Dear Member,

This is formal notice advising you of the above meeting. The Agenda is set out below. Supplementary Items will only be added if the Chair considers them urgent.

Martin Esom
ACTING CHIEF EXECUTIVE

MEMBERSHIP:

Chair: Councillor Matt Davis
Vice Chair: Councillor Terry Wheeler
Councillors: G Hammond, P Herrington, M. Lewis, K. Limbajee, A. Mahmood, R. Sullivan, R. Sweden and E Vincent

Non-elected Voting Members

Church of England
Special Schools Parent Governor
Roman Catholic Church
Primary Schools Parent Governor
Secondary Schools Parent Governor

Neil Murphy
0208 496 4492
Neil.murphy@walthamforest.gov.uk
AGENDA

1. APOLOGIES FOR ABSENCE AND SUBSTITUTE MEMBERS

2. DECLARATIONS OF INTEREST

Members are required to declare any personal or prejudicial interests they may have in any matter, which is to be considered at this meeting. In addition, any private or personal non-pecuniary interest in a matter to be considered at this meeting should also be declared, unless it is insignificant or one which is shared with other members of the public generally as a Council taxpayer or an inhabitant of the area. Members must declare whether they are constrained by party whip when considering any particular item (Constitution, Part 6, Section 17.1).

3. PUBLIC PARTICIPATION

4. MINUTES (Pages 1 - 6)

The Minutes of the meeting of the Management Committee held on 14 July 2010 are attached for confirmation.

5. CLOSURE OF ALBERT CRESCENT PUBLIC CONVENIENCES (Pages 7 - 25)

This report was not available for despatch with the Agenda and will be circulated to Members under a separate cover.

6. QUESTIONS TO THE LEADER OF THE COUNCIL

The Leader of the Council has been invited to attend and will answer questions submitted in advance by Management Committee members.

7. WALTHAM FOREST BOROUGH INVESTMENT PLAN (Pages 26 - 150)

8. COUNCIL REORGANISATION PHASE II (Pages 151 - 337)

9. COUNCIL PETITION ARRANGEMENTS AND SCRUTINY FUNCTION (Pages 338 - 347)

10. SCRUTINY CO OPTION SCHEME (Pages 348 - 392)

This report was not available for despatch with the Agenda and will be circulated to Members under a separate cover.

11. FUTURE SCRUTINY WORKING ARRANGEMENTS: Scrutiny Structure and Resources - Options (Pages 393 - 402)

12. OVERVIEW AND SCRUTINY CHAIRS’ / CHAIRMEN REPORT (Pages 403 - 432)
a) Placements Budget Scrutiny Panel: Initial Report

b) Chairs are asked to report verbally on the work undertaken / to be undertaken by their respective sub Committees

13. COUNCILLOR CALL FOR ACTION REQUESTS

Members are asked to note that no CCfA requests have been received by the Scrutiny Unit since the last meeting of the Management Committee.

14. EXCLUSION OF PRESS AND PUBLIC

Members will be asked to pass a resolution to exclude the press and public for the remainder of the meeting in accordance with Section 100(A) of the Local Government Act 1972 as amended on the grounds that consideration of the remaining items will involve the disclosure of exempt information as defined in paragraph 3 of Schedule 12A to the Act.

15. WALTHAM FOREST BOROUGH INVESTMENT PLAN

The Confidential appendices of item 7 are attached for Members and relevant Officers only.

AGENDA SECOND DESPATCH (Pages 433 - 434)
1. APOLOGIES FOR ABSENCE AND SUBSTITUTE MEMBERS
There were no apologies for absence as all Members of the Committee were present.

2. DECLARATIONS OF INTEREST
No declarations of interest were submitted.

3. PUBLIC PARTICIPATION
It was noted that there had been no requests to address the Management Committee from the Public.

4. MINUTES.
The Minutes of the meeting of the Overview and Scrutiny Management Committee held on 14 June 2010 were agreed as a correct record subject to a minor typographical error.
5. **FUTURE SCRUTINY WORKING ARRANGEMENTS**

Members agreed to defer this item until the next meeting as it had not been made available to Members in sufficient time for it to be properly considered.

However members were reminded of concern that was expressed at the last meeting that the membership of the Management Committee required expansion to allow for all sub committee Chairs to be members and to reflect political balance.

Accordingly The Management Committee **recommended** to the Council that

The size of the Overview and Scrutiny Management Committee be increased to 10 Members to include all Scrutiny sub committee chairs and to allow for political balance arising from that.

6. **DISPOSAL PROGRAMME**

Members were informed that as part of the Council’s strategy to maximise capital resources to deliver the Council’s priorities, a review has been carried out of all Council sites to identify potential sites for immediate disposal. Arising from this a report was received setting out a schedule of disposals, the capital receipts and revenue savings that would be generated by these disposals, and a new corporate process which will regularly review use of assets and identify potential disposals.

Concern was expressed that Appendices to the report had been classified as Private and Confidential and it was agreed that there was not sufficient cause for this. Accordingly it was resolved not to exclude the press and public for the discussion of the item.

The following questions reflect the discussion on this matter:

<table>
<thead>
<tr>
<th>Question MD</th>
<th>Why are we paying rent on office space when we are considering disposing of Chingford Municipal Offices?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Answer MB</td>
<td>We are considering options for consolidation on existing sites, there are still ongoing discussions on the future of sites and options for future use are still open.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Question GH</th>
<th>The Assets Group mentioned in the report, will it be an external body?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Answer MB</td>
<td>This will be an Officer Group, and staff will be selected for particular expertise.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Question GH</th>
<th>I am concerned to see a number of school sites on the disposal list, should we be selling such when pupil numbers are rising?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Answer MB</td>
<td>Work is ongoing to assess future need for such sites.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Question MD</th>
<th>I recall that there is provision of £15million to facilitate Building Schools for the Future. Is this dependent on site disposal?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Answer MB</td>
<td>Yes.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Question BS</th>
<th>Can you say which list is going to be sold?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Answer MB</td>
<td>Appendix A represents those sites which we are currently proposing to market or are being actively marketed. Appendix B relates to property that may be identified as surplus to requirement by Service Reviews and thus could become available for disposal.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Question MD</th>
<th>Can you better identify the sites of a) Housing Garages b) Yardley Road and c) Connaught Road?</th>
</tr>
</thead>
</table>
Having considered the report, Members expressed some concern at proposals to dispose of serviceable buildings while renting office space.

Accordingly the Management Committee recommended
That the Cabinet ensures that it gives full and proper consideration to the reopening and full use of Chingford Municipal Offices rather than continuing to pay rent for Silver Birch House and other rented office space.

7. REVIEW OF REVENUE BUDGET 2010/11 AND PROCESS FOR THE MEDIUM TERM FINANCIAL STRATEGY AND THE 2011/12 REVENUE BUDGET

Paul James the Joint Director of Finance reported that the Chancellor of the Exchequer had announced £6.2 billion of savings from government spending in 2010/11 to help tackle the £156 billion deficit in the public finances. Accordingly, Government is requiring local government to make a contribution of £1.165 billion towards the overall savings target.

Arising from this a report was presented that reviewed the 2010/11 Revenue Budget and set out a process and timetable to identify in-year savings. The review reflected the Government’s recent announcement regarding cuts in Area Based Grant for 2010/11 which was confirmed would be reduced by £2.6 million.

