <b>Wards Affected:</b>    | <b>All</b>  |
| <b>Policy Context:</b>    | <b>To manage the Council's finances prudently and efficiently.</b>  |
| <b>Cabinet Member</b>     | <b>Cabinet Member for Finance, Property and Corporate Services</b>  |
| <b>Financial Summary:</b> | <p><b>The Annual Treasury Management Strategy Statement sets out the Council's strategy for ensuring that:</b></p> <ul style="list-style-type: none"><li><b>a. Its capital investment plans are prudent, affordable and sustainable;</b></li><li><b>b. The financing the Council's capital programme and ensuring that cash flow is properly planned</b></li><li><b>c. Cash balances are appropriately invested to generate optimum returns having regard to security and liquidity of capital.</b></li></ul> |
| <b>Report of:</b>         | <b>Steven Mair, City Treasurer</b><br><b><a href="mailto:smair@westminster.gov.uk">smair@westminster.gov.uk</a></b><br><b>020 7641 2904</b>   |

## **1. EXECUTIVE SUMMARY**

- 1.1 The Local Government Act 2003 requires the Council to 'have regard to' the Prudential Code for Capital Finance in Local Authorities and to set Prudential Indicators for the next three years to ensure that the Council's capital investment plans are affordable, prudent and sustainable. These are contained within this report.
- 1.2 The Act also requires the Council to set out a statement of its treasury management strategy for borrowing and to prepare an Annual Investment Strategy. This sets out the Council's policies for managing its investments and for giving priority to the security and liquidity of those investments. The Treasury Management Strategy Statement and Annual Investment Strategy must both have regard to guidance issued by the DCLG and must be agreed by the full Council.
- 1.3 This report sets out the Council's proposed Treasury Management Strategy Statement (TMSS) for the period 2018/19 to 2022/23, and Annual Investment Strategy (AIS) for the year ended 31 March 2019, together with supporting information.
- 1.4 The TMSS and AIS form part of the Council's overall budget setting and financial framework, and will be finalised and updated as work on the Council's 2018/19 budget is progressed in January and February 2018.

## **2. RECOMMENDATIONS**

- 2.1 The Cabinet is asked to recommend to the Council that they approve:
  - the Treasury Management Strategy Statement set out in sections 5 to 7;
  - the prudential Indicators set out in section 8;
  - the overall borrowing strategy and borrowing limits for 2018/19 to 2022/23 as detailed in section 6;
  - the Investment strategy and approved investments set out in Appendix 1;
  - the Minimum Revenue Provision Policy set out in Appendix 2.
  - the adoption of the CIPFA treasury management code of practice revised December 2017 update (appendix 3)

## **3. REASONS FOR DECISIONS**

- 3.1 To comply with the Local Government Act 2003, other regulations and guidance and to ensure that the Council's borrowing and investment plans are prudent, affordable and sustainable and comply with statutory requirements.

## 4. BACKGROUND INFORMATION

4.1 The Council is required to operate a balanced budget, which broadly means that monies received during the year will cover expenditure. The function of treasury management is to ensure that:

- the Council's capital programme and corporate investment plans are adequately funded;
- cash is available when it is needed on a day to day basis, to discharge the Council's legal obligations and deliver Council services;
- surplus monies are invested wisely.

4.2 The Council has formally adopted CIPFA's Code of Practice on Treasury Management, and follows the key requirements of the Code as set out in Appendix 3.

4.3 The TMSS covers three main areas summarised below:

### 4.3.1 Capital spending

- Capital spending plans
- Other investment opportunities
- Capital Finance Requirement (CFR)
- Affordability
- The Minimum Revenue Provision (MRP) policy (Appendix 2)

### 4.3.2 Borrowing

- Overall borrowing strategy
- Prospect for interest rates
- Limits on external borrowing
- Maturity structure of borrowing
- Policy on borrowing in advance of need
- Forward Borrowing
- Debt rescheduling

### 4.3.3 Managing cash balances

- The current cash position and cash flow forecast
- Prospects for investment returns
- Council policy on investing and managing risk
- Balancing short and longer term investments
- Improving investment returns

4.4 The Annual Investment Strategy (AIS) at Appendix 1 provides more detail on how the Council's surplus cash investments are to be managed in 2018/19. Approved schedules of specified and non-specified investments will be updated following consideration by Members and finalisation of 2018/19 budget plans.

## TREASURY MANAGEMENT STRATEGY STATEMENT

### 5. SECTION 1 - CAPITAL SPENDING

#### Capital spending plans

- 5.1 Table 1 summarises the Council's capital expenditure plans, both in terms of those agreed previously, and those forming part of the current budget cycle. The table sets out the Council's current expectations about whether these plans are to be financed by capital or revenue resources.
- 5.2 Compared with the forecast in the 2017/18 TMSS General Fund capital spend has slipped back by around £89m in 2016/17 to 2017/18 and there remains an element of further slippage in future years. The risks are that:
- continued slippage in new starts will push borrowing requirements to later years when interest rates are forecast to be higher than currently;
  - slippage in the programme of capital receipts may increase the need to borrow in the medium-term.

**Table 1 Capital spending and funding plans**

| 2016/17                       | 2017/18                                | 2018/19      | 2019/20      | 2020/21      | 2021/22      | 2022/23      | Total          |
|-------------------------------|--|--------------|--------------|--------------|--------------|--------------|----------------|
| Actual                        | Forecast                               | Estimate     | Estimate     | Estimate     | Estimate     | Estimate     |                |
| £m                            | £m                                     | £m           | £m           | £m           | £m           | £m           | £m             |
| <b>Expenditure</b>            |  |              |              |              |              |              |                |
| 118 General Fund              | 277                                    | 420          | 424          | 297          | 208          | 122          | 1,748          |
| 58 HRA                        | 80                                     | 150          | 197          | 178          | 110          | 155          | 870            |
| <b>176</b>                    | <b>TOTAL</b>                           | <b>357</b>   | <b>570</b>   | <b>621</b>   | <b>475</b>   | <b>318</b>   | <b>2,618</b>   |
| <b>Funding</b>                |  |              |              |              |              |              |                |
| <b>General Fund</b>           |  |              |              |              |              |              |                |
| (60) Grants & Contributions   | (105)                                  | (168)        | (199)        | (135)        | (83)         | (51)         | (741)          |
| (4) Capital Receipts Applied  | (92)                                   | 0            | (22)         | (21)         | (57)         | (72)         | (264)          |
| <b>HRA</b>                    |  |              |              |              |              |              |                |
| (8) Grants & Contributions    | (1)                                    | (6)          | (5)          | (12)         | (4)          | 0            | (28)           |
| (15) Capital Receipts Applied | (48)                                   | (73)         | (95)         | (136)        | (59)         | (117)        | (528)          |
| (23) Major Repairs Reserve    | (23)                                   | (23)         | (23)         | (23)         | (23)         | (23)         | (138)          |
| (1) Revenue Financing         | (8)                                    | (46)         | (38)         | (7)          | (24)         | (15)         | (138)          |
| <b>(111)</b>                  | <b>TOTAL</b>                           | <b>(277)</b> | <b>(316)</b> | <b>(382)</b> | <b>(250)</b> | <b>(278)</b> | <b>(1,837)</b> |
| <b>65</b>                     | <b>Net financing need for the year</b> | <b>80</b>    | <b>254</b>   | <b>239</b>   | <b>141</b>   | <b>68</b>    | <b>781</b>     |

## **Other investment opportunities**

- 5.3 As well as investing in assets owned by the Council and used in the delivery of services, the Council also invests, where appropriate, in:
- infrastructure projects, such as green energy;
  - loans to third parties;
  - shareholdings in limited companies and joint ventures.
- 5.4 Such investments are treated as expenditure for treasury management and prudential borrowing purposes even though they do not create physical assets in the Council's accounts. Appropriate budgets in respect of these activities will be agreed as part of the Council's budget setting and ongoing monitoring processes and considered as part of the Investment Strategy.
- 5.5 In addition the Council has a substantial commercial property portfolio which forms part of the investment strategy. In previous years, the Council has invested in traditional asset classes of offices, retail and industrial/logistics, which meet the Council's requirements for the income to be secure and reliable and the investments low risk.
- 5.6 Following a Cabinet decision in late 2015, the Council allocated funds to invest in commercial property commencing 2016/17. The aim is to diversify the property portfolio into sectors that have historically been considered alternatives but are increasingly being viewed as mainstream. The strategy focuses on increasing the income generated by the Council from its property holdings while also improving the quality of the Council's current portfolio. The Council has investigated a number of potential projects during 2017/18, although none of these have started development as of yet. These will be further progressed in 2018/19 within the overall context of the Council's annual investment strategy.

## **Capital Financing Requirement (CFR)**

- 5.7 The CFR measures the extent to which capital expenditure has not yet been financed from either revenue or capital resources. Essentially it measures the Council's underlying borrowing need. Each year, the CFR will increase by the amounts of new capital expenditure not immediately financed.
- 5.8 Table 2 overleaf shows that the CFR will increase over the medium term. Consequently, the capital financing charge to revenue will increase, reflecting the capital spending plans.

**Table 2 Capital Financing Requirement forecast**

| 2016/17                   | 2017/18      | 2018/19    | 2019/20    | 2020/21      | 2021/22      | 2022/23      |
|---------------------------|--------------|------------|------------|--------------|--------------|--------------|
| Actual                    | Forecast     | Estimate   | Estimate   | Estimate     | Estimate     | Estimate     |
| £m                        | £m           | £m         | £m         | £m           | £m           | £m           |
| <b>CFR as at 31 March</b> |              |            |            |              |              |              |
| 260 General Fund          | 340          | 592        | 795        | 936          | 1,004        | 1,003        |
| 261 HRA                   | 261          | 263        | 299        | 299          | 299          | 299          |
| <b>521</b>                | <b>TOTAL</b> | <b>601</b> | <b>855</b> | <b>1,094</b> | <b>1,235</b> | <b>1,302</b> |
| <b>Annual Charge</b>      |              |            |            |              |              |              |
| 51 General Fund           | 80           | 252        | 203        | 141          | 68           | (1)          |
| 11 HRA                    | 0            | 2          | 36         | 0            | 0            | 0            |
| <b>62</b>                 | <b>TOTAL</b> | <b>80</b>  | <b>254</b> | <b>239</b>   | <b>141</b>   | <b>(1)</b>   |
| <b>Reason for Change</b>  |              |            |            |              |              |              |
| 65 Net financing          | 84           | 260        | 250        | 159          | 86           | 17           |
| (3) Less MRP              | (4)          | (6)        | (11)       | (18)         | (18)         | (18)         |
| <b>62</b>                 | <b>TOTAL</b> | <b>80</b>  | <b>254</b> | <b>239</b>   | <b>141</b>   | <b>(1)</b>   |

5.9 Table 3 below confirms that the Council's gross debt does not exceed the total of the CFR in the preceding year plus the estimates of any additional CFR for current year and the following two financial years. This allows some flexibility for limited early borrowing for future years, but ensures that borrowing is not undertaken for revenue purposes.

**Table 3 Borrowing compared to the Capital Financing Requirement**

| 2016/17                             | 2017/18    | 2018/19    | 2019/20    | 2020/21    | 2021/22    | 2022/23    |
|-------------------------------------|------------|------------|------------|------------|------------|------------|
| Actual                              | Forecast   | Estimate   | Estimate   | Estimate   | Estimate   | Estimate   |
| £m                                  | £m         | £m         | £m         | £m         | £m         | £m         |
| 251 Gross Projected Debt            | 251        | 221        | 291        | 516        | 677        | 685        |
| 521 Capital Financing Requirement   | 601        | 855        | 1,094      | 1,235      | 1,303      | 1,302      |
| <b>270 Under / (over) borrowing</b> | <b>350</b> | <b>634</b> | <b>803</b> | <b>719</b> | <b>626</b> | <b>617</b> |

### Affordability

5.10 The objective of the affordability indicators is to ensure that the level of investment in capital assets proposed remains within sustainable limits, and in particular, the impact on the Council's "bottom line" as reflected in the impact on council tax and rent levels. Table 4 below sets out the expected ratio of capital financing costs to income for both General Fund and HRA activities:

**Table 4 Ratio of capital financing costs to income**

| 2016/17           | 2017/18  | 2018/19  | 2019/20  | 2020/21  | 2021/22  | 2022/23  |
|-------------------|----------|----------|----------|----------|----------|----------|
| Actual            | Forecast | Estimate | Estimate | Estimate | Estimate | Estimate |
| %                 | %        | %        | %        | %        | %        | %        |
| 0.32 General Fund | 0.68     | (1.28)   | 2.05     | 9.77     | 13.53    | 14.17    |
| 31.25 HRA         | 30.11    | 28.68    | 29.87    | 31.17    | 30.50    | 29.68    |

- 5.11 For the next two years, gross capital financing charges (loan interest, MRP and finance and service concession payments) for the General Fund capital programme are largely outweighed or balanced by income from investments and the commercial property portfolio. However, in future years the Council will begin to incur increasing capital financing charges in line with the forecast increase in the General Fund CFR in Table 2.
- 5.12 The capital financing charges arising from the HRA capital programme increase in line with the forecast increase income, hence capital charges as a proportion of the HRA net revenue stream remain fairly steady.
- 5.13 Table 5 below sets out the incremental impact of the capital programme on council tax and housing rents.

**Table 5 Impact of capital investment decisions on council tax and housing rents**

| 2016/17  | 2017/18  | 2018/19  | 2019/20  | 2020/21  | 2021/22  | 2022/23  |
|--|----------|----------|----------|----------|----------|----------|
| Actual   | Forecast | Estimate | Estimate | Estimate | Estimate | Estimate |
| £  | £        | £        | £        | £        | £        | £        |
| (13.63) Increase / (Decrease) in Council Tax(band D) per annum | 7.95     | (17.65)  | 28.41    | 135.08   | 187.09   | 195.91   |
| (1.19) Increase / (Decrease) in housing rent per week          | (2.94)   | (0.64)   | 2.05     | 4.29     | 0.31     | 1.36     |

- 5.14 For the General Fund capital programme, although the ratio of capital financing costs to income is relatively low as shown in Table 4 above, there is a much greater impact on council tax as shown in Table 5, because the Council has a very low council tax base. The decrease in 2018/19 of £17.65 per Band D council tax, reflects the reduction in capital financing costs over the next year, and the subsequent increase reflects the increase in capital charges as the capital programme progresses.
- 5.15 The capital charges from the HRA capital programme increase is gradual and therefore there is relatively little impact on weekly housing rents between years as shown in Table 5.

## 6. SECTION 2 - BORROWING

### Overall borrowing strategy

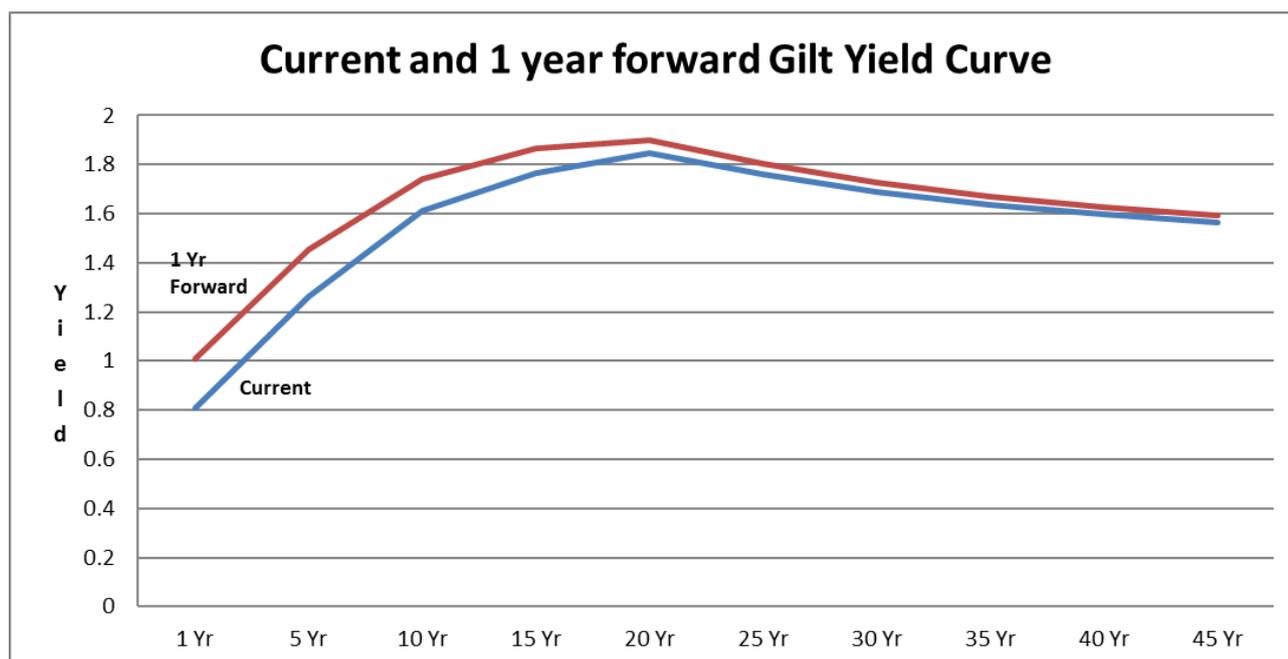
6.1 The Council's main objective when borrowing money is to strike an appropriate balance between securing low interest costs and achieving cost certainty over the period for which funds are required. Given the significant cuts to public expenditure and in particular to local government funding, the Council's borrowing strategy continues to address the key issue of affordability without compromising the long-term stability of the debt portfolio. The key factors influencing the 2018/19 strategy are:

- forecast borrowing requirements,
- the current economic and market environment, and
- interest rate forecasts.

6.2 The Council is currently maintaining an under-borrowed position. This means that capital expenditure has not been fully funded from loan debt as other funding streams (such as government grants and 3rd party contributions, use of Council reserves and cash balances and capital receipts) have been employed where available. This policy has served the Council well over the last few years while investment returns have been low and counterparty risk has been relatively high.

### Prospects for Interest Rates

6.3 However, the borrowing position needs to be kept under review to avoid incurring higher borrowing costs in future years when the Council may not be able to avoid new borrowing to finance capital expenditure and/or to refinance maturing debt. Market commentators are forecasting an increase in interest rates across all maturities (see graph below) – though a limited increase rather than a material change. More detail on their interest rate forecasts is at Appendix 4.



Source: Bloomberg

- 6.4 Against this background and the risks within the economic forecast, caution will be adopted with the 2018/19 treasury borrowing decisions. The Treasury Management team will continue to monitor interest rates in financial markets and adopt a pragmatic approach to changing circumstances (within their approved remit).
- 6.5 If it were considered that there was a significant risk of a sharp fall in long and short term rates (e.g. due to a marked increase of risks around relapse into recession or of risks of deflation), long term borrowings will be postponed, and potential rescheduling from fixed rate funding into short term borrowing will be considered.
- 6.6 In the event that interest rates rose beyond the forecast used in the capital programme the revenue interest cost to the Council would increase. A rise of an extra 1% per year during the Council's peak borrowing period of 2020/21 – 2021/22 would cost an additional £4.9m in interest payments per annum from 2022/23.

### Limits on external borrowing

- 6.7 The Prudential Code requires the Council to set two limits on its total external debt, as set out in Table 6 below. The limits have been increased by 10-20% per annum compared with the 2017/18 TMSS to reflect slippage in the capital programme from previous years. The limits are:
- **Authorised Limit for External Debt (Prudential Indicator 7a)** – This is the limit prescribed by section 3(1) of the Local Government Act 2003 representing the maximum level of borrowing which the Council may incur. It reflects the level of external debt which, while not desired, could be afforded in the short term, but may not be sustainable in the longer term.
  - **Operational Boundary (Prudential Indicator 7b)** – This is the limit which external debt is not normally expected to exceed. The boundary is based on current debt plus anticipated net financing need for future years.

**Table 6 Overall borrowing limits**

| 2016/17                                       | 2017/18      | 2018/19    | 2019/20    | 2020/21    | 2021/22    | 2022/23    |
|---|--------------|------------|------------|------------|------------|------------|
| Actual  | Forecast     | Estimate   | Estimate   | Estimate   | Estimate   | Estimate   |
| £   | £            | £          | £          | £          | £          | £          |
| <b>Authorised Limit for External:</b>         |              |            |            |            |            |            |
| 612 Borrowing and other long term liabilities | 601          | 855        | 1,094      | 1,235      | 1,303      | 1,302      |
| <b>Operational Boundary for:</b>              |              |            |            |            |            |            |
| 270 Borrowing                                 | 276          | 243        | 320        | 568        | 745        | 754        |
| 12 Other long term liabilities                | 11           | 10         | 9          | 8          | 7          | 6          |
| <b>282</b>                                    | <b>Total</b> | <b>287</b> | <b>253</b> | <b>329</b> | <b>576</b> | <b>760</b> |

- 6.8 In addition, borrowing for the HRA has to remain within the HRA Debt Limit (prescribed in the HRA Self-Financing Determinations 2012) as detailed in the table below. Borrowing for the HRA is measured by the HRA CFR.

**Table 7 HRA borrowing**

| 2016/17            | 2017/18   | 2018/19   | 2019/20   | 2020/21   | 2021/22   | 2022/23   |
|--------------------|-----------|-----------|-----------|-----------|-----------|-----------|
| Actual             | Forecast  | Estimate  | Estimate  | Estimate  | Estimate  | Estimate  |
| £                  | £         | £         | £         | £         | £         | £         |
| 334 HRA Debt Limit | 334       | 334       | 334       | 334       | 334       | 334       |
| 261 HRA CFR        | 261       | 263       | 299       | 299       | 299       | 299       |
| <b>73</b>          | <b>73</b> | <b>71</b> | <b>35</b> | <b>35</b> | <b>35</b> | <b>35</b> |
| <b>Headroom</b>    |           |           |           |           |           |           |

6.9 The City Treasurer reports that the Council complied with these indicators in the current year and does not envisage difficulties for the future.

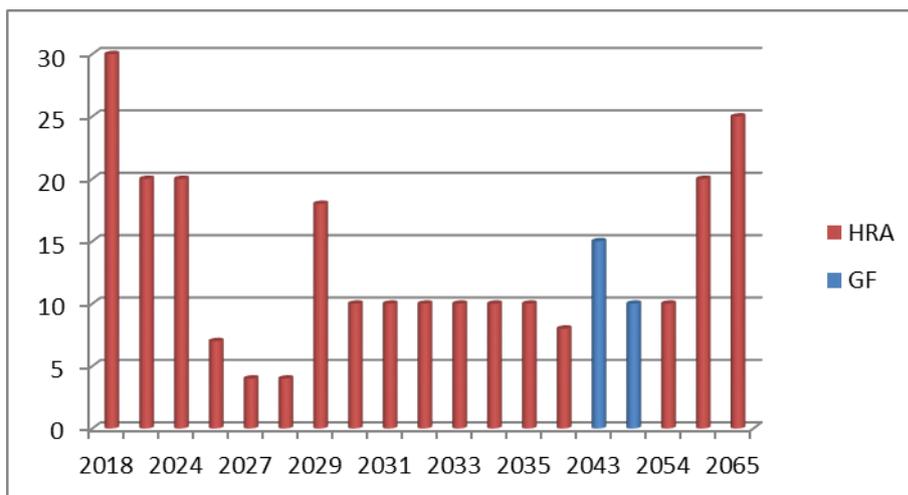
**Maturity structure of borrowing (Prudential Indicator 10)**

6.10 Managing the profile of when debt matures is essential for ensuring that the Council is not exposed to large fixed rate sums falling due for re-financing within a short period, and thus potentially exposing the Council to additional cost. Table 8 below sets out current upper and lower limits for debt maturity which are unchanged from 2017/18. The chart below shows the principal repayment profile for current council borrowing remains within these limits.

**Table 8 Debt maturity profile limits**

| Actual Maturity at 31 Dec 2017   | Upper Limit | Lower Limit |
|----------------------------------|-------------|-------------|
| 12 Under 12 months               | 40          | 0           |
| 0 12 Months and within 24 Months | 35          | 0           |
| 8 24 Months and within 5 years   | 35          | 0           |
| 12 5 Years and Within 10 Years   | 50          | 0           |
| 68 10 Years and Above            | 100         | 35          |

**Maturity profile of long-term borrowing**



6.11 The Council has £70 million of LOBO (Lender Option Borrower Option) debt, none of which matures in the near future. Were the lender to exercise their option, officers will consider accepting the new rate of interest or repaying (with no penalty). Repayment of the LOBO may need to be considered for re-financing.

- 6.12 In the event that there is a much sharper rise in long and short term rates than currently forecast, then the balance of the loan portfolio will be re-visited with a view to taking on longer term fixed rate borrowing in anticipation of future rate rises.

### **Policy on Borrowing in Advance of Need**

- 6.13 The Council has the power to borrow in advance of need in line with its future borrowing requirements under the Local Authorities (Capital Finance and Accounting) (England) Regulations 2003, as amended. Any decision to borrow in advance will be within forward approved Capital Financing Requirement estimates, and will be considered carefully to ensure that value for money can be demonstrated and that the Council can ensure the security of such funds.
- 6.14 Risks associated with any borrowing in advance of activity will be subject to prior appraisal and subsequent reporting through the mid-year or annual reporting mechanism.

### **Forward Borrowing**

- 6.15 The Council has the ability to borrow at a future date for an agreed price now. This is appropriate for when the Council knows that it will be required to borrow in the future and wishes to lock in certainty of interest rate cost. The reason for doing this is that the cost of borrowing can fluctuate and may increase for the Council over a period of time. This does mean that the interest rate may be higher than what can be agreed for drawdown today.
- 6.16 The Council incorporates this option as part of a wider borrowing strategy, and will elect to forward borrow when it deems it to be a value for money option.

### **Debt Rescheduling**

- 6.17 As short term borrowing rates will be considerably cheaper than longer term fixed interest rates, there may be opportunities to generate savings by switching from long term debt to short term debt. However, these savings will need to be considered in the light of the current treasury position and the cost of debt repayment (premiums incurred).
- 6.18 The reasons for any rescheduling to take place will include:
- generating cash savings and / or discounted cash flow savings;
  - helping to fulfil the treasury strategy; and
  - enhancing the balance of the portfolio by amending the maturity profile and/or the balance of volatility.
- 6.19 Consideration will also be given to identifying the potential for making savings by running down investment balances to repay debt prematurely as short term rates on investments are likely to be lower than rates paid on current debt.
- 6.20 Any rescheduling will be reported.

## 7. SECTION 3 - MANAGING CASH BALANCES

### The current cash position and cash flow forecast

- 7.1 Table 9 below shows that cash balances have increased by £382m in the past nine months which is mainly due to income such as council tax, business rates and grants received in advance. This is expected to be closer to £800m by year end.

**Table 9 Cash position at 31 December 2017**

| As at 31 March 2017 |                              | As at 31 December 2017 |              |
|---------------------|------------------------------|------------------------|--------------|
| Principal           | Average Rate                 | Principal              | Average Rate |
| £m                  | %                            | £m                     | %            |
| <b>Investments</b>  |                              |                        |              |
| 884                 | 0.54 Specified               | 1,219                  | 0.47         |
| 25                  | 1.52 Non-Specified           | 74                     | 0.42         |
| <b>909</b>          | <b>2</b>                     | <b>Total</b>           | <b>1,293</b> |
| <b>Borrowing</b>    |                              |                        |              |
| 181                 | 4.75 Public works loan Board | 181                    | 4.75         |
| 70                  | 5.08 Market Loans            | 70                     | 5.08         |
| <b>251</b>          |                              | <b>Total</b>           | <b>251</b>   |

- 7.2 The medium-term cash flow forecast (see below) shows that the Council has a substantial positive cash flow position with an average cash position fluctuating around £500m for the medium-term. The reason for the high cash balance is largely due to business rates and the amount held pending rating appeals of which are uncertain, and have been excluded from the table below.

**Table 10 Medium-term cashflow forecast**

|                           | 2017/18      | 2018/19      | 2019/20      | 2020/21      | 2021/22      | 2022/23      |
|---------------------------|--------------|--------------|--------------|--------------|--------------|--------------|
|                           | Forecast     | Estimate     | Estimate     | Estimate     | Estimate     | Estimate     |
|                           | £m           | £m           | £m           | £m           | £m           | £m           |
| <b>Balance at 1 April</b> | <b>909</b>   | <b>863</b>   | <b>698</b>   | <b>582</b>   | <b>586</b>   | <b>628</b>   |
| <b>Movement in Cash</b>   |              |              |              |              |              |              |
| Capital Receipt           | 140          | 73           | 117          | 157          | 116          | 189          |
| Grants & Contributions    | 106          | 174          | 204          | 147          | 87           | 51           |
| Revenue Financing / MRR   | 31           | 69           | 61           | 30           | 47           | 38           |
| <b>Cash In</b>            | <b>277</b>   | <b>316</b>   | <b>382</b>   | <b>334</b>   | <b>250</b>   | <b>278</b>   |
| Other Cash movements      | 43           | (46)         | (31)         | (76)         | (10)         | (70)         |
| HRA cash movements        | (9)          | (1)          | (32)         | 1            | 0            | 0            |
| Capital Programme         | (357)        | (570)        | (621)        | (475)        | (318)        | (277)        |
| <b>Cash Out</b>           | <b>(323)</b> | <b>(617)</b> | <b>(684)</b> | <b>(550)</b> | <b>(328)</b> | <b>(347)</b> |
| Borrowing                 | 0            | 0            | 70           | 240          | 166          | 10           |
| Repayment of debt         | 0            | (30)         | 0            | (15)         | (5)          | (2)          |
| <b>Balance 31 March</b>   | <b>863</b>   | <b>532</b>   | <b>466</b>   | <b>591</b>   | <b>669</b>   | <b>567</b>   |
| <b>Average Balance</b>    | <b>886</b>   | <b>698</b>   | <b>582</b>   | <b>586</b>   | <b>628</b>   | <b>597</b>   |

7.3 The Council aims to manage daily cash flow peaks and troughs to achieve a nil current account balance throughout the year. As such the average yearly surplus cash balances should be fully invested throughout.

### Prospects for investment returns

7.4 Investment returns on cash-based deposits are likely to remain low during 2018/19 and beyond, despite the bank base rate rising to 0.5% on 2 November 2017. Borrowing interest rates were on a downward trend during most of 2016; they fell sharply to historically low levels after the EU exit referendum and then even further after the MPC meeting of August 2016 when a new package of quantitative easing purchasing of gilts was announced. As inflationary pressures have mounted in the past year the prospect of further interest rate rises have now increased. However, despite the November 2017 rate rise from the bank of England, the PWLB 25-year loan rate has fallen from 2.83% on 29 September 2017 to 2.67% on 12 December 2017.

7.5 Gilt yields remain volatile over concerns around a 'hard Brexit', the fall in the value of sterling, and an increase in inflation expectations. The Council is therefore committed to investigating and pursuing asset backed securities and other alternatives to cash-based investments where it is considered prudent to do so.

### Council policy on investing and managing risk

7.6 The aim is to manage risk and reduce the impact of any adverse movement in interest rates on the one hand but at the same time not setting the limits to be so restrictive that they impair opportunities to reduce costs or improve performance.

### Balancing short and longer term investments

7.7 During the first half of 2017/18 investment of surplus funds for more than 364 days totalled £73m which was well within the upper limit for such investments of £450m.

**Table 11 Investment limit**

| 2016/17  | 2017/18  | 2018/19  | 2019/20  | 2020/21  | 2021/22  | 2022/23  |
|--|----------|----------|----------|----------|----------|----------|
| Actual   | Forecast | Estimate | Estimate | Estimate | Estimate | Estimate |
| £  | £        | £        | £        | £        | £        | £        |
| <b>Upper limit for fixed interest rate exposure</b>              |          |          |          |          |          |          |
| 251 Net principal re fixed rate borrowing                        | 601      | 855      | 1,094    | 1,235    | 1,303    | 1,302    |
| <b>Upper Limit for variable rate exposure</b>                    |          |          |          |          |          |          |
| 0 Net Principal for variable rate borrowing                      | 0        | 0        | 0        | 0        | 0        | 0        |
| 73 Upper Limit for principal sums invested for more the 364 days | 450      | 450      | 450      | 450      | 450      | 450      |

### Improving Investment Returns

7.8 An investment task force was set up to ensure that the Council made best use of its resources and ensure value for money was being achieved in its investment strategy. The task force contains both Council Members and Officers.

7.9 The task force met on 13 September 2017 to perform an in depth review on the Council's wider investment framework document and provide suggestions improvements. The review looked at the council's property portfolio, short and long term treasury investments, governance arrangements and the impact of investing in the pension fund.

7.10 After the meeting the following recommendations were made:

- The pension fund should be used as a benchmark for all Council investments due to the high long term rate of return.
- Council wide investments should aspire to match inflation
- Property and alternative investments should be focused initially within the borough, with out of borough investments considered as they arise subject to member decision.
- Investments in out of borough property should be considered individually and outweigh the benefits of investing in Borough (which can include non-commercial benefits e.g. Place making) and in a diversified property fund. Individual decisions should be subject to cabinet member approval.
- Governance arrangements for the investment strategy should be closer aligned to the Pension Fund Committee. The body responsible can then report to the council where formal decisions on the investment strategy will be taken.

7.11 These recommendations remain under review in relation to the investment framework and investment governance arrangements going forward.