The following questions reflect the discussion on this item:

<table>
<thead>
<tr>
<th>Question BS</th>
<th>The report identifies a £5 million overspend is this a projection to the end of the financial year or does it relate to the current position? If it is a projection can you tell us what the current position is?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Answer PJ</td>
<td>The figure represents a projected overspend at year end. I do not have the current figures but will provide these to members in writing.</td>
</tr>
<tr>
<td>Comment ML</td>
<td>The area of placements for children was identified as problematic when Scrutiny considered the budget in January, and in the current climate I cannot blame social workers for placing clients in care rather than leaving them with parents. Can we say exactly what has been the cause of the problem – has it been rising prices or an increase in the number of placements?</td>
</tr>
<tr>
<td>Answer PJ</td>
<td>This has been caused by the volume of placements.</td>
</tr>
<tr>
<td>Comment MD</td>
<td>Obviously there are problems with the budgeting for placements. What are we doing to redress the failings in that process?</td>
</tr>
<tr>
<td>Answer PJ</td>
<td>There are a range of measures that we are introducing to ensure</td>
</tr>
</tbody>
</table>

The discussion closed at this point.
that the problems do not re occur, and these are set out in the recommendations made in the report.

**Question RS**
Are we convinced that the placements have caused these overspends? The report suggests that a Scrutiny Panel be established to look at overspends – surely the Panel would need to look at all reasons, not limit itself to placements?

**Answer PJ**
We have identified placements as being the largest single contributor, however it will be up to the Scrutiny panel to set its own terms of reference and scope of research.

**Question ML**
I know that work is under way in Adult Services on placements and a new strategy is being developed – does this report and its recommendations affect that new strategy?

**Answer PJ**
I understand that the Director of Adults Services has already incorporated the recommendations into his strategy review.

**Comment / Question ML**
There is a high level of interim and temporary staff in the Finance Department. This obviously leads to managerial problems, there is no continuity.

**Response PJ**
You are correct and this is an area that we are attempting to address.

**Comment ML**
I know that there is a high price to pay for placements – I have heard that £5000 a week has been charged – perhaps it is time that Local Authorities looked into joint procurement so that we do not present such a soft target for providers.

**Question MD**
Are we monitoring any possible cost shifting exercises by departments, designed to “lose” expenditure in other departments?

**Answer PJ**
There are a number of potential issues such as this and we will be monitoring budgets to try to ensure that such tactics are stopped.

Having considered this matter the Overview and Scrutiny Management Committee agreed to note the report and its recommendations.

Arising from this Members noted that they were being asked to convene a scrutiny panel to review the overspend identified in the report.

Accordingly the Management Committee agreed that a Panel of four Members be convened and that it comprise a Member, preferably the Chair, from our Finance, Health Adults and Older Peoples, and Children and Young Persons Overview and Scrutiny sub committees, together with a representative from the Management Committee.

In view of the urgent nature of this matter it was further agreed that the Panel meet as soon as possible and should report back to the September meeting of the Management Committee.

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### 8. CORPORATE RESTRUCTURE

The Acting Chief Executive reported on proposed changes to the Council’s senior management structure and arrangements for service delivery. It was noted that the report proposed reductions in the number of Directors at the second tier level in the organisation, most significantly the newly appointed Joint Director of Finance, focussed the organisation towards the priorities of the new administration, and responded to the financial pressures faced by the Council.
The report also outlined an indicative timetable for three phases of reorganisation of the Council’s overall management structure and the interim arrangements to be made in the process of completing the Council reorganisation.

Members also received an addendum setting out amendments to recommendation 2.1 detailed in the original report to read

2.1 (v) request that the Acting Chief Executive put in place appropriate arrangements for the proper administration of the Council’s Financial affairs following the deletion of the post of Joint Director of Finance.

2.1 (vi) request that the incoming chief Executive formulate proposals for the future proper administration of the Council’s financial affairs and the management and stewardship of the council’s resources as a matter of urgency.

The following questions represent the discussion on this item:

<table>
<thead>
<tr>
<th>Question BS</th>
<th>I have two real issues here, firstly how much is the redundancy of the Director of Finance going to cost us, and secondly why are we being asked to set up a Member Panel to look at redundancies as we have not been asked to do this in the past.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Answer ME</td>
<td>I cannot say how much the deletion of the joint Director of Finance post will cost, the decision to delete the post is imminent but has not formally been taken yet. The request to establish a Member Panel was included at the request of the Director of governance and Law, and an explanation needs to be sought from her.</td>
</tr>
<tr>
<td>Comment MD</td>
<td>Surely this is a matter of management. This should be dealt with by officers – Members should not be involved.</td>
</tr>
<tr>
<td>Question GH</td>
<td>Is there a formal agreement relating to the Joint Director of Finance arrangements?</td>
</tr>
<tr>
<td>Answer ME</td>
<td>An agreement was drawn up but not signed by either the PCT or the Authority.</td>
</tr>
<tr>
<td>Question RS</td>
<td>As the PCT is not due to be dissolved until 2013 why is there a rush to dissolve this arrangement?</td>
</tr>
<tr>
<td>Answer ME</td>
<td>The PCT have approached us regarding the dissolution, this will be financially advantageous in terms of salary saved the more quickly it is done.</td>
</tr>
<tr>
<td>Question KL</td>
<td>How have you arrived at the proposals in the report?</td>
</tr>
<tr>
<td>Answer ME</td>
<td>We have looked at the structures used by other Authorities and have adapted these for our own use.</td>
</tr>
<tr>
<td>Question BS</td>
<td>Has the work been undertaken in house or did we engage consultants to do it for us?</td>
</tr>
<tr>
<td>Answer ME</td>
<td>We now have considerable expertise amongst our staff and undertook this exercise in house.</td>
</tr>
</tbody>
</table>

Having considered this report Members expressed concern at the proposal to convene a Member Committee to oversee the restructure. The Management Committee therefore agreed that a letter be forwarded to the Director of Governance and Law asking for a full explanation of the necessity for such a body.
9. OVERVIEW AND SCRUTINY SUB COMMITTEE WORK PROGRAMMES / OVERVIEW AND SCRUTINY CHAIR’S / REPORT
Councillor Sweden reported that he had recently attended a briefing on the recent Government White paper relating to Health care. He explained that he intended that the Health Adults and Older Persons Scrutiny sub committee would review the proposals in the future as they seemed to have great implications for local people. Councillor Davis welcomed this, and strongly urged that local residents and interest groups be involved in the meeting.

10. COUNCILLOR CALL FOR ACTION REQUESTS
It was reported that as of 3 June 2010 there had been no Councillor Call for Action requests.

Signed ………………………………………………………………… (Chair)

Date………………………………………………
1. SUMMARY

1.1. Each year the Council undertakes a budget review exercise where it aligns its finances with its corporate priorities. In 2005, the Council decided to review its provision of toilet facilities.

1.2. The majority of the Council owned toilets were in a state of considerable disrepair and a focus for anti-social behaviour. The review concluded that the Council should close the facilities in the worst condition whilst at the same time identifying alternate modes of provision. Full Council ratified this decision in February 2005 and it was agreed that a phased implementation would be taken.

1.3. The Council has established a Community Toilet Scheme (CTS) along the lines of the successful pilot that was implemented in Richmond. It was subsequently decided that all the Council owned toilets provision should be discontinued, with the exception of Albert Crescent.

1.4. This report considers the future of Albert Crescent Public Convenience in line with the current strategic financial review, the council’s identified corporate priorities and alternative facilities offered in the locality.

2. RECOMMENDATION
2.1. It is recommended that the Director of Public Realm in consultation with the Environment Portfolio Holder agrees:

2.1.1 The Albert Crescent Public Convenience be closed from 1st September 2010 or as soon as possible after 1st September 2010;

2.1.2 The structure be demolished immediately after the date of closure.

3. **REASON FOR DECISION**

3.1 The council has a Community Toilet Scheme operational in this area that currently has 4 members providing adequate alternative provision. In addition to this there are toilet facilities also available at WFD Chingford that will soon be added to the scheme. There are also a number of cafes, restaurants and bars that are open throughout the day and evening that are not members of the CTS but have toilet facilities available for their customers.

3.2 The cost of the current public convenience cannot be considered value for money when compared with the Community Toilet Scheme. The current cost of the public convenience is £86k per annum in comparison to approximately £1k per annum for each Community Toilet Scheme member.

4. **BACKGROUND**

4.1 At the time of the review in 2005 the Council provided 9 public conveniences that were owned, staffed and maintained by the Council. This provision was supplemented by 5 Automatic Public Conveniences (APC's) that were leased from JC Decaux. The leasing arrangements included both maintenance and cleansing.

4.2 It was subsequently decided that all the Council owned toilets, with the exception of Albert Crescent, and the APCs provision should be discontinued. The leasing costs were extremely expensive and over a long period of time. Even, allowing for the termination costs, the decision to discontinue the APC provision generated considerable savings that was re-directed into frontline service provision and to support the Community Toilet Scheme. The total savings generated by this decision was £585k per annum.

4.3 The basis of the Community Toilet Scheme is a series of contractual agreements between the Council and Businesses. Where the scheme members relate to private properties, the contracts are between the Council and the owners / occupiers of those properties. In some instances the property that the contract relates to changes hands. The Community Toilet Scheme contract is not automatically transferred. Instead, the Council has to enter into an agreement with the new operator for the premise to remain in the scheme.
4.4 There are currently approximately 35 members of the Community Toilet Scheme. At the time of writing there are a further 3 parties that have expressed a wish to participate in the scheme. The annual cost of the CTS is £40k. This initiative has meant that the Council has managed to reduce the cost of toilet provision whilst at the same time improving access to an alternative means of toilet provision.

4.5 The current facilities at Albert Crescent offers separate male, female, disabled and baby changing facilities. The facility is attended (two Building Cleaning staff) and costs £86k per annum.

4.6 There are 4 CTS members in the immediate vicinity. These are located at.

- KFC Chingford Mount 1-2 Albert Crescent, Chingford E4 (this CTS participant offers separate male, female, disabled and baby changing facilities and is approx 10 yards from present public convenience)
- South Chingford Library 58 Hall Lane, Chingford E4 (this CTS participant offers disabled and a single shared male and female facilities and is approx 50 yards from present public convenience)
- The Obelisk 30-32 Old Church Road, Chingford E4 (this CTS participant offers separate male, female, disabled and baby changing facilities and is approx 50 yards from present public convenience)
- The Ridgeway Park Old Church Road, Chingford E4 (this CTS participant offers separate male, female and disabled facilities and is approx 600 yards from present public convenience)

In addition to this there are toilet facilities are also available at WFD Chingford (this will soon be added to the scheme, this premises offers disabled, baby changing and a single shared male and female facilities and is approx 50 yards from the present public convenience).

5.0 Proposals

5.1 As there is adequate alternative provision in the area for the public to use the Albert Crescent Public Convenience facility should be closed.

5.2 The public convenience should be demolished immediately after closure to prevent vandalism and anti social behaviour.

5.3 Officers in the Council will continue to promote the CTS and increase membership borough-wide.

5.4 The Portfolio Holder will review the CTS budget on a regular basis to ensure there are adequate funding arrangements to support parties interested in joining the scheme.
6. **IMPLICATIONS**

6.1. **Financial**

6.1.1. The savings generated by the closure of the public convenience will be £86k.

6.1.2. There will be costs associated with the demolition of the structure and this must be met from within current budgetary provisions.

6.2. **Consultation**

6.2.1. Consultation has taken place with Highways, Environmental Services, Finance, Legal Services, Property Management, Human Resources, Equalities, Unison and the Portfolio Holder for Environment.

6.3. **Timescale**

6.3.1. It is proposed that the closure take place from 1\(^{st}\) September 2010 or as soon as possible after that date and that demolition of the building take place immediately after closure.

6.4. **Legal**

6.4.1. There is no statutory obligation for the Council to provide toilet facilities. However, there are suitable alternative toilet provision within the vicinity provided through the Community Toilet Scheme.

6.5. **Human Resources**

6.5.1. There are 2 members of staff currently employed by Building Cleansing that are directly affected by this proposal and they are being consulted with in line with the Framework for Managing People.

6.6. **Health Impact Assessment**

6.6.1. The provision of alternative adequate facilities within the locality will ensure no impact upon the health of persons using the current facility.

6.7. **Equality Impact Assessment**

6.7.1. As a result of the consultation and a petition received it has been highlighted that there may be a negative impact in that:

- current toilet facility is highly valued and in a very practical location,
- There is a high standard of cleanliness and there are concerns that the CTS members may not meet the same standards,
• There is a barrier from certain religious groups or families using some of the CTS facilities i.e. public houses; and

• The disabled facilities are highly regarded and used by disabled persons and their carers and the CTS members may not offer the same facilities.

• Persons using the area may not be aware of where the CTS facilities are located

6.7.2 These negative impacts have been addressed in the action plan in the Equalities Impact Assessment that is attached as Appendix 1

6.8 Climate Change Impact Assessment


7. CONCLUSION

7.1 The decision to close the toilet facility at Albert Crescent is based on the fact that there are suitable alternative provisions in the vicinity provided through the Community Toilet Scheme. The Albert Crescent Toilet facility does not represent value for money service provision when compared to the cost of the alternative options available in the vicinity.

7.2 The Council is committed to a full and thorough review of its services to ensure value for money and implications with regard to the council’s identified corporate priorities. This proposal is part of the process to ensure value for money.

Approved by
Cllr Clyde Loakes
Environment Portfolio Holder

Date: 19.8.10

Approved by
Keith Hanshaw
Director of Public Realm

Date: 19.8.10
APPENDIX 1

Equality Impact Assessment Template

The Equalities Duties and Equality Impact Assessments (EIA)

Cabinet must have due regard to its equalities duties when making decisions. EIA are the means by which the Council demonstrates compliance with the duties. The findings of and actions arising from an EIA should be set out in the Equalities implications section of the Cabinet report. **Failure to complete an EIA and implications will result in the deferral of the report**

The Equalities Duties
The Council has statutory equalities duties in relation to gender, race and disabilities

The Council must have ‘due regard’ to the need in the following areas to:

**Gender:**
- eliminate unlawful sex discrimination and harassment (including for transsexual people)
- promote equality of opportunity between men and women

**Race:**
- eliminate unlawful racial discrimination;
- promote equality of opportunity; and
- promote good relations between people of different racial groups.

**Disability:**
- promote equality of opportunity between disabled persons and other persons
- eliminate discrimination that is unlawful under the Act
- eliminate harassment of disabled persons related to their disabilities
- promote positive attitudes towards disabled persons
- encourage participation by disabled persons in public life; and
- take steps to take account of disabled persons’ disabilities, even where that involves treating disabled persons more favourably than other persons

**NB** Please note the additional disability duty to provide for positive discrimination for disabled persons to “level the playing field” with non-disabled persons, e.g. in accessing services through dedicated car parking spaces)

**THIS FRONT SHEET FORMS PART OF THE EIA – PLEASE COMPLETE THE REST OF THE TEMPLATE AND SUBMIT AS A SINGLE DOCUMENT**

**FOR FURTHER INFORMATION AND GUIDANCE ON THESE DUTIES, YOU SHOULD ALSO READ THE CORPORATE GUIDANCE PROVIDED ON EQUALITIES IMPLICATIONS.**
Name of policy/service/function | Public Conveniences – Closure of Chingford Mount (Albert Crescent) Toilet
---|---
Date of Assessment | 21st July 2010
Directorate | Environment & Regeneration
Head of Service | Keith Hanshaw
Name of lead Assessor | Gareth Jones
Reason for completing assessment | • A service review

**Context**

What is the purpose or desired outcome of this policy/proposal from an equalities perspective?