## 8. SUMMARY OF PRUDENTIAL INDICATORS (PIs)

8.1 The purpose of prudential indicators (PIs) is to provide a reference point or "dashboard" so that senior officers and Members can:

- easily identify whether approved treasury management policies are being applied correctly in practice and
- take corrective action as required.

8.2 As the Council's s151 officer, the City Treasurer has a responsibility to ensure that appropriate PIs are set and monitored and that any breaches are reported to Members.

8.3 The City Treasurer has confirmed that the PIs set out below are all expected to be complied with in 2017/18 and he does not envisage at this stage that there will be any difficulty in achieving compliance with the suggested indicators for 2018/19.

| PI ref | Para ref |                                     | 2016/17 actual       | 2017/18 forecast     | 2018/19 proposed     |
|--------|----------|-------------------------------------|----------------------|----------------------|----------------------|
| 1      | 5.2      | Capital expenditure                 | £176m                | £357m                | £570m                |
| 2      | 5.8      | Capital Financing Requirement (CFR) | £521m                | £601m                | £855m                |
| 3      | 5.9      | Net debt vs CFR                     | £270m underborrowing | £350m underborrowing | £634m underborrowing |

|    |      |   |   |   |   |
|----|------|---|---|---|---|
| 4  | 5.10 | Ratio of financing costs to revenue stream  | GF 0.32%<br>HRA 31.25%  | GF (0.89)%<br>HRA 30.11%  | GF (2.71%)<br>HRA 28.68%  |
| 5  | 5.14 | Incremental impact of new capital investment decisions on council tax                   | £13.63 decrease in Band D council tax charge per annum                    | £7.95 increase in Band D council tax charge per annum                     | £17.65 decrease in Band D council tax charge per annum                    |
| 6  | 5.14 | Impact of new capital investment decisions on housing rents                             | £13.63 decrease in average rent per week                                  | £2.94 decrease in average rent per week                                   | £0.64 decrease in average rent per week                                   |
| 7a | 6.7  | Authorised limit for external debt  | £612m   | £601m   | £855m   |
| 7b | 6.7  | Operational debt boundary   | £282m   | £287m   | £253m   |
| 7c | 6.8  | HRA debt limit  | £334m   | £334m   | £334m   |
| 8  | 7.3  | Working capital balance   | £150m   | £0m   | £0m   |
| 9  | 7.7  | Limit on surplus funds invested for more than 364 days (i.e. non-specified investments) | £25m  | £450m   | £450m   |
| 10 | 6.10 | Maturity structure of borrowing   | Upper limit under 12 months - 40%<br>Lower limit 10 years and above - 35% | Upper limit under 12 months - 40%<br>Lower limit 10 years and above - 35% | Upper limit under 12 months - 40%<br>Lower limit 10 years and above - 35% |

## 9. LEGAL IMPLICATIONS

- 9.1 The Director of Law comments that the legal requirements are set out in the 2003 Act, and in the subordinate legislation. The City Treasurer, as section 151 officer, has confirmed (paragraph 8.3) that the PIs are expected to be met in the current year.

Legal comments added by David Walker, Principal Solicitor, 020 7361 2211

## 10. APPENDICES

- 1 Annual Investment Strategy
- 2 Minimum Revenue Provision (MRP) Policy
- 3 CIPFA Requirements
- 4 Prospect for Interest Rates/ Economic Update

## **BACKGROUND PAPERS**

Treasury Management Strategy Statement 2017/18 (Approved by Council March 2017)

1. Section 3 Local Government Act 2003
2. Local Authorities (Capital Finance and Accounting) (England) Regulations 2003, as amended
3. DCLG Guidance on Minimum Revenue Provision 2012
4. DCLG Guidance on Local Government Investments – March 2010
5. CIPFA Prudential Code for Capital Finance in Local Authorities, 2011
6. CIPFA Treasury Management Code of Practice, 2011

**If you have any queries about this Report or wish to inspect any of the Background Papers, please contact:**

**Steven Mair, City Treasurer**

**Tel: 020 7641 2904**

**Email: [smair@westminster.gov.uk](mailto:smair@westminster.gov.uk)**

**ANNUAL INVESTMENT STRATEGY**

1. The Council holds significant invested funds, representing income received in advance of expenditure, balances and reserves. During the first half of the current year, the Council's average investment balance has been around £1,184m and the cash flow projections show this pattern is expected to continue in the forthcoming year. Investments are made with reference to the core balance, future cash flow requirements and the outlook for interest rates.
2. The Council's investment policy has regard to the DCLG's Guidance on Local Government Investments ("the Investment Guidance") and the CIPFA Treasury Management in Public Services Code of Practice and Cross Sectoral Guidance Notes ("the CIPFA TM Code"). The Council's investment priorities will be security first, liquidity second, then yield.
3. In accordance with the above guidance and to minimise the risk to investments, the Council applies minimum acceptable credit criteria to generate a list of highly creditworthy counterparties which will provide security of investments, enable diversification and minimise risk. The key ratings used to monitor counterparties are the Short Term and Long Term ratings.

**Investment returns expectations**

4. The Bank Rate was cut in August 2016 from 0.50% to 0.25%. Subsequently the MPC has now increased the Bank Rate by 0.25% to 0.50% in November 2017. The question still remains as to whether or not they will stop at this point for a lengthy pause, or will launch into a series of further rate increases in 2018. The Bank Rate forecasts for financial year ends (March) are:

2018/19: 0.50%  
 2019/20: 0.75%  
 2020/21: 1.00%  
 2021/22: 1.25%  
 2022/23: 1.50%

5. The suggested budgeted investment earnings rates for returns on investments placed for periods up to 100 days during each financial year are as follows

2018/19: 0.50%  
 2019/20: 0.75%  
 2020/21: 1.00%  
 2021/22: 1.25%  
 2022/23: 1.50%

**Investment time limits**

6. This limit is set with regard to the Council's liquidity requirements and to reduce the need for early sale of an investment. For the year 2018/19, the proposed limit of investments for over 364 days is £450m as set out in table 11 of the TMSS.

## Investment Policy

7. The Council's officers recognise that ratings should not be the sole determinant of the quality of an institution and that it is important to assess continually and monitor the financial sector on both a micro and macro basis and in relation to the economic and political environments in which institutions operate. The assessment will also take account of information that reflects the opinion of the markets. To this end the Council will engage with its advisors to maintain a monitor on market pricing such as "credit default swaps" and overlay that information on top of the credit ratings.
8. Other information sources used will include the financial press, share price and other such information pertaining to the banking sector to establish the most robust scrutiny process on the suitability of potential investment counterparties.

## Creditworthiness Policy

9. The primary principle governing the Council's investment criteria is the security of its investments, although the yield or return on the investment is also a key consideration. After this main principle, the Council will ensure that:
  - it maintains a policy covering both the categories of investment types it will invest in, criteria for choosing investment counterparties with adequate security and monitoring their security; and
  - it has sufficient liquidity in its investments. For this purpose, it will set out procedures for determining the maximum periods for which funds may prudently be committed. These procedures also apply to the Council's prudential indicators covering the maximum principal sums invested.
10. The City Treasurer will maintain a counterparty list in compliance with the following criteria and will revise the criteria and submit them to Council for approval as necessary. These criteria are separate to those which determine which types of investment instrument are either specified or non-specified as they provide an overall pool of counterparties considered high quality which the Council may use, rather than defining what types of investment instruments are to be used.
11. The Council takes into account the following relevant matters when proposing counterparties:
  - the financial position and jurisdiction of the institution;
  - the market pricing of credit default swaps<sup>1</sup> for the institution;
  - any implicit or explicit Government support for the institution;
  - Standard & Poor's, Moody's and Fitch's short and long term credit ratings;
  - sovereign ratings to select counterparties from only the most creditworthy countries; and
  - core Tier 1 capital ratios<sup>2</sup>.

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<sup>1</sup> Credit Default Swaps (CDS) are tradable instruments where the buyer receives a pay-out from the seller if the party to whom the CDS refers (often a financial institution) has a "credit event" (e.g. default, bankruptcy, etc.). The price of the CDS gives an indication to the market's view of likelihood – the higher the price the more likely the credit event.

<sup>2</sup> The Tier 1 capital ratio is the ratio of a bank's core equity capital to its total risk-weighted assets (RWA). Risk-weighted assets are the total of all assets held by the bank weighted by credit risk according to a formula determined by the Regulator (usually the country's central bank). Most central banks follow the Basel Committee on Banking Supervision (BCBS) guidelines in setting formulae for asset risk weights. The Core Tier 1 ratios for the four UK banks that WCC uses are: Barclays: 10.2%, HSBC: 11.2%, Lloyds: 12.0% and RBS: 10.8%.

12. Changes to the credit rating will be monitored and in the event that a counterparty is downgraded and does not meet the minimum criteria specified in Appendix 1, the following action will be taken immediately:
- no new investments will be made;
  - existing investments will be recalled if there are no penalties; and
  - full consideration will be given to recall or sale of existing investments which would be liable to penalty clause.

### **Specified and Non-specified investments**

13. The DCLG Guidance on Local Government Investments made under section 15(1) of the Local Government Act 2003, places restrictions on Local authorities around the use of specified and non-specified investments. A specified investment is defined as an investment which satisfies all of the conditions below:
- the investment and any associated cash flows are denominated in sterling;
  - the investment has a maximum maturity of one year;
  - the investment is not defined as capital expenditure; and
  - the investment is made with a body or in an investment scheme of high credit quality; or with the UK Government, a UK Local Authority or parish/community council.
14. A non-specified investment is any investment that does not meet all the conditions above. In addition to the long-term investments listed in the table at the end of Appendix 1, the following non-specified investments that the Council may make include:
- **Green Energy Bonds** - Investments in solar farms are a form of Green Energy Bonds that provide a secure enhanced yield. The investments are structured as unrated bonds and secured on the assets and contracts of solar and wind farms. Before proceeding with any such investment, internal and external due diligence will be undertaken in advance of investments covering the financial, planning and legal aspects.
  - **Social Housing Bonds** – Various fund managers facilitate the raising of financing housing associations via bond issues. The investment is therefore asset backed and provides enhanced returns. Officers will need to undertake due diligence on each potential investment in order to understand the risks and likelihood of default.
  - **Asset Backed Securities (ABS) / Residential Mortgage backed securities (RMBS)** – As these securities by their nature are asset backed they are regarded as low risk should a default take place, but have a higher return. These are available for direct investment, or as pooled / segregated assets managed by a third party fund manager. In the event of a fund manager option being selected, this would need to be procured through a proper procurement process.
  - **Loans** - The Council will allow loans (as a form of investment) to be made to organisations delivering services for the Council where this will lead to the enhancement of services to Westminster Stakeholders. The Council will undertake due diligence checks to confirm the borrower's creditworthiness before any sums are advanced. Page 009

third party guarantees for loans advanced. The Council would expect a return commensurate with the type, risk and duration of the loan. A limit of £50 million for this type of investment is proposed with a duration commensurate with the life of the asset and Council's cash flow requirements. The operator of Westminster's leisure centres is seeking to borrow £1.25 million to finance a refurbishment of the leisure centres and this category would be the first call on this type of investment opportunity. All loans would need to be in line with the Council's Scheme of Delegation and Key Decision thresholds levels

➤ **Shareholdings in limited companies and joint ventures** – The Council invests in three forms of company:

- Small scale businesses funded through the Civic Enterprise Fund aimed at promoting economic growth in the area. Individual investments are no more than £0.5m and the aim is for the Fund to be self-financing over the medium-term.
- Trading vehicles which the Council has set up to undertake particular functions. These are not held primarily as investments but to fulfil Council service objectives. For example, CityWest Homes is a company limited by guarantee to run the housing arms-length management organisation. Any new proposals will be subject to due diligence as part of the initial business case. As these are not to be held primarily as investment vehicles, then there is an expectation that they will break even.
- Trading vehicles held for a commercial purpose where the Council is obliged to undertake transactions via a company vehicle. These will be wholly owned subsidiaries of the Council with the aim of diversifying the investment portfolio risk.

15. For any such investments, specific proposals will be considered by the Director of Treasury and Pensions, and approved by the s151 Officer after taking into account:

- cash flow requirements
- investment period
- expected return
- the general outlook for short to medium term interest rates
- creditworthiness of the proposed investment counterparty
- other investment risks.

16. The value of non-specified investments will not exceed their Investment allocation. The Council must now formulate a strategy that allocates its cash in the most effective manner to short, medium and long term non-specified investments.

### **Country of Domicile**

17. The current TMSS allows deposits / investments with financial entities domiciled in the following countries: Australia, Canada, Denmark, Finland, France, Germany, Luxembourg, Netherlands, Norway, Singapore, Sweden, Switzerland, UK and USA. This list will be kept under review and any proposed changes to the policy reported to the next meeting

## **Schedule of investments**

18. The criteria for providing a pool of high quality short, medium and long-term, cash-based investment counterparties along with the time and monetary limits for institutions on the Council's counterparty list are in the table overleaf:

**All investments listed below must be sterling denominated\***

| <b>Investments</b>  | <b>Minimum Credit Rating Required (S&amp;P/Moody's/Fitch)</b>  | <b>Maximum Individual Counterparty Investment Limit (£m)</b>                              | <b>Maximum tenor</b>       |
|---|--|---|----------------------------|
| DMO Deposits  | Government Backed  | Unlimited   | 6 months                   |
| UK Government (Gilts/T-Bills/Repos)   | Government Backed  | Unlimited   | Unlimited                  |
| Supra-national Banks, European Agencies   | LT: AA/Aa/AA   | £200m   | 5 years                    |
| Covered Bonds   | LT: AA/Aa/AA   | £300m   | 10 years                   |
| Network Rail  | Government guarantee   | Unlimited   | Oct 2052                   |
| TfL   | LT: AA/Aa/AA   | £100m   | 5 years                    |
| GLA   | N/A  | GLA : £100M   | 5 years                    |
| UK Local Authorities (LA)   |  | LA: £100m per LA, per criteria  | 3 years                    |
| Local Government Association (LGA)  |  | £500m in aggregate<br>LGA: £20m   | 15 years                   |
| Commercial Paper issued by UK and European Corporates                           | ST: A-1/P-1/F-1  | £40m per name, £200m in aggregate   | 6 months                   |
| Money Market Funds (MMF)  | LT: AAA/Aaa/AAA<br>By at least two of the main credit agencies | £70m per Fund Manager<br>£300m in aggregate   | 3 day notice               |
| Ultra Short Dated Bond Funds (USDBFs)   | LT: AAA/Aaa/AAA<br>By at least one of the main credit agencies | £25m per fund manager, £75m in aggregate  | Up to 7 day notice         |
| Collateralised Deposits   | Collateralised against loan                                    | £100m   | 50 years                   |
| Social Housing Bonds  | Due Diligence  | £200m   | 10 years                   |
| Asset backed securities (ABS) and Residential mortgage backed securities (RMBS) | Asset Backed / Due Diligence                                   | £200m   | 10 years                   |
| UK Bank (Deposit or Certificates of Deposit)                                    | LT: AA-/Aa3/AA-<br>ST: F1+                                     | £75m  | 5 years                    |
| UK Bank (Deposit or Certificates of Deposit)                                    | LT: A-/A3/A<br>ST: F1  | £50m  | 3 years                    |
| Non-UK Bank (Deposit or Certificates of Deposit)                                | LT: AA-/Aa2/AA-<br>ST: F1+                                     | £50m  | 5 years                    |
|   | LT: A/A2/A<br>ST: F1   | £35m  | 3 years                    |
| Green Energy Bonds  | Internal and External due diligence                            | Less than 25% of the total project investment or maximum £20m per bond. £50m in aggregate | 10 years                   |
| Rated UK Building Societies   | LT: A-/A3/A<br>ST: F1  | £10m per Building Society, £50m in aggregate  | 1 year                     |
| Loans to organisations delivering services for the Council                      | Due diligence  | £50m in aggregate   | Over the life of the asset |

**Sovereign approved list (AA rated and above):**

Australia, Canada, Denmark, Finland, France, Germany, Luxembourg, Netherlands, Norway, Singapore, Sweden, Switzerland, UK and USA

## Rationale for investment limits

19. Debt Management Office (DMO): Unlimited. The DMO is an executive agency of Her Majesty's Treasury. Being fully UK government backed, the DMO is the ultimate low risk depository. Being ultra-low risk, the investment return is very low.
20. UK Government Gilts/T-Bills/Repos: Unlimited. UK Government gilts are regarded by the market as high quality and ultra-low risk. Being ultra-low risk, the investment return is very low.
21. Supra-national Banks, European Agencies: £200m limit. A supra-national bank is a financial institution, such as the European Investment Bank or the World Bank, whose equity is owned by sovereign states. Being owned by overseas states, they are regarded as being very low risk, but not in the same safe risk category as UK. The investment return is very low.
22. Covered Bonds: £300m limit. Covered bonds are debt securities issued by a bank or mortgage institution and collateralised against a pool of assets that, in case of failure of the issuer, can cover claims at any point of time. They are subject to specific legislation to protect bond holders. With slightly more risk. the investment return is higher than UK Gilts.
23. Residential Mortgage Backed Securities (RMBS): £200m limit. A residential mortgage backed security is a pool of mortgage loans created by banks and other financial institutions. The cash flows from each of the pooled mortgages is packaged by a special-purpose entity into classes and tranches, which then issues securities and can be purchased by investors. Being asset backed, they are regarded as being reasonably low risk should a default take place, but with a higher return.
24. Network Rail: Unlimited. Network Rail is the owner and infrastructure manager of most of the rail network in England, Scotland and Wales. Having a UK government guarantee, they are regarded as being reasonably low risk with a lower investment return.
25. Transport for London (TfL): £100m limit. Transport for London is a local government body responsible for the transport system in Greater London. Its parent organisation is the Greater London Authority (GLA). Being a GLA owned entity, the investment is regarded as safe and the return is low.
26. Greater London Authority (GLA): £100m limit. The Greater London Authority is the top-tier administrative body for Greater London, consisting of a directly elected executive Mayor of London and an elected 25-member London Assembly. Being categorised alongside UK local authorities, the investment is regarded as safe and the return is low.
27. UK Local Authorities: £100 limit per authority, £500m in total. This has been increased from £200m on the basis that local authorities have always been regarded as safe counterparties. As an additional safeguard, each new local authority counterparty will be subject to checks regarding latest accounts, audit opinion, financial projections, and financial reputation. There are 326 billing authorities with tax-raising powers in England, consisting of 201 non-metropolitan district councils, 55 unitary authority councils, 36 metropolitan borough councils, 32 London borough councils, the City of London Corporation and the Council of the Isles of Scilly. Additionally, there are levying authorities, consisting of 45 police authorities, 52 fire

authorities and six waste disposal authorities. Having never defaulted in history, UK local authorities and levying authorities are regarded as safe and the return is relatively low. Each new counterparty should be subject to check of latest accounts, any audit issues reported in the latest ISA260 reports, the latest budget position reported to council (to identify if there any potential financial health issues) and officer knowledge of the authority's latest financial reputation.

28. Local Government Association: £20m. The Local Government Association (LGA) is a charitable organisation, funded largely from subscriptions, which comprises local authorities in England and Wales, representing the interests of local government to national government. 435 authorities are members of the LGA as of 2016, including 349 English councils and the 22 Welsh councils, as well number of smaller authorities including fire authorities and national parks. Despite being an entity which represents local authorities, the entity is not regarded as risk free as local authorities and therefore the limit is lower at £20m.
29. Commercial Paper issued by the UK and European Corporates: £40m per name, £200m in total. Commercial paper is an unsecured, short-term debt instrument issued by a corporation, typically for the financing of accounts receivable, inventories and meeting short-term liabilities. Investment is confined to high quality investment grade corporates. The risk and investment return are higher than the sovereign categories.
30. Money Market Funds (MMF): £70m per manager, £300m in total. Money market funds are open-ended funds that invests in short-term high quality debt securities such as Treasury bills and commercial paper. Money market funds are widely regarded as being as safe as bank deposits, yet providing a higher yield. Being well diversified but investing with higher risk counterparties and instruments, the risk and investment return are higher.
31. Ultra short dated bond funds (USDBFs): £25m per manager, £75m in total. Enhanced money market funds increase returns via increasing interest rate, credit and liquidity risk in order to enhance the return. Being well diversified reduces the impact of a single default within the portfolio.
32. Collateralised Deposits: £100m. In lending agreements, collateral is a borrower's pledge of specific property to a lender to secure repayment of a loan, serving as a lender's protection against a borrower's default. Being asset backed, they are regarded as being reasonably low risk should a default take place, but with a higher return.
33. UK Bank Deposits: £75m per bank. Banks have become a riskier counterparty since the recent bail outs of Lloyds and RBS. The Financial Services (Banking Reform) Act 2013 confers on the Bank of England a bail-in stabilisation option for the resolution for banks and building societies, ensuring that shareholders and creditors/depositors of the failed institution, rather than the taxpayer, meet the costs of the failure. Despite the bail-in risk, the return on UK bank deposits is relatively low.
34. Non-UK Bank Deposits: £50m (Sterling deposits only) per bank. Overseas banks incorporated in the UK provide a number of options for high quality institutions with returns largely similar to UK banks.

35. Green Energy Bonds: £20m per bond, £50m in total (subject to due diligence). This comprises of finance for the supply of electricity from renewable energy sources, particularly in areas such as energy storage and electric vehicle networks. This category is greater risk and will provide an enhanced return. Use should be made of regulated markets where available in order to provide additional investment security and risk reduction.
36. Social Housing Bonds: £200m in total. Housing associations are increasingly issuing public bonds, secured against social housing assets, to meet financing requirements. This category is greater risk and will provide an enhanced return.
37. Rated Building Societies: £10m per building society, £50m in total. Same rationale as UK banks, see above.
38. Loans to organisations delivering services to the Council: £50m in total. Assessed individually and subject to due diligence. At markets rates of interest and reflecting the risk of the borrower, this will offer an enhanced rate of return.

**Minimum Revenue Provision (MRP) Policy**

1. Capital expenditure is generally defined as expenditure on assets that have a life expectancy of more than one year. The accounting approach is to spread the cost over the estimated useful life of the asset. The mechanism for spreading these costs is through an annual MRP. The MRP is the means by which capital expenditure, which is financed by borrowing or credit arrangements, is funded by Council Tax.
2. Regulation 28 of the Local Authorities (Capital Finance and Accounting) (England) Regulations 2003, as amended (Statutory Instrument (SI) 3146/2003) requires full Council to approve a Minimum Revenue Provision (MRP) Statement setting out the policy for making MRP and the amount of MRP to be calculated which the Council considers to be prudent. In setting a level which the Council considers to be prudent, the Guidance states that the broad aim is to ensure that debt is repaid over a period reasonably commensurate with that over which the capital expenditure provides benefits to the Council.
3. The Council is recommended to approve the following MRP Statement:
  - For capital expenditure incurred before 1 April 2007, MRP will be calculated using Option 1 (the 'Regulatory Method') of the CLG Guidance on MRP. Under this option MRP will be 4% of the closing non-HRA CFR for the preceding financial year.
  - For all capital expenditure incurred after 1 April 2007 financed from unsupported (prudential) borrowing (including PFI and finance leases), MRP will be based upon the asset life method under Option 3 of the DCLG Guidance.
  - In some cases, where a scheme is financed by prudential borrowing it may be appropriate to vary the profile of the MRP charge to reflect the future income streams associated with the asset, whilst retaining the principle that the full amount of borrowing will be charged as MRP over the asset's estimated useful life.
  - A voluntary MRP may be made from either revenue or voluntarily set aside capital receipts.
  - Estimated life periods and amortisation methodologies will be determined under delegated powers. To the extent that expenditure is not on the creation of an asset and is of a type that is subject to estimated life periods that are referred to in the guidance, these periods will generally be adopted by the Council. However, the Council reserves the right to determine useful life periods and prudent MRP in exceptional circumstances where the recommendations of the guidance would not be appropriate.
  - As some types of capital expenditure incurred by the Council are not capable of being related to an individual asset, asset lives will be assessed on a basis which most reasonably reflects the anticipated period of benefit that arises from the expenditure. Also, whatever type of expenditure is involved, it will be

grouped together in a manner which reflects the nature of the main component of expenditure and will only be divided up in cases where there are two or more major components with substantially different useful economic lives.

- Charges included in annual PFI or finance leases to write down the balance sheet liability shall be applied as MRP.
- Where borrowing is undertaken for the construction of new assets, MRP will only become chargeable once such assets are completed and operational.
- If property investments are short-term (i.e. no more than 4 years) and for capital appreciation, the Council will not charge MRP as these will be funded by the capital receipt on disposal.

4. There is no requirement on the HRA to make a minimum revenue provision but there is a requirement for a charge for depreciation to be made. For the Council this is componentised based on the life of component and the gross replacement cost within the overall existing use value – social housing of the HRA stock.

**CIPFA requirements**

The Council has formally adopted CIPFA's Code of Practice on Treasury Management (updated November 2011) and complies with the requirements of the Code as detailed in this appendix. There are no changes to the requirements to be formally adopted in the 2017 update, these are listed below:

- Maintaining a Treasury Management Policy Statement setting out the policies and objectives of the Council's treasury management activities.
- Maintaining a statement of Treasury Management Practices that sets out the manner in which the Council will seek to achieve these policies and objectives.
- Presenting the Full Council with an annual TMSS statement, including an annual investment strategy and Minimum Revenue Provision policy for the year ahead (this report) a half year review report and an annual report (stewardship report) covering compliance during the previous year
- A statement of delegation for treasury management functions and for the execution and administration of statement treasury management decisions. (see below).
- Delegation of the role of scrutiny of treasury management activities and reports to a specific named body. At Westminster City Council this role is undertaken by the Housing, Finance and Corporate Services Policy and Scrutiny Committee.

**Treasury Management Delegations and Responsibilities**

The respective roles of the Council, Cabinet, Housing, Finance and Corporate Services Policy and Scrutiny committee and Section 151 officer are summarised below. Further details are set out in the Treasury Management Practices.

**Council**

Council will approve the annual treasury strategy, including borrowing and investment strategies. In doing so Council will establish and communicate their appetite for risk within treasury management having regard to the Prudential Code

**Cabinet**

Cabinet will recommend to Council the annual treasury strategy, including borrowing and investment strategies and receive a half-year report and annual out-turn report on treasury activities.

Cabinet also approves revenue budgets, including those for treasury activities.

**Housing, Finance and Corporate Services Policy and Scrutiny Committee**

This committee is responsible for ensuring effective scrutiny of the Treasury strategy and policies.

**Section 151 Officer**

Council has delegated responsibility for the implementation and monitoring of treasury management decisions to the Section 151 Officer to act in accordance with approved

policy and practices. The s151 Officer has full delegated powers from the Council and is responsible for the following activities:

- investment management arrangements and strategy;
- borrowing and debt strategy;
- monitoring investment activity and performance;
- overseeing administrative activities;
- ensuring compliance with relevant laws and regulations;
- provision of guidance to officers and members in exercising delegated powers.

### **Director of Treasury and Pension Fund**

Has responsibility for the execution and administration of treasury management decisions, acting in accordance with the Council's Treasury Policy Statement and CIPFA's 'Standard of Professional Practice on Treasury Management'.

### **Treasury Team**

Undertakes day to day treasury investment and borrowing activity in accordance with strategy, policy, practices and procedures.

### **Training**

The CIPFA code requires the s151 officer to ensure that Members with responsibility for making treasury management decisions and for scrutinising treasury functions to receive adequate training. The training needs of all officers are reviewed periodically as part of the Learning and Development programme. Officers attend various seminars, training sessions and conferences during the year and appropriate Member training is offered as and when needs, and suitable opportunities, are identified.

## Prospects for Interest Rates

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

|                | Dec-17 | Mar-18 | Jun-18 | Sep-18 | Dec-18 | Mar-19 | Jun-19 | Sep-19 | Dec-19 | Mar-20 |
|----------------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|
| Bank rate      | 0.25%  | 0.25%  | 0.25%  | 0.25%  | 0.25%  | 0.25%  | 0.50%  | 0.50%  | 0.75%  | 0.75%  |
| 5yr PWLB rate  | 1.50%  | 1.60%  | 1.70%  | 1.70%  | 1.80%  | 1.80%  | 1.90%  | 1.90%  | 2.00%  | 2.00%  |
| 10yr PWLB rate | 2.20%  | 2.30%  | 2.30%  | 2.40%  | 2.40%  | 2.50%  | 2.50%  | 2.60%  | 2.60%  | 2.70%  |
| 25yr PWLB rate | 2.90%  | 2.90%  | 3.00%  | 3.00%  | 3.10%  | 3.10%  | 3.20%  | 3.20%  | 3.30%  | 3.30%  |
| 50yr PWLB rate | 2.70%  | 2.70%  | 2.80%  | 2.80%  | 2.90%  | 2.90%  | 3.00%  | 3.00%  | 3.10%  | 3.10%  |

2. Capita Asset Services undertook its last review of interest rate forecasts on 9 August 2017 after the quarterly Bank of England Inflation Report. There was no change in MPC policy at that meeting. However, the MPC meeting of 14 September revealed a sharp change in sentiment whereby a majority of MPC members said they would be voting for an increase in Bank Rate “over the coming months”. Such an increase was implemented on 2 November 2017. The question is now as to whether the MPC will stop, or whether they will embark on a series of further increases in Bank Rate during 2018.
3. The overall balance of risks to economic recovery in the UK is currently to the downside but huge variables over the coming few years include just what final form Brexit will take, when finally agreed with the EU, and when.
4. Downside risks to current forecasts for UK gilt yields and PWLB rates currently include:
  - UK economic growth and increases in inflation are weaker than we currently anticipate.
  - Weak growth or recession in the UK’s main trading partners - the EU and US.
  - Geopolitical risks in Europe, the Middle East and Asia, which could lead to increasing safe haven flows.
  - A resurgence of the Eurozone sovereign debt crisis.
  - Weak capitalisation of some European banks.
  - Monetary policy action failing to stimulate sustainable growth and to get inflation up consistently to around monetary policy target levels.
5. The potential for upside risks to current forecast for UK gilt yields and PWLB rates, especially for longer term PWLB rates include;

- The pace and timing of increases in the Fed. Funds Rate causing a fundamental reassessment by investors of the relative risks of holding bonds as

opposed to equities and leading to a major flight from bonds to equities.

- UK inflation returning to significantly higher levels causing an increase in the inflation premium inherent to gilt yields.

## **Economic Update**

6. **UK.** After the UK economy surprised on the upside with strong growth in 2016, growth in 2017 has been disappointingly weak; quarter 1 came in at only +0.3% (+1.7% y/y) and quarter 2 was +0.3% (+1.5% y/y) which meant that growth in the first half of 2017 was the slowest for the first half of any year since 2012. . The main reason for this has been the sharp increase in inflation, caused by the devaluation of sterling after the referendum, feeding increases in the cost of imports into the economy. This has caused, in turn, a reduction in consumer disposable income and spending power and so the services sector of the economy, accounting for around 75% of GDP, has seen weak growth as consumers cut back on their expenditure. However, more recently there have been encouraging statistics from the manufacturing sector which is seeing strong growth, particularly as a result of increased demand for exports. It has helped that growth in the EU, our main trading partner, has improved significantly over the last year. However, this sector only accounts for around 11% of GDP so expansion in this sector will have a much more muted effect on the average total GDP growth
  
7. The Monetary Policy Committee (MPC) meeting of 14 September 2017 surprised markets and forecasters by suddenly switching to a much more aggressive tone in terms of its words around warning that Bank Rate will need to rise. The Bank of England Inflation Reports during 2017 have clearly flagged up that they expected CPI inflation to peak at just under 3% in 2017, before falling back to near to its target rate of 2% in two years' time. Inflation actually came in at 2.9% in August, (this data was released on 12 September), and so the Bank revised its forecast for the peak to over 3% at the 14 September meeting MPC. This marginal revision can hardly justify why the MPC became so aggressive with its wording; rather, the focus was on an emerging view that with unemployment falling to only 4.3%, the lowest level since 1975, and improvements in productivity being so weak, that the amount of spare capacity in the economy was significantly diminishing towards a point at which they now needed to take action. In addition, the MPC took a more tolerant view of low wage inflation as this now looks like a common factor in nearly all western economies as a result of increasing globalisation. This effectively means that the UK labour faces competition from overseas labour e.g. in outsourcing work to third world countries, and this therefore depresses the negotiating power of UK labour. However, the Bank was also concerned that the withdrawal of the UK from the EU would effectively lead to a decrease in such globalisation pressures in the UK, and so would be inflationary over the next few years.

8. The MPC have subsequently increased the Bank Rate to 0.5% in November. The big question now is whether this will be a one off increase or the start of a slow, but regular, increase in Bank Rate. As at the start of October, short sterling rates are indicating that financial markets do not expect a second increase until May 2018 with a third increase in November 2019. However, some forecasters are flagging up that they expect growth to improve significantly in 2017 and into 2018, as the fall in inflation will bring to an end the negative impact on consumer spending power while a strong export performance will compensate for weak services sector growth. If this scenario were to materialise, then the MPC would have added reason to embark on a series of slow but gradual increases in Bank Rate during 2018. While there is so much uncertainty around the Brexit negotiations, consumer confidence, and business confidence to spend on investing, it is far too early to be confident about how the next two years will pan out.
9. **EU.** Economic growth in the EU, (the UK's biggest trading partner), has been lack lustre for several years after the financial crisis despite the ECB eventually cutting its main rate to -0.4% and embarking on a massive programme of QE. However, growth picked up in 2016 and now looks to have gathered ongoing substantial strength and momentum thanks to this stimulus. GDP growth was 0.5% in quarter 1 (2.0% y/y) and 0.6% in quarter 2 (2.3% y/y). However, despite providing massive monetary stimulus, the European Central Bank is still struggling to get inflation up to its 2% target and in August inflation was 1.5%. It is therefore unlikely to start on an upswing in rates until possibly 2019.
10. **USA.** Growth in the American economy has been volatile in 2015 and 2016. 2017 is following that path again with quarter 1 coming in at only 1.2% but quarter 2 rebounding to 3.1%, resulting in an overall annualised figure of 2.1% for the first half year. Unemployment in the US has also fallen to the lowest level for many years, reaching 4.4%, while wage inflation pressures, and inflationary pressures in general, have been building. The Fed has started on a gradual upswing in rates with three increases since December 2016; and there could be one more rate rise in 2017 which would then lift the central rate to 1.25 – 1.50%. There could then be another four more increases in 2018. At its June meeting, the Fed strongly hinted that it would soon begin to unwind its \$4.5 trillion balance sheet holdings of bonds and mortgage backed securities by reducing its reinvestment of maturing holdings.
11. **Chinese economic growth** has been weakening over successive years, despite repeated rounds of central bank stimulus; medium term risks are increasing. Major progress still needs to be made to eliminate excess industrial capacity and the stock of unsold property, and to address the level of non-performing loans in the banking and credit systems.
12. **Japan** is struggling to stimulate consistent significant growth and to get inflation up to its target of 2%, despite huge monetary and fiscal stimulus. It is also making little progress on fundamental reform of the economy.



City of Westminster

## Cabinet Report

|                           |   |
|---------------------------|---|
| <b>Meeting:</b>           | <b>Cabinet</b>                                    |
| <b>Date:</b>              | <b>19<sup>th</sup> February 2018</b>              |
| <b>Classification:</b>    | <b>For general release</b>                        |
| <b>Title:</b>             | <b>Pay Policy 2018- 2019</b>                      |
| <b>Wards Affected:</b>    | <b>n/a</b>  |
| <b>Financial Summary:</b> | <b>There are no direct financial implications</b> |
| <b>Report of:</b>         | <b>Lee Witham, Director of People Services</b>    |

### **1. Executive Summary**

- 1.1 To advise of the publication of the Council's annual Pay Policy for 2018 – 2019, which needs to be approved by Cabinet on 19th February 2018 and by full Council on 7th March 2018, before publication.

### **2. Recommendations**

- 2.1 That the Council be recommended to adopt the Pay Policy for 2018 - 2019 (see Appendix 1).

### **3. Reason for decision**

- 3.1 The Council is required to publish its Pay Policy by 31st March every year. It must be approved formally by Cabinet and full Council before publication. The Council is already transparent in its approach to Senior Pay and publishes detailed information about senior officer pay and Members' allowances to meet its duties under the Local Government Transparency Code (2015).
- 3.2 The Council's Pay Policy meets the statutory requirements of the Localism Act 2011. It brings together all the Council's existing policies on pay, which have been subject to consultation.
- 3.3 The Pay Policy must include details in relation to: all aspects of Chief Officers' remuneration, increases and additions to remuneration, bonuses, termination payments and remuneration on recruitment. It must also include information

about the relationship between the remuneration of its highest paid officer (the Chief Executive) and the median salary of all employees (the “pay multiple”).

- 3.4 This report appends the proposed Pay Policy for 2018 – 2019. All pay data in the Pay Policy will use the snapshot date of 31<sup>st</sup> March 2017.
- 3.5 Government’s reforms to public sector exit payments (i.e. to cap exit payments at £95,000 and recover exit payments for employees earning £80,000 plus) were due to come into effect from Autumn 2016. However, they were delayed and are now expected to be implemented sometime in 2018. The Pay Policy will be amended if this takes place.

#### **4 Legal Implications**

- 4.1 The statutory requirements set out in Chapter 8 of Part 1 of the Localism Act 2011 (Sections 38-43) are summarised in the report and the pay policy statement. The pay policy statement complies with the statutory requirements.
- 4.2 Implications completed by Rhian Davies, Chief Solicitor (Litigation and Social Care).

#### **5 Financial Implications**

- 5.1 All changes to pay will be reflected in the budget setting process.

**If you have any queries about this report or wish to inspect any of the background papers please contact: Lee Witham, Director of People Services**  
**[lwitham1@westminster.gov.uk](mailto:lwitham1@westminster.gov.uk), 0207 641 3224**

## Appendix 1 Westminster City Council Pay Policy 2018- 2019

### **Introduction**

Westminster City Council's (the Council) Pay Policy is published in line with the Localism Act 2011, Section 38 (1) which requires all Local Authorities in England and Wales to publish their Pay Policy annually, at the start of each financial year.

The Council's Pay Policy is presented to full Council for approval on 7<sup>th</sup> March 2018. It brings together the Council's approach to pay and remuneration<sup>1</sup> which was approved by Cabinet on 27<sup>th</sup> August 2008 and is detailed in various Council policies. It is published on the Council's [website](#).

The Council seeks to be an Equal Opportunities employer and will heed all relevant employment legislation related to pay and remuneration. This includes but is not limited to the Equality Act (2010) and the Part-time Workers (Prevention of Less Favourable Treatment) Regulations (2000).

The Council publishes salaries of Chief Officers and senior staff earning over £63,297 (FTE) and above on the Council's [website](#) in line with Local Government Transparency Code 2015.

Under the Equality Act 2010 (Gender Pay Gap Information) Regulations 2017, mandatory gender pay reporting will be required of all employers with over 250 employees from March 2018. The gender pay gap is a measure of the difference between men's and women's average earnings across the organisation. It is expressed as a % of men's earnings.

This gender pay gap data for Westminster City Council as at the 31<sup>st</sup> March 2017 will also be published on the Council's [website](#).

### **Background**

The Council implemented a Broad Band pay structure in 2008, the purpose of which is to provide one simplified pay structure from the top to the bottom of the organisation. The pay structure focuses on rewarding added value and supporting business aims. It does not reward time served in post i.e. there is no guaranteed incremental progression. All progression is based on exceeding performance targets.

The Broad Band pay structure provides clarity and transparency on the levels within the organisation and applies to all staff employed by the Council with the exception of: schools support staff (except where the governing body has adopted the broad band structure), JNC Youth Workers, Public Health staff who TUPE transferred into the Council and Soulbury staff.

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#### Notes

<sup>1</sup> Excluding some employees in Schools, JNC Youth Workers, Public Health staff that TUPE transferred into the Council and Soulbury staff.

The Council recognises the need to recruit and retain staff in highly skilled or specialist work areas, where posts are hard to fill. It is accepted that our central London location and the occasional limited availability of quality personnel in certain professions means that in exceptional circumstances it is difficult to recruit to key posts on the salary for the grade of the post. Where there is a genuine requirement a Market Based Salary Supplement reflecting the difference between WCC salary and market pay rates is paid as a time bound and non - contractual addition to salary.

### **The Broad Band Pay Structure**

There is one Broad Band pay structure from the top to the bottom of the organisation. There are 7 Broad Bands with 7 pay steps in each band. Band 1 is the lowest and Band 7 is the highest. The band of a post is determined through job evaluation.

The pay levels in the Broad Bands are generally reviewed annually in line with the National Joint Council for Local Government Services (NJC) and the Greater London Provincial Council (GLPC).

### **Definition of Chief Officer**

The term “Chief Officer” for the purposes of this Pay Policy includes the following positions:

- The Chief Executive
- All Executive Management Team (EMT) Directors\*
- All Directors / Deputy Director, Heads of Services (Corporate Leadership Team)\*

\*all of whom meet the definition of either Statutory or Non-Statutory Chief Officers or Deputy Chief Officers as specified under Part 1, Section 2 (para's 6 -8) of the Local Government and Housing Act 1989, (LGHA) e.g.

“Non-Statutory Chief Officer” means,

(a) a person for whom the head of the authority's paid service is directly responsible;

(b) a person who, as respects all or most of the duties of his/her post, is required to report directly or is directly accountable to the head of the authority's paid service; and

(c) any person who, as respects all or most of the duties of his/her post, is required to report directly or is directly accountable to the local authority themselves or any committee or sub-committee of the authority.

“Deputy Chief Officer” means, subject to the following provisions of this Section, a person who, as respects all or most of the duties of his/her post, is required to report directly to one or more of the statutory or non-statutory Chief Officers.

For the purposes of this Pay Policy only, managers below Corporate Leadership Team level, who as a result of changes in the structure, now report to a Chief Officer as defined above are not classified as Deputy Chief Officers.

## Pay accountability

### Salary packages on appointment which exceed £100,000

All posts, including those which exceed a salary package<sup>2</sup> of £100,000, are appointed within a pay band and structure where the principles of reward and remuneration have been previously agreed by full Council. Therefore any new appointments are not subject to full Council consideration.

### Redundancy payments which exceed £100,000

Employees are contractually entitled to be paid in line with the Council's Redundancy Compensation policy if they are made redundant. If a proposed redundancy payment exceeds more than £100,000 (excluding the capital cost of pension entitlement) and this is higher than the employee's contractual entitlement, the approval of full Council will be sought before an offer is made to the employee.

## Chief Officer Remuneration

### Chief Executive (Head of Paid Service)

The Chief Executive was paid a spot salary of £205,419 per annum (as at 31<sup>st</sup> March 2017). An additional 18% of this amount is held as deferred salary. This amount is not guaranteed and payment depends on performance. The Chief Executive was awarded a deferred salary payment of £32,867 in May 2017 for the period 1<sup>st</sup> April 2016 – 31<sup>st</sup> March 2017. The Chief Executive undertakes the role of Returning Officer. A Returning Officer **may** recover their charges for services and expenses provided they were necessarily rendered or incurred for the efficient and effective conduct of the election and the total does not exceed the overall maximum recoverable amount specified by the Secretary of State in an order.

The Chief Executive package was reviewed by the appointments sub committee on 16<sup>th</sup> January 2018 and has been changed to bring it in to line with other senior officers whereby an additional 10% (rather than 18%) of the spot salary is held as deferred salary. This amount is not guaranteed and payment depends on performance.

### Posts which exceed a salary package of £100,000

- Directors (Executive Management Team) are paid at Band 7<sup>3</sup>. The basic salary range for Band 7 is £137,130 - £189,193.
- Deputy Directors / Heads of Services (Corporate Leadership Team which includes some members of the Executive Management Team) are paid at Band 6. The basic salary range for Band 6 is £96,957 - £133,910. These salary figures include 10% "deferred salary"

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#### Notes

<sup>2</sup> Including basic salary and professional fees, PHI and lease car contributions where applicable but excluding pension contributions in accordance with the Local Government Pension Scheme regulations.

<sup>3</sup> Broad Band salary figures in the document are as at 31<sup>st</sup> March 2017.

### **Deferred salary**

Directors and Deputy Directors/Heads of Service are only paid 90% of the basic salary figures listed above. 10% of the basic salary is deferred. Payment of the deferred salary up to 10% is not guaranteed and will depend on achievement of targets.

### **Benefits**

All Chief Officers are entitled to the following benefits:

- Private Health Insurance
- Reimbursement of the payment of one professional membership fee relevant to the proper performance of duties
- Up to £234 per month contribution to contract car hire (not available for any Chief Officer appointment made after 1<sup>st</sup> December 2011).

There is no cash alternative to the above benefits.

### **Additional Allowances**

All Chief Officers are expected to work such hours as are required for the efficient performance of their duties. There are no other additional elements of remuneration in respect of overtime or premium payments (e.g. bank holiday working, stand by arrangements etc).

There are no additional allowances in respect of the roles of:

Monitoring Officer

Section 151 Officer

### **General Remuneration Principles Applying to Remuneration of Chief Officers and Employees**

#### **Recruitment**

On recruitment individuals will be placed on the appropriate step salary within the evaluated grade for the job. In order to recruit high quality staff a relocation package may be offered where necessary and where this would be considered cost effective. When recruiting and appointing to a Chief Officer post, the starting salary offered must be within the target salary and cannot exceed this except in exceptional cases where the Executive Director or Chief Executive has authorised this. Where an interim is required to cover a Chief Officer role, a Temporary Agency Contractor may be engaged in line with the requirements of the Council's Procurement and Contracts Code, rather than the use of a Contract for Services.

#### **Broad Band Pay Progression**

There is no automatic time served incremental progression. All progression is based on exceeding performance and increased contribution. Any pay progression cannot exceed the maximum of the relevant band.

The Council does not apply performance related pay or bonuses.

## **Termination of Employment**

On termination of employment with the Council, the Council's policy applies to all Chief Officers. Individuals will only receive compensation:

- where appropriate and relevant (e.g. redundancy compensation)
- in line with the Council's Redundancy and Redundancy Compensation Policy
- which complies with the specific terms of a settlement agreement, which will take into account the Council's contractual and legal obligations, the need to manage an exit effectively, risks to the Council and the commercial business case.

## **Re-employment**

The decision to re-employ a previous employee, who has been made redundant by the Council (and on termination of employment received a redundancy compensation payment), will be made on merit.

The Council will not engage such an individual under a Contract for Services.

## **Remuneration of the Lowest Paid Employees**

The Council's definition of the lowest paid employee excludes staff based outside London. Employees on Band 1 Step 1 are defined as the Council's lowest paid employees. The full time equivalent annual basic salary of this Step in 2016-17 was £18,846. The Chief Executive's basic salary (as at 31<sup>st</sup> March 2017) was £205,419 which was 10.90 times the lowest salary.

## **London Living Wage**

The Council does not have a policy to pay the London Living Wage; though the Council's minimum full time equivalent hourly rate of pay to its employees as of 31<sup>st</sup> March 2017 was £10.04. This exceeded the recommended London Living Wage rate. (£9.75)

## **Pay Multiple**

The Local Government Transparency Code (2015), states that local authorities should publish their pay multiple. This is defined as the ratio between the highest paid salary and the median salary of the workforce. The Council's pay multiple (using total pay<sup>4</sup>) as at 31<sup>st</sup> March 2017 was 5.74 i.e. the Chief Executive, who had the highest total pay as at 31<sup>st</sup> March 2017 (£238,286) earned 5.74 times more than the Council's median full time equivalent total salary of £41,493.

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### Notes

<sup>4</sup> Total pay is the sum of full time equivalent basic salary plus actual amounts received for the reimbursement of professional fees, market based salary supplements, honorariums and shift allowances where claimed up to 31<sup>st</sup> March 2017. Pension contributions are excluded. Total pay for senior management and the Chief Executive also includes deferred salary for the performance year to 31<sup>st</sup> March 2017, where awarded, car lease contributions and the value of Private Health Insurance premiums where claimed. All payments have been made in line with Council policy and were pro-rated if applicable.

The Pay Policy for 2018-2019 will be amended in response to the Government's reforms to public sector exit payments (i.e. to cap exit payments at £95,000 and recover exit payments for employees earning £80,000 where they take another public sector role within a 12 month period) as soon as these come into force.

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City of Westminster

## Cabinet Report

|                           |   |
|---------------------------|---|
| <b>Decision Maker:</b>    | <b>Cabinet</b>  |
| <b>Date:</b>              | <b>19<sup>th</sup> February 2018</b>  |
| <b>Classification:</b>    | <b>For General Release</b>  |
| <b>Title:</b>             | <b>Westminster Community Homes – Legislative changes to governance arrangements</b>   |
| <b>Wards Affected:</b>    | <b>All</b>  |
| <b>Key Decision:</b>      | <b>Yes</b>  |
| <b>Financial Summary:</b> | <b>Under this proposal, WCH will become a wholly owned subsidiary and would need to be fully consolidated into any group financial statements prepared by the council. If the holding were to reduce to 24% or less then the entity would be treated as an associate with simpler, reduced disclosure but significantly reduced control over decisions made by the board. There are currently 3 shareholdings in WCH, two of which are held by Westminster. Upon becoming a subsidiary of the Council all 3 shares will be held by the Council but there will be no cost to the Council resulting from this change.</b> |
| <b>Report of:</b>         | <b>Director of Housing &amp; Regeneration</b>   |

### **1. Executive Summary**

- 1.1 Westminster Community Homes (WCH) was established in December 2008 as a Co-operative and Community Benefit Society (CCBS) to work with the City Council to increase the provision of affordable housing and other related activities which assist in the delivery of the City Council's strategic housing objectives.

- 1.2 The Housing and Planning Act 2016 introduced changes which could limit or remove the City Council's current level of control over Westminster Community Homes (WCH). To comply with the legislation WCH shareholders will need to agree to make changes to their rules to allow for either:
  - a. A reduction in the percentage of Board Members nominated by the City Council to no more than 24% and to remove the City Council's current voting rights as a shareholder, or
  - b. Changes to the current Board membership and rules so that WCH becomes a City Council "wholly controlled" Registered Provider in which case the new legislation would not apply.
- 1.2 This report sets out the background to this new legislation, WCH current governance arrangements and WCH Board's view on the preferred way forward.
- 1.3 The Cabinet is asked to consider this issue in light of these changes and the legal advice provided within this report and to recommend to WCH Shareholders their preferred option for the future governance of WCH.

## **2. Recommendation:**

### **2.1 That the Cabinet agrees**

- 2.1.1 Westminster Community Homes (WCH) becomes a wholly controlled subsidiary of the City Council.
- 2.1.2 To delegate authority to the Director of Housing & Regeneration to carry out the necessary steps to implement this decision.

## **3. Reasons for Decision**

- 3.1 The provisions of the Regulation of Social Housing 2017 enacted on 16<sup>th</sup> November 2017 affect all registered providers, including WCH, which are now to be treated as Private Non-Financial Corporations. If these regulations are not to impact WCH and the City Council, and the City Council is to retain its current working arrangements with WCH, it will be necessary for WCH to become an organisation which is "wholly controlled" by the City Council.
- 3.2 The alternative is for WCH to be distanced from the City Council with the percentage of Board members nominated by the City Council restricted to 24% and the City Council losing its voting rights as a shareholder.

## **4. Background, including Policy Context**

- 4.1 In October 2015, the Office for National Statistics (**ONS**) reclassified Registered Providers (RPs) to the public sector because of the level of public sector influence over the management of RPs. Since then the Government has

introduced various measures to reduce the level of Government influence over RPs with the aim that the ONS will re-classify RPs back to the private sector.

4.2 Section 93 of the Housing and Planning Act 2016 empowered the Secretary of State to make regulations to limit or remove local authority influence over RPs.

4.3 In September 2017 the Secretary of State published a draft Statutory Instrument for reducing the influence of local authorities over RPs – the Regulation of Social Housing (Influence of Local Authorities) (England) Regulations 2017. The Statutory Instrument was then affirmed on 15<sup>th</sup> November 2017 and will take effect for the purposes of this report six months from that point which is 15<sup>th</sup> May 2018.

4.4 To remain a registered provider and to comply with the legislation WCH will need to either:

- a. Reduce the percentage of Board Members nominated by the City Council to no more than 24% and to remove the City Council's current voting rights as a shareholder.

To comply with a. above WCH is required to amend its rules to remove any City Council shareholder membership and to ensure that the City Council can only appoint one board member out of the current 7 places, in line with the (24%) maximum allowable City Council nominees.

- b. Change the current shareholding and Board membership so that WCH becomes a City Council “wholly controlled” Registered Provider.

In order for this to happen WCH, through its shareholders, will need to agree changes to the rules concerning shareholding and Board membership to provide:

- no shareholders other than the local authority; a subsidiary of that local authority; or a person acting on behalf of the authority or a subsidiary of the authority and that
- Board nominations are made approved by the City Council.

4.5 Should no decision on the future governance of WCH be taken prior to the legislative deadline of 15<sup>th</sup> May 2018 then the Statutory Instrument will take effect resulting in the City Council's shareholding being removed and the Board nominations reduced to comply with the 24% maximum.

## **5. Westminster Community Homes – Current governance arrangements**

5.1 Westminster Community Homes (WCH) was formed by the City Council in December 2008 as a Co-operative and Community Benefit Society (CCBS) with charitable objectives and is registered with the Financial Conduct Authority

(FCA). In December 2009 it became a Registered Provider of affordable housing regulated by the Homes and Communities Agency.

## 5.2 Objectives and activities

### 5.2.1 WCH objectives are to carry out for the benefit of the community:

- the provision of affordable housing for people who have housing need and appropriate associated facilities and amenities
- any other charitable object that can be carried out from time to time by a Co-operative and Community Benefit Society.

### 5.2.2 WCH and the City Council have also entered into an Inter Group Agreement which sets out the decisions taken by the Parent (City Council) and those taken by the Board.

### 5.2.3 In order to achieve its objectives WCH works with the City Council to increase the provision of affordable housing and other related activities which assist in the delivery of the City Council's strategic housing objectives. These activities have changed over the years in line with the City Council's housing policies and are currently

- Negotiate the acquisition of lessee interests in the regeneration areas
- Provision of additional Intermediate rented units
- Provision of out of borough units for temporary accommodation and discharge of duty

### 5.2.4 In 2008 WCH entered into a Nomination Agreement with the City Council through which the City Council has 100% nomination rights in perpetuity to WCH units. As at the end of January 2017 WCH stock stood at 432 units.

## 5.3 Governance

### a. Shareholding

WCH is a 'not for profit' body, where the shareholders' derive no financial benefit and their rights are significantly less than in ordinary companies. Under CCBS rules the minimum number of shareholders is three.

The three current shareholders of WCH are:

- Westminster City Council (WCC)
- James Green (WCC employee and WCH Board Member)
- Ben Denton (Independent Chair)

James Green shareholding is held in trust for the City Council.

b. The Board

The key influence and future direction of the company is provided through the Board. The full Board comprises:

- 4 Westminster City Council nominees;
- 2 WCH Resident representatives and 1 independent Chair.

5.4 In the future, as a result of the changes proposed in this report all three shares in WCH will be held by the Council and all nominations to the board of WCH will be by the City Council.

5.5. Financial review

5.5.1 The Board is responsible for preparing the financial statements in accordance with applicable law and United Kingdom Generally Accepted Accounting Practice.

5.5.2 The Board is responsible for keeping proper accounting records which disclose with reasonable accuracy at any time the financial position of the association.

5.5.3 The Board is also responsible for safeguarding the assets of the company and for taking reasonable steps for the prevention and detection of fraud and other irregularities. External Auditors are appointed each year to carry out the annual audit and assist in the preparation of the annual report.

5.6 Operational matters

5.6.1 WCH outsources most of its service delivery with CityWest Homes providing the majority of these services including Management and Maintenance, Company Secretariat and Accountancy. There are 5 WCH staff including 2 Negotiators who work solely on the acquisition of lessee interests in the regeneration areas.

**6. Legislative changes - WCH Board's view**

6.1 At the WCH Board meeting on 18<sup>th</sup> January 2018 this matter was considered. Devonshire's (WCH Solicitors) attended to provide support to the advice they had already provided. The Board Members were reminded that they must make their decision on which option to recommend to the WCH Shareholders based purely on what is best for WCH.

6.2 After detailed consideration the Board agreed that in light of the City Council's stated intention to continue to support WCH as one of the vehicles for delivery of housing supply that it was minded to recommend to the WCH shareholders that

they approve the move to WCH becoming wholly owned. It is anticipated that this decision will be formally approved at the next WCH Board meeting on 27<sup>th</sup> February 2018.

## **7. Financial Implications**

- 7.1 There are currently 3 shareholdings in WCH, two of which are controlled by Westminster City Council. Each share has a nominal value of £1. The recommendations in this report will result in WCH becoming a wholly owned (100%) subsidiary of the Council with all 3 shares will be held by the Council. There is no cost to the Council in transferring the third share
- 7.2 WCH, being a Registered Provider and charity, currently benefits from certain tax exemptions. This includes relief from Stamp Duty Liability Tax and exemption from Corporation Tax. Changes leading to WCH being wholly controlled by Westminster will not affect these tax exemptions as WCH will continue to be a not for profit registered provider and a charity.
- 7.3 While WCH is not currently wholly controlled by the Council, it is an entity that falls within the group boundary of the Council on the grounds of control and significant influence in line with the Code of Practice on Local Authority Accounting in the United Kingdom.
- 7.4 Under this proposal, WCH will become a wholly owned subsidiary and would need to be fully consolidated into any group financial statements prepared by the Council. If the holding were to reduce to 24% or less then the entity would be treated as an associate with simpler, reduced disclosure but significantly reduced control over decisions made by the board.
- 7.5 At the end of period 9 financial reporting (December 2017), WCH had fixed assets including homes and properties under development valued at £109m, with current assets of £3.36m including cash of £2.4m.
- 7.6 In the same period, WCH had current liabilities £14m including £12.8m of deferred income and grants. Long term liabilities are £86.1m. Long term liabilities include £10.2m in loans provided from the council's general fund. Remaining long term liabilities are made up of deferred grants primarily made up of grants provided through the Council's Affordable Housing Fund, and grants made available from the GLA.
- 7.7 WCH has funding agreements with the City Council covering both loans and grants provided through the Council's Affordable Housing Fund (AHF). These agreements include repayment terms for loans provided by the Council. Triggers requiring the repayment of any AHF not used by WCH for affordable housing purposes will be unchanged where WCH becomes a wholly owned subsidiary of the Council.

## **8. Legal Implications**

- 8.1 External legal advice was commissioned from Womble Bond Dickinson for the purposes of this report. Legal advisers supported the recommendations of this report. The advice outlined the principle that charities as a matter of law should be independent from state control and as such WCH's Board members and shareholders owe a fiduciary duty to the charity to act in its best interests. Such duty exists now and will continue to exist regardless of the outcome of this report for as long as WCH remains a charity. The City Council and WCH will review the existing agreements between the parties to ensure that any relevant changes are made pursuant to the recommendations of this report.
- 8.2 External legal advice identified the requirement to consult with the HCA and the FCA on the proposed changes to the governance of WCH. The consultation will take place once the process is approved by WCH.
- 8.3 In order to protect its interests in dealings with WCH, the City Council can continue to suggest various contractually based safeguards such as retention of exclusive nomination rights, options and rights of first refusal on disposals, etc. Any deals between the parties will be negotiated at arm's length and will only be made if in both parties' interests.

## **9. Staffing Implications**

- 9.1 Staffing arrangements at WCH will remain unchanged should it become wholly controlled by Westminster. Staff there will continue to be employees of WCH and not the council.

## **10. Consultation**

- 10.1 The City Council has consulted closely with WCH on these potential changes and the options have been fully discussed. Joint meetings have been held which informed WCH Board deliberations at their meeting on 18<sup>th</sup> January. A further WCH Board meeting has been set up for late February to make a final recommendation to the shareholders in light of the outcome of this report.

**If you have any queries about this Report or wish to inspect any of the Background Papers please contact: Fergus Coleman, Head of Affordable Housing and Strategy: 7641 2129, [fc Coleman@westminster.gov.uk](mailto:fc Coleman@westminster.gov.uk)**

## **BACKGROUND PAPERS**

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City of Westminster

## Cabinet Member Report

**Meeting or Decision Maker:** Cabinet

**Date:** 19<sup>th</sup> February 2018

**Classification:** General Release

**Title:** Safeguarding Adults Executive Board Annual Report 2016-2017

**Wards Affected:** All

**Key Decision:** For information only

**Report of:** Bernie Flaherty  
Bi-borough Executive Director, Adult Social Care and Health

**Financial Summary:** Annual contributions from SAEB members to support the function of the board include:

Mayor's Office for Policing and Crime  
£15,000.00 (£5,000.00 per borough)

CCG Collaborative £60,000.00 (£20,000 per borough)

London Fire Brigade £1,500.00 (£500.00 per borough)

### 1. Executive Summary

1.1 This is the fourth Annual Report of the Safeguarding Adult Executive Board (SAEB). The multi-agency Board provides leadership of adult safeguarding across the London Borough of Hammersmith & Fulham; the Royal Borough of Kensington and Chelsea; and the City of Westminster.

### 2. Recommendations

2.1 It is recommended that the report is noted and strategy and the emerging themes informing its current work endorsed.

3. **Reasons for Decision** No decision to be made

#### **4. Background, including Policy Context**

- 4.1 This is the second year that the SAEB has operated under Schedule 2 of the Care Act 2014, and overseeing the statutory duties of conducting Safeguarding Adult Enquiries (Section 42) and Safeguarding Adults Reviews (Section 44).
- 4.2 The report seeks to show how member agencies of the SAEB provide assurance to the SAEB for the ways in which its three strategic priorities (Making Safeguarding Personal; Creating Safe and Healthy Communities; and Leading, listening and Learning) are being promoted within their organisation.
- 4.3 The report also seeks to demonstrate how the learning from safeguarding enquiries and reviews conducted during the year lead, to changes that benefit the safety, health, and wellbeing of local residents, in all three boroughs. This is particularly where the learning shows there is room for agencies to work more effectively together to prevent abuse or neglect

#### **5. Financial Implications**

None

#### **6. Legal Implications**

- 6.1 The Care Act 2014 says the Board must publish a report of what it has done during the year to achieve its objectives, including findings of the reviews arranged by it under Section 44 of the Act.

#### **7. Staffing Implications**

None

#### **8. Consultation**

None

**If you have any queries about this Report or wish to inspect any of the Background Papers please contact:**

**Trish McMahon, Business Manager, Safeguarding Adults Executive Board, 07827 954 601, [Patricia.McMahon@rbkc.gov.uk](mailto:Patricia.McMahon@rbkc.gov.uk)**

#### **BACKGROUND PAPERS:**

<https://officesharedservice.sharepoint.com/sites/intranet/ASC/professafeguarding/Intranet%20Documents/Safeguarding%20Adults%20Executive%20Board%20-%20Annual%20Report%202016-17.pdf?csf=1&e=2b2282d74dac4935b53d1376b0cc1190>

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# **SAFEGUARDING ADULTS EXECUTIVE BOARD ANNUAL REPORT 2016/17**

**mistreated?  
bullied?  
hit?  
neglected?  
hurt?  
exploited?  
silenced?**

**COURAGE  
COMPASSION  
ACCOUNTABILITY**

---

# **SAFEGUARDING ADULTS EXECUTIVE BOARD ANNUAL REPORT 2016/17**

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# FOREWORD

I am pleased to present the fourth annual report of the Safeguarding Adults Executive Board for Westminster, Kensington and Chelsea, and Hammersmith & Fulham. This report explains the role, functions, and purpose of Safeguarding Adults Boards as they are prescribed by the Care Act 2014. It lists the organisations that are represented on the Board, as well as other groups and agencies who contribute to the Board's work-streams. Everyone, both jointly and independently, works to ensure the safety of those adult residents who are deemed to be most at risk of harm, through the actions of other people, and from self-neglect.

The report contains examples of this collaborative work. The highlight of this collaboration was the hoarding and self-neglect event in March 2017 that had over 180 applicants for 110 places! The report includes a hoarding case study as an example of all the considerations required to ensure that the final outcome meets the needs of the person concerned, whilst removing the risk of harm to others. The Board also considered the response to the harm caused to homeless people who take the drug, Spice. Whilst instigated by the Police, this work actively involved mental health practitioners, housing officers and workers from a number of voluntary organisations.

The Board embraces the concept of Making Safeguarding Personal - 'no decision about me without me'. The case studies show the application of this principle to the lives of four people, demonstrating the difference that safeguarding interventions have made to their lives. Whilst the emphasis of the report is about people, there are statistics about the safeguarding journey. These show the number of concerns, and enquiries resulting in some form of action. To provide context, the data shows the size of the eligible adult population living in the three boroughs, together with those adults who have care and support needs.

In my foreword last year, I mentioned that a major initiative for 2016 was to focus on the mental and emotional harm caused by financial abuse or 'scams'. I believe that we have made significant progress in the past year. The head of Trading Standards is now the Co-Chair of one of the Board's work-streams and by developing links with the Community Champions network, local people have been trained to become SCAMampions or Friends Against Scams. Community Champions are also trained, and play a vital role in spotting adult abuse and neglect, and domestic abuse. The Champions are helping people to understand what help may be available to them. We are also learning from them about how to work sensitively with people who may be reluctant to engage with statutory services.



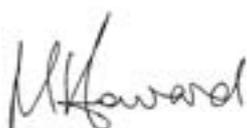
Last year, I also mentioned a high-profile case involving a death at a care home that led to the commissioning of a Safeguarding Adult Review in September 2015. Various delays involving the inquest and staff changes have prevented a full account being published in this year's report. However, a learning event focussing on the range of quality care home provision for dementia sufferers is scheduled to take place in late November. The quality and variety of care for people with Dementia will be one of the Board's themes for 2017/18.

Work will also continue on addressing the challenges posed to staff who work with people who hoard or neglect themselves, and also on increasing practitioners' confidence in applying the Mental Capacity Act 2005 to decision-making. Other themes are to ensure that all organisations work together to improve the physical health outcomes of people with mental health problems and learning disabilities; and finally, scrutinising the discharge pathways from hospital to residential or nursing care, or paid care at home to make sure people are not at risk of dying when they return home.

Whilst the annual report covers the year ending 31st March 2017, it would be remiss of me not to mention the Grenfell Tower fire. Many of the Board's member organisations were involved in the initial response to this tragedy. They continue to provide help, support, and counselling to people affected by the large-scale loss of life. At the July Board meeting, representatives reflected upon their experiences and it was agreed that the Board's role should be a supportive one to the various committees and working groups that have co-ordinated the response to the fire. This approach has been agreed with the Local Safeguarding Children's Board.