Each year the Council undertakes a budget review exercise where it aligns its finances with its corporate priorities. In 2005, the Council decided to review its provision of toilet facilities.

At that time the Council provided 9 public conveniences these facilities were owned, staffed and maintained by the Council. This provision was supplemented by 5 Automatic Public Conveniences that were leased from JC Decaux. The leasing arrangements included both maintenance and cleansing.

The majority of the Council owned toilets were in a state of considerable disrepair and a focus for anti-social behaviour. The review concluded that the Council should close the facilities in the worst condition whilst at the same time identifying alternate modes of provision. Full Council ratified this decision in February 2005 and it was agreed that a phased implementation would be taken.

The Council has established a Community Toilet Scheme along the lines of the successful pilot that was implemented in Richmond. It was subsequently decided that all the Council owned toilets, with then exception of Chingford Mount, and the APCs provision should be discontinued. The leasing costs were extremely expensive and over a long period of time. Even, allowing for the termination costs, the decision to discontinue the APC provision generated considerable savings that was re-directed into frontline service provision and support the Community Toilet Scheme. The total savings generated by this decision was £585k per annum.

The basis of the Community Toilet Scheme is a series of contractual agreements between the Council and Businesses. Where the scheme members relate to private properties, the contracts are between the Council and the owners / occupiers of those properties. In some instances the property that the contract relates to changes hands. The Community Toilet Scheme contract is not automatically transferred. Instead, the Council has to enter into an agreement with the new operator for the premise to remain in the scheme.
There are currently approximately 35 members Community Toilet Scheme. At the time of writing there are a further 3 parties that have expressed a wish to participate in the scheme. The annual cost of the CTS is £40k. This initiative has meant that the Council has managed to reduce the cost of toilet provision whilst at the same time improving access to an alternative means of toilet provision.

The only remaining public convenience within the borough is at Albert Crescent, Chingford E4.

Public conveniences throughout the rest of the borough have gradually been closed for value for money reasons due to the cost implications of maintaining these facilities.

There are currently approximately 35 members Community Toilet Scheme. At the time of writing there are a further 3 parties that have expressed a wish to participate in the scheme. The annual cost of the CTS is £40k. This initiative has meant that the Council has managed to reduce the cost of toilet provision whilst at the same time improving access to an alternative means of toilet provision.

The current facilities at Albert Crescent offers separate male, female, disabled and baby changing facilities. The facility is attended (two Building Cleaning staff) and costs £90k per annum.

In view of this, a decision has been made to close the Albert Crescent Toilet facility as there is adequate provision in the area for the public. Officers in the Council will continue to promote the CTS and increase membership borough-wide. The Portfolio Holder will review the CTS budget on a regular basis to ensure there are adequate funding arrangements to support parties interested in joining the scheme.

The purpose of this EIA is to examine the impact of the proposed closure of Albert Crescent and to determine any shortfalls in alternative facilities with regard to equalities.

Stage 1  Gathering and Reviewing Evidence

What are the equality issues including barriers to access or successes that are relevant to understanding the equality dimension of this policy/proposal?

(Look at race, gender, disability, faith, age, sexual orientation, trans-gender and any other potentially disadvantaging factors such as ex-offender)
The current facilities at Albert Crescent offers separate male, female, disabled and baby changing facilities and therefore offers a service to persons of every race, gender, disability, faith, age and sexual orientation.

The CTS facilities within this area are offered at the following locations:

- KFC Chingford Mount 1-2 Albert Crescent, Chingford E4 (this CTS participant offers separate male, female, disabled and baby changing facilities and is approx 10 yards from present public convenience)
- South Chingford Library 58 Hall Lane, Chingford E4 (this CTS participant offers disabled and a single shared male and female facilities and is approx 50 yards from present public convenience)
- The Obelisk 30-32 Old Church Road, Chingford E4 (this CTS participant offers separate male, female, disabled and baby changing facilities and is approx 50 yards from present public convenience)
- The Ridgeway Park Old Church Road, Chingford E4 (this CTS participant offers separate male, female and disabled facilities and is approx 600 yards from present public convenience)

In addition to this there are toilet facilities are also available at WFD Chingford (this will soon be added to the scheme, this premises offers disabled, baby changing and a single shared male and female facilities and is approx 50 yards from the present public convenience).

There are also a number of cafes, restaurants and bars that are open throughout the day and evening that are not members of the CTS but have toilet facilities available for their customers.

Where are the gaps in this evidence; which groups or issues do we know least about?

Where you have involved or consulted on this policy/proposal with equality stakeholders and what did they tell you?

Consultation has taken place with internal partners including Highways, Environmental Services, Finance, Legal Services, Equalities and the Portfolio Holder for Environment.

Information received from this consultation highlights the success of the CTS and the fact that facilities are offered within that scheme close to the current Public Conveniences.

A petition has been received from persons using the current facilities or the local area and this has highlighted that the current toilet facility is highly valued and in a very practical location, that there is a high standard of cleanliness and there are concerns that the CTS members may not meet the
same standards, that there is a barrier from certain religious groups using some of the CTS facilities i.e. public houses and that the disabled facilities are highly regarded and used by disabled persons and their carers.

Stage 2. Making an Assessment of the Impact

Drawing on aims of the policy, the evidence of issues and barriers and the outcomes of involvement activity please list all potential **negative impacts** on:

- people from the equality groups
- the promotion of equality in general and
- the promotion of community cohesion.

The negative equality impacts of this proposal are:

- Not every CTS facility offers the complete range in one location
- That the alternative CTS facilities may not be in as practical a location as the current facilities
- Families with young children and some religious groups may deem some premises unsuitable for use by them e.g. pubs, but there is only one pub within the scheme in this area
- The cleanliness of the CTS members may not be up to the same standard as the current facilities
- Persons using the area may not be aware of where the CTS facilities are located

Please specify what action you could take to remove or partially mitigate each **negative impact**.

- Ensure that any proposed new CTS premises have suitable facilities for the range of users and are in practical locations around the shopping hub and bus station
- Ensure that a range of premises are members of the CTS in order to ensure facilities are available for families with young children and religious groups i.e. premises other than public houses
- Carry out regular visits to the CTS members in the 3 months following closure of the current facility to ensure cleansing standards are being maintained
- Publish details of the current local CTS members on the notice board situated alongside the current facility and on any hoardings whilst demolition is in progress

If any of these **negative impacts** cannot be mitigated at all please provide justification for this.
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<th>Stage 3</th>
<th>Planning Mitigating and Improvement Action</th>
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**EIA Action Plan**

<table>
<thead>
<tr>
<th>Negative impact or improvement</th>
<th>Action required</th>
<th>Lead Officer</th>
<th>Time scale</th>
<th>Expected Outcome</th>
</tr>
</thead>
<tbody>
<tr>
<td>Families with young children or certain religious groups may deem some premises such as public houses unsuitable for use by them and they may not be in practical locations</td>
<td>Ensure that any proposed new CTS premises are in a range of premises, have suitable facilities for the range of users and are in practical locations around the shopping hub and bus station</td>
<td>Andy Lyon &amp; Judy Beaupierre</td>
<td>July 2010 and ongoing</td>
<td>New CTS members have appropriate facilities for all users, are in a range of premises and are in practical locations</td>
</tr>
<tr>
<td>Cleanliness of facilities in CTS members buildings</td>
<td>Regular visits to be carried out to CTS members in the 3 months after the public convenience closes to ensure the upkeep of cleansing standards</td>
<td>Andy Lyon &amp; Judy Beaupierre</td>
<td>Visit once a month for the 3 months following closure of public convenience</td>
<td>Ensure standards of cleanliness maintained</td>
</tr>
<tr>
<td>Persons using the area may not be aware of where the CTS facilities are located</td>
<td>Publish details of the location of the current local CTS members on the notice board along side the current facility and on any hoardings whilst demolition is in progress</td>
<td>Andy Lyon &amp; Judy Beaupierre</td>
<td>Immediately prior to the agreed closure date and during demolition</td>
<td>Members of the public are informed of the available facilities</td>
</tr>
</tbody>
</table>
Equality Impact Assessment Template