One of the key strengths of the Board is the range and the seniority of its members. I am gratified by the willingness of members to find time to attend Board meetings and chair the Board's work-streams. This diversity of experience and knowledge ensures that adult safeguarding is seen as not just the responsibility of the local authorities, but as everyone's responsibility.

Thank you to everyone for your contribution to the work of the Board over the past year.



**Mike Howard**

Independent Chair of the Safeguarding Adults Executive Board

# WHAT IS THE SAFEGUARDING ADULTS EXECUTIVE BOARD?

## The Care Act 2014 says that Local Authorities must have a Safeguarding Adults Board from 1st April 2015.

The Safeguarding Adults Executive Board has provided leadership of adult safeguarding across the London Borough of Hammersmith & Fulham, the Royal Borough of Kensington and Chelsea, and the City of Westminster since 2013.

The Board is a partnership of organisations working together to promote the right to live in safety, free from abuse or neglect. It's purpose is to both prevent abuse and neglect, and where someone experiences abuse or neglect, to respond in a way that supports their choices and promotes their well-being.

The Board believes that adult safeguarding takes **COURAGE** to acknowledge that abuse or neglect is occurring and to overcome our natural reluctance to face the consequences for all concerned of shining a light on it.

The Board promotes **COMPASSION** in our dealings with people who have experienced abuse and neglect, and in our dealings with one another, especially when we make mistakes. The Board promotes a culture of learning rather than blame.

At the same time, as members of the Board, we are clear that we are **ACCOUNTABLE** to each other, and to the people we serve in the three boroughs.

### The Care Act says key members of the Board must be the Local Authority; the Clinical Commissioning Groups; and the Chief Officer of Police.

The three key members on the Safeguarding Adults Executive Board are:

- The Director of Integrated Care Adult Social Care and Health
- The Deputy Director of Quality, Nursing and Safeguarding, Central Westminster Hammersmith Hillingdon and Ealing Clinical Commissioning Groups Commissioning Collaborative
- the Borough Commander of the Metropolitan Police in the Royal Borough of Kensington and Chelsea

### The Care Act says these key members must appoint a chairperson who has the required skills and experience

Mike Howard is the Independent Chair of the Safeguarding Adults Executive Board. He has over ten years experience of chairing children and adult safeguarding boards

### The Care Act 2014 states that the Board can appoint other members it considers appropriate with the right skills and experience.

There are senior representatives on the Board, from the following organisations:

- Imperial College Healthcare NHS Trust
- Chelsea and Westminster Hospital Foundation NHS Trust
- The Royal Marsden NHS Foundation Trust
- Central London Community Healthcare Trust
- Central North West London NHS Foundation Trust
- West London Mental Health Trust
- London Ambulance Service
- Central West London London Fire Brigade
- London Probation Service
- Children's Services
- Local Councillors
- Community Safety
- Housing (Local Authority)
- Genesis Housing
- Trading Standards
- Public Health Community Champions Programme
- HM Prison, Wormwood Scrubs
- Royal Brompton and Harefield NHS Foundation Trust
- Healthwatch
- Adult Social Care
- NHS England

Board members are the senior 'go to' person in each of these organisations with responsibility for adult safeguarding. They bring their organisation's adult safeguarding issues to the attention of the Board, promote the Board's priorities, and disseminate lessons learned throughout their organisation.

The Board can use its statutory authority also to assist members in addressing barriers to effective safeguarding that may exist in their organisation, and between organisations.

An even wider group of people, including voluntary sector organisations; housing and homelessness agencies; advocacy and carers' groups; and members of the public all contribute to the Boards four work-streams:

- Community Engagement
- Developing Best Practice
- Measuring Effectiveness
- Safeguarding Adults Case Review

The Board meets four times a year and the work-streams meet more regularly.

The Board recognises that the challenging and complex work of preventing and responding to abuse and neglect is carried out by hard-working staff on the front line of all these organisations, every day of every year.

### **The Care Act 2014 says members may make payments for purposes connected with the Board.**

Most of the funding for the Board comes from the Local Authorities and the Clinical Commissioning Groups.

For the second year running, the Mayor's Office for Policing and Crime has contributed £5,000 per borough to support the work of the Board.

### **SAFEGUARDING is our number one priority**



Safeguarding training has been delivered to all staff in the Metropolitan Police Service. Being actively engaged in the Safeguarding Adult Executive Board and training staff is our number one priority. Metropolitan Police Officers now have a far greater awareness of vulnerability. We have introduced daily 'Pacesetter' meetings to review local risks and vulnerability across a range of situations. Safeguarding has changed the focus of police work from traditional crime fighting to a whole range of meetings and joint work with partners to ensure public safety.

*The Borough Commander of Kensington and Chelsea*

Also for the second year running, The London Fire Brigade have contributed £1,000 per borough, to be shared between the Safeguarding Adults Board and the Local Safeguarding Children Board.

The Board is using these contributions to fund the independent Chair and a Board Business Manager and administrator, to further improve its effectiveness and efficiency.

### **The Care Act says members may provide staff, goods, services, accommodation or other resources for purposes connected with the Board.**

All member organisations free up staff with the right skills and experience to contribute to meetings and objectives of the four work-streams. Attendance is good and members are committed and work hard to progress the Board's priorities, and safeguard adults at risk of abuse and neglect.

Member organisations have provided venues for Board and work-stream meetings.

### Protecting the lives of vulnerable people

Despite the London Fire Brigade's non-statutory status on local safeguarding adult boards, to demonstrate its commitment, the Brigade has made a £1,000 voluntary contribution to the Safeguarding Adult Board in all London boroughs.

Each borough is required to sign a Memorandum of Understanding agreeing:

- to improve the lives of vulnerable persons within the borough by making appropriate safeguarding referrals when a concern is raised by the Brigade in carrying out its fire safety function;
- to agree to consider arranging and holding case conferences on particular cases when a Brigade representative requests following a fatal fire; and
- agreeing to make referrals of vulnerable persons to the Brigade to carry out Home Fire Safety Visits.

Extract from the London Fire Brigade Safeguarding Adults at Risk Audit Tool 2016-2017

#### **All fatal fires are reviewed at the Safeguarding Adults Case Review Group.**

**In 2016/17 509 referrals were made from the three boroughs to the London Fire Brigade to carry out Home Fire Safety visits.**

**In response to the learning from Reviews, the Fire Brigade co-hosted the Board Conference on Self-neglect and Hoarding in March 2017 and introduced delegates to the 'clutter rating'. They also demonstrated a range products such as sprinklers, smoke alarms, and fire retardant furnishings.**

### **The Care Act included new categories of abuse, including domestic abuse and self-neglect.**

The Board has representatives from the Children Services and Community Safety, and has joint-working protocols with the Violence Against Women and Girls Board and the Local Safeguarding Children Board. This is to make sure that work is joined-up where this is needed, and all the safeguarding requirements of the Care Act are discharged effectively across the three boroughs, making best use of scarce resources and avoiding duplication.

### Tackling Domestic Abuse and Coercive Control

The Violence Against Women and Girls Board is committed to making the three boroughs safer for women and girls by preventing harm, reducing risk and increasing immediate and long-term safety for people living, studying, working and travelling to all three boroughs.

Through its coordinated community response, the Violence Against Women and Girl Partnership ensures that all relevant organisations, partners,

communities and residents work together and see it as everyone's responsibility to address violence against women and girls by identifying and supporting survivors and their children, and holding perpetrators accountable.

The Partnership prioritises on-going communication, prevention and awareness-raising activities, creating a menu of options for survivors and their children and continuing to strengthen the coordinated community response.

The success of the Partnership's work is evident through the range of referrals to the Angelou Partnership and to the Multi-Agency-Risk Assessment Conferences; and with joint working with the Metropolitan Central Police to address trafficking for sexual exploitation and prostitution.

"I am in contact with a group.... and they are literally saving my life. I just needed help with all the practical stuff that I don't have a clue about what to do.

But they do.....And if they don't know it, they will actually find it out for you....I really just need someone in one place, in one go. If you have children, you can't just run around. It's just impossible. If you're trying to work and you're trying to take care of your children, and do everything yourself, you just really need one person to call."

*Extract from Shared Services Violence Against Women and Girls (VAWG) Strategy 2015-2018*

**The Care Act says the Board must review cases where a person with care and support needs has died, or experienced serious abuse or neglect, and there is cause for concern about how agencies worked together to safeguard the person.**

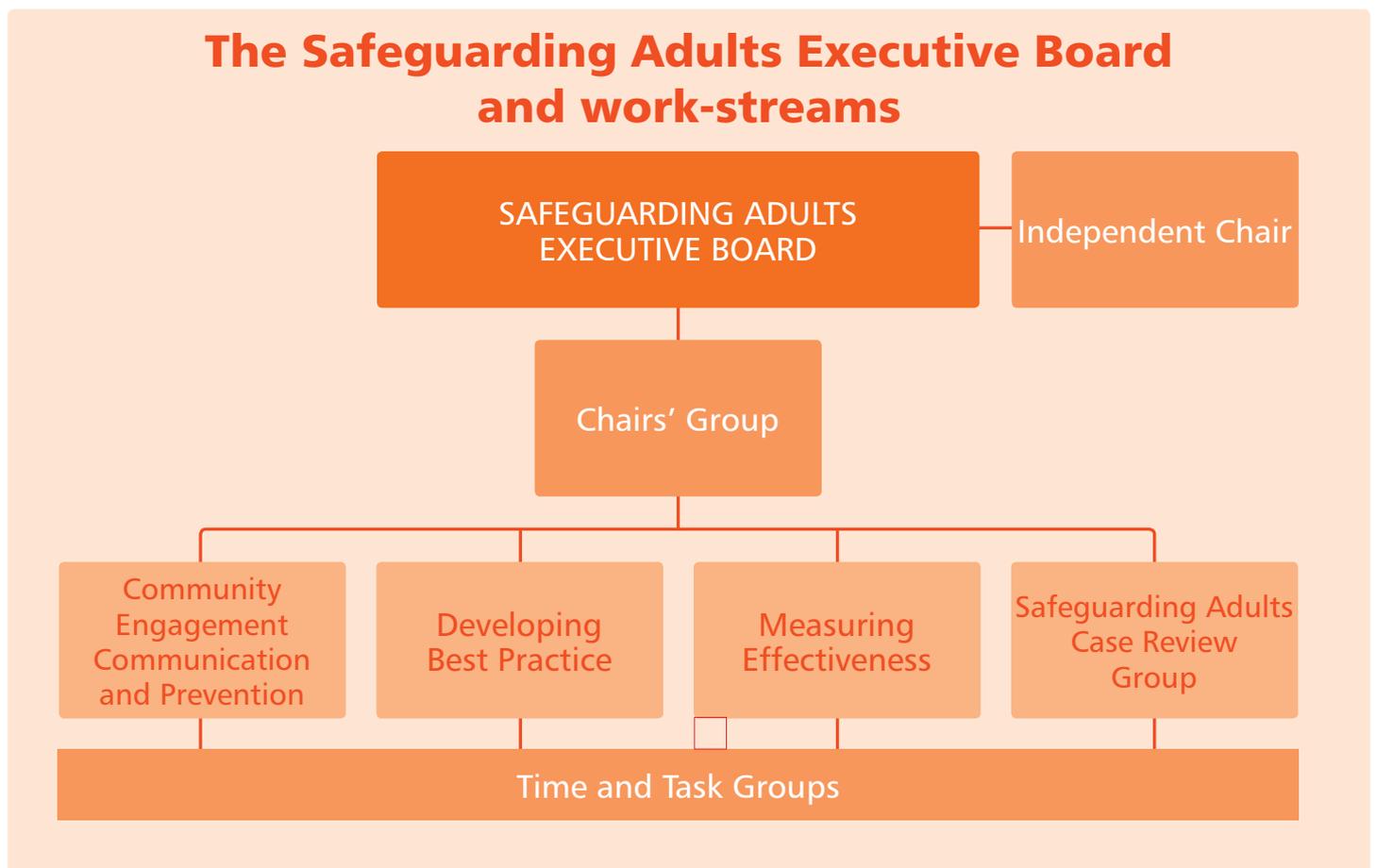
This is the second year that the Board has carried out its duty to undertake Safeguarding Adults Reviews.

The Safeguarding Adults Case Review Group is made up of representatives of member organisations of the Board. The group recommends to the Chair of the Board the type of review that will provide a proportionate response to the concern, and the opportunity for most learning. This report includes some of the learning from these reviews and some of the changes that have been made to systems and practices as a result of what has been learnt.

What we have learned from Safeguarding Adults Reviews and Safeguarding Enquiries inform the themes that the Board works to address during the year.

**The Care Act says the Board must publish a report of what it has done during that year to achieve its objectives, including findings of the reviews arranged by it under Section 44 of the Act.**

This is the Annual Report of the Safeguarding Adults Executive Board. It is an account of what the Board has been doing in 2016/17 and examples of how its work has made a difference to people's lives.



# ADULT SAFEGUARDING STRATEGY 2015-19

**The Care Act says the Board must publish its strategic plan and what members of the Board are doing to implement that plan.**

In November 2015, we consulted with people living in the three boroughs, and with organisations working with people who have care and support needs, to develop the Board's four year plan.

From what people told us was important to them, we created the Adult Safeguarding Strategy 2015-2019 'house' below.

People said they do not want to be seen as victims, and said how important it is to be in control of the decisions they make about their life, even when they have experienced abuse or neglect.

Residents said they want to be healthy and safe. They want to know what to do when they themselves, or someone they know, is being neglected or abused, and they want to be listened to.

We said that we want to be leaders who listen and learn from what people are telling us.

This has led the Board to focus all its work this year around these three main themes:

- Making Safeguarding Personal
- Creating a Safe and Healthy Community
- Leading, Listening, and Learning

**The things that people told us are most important to them at the consultation event on 24th November 2015 continue to shape the Board's priorities**

## **Making Safeguarding Personal**

I am able to make choices about my well-being

### **Creating a safe and healthy community**

I am aware of what abuse looks like  
and feel listened to when it is reported

I am kept up-to-date and  
know what is happening

My choices are important

My recovery is important

You are willing to work with me

### **Leading, Listening and Learning**

We are open to new ideas

We are a partnership of listeners

We give people a voice

We hold each other to account

We want to learn from you

# WHAT HAS THE BOARD BEEN DOING?

## MAKING SAFEGUARDING PERSONAL

### YOU SAID:

I want to feel empowered to make choices about my own well-being. My choices are important.

### WHAT WE DID:

Through staff training we are promoting the Care Act principle that each of us is the expert in our own life, and this applies equally when we are making choices about our health and well-being, and when we have experienced harm or abuse.

Staff in our organisations are being trained to always ask people who have experienced abuse or neglect, or where appropriate their representative, 'What is important to you?' and 'What would you like to happen next?' This is what is meant by **Making Safeguarding Personal**.

We are now recording whether or not each person has achieved what they hoped to achieve, as a result of safeguarding work.

### Remaining in control

Adult Social Care have revised how safeguarding information is recorded in its Customer Information System, making sure that the person who has experienced neglect or abuse remains as much in control as possible of what happens next. Staff are prompted to ask what the person wants as an outcome of the safeguarding enquiry, and at the end of the enquiry, if this has been met.

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*Adult Social Care*

### 'No decision about me, without me'

Emphasis is now placed on the approach to making safeguarding a personalised experience following the principle of 'no decision about me without me' and means that the adult, their families and carers are working together with agencies to find the right solutions to keep people safe and support them in making informed choices.

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*London Fire and Emergency Planning Authority*

## **MAKING SAFEGUARDING PERSONAL**

### **'Purple Pathway' for patients with a learning disability**



In the last year, considerable activity has taken place to improve the care provided to patients with a learning disability. We have introduced the 'purple pathway' to ensure that patients are recognised as having a learning disability and appropriate adjustments are made for their care; for example being given earlier and longer out-patient appointments. Patients attending A&E will be taken to a specifically designed cubicle that is quiet and nicely furnished. They will also be 'fast tracked' through the department. We have been designated a 'Makaton-Friendly' organisation, and have developed a comprehensive suite of easy read documents.

---

*Imperial Hospital NHS Trust*

### **Championing the wishes of vulnerable people**



The Trust is rising to the challenge of seeking recording and championing the wishes and feelings of vulnerable people. It now has a Nurse-led Adult Safeguarding service in all three Boroughs, providing advice, support and safeguarding training and supervision to Trust staff.

In March 2017, recruitment was undertaken for additional Safeguarding Adult Advisor Posts. This has increased Adult Safeguarding resources and expertise, providing support to staff in responding appropriately to vulnerability in abusive situations, ensuring the safety and well-being of both children and adults.

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*Central London Community Healthcare Trust*

### **Changing hoarding behaviour and reducing isolation**



Our aim is to empower persons experiencing hoarding behaviours to achieve spatial and personal change to reduce isolation and improve their health and well-being. We are a multi-service organisation, helping thousands of people each year through our National Helpline with support groups, information, one-to-one support. We also run a National Training Programme for professionals and organisations. We were pleased to be invited to be part of the Board's Self-Neglect and Hoarding Conference in March 2016.

---

*Hoarding UK*

### **Embedding Making Safeguarding Personal**



During this reporting year the Trust has continued its commitment to raising awareness of safeguarding and related issues. This has been achieved through the provision of a range of training opportunities around safeguarding adults, the mental capacity act, deprivation of liberty safeguards, prevent, learning disabilities, dementia awareness and domestic violence and abuse. This has contributed to ensuring that as a Trust we embed the principle of making safeguarding personal and no decision about me without me.

---

*The Royal Marsden NHS Foundation Trust*

CREATING A SAFE AND HEALTHY COMMUNITY

Self-neglect and hoarding

# The Clutter Image Rating (CIR)

## Clutter Image Rating: Living Room

Please select the photo below that most accurately reflects the amount of clutter in your room.



### CREATING A SAFE AND HEALTHY COMMUNITY

Prompted by themes emerging from safeguarding enquiries and reviews, the Board held a **Hoarding and Self Neglect Conference on 2nd March 2017**.

Approaches to hoarding have often involved short-term crisis responses with little recognition of the individual support that each person affected needs.

The response to the event exceeded all expectations. Over 180 people applied for 110 places.

The Conference explored how partners need to work together to reduce the risk to the person who is hoarding or self-neglecting, and to reduce the risk to other people. The Conference also wanted to help delegates to think about why people hoard.

Conference speakers included:

- a person with lived experience of Hoarding
- a representative from Hoarding UK
- an Environmental Health officer
- a member of the London Fire Brigade
- a psychiatrist from an NHS Trust

Delegates watched a powerful video of 'Keith's Story': a man who had been helped to understand why he collected things, and how he was helped to stop.

The Conference promoted the Hoarding Protocol and documents for referring concerns to the Hoarding Panels, including 'clutter rating' and risk assessments. Underpinning this was a shared understanding of the importance of working with partners to share, manage and reduce the risks. The key partners are:

- The person who is hoarding
- Adult Social Care
- Mental Health
- Fire Brigade
- Environmental Health
- Housing

A partner who is increasingly valued, is Hoarding UK who work sensitively with the person to understand why they feel the need to collect things. This is a personalised approach to tackling Hoarding and Self-Neglect which has been shown to result in longer-term reductions in clutter, and happier outcomes for the person themselves

There may be other interested parties who can help such as family, friends and private landlords.

#### Learning from other Boards Safeguarding Adults Reviews



Conference delegates considered the case of Mr Thomas who was known to Reading Adult Social Care as a 'hoarder'.

Social Care started working with Mr Thomas in July 2012 but his case was transferred between various teams. This lack of continuity, coupled with Mr Thomas's distrust and unwillingness to engage with any service meant that up until his death in June 2015, there had been little meaningful progress in properly safeguarding Mr Thomas.

This case involved a number of different organisations; Adult Social Care, the Police, Mental Health, Care Agencies and the Risk Enablement Panel.

To maximise the learning, delegates were divided into groups and each was assigned a role in Mr Thomas' case and then asked to consider what they did and why. More importantly, what would they have done differently and what lessons can be applied for inter-agency co-operation when dealing with people in similar circumstances living in the three boroughs?

*The Independent Chair of the Safeguarding Adults Executive Board*

## CREATING A SAFE AND HEALTHY COMMUNITY

### Financial Abuse and Scams



Community Champions becoming 'SCAMchampions'

**“ I have a huge passion for helping the community, so becoming a Community Champion and then having the support of the project and the resources to really do something has been overwhelming. I love the way it has allowed me to improve things for local people ”**

### CREATING A SAFE AND HEALTHY COMMUNITY

The growing concerns of 'scamming' and financial abuse of older people, has led the Board to put a renewed emphasis on tackling **financial abuse** together.

On 16th September 2016, the Board held a very successful **Community Engagement** event.

This event updated delegates on how they helped to shape the safeguarding strategy and the 'house'. The event was attended by 56 people, including members of housing, advocacy, voluntary organisations, and local residents.

The focus of the event was 'building safe communities' and the crucial role played by Community Champions.

During 2016/17 Community Champion co-ordinators have been trained to deliver Adult Safeguarding awareness training to 300 Community Champions .

Two Champions talked to delegates about their personal experiences of working with their neighbours to keep their community safe and healthy.

#### SCAMchampions

Community Champions also talked about their work as SCAMchampions. They help raise awareness of scams and notify the authorities of potential scams. This increases the number of people who can be reached and helped to protect themselves against this very personal type of theft and fraud.

The Board receives regular reports on the joint work being done to tackle financial abuse and scams. This work is led and informed by the expertise and practical help offered by the Trading Standards team, to the Community Champions as well as to residents and colleagues in a wide range of organisations.

#### Why do scams matter?



Elderly victims are **2.4 times more likely** to die or go into a care home than those who are not scammed.

The average victim loses about **£1,000** to scams but some have lost their homes, their life savings and many thousands of pounds.

Victims don't report being scammed because of shame or intimidation. It is estimated that only **5%** of scams are reported.

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*Trading Standards*

#### Homelessness, hostels and Spice

The Safeguarding Adults Case Review Group have reviewed a number of deaths related to people who are homeless, or living in hostels, some of whom use substances or may have mental health needs, or both. These reviews have led to better joint work between the police, hostels, mental health and substance use services.

During the year, the police became seriously concerned by the growing number of vulnerable adults suffering serious harm due to taking a drug commonly known as 'Spice'.

Spice is highly addictive and in one weekend last autumn there were nine overdoses, causing major issues for statutory services.

At the Board meeting in October 2016, the Police assisted by housing and voluntary services working with this group of people, gave a presentation on impact of Spice on mental and physical health of homeless people and hostel dwellers.

## CREATING A SAFE AND HEALTHY COMMUNITY

### YOU SAID:

I want to be aware of what abuse looks like and feel listened to when it is reported.

### WHAT WE DID:

The safeguarding information leaflets 'Say NO to abuse' have been up-dated and a new leaflet, 'Keeping safe from abuse and neglect: what happens after you report abuse' has been published this year.

Both of these and other information and advice about safeguarding adults are available on the **People First website**. Printed copies are also available on request.

### Joined up action by agencies represented on the Board



Westminster Police arrested 18 dealers selling to vulnerable people. One individual dealer who purported to be homeless had a four-bedroom house in Havering and was clearly preying on people living in hostels and on the streets. The Police have successfully obtained a conviction awaiting sentence for Possession with Intent to Supply a Psychoactive Substance.

Through Operation Kaskara, a neighbourhood operation to reduce Anti-Social Behaviour and violence associated with Spice, the Police are supporting community behaviour orders to ban long term dealers from the 'hot spot' areas.

They have also been running outreach events with partners in the worst affected area and distributing support information and engaging the users with NHS and support workers.

The drug usage appears to be concentrated around the West End and Victoria area and work continues to identify 'hot spots'. Forty outreach staff go out daily and work closely with the Police and Substance Misuse Service.

There is a close relationship with eight commissioned providers who undertake regular training programmes.

### Message in a bottle

#### WHAT IS IT?

The scheme is a simple idea designed to encourage people to keep their personal and medical details on a standard form and in a common location - the fridge.

#### HOW DOES IT WORK?

In the event of a sudden accident or illness while at home, the first emergency service on the scene will be alerted to the bottle by the labels on the inside of your front door and the outside of the fridge door.

#### WHO WILL BENEFIT?

Paramedics

Police

Fire fighters

Older people

People not in good health

People living alone

People with critical conditions/allergies

People with disabilities

#### WHERE DO I OBTAIN THE BOTTLE FROM?

Your local pharmacy

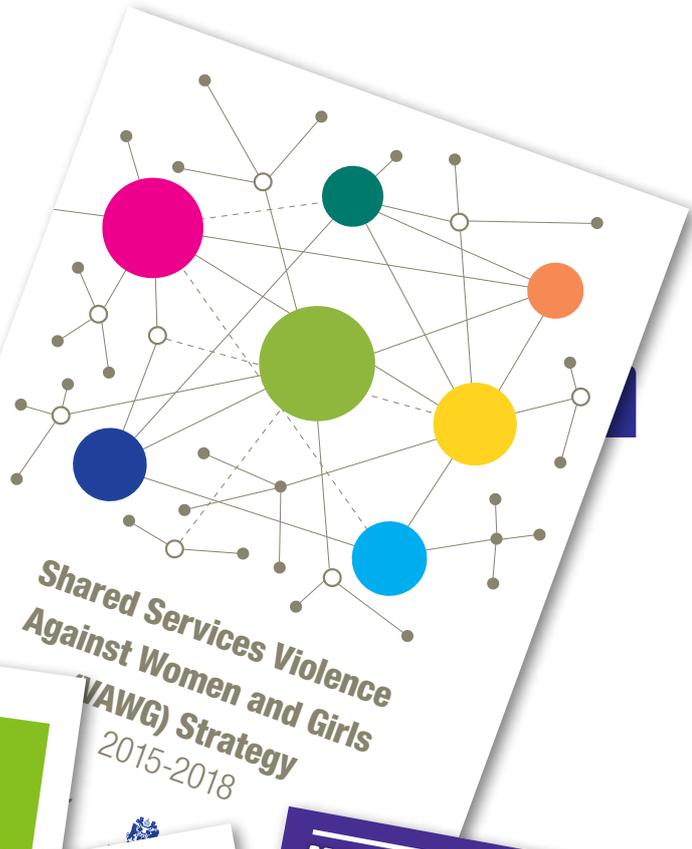
Your GP practice

#### WHO CAN HELP TO COMPLETE THE FORM?

Family, friends, carers, Social Services and the voluntary sector can help you to complete the form. For further advice please contact your GP practice or local pharmacy.



CREATING A SAFE AND HEALTHY COMMUNITY



Imperial College Healthcare NHS Trust

### Learning disability training

2 x half day course for student nurses

- Session 1
  - Learning disability awareness
  - Identification and assessment of learning disabilities
  - Communication in learning disability care and support
- Session 2
  - Person centred care and support for people with learning disabilities
  - Equality, diversity and inclusion in learning disability care and support
  - Healthcare for people with learning disabilities

Three small illustrations: a person sitting in a purple chair, a person in a blue shirt talking on a mobile phone, and a person in a green shirt sitting at a table with another person.

Say **NO** to abuse.  
Safeguarding adults from abuse

Keeping safe from abuse and neglect  
What happens after you report

An illustration showing a group of people. One person is holding a sign that says 'NO!'. Another person is speaking into a microphone. A speech bubble above them says 'NO!'.

Shared Services Violence Against Women and Girls (VAWG) Strategy 2015-2018

### HOARDING AND SELF-NEGLECT CONFERENCE

A multi-agency approach to supporting adults with hoarding and self-neglect behaviours

**2 MARCH 2017**

9AM - 1PM  
SMALL HALL, KENSINGTON TOWN HALL  
HORNTON STREET, LONDON W8 7NX

Join us at Kensington Town Hall, W8 7NX, for this invitation-only event. Listen to speakers from different agencies offering their insights and experience. Participate in workshops and discussions on best practice models, and hear practical ideas. Light refreshments provided.

The event is free but you do need to reserve a space by emailing [karen.thorpe@nhs.uk](mailto:karen.thorpe@nhs.uk) by 27 February 2017.

### The Carer's Charter

At Imperial College Healthcare NHS Trust we understand the importance of carers involvement in our patients' lives. We want to work in partnership with carers to deliver the best possible patient experience.

- We will:
- Provide you with an information booklet and carer's passport
  - Involve you in the patient's care planning and treatment
  - Listen to you as an expert with in depth knowledge of the patient's needs and desires
  - Work collaboratively with you
  - Include you in multi-disciplinary team plans
  - Be kind and supportive of your role
- You will:
- Show the patient's hospital passport with the Trust
  - Wear your carer's passport whilst at hospital
  - Agree with staff the best times for you to visit
  - Leave the ward if requested to do so
- Together we will:
- Aspire to deliver the best possible care for our most vulnerable patients

**SAFER RECRUITMENT PRINCIPLES AND GUIDANCE**

**COURAGE**

**COMPASSION**

**ACCOUNTABILITY**

Developed by the Three Boroughs Safeguarding Adults Executive Board

Central and North West London NHS Foundation Trust

### Keeping safe

Sexual safety information for patients and carers

West London Mental Health NHS Trust

### Keeping yourself safe from abuse and neglect

Wellbeing for life

Promoting hope and wellbeing together

## LEADING, LISTENING AND LEARNING

### Learning from Safeguarding Adult Reviews

This year the Board has worked on what safeguarding enquiries and Safeguarding Adult Reviews are telling us needs to change and improve.

Enquiries and Reviews give the Board concrete examples of where we are working well together to prevent abuse and neglect, and where systems or staff practice need to be strengthened and improved.

#### A Learning Culture

The Trust responds very robustly to lessons from enquiries, both internal and external. A major piece of work in the Trust has been developing a Sexual Safety Guidance document and service user and carer leaflet, accompanied by professional boundaries training for staff. This came out of a commissioned external report into a serious incident at one of our mental health in-patient sites.

*West London Mental Health Trust*

A key lesson learnt from this year's Safeguarding Adult Reviews is the increasingly important part general practitioners play in safeguarding people from abuse and neglect. This has led to focused work by the Clinical Commissioning Groups, and supported by NHS England, and the Royal College of General Practitioners, to train and support GPs to carry out their safeguarding responsibilities.

In 2016-17 11 cases were accepted by the Safeguarding Adults Case Review Group as meeting the Section 44 Safeguarding Adults Review criteria. A list of the emerging themes from the Reviews is attached as APPENDIX 1.

#### General Practitioners are key

The Clinical Commissioning Groups are working closely with general practitioners to develop a set of Quality Standards for Primary Care, including safeguarding indicators. Each GP practice has a safeguarding link person to ensure information and updates are cascaded effectively.

NHS England jointly delivered with The Royal College of GPs, a safeguarding event in London early in 2017. This event was a success with demand outstripping supply. The programme included the Learning Disability Mortality Review, the Mental Capacity Act 2005, and Self-Neglect.

The Royal College of GPs also rolled out a tool kit which GPs can use as part of their day-to-day practice.

Safeguarding training take-up is monitored quarterly by the GP Federations, in line with the NHS Standard Contract. Where practices are below target, GP Federations are supporting practices to access statutory training and improve performance.

Public Health funded 'Standing Together' to deliver Domestic Abuse training to Primary Care staff in their local surgeries. Sessions are underway to develop Domestic Abuse champions within Primary Care practices.

*Clinical Commissioning Groups  
Commissioning Collaborative*

### LEADING, LISTENING AND LEARNING

These are some of the changes that have happened as a direct result of these Reviews:

- A Joint Health and Social Care Dementia Programme Board is developing the range and variety of provision for people with dementia.
- The police, hostels, homelessness, and substance use services are working together to tackle Spice, and loss of life through substance use.
- A road show on Domestic Abuse and Adult Safeguarding is being developed for roll out to front-line staff.
- The Self-neglect and Hoarding Conference raised delegates awareness of the steps they can take to reduce the risk of fatal fires, and work better with people who are wary of statutory services.
- A high level conference in November 2017 will review how far the learning from the Safeguarding Adults Review in 2015 has changed things for the better with regard to Dementia Care.
- The Board asked members to review their arrangements for applying the Mental Capacity Act 2005 to decision-making. The self-audit showed that member agencies have designated staff, including Mental Capacity Act Champions, who are helping front-line staff to feel more confident in assessing capacity and best interest decision-making.
- The Board is seeking assurances from members that discharge from hospital is safe, particularly for people who have no family, or friends, and also during holiday periods when there may be staff shortages in care and support services.

#### **YOU SAID:**

**I want to be listened to and for you to be willing to work with me.**

#### **WE SAID:**

**We are a partnership of listeners. We want to learn from you and we are open to new ideas.**

# HOW WE KNOW WE ARE MAKING A DIFFERENCE

Here are four examples of how the work of the Safeguarding Adults Executive Board is making a difference to residents.

## BETTER PHYSICAL HEALTHCARE FOR MENTAL HEALTH PATIENTS

### Mr Williams\*

Mr Williams' community care team were concerned about his mental and physical health. His care worker asked Mr Williams about his physical health, but he did not want to talk to him about it. Mr Williams said his physical health needs were a matter for his GP alone. The care worker shared his concerns with Mr Williams GP, who also found it difficult to get Mr Williams to keep appointments and accept his help and advice.

Mr Williams' poor mental health was affecting his physical health and he was recalled to hospital under the community treatment order. On admission, it was noted his foot appeared infected and swollen. He was immediately taken to A&E for emergency treatment resulting in him having an amputation above the knee.

A safeguarding concern was raised for Mr Williams and enquiries made as to whether or not his physical health had been neglected. His situation was also considered by the Safeguarding Adults Case Review Group.

The learning from the safeguarding enquiry and review prompted the Trust to look for extra resources to ensure all staff are competent and confident in addressing the physical health care needs of patients with poor mental health.

In November 2016, the Trust recruited a Nurse Consultant in Physical Healthcare. They rolled out a training programme in January 2017 which concentrated on inpatient staff. A diabetes procedure was introduced and 90% of current inpatient staff have been trained on the management of diabetes and diabetes emergencies. This includes an escalation process when patients refuse essential medication including insulin and diabetic medication. The Trust has also introduced a 'physical healthcare portal' on the electronic patient data base.

Mr Williams is doing well both mentally and physically and has strengthened his links with family and friends.

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*West London Mental Health Trust*

\* Not his real name.

## **SAFEGUARDING PEOPLE DEPRIVED OF THEIR LIBERTY**

### **Mr Smith\***

In 2016, Mr Smith, a bachelor originally from Ireland who had lost touch with his family, was found confused and wandering in the streets by the police. He was admitted to hospital and diagnosed with dementia. He was also visually impaired and had a range of other medical conditions, including hypertension. Mr Smith was treated in hospital and found to be medically fit for discharge, but was still wandering around the ward and appeared confused. It was felt that further assessments were needed, so he was placed in residential care for the time being.

While in residential care, Mr Smith was very unhappy and attempted to end his life. He felt locked in as he was not able to go out when he wanted to. He said he felt "like a dog kept in a home." The care home applied for a Deprivation of Liberty Safeguards (DOLS) authorisation as he was clearly always supervised by staff, and not permitted to leave.

Mr Smith was assessed as not having capacity because he was not able to understand information about the care and treatment he needed to be safe and well.

Mr Smith was entitled to have someone representing him, and because he did not have friends and family, an Independent Mental Capacity Advocate was appointed to help him make decisions, or to ensure that all decisions made about him were in his best interest. This included whether or not Mr Smith should stay in the care home.

Mr Smith often found it difficult to find words to express himself and found it difficult to stay on topic, but having an advocate helped him to make his wishes known. Mr Smith's care plan now includes regular outings, with staff support.

### **A good outcome**

Mr Smith was able to tell his advocate that he no longer feels trapped: he goes out regularly with a member of staff, mainly to the shops and to have a coffee. He has also been reunited with his sister and is enjoying getting to know her better through telephoning and Skype. Recently, Mr Smith told his advocate: "Maybe in the future, I may go to Ireland to see her one day."

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*Deprivation of Liberty Safeguards Service*

\* Not his real name.

## DECLUTTERING AND REMOVING RISK

### Mr Sayed\*

Mr Sayed likes reading and has a large collection of CDs and sheet music. He gets very attached to his possessions and has difficulty managing the build-up of his belongings safely. He says that he keeps them as they could be of use later. Mr Sayed is also very keen on re-cycling and says that he will re-cycle things at a later stage.

Mr Sayed has been hoarding for many years. In the past, his flat had been completely cleared without his involvement. This caused him great anxiety and resulted in him being very distrustful of professionals who were trying to help him.

When we started to work with Mr Sayed, his flat was 9 ++ on the Clutter Image Rating scale, which is the highest level and indicated a very high risk to himself and to the other people who lived in his block of flats. He was adamant that he could clear his flat himself and initially refused practical help. By using a multi-agency approach and involving him in the clearance process, he eventually accepted the help he needed.

Through the use of the Self Neglect and Hoarding process, Mr Sayed has been supported both practically and emotionally to clear his accommodation, making it safe and habitable. He is also no longer in breach of his tenancy. Mr Sayed was helped throughout by a social worker from Adult Social Care; City West Homes, Residential Services; the London Fire Brigade; and a specialist hoarding agency called Clouds End.

After a full risk assessment, an injunction was eventually taken to clear the flat. It was agreed that the clearance of Mr Sayed's flat would be co-ordinated by Clouds End as he had established a trusting relationship with them. Unlike the previous clearance, Mr Sayed was fully involved in the process, and care was taken not to remove all of his books and CDs.

A major clearance was eventually completed and his hoard has been reduced from a level 9 on the clutter index scale to a level 3. There is no further risk to himself and his neighbours.

Mr Sayed continues to have weekly hour-long visits from Clouds End to help him maintain a safe and comfortable home.

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*Adult Social Care*

\* Not his real name.

## **ESCAPING DOMESTIC ABUSE**

### **Mrs George\***

Mrs George suffers from chronic depression as a result of her home life. She was a prisoner in her own home.

For almost 15 years she was regularly abused, living in a flat with her husband, his family, and their 6 children, all aged under 14. During a safeguarding enquiry, she disclosed years of physical and sexual violence by her husband, including rape in front of her young children. Her movements were tightly controlled by her husband's family, and she was only ever allowed out of the flat to take her children to and from school. She was made to do all of the cooking and cleaning. The family kept her documents locked away so she had no access to them, and she was not allowed any money of her own. She did not know if benefits were being claimed in her name. She was completely isolated, and this was compounded further by the fact that she spoke no English.

Working together, the Trust Safeguarding Manager, the local authority safeguarding lead, a Safeguarding Adults Manager, The Police and Children's Services, managed to help Mrs George to leave the flat with her four youngest children. They have been housed outside London in an

area her husband is unlikely to find them. Children's Services are supporting her to maintain contact with her two oldest children, who, at the time, wanted to stay with their father. There was a risk that they might have disclosed their location to their father, if they had left with their mother.

Events unfolded quickly. Mrs George left nine days after concerns were first raised. There was uncertainty about whether her move could be achieved safely. There were concerns throughout that her husband and his family would realise something was going on and this might put her at risk of serious harm.

### **A good outcome**

Mrs George and her younger children are doing as well as might be expected. She is still afraid that her husband may discover where she is and seriously harm her. She continues to receive help from mental health services for herself, and children's services for her children. She has not regretted her decision to flee from her husband and the violence he inflicted on her.

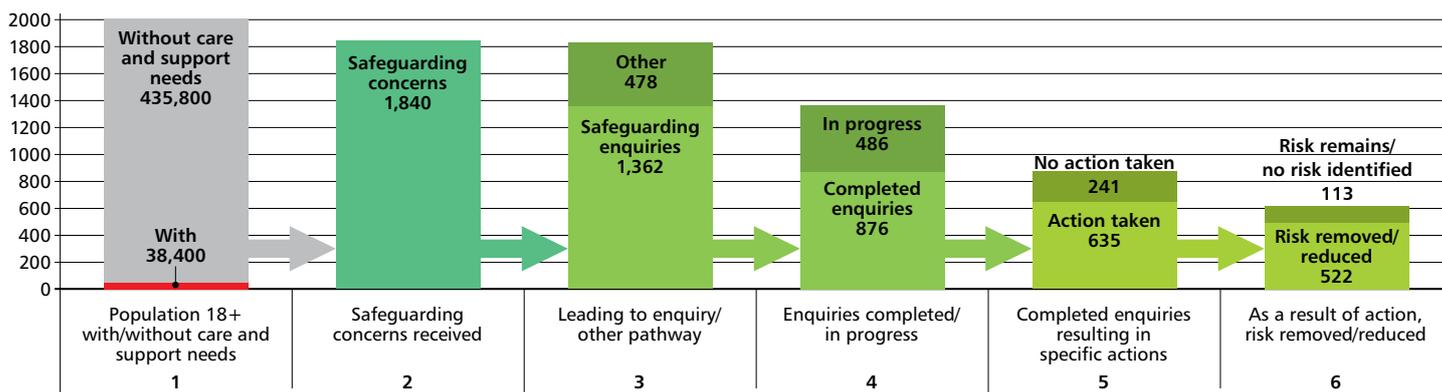
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*Central North West London NHS Trust*

\* Not her real name.

# WHAT ARE THE NUMBERS TELLING US?

**Chart 1**  
The safeguarding journey, from raising of safeguarding concern to outcome of safeguarding enquiry, 2016/17\*



## Raising of safeguarding concerns

- Safeguarding focuses on those who have needs for care and support. In national surveys about 8% of adults aged 18+ say that they are unable to manage at least one self-care activity, such as washing or dressing, on their own. If we use this measure as a proxy measure of need for care and support and apply this percentage to combined population of the three boroughs (about 474,200), we can say that at any one time across the three boroughs there are about 38,000 people who have care and support needs. This is nearly three-and-a-half times the number of adults who received on-going support from social services in 2016-17 (11,230).
- In 2016-17 the three boroughs received a total of 1,840 concerns about cases of potential or actual harm or abuse. This is equivalent to about four concerns for every 1,000 adults in the general population, or 48 for every 1,000 adults with care and support needs, or 164 for every 1,000 adults receiving on-going social care
- The majority of concerns (about 80%) were raised by health or social care staff; the remainder were raised mainly by relatives, friends or neighbours, housing agencies, and the police.

## Resulting safeguarding enquiry process

- In 2016-17 adult social care made significant changes to the way they respond to safeguarding concerns and the way they record safeguarding information. This was to streamline procedures and ensure they met the requirements of the 2014 Care Act. As a result it is not possible to make comparisons with previous years.
- With this qualification nearly three-quarters (1,362) of the concerns received were assessed as requiring follow-up under safeguarding procedures.
- This is because the people involved were assessed as:
  - (a) experiencing, or being at risk of, harm or abuse; and / or
  - (b) having care and support needs which prevented them from protecting themselves.
- These concerns became the subject of a safeguarding enquiry to establish what the person wanted to happen in relation to the risk and what needed to be done to achieve this
- Those concerns (478) not followed up as safeguarding enquiries were followed up in other ways, notably referral to trading standards offices, domestic abuse support agencies, the police or the customer services team.

## Outcome of enquiry process

- Safeguarding enquiries can take varying lengths of time to complete, depending on the issues and organisations involved. At 31 March 2017 nearly two-thirds (876) of the enquiries that had been started since 1 April 2016 had been completed. The remainder were still in progress.
- Of the safeguarding enquiries which were completed in 2016-17, the majority (635, or about 73%) resulted in specific actions being taken in relation to the risk, such as disciplinary action or removing staff from the situation
- The remaining cases (241) had not resulted in specific actions for a number of reasons, for example because the inquiry had found the risk to be unfounded, or because the adult did not wish any action to be taken
- Where specific actions had been taken, in the great majority of cases (522, or 82%) the risk of harm or abuse was judged by the social worker to have been removed or reduced as a result. In the remaining cases (113) the risk was judged to have remained, for example where the inquiry involved a family member and the adult was accepting of the risk, or no risk was identified.

\* Information on safeguarding activity in local authority areas is published annually by NHS Digital and is available at: <https://digital.nhs.uk/catalogue/PUB21917>

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# WHAT THE BOARD WILL BE WORKING ON IN 2017/18

## EMERGING THEMES AND BOARD PRIORITIES

### Variety and Quality of Care Provision

Improving the range of health and care provision for people with different types of dementia.

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### Hoarding and Self Neglect

Working together to win the trust of people with capacity to make their own decisions and are reluctant to accept care from statutory services, with the result that their health and care needs are not being met.

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### Mental Capacity Act 2005

Increasing staff confidence with application of the Mental Capacity Act 2005; 'no decision about me, without me'.

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### Physical Health

Improving the physical health of people with mental health needs and learning disabilities.

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### Safe Discharge from Hospital

Looking at people's experiences of discharge from hospital to be sure that they are safe.

# GLOSSARY OF TERMS

## **Safeguarding**

Safeguarding means protecting our right to live in safety, free from abuse and neglect. It is about people and organisations working together to prevent and reduce the risk of abuse and neglect. When people have experienced abuse or neglect, safeguarding is about taking actions that are informed by the person's views, wishes, feelings and beliefs.

## **Making Safeguarding Personal**

Making Safeguarding Personal starts with the principle that we are experts in our own life. Things other than safety may be as, or more, important to us; for example, our relationship with our family, or our decisions about how we manage our money. So, our staff are being encouraged to always ask 'What is important to you?' and 'What would you like to happen next?'

## **An Outcome**

An Outcome is what you hope to get out of the conversations we have, and the work we do with you. Measuring outcomes helps the Board to answer the question "what difference did we make?" rather than "what did we do?"

## **Deprivation of Liberty Safeguards (DoLS)**

Deprivation of Liberty Safeguards is when a person in a care, or nursing home, or hospital, is subject to continuous supervision and control from staff, and is not free to leave, under the Supreme Court judgement known as 'Cheshire West', they are deprived of their liberty. Once identified, a deprivation of liberty must be authorised either by the Court of Protection order; or under the Deprivation of Liberty Safeguards in the Mental Capacity Act 2005; or under the Mental Health Act 1983. If it is not authorised, under the law, it is an illegal detention.

## **SPICE**

SPICE is a generic term used to describe a substance which typically contains synthetic cannabinoids. The term synthetic cannabinoid is used to describe a whole raft of compounds which affect the cannabinoid receptors in the human body. Synthetic cannabinoids cause similar side effects to skunk, but these effects are multiplied and can last up to six hours. They are commonly sold in professional looking plastic bags with many different brands names.

## **Makaton**

Makaton is a language programme using signs and symbols to help people to communicate. It is designed to support spoken language and the signs and symbols are used with speech, in spoken word order. With Makaton, children and adults can communicate straight away using signs and symbols.

## **Self-neglect**

Self-neglect covers a wide range of behaviour including neglecting to care for one's personal hygiene, health, or surroundings, and behaviour such as hoarding. The term itself can be a barrier as some people do not identify with this term or description of their situation. It is important that practitioners find common ground and understand the person's own description of their lifestyle rather than making assumptions about how it can be defined.

## **Hoarding**

Hoarding behaviour was previously seen as a symptom of Obsessive Compulsive Disorder but it has now received a separate clinical definition of 'hoarding disorder' and is defined as: 'A psychiatric disorder characterised by persistent difficulty discarding or parting with possessions, regardless of their actual value resulting in significant clutter that obstructs the person's living environment and produces considerable functional impairment.' (Greater Manchester Fire and Rescue Service: Hoarding, Prevention, and Protection)

## **Clutter Image Rating**

Clutter Image Rating a series of pictures of rooms in various stages of clutter – from completely clutter-free to very severely cluttered. People can just pick out the picture in each sequence comes closest to the clutter in their own living room, kitchen, and bedroom. When clutter reaches the level of picture number four, or higher it begins to impact on people's lives and we would encourage the person to get help for their hoarding problem.

# APPENDIX

## Cases Accepted for Safeguarding Adults Review in 2016-17: emerging themes and changes made

|   | Date case to SACRG | Emerging themes from Safeguarding Adults Reviews   |
|---|--------------------|--|
| 1 | 6 May 2016         | This person did not die but the case raised the issue of police resources used to find a missing person. The Police submitted a breakdown of the cost to the police of missing persons and the value of joint work, such as closer work between hostels, mental health in-patient provision, and the police to reduce the incidence of people going missing. The SAEB made working with people in hostels, homelessness, and substance use (primarily SPICE) a priority this year, to reduce both the risk of loss of life, and policing costs.  |
| 2 | 6 May 2016         | This was a complex situation of domestic abuse between two people, both with care and support needs, but able to make their own decisions. There is on-going risk of serious harm, and many agencies are involved. Although this case did not meet the criteria for a Review, two members of the SACRG used reflective practice, based on the SCIE Learning Together model, to help all practitioners involved to work together more effectively to manage the on-going risks.   |
| 3 | 22 July 2016       | Fatal fires are reported to the SACRG. This death raised the continuing need to raise staff awareness of fire risks. The SACRG agreed that the Fire Brigade will alert social services in the event of an adult at risk declines a fire safety check on more than three occasions. A Fire Brigade alert now triggers a referral to the Self Neglect and Hoarding panel. A Hoarding and Self Neglect conference for staff was held on 02/03/2017. Delegates were reminded of the Fire Brigade offer of staff training, and assessment of fire risks in a person's home; and installation of fire alarms, sprinklers and fire retardant fabrics, to reduce risk and prevent serious harm or death. |
| 4 | 10 July 2015       | The death of this man was reviewed using information gathered in the Safeguarding enquiry. The review illustrated the need to be diligent in recording and sharing each person's information, especially when there are changes to key workers brought about by re-organisations, or change of contractors.  |
| 5 | 7 October 2016     | The person in question did not die, but the review illustrated the increased risk to good decision-making when staff are working within tight financial constraints, and also experiencing major re-organisation of their working life. It illustrated the need for careful assessment of a person's needs, prior to placement in a care or nursing home. It also led to the development of a protocol for clarifying decision-making about health and social care funding.  |

|    | Date case to SACRG | Emerging themes from Safeguarding Adults Reviews   |
|----|--------------------|--|
| 6  | 7 October 2016     | The key learning from this death is the need for organisations to provide culturally appropriate support to staff going through the disciplinary procedures, particularly when a disciplinary is as a response to a safeguarding incident or enquiry, and so involves loss of reputation.  |
| 7  | 10 March 2017      | This person did not die, but was very close to death. The safeguarding enquiry confirmed that too much weight given to European Court of Human Rights Article 8: The Right to Family Life, balanced against the ability of the family to properly care for the person. It identified the need for robust, multi-agency risk assessment; and risk and case management. It illustrated that not all staff are confident in application of the Mental Capacity Act 2005 when decision-making.   |
| 8  | 10 March 2017      | This death has caused the Board to consider very carefully, and to challenge senior officers in member agencies, as to whether or not the learning from the formal Review, held between September and December 2015, has had any impact on decision-making around placing robust, active, and sometimes violent people with Dementia, to live alongside physically frail older people, also with Dementia. The Board has commissioned a high-level reflective practice session for senior officers to consider the matter further. |
| 9  | 10 March 2017      | The review of three people who died after being discharged from different hospitals over the Christmas and New Year holiday period has led the Board to gain assurances about safe discharge from hospital, particularly of people who may be have no family and be un-befriended, and during holiday periods when staff shortages in community services may occur.  |
| 10 | 31 March 2017      | This review illustrated the value of working with a person's family at the time of the incident and death. The family were appreciative of the work done with their family member and the Trust's enquiries into the circumstances of the person's death.  |
| 11 | 31 March 2017      | Two cases illustrated the absence of clarity between agencies about responding to a 'no reply'. The Board has commissioned a 'task and finish' group to work together and develop a multi-agency (social services, the police, mental health and home care providers) simple but effective response to ensuring a person is safe.  |









City of Westminster

## Cabinet

|   |   |
|---|---|
| <b>Date:</b>                              | <b>19 February 2018</b>   |
| <b>Classification:</b>                    | <b>General Release</b>  |
| <b>Title:</b>                             | <b>Local Safeguarding Children's Board Annual Report 2016-2017</b>  |
| <b>Report of:</b>                         | <b>Jenny Pearce – Local Safeguarding Children Board Independent Chair</b>   |
| <b>Cabinet Member Portfolio</b>           | <b>Children and Young People</b>  |
| <b>Wards Involved:</b>                    | <b>All</b>  |
| <b>Report Author and Contact Details:</b> | <b>Emma Biskupski 0208 753 3759<br/><u><a href="mailto:Emma.Biskupski@lbhf.gov.uk">Emma.Biskupski@lbhf.gov.uk</a></u></b> |

### **1. Executive Summary**

- 1.1 The independent chair of the Local Safeguarding Children Board (LSCB) is required (through Working Together to Safeguard Children 2015) to publish an annual report on the effectiveness of child safeguarding and promoting the welfare of children in the local area. The report is attached.
- 1.2 The Annual Report for the Local Safeguarding Children Board (LSCB) 2016/17 has been reviewed by the Policy and Scrutiny Committee on 5 February 2018. The publication of such a report is a requirement of the LSCB following statutory guidance. The report includes key details about the demographics of local children, safeguarding responsibilities and activities of agencies which are represented on the LSCB, an overview of the LSCB priorities, activities; a review of the outcomes of Serious Case Reviews and learning that has resulted from these. The Cabinet is invited to note the report.

### **2. Recommendation**

- 2.1 That the report be noted.

### **3. Key Matters for Consideration**

- 3.1 As highlighted in the report, one of the key performance indicators show a positive story for Westminster City Council, with a reduction in the number of children subject to a child protection plan from last year. The numbers of

children in the care of the local authority has increased, however, this is largely due to the increase in unaccompanied asylum seeking children arriving in the Borough.

- 3.2 Westminster Partnership Group is well attended and good relationships are promoted between partners in this helpful forum. Partners share key information from their own agencies and the LSCB is able to cascade the results of its work, such as our multi-agency audits.
- 3.2 The LSCB held a successful and well attended Learning Event for the Southbank International School Serious Case Review (a Westminster independent school), to disseminate learning to schools in both the maintained and independent sector, as well as other agencies.
- 3.3 There is still some room for progress in how the LSCB engages with children and young people to seek their views, and our new LSCB chair is very keen to help us develop this further.
- 3.4 Cabinet may wish to note that in October 2017, the Department for Education published a consultation regarding the proposed changes to the statutory guidance 'Working Together to Safeguard Children', and the proposals include changes to Local Safeguarding Children Board multi-agency safeguarding arrangements.

It is proposed that in future, the key safeguarding partners (local authority, clinical commissioning group, chief officer of police) set out how they will work together and with any relevant agencies whose involvement they consider may be required to safeguard and promote the welfare of children in particular cases. Once agreed, the safeguarding partners must publish the arrangements.

The consultation also proposes some changes to Serious Case Reviews, being replaced with local and national child safeguarding practice reviews. The consultation also proposed some changes to the Child Death Overview Panel process.

The consultation ended on 31.12.17 and further details will be expected in early 2018.

The LSCB Independent Chair is co-ordinating potential future arrangements with key stakeholders.

4. **Financial Implications:** None.
5. **Legal Implications:** None

**If you have any queries about this Report or wish to inspect any of the Background Papers please contact: Emma Biskupski, 020 8753 3759**  
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# **ANNUAL REPORT**

## **2016 / 2017**

### **FOREWORD BY LSCB INDEPENDENT CHAIR**

It is a great honour and privilege to be able to introduce myself as the new Chair for the LSCB. I took up the post as from May 2017. I am thrilled to have been appointed into this role and very much look forward to progressing the important work described in the report, as well as supporting the work outlined under our new priorities for the future.

The work outlined in this report took place before my appointment and was led by the previous chair, Jean Daintith. The report provides an overview of the activities of the LSCB, including the programme of work developed in response to the latest successful OFSTED inspection. I convey enormous thanks to Jean Daintith for her excellent leadership of the board and for the comprehensive work achieved.

Shortly after my appointment, the tragic fire happened at Grenfell Tower. This meant that the following, immediate focus of the work of the board was placed on ensuring that partner agencies were supported in safeguarding all those affected. This, rightly, became the utmost and essential priority.

In addition to this ongoing work, the activities for 2017 to 2018 will focus on reviewing and consolidating the work of the LSCB sub-groups and on creating a programme of activities planned to address our two new main priorities: 'Domestic abuse and coercive control' and 'Peer on Peer abuse'. Following an assessment of all of our work, these two priorities were recognised as having significant impact on a number of children, their families and carers.

This prioritised programme of work will develop over the next two years, aiming to enhance partnership arrangements on service development, delivery and training. Alongside this, it is my specific aim to enhance the engagement of children and young people within all activities of the LSCB, supporting the process of accessing, listening and responding to the child and young person's voice in safeguarding matters.

A number of learning events and engagement activities will take place throughout the next two years to ensure that all ongoing work of the board is consultative and fully engages with all partners; is focused on the specific priorities as they are determined; will be flexible and open to new emerging issues and proprieties if and when they occur and will maintain an accountability to service users.

This next few years will present specific challenges as the new Children and Social Work Act (2017), including the recommendations of the Wood Review of Local Safeguarding Children Boards (2016) come into force.

I embrace the challenges presented by these new initiatives and look forward to working with the excellent colleagues within the three boroughs to ensuring that the safeguarding of children is maintained as of highest importance and priority.



Jenny Pearce  
**Jenny Pearce, Independent Chair**

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## **EXECUTIVE SUMMARY**

This report, as required of the Independent Chair through “Working Together to Safeguard Children 2015”, provides an overview of the effectiveness of child safeguarding and promoting the welfare of children in the areas of Hammersmith & Fulham, Kensington and Chelsea and Westminster in 2016/17. It includes a self-assessment of the performance and effectiveness of many of the local and regional agencies represented on the LSCB and identifies a number of areas where improvements are required. The report also summarises a number of reports that have been published following reviews of incidents where children have died or been seriously injured and where abuse or neglect is thought to have been involved. The learning that has resulted from such reviews and how these have been communicated to those who work with children is also included.

The Safeguarding Plan for 2016/17 is reviewed with an overview of where progress has been made as well as areas where further work or attention is required. The Report also provides an outline of the priorities of the LSCB for 2017/19.

## LOCAL BACKGROUND AND CONTEXT

The Local Safeguarding Children Board covers three inner London local authority areas. A total of 579,420 people live in the area, of which 110,240 or 18% are children aged 0-18<sup>1</sup>.

| <b>Local Population Profile*</b> ( <i>mid year 2015 population estimates</i> ) | <b>LBHF</b> | <b>RBKC</b> | <b>WCC</b> | <b>Total</b> |
|--|-------------|-------------|------------|--------------|
| All ages resident population   | 179,410     | 157,711     | 242,299    | 579,420      |
| 0 to 4 years   | 11,601      | 8,981       | 13,927     | 34,509       |
| 5 to 10 years  | 11,990      | 9,989       | 14,616     | 36,595       |
| 11 to under 19 years   | 12,154      | 10,683      | 16,299     | 39,136       |
| Total 0 to under 19 years  | 35,745      | 29,653      | 44,842     | 110,240      |

As with many boroughs in London, there are areas with high levels of affluence but also localities where there are significant levels of deprivation. The three boroughs' rates of child poverty after housing costs were (in 2014):

|                        |     |
|------------------------|-----|
| Hammersmith & Fulham   | 31% |
| Kensington and Chelsea | 28% |
| Westminster            | 39% |

These figures do not show the variations in levels of poverty within wards. For example, using the Her Majesty's Revenue and Customs (HMRC) measure of child poverty, the ward with the highest rate in London was Church Street in Westminster where 50% of children were classified as being in poverty<sup>2</sup>. 10 wards across the three boroughs have child poverty rates of over 40%.

As with many London boroughs, the three areas covered by the LSCB have highly diverse populations. The 2011 Census identified a BAME (black, Asian and minority ethnic) population of 188,969 people living in the area (58,271 in Hammersmith & Fulham, 46,632 in Kensington and Chelsea and 84,066 in Westminster).

The profile of the most vulnerable children in the LSCB area is summarised below.

| <b>Key performance indicators</b>  | <b>Hammersmith &amp; Fulham</b> | <b>Kensington and Chelsea</b> | <b>Westminster</b> | <b>Total</b> |
|--|---------------------------------|-------------------------------|--------------------|--------------|
| <b>Children subject to a child protection plan (at 31<sup>st</sup> March 2017)</b>   | 92                              | 67                            | 82                 | 241          |
| Children subject to a child protection plan (at 31 <sup>st</sup> March 2016)   | 105                             | 66                            | 89                 | 260          |
| <b>Comment:</b> At 31 <sup>st</sup> March 2017, all three boroughs had maintained the planned reductions in the number of child protection plans and numbers continue to be at their lowest for over four years. |                                 |                               |                    |              |

<sup>1</sup> ONS Mid-Year Estimates 2014

<sup>2</sup> End Child Poverty 2014

| Key performance indicators   | Hammersmith & Fulham | Kensington and Chelsea | Westminster | Total |
|--|----------------------|------------------------|-------------|-------|
| Children in the care of the local authority (at 31 <sup>st</sup> March 2017)   | 215                  | 81                     | 182         | 478   |
| Children in the care of the local authority (31 <sup>st</sup> March 2016)  | 198                  | 105                    | 166         | 469   |
| <b>Comment:</b> At the 31 <sup>st</sup> March 2017, the numbers of looked after children had increased in Hammersmith and Fulham and Westminster, whilst reducing in Kensington and Chelsea. These changes are in part linked to the increase in unaccompanied asylum seeking children arriving as the number of indigenous looked after children has remained relatively stable in both Hammersmith and Fulham and Westminster and reduced in Kensington and Chelsea. |                      |                        |             |       |

## THE EFFECTIVENESS OF LOCAL SERVICES

### London Borough of Hammersmith & Fulham

The Borough's Family Services directorate coordinates a range of services for vulnerable children including statutory social work for children and families and early help.

A number of services are provided by shared arrangements with the Royal Borough of Kensington and Chelsea and Westminster City Council. This includes specialist support for children involved in the criminal justice system delivered via the local Youth Offending Team which is managed by a single management team across three boroughs.

There is also a single Fostering and Adoption service which recruits, approves and supports foster carers, connected persons and adoptive parents who care for children from all three boroughs.

The borough's services for children in need of help and protection, children looked after and care leavers were inspected by Ofsted under its unannounced single inspection framework in January and February 2016.

This resulted in a "Good" judgement by Ofsted. The department has continued to develop the Focus on Practice project – using systemic methodology to strengthen interventions with families, supported by a clinical team of therapists; IDVAs provide support to the child protection teams regarding the highly prevalent issue of domestic violence.

In the coming year the department will be developing a pilot multi agency adolescent team to deal with the growing numbers of adolescents that are at risk.

### Royal Borough of Kensington and Chelsea

As is the case with Hammersmith & Fulham, the Royal Borough's Family Services directorate coordinates a range of services for vulnerable children including statutory social work for children and families and early help and also shares a number of specific services with the other two boroughs.

The Royal Borough of Kensington and Chelsea has also embedded clinicians as part of the focus on practice initiative, which is supported by the innovation fund administered by the Department of Education.

Following the unannounced single inspection framework in January and February 2016, which resulted in an overall "Outstanding" judgement by Ofsted, the Royal Borough of Kensington and Chelsea has responded to the four recommendations contained within the report. This has resulted in greater analysis of children who go missing, increased capacity

contained within the children's provision of the Emergency Duty Team, the creation of an independent advocate post for looked after children and ongoing monitoring of strategy meetings.

In addition, The Royal Borough of Kensington and Chelsea has reduced the transfer points for Care Leavers who now maintain the relationship that they have formed with their allocated social worker as they remain allocated to them throughout their care and leaving care journey.

### **Westminster City Council**

As is the case with Hammersmith & Fulham and Kensington and Chelsea, Westminster's Family Services directorate coordinates a range of services for vulnerable children including statutory social work for children and families and early help and also shares the same services. Westminster's services for children in need of help and protection, children looked after and care leavers were inspected by Ofsted under its unannounced single inspection framework in January and February 2016. This resulted in an "Outstanding" judgement by Ofsted, one of the first two authorities to have received this judgement to date. The inspection report included a sub-judgement of "Good" regarding the experience and progress of children needing help and protection. In response to the four recommendations made by Ofsted there has been regular audit and analysis of children who have gone missing, resulting in improved understanding of themes and reasons for children going missing which has strengthened practice. Practice in relation to children in need cases has been reviewed and a new approach is being used to ensure planning and intervention is purposeful and timely. Support for care leavers who are in custody has been strengthened through increased focus by management.

### **Metropolitan Police**

The current policing response to safeguarding concerns across the LSCB area is delivered via a combination of specialist units and local Borough based teams. In the future, it is likely that some specialist units such as the Child Abuse Investigation Teams and Sapphire units will be realigned and fall under local Borough policing building on the existing partnership arrangements. In line with the Police and Crime Plan 2017 priority of keeping children and young people safe, both MPS and local strategies have embedded safeguarding at the core of policing with an enhanced focus on achieving positive outcomes and prevention.

In December 2016, the HEMIC published the report detailing their inspection of the Metropolitan Police Service response to child protection which included a range of recommendations. Assistant Commissioner Martin Hewitt has been named as the single management board lead for safeguarding and is overseeing the MPS response to the report. The LSCB and partners have been briefed at regular intervals on the progress being made both at an organisational and local level in response to the recommendations. Within the LSCB area, officers have received additional training via their professional development days to enhance their safeguarding response to issues including missing children and child sexual exploitation. Performance and tasking forums have seen an increased focus on tackling vulnerability and safeguarding which includes reality testing to ensure the above mentioned training has positively impacted on service delivery.

Child Sexual Exploitation across the LSCB area continues to be subject to oversight via the police led Tri-Borough Multi Agency Sexual Exploitation Panel which is well supported by a range of crucial statutory partners. The work of the panel continues to build on the

outstanding feedback provided within the 2016 Ofsted inspection report and remains of model of excellence across London.

## **NHS England (NHSE)**

NHS England London region is responsible for ensuring that the commissioning system in London is working effectively to safeguard children and adults at risk of abuse or neglect. There are several Acts that govern the ways in which NHS England safeguard and help to ensure the wellbeing of children, young people and adults at risk of harm.

Over the past year, the London region Safeguarding Programme has delivered on several key pieces of work that reflect these commitments as listed in the Accountability and Assurance Framework. The Programme team has worked to ensure that safeguarding is continuously being embedded across the health care system. Especially as contemporary safeguarding trends come to light, we must have the leadership and direction, and also the flexibility to adapt to safeguarding changes across the region. Over the past year the team have worked to strengthen previous safeguarding work, while also adapting to regional trends and working with our Police, Social Care, Charity sector, and other colleagues, to ensure we are all working towards safeguarding together.