The Equalities Duties and Equality Impact Assessments (EIA)

Cabinet must have due regard to its equalities duties when making decisions. EIA are the means by which the Council demonstrates compliance with the duties. The findings of and actions arising from an EIA should be set out in the Equalities implications section of the Cabinet report. *Failure to complete an EIA and implications will result in the deferral of the report*

The Equalities Duties
The Council has statutory equalities duties in relation to gender, race and disabilities

The Council must have ‘due regard’ to the need in the following areas to:

**Gender:**
- eliminate unlawful sex discrimination and harassment (including for transsexual people)
- promote equality of opportunity between men and women

**Race:**
- eliminate unlawful racial discrimination;
- promote equality of opportunity; and
- promote good relations between people of different racial groups.

**Disability:**
- promote equality of opportunity between disabled persons and other persons
- eliminate discrimination that is unlawful under the Act
- eliminate harassment of disabled persons related to their disabilities
- promote positive attitudes towards disabled persons
- encourage participation by disabled persons in public life; *and*
- take steps to take account of disabled persons’ disabilities, even where that involves treating disabled persons more favourably than other persons

**NB** Please note the additional disability duty to provide for positive discrimination for disabled persons to “level the playing field” with non-disabled persons, e.g. in accessing services through dedicated car parking spaces)

**THIS FRONT SHEET FORMS PART OF THE EIA – PLEASE COMPLETE THE REST OF THE TEMPLATE AND SUBMIT AS A SINGLE DOCUMENT**

**FOR FURTHER INFORMATION AND GUIDANCE ON THESE DUTIES, YOU SHOULD ALSO READ THE CORPORATE GUIDANCE PROVIDED ON EQUALITIES IMPLICATIONS.**
Context

What is the purpose or desired outcome of this policy/proposal from an equalities perspective?

Each year the Council undertakes a budget review exercise where it aligns its finances with its corporate priorities. In 2005, the Council decided to review its provision of toilet facilities.

At that time the Council provided 9 public conveniences these facilities were owned, staffed and maintained by the Council. This provision was supplemented by 5 Automatic Public Conveniences that were leased from JC Decaux. The leasing arrangements included both maintenance and cleansing.

The majority of the Council owned toilets were in a state of considerable disrepair and a focus for anti-social behaviour. The review concluded that the Council should close the facilities in the worst condition whilst at the same time identifying alternate modes of provision. Full Council ratified this decision in February 2005 and it was agreed that a phased implementation would be taken.

The Council has established a Community Toilet Scheme along the lines of the successful pilot that was implemented in Richmond. It was subsequently decided that all the Council owned toilets, with then exception of Chingford Mount, and the APCs provision should be discontinued. The leasing costs were extremely expensive and over a long period of time. Even, allowing for the termination costs, the decision to discontinue the APC provision generated considerable savings that was re-directed into frontline service provision and support the Community Toilet Scheme. The total savings generated by this decision was £585k per annum.

The basis of the Community Toilet Scheme is a series of contractual agreements between the Council and Businesses. Where the scheme members relate to private properties, the contracts are between the Council and the owners / occupiers of those properties. In some instances the property that the contract relates to changes hands. The Community Toilet Scheme contract is not automatically transferred. Instead, the Council has to enter into an agreement with the new operator for the premise to remain in the
scheme.

There are currently approximately 35 members Community Toilet Scheme. At the time of writing there are a further 3 parties that have expressed a wish to participate in the scheme. The annual cost of the CTS is £40k. This initiative has meant that the Council has managed to reduce the cost of toilet provision whilst at the same time improving access to an alternative means of toilet provision.

The only remaining public convenience within the borough is at Albert Crescent, Chingford E4.

Public conveniences throughout the rest of the borough have gradually been closed for value for money reasons due to the cost implications of maintaining these facilities.

There are currently approximately 35 members Community Toilet Scheme. At the time of writing there are a further 3 parties that have expressed a wish to participate in the scheme. The annual cost of the CTS is £40k. This initiative has meant that the Council has managed to reduce the cost of toilet provision whilst at the same time improving access to an alternative means of toilet provision.

The current facilities at Albert Crescent offers separate male, female, disabled and baby changing facilities. The facility is attended (two Building Cleaning staff) and costs £90k per annum.

In view of this, a decision has been made to close the Albert Crescent Toilet facility as there is adequate provision in the area for the public. Officers in the Council will continue to promote the CTS and increase membership borough-wide. The Portfolio Holder will review the CTS budget on a regular basis to ensure there are adequate funding arrangements to support parties interested in joining the scheme.

The purpose of this EIA is to examine the impact of the proposed closure of Albert Crescent and to determine any shortfalls in alternative facilities with regard to equalities.

---

**Stage 1  Gathering and Reviewing Evidence**

What are the equality issues including barriers to access or successes that are relevant to understanding the equality dimension of this policy/proposal?

(Look at race, gender, disability, faith, age, sexual orientation, trans-gender and any other potentially disadvantaging factors such as ex-offender background, being a gypsy or traveller, being a looked-after child)

The current facilities at Albert Crescent offers separate male, female, disabled
and baby changing facilities and therefore offers a service to persons of every race, gender, disability, faith, age and sexual orientation.

The CTS facilities within this area are offered at the following locations:

- KFC Chingford Mount 1-2 Albert Crescent, Chingford E4 (this CTS participant offers separate male, female, disabled facilities)
- South Chingford Library 58 Hall Lane, Chingford E4 (this CTS participant offers separate male and female facilities)
- The Obelisk 30-32 Old Church Road, Chingford E4 (this CTS participant offers separate male and female facilities)
- The Ridgeway Park Old Church Road, Chingford E4 (this CTS participant offers separate male and female facilities)

In addition to this there are toilet facilities available at WFD Chingford (this will soon be added to the scheme, this premises offers separate male, female, disabled facilities).

There are also a number of cafes, restaurants and bars that are open throughout the day and evening that are not members of the CTS but have toilet facilities available for their customers.

Where are the gaps in this evidence; which groups or issues do we know least about?

Where you have involved or consulted on this policy/proposal with equality stakeholders and what did they tell you?

Consultation has taken place with internal partners including Highways, Environmental Services, Finance, Legal Services, Equalities and the Portfolio Holder for Environment.

Information received from this consultation highlights the success of the CTS and the fact that facilities are offered within that scheme close to the current Public Conveniences. It was also suggested that additional members of the CTS should be sought in this area to ensure greater coverage for disabled and baby changing facilities.

**Stage 2. Making an Assessment of the Impact**

Drawing on aims of the policy, the evidence of issues and barriers and the outcomes of involvement activity please list all potential **negative impacts** on;

- people from the equality groups
- the promotion of equality in general and
- the promotion of community cohesion.

The negative equality impacts of this proposal are:
- Not every CTS facility offers the complete range in one location
- Families with young children may deem some premises unsuitable for use by them e.g. pubs

Please specify what action could you take to remove or partially mitigate each negative impact.

- Ensure that any proposed new CTS premises have suitable facilities for the range of users i.e. disabled and baby changing facilities

If any of these negative impacts cannot be mitigated at all please provide justification for this.