Key pieces of work that the programme has continued to strengthen across the region have included:

- Female Genital Mutilation (FGM)
- Child Sexual Abuse (CSA), including Child Sexual Exploitation (CSE)
- Prevent
- Mental Capacity Act (MCA)/Deprivation of Liberty Safeguards (DoLS)
- Looked After Children (LAC), including Unaccompanied Asylum Seeking Children (UASC)
- Child Protection Information System (CP-IS)

Emerging pieces of work that the team has commenced work on include:

- Modern slavery
- Human trafficking
- Domestic violence
- Breast ironing

While the Safeguarding Programme have specifically worked on several key projects as listed above, we have supported the Designated and Named Safeguarding leads across London. In addition, the programme team have consulted on strategic pan-London level policies/frameworks that will guide the future of safeguarding practices into the future.

## **Clinical Commissioning Groups (CCGs):**

### **Hammersmith and Fulham CCG; West London CCG and Central London CCG**

CCGs are statutory NHS membership organisations that bring together General Practices, in a specified locality; to commission NHS funded services for their registered populations and for the unregistered patients who live in their area.

As commissioners of local health services, CCGs must assure themselves that the organisations, from which they commission health services, have effective safeguarding arrangements in place.

Each CCG has a statutory requirement to be a partner member of the Local Safeguarding Children Boards (LSCB) and the Safeguarding Adults Board (SAB) to collaborate with overseeing the effectiveness of the multi-agency safeguarding work for the borough based (Local Authority) areas.

CCGs are responsible for securing the expertise of Designated Professionals to provide advice and support to commissioners and services on behalf of the local health system. These roles undertake a whole health economy role.

During 2016–17 the Designated Professionals played an integral role in all parts of the commissioning cycle, from procurement to quality assurance to ensure appropriate services were commissioned in a way that supports adults and children at risk of abuse or neglect, as well as effectively safeguard their well-being.

#### **The key achievements of the CCG during the reporting year:**

The three CCGs facilitated a workshop with the health partners of the LSCB to consider a local response to the options proposed in “Developing a Local Safeguarding Arrangement in the Context of the Alan Wood Review and the Government’s Response” and presented their response for how the LSCB might develop in the future.

The response acknowledged:

- The value of an independent chair. The role in their view provided a number of functions including independent scrutiny, challenge and support and the holding to account of partners. Following the retirement of the incumbent chair, a new independent chair has been recruited.
- One of the real strengths of the current arrangements is that it allows all of the health partners come together, in one place, as equal representatives.
- The current arrangement provides the CCGs with a level of system wide oversight across the partnership, providing a level of assurance. It suggested that any new arrangements included wider representation, from health partners, on the executive than just the CCG. The response also suggested a review of the current subgroup structure – to potentially include greater alignment with the adult safeguarding board and where advantageous the potential for linking subgroups across North West London.
- That future arrangements need to be outcomes focused and manageable within existing resources. Furthermore, will need to take account of the requirements such as Joint Targeted Area Inspections.
- The Designated Nurses have chaired the Safeguarding Children’s Health subgroup throughout the year.
- The Designated Nurses provided supervision and support to Named Professionals within NHS Provider organisations.
- The Designated Drs proposed to the Safeguarding Children’s Health Sub-group that the structure for Designated Drs should be changed in that the two posts should merge and that one post should be created across the three boroughs, this was supported by the CCGs and will be progressed in 2017-18.
- The Designated Nurse for Safeguarding Children and the Designated Nurses for Looked after Children (LAC) collaborated closely during the reporting period specifically in relation to the children and young people who arrived as Unaccompanied Asylum-Seeking Minors from Calais.

- The post of Designated Nurse for Looked after Children was reviewed across the three CCGs and this role will be brought in house during 2017-18 to provide assurance advice and support to the commissioners for service pertaining to LAC.
- The Named GPs held network meetings in each borough throughout the year to ensure GPs and primary care are updated about safeguarding processes and the requirements around supervision.

### **Imperial College Healthcare NHS Trust**

Imperial College Healthcare NHS Trust has a well-established children's and maternity safeguarding service which has now been added to by a Consultant Nurse for Safeguarding Children, Unborns and Young People.

This post was created as the Trust feels it is an important step forward as it is raising the profile and leadership within the team and across the Trust.

There remains a Named Doctor and Named Midwife as well as clinical nurse specialists, safeguarding lead midwives and administrators.

There remains safeguarding and domestic abuse link staff throughout the Trust including in maternity, children's services, the A&E departments and Urgent Care Centres.

There is a quarterly safeguarding children committee meeting that provides assurance around safeguarding practice. Strong links have been established and remain with organisations and charities, to provide joined up support in areas such as domestic violence (Standing Together) and youth gang violence and child sexual exploitation (Red Thread). Red Thread workers are based in the A&E department and sexual health clinic at St Mary's Hospitals.

Close working has also been developed with adult safeguarding services to ensure that children are protected in situations where there are adult safeguarding concerns.

An extensive programme of training and supervision has been established to ensure that staff are prepared and supported when dealing with safeguarding issues.

### **Chelsea and Westminster Hospital NHS Foundation Trust**

Within Chelsea & Westminster Hospital there is a full safeguarding children's team – liaison health visitor, named nurse, named midwife and named doctor, supported by an administration post. This year a Consultant Midwife with a responsibility for safeguarding also joined the team.

Quarterly Children's Safeguarding Boards are chaired by the Director of Nursing, and there is also an annual Joint Adult and Children's Safeguarding Board within the Trust. A social work team based within the hospital supports children's safeguarding. Child Protection medicals are undertaken within the hospital, and there is good attendance at case reviews by the safeguarding team along with the lead nurse for paediatrics.

The team has worked with the Designated Nurses and safeguarding leads within the three Local Authorities in a number of serious case reviews with learning shared across the organisation and with other agencies. The relationships developed through the LSCB enable the organisation to provide best practice, up to date safeguarding training, supervision, and care to children and families. Domestic abuse continues to be a theme within SCRs and training within this area has been a priority, led by our Domestic Abuse

lead. We are delighted to have an Independent Domestic Violence Advocate in post to offer support and advice to families and staff.

Child and Adolescent Mental Health Services (CAMHS) are an ongoing concern due to the lack of tier 4 beds (specialist in-patient care for children who are suffering from severe and/or complex mental health conditions), but senior staff within the hospital are working with the CCG, mental health providers and NHSE to bring about improvements for patients within this area. The Hospital does have dedicated rooms for young people with mental health issues which enable staff to provide safer care.

The Trust has seen an increase in compliance with all 3 levels of safeguarding children training and continues to strengthen the number of staff who have attended prevent training.

The Director of Nursing is a member of the LSCB and this is an essential partnership to enable sharing of learning, best practice, and support across agencies.

### **Central London Community Health Trust**

Central London Community Healthcare NHS Trust (CLCH) provides community services across nine London Boroughs and the county of Hertfordshire. CLCH is committed to working in partnership to support the wellbeing and safety of children and young people in Hammersmith and Fulham, Kensington and Chelsea and Westminster.

CLCH has a nurse-led Safeguarding Children Service in covering the three boroughs, providing advice, support, in-house safeguarding training and mandatory safeguarding supervision. The CLCH Safeguarding team is managed by the Head of Safeguarding who reports directly to the CLCH Chief Nurse and Director of Quality Governance) who reports to the CLCH Board, as the CLCH Executive Lead for Safeguarding. The CLCH Board receives an annual safeguarding report and a mid-year update to assure CLCH meetings its statutory duty under the Children Act 2004.

There are two Named Nurses for Safeguarding Children (NNSC), one covering Westminster, the other covering Kensington and Chelsea and both jointly covering Hammersmith and Fulham. The NNSC are supported by Safeguarding Children Advisors who support the delivery and development of the CLCH safeguarding service and to progress the LSCB work and priorities.

CLCH has participated in Board meetings, Section 11 audits, the LSCB multi-agency audit on domestic abuse and has contributed to serious case review action plans and the delivery of the Luton Child J Serious Case Review. CLCH has also achieved a minimum of 90% compliance for Level 1 and 2 Safeguarding Children training, and staff also attend WRAP Workshop to Raise Awareness of Prevent) training. CLCH has updated internal policies, including FGM, Domestic Abuse and Safeguarding Supervision, and continues to escalate concerns with partner agencies where there was a difference in professional decision making. CLCH continued its high uptake and evaluation of safeguarding supervision, achieving 95-100% compliance with safeguarding supervision targets. Challenges in the past year have included managing the impact of change within the NHS and partner agencies, as well as the acquisition and loss of services within CLCH itself.

CLCH will continue to support the work of the LSCB in preventing the harm and abuse of children, young people and families in Hammersmith and Fulham, Kensington and Chelsea and Westminster.

## **Central and North West London NHS Trust (CNWL)**

Compliance of safeguarding children training continues to improve and at the end of the financial year had reached 95%. Embedding this learning in practice has been supported by both the Internal Auditors who reported reasonable assurance that controls were in place. They noted an improved use of the internal safeguarding children helpline for staff, increased referrals to Children's Social Care and Early Help and audits of frontline staff demonstrated that staff have a good understanding of safeguarding.

The Trust has consistency of safeguarding children processes with a cohesive Named Nurse Team who now understand each other's portfolio of services and who to contact at an operational level regarding safeguarding queries.

Development work on SystemOne Read coded templates and questionnaires on safeguarding activities, including supervision, means that reports can be generated automatically without distracting staff from frontline work. In future this will allow benchmarking across teams/services.

### **Key Challenges:**

Despite considerable training on domestic abuse, coercive control and peer on peer abuse, routine enquiry across all services is not in place robustly, so this is a priority across adult and child safeguarding for the coming year. Communication regarding the revised Domestic Abuse Protocol will be used as one of a range of ways to promote this.

NHSE recommissioned Child Health Information Services starting in April 2017 to a new specification, but did not address risks that had been flagged to them prior to launching these. This has resulted in a delays of new birth notifications being received by the Health Visiting Teams and A& E notifications not being sent for over 6 year olds to School Nursing. Additional admin support and systems have been established to address the risks although this has not been funded so is an extra unexpected pressure on budgets and further work is taking place with NHSE to mitigate these concerns.

### **Priorities for CNWL Safeguarding Children in 2017/18:**

- Ensure preparation for the JTAI and on the specific theme being reviewed
- Revising LSCB membership and support following the Wood Review
- Improving the Trust awareness of Domestic Abuse, rolling out routine enquiry and looking at evidence based interventions to address the growing body of research that DA includes many types of abuse with respect to partner dynamics, context and consequences.
- Improving SystemOne support for safeguarding good practice

## **Probation**

The National Probation Service (NPS) continues to work with partners agencies across the three Boroughs. NPS chairs MAPPA and contributes to MARAC, MASH and MASE. All practitioner staff are trained to work with cases and are expected to update their skills and knowledge in 2017-18 by attending one course on child protection during the year.

Locally, we will be conducting an audit of all cases where there is known to be a child on a child protection plan to ensure that children are being effectively protected. There is continuing work between NPS Court teams and Local Authority safeguarding teams to ensure that necessary information around safeguarding children is available to sentencers where this is appropriate.

NPS has, and will, maintain its commitment to the Local Safeguarding Children Board in the coming year.

### **Community Rehabilitation Company (CRC)**

London's Community Rehabilitation Company (CRC) has seen a return to borough based offender management, alongside a re-structured and new senior management team.

The CRC has strengthened the lines of accountability resulting in increased management oversight for all cases with a child safeguarding concern. Monthly one-to-one meetings between Senior Probation Officers with Safeguarding as a fixed agenda item ensure oversight of all safeguarding cases. There are also monthly one-to-one meetings between Senior Probation Officers and Area Manager reporting on all safeguarding cases.

There is monthly monitoring of all child protection and child in need cases, alongside monthly monitoring of all referrals made to social services.

The CRC has increased auditing of all cases. This includes monthly audits across the business plus each Offender Manager having two cases audited by managers per month. There is also greater oversight from our Quality and Performance team to ensure no cases are unmanaged or not seen at appropriate intervals.

A new recording convention to ensure that all records are kept up to date in a timely fashion has been introduced. Safeguarding training is available for all staff and is a requirement for all staff that have not had training within the last two years.

Looking forward, a HMIP (HM Inspectorate of Prisons) Inspection is due place in October and November 2017. 150 cases will be inspected across the whole of London CRC, with five cases selected from Hammermith and Fulham to be inspected.

### **Children and Family Court Advisory and Support Service (Cafcass)**

Cafcass is a non-departmental public body, sponsored by the Ministry of Justice. It works in the family courts in circumstances where children have experienced or are at risk of experiencing abuse, neglect or trauma. Cafcass also work with families in circumstances where there is a dispute about where a child should live or with whom they should spend time, often following divorce or separation.

The role of Cafcass is to make recommendations to the court about the right courses of action for children and young people. Cafcass was inspected by Ofsted in 2014 and judged to be good with outstanding leadership and management. Since then Cafcass continues to prioritise safeguarding activity and internal audit reveals that the organisation is making good progress.

Cafcass's recent annual report detailed work with 125,230 children and young people across England. Cafcass's key performance indicators were met 2016-2017 despite a private law increase by 9.1% compared with the previous financial year, and 19.7% compared with two years previously and a public law increase by 13.8% compared with the previous financial year, and 30.4% compared with two years previously. Cafcass received a number of sector and industry awards including Gold for Practice Educator of the Year and Silver for Children's Team Leader of the Year at the Social Worker of the Year Awards.

### **Community Safety**

Community safety across the three Local Authorities has continued to provide a significant focus around safeguarding young people during the last 12 months. This has included a number of projects:

- The safer schools project, which is a collaborative approach between schools, police and the council that focuses on establishing and developing effective working relationships between partners and the local community, reducing crime and anti-social behaviour in schools / locality, providing a visible and familiar contact with their assigned school, contributing to improvements in school attendance, working with school staff to prevent truancy and reducing the fear of crime amongst students. There are slight differences in modelling across the three Authority areas, which includes funding support but their aims are consistent. One of the significant outcomes in terms of this programme of work has been the breaking down of barriers between teachers, pupils and partners that has given individuals the confidence to come forward and seek help. Examples of other outcomes have included weapon sweeps, engagement projects, class presentations and working groups.
- Safeguarding through the Channel process. This is a statutory, early intervention and multi-agency process designed to support those who are at risk of radicalisation. Work has taken place to enhance the current referral process, developing an integrated approach to receiving and assessing those referrals to ensure an appropriate support plan has been put in place for vulnerable young people. This has included officers from the prevent team, Child protection and early help. In addition, much work has taken place in partnership with local schools to cascade knowledge and awareness of prevent and how officers can work with local schools to tackle areas of concern.
- Development of a more creative framework that will support a preventative strategy for schools focused on partnership contribution. This includes a directory of contacts that can be used to enhance communication between schools and partners. This links into the safer schools project outlined above.
- Development of an anti-social behaviour policy and protocol for managing and supporting young people involved in anti-social behaviour.
- Tackling youth violence through an integrated model that includes developing multi agency work to safeguard young people and those at risk of violence. There are many examples of providing or commissioning services to support those involved in gangs, prevention in schools, joint workshops to support women or those at risk of being exploited by potential sexual exploitation perpetrators.

## **Housing and Housing providers**

A wide range of housing services are provided to vulnerable households including providing:

- Housing advice and assessment services to those households in housing need and at risk of homelessness
- Temporary and long-term accommodation for the homeless households

- Specialist supported housing, predominantly through the voluntary and community sector, for vulnerable to support moves from hospital and residential care into more independent housing
- Direct help to support rough sleepers off the streets
- Housing Pathways for vulnerable groups such as young people leaving care and at risk of homelessness to support moves into independent housing
- Provision of large numbers of social and affordable housing whether owned by authorities or through Registered Providers (Housing Associations)

All the organisations involved in the provision of such housing and advice services have a strong focus on safeguarding, (for example within job descriptions, induction plans and commissioning arrangements) and made use of the available safeguarding training via the LSCB training programme and in-house.

### **Voluntary / Faith Sector**

Although the LSCB has not has a member of staff in post in this role owing to the departure of the previous post holder, the LSCB team has retained its commitment to engaging with diverse groups across our local communities. The LSCB Business Manager has met with local supplementary schools to deliver basic safeguarding awareness sessions and to brief them on LSCB priorities and key safeguarding contacts, as well as the wider training programme available though the LSCB.

The LSCB Business Manager has also worked in partnership with a local children's social care social work team in north Kensington to deliver a 'family fun' day at the local Al Manaar Mosque and Community Centre, to raise awareness of local partners and key safeguarding messages such as neglect and how parents and carers can request help and support if this is an issue for them.

The LSCB team will also continue to work with key colleagues such as our Prevent teams on community engagement events in the future. For example, the 'Community Question Time' type events that are in keeping with some of the concerns or requests raised by local community members. Importantly, the vacant post for the LSCB Community and Children and Young People role is being recruited to so that further work to engage other 'hard to hear' groups can be progressed.

## **Schools**

As of January 2017<sup>3</sup>, there were there was a total of 256 schools across the three boroughs. 157 of these were state funded including 12 nursery schools, 105 primary schools, 31 secondary schools, 10 special schools (1 non-maintained) and 5 settings which were either pupil referral units or alternative provision.

There is a significant independent sector (93 schools) across the three boroughs, with 22 in Hammersmith and Fulham, 42 in Kensington and Chelsea and 29 in Westminster.

### **Safeguarding Work with Schools 2016/17**

The Safeguarding Lead for Schools and Education has a key role in advising schools and building links between them and other key partners. Some of the work carried out this last year has included preparing information briefings and highlighting changes in the updated Keeping Children safe in Education (KCSIE) in September 2016.

A centralised programme of training for Designated Safeguarding Leads (DSLs), Governors and Newly Qualified Teachers (NQTs) was made available, and further sessions for Designated Safeguarding Leads were delivered to meet demand. A termly DSL network forum is also an opportunity for all DSLs to come together a receive key safeguarding updates, air concerns and challenges and share best practice.

Alongside these sessions, safeguarding training was delivered to individual schools, including priority schools. In-house safeguarding training was delivered to schools in the independent sector also.

All schools can participate in multi-agency training provided by the Local Safeguarding Children Board. For example, they can attend Safer Recruitment workshops, and all local schools were invited to participate in the Southbank International School Serious Case Review learning event, co-ordinated by the Learning and Development Subgroup, in March 2017.

Particular schools linked to recent serious case reviews have been supported throughout the process (eg Clare and Ann Serious Case Review).

The Safeguarding Lead in Schools and Education has also completed safeguarding audits at individual school level, including priority schools. Factors which contribute to schools being identified as a priority include having a new Headteacher and/or DSLs; emerging significant safeguarding themes eg challenge from parent community; Ofsted reports identifying any issues around safeguarding; significant changes in the Governing Body and feedback from the School Standards team regarding the school performance and profile (including attendance and persistent absence levels).

The Safeguarding Lead for Schools and Education attends the MASE Panel, and has a focus on specific safeguarding issues such as CSE and Peer on Peer Abuse.

The Safeguarding Lead for Schools & Education attends Tri Borough Prevent Steering Group meetings, including Channel Panel, and supports schools to access Prevent

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<sup>3</sup> DfE "Schools, pupils and their characteristics: January 2017"

training, liaising with Prevent to consult on individual scenarios and materials to include in curriculum delivery.

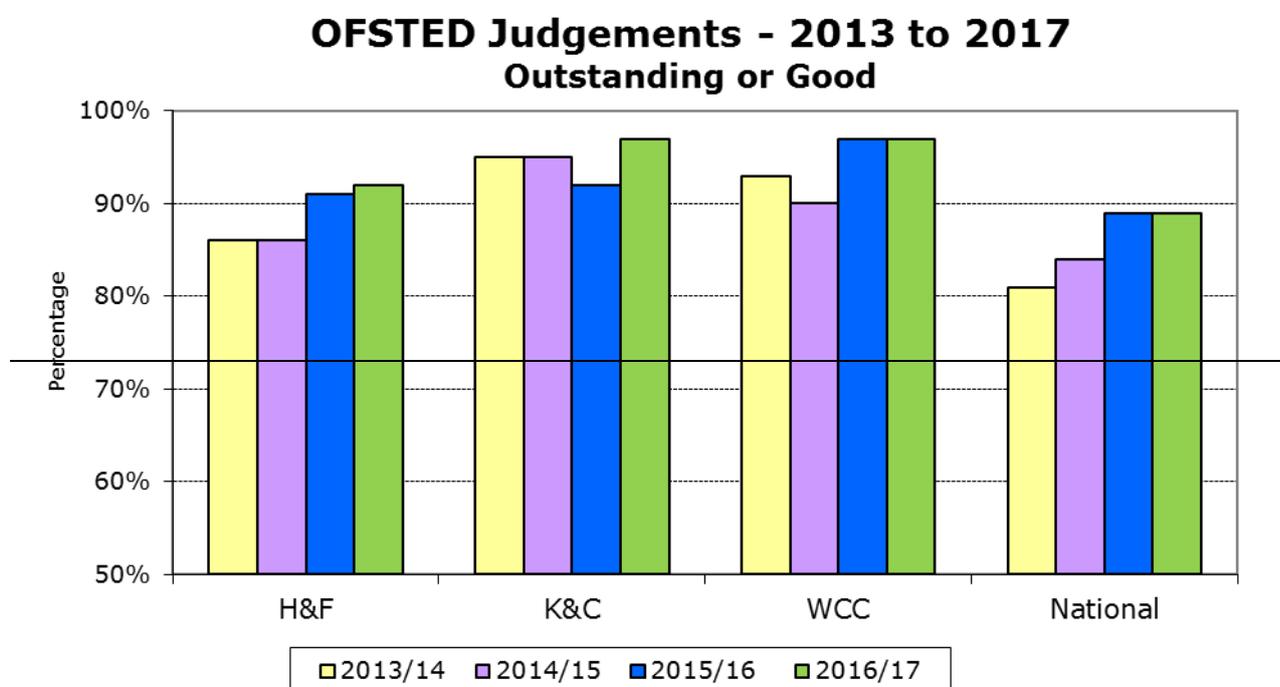
Other areas of focus in 2016/17 were Elective Home Education (EHE) and Children Missing Education (CME) in collaboration with the local authority ACE team (Attendance, Child Employment and Elective Home Education) and clear systems are in place for schools to give feedback on starters and leavers.

Future work in 17/18 will include Section 11 (Section 175 audits) to be rolled out in the summer term 2017 and a self-audit tool will be revised for schools to use from September 2017. A safeguarding workshop tailored for HR staff with a focus on LADO processes is planned for May 2017. A small selection of schools will participate in the LSCB multi-agency audit on Neglect in the summer term 2017. Guidance on promoting safeguarding for services commissioned by schools will also be shared with schools later in 2017, and we aim to build on the Safer Schools partnerships with the Police in each of the three boroughs.

### Ofsted Inspections of Schools 2016/17

The percentages of schools in the tri-boroughs which are rated outstanding or good by Ofsted inspectors have remained consistently high during the last three academic years. Four schools are currently judged inadequate (Hurlingham Academy and Phoenix, in Hammersmith & Fulham, and Wilberforce and Harris Academy in Westminster), while four of the 157 schools are judged to require improvement which is a reduction from last year.

The percentages ranked outstanding or good at the end of the last three academic years is shown below; overall judgements for all three boroughs were above the national average and have remained consistently high during the last four academic years.



During 2016/17 academic year, there have been eleven full inspections of schools across the three local authorities. There have also been short inspections of a further 26 schools.

The reports from such inspections include specific commentary from Ofsted regarding the effectiveness of safeguarding arrangements in individual schools and these reports are all publicly available.

## **Children's Homes**

The Haven in Hammersmith and Fulham is a local authority children's home, registered to provide care for up to seven children who have learning disabilities and/or physical disabilities. The home provides a mix of short-break placements, shared care placements and permanent placements. The Haven has moved towards an increased focus on longer-term placements in order to support young people with complex needs to remain at home wherever possible.

A successful recruitment process took place in July 2017 which resulted in the appointment to two newly created senior residential care worker posts.

A recent Ofsted inspection took place in September 2017 and found a previous recommendation (from July 2016 inspection report) regarding safeguarding training has been met and Ofsted noted that:

'Staff have appropriate safeguarding knowledge, and are clear about what to do if they have a concern about a young person. Several staff have recently attended safeguarding training, and they are enthusiastic about practising their new learning. This helps keep young people safe from possible harm.'

Ofsted also noted an increased training focus:

'Training is a major positive factor for staff. A new training programme for working with disabilities has recently begun and staff are enthusiastic about this and very keen to participate.'

The Royal Borough of Kensington and Chelsea maintained two children's homes in the area (Olive House and St Marks). Olive House had an interim inspection in January 2017 and Ofsted judged it had sustained its effectiveness since the previous full inspection where it had received a rating of 'Good'. Ofsted noted that listening to and acting on the views of young people are strengths of this service. For example, young people are effectively involved in staff recruitment. The home has since undergone a major re-organisation with a creation of a specialist social work practitioner post and a social work qualified team manager post both to enhance and embed systemic practice within the home. The home is now registered as a 7 bedded unit combining long, medium and short term beds.

St Mark's ceased to be a children's home at the end of June 2017. It has since undergone some refurbishment and opened its doors mid-September as a low to medium support care leavers hostel. There are plans in place to develop care leaving services to be delivered from St Mark's. There are currently two group programmes operating from St Mark's providing support around developing independent living skills and crucial soft skills and equip them with tools to strengthen their emotional wellbeing and improve self-esteem. It is planned that housing, immigration and virtual school support will be delivered from this hub from the New Year.

## **HM Prison Wormwood Scrubs**

Safeguarding comprises a significant part of the work carried out by HM Wormwood Scrubs Prison with families and children of offenders. A lead administrator, who is also an

attending statutory member of the LSCB, is in place for safeguarding. Her role includes liaison with other departments in prison, visitor centre staff, social workers, schools, charities and families regarding children's visits to the prison and discussing any safeguarding issues. There are also links between the prison and external Multi-Agency Public Protection Arrangements (MAPPA) and other agencies and charities which provide training for prisoners with parenting responsibilities. The administrator has attended Level 3 multi-agency safeguarding training provided by the LSCB and the Academy of Justice and has a NVQ level 2 in health and social care. Furthermore, she provides a basic training to the officers who supervise visits and there is a family officer who deals with the operational side of the training and visits.

The prison's Visitor Centre has provided safeguarding training for the staff working there and staff can make referrals or consult with the lead officer where there are any safeguarding issues for families attending the centre.

A recent Justice Inspectorate inspection in August 2017 noted that public protection procedures were adequate and that applications for contact with children were assessed appropriately and suitable levels of contact approved where possible.

## **ANNUAL REPORTS**

### **Child Death Overview Panel (CDOP)**

The 2016/17 Annual Report for CDOP provided analysis of cases reviewed over the course of the year, rather than those notified during the same period. These included reviews of cases of children who died between April 2014 and March 2017. Timings of reviews are subject to the information available from agencies involved, other processes including police investigations, serious case reviews or inquests and the number of cases relating to particular themes.

Nineteen deaths of children who had lived in the LSCB area were reviewed by CDOP. Of these, nine were unexpected. The key themes for the unexpected deaths were related to life limiting disease and perinatal events. The main category of death has been those born with congenital and chromosomal abnormalities.

In addition, a further eight deaths that occurred in local private hospitals were also reviewed in this period. All of the deaths that occurred in private hospitals were of children who normally resided abroad. The majority of the children died in private hospitals having accessed care in the UK for on-going complex medical issues.

Reviewing the deaths has enabled the panel to scrutinise their processes, seeking further information as to how families and children who reside abroad are managed in relation to end of life care and the bereavement process. This process gives the panel an insight into the quality of service provision in private hospitals which are part of the local health economy and falls under the jurisdiction of the Local Safeguarding Children's Board.

The CCGs have continued to lead on the work of CDOP on behalf of the LSCB, which enables the CCGs to scrutinise and act on issues of service quality and provision, whilst working in partnership with the LSCB with quarterly updates submitted to the Board and with good links maintained with other subgroups.

### **Progress from 2015-16 priorities and action plan**

1. The CDOP panel is now chaired by the Deputy Director of Public Health who is actively engaged in adding a public health perspective to the work that is being undertaken.
2. The issue of child deaths abroad is being addressed by the Foreign Commonwealth Office who is planning to produce guidance on deaths which occur abroad.
3. Information for a web page on the LSCB website has now been circulated to the CDOP members. This information will be uploaded shortly.
4. A Specialist Nurse for Child Death Reviews has been recruited and will work in collaboration with the Designated Doctor for Child Death. It is envisaged that the work of CDOP will be further enhanced and developed.

### **Priorities for 2017/18**

- The Chair, Designated Doctor and the Specialist Nurse for Child Deaths are to work with the Healthy London Partnership in the work streams that are being undertaken for CDOPs across London.
- An audit schedule is to be developed. The first audit will be looking at the number of reported deaths from private hospitals, the demographics and cause of deaths followed by an audit on risk factors associated with Sudden Unexpected Deaths in Infancy.
- A literature review and analysis by Public Health, of deaths that have occurred in children as a consequence of infection, to assess if the guidance on prescribing antibiotic therapy has had an adverse impact.
- To establish links with CDOPs across Northwest London, so that patterns and trends can be identified across a wider geographical area and shared learning and initiatives can be established and implemented.
- The Specialist Nurse to work more collaboratively with Provider services, both in the acute and private sector to raise awareness of the CDOP process and to establish links with the bereavement team.
- CDOP leaflet and letter to communicate the CDOP process with bereaved parents
- Review, analyse all child deaths reviewed by the CDOP panel since 2013 to identify if the recommendations proposed in “Why children die: death in infants, children, and young people in the UK Part B”<sup>4</sup> are applicable in those cases identified as having modifiable factors to determine local actions or recommendations for change.

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<sup>4</sup> A policy response for England to the report Why children die: death in infants, children and young people in the UK - Part B. Royal College of Paediatrics and Child Health National Children's Bureau 2014.

<http://www.rcpch.ac.uk/sites/default/files/page/Why%20children%20die%20part%20B.pdf>

Looking ahead to 2017/18 and possibly beyond, the CDOP panel will await the outcome of the Public Enquiry and criminal investigations following the Grenfell Tower Fire before it will review the deaths of the children in this very sad and unprecedented event. The CDOP panel is keen to capture any local learning now from practitioners to assist with the reviews in due course.

### **Local Authority Designated Officer (LADO) – Safer Organisations**

The LADO has provided a report regarding the management of allegations against adults working with children across the LSCB over the course of the past year.

The procedures used for managing allegations are as set out in the London Child Protection Procedures. The procedures are invoked when there is an allegation (whether historic or current) that a person who works with children has:

- behaved in a way that has harmed a child, or may have harmed a child;
- possibly committed a criminal offence against or related to a child; or
- behaved towards a child or children in a way that indicates they may pose a risk of harm to children

These behaviours should be considered within the context of the four categories of abuse (i.e. physical, sexual and emotional abuse and neglect/failure to protect). These include concerns relating to inappropriate relationships between members of staff and children or young people. If concerns arise about the person's behaviour to her/his own children, the police and/or children's social care must consider informing the employer or organisation in order to assess whether there may be implications for children with whom the person has contact at work / in the organisation, in which case this procedure will apply.

All staff should be made aware of their organisation's whistle-blowing policy and feel confident to voice concerns about the attitude or actions of colleagues; learning from Serious Case Reviews indicates that early reporting of low level concerns around rule breaking and boundary keeping can help to prevent the abuse of children.

In 2016/17, the local LADO service has been strengthened and developed. Referral points have been rationalised to facilitate referrals getting to the right person in a timely manner. Child protection advisors in each of the boroughs handle incoming cases on a duty basis with support from the Safe Organisation manager /LADO lead. The majority of Child Protection Advisors are now permanent members of staff which means practice is embedded and there are opportunities to take advantage of discussing emerging themes and thresholds across the three boroughs. Guidance and toolkits have been developed to support key aspects of the safeguarding system; for example guidance for schools on applying safer recruitment ideas to organisations who wish to rent their facilities or deliver services to their pupils.

### **Safe Recruitment and learning from Serious Case Reviews**

The LADO has continued to offer accredited safe recruitment training as part of the LSCB training programme. This has been well attended as have sessions on learning from SCRs and 'meet the LADO' events. The LADO service continues to contribute to the overall development of awareness of abuse by professionals via learning events like the Southbank Learning Event.

### **Raising the profile of the role**

The LADO has worked closely with the Safeguarding Lead for Schools and Education officer and the LSCB Training Officer to raise the profile of the role with schools and in particular in the independent school sector (in part prompted by the learning from the Southbank International School SCR). The LADO has also continued to promote collaboration of good practice and relationship building in other sectors such as sports organisations, human resources teams, and the voluntary sector.

### **Origin of Referrals**

Overall the volume of cases reported to the LADO service is increasing – this appears to be reflected across the London boroughs. More organisations are making contact for consultation and reassurance on risk assessment. The majority of cases still emanate from early years settings and schools.

It would appear that more historic cases are coming to light and this could partly reflect the influence of the Independent Inquiry into Child Sexual Abuse at a national level. All LADOs have been instructed to retain and secure records of previous concerns and it is possible that a local case will be called in during the course of the Inquiry.

Unsurprisingly, there has been an increase in referrals from sports organisations, particularly in Hammersmith and Fulham. Whilst some bodies like the Football Association do have a regulatory role, many other such bodies are membership organisations, meaning that anyone can pay their fee and join. This can give users the false impression that sports providers are accredited and vetted and it can be very difficult to hold some small scale providers to account in these circumstances. A similar situation applies to other service providers – for example therapists who do not need to be registered with the Health Care Professionals Council (HCPC).

Another trend in the LADO referrals is an increase in referrals relating to sexual abuse or misconduct. This includes grooming behaviour, blurring of professional boundaries with the intent of forming relationships and abuse of positions of trust. This trend is in line with national trends and is likely the result of a greater awareness in all organisations from recent media coverage of non-recent abuse such as with Jimmy Savile or the recent Football Abuse Scandal. Generally, organisations are more aware than they were previously about what grooming looks like and the importance of listening to children as a way of offering them protection from abuse. This has resulted in more referrals but also in referrals at an earlier point when protective action can be more effective.

### **Upcoming Project: Changes to the London Child Protection Procedures**

The LADO is contributing to update of the London Child Protection Procedures in relation to the area of managing allegations against professionals and volunteers and these are anticipated to be published in the autumn of 2017. The updates will be shared across the multi-agency partnership.

### **Private Fostering**

A lead practitioner undertakes assessments and holds all identified private fostering arrangements, which include carrying out visits for the duration of the arrangement, direct work, maintaining a Child in Need plan and 'stepping down' arrangements as they come to an end, and implementing post 16 plans.

Approvals of assessed private fostering arrangements are made through a multi-agency Panel which meets quarterly. Interim approval is given by Designated Manager within the MASH Team. The private fostering role ensures that all children who are privately fostered in the three boroughs receive a consistent response with good quality assessments

ensuring that the needs of those children who are privately fostered are met. Having the role based in the MASH ensures that awareness is raised and all opportunities to identify cases are taking place.

The lead practitioner is also responsible for raising awareness across the LSCB area and raising the profile of private fostering within the organisation, partner agencies and the community, as well as providing advice and consultation to partner agencies as any private fostering enquiries arise. The lead practitioner has worked with the LSCB trainer to ensure that the appropriate information is cascaded to the multi-agency workforce in core training.

The lead practitioner also attends The Private Fostering Special Interest Group facilitated by CoramBAAF (formally facilitated by BAAF), which meets on a six monthly basis. The group provides an important forum for private fostering practitioners across Greater London and the West to discuss practice issues, legal advice, raise awareness, best practice and inform and influence policy wherever possible.

### **Independent Reviewing Officers (IRO)**

Independent Reviewing Officers chair reviews for individual looked after children and have an important role in the care planning and safeguarding of such children. They therefore hold significant information regarding the overall experiences of children in the care of the three local authorities covered by the LSCB.

Over the course of 2016/17, the IROs have been working as part of a unified service. The teams have remained relatively stable, with caseloads within the recommended limits set in the IRO Handbook. This allows IROs to know their children well, and to monitor cases between reviews. They have continued to work in collaboration with the social work teams to resolve issues and concerns about children's care plans in an informal manner wherever possible. There is a positive working relationship between IROs and front line teams across the three authorities, and this has kept the need for recourse to the formal Resolution Protocol to a minimum.

The looked-after children figures have increased in two of the boroughs. There is evidence of a high turnover of children within the figures. 54% of the total looked-after children population across the three local authorities had been in the care system for less than 12 months at 31st March 2017, with 37% having been looked after for less than 6 months.

The percentage of children looked after for less than 6 months is broadly similar in Westminster City Council (35%) and the London Borough of Hammersmith and Fulham (37%) compared with 10% in Royal Borough of Kensington and Chelsea. Numbers in care for 12 months or less is higher in London Borough of Hammersmith and Fulham indicating that 57% of looked after children have been in care less than 12 months compared with 47% in Westminster and 17% in Royal Borough of Kensington and Chelsea.

The anticipated decrease in the looked-after children numbers has not continued, partly as a result of the recent increase in the number of unaccompanied asylum seeking children in Westminster and Hammersmith and Fulham.

The age profile of the children and young people in care has continued to be biased towards children 10 and over, consistent with higher numbers of unaccompanied asylum seeking young people and a continued increase in young people entering care as older adolescents. The options for permanence for some of these young people are often

limited, and the complexity of their needs presents challenges in ensuring stable placements and optimising outcomes for them as a result of their late entry to the care system. Late entry into care tends to be associated with complex emotional and psychological challenges arising out of family stress. This necessitates careful placement planning. IROs actively engage in oversight in this regard and there is clear evidence from their records of ongoing consultation by front line teams to ensure that the IROs are both aware of the challenges and able to monitor the plans effectively as a consequence.

Across the three authorities, 78% of the looked-after population is over 10, with figures in the individual authorities ranging from 77% in London Borough of Hammersmith and Fulham and Westminster City Council to 83% in the Royal Borough of Kensington and Chelsea.

The ethnic profile of the looked-after children across the three authorities is diverse. 28% of looked-after children identify themselves as White British, while 30% identify themselves as Black / Black British. In Westminster, 24% of looked-after children are categorised as identifying with 'other ethnic groups'.

Across the three local authorities 96% of looked after children reviews were held within statutory timescales. Over 97% of looked after children participated in their review meetings over the year. They have also been involved in key service development initiatives through their Children and Young People's Panel / Children in Care Councils. These included engagement activities and a number of events to celebrate key achievements

### **Violence Against Women and Girls (VAWG) Partnership<sup>5</sup>**

In April 2015, the VAWG Strategic Partnership for the London Borough of Hammersmith & Fulham (LBHF), the Royal Borough of Kensington and Chelsea (RBKC) and the City of Westminster (WCC) launched a three-year Strategy. The Strategy was written after considerable consultation with survivors, service users, stakeholders from a range of statutory and voluntary organisations as well as elected members across the three councils. The Strategy details how the Partnership will deliver a Coordinated Community Response (CCR) to VAWG; it keeps survivors and children at the centre of its aims and objectives, whilst also holding perpetrators accountable for their actions.

The VAWG strategy is configured around seven priorities including one which focuses on children and young people. The priority is that children and young people are supported if they witness or are subject to abuse and understand healthy relationships and acceptable behaviour in order to prevent future abuse. The Partnership prioritises both prevention of violence and abuse and direct provision of support for Children and Young People.

In year two of delivery, the Partnership made considerable progress against 31 out of 43 (72%) actions, achieving **GREEN** status. This represents an increase of 16% from last year. For 9 of the 43 actions, the Partnership made some progress against the actions and 21% of actions achieved **AMBER** status (decrease of 14%). Finally, for 3 out of 43 actions,

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<https://www.rbkc.gov.uk/lscb/sites/default/files/atoms/files/Violence%20Against%20Women%20and%20Girls%20Partnership%20Annual%20Review%202016-17.pdf>

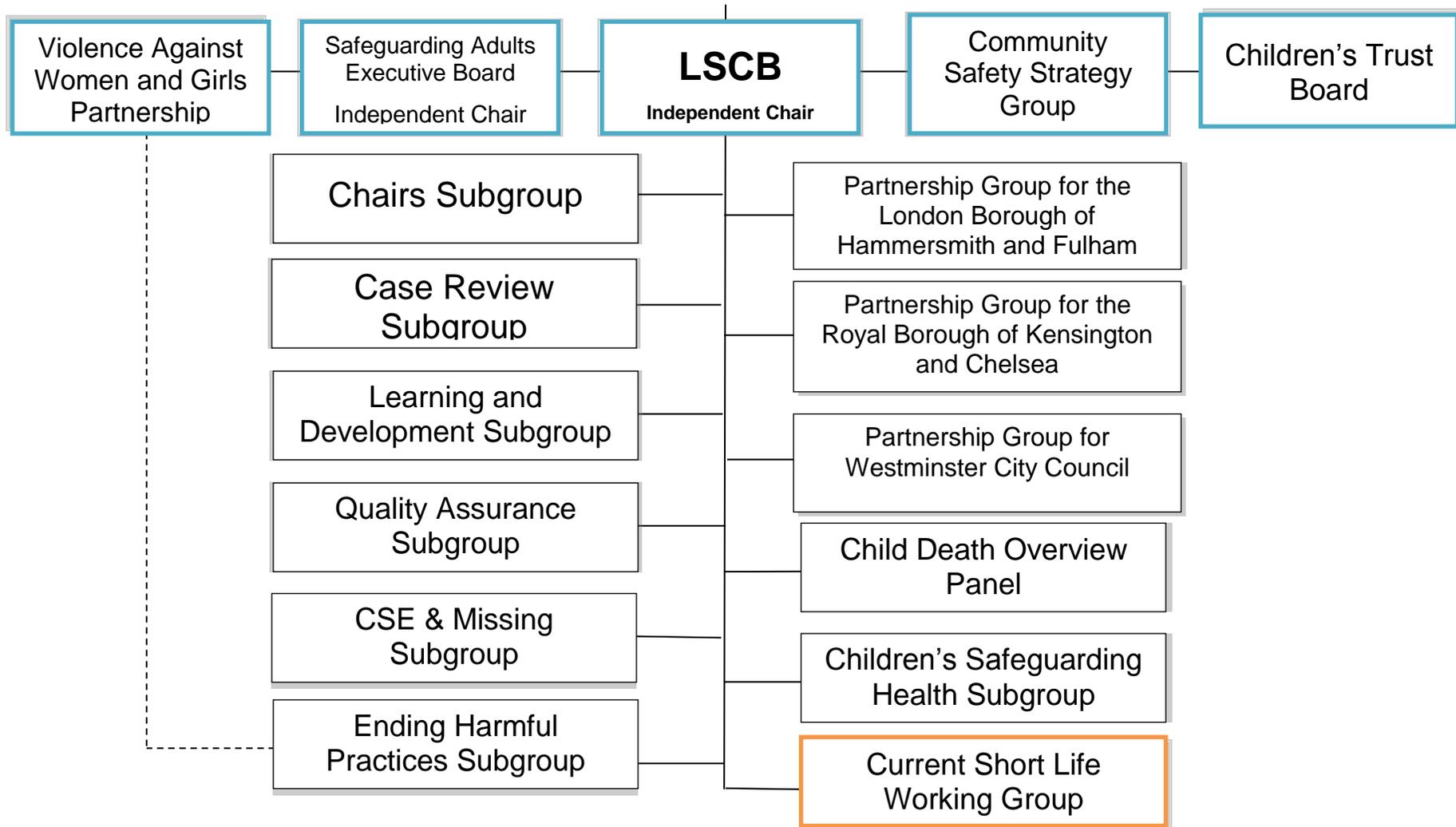
the Partnership has not made any progress or has encountered considerable challenges; those actions have given **RED** status and actions will need to be taken in the final of the strategy to achieve against those outcomes.

Successes include the roll out of the [#SpeakSense campaign](#) for young people, which aimed to encourage young people to learn more about relationship abuse, how to best support a friend, and details of both local and national support services for victims and perpetrators. The Angelou Partnership held training on consent in schools, and held young women's groups in schools. Advance worked with Action on Disability to create a training package for their workers who work with young people.

Looking forward to 17-18 and beyond, a key aspect of the work will be linking with children and young people services and delivering provision that focuses on trauma and gender informed approaches to supporting survivors and their families. The Partnership will continue to highlight gaps in access to specialist services for survivors, children and perpetrators alongside consultation and analysis in order to have a better understanding to develop future services. The Partnership will continue to hold community engagement and school based events around FGM. The Partnership aims to continue to promote a 'Whole School Approach' via preventative and education programmes that improve attitudes towards conducting healthy relationships and VAWG from primary school to adult education.

## GOVERNANCE AND ACCOUNTABILITY ARRANGEMENTS

The current structure of the LSCB is as follows \*



\* LSCB membership on LSCB website <https://www.rbkc.gov.uk/sharedservices/lscb/aboutus/boardmembersandadvisers.aspx>

## PRIORITIES OF THE LOCAL SAFEGUARDING CHILDREN BOARD – 2016/17

The headline priorities of the Local Safeguarding Children Board for 2016/17 were as follows:

| Priority  | Action  | Outcome   |
|---|---|---|
| <p>1. Build on partnerships to improve the capacity of vulnerable parents to safeguard their children effectively</p> | <ul style="list-style-type: none"> <li>• Maximise partnership arrangements to evaluate and increase the impact upon safeguarding children of multi-agency approaches to parents affected by domestic violence and abuse, mental health problems and substance misuse.</li> <li>• Improve links and, where appropriate, hold to account key partnerships<sup>6</sup> to demonstrate that strategic work has a positive impact upon frontline practice and</li> </ul> | <p>The Safeguarding Plan sought to renew the Board’s focus on parental needs which have a significant impact on children’s safeguarding. There has been significant activity reviewing and addressing the impact of domestic abuse and parental mental health. Multi-agency auditing activity on domestic abuse (Jan 2017) and the parental mental health working group have contributed to a more comprehensive understanding of frontline service delivery and its challenges to address. The Borough based Partnership Groups have sought to gain opinions on the effectiveness of services to meet the needs of parents with substance use issues, and to map the changing delivery landscape of specialist commissioned services.</p> <p>The Violence Against Women and Girls Group (VAWG) have provided the strategic overview of our partnership response to domestic abuse across the three Boroughs. This has strengthened our knowledge and response to this key safeguarding area, with regular MARAC reporting to the Borough based Partnership Group, and escalation of blocks and concerns to key strategic leads enabled appropriate responses e.g. regular agency attendance at monthly MARAC meetings. Our learning from serious case reviews and the work of the VAWG has highlight need for further learning in respect to coercive control, which has been transferred to a priority in 2017-18.</p> <p>Significant activity has continued to engage a number of community groups in safeguarding developments including the Somali community in Hammersmith, Madrassahs, mosques and supplementary schools. The lead worker for this activity left</p> |

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|   | <p>outcomes for children.</p>   | <p>her role in the LSCB and action is being taken to recruit a replacement.</p> <p>The work of the joint FGM project in partnership with Midaye (Somali Development Network) has enabled an enhanced offer to a wide range of FGM affected communities. This has supported the promotion of the wider safeguarding agenda across a wider audience.</p> <p>Action for 2017-18: The Board should develop a view on where to focus any future targeted work to better engage vulnerable families from particular communities.</p>  |
| <p>2. Improving communication and engagement</p> <p>Page 1001</p> | <ul style="list-style-type: none"> <li>• Develop a comprehensive communications strategy for all Board activity.</li> <li>• Listen to and review issues raised by multi-agency staff about safeguarding and confirm action taken by the LSCB in response.</li> <li>• Listen to feedback from vulnerable children and young</li> </ul> | <p>There is an ongoing need to coordinate our overall approach identifying key audiences, in respect to the most effective methods of communication and ensuring such communication has an impact. Particular priorities for better communication have been via the respective Partnership Group to the frontline workers in all partner agencies and children and families.</p> <p>The development of the LSCB website has enabled the use of it as an efficient communication channel, supplying information and providing resources to professionals primarily. For example, the website was used to promote the work of the joint NSPCC &amp; LSCB Neglect Campaign which lead to convening a conference with leading academics and practitioners in the field participating.</p> <p>Action for 2017-18: While this may not need to be a headline priority in the forthcoming year, it is important to ensure that other priorities are expressed and communicated in a way that is accessible and understandable to staff and wider communities.</p> |

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|--|---|---|
|  | <p>people about the impact of safeguarding upon their lives and ensure the Board responds to this where required.</p> <ul style="list-style-type: none"> <li>• Build upon progress and further develop an interactive LSCB website.</li> </ul>  | <p>The LSCB recognises that there is more work to do in order to hear the voice of children and young people across our partnership in a meaningful way and the recruitment of a community and children and young people’s engagement officer will be key to assisting with this.</p>   |
| <p>3. Demonstrating our impact and knowing where more effective practice is required</p> | <ul style="list-style-type: none"> <li>• Develop a shared outcomes framework and other approaches (including dip sampling and focus groups) to better measure our impact, progress and where we need to improve.</li> <li>• To inform the dataset that is aligned to the Board’s priorities.</li> </ul> | <ol style="list-style-type: none"> <li>1. The Focus on Practice programme has had a major impact upon children’s social care and early help practice across the three boroughs. The most significant impact has been in how social care practitioners develop relationship with families to work alongside to create opportunities for positive change, and in the use of Signs of Safety model in the delivery of child protection conference. The Programme has lead into the establishment of the Centre for Systemic Social Work, and delivers the practice leaders programme across England.</li> <li>2. Following a joint LSCB &amp; NSPCC campaign around neglect, considerable efforts have been made to ensure professional and public awareness is sufficient about identification, and sources of support and advice. The LSCB website provides</li> </ol> |

- To measure the impact of actions arising from data scrutiny, audits and case reviews.
- Maximise impact and of learning from serious case reviews across the three boroughs by coordinating subsequent action plans.
- Review how the impact of the Focus on Practice programme is experienced by agencies responsible for safeguarding children and the opportunities for multi-agency learning from the programme.
- Promote the best outcomes for

information, and NSPCC distribution of posters and leaflets to raise awareness across a wide range of health and community settings was also undertaken.

3. Significant changes to Early Help provision have continue in the boroughs. The impact is being experienced by wider agencies and will continue to be discussed at Partnership Group level. Evidence of this is documented in the Partnership Group minutes of the three Boroughs.
4. There was a priority to review multi-agency action and planning to improve outcomes for children and young people whose needs are difficult to meet, and who may pose risks to other children. This stemmed from particular cases which were discussed at sub-group level but was not specifically progressed at Board level. Evidence is located in discussions at the Case Review Subgroup.

Action for 2017-18: There is a need to review and agree whether further Board action is needed to evaluate the degree to which developments over the year in relation to a number of areas are understood by the partner agencies and whether more is needed to embed these.

children who have experienced neglect.

- Assess the effectiveness of multi-agency early help partnership work at a borough level in improving outcomes for children, ensuring the LSCB is sighted on service changes that may impact on safeguarding.
- Review multi-agency action and planning to improve outcomes for children and young people whose needs are difficult to meet, and who may pose risks to other children.

**4. Improving the effectiveness of the Board**

- Continue to monitor attendance of partners at Board meetings taking effective action

The outgoing Independent Chair has been proactive in monitoring the attendance of partners at Board meetings and subgroups and challenging partners where appropriate, and this continues with the new LSCB Chair, with timely requests for support from partners in relation to chairing LSCB subgroups as the need arises.

when attendance is infrequent or turnover of key members is anticipated.

- Develop a forward plan to include key Board activities and scheduling in other required reports.
- Develop a work plan for the LSCB business support team that coordinates activities arising from the Board and partnership groups and drives through the priorities for children.
- Ensure there is an analysis of the impact of multi-agency safeguarding training at a tri-borough level.

Whilst it is recognised that this was not a headline priority, there was an ongoing need to develop a forward plan for Board activity for the business team and Independent Chair. This was important to ensure the different elements of the Safeguarding Plan were delivered over the course of the year.

There were some challenges this year with the analysis of the impact of the multi-agency training provided by the Board. The LSCB Business Manager was also covering the role of the Multi-agency Trainer for much of the year and a priority was the delivery of the training programme, which continued to be well attended. This came at the expense of the longer term monitoring of the impact, however, evaluations received from delegates on the day of training was positive. Looking forward, a key area of work will be to re-energise the multi-agency training programme with a new training lead in place. The learning and development subgroup will ensure that the Board's priorities are reflected in training content along with learning from Serious Case and other reviews.

Finally, a "watching brief" has been kept to alert the Board of changing requirements of LSCBs and safeguarding arrangements from the Government and legislation with consideration of the potential to make changes in the short and longer term in the light of available resources and the views of partners. The implications of the Wood Review and the Children and Social Work Bill (now Act 2017) have been considered by the Board and a working group of key members had been set up to reflect on the questions posed and opportunities for innovation.

## **KEY ACHIEVEMENTS FROM LSCB SUBGROUPS**

### **Hammersmith and Fulham Partnership Group**

The partnership group has continued to engage the community and voluntary sector and has sought to strengthen collaboration and partnerships by bringing them into the core of safeguarding work. The ongoing attendance by voluntary partners such as QPR Football Club, is having a positive impact. For example; there has been an increase in referrals to 'QPR in the Community' activities following a presentation to the Partnership Group. QPR are also supporting Children's Services in finding missing young people by providing soft intelligence.

The partnership group has routinely sought to encourage challenge among partners in a measured and proactive way. All challenges are recorded on the challenge log, which is regularly reviewed to measure outcomes and the impact of any action taken. Challenges have included inclusion of Health in strategy meetings/discussions; the inclusion of fathers in assessments and key safeguarding meetings such as Child protection Conferences; and ensuring that referrals are made to MAPPA. The Board is kept informed about all challenges that are raised.

'What are you concerned about' has remained a standard item on the partnership group agenda. This item facilitates the raising of key safeguarding issues which can then be escalated to the Board. These discussions help members consider safeguarding in the wider context and can prompt particular actions. For example; In response to the increase in knife crime, the Partnership Group made a recommendation to the Board for a short life working group to be set up to develop a multi-agency strategy in relation to knife crime and other serious offences such as acid attacks. This is now being taken forward.

The partnership group has continued to work to maintain the link between front line services and the Board. The partnership Group has been key in facilitating the dissemination of information to front line staff, including LSCB newsletter and SCR newsletter.

There has been a focus on ensuring that lessons from Serious Case Reviews, Domestic Homicide Reviews and other relevant reviews are shared with Partnership Group members and disseminated to front line staff. A half day event 'learning from Serious Case Reviews' was held in September 2016 to which all Partnership Group members were invited.

The partnership group has continued to develop strong partner relationships. There has been good and consistent attendance and contribution by partners.

Key issues such as DV, substance misuse and adult mental health have remained high on the agenda and are standing items for discussion.

### **Kensington and Chelsea Partnership Group**

Throughout 2016 – 2017 the partnership group has benefited from continued commitment from a diverse and experienced multi-agency professional group. Four

meetings have taken place over the year, with one in each quarter of the year ahead of the main LSCB meeting.

Organisational change has been a main theme of our safeguarding discussions, with partners presenting updates on changes to their operational delivery model, key personnel or commissioned arrangements to provide services directly to children, families and communities. Changes within the Police and their capacity led to a number of discussions about attendance at Child Protection Conferences and strategy meetings. The Partnership has also been kept up to date in respect to the school nursing and health visiting changes from Public Health, CLCH and CNWL, as well as the organisational changes within Children's Services and the commissioning arrangements within Public Health to deliver upon the substance use offer.

The partnership group plays a key role in creating the opportunities for continuous learning and development, and to be the connection between their own agencies and other partners to lead upon this. Over the year the group has reviewed all three boroughs' Serious Case Reviews (SCR) and learning reviews. Significantly for partners working within the Borough, the SCR for the children 'Clare and Ann' had specific impact as many services had been involved with the family. Whilst the process for the SCR took some time due to twin holding of a domestic homicide review and matters being reviewed with the Coroner's Court, learning and reflection evolved as findings from the case became clearer and the Partnership Group were able to fully contribute at all stages.

A cycle of annual updates on key safeguarding themes and service areas continues to take place, with Early Help, the Multi-Agency Public Protection Arrangements (MAPPA), the Multi-Agency Risk Assessment Conference (MARAC) on domestic abuse, and private fostering being examples considered with a local focus and opportunities explored to contribute to strengthening responses. The child protection activity data had a renewed focus in this last year, with a need for the partnership group to utilise its experience, skills and capacity to be the 'critical friend' and challenge multi-agency practice where appropriate.

The LSCB partnered with the NSPCC to deliver a Neglect Campaign across the three boroughs. The campaign group consisted of many members of this partnership group from a wide range of services, and considerable contribution was obtained to deliver a multi-agency conference on Neglect in May 2016, with a number of academic and campaign specialist in this field speaking. The conference feedback was very positive and the partnership group assisted in the productive delivery of a key learning and awareness raising event.

### **Westminster Partnership Group**

The Westminster LSCB partnership group have continued to host guest speakers who have provided presentations, answered questions and shared information on topics pertinent to practice across the multidisciplinary membership. Topics have included, Prevent, FGM, Missing, Child Sexual Exploitation, changes to Police bail, pressures on practice resulting in changes in Probation, transition of vulnerable children to Adults Services, Home Education and the work of the ACE team and the new Family Services Multi Agency Referral Form which included an online demonstration.

Learning from audits conducted in various areas of practice has been shared with the group. Imperial health presented an audit undertaken in relation to children referred into their hospitals as a result of falling from windows. The Tri Borough Quality Assurance Manager has presented learning from LSCB multi agency audits into Domestic Abuse, Neglect and single agency audit within children's services on Missing Children.

The Luton Serious Case Review (Child J) has been shared and the findings discussed.

Changes within Family Services have been presented to the group in particular Transformational Changes within the Early Help Service, changes of management structure within the Youth Offending Service and changes to the way Child Protection Cases Conferences are conducted after adoption of the Signs of Safety approach.

A new standing agenda item entitled 'What's Keeping You Awake at Night' has elicited much discussion and helpful information sharing regarding topics of concern practitioners are encountering in their day to day practice across the multidisciplinary forum.

Priorities for 2017-2018 have been discussed and agreed and are as follows:

- Peer on peer abuse including CSE and serious youth violence
- Radicalisation
- Internet safety (underpinning both areas above).

A working group is now to be formed to progress work in these areas outside the quarterly meetings.

### **Case Review Subgroup**

The Case Review Subgroup considers new child care incidents (of serious injury or death to children) and makes recommendations to the chair of the LSCB on whether a decision on holding a formal Serious Case Review (SCR) or another type of review should be held.

The sub group also receives completed reports commissioned within the three boroughs so that learning can be identified and disseminated to the LSCB workforce. The sub group considers national or other local authority review reports where there are potential lessons for our local services.

### **Serious Case Reviews**

During the year, the LSCB has published two serious case reviews (SCR). The first, regarding Baby Rose, was published on the LSCB website in September 2016, the second, regarding Clare and Ann, was published on the LSCB website in January 2017. Alongside this report, a domestic homicide review (DHR) for Robert and Clare was also published by the Safer K&C Partnership.

This year, the LSCB has also worked in partnership with Luton and Ealing LSCBs in regard to the Luton Child J serious case review, which was published in June 2017.

The Baby Rose review involved a young mother who gave birth abroad and returned to the UK four months later with the intention of taking the baby to a specialist eye hospital for an operation. The mother informed her parents, who lived abroad, that Children's Services had removed the baby from her care, and they were so concerned that they came to the UK immediately and took their daughter to the Police to report the baby missing. Following a Police investigation, the mother was charged and convicted of murder. Police advised that she had accepted that she suffocated and disposed of the baby's body.

The report author made three recommendations for health partners to consider:

- perinatal and maternity services must audit referrals made to the service to provide assurance that their systems are robust and vulnerable women are identified and followed up.
- midwifery services must demonstrate that there is a plan in place to implement a centrally held electronic record system
- health services should work together to develop a communication pathway locally to improve outcomes for service users

The Clare and Ann review involved a mother who, whilst acutely unwell, killed her partner and eldest daughter, and seriously injured the couple's youngest child. The serious case review concluded that there were significant levels of good quality practice across a range of agencies involved in this case; that any risk of harm to the children was very difficult to predict; and that opportunities to intervene further to help the mother, were very limited. Two findings in particular have been given attention with staff: the first is to ensure the focus given to safeguarding children is fully integrated into systems for responding to parents who present in crisis with serious mental health problems. The second is to ensure there is shared understanding across the partner agencies about the purpose and processes for undertaking urgent welfare checks on children whose carers present with significant concerns.

In the Luton case, a baby died of severe physical injuries when cared for by a young mother and her new partner; the use of drugs by both parents influenced the care they provided for the baby. Hammersmith & Fulham Children's Services were involved at the time of the baby's birth, before the family moved out of the area. Children's Services and Hammersmith & Fulham's Housing Department both contributed to the serious case review.

The review highlighted eight findings in total:

- One finding highlighted that current transfer arrangements within health visiting, and between Family Nurse Partnership (FNP) and health visiting, assume a degree of co-operation from families which means that when avoidant families with vulnerable children move, it is easy for them to avoid contact with services, leaving the children at risk of possible harm. Our local Family Nurse Partnership (FNP) have been working with the National FNP Unit to seek further clarification on procedures when a family stops engaging with the programme (which is voluntary for parents to participate in).

- Another finding highlighted that there is no requirement (in England) to do an assessment when a family with a Child in Need plan moves into the area, which increases the possibility that decisions to cease providing social work services have no relation to the risks to the child and needs of the family. The Cabinet Member for Children’s Services in Hammersmith and Fulham has written to the responsible Minister within the Department of Education to escalate this matter.
- There were three findings relating to domestic abuse within the report. One queried whether current national emphasis on the emotional harm to children of domestic abuse leads professionals to under-estimate the risk of physical harm to young children in domestic abuse situations involving physical violence. The second queried whether practitioners fail to identify risks to children when the violence is between adults, who are not living in the family and does not involve children and therefore it may not be seen as a core issue. The third finding in relation to domestic abuse stated that services for victims of domestic abuse are predicated on one model around ‘coercion and control’ meaning that there is a formulaic response that fails to recognise other aspects of domestic violence which may require a more nuanced reaction. This finding has more recently been the subject of a challenge from Standing Together and Respect. At the time of writing this report, the final response from the commissioning LSCB was unavailable, however, this matter will be explored further to ensure that appropriate learning can be shared with the workforce.

## **COMPLETED REPORTS RECEIVED AND REVIEWED**

The subgroup reviewed the action plans in relation to the Southbank International Serious Case Review, as well as the Clare and Ann Serious Case Review.

### **Adult Z**

A case management review was held in relation to Adult Z, aged 18 when he stabbed a peer and was subsequently found guilty of manslaughter. One of the learning points from this review was provided by Adult Z himself: he thought practitioners could have challenged him more and been clearer about their concerns during early interactions with him. The deterioration in his behaviour as he moved from minor school attendance issues to petty and then more serious crime, without the services involved making effective changes meant he continued with impunity. The case review group discussed how he had seen drug dealing as a victimless crime; there were also few incentives for him to stop, especially when he made more money from selling drugs than other opportunities.

Other learning included gaining a better understanding of which interventions might work with young people like Adult Z – perhaps using older peers who have gone through similar experiences – and ensuring that younger siblings are stopped from following the same pathway.

### **Mr S**

The case review subgroup looked at two reports on a young man who had been in our care, and killed another man during a burglary.

The report found that the early assessments for Mr S could have been more holistic. More attention could have been paid to Mr S' journey, given the background features of his life and presenting issues that were already apparent by age 13, particularly the relationship with his mother. By the time he was 13, he had been looked after for two years and was beginning to accumulate a long offending history. Youth Offending and Probation risk assessments concluded that he was at high risk of re-offending and of harm to himself and others. By the time he was 16, concerns increased as his offending had escalated, and efforts to reduce this did not have an impact.

Mr S was assessed by mental health services as not having a mental illness but a personality disorder. Earlier assessment with more flexible engagement in therapy might have helped him deal with his difficulties sooner. Had the Local Authority obtained parental responsibility for Mr S, this might have helped with seeking a Child and Adolescent Mental Health Service assessment, and certainly with attending appointments. It may also have been appropriate to have considered a welfare secure or a residential therapeutic placement for him, in order to achieve some stability and therefore a better opportunity to secure ongoing treatment. Moreover, if skilled foster carers had been found who could have offered him a sense of belonging, family life and stability, he may not have progressed so rapidly through an escalating criminal career. There is, however, no evidence to suggest that different approaches recommended in retrospect would definitely have led to the necessary changes.

Youth Offending Team assessments had previously indicated that Mr S was at a high risk of further violent offence and he had been subject to MAPPA oversight at both Levels 1 and 2. There is evidence that a violent assault had been predicted; unfortunately, neither this information, nor his mental health history was known to adult mental health staff treating him before the fatal incident. However, had the relevant information been available, adult mental health staff would have been better placed to be able to predict a further violent offence.

## **External Serious Case Reviews**

### **Sutton Child D**

This was a case of Child D, girl aged 6 years and 10 months who died. Child D's father was convicted of murder and her mother of child cruelty and perverting the course of justice in the cover-up of her death. There was a long history of physical injury and her father was convicted of grievous bodily harm when Child D was a small child. However, his conviction was quashed on appeal and a High Court Hearing overturned the previous Finding of Fact, which meant the parents were found not to be culpable of involvement in Child D's injuries.

The Judge appointed an Independent Social Work Agency (ISWA) to carry out an assessment of the parents – and Child D and her sibling went back to live with their parents. A number of concerning events followed but, despite these, the ISWA

continued to regard the parents positively, even though they were hostile to Sutton Children's Services. Most professional contacts with Child D in the last few months of her life were with universal services.

The Serious Case Review found that the case was particularly unusual due to:

- the extreme level of avoidance, deception and resistance from the parents, who were often evasive, contradictory and aggressive
- the use of an ISWA for reunification of the children with their parents and the exclusion of the council's Children's Services
- the fact that despite significant concerns being documented, the effect of the court judgement and exoneration, combined with the parent's refusal of any voluntary engagement with support services, was that no intervention that might have made a difference was possible.

The review identified 14 learning points for multi-agency partnerships, some of which include:

- to be aware of the bigger picture and to use a wide lens to consider information and expertise in complex cases
- the importance of focusing on the children and their voices
- concentration on the behaviour, demands and challenges of the adults must not to the detriment of the focus on the child
- never lose sight of how the child experiences behaviours of parents who are resistant and hostile to outside support.