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<td>need to increase CTS provision for the disabled</td>
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OVERVIEW AND SCRUTINY MANAGEMENT COMMITTEE
13 September 2010

CLOSURE OF ALBERT CRESCENT PUBLIC CONVENIENCES

Contact Officer: Neil Murphy 020 8496 4492
Neil.Murphy@walthamforest.gov.uk
Democratic Services

Classification: Open

1.0 SUMMARY

1.1 The attached report is to be presented to the Portfolio holder for decision prior to the Cabinet meeting on 14 September.

Members instructions are requested
TABLE OF CONTENTS

1. VISION ........................................................................................................7
   1.1. Strategic Context .................................................................................7
   1.2. Vision ..................................................................................................8
2. KEY INDICATORS TARGETS AND OBJECTIVES ..................................11
   2.1. Key indicators ....................................................................................11
       2.1.1. Geography .................................................................................11
       2.1.2. Population & Migration ............................................................12
       2.1.3. Deprivation ..............................................................................13
       2.1.4. Economy and Employment .......................................................13
       2.1.5. Education and Skills .................................................................14
       2.1.6. Housing ....................................................................................15
       2.1.7. Health .......................................................................................16
   2.2. Growth capacity ................................................................................17
       2.2.1. Small sites ................................................................................21
       2.2.2. Affordable housing ....................................................................21
   2.3. Other key housing and regeneration objectives ...............................23
2.4. Spatial Strategy ....................................................................................26
       2.4.1. Borough Wide LDF Themes .......................................................28
3. CHALLENGES TO DELIVERY ..........................................................30
   3.1. Short–medium term challenges ........................................................30
   3.2. Ongoing barriers ..............................................................................31
4. KEY INVESTMENT OPPORTUNITIES ..............................................32
   4.1. Summary ...........................................................................................32
   4.2. Blackhorse Lane ...............................................................................33
       4.2.1. Project Outline: ........................................................................34
       4.2.2. Projects ....................................................................................35
       4.2.3. Delivery and Challenges ..........................................................37
   4.3. Walthamstow Town Centre ..............................................................38
       4.3.1. Project Outline ..........................................................................38
       4.3.2. Projects ....................................................................................40
       4.3.3. Delivery and Challenges ..........................................................42
   4.4. Northern Olympic Fringe (NOF) and Lee Bridge Area Action Plan ..43
4.4.1. Project Outline ................................................................. 44
4.4.2. Projects ........................................................................... 47
4.4.3. Delivery and Challenges ................................................... 49
4.5. Wood Street ........................................................................ 50
  4.5.1. Project Outline ................................................................. 51
  4.5.2. Projects ........................................................................... 52
  4.5.3. Delivery and Challenges ................................................... 53
4.6. Decent Homes and Estate renewal ........................................ 54
4.7. Other Sites ........................................................................... 56
  4.7.1. Walthamstow Stadium ..................................................... 56
  4.7.2. Other sites ........................................................................ 58
4.8. Thematic interventions and investments .................................. 58
  4.8.1. The development of new homes ......................................... 61
  4.8.2. High quality and sustainable housing ................................ 61
  4.8.3. Supported housing .......................................................... 64
  4.8.4. Private Sector Housing ..................................................... 65
  4.8.5. Improving our town centres .............................................. Error! Bookmark not defined.
4.9. Economic Development ....................................................... 67
4.10. Infrastructure needs ............................................................ 69
  4.10.1. Transport ....................................................................... 70
  4.10.2. Environmental and energy projects ................................. 73
  4.10.3. Public realm ................................................................. 76
  4.10.4. Education ....................................................................... 77
  4.10.5. Health Care (PCT) .......................................................... 80
  4.10.6. Social Infrastructure ....................................................... 81
5. INVESTMENT AND DELIVERY ............................................... 82
5.1. Local Authority role ............................................................ 82
  5.1.1. Land ................................................................................ 82
  5.1.2. Delivery models / mechanisms ......................................... 82
  5.1.3. Expertise, capacity and project management ..................... 83
  5.1.4. Funding ............................................................................ 86
5.2. HCA and public sector role .................................................. 87
5.3. Private & 3rd Sector role ...................................................... 89
6. NEXT STEPS ........................................................................ 90
6.1. Timeline .............................................................................. 90
6.2. Our commitment ............................................................... 91
6.3. Key contacts and relationships

.......................................................... 92
Priorities

Over the next few months we would like our engagement with the HCA to lead to improved mechanisms of working together, and to HCA commitments to support a number of key interventions, projects and plans, a summary of which is set out below; more detail can be found in the body of the document, particularly in Section 5.
About this document

We ask that our single conversation partners respect the confidentiality of documentation produced as part of the Single Conversation and Investment Programme. The information contained within this document and any related discussions and material should not be discussed with, or provided to, any third parties, including the individual RSLs, without prior agreement between the parties.

This document has been structured to reflect the HCA’s guidance on the production of BIPs as follows:

<table>
<thead>
<tr>
<th>BIP section</th>
<th>Relationship to HCA guidance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Section 1 – executive summary</td>
<td>Summary</td>
</tr>
<tr>
<td>Section 2 - Vision</td>
<td>Part 1 section 1</td>
</tr>
<tr>
<td>Section 3 – Key indicators, targets and objectives</td>
<td>Part 1 section 2</td>
</tr>
<tr>
<td>Section 4 – challenges to delivery</td>
<td>Part 2 section 4</td>
</tr>
<tr>
<td>Section 5 – key investment opportunities</td>
<td>Part 1 section 3</td>
</tr>
<tr>
<td>Section 6 – investment and delivery</td>
<td>Part 2 sections 5,6 and 7</td>
</tr>
<tr>
<td>Section 7 – Gap analysis</td>
<td>Part 2 section 8</td>
</tr>
<tr>
<td>Section 8 - Next steps</td>
<td>Conclusions</td>
</tr>
<tr>
<td>Appendix A (classified)</td>
<td>Key Ask Table</td>
</tr>
<tr>
<td>Appendix B (classified)</td>
<td>Borough Housing Pipeline</td>
</tr>
</tbody>
</table>
1. VISION

1.1. Strategic Context

The London Borough of Waltham Forest will, over the next decade be shaped by the regeneration of the Lee Valley along its western edge, given huge impetus by the legacy developments from the 2012 games and at Stratford.

LB Waltham Forest is a growing Outer London borough and in spatial planning terms, it is one of the most important boroughs because of its location. While it has a well-defined suburban role in relation to the City and the West End – principally due to its excellent transport links - Waltham Forest’s pivotal position among several sub and trans-regional strategic plans cannot be overstated.
With the Lee Valley and Epping Forest defining its western and eastern boundaries respectively, the borough forms a green edged corridor from the edge of London’s Green Belt in the north, to the heart of the London 2012 Olympic Park at the south.

The borough naturally relates to both North London and East London boroughs. In North London, it is a key partner in the North London Strategic Alliance, which is responsible for waste planning, and for the Upper Lee Valley – the largest Opportunity Area for development identified in the London Plan. It is also a key borough in the East London sub-region, and the borough has a vital role in helping economic activity between the two sub-regions to increase, and helping – in line with the spirit of the draft Replacement London Plan – to increase the role of Outer London boroughs in the Capital’s economy.

Waltham Forest is a very near neighbour of the two most important employment growth sites in the London Plan – Stratford and Isle of Dogs. Strengthening the connections between the borough and those two economic hubs is critical for the borough’s future, and to achieving the sub-regional connections outlined above.

Waltham Forest also spans two nationally designated growth areas – the Thames Gateway and the London-Stansted-Cambridge growth corridor. As both these growth priorities fundamentally rely on London-driven growth spreading outwards – east and north, successful growth in Waltham Forest is crucial.

In addition to the above, the regeneration agenda in Waltham Forest takes on national significance as it is an Olympic Host Borough, which in turn gives impetus to the Council and partners to address the issue of the potential ‘cliff edge’ surrounding the Olympic Park. The Council is determined to play its role in ensuring that the Olympics Games are a national success, and that the real legacy is achieved through its commitment to the 5 Host boroughs Multi-area agreement (MAA) and Strategic Regeneration Framework (SRF) objectives, including the convergence of socio-economic outcomes in the borough to the London average. To achieve some of the legacy outcomes desired, however, the borough needs physical and social access to the opportunities of the Olympic Park and Stratford City.

### 1.2. Vision

“Our aim is to create prosperity and stability. In practice this will mean many more of our residents in well-paid jobs and decent homes, all our children achieving their full potential free from the limiting effects of poverty, and a revitalised public realm including thriving town centres, parks and open spaces.......”
We know our population of 223,200 is set to grow over the next 23 years by up to 22,600 (see 2.1.2 below), heralding a huge shift in demography with more than half of residents in the south and centre of the borough coming from ethnic minority backgrounds. We also know that in the recent past our population has grown, but without a corresponding growth in prosperity – in fact our population has become poorer. We are losing people in ‘professional and managerial’ occupations, already under-represented in our population, and we have seen sequent increases in health inequalities, crime, teenage pregnancy and other associated challenges. 94% of the borough now ranks among the poorest half of areas nationally.

These challenges are closely linked with issues of poor quality housing, overcrowding, reduced access to employment opportunities and a poor quality public realm, all of which, in turn, have a negative impact on public perceptions of the borough, leading to population migration, ‘middle class flight’, and the concentration of deprivation in particular areas. We have already seen this happen in areas in the south of the borough.

Meanwhile, in the north of the borough, greater levels of affluence and access to improved housing and green spaces have exacerbated disparities within the borough. At the same time, the limited transport infrastructure and lack of affordable housing in the north is impacting upon the attractiveness and stability of these areas.

This is not sustainable. Without action, cycles of deprivation become self-reinforcing and increasingly difficult to reverse. The absence of a coherent and attractive offer to individuals and families of all backgrounds and incomes will inevitably impact on the balance and sustainability of our communities.

We have an ideal opportunity to address these issues, with unprecedented investment expected in the sub-region over the coming years, including billions of investment in the Olympics and the legacy developments, and in key growth areas bordering the borough. Waltham Forest is a connector borough that sits alongside the Olympic Park and the Stratford City Development and provides a link between these opportunities to the South and to Tottenham Hale and Central Leeside to the North and West. Our role as a hinge between two national regeneration corridors is unique.

Together these will all provide a host of employment, leisure and housing opportunities. We need to make this work for us and our residents, exploit the opportunities that arise from it, and channel our efforts into those interventions and investments that will best enable us to turn around the fortunes of the borough.
In order to address the above, we have set out in our Sustainable Communities Plan the strategic objectives for the borough and our partners.

At the heart of these are the need to manage population growth and change. Critical to this is the need to improve and provide attractive residential locations with highly sought after family accommodation, and the right homes in the right places to support a growing and diverse population.

This, in turn will provide the foundation for a more economically balanced population by retaining more wealth in the borough and by creating wealth and opportunity for residents. We need to increase total spending power and generate jobs and allied to education, skills and improved health and employment programmes we aim to raise aspirations, tackle concentrations of deprivation and narrow the wealth gap between neighbourhoods so that, in time, none of our residents will live in poverty and full employment becomes a reality. Critically to secure the future we need to provide children and young people with the skills and confidence to achieve their ambitions and compete in the global economy.

The texture and quality of the different places and spaces within the borough will be crucial to the realisation of these ambitions. We need to create distinctive, vibrant town centres with attractive leisure and cultural amenities, and a strong commercial offer. The public realm needs to be transformed with the design of high quality public spaces and access to quality open spaces. The provision of public services to support and sustain change in these communities and places will be crucial too in order to create a borough where more people aspire to live.

We need to respond to climate change in a practical and effective way, reducing consumption of energy and water, encouraging sustainable and carbon neutral development, being a champion of green innovation, increasing cycling options, connections to the Lea Valley and public transport options.

Collectively, these strategic priorities establish the importance of the regeneration agenda to the borough, and are at the heart of our housing and regeneration objectives.
2. KEY INDICATORS TARGETS AND OBJECTIVES

2.1. Key indicators

2.1.1. Geography

The borough is predominantly residential in character and interspersed with retail centres, areas of industry and open space, parks and playing fields. The southern parts—including Leyton, Leytonstone and Walthamstow, which are the focus of urban regeneration were in the main developed in the late Victorian era. Housing is at relatively high densities and often located very close to industrial and business premises.

Waltham Forest has some distinct spatial features:

- The North Circular Road (A406) divides the borough into two main areas.
- The borough is served by two overground rail lines - the Chingford to Liverpool Street and Gospel Oak to Barking lines.
- It also has two London Underground lines – the Victoria and Central lines. Walthamstow Central is the major transport hub in the borough.

With 31% of the land area consisting of open space, Waltham Forest is a very green borough. It is exceptional in being surrounded by the open land and countryside of Epping Forest and the Lea Valley which run the length of the eastern and western boundaries respectively. Both Epping Forest and Lee Valley are
regional parks, and large proportions of the borough are designated as either Green Belt or Metropolitan Open Land. These significant green spaces are viewed as a key asset for the borough, and form an important part of the borough’s attraction in terms of affordable urban living in close proximity to natural assets.

2.1.2. Population & Migration

Waltham Forest has a diverse population and a notably higher than average birth rate. Our population of 223,200 was last assessed in 2008 and is set to grow over the next 23 years by up to 22,600 so we need to plan for a population that will be bigger and also more diverse and living longer. In 2001 35.6% of our residents were from an ethnic minority background and this is projected to rise to 46.9% by 2026, and more than 60% in most of the centre and south of the borough which have seen significant population turnover in recent years.

We are losing people in ‘professional and managerial’ occupations, who are already underrepresented in our population compared to London as a whole (SCS). A disproportionate number of higher income earners are choosing to leave the borough (Housing Strategy - HS). In 2007, 47.1% (10,239 implied) of existing households who had plans to move soon were planning to move out of the borough, of which 29.8% were planning to move to Essex (HMNA).
2.1.3. Deprivation

Our population has grown without a corresponding growth in prosperity (SCS). On the Index of Multiple Deprivation (IMD) Waltham Forest is ranked at the 27th most deprived authority out of 354 nationally. More prosperous households tend to live in the north of the borough and less prosperous households in areas to the centre and south (see diagram).

Overall Index of Multiple Deprivation 2007

Overall Ranking

- 11%-20% Most Deprived
- 6%-10% Most Deprived
- Top 5% Most Deprived

2.1.4. Economy and Employment

One of the longest sustained periods of economic growth in UK history came to an end in 2008 when the global credit crunch plunged the UK into its first recession since 1992. Even when the economy was performing strongly Waltham Forest had high levels of deprivation.

The borough has experienced a long term decline in its economy and the employability of its residents. Up to the 1980s, manufacturing accounted for one in three jobs. The recession of the early 1990s and restructuring of the economy meant more unemployment and worklessness amongst lower skilled residents. That legacy still remains and while there is more employment in the
borough, growth in recent years has been mainly in the public sector such as health and education. Furthermore, with notable exceptions in North Chingford and Walthamstow Village, there is little evidence of an evening economy, and the range and quality of goods and services available are not meeting our residents’ expectations. This has had a knock on impact on the development of the borough. As unemployment increased in the centre and south of the borough, the quality of shops and the town centres also declined. Only Chingford, with the largest number of higher income earners in the borough, has escaped a steep decline in the quality of shops and cafes.