### **Other reviews/subject brought for discussion**

The case review subgroup heard from colleagues in health about a complex case involving fabricated and induced illness and working with difficult and challenging parents carers. Working with fabricated and induced illness and chronic ill-health in children, especially in hospital settings can be a considerable challenge for front-line staff. The LSCB is keen to explore ways to help staff deal with parental behaviours that obstruct access to therapies and recovery for children. Aggressive behaviour toward professionals when children are present, and children hearing defamatory allegations against professionals, both contribute to the child's mistrust of their professional team.

The case review subgroup considered the difficulties encountered by practitioners where the child becomes isolated from social interactions and if professionals are unable to care for the child without fear of repercussions, the child can become serially 'let down' as the parental behaviour blocks any ongoing professional relationship with the child – and it can reinforce the child's belief that they are too unwell to access therapies. In some cases, criminal investigations can be taking place simultaneously making the child's situation very complex to manage. Often many hospitals are involved with such children, as well as social workers and other health staff in the community.

The case review subgroup is working in partnership with the learning and development subgroup to explore how we can put together a learning event /conference on the topic of fabricated and induced illness and come together to share best practice regarding this very complex subject and a learning review is

being explored to extract the specific learning from the case discussed at the subgroup (this will take place in 2017-2018).

## **Communication of the Lessons**

As a matter of routine, all three local partnership groups in the three local authorities take the review reports to their meetings to ensure there is wide dissemination of the lessons. The LSCB training offer is amended where required to incorporate learning. In addition, all LSCB members are expected to communicate and cascade lessons back to their agency networks as appropriate. A key task for the future will be to ensure the LSCB's Learning Review newsletter, which includes a summary of the lessons from cases discussed in the subgroup, is re-launched and that we track the dissemination of this to ensure it reaches practitioners on the front line.

## **Quality Assurance Subgroup**

Reports and recommendations from the Missing Children and CSE and Domestic Abuse audits carried out in 2016-17 were discussed at the QA group and shared with the full LSCB Board. Key learning points and recommendations from published reports:

### Missing Children and CSE

- The majority of children were known to services, vulnerable to a variety of influences, often showing signs of substance abuse and self-harm. Practitioners generally found the young people difficult to engage.
- Practitioners working with these children are often in need of support, and are most effective when they are able to build a strong relationship with the young person.
- CSE leads in each borough and Missing Person's Co-ordinator were roles valued by practitioners who appreciated the opportunity to consult with specialist workers.
- Return Home Interviews were more effective when carried out by someone independent of the child's care and has the best relationship with the young person (e.g. teacher, school nurse, CAMHS worker).
- When done well, return home interviews can help to identify triggers and push pull factors, or who a child is associating with. Other practitioners found a return home interview was duplicating information from the Police debrief with the child and can lead to child / family feeling frustrated as they are repeating themselves.
- The audit has demonstrated the clear link with CSE and Missing cases.

### Domestic Abuse

- Agencies demonstrated an awareness of the serious risk and as a result of some dedicated work children are safer and positive changes have been made with families.

- More joint working and intelligence sharing was required around supporting early referrals, agreeing how information will be cascaded during a case and between Police CSU and Family services to support children and survivors.
- In working with families there is a need for creative approaches where traditional routes are not working and for the use of clear and meaningful language.
- The information loop needed also to be tightened to ensure regular updates and progress is known by all.
- A *danger statement* or similar was recommended when communicating concerns to both parents and the full professional network.
- MARAC referrals needed to be considered on all cases by agencies and eligibility reviewed within supervision highlighting the analysis of risk and whether a referral to this forum is appropriate – this should take into account any recommendations by MASH.
- Consideration needed to be given to starting a working group to include agencies involved with completing work with survivors and perpetrators around the abusive behaviours to map the different services available and consider potential gaps/creative working opportunities to the work we complete with families.

## **Section 11 Audits**

Section 11 of the Children Act 2004 details the responsibilities that agencies have for safeguarding children. In 2016-2017, a revised online audit tool was launched and returns were received from CNWL and CLCH. The audit tool was rolled out to schools, however there was poor take up in the first round, therefore the audits were revised again and sent out via email in 2017-18. The next round of partners to be audited in 2017-18 include Imperial, the private health providers, and Children's Services, including commissioned services. Returns from the independent schools and private, voluntary and independent nursery providers, will also be scrutinised, with the assistance of our LSCB Lay Members.

## **Next steps with multi-agency audits**

The QA subgroup recommended that there would be two full audits a year: one a new topic and one a 'revisit' of a previous theme focused on progress with the recommendations that were made. Future audit topics will align with the Joint Targeted Area Inspections themes and Board priorities.

In addressing the Ofsted action that recommendations from multi-themed audits are carried out and used to improve practice, it is the expectation that each agency takes responsibility for the actions identified from the case audits, and report by exception. As part of the new Audit schedule, repeat audits will also take place in order to measure impact.

## **New organisation of sub-group meetings**

The QA subgroup this year reviewed the meeting structure to strengthen the schedule and relationship with the key work around audits and dataset development. It was agreed that:

- Two of the meetings (June and December) across the year would link to the multi-agency audit workshops and a discussion on the initial findings. This would allow the QA members to hear directly from the practitioners involved. We will also seek data that relates to the audit theme for those meetings.
- The remaining two meetings a year (September and March) will continue to scrutinise the core data set that we collate and produce by exemption key data reports for the LSCB board, particularly around the LSCB priorities.

### **Harmful Practices Steering Group / FGM Early Intervention Pilot**

The Harmful Practices Steering Group was formed in June 2015 as part of the new governance structure to deliver the 2015-2018 Shared Services Violence Against Women and Girls (VAWG) Strategy and regularly reports to the VAWG Strategic Board and the LSCB.

The main functions of the Steering Group have been to ensure that the MOPAC Harmful Practices (HP) pilot is delivering its objectives and outcomes, and highlight and address any issues arising regarding the delivery of the pilot at the earliest available opportunity. It has also overseen the delivery of the FGM pilot at St Mary's Hospital and Queen Charlotte's Hospital, and more recently at Chelsea and Westminster Hospital.

The two year MOPAC Harmful Practices (HP) pilot ended in March 2017. The pilot aimed to improve the way agencies identify and respond to Female Genital Mutilation (FGM), so called Honour Based Violence (HBV), Forced Marriage (FM), and Faith Based Abuse (FBA), with a focus on early identification and prevention, safeguarding and support, and community engagement. The pilot was delivered by the Partnership to End Harmful Practices (PEHP, a consortium of seven women's organisations) in Westminster, Kensington and Chelsea, Hammersmith and Fulham and two other London Boroughs.

### **Ending Harmful Practices Training**

The PEHPP has overseen the roll out of a range of training opportunities on topics including FGM, forced marriage, honour based violence and faith based abuse. The training was delivered in stages, with half day multi-agency workshops open to staff from all agencies, followed by a two-day specialist workshop open only to social workers, police and health staff. Staff who completed the two-day specialist workshops were then invited to attend a series of half day follow up sessions to enable them to tackle the subjects in more depth.

Attendance in the second year of the training programme locally was less successful than in the first year, however, a process evaluation of the pilot undertaken by the MOPAC Evidence and Insight Team found that the training element was widely recognised as the key success of the pilot. During the course of the pilot, the training

courses that were delivered were received well by attendees in terms of quality, content, and improving practitioner knowledge around harmful practices. Respondents to an evaluation survey felt the training had improved their ability to identify and respond to harmful practices, and often highlighted examples or plans to share learning with colleagues back in their respective workplaces.

### **Female Genital Mutilation Early Intervention Project:**

The Female Genital Mutilation Early Intervention Model (MOPAC FGM EIM<sup>7</sup>) pilot was established to implement and refine an effective strategy to prevent new cases of FGM among women and girls, while supporting those affected by FGM. In order to achieve this, the pilot brought statutory health and social services together with community organisations to develop an effective and sustainable intervention delivering support to women who have undergone FGM and safeguarding those at risk of FGM. The pilot was delivered across Hammersmith and Fulham, Kensington and Chelsea and Westminster (alongside two other London boroughs).

This work included developing FGM clinics located within hospital midwifery services (at St Mary's Hospital, Chelsea and Westminster Hospital and Queen Charlottes Hospital) and staffed by a specialist FGM social worker, therapists, community and health advocates drawn from community organisations, and specialist FGM midwives. Women identified by health and other professionals as having undergone FGM – and, in particular, pregnant women identified by midwives – were referred to the clinics for support and safeguarding services. Women who have undergone FGM were also able to self-refer to the clinic.

The specialist FGM social worker has provided advice on the law around FGM and safeguarding children, as well as more general support with accessing services. Emotional support and therapeutic interventions have been provided by the therapists, and community advocates have acted as mediators between clinic staff and the women who attend the clinic. The specialist FGM midwives provide advice on the type of FGM that women have; and health issues women may face (including during pregnancy and labour) as a result of their FGM. Issues dealt with in the clinics have ranged from housing problems, to mental health, extreme isolation due to forced immigration or being refugees and also the devastating impact of FGM on women. There is also a more proactive element focussing on Child Protection, where women who have had FGM and have girls or give birth to baby girls have been assessed by Children's Services. This assessment seeks to speak to wider family members and also take into consideration other cultural and systemic factors that influence the belief behind the practice. This is done in conjunction with the community advocates, providing the families with a voice and a familiar figure and also providing social workers with a better cultural understanding.

This approach demonstrates a more systemic model recognising, that survivors of FGM don't always have the power to be able to protect their daughters. It also acknowledges that FGM is a traditional hidden practice, steeped in culture and it is different from other types of Child Abuse in two main ways:

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<sup>7</sup> [The Mayor's Office for Policing and Crime Female Genital Mutilation Early Intervention Model: An Evaluation](#)

- a. With FGM, prevention is protection. Once a girl has been cut – there is no going back and we have failed in our duty to protect her.
- b. Unlike other types of abuse, girls who come from FGM practicing families do not show signs that we usually look out for in other types of child abuse; such as low school attendance or neglect; in fact, they usually come from families who are invested in their daughters.

It was acknowledged that midwives are often best-placed to identify women who have undergone FGM, while social workers have the most highly developed expertise in safeguarding and direct work with families. The clinic aims to bring together the skills and expertise located within these professions in order to offer a high quality intervention that is developed alongside and facilitated by community advocates.

Alongside work in the FGM Clinics, the specialist FGM social worker and colleagues have delivered training to local professionals; engaged with members of potentially-affected communities to continue to raise awareness of FGM-related issues; provided support and information to men affected by FGM; and engaged with local school pupils to raise awareness about FGM.

An evaluation of the pilot was undertaken by the Department for Education <sup>4</sup> and overall found that the project has been successful in embedding safeguarding within an early help approach that is supportive to both women and children.

### **Safeguarding Children Health Subgroup**

The Safeguarding Children Health Subgroup (SCHS) provides a forum for sharing good practice, learning, innovation and raising concerns regarding safeguarding children. The Designated Professionals for Safeguarding Children chair the LSCB Health Subgroup, which meets on a quarterly basis.

The SCHS has facilitated and aligned collaboratively with health partners reporting requirements and developed quality improvement initiatives for safeguarding children across the child's journey in the health economy.

The SCHS has facilitated a discussion between providers and a joint approach in relation to responding to and promoting national initiatives in meeting targets and performance indicators which enable clinical benchmarking and peer review, with guidance from NHS England (London) when appropriate.

### **Key achievements of the group during the reporting year**

- The Terms of Reference and membership of this sub-group were reviewed: thus improving group's quoracy by identifying the key organisational representatives who should attend, rotating meeting days and setting dates for the year ahead to enable the right representatives to attend.

- The standing agenda items were revised to ensure meeting outcomes were robust and relevant to group members.
- Serious Case Reviews have been added as a standing agenda item whereby the recommendations for health agencies and action plans incorporated into practice to ensure learning is embedded across the health economy.
- The group achieved the use of a standardised referral form to children's social care developed by Imperial Healthcare Trust and shared with the acute NHS Providers.
- In collaboration with the LSCB Business Manager, the Designated Nurses strengthened the Section 11 audit tool to support a health focus so that providers can demonstrate the fulfilment of their statutory duties.
- Strong links were developed with the Public Health representative on the subgroup to ensure that both providers and commissioners who attend the LSCB Board discuss the whole economy.
- The Designated Drs proposed that the structure should be changed and that there should be one post across the three boroughs, this was supported by the CCGs and will be progressed in 2017-18.
- The CCGs facilitated a workshop with the health partners of the LSCB to consider a local response to the options proposed in "**Developing a Local Safeguarding Arrangement in the Context of the Alan Wood Review and the Government's Response**" and presented a range of proposals for how the LSCB might develop in the future.
- Guest speakers were invited to meetings to raise awareness of changes across the NHS landscape to the group members and how these changes will have an impact on safeguarding children examples of this are:
  - Sustainable Transformational Plans
  - Accountable Care Partnership

### **Priorities of the Safeguarding Children Health Subgroup for 2017 -18**

- To review the model of 2 Designated Doctorss for the LSCB and propose the establishment of one post.
- For health partners to undertake internal audits to evaluate the learning from SCRs ensuring it is embedded in practice.
- To ensure the Named Doctors from providers organisations are engaged in the SCHS in some way.
- To hold an annual learning event for the group to ensure group's work is captured effectively and feedback to the LSCB.
- To develop formal feedback mechanisms for subgroup members to their respective organisations as currently feedback is only via the LSCB
- Undertake a root cause analysis on how the group can strengthen and influence changes across health and social care.

## **Learning and Development Subgroup**

This has been a particularly challenging year for the learning and development subgroup, as following the departure of the LSCB trainer, the delivery of and co-ordination of the training programme fell to the Business Manager.

Despite this, the LSCB has continued to provide a wide-ranging training offer. This year, a total of 9 Introduction to Safeguarding Children workshops, and 36 Multi-agency Safeguarding and Child Protection courses were offered, alongside 3 multi-agency Safeguarding and Children Protection Refresher workshops. Specialist workshops included in the programme included two sessions on domestic abuse, parental mental health and parental substance misuse, and also one on working with difficult and evasive families.

In partnership with the Women and Girls Network, we continued to offer a series of five workshops on child sexual exploitation.

The LSCB continued to facilitate the roll out of the Partnership for Ending Harmful Practices Pilot (PEHPP) training. This included eight half day multi-agency workshops (open to all agencies) covering FGM, forced marriage, honour based violence and faith based abuse.

Working in partnership with the Safer Organisations Manager and Tri-Borough LADO (Local Authority Designated Officer), we hosted accredited Safer Recruitment Workshops and Meet the LADO workshops to raise awareness of this important role, although it was noted that attendance at these workshops was low. This may be a reflection of the demands on delegates, such as headteachers and managers who get called away from training at short notice.

The LSCB published an e-learning course on private fostering and continues to signpost to free external e-learning on FGM, Forced Marriage and CSE as well as promote other key training such as the WRAP (Workshop to Raise Awareness of Prevent) sessions offered by the Prevent teams.

A well-attended conference learning event on the Southbank International Serious Case Review was hosted in March 2016.

Evaluation of the training courses was carried out by a pre and post workshop evaluation form, to show how much learning has taken place on the day. Further longer-term evaluations were not possible this year without the LSCB trainer being in post.

Our priorities for 2017-18 include improving the way we evaluate training workshops, by holding focus groups to further measure the impact of training. The specialist course offer will be reviewed and additional workshops on safeguarding adolescents, gangs, Working with Perpetrators of Domestic Abuse, Child Sexual Abuse, Parental Substance Misuse and the Impact on Children, Parental Mental Health and e-safety will be explored.

A learning event on the Clare and Ann serious case review is also being developed.

## **NEGLECT CAMPAIGN, IN PARTNERSHIP WITH THE NSPCC**

In collaboration with the NSPCC the Board agreed to the initiation of a short Neglect Campaign into 2016-2017, with the launch being delivered through a multi-agency conference in May 2016. The aim of the conference was to increase awareness and recognition of neglect, with presentations from a number of prominent researchers and professionals, and this event was very well attended.



A number of follow up workshops to raise awareness of neglect with key frontline practitioners were delivered, and neglect video and resources were published on the LSCB website.

The Board is working with the NSPCC to complete an evaluation of this project.

### **Short-life Work Group on Parental Mental Health**

Parental mental health and wellbeing is a key factor in determining the life circumstances, wellbeing and safety of a child. Parents with mental health problems need support and recognition of their responsibilities as parents and their children's needs must also be addressed. The LSCB completed a short life working group on parental mental health this year. The aims of the group were to collate relevant national and local learning on the topic of parental mental health, including learning from published case reviews, the confidential enquiry into maternal deaths and any local relevant initiatives that could be identified.

The short life working group made several recommendations to the Board:

1. *Joint Audits should be conducted between partner agencies in respect of mental health functions.*

The Board agreed to continue with an audit programme to include work identifying practice in respect of parental mental health. Mental Health Trusts and other providers should ensure support for completing, analysing and reporting results is provided to ensure the work load is shared by all partners.

2. *Development of relevant metrics for all agencies to ensure the ‘Think Family’ approach is delivered.*

The Board agreed that this is challenging in the current climate. However, the Board must consider how it includes assurance, from across the agency network, on issues relating to parental mental health and gathering evidence on the implementation of the ‘Think Family’ principles.

3. *Engagement with private mental health providers to support their engagement with best practice.*

The Designated Nurses for Safeguarding Children continue to engage with private healthcare providers through the private health network that meets quarterly.

4. *Developing an offer of training for the co-existing issues of mental health problems, substance misuse and domestic abuse.*

The 16-17 LSCB training programme included training on the ‘trio’ of concerns. An area to develop going forward will be more in-depth workshops on each of those topics separately, as well as reviewing and challenging what single agency training needs are in this area. The learning from a recent serious case review (Clare and Ann) has been incorporated into our core multi-agency safeguarding and child protection course. Additionally, a larger conference learning event focussing on this serious case review is planned for early 2018.

## **LSCB PRIORITIES FOR 2017-2019**

Following a review by the Board and consideration of developing needs across the three local authority areas, the following four priorities with associated outcomes and actions form the basis of LSCB’s Safeguarding Plan for 2017/2019, whilst not losing sight of key ‘business as usual’ for safeguarding across the partnership.

| <b>Priority 1: Domestic Abuse and Coercive Control</b>  |  |
|---|--|
| <b>Outcomes</b>   | <b>Actions</b>   |
| An evidence-based response to coercive control with a focus on protecting and reducing risk to children and supporting those abused | <ul style="list-style-type: none"> <li>• Identification of resources to strengthen work with perpetrators.</li> <li>• Review mechanisms to identify various types of coercive control and assess provision of interventions</li> <li>• Identify training needs of multi-agency professionals.</li> <li>• Raise awareness of coercive control in relationships.</li> <li>• Strengthen the co-ordination of the activity of both the LSCB and the VAWG partnership to</li> </ul> |

|  |  |
|--|--|
|  | deliver better outcomes for children and young people. |
|--|--|

| <b>Priority 2: Peer on Peer Abuse and Serious Youth Violence</b>   |   |
|--|---|
| The LSCB is providing oversight and scrutiny of the effectiveness of services in preventing and tackling peer on peer    | <ul style="list-style-type: none"> <li>• Peer on peer abuse - assess the access to support and therapeutic services</li> <li>• Coercive control – assess and identify gaps in support services for young people at risk.</li> <li>• Review resources for intervening with young perpetrators.</li> <li>• Work with agencies to develop a strategy around knife crime and serious youth violence.</li> </ul>   |
| <b>Priority 3: Increase the Board’s meaningful engagement with children and young people</b>                             |   |
| The LSCB is engaging with children and young people to ensure their representation on key matters that impact upon them. | <ul style="list-style-type: none"> <li>• Appoint the new post holder for community and children and young people’s engagement.</li> <li>• LSCB Chair and relevant subgroup members to visit existing young advocate groups, youth representation panels or other designated youth leaders.</li> <li>• LSCB Chair to assess representation of children and young people from diverse, marginalised or excluded groups.</li> <li>• Maximise the available participation forums across the three boroughs and via partner agencies, to engage a wider audience of children and young people.</li> <li>• Consult young people to plan and deliver a youth engagement plan for the LSCB</li> <li>• Ensure representation, in appropriate formats, of children and young people in LSCB events and activities.</li> </ul> |

| <b>Priority 4: Working with the Safeguarding Adults Executive Board (SAEB) and linked strategic partnerships</b>                                 |  |
|--|--|
| There are clear and understood transition pathways from child to adult services, especially where there are concerns about ongoing vulnerability | <ul style="list-style-type: none"> <li>• Work with the SAEB to promote a more holistic ‘Think Family’ approach to identifying safeguarding needs</li> <li>• Work jointly with agencies to establish set transition pathways including mental health.</li> <li>• Create a co-ordinated response to legislation and</li> </ul> |

|  |   |
|--|---|
| <p>A coordinated response to new legislation that includes adults and children's safeguarding issues.</p> <p>A co-ordinated approach to safeguarding linked to parental and young peoples' substance misuse.</p> | <p>guidanc on 'Modern Slavery'</p> <ul style="list-style-type: none"> <li>• Conduct a review of how effectively agencies work together to support problematic parental substance misuse to minimise its impact on children. In particular <ul style="list-style-type: none"> <li>○ How Public Health consider safeguarding in their commissioning of services</li> <li>○ Assess the clarity amongst commissioners regarding their responsibilities. Identify gaps / duplication and safeguarding impacts.</li> </ul> </li> <li>• Jointly ensure agencies have structured processes to identify the support needs of vulnerable parents and that a child's views and concerns are at the forefront of the assessment process.</li> <li>• Work jointly on the quality, safety and safeguarding aspects of substance misuse by young people</li> </ul> |
|--|---|



## LSCB Budget 2016-2017

| 2016/17 Actual Outturn |      |     |       |
|------------------------|------|-----|-------|
| LBHF                   | RBKC | WCC | TOTAL |

| 2016/17 Corrected Outturn |      |     |       |
|---------------------------|------|-----|-------|
| LBHF                      | RBKC | WCC | TOTAL |

### CONTRIBUTIONS

|                                       |                |                |                |                 |
|---------------------------------------|----------------|----------------|----------------|-----------------|
| <b>Sovereign Borough General Fund</b> | <b>-79,169</b> | <b>-59,462</b> | <b>-76,930</b> | <b>-215,561</b> |
|---------------------------------------|----------------|----------------|----------------|-----------------|

|                |                |                |                 |
|----------------|----------------|----------------|-----------------|
| <b>-79,169</b> | <b>-59,462</b> | <b>-76,930</b> | <b>-215,561</b> |
|----------------|----------------|----------------|-----------------|

|   |                 |                |                 |                 |
|---|-----------------|----------------|-----------------|-----------------|
| Metropolitan Police                       | -10,000         | -10,000        | -10,000         | <b>-30,000</b>  |
| Probation                                 |                 |                |                 | <b>0</b>        |
| CAFCASS                                   | -550            | -550           | -550            | <b>-1,650</b>   |
| CCG (Health)                              | -20,000         | -20,000        | -20,000         | <b>-60,000</b>  |
| <b>Total Partner Income</b>               | <b>-30,550</b>  | <b>-30,550</b> | <b>-30,550</b>  | <b>-91,650</b>  |
| <b>Total Funding (excluding reserves)</b> | <b>-109,719</b> | <b>-90,012</b> | <b>-107,480</b> | <b>-307,211</b> |

|                 |                |                 |                 |
|-----------------|----------------|-----------------|-----------------|
| -10,000         | -10,000        | -10,000         | <b>-30,000</b>  |
|                 |                |                 | <b>0</b>        |
| -550            | -550           | -550            | <b>-1,650</b>   |
| -20,000         | -20,000        | -20,000         | <b>-60,000</b>  |
| <b>-30,550</b>  | <b>-30,550</b> | <b>-30,550</b>  | <b>-91,650</b>  |
| <b>-109,719</b> | <b>-90,012</b> | <b>-107,480</b> | <b>-307,211</b> |

### EXPENDITURE

|   |                |               |                |                 |
|---|----------------|---------------|----------------|-----------------|
| Salary expenditure                              | 14,669         | 56,918        | 27,030         | <b>98,618</b>   |
| Independent Chair                               | 0              | 0             | 0              | <b>0</b>        |
| Training  | 0              | 6,219         | 6,600          | <b>12,819</b>   |
| Peer review/consultancy                         | 0              | 0             | 0              | <b>0</b>        |
| Multi-agency Auditing                           | 0              | 0             | 0              | <b>0</b>        |
| Other LSCB costs                                | 1,123          | 24,282        | 2,871          | <b>28,277</b>   |
| <b>Total expenditure</b>                        | <b>15,792</b>  | <b>87,420</b> | <b>36,502</b>  | <b>139,713</b>  |
| Serious Case Review related expenditure in-year |                |               |                |                 |
| <b>Forecast variance</b>                        | <b>-93,927</b> | <b>-2,592</b> | <b>-70,978</b> | <b>-167,498</b> |
| <b>Moved to B/S for partner income</b>          |                |               |                |                 |
| <b>Final outturn variance</b>                   | <b>-93,927</b> | <b>-2,592</b> | <b>-70,978</b> | <b>-167,498</b> |

|                |                |                |                 |
|----------------|----------------|----------------|-----------------|
| 32,873         | 32,873         | 32,873         | <b>98,618</b>   |
| 0              | 0              | 0              | <b>0</b>        |
| 4,273          | 4,273          | 4,273          | <b>12,819</b>   |
| 0              | 0              | 0              | <b>0</b>        |
| 0              | 0              | 0              | <b>0</b>        |
| 9,426          | 9,426          | 9,426          | <b>28,277</b>   |
| <b>46,571</b>  | <b>46,571</b>  | <b>46,571</b>  | <b>139,713</b>  |
|                |                |                |                 |
| <b>-63,148</b> | <b>-43,441</b> | <b>-60,909</b> | <b>-167,498</b> |
| <b>63,148</b>  | <b>43,441</b>  | <b>60,909</b>  | <b>167,498</b>  |
| <b>0</b>       | <b>0</b>       | <b>0</b>       | <b>0</b>        |

### BALANCE SHEET

|   |               |                |                |                 |
|---|---------------|----------------|----------------|-----------------|
| Reserves Brought Forward                    | -5,500        | -70,689        | -55,226        | <b>-131,415</b> |
| <b>Adjustment in year</b>                   |               |                |                | <b>0</b>        |
| Contribution to LSCB balance sheet accounts | 0             | 0              | 0              | <b>0</b>        |
| <b>Reserves to take forward</b>             | <b>-5,500</b> | <b>-70,689</b> | <b>-55,226</b> | <b>-131,415</b> |

|                |                 |                 |                 |
|----------------|-----------------|-----------------|-----------------|
| -5,500         | -70,689         | -55,226         | <b>-131,415</b> |
|                |                 |                 | <b>0</b>        |
| <b>-63,148</b> | <b>-43,441</b>  | <b>-60,909</b>  | <b>-167,498</b> |
| <b>-68,648</b> | <b>-114,130</b> | <b>-116,135</b> | <b>-298,913</b> |

The tables above show the reported outturn at the end of the year and a revised outturn after errors were identified. Corrections are being made to re-attribute costs appropriately in 2017-2018.



## **GLOSSARY OF TERMS**

|         |   |
|---------|---|
| BAME    | Black, Asian and Minority Ethnic                              |
| CAFCASS | Children and Family Court Advisory and Support Service        |
| CAMHS   | Child and Adolescent Mental Health Services                   |
| CDOP    | Child Death Overview Panel                                    |
| CRC     | Community Rehabilitation Company                              |
| CCG     | Clinical Commissioning Group                                  |
| CQUIN   | Commissioning for Quality and Innovation (payments framework) |
| CP-IS   | Child Protection-Information Sharing project                  |
| CSE     | Child Sexual Exploitation                                     |
| FGM     | Female Genital Mutilation                                     |
| HCPC    | Health and Care Professions Council                           |
| HMRC    | Her Majesty's Revenue and Customs                             |
| IGU     | Integrated Gangs Unit   |
| MAPPA   | Multi-Agency Public Protection Arrangements                   |
| MARAC   | Multi-Agency Risk Assessment Conference                       |
| MASE    | Multi-Agency Sexual Exploitation meeting                      |
| MASH    | Multi-Agency Safeguarding Hub                                 |
| NHSE    | National Health Service England                               |
| NPS     | National Probation Service                                    |
| NSPCC   | National Society for Prevention of Cruelty to Children        |
| PHSE    | Personal, Health and Social Education                         |
| Ofsted  | Office for Standards in Education                             |
| SCR     | Serious Case Review   |
| SLWG    | Short Life Working Group                                      |
| VAWG    | Violence Against Women and Girls (partnership)                |

## **CONTACT DETAILS**

In writing to: LSCB, c/o 1st Floor, Kensington Town Hall, Hornton Street, London W8 7NX

Telephone: 020 8753 3914

Website: <https://www.rbkc.gov.uk/subsites/lscb.aspx>

## **APPENDIX A: LEGISLATIVE AND STATUTORY CONTEXT FOR LSCBS**

Section 14 of the Children Act 2004 and Working Together to Safeguard Children 2015 outlines the statutory obligations and functions of the LSCB as below:

- (a) to coordinate what is done by each person or body represented on the Board for the purposes of safeguarding and promoting the welfare of children in the area; and
- (b) to ensure the effectiveness of what is done by each such person or body for those purposes.

**Regulation 5 of the Local Safeguarding Children Boards Regulations 2006** sets out that the functions of the LSCB, in relation to the above objectives under section 14 of the Children Act 2004, are as follows:

- 1(a) developing policies and procedures for safeguarding and promoting the welfare of children in the area of the authority, including policies and procedures in relation to:
  - (i) the action to be taken where there are concerns about a child's safety or welfare, including thresholds for intervention;
  - (ii) training of persons who work with children or in services affecting the safety and welfare of children;
  - (iii) recruitment and supervision of persons who work with children;
  - (iv) investigation of allegations concerning persons who work with children;
  - (v) safety and welfare of children who are privately fostered;
  - (vi) cooperation with neighbouring children's services authorities and their Board partners;
- (b) communicating to persons and bodies in the area of the authority the need to safeguard and promote the welfare of children, raising their awareness of how this can best be done and encouraging them to do so;
- (c) monitoring and evaluating the effectiveness of what is done by the authority and their Board partners individually and collectively to safeguard and promote the welfare of children and advising them on ways to improve;
- (d) participating in the planning of services for children in the area of the authority; and
- (e) undertaking reviews of serious cases and advising the authority and their Board partners on lessons to be learned.

**APPENDIX B: LSCB BOARD ATTENDANCE 2016-2017**

| Role  | 19th April 2016 | 19th July 2016 | 11th October 2016 | 31st Jan 2017 |
|---|-----------------|----------------|-------------------|---------------|
| LSCB Chair  | y               | y              | y                 | y             |
| Executive Director of Children's Services (Tri-borough) | y               | y              | y                 | y             |
| Director of Family Services (H&F)                       | y               | y              | y                 | y             |
| Director of Family Services (RBKC)                      | y               | y              | y                 | y             |
| Director of Children's Services (WCC)                   | y               | x              | y                 | y             |
| Director of Schools (Asst Director)                     | y               | y              | y                 | y             |
| Head of Combined Safeguarding & Quality Assurance       | y               | y              | y                 | y             |
| LSCB Business Manager                                   | y               | y              | y                 | y             |
| Director of Adults Safeguarding (or rep)                | y               | y              | y                 | y             |
| Housing   | y               | y              | y                 | y             |
| Police Borough Command                                  | x               | y              | y                 | y             |
| Police CAIT   | y               | y              | y                 | y             |
| Probation   | y               | y              | y                 | y             |
| Community Rehabilitation Company                        | y               | y              | y                 | x             |

|   |   |   |   |      |
|---|---|---|---|------|
| CAFCASS   | x | x | y | x    |
| Prisons   | x | x | y | x    |
| Ambulance Service                                       | y | x | x | x    |
| Voluntary Sector  | y | y | y | y    |
| Lay member  | y | y | y | y(2) |
| NHS England   | x | y | x | x    |
| Health CCGs   | y | y | y | y    |
| Designated Doctor<br>INWL/Designated Doctor<br>Chelwest | x | y | y | y    |
| Designated Nurse  | x | y | y | y    |
| Head of Safeguarding, CLCH                              | y | x | x | y    |
| CLCH Director of Nursing                                | x | x | x | x    |
| Imperial Director of Nursing                            | y | y | x | y    |
| Chelwest Director of Nursing                            | y | y | y | y    |
| WLMHT   | y | y | y | y    |
| CNWL  | x | x | y | y    |
| Public Health   | y | y | x | y    |
| Community Safety Team<br>(Commissioning)                | x | y | y | y    |
| Policy Team (Commissioning)<br>(advisory)               | y | y | y | y    |
| Head Teachers   | y | x | y | x    |

|   |   |   |   |   |
|---|---|---|---|---|
| Cabinet Member for Children's services, H&F             | x | x | x | y |
| Cabinet Member for Family and Children's Services, RBKC | y | y | y | y |
| Cabinet Member for Children's Services, WCC             | y | y | y | y |

Please note for the purpose of this table 'y' means attendance of the LSCB Member or a representative, 'o' means a representative was not expected and 'x' that no representative attended.

This report was prepared by the LSCB Independent Chair, Jenny Pearce, with support from Emma Biskupski (LSCB Business Development Manager).

We would like to thank the many members of the LSCB who made contributions to the report.

**Approved by LSCB :** xxx October 2017

**Published on** xxx 2017

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