Our business base has continued to shrink and while the former manufacturing legacy still remains and there are other sectors of employment in the borough, growth in recent years has been mainly in the public sector such as health and education. Waltham Forest has, however, a healthy enterprise culture ranking 48th in Britain. Strong competition from inner London boroughs results in Waltham Forest ranking a more moderate 18th within London.

Looking forward, as the economic recovery gains traction, we have an opportunity to reverse the historic process of decline and further recent retrenchment. By 2016, there could be up to 450,000 new jobs in London including 100,000 in the Isle of Dogs and 30,000 at Stratford City. The legacy of the Olympics and Stratford City will help to a new economic centre on our doorstep.

Worklessness remains a persistent problem in Waltham Forest. In the year to June 2009 65.5 per cent of Waltham Forest’s working age population were in employment (compared to 67.5% at March 2008), lower than both the London and England averages of 70.4 per cent and 72.9 per cent respectively.

Alongside a low employment rate high numbers of people are claiming out of work benefits. As of November 2009 23,960 people in Waltham Forest were claiming out of work benefits, namely Job Seekers Allowance (JSA), Incapacity Benefits (IB) and Income Support (mainly lone parents). At 16.4 per cent of the working age population this represents an increase of 10% in the short period from February 2008.

Geographically, worklessness is concentrated in the south of the borough. Within these areas Cathall (19.5%), Higham Hill (20%) and Wood Street (19.2%) wards have the highest proportions of claimants (DWP / ONS, May 2009)

2.1.5. Education and Skills

Qualifications and skills levels in Waltham Forest are very low, as with most of East London. Waltham Forest ranks 377th out of 408 local areas in Great Britain on our overall skills and qualifications score. The borough is characterised by its polarized
skills base: 32 per cent of the working age population has a level 2 or below qualification while 29.3 per cent have a level 4 or above qualification. At 18 per cent, Waltham Forest has proportionately more residents with no qualifications than London (12 per cent).

Low educational attainment and low skills levels is a major national problem, which is being exacerbated by the shift to more knowledge based industries. In London, some 43 percent of jobs are currently filled by workers with level 4 and above qualifications (degree level and above). The GLA forecasts that by 2020 the demand for highly skilled workers in the capital will increase to the extent that 50 per cent of employees will have a level 4 qualification.

Locally, poor education increases the chances of our young people adding to the workless population and being uncompetitive in the labour market.

The latest educational attainment results (2009) show that 56.3 per cent of 15 year olds achieved 5 or more A* to C GCSEs, including English and Maths. Although this is a significant improvement it still means that nearly half of young people are leaving Waltham Forest schools without basic qualifications. Primary school education in Waltham Forest, reflected in the 2008 SATs results, is comparable in performance to Inner London, and is only marginally behind that for England and Wales and the rest of London.

Schools and school places have become over-stretched due to the recent growth in population. We will need to plan for enhanced facilities and fine sites for new facilities to support population growth.

### 2.1.6. Housing

There are over 96,500 properties in the borough - 78% are privately owned of which 21% are private rented), 11% are managed by RSLs, and 11% are owned by the council and managed by Ascham Homes (ALMO). Much of the housing is Victorian or Edwardian, primarily terraces - particularly in the centre and south of the borough. The north has more ‘20s and ‘30s detached and semi-detached properties.

More than 10,000 households are on the housing register, many needing family-sized housing (SCS). Like many London boroughs, we also have high overcrowding levels – 12.9% of all existing households (12,000 households) (HS). Both council-owned and private rented sector properties in Waltham Forest have overcrowding rates of more than 22% (Housing Needs & Market Survey). Conversely, under-occupation affects approximately 20.3% of all households in the borough, many homeowners and a high proportion of elderly households. Under-occupation in the
social rented sectors is comparatively low because a large proportion of Ascham Homes’ housing is small - one and two bedroom - units (HS).

In affordability terms, Waltham Forest has low house prices compared to the rest of London. In August 2008, only Barking and Dagenham, Bexley and Newham had lower property prices than Waltham Forest (HS). Despite this, both home ownership and private renting options are limited for local residents due to low average incomes. 92.2% of the households that formed in the borough in 2006/07 did not earn enough money to be able to buy, and 73.1% were unable to access the private rented sector. In May 2008 a single earner household required an income of £46,500 to buy a one bedroom flat in Walthamstow (HS).

In terms of property condition, it is estimated that 30.6% of private homes in the borough are non-decent. This accounts for 21,000 units across Waltham Forest. Of these, 7,000 are believed to contain vulnerable households (2008 CLG data). Over half the Council’s properties now meet the Decent Homes standard, up from just 10% in 2003, and we anticipate that all homes will be brought up to the standard by 2012. In 2008-09 Ascham Homes exceeded its target and made 1,509 homes decent, prevented 898 dwellings falling out of decency, and achieved 98% resident satisfaction following the completion of works, under a spend programme of £37.5m.

2.1.7. Health

Official statistics show that life expectancy in Waltham Forest is shorter than the national average. This will be challenging to address but is strongly associated with deprivation and therefore tackling the causes of deprivation is critical. Having a low birth weight baby is also strongly associated with deprivation and the borough is ranked the 3rd worst in England and Wales for the percentage of low birth weight babies and 5th worst for the percentage for very low birth weight babies. We also experience higher than average levels of teenage conception and pregnancy although the rate is reducing. Evidence demonstrates that teenage pregnancies have a major impact on the health and future life opportunities of young mothers and the health and well being of their babies.

Mental illness is more common among the borough’s adult population than in the rest of the country. Needs are particularly high in the south of the borough, with some wards estimated to have nearly twice the average national rates of mental illness.

Health facilities and primary care services in particular are over-stretched due to the recent growth in population. We will need to plan for enhanced facilities as we plan
for population growth and to find sufficient new land and funding to develop the required facilities.

## 2.2. Growth capacity

The Council is committed to bring forward new homes to help meet the backlog of need and to tackle London’s projected population growth. We also want to seize the opportunity both to invest in much needed new infrastructure and to help shape and develop the borough’s key opportunity locations into more sustainable and desirable places to live and work.

Our London Plan target for new housing delivery is an average 665 additional homes per annum to be built up to 2016/17 (HS). However, the new target proposed in the draft Replacement London Plan is 7,600 homes between 2011 and 2021 (760 annually with 688 units expected from new build, conversion and change of use, 4 units from non-self contained and 69 units from long-term empty properties returned to use). Achieving this will be very challenging. Over the five years to 2008/09, the council facilitated the delivery of an average of 649 new homes (net) per year. 727 units (net) were completed in 2008/09, exceeding our 665 unit target. (AMR 2008/9).

<table>
<thead>
<tr>
<th>Year</th>
<th>04/05</th>
<th>05/06</th>
<th>06/07</th>
<th>07/08</th>
<th>08/09</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Target</td>
<td>460</td>
<td>460</td>
<td>460</td>
<td>665</td>
<td>665</td>
<td>2,710</td>
</tr>
<tr>
<td>Net Additional Dwellings</td>
<td>406</td>
<td>542</td>
<td>750</td>
<td>819</td>
<td>727</td>
<td>3244</td>
</tr>
<tr>
<td>Surplus</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>534</td>
</tr>
</tbody>
</table>

### GLA Housing Provision and London Development Database

Though these targets are challenging, capacity for housing delivery does exist in the borough and our Strategic Housing Land Availability Assessment (SHLAA) and Growth Area Fund (GAF) programme show we have a strong pipeline of future sites in place (see housing trajectory below):
The 2007 Housing Land Availability Assessment (HLAA) suggested that the Borough had 1,212 sites that may have the potential for residential (or other) development, and which, in total, would theoretically be capable of supporting an estimated 10,595 dwellings over a 15 year period. The analysis shows that phases 1 (years 1-5) and 2 (years 6-10) account for 28% and 27% respectively of the overall potential capacity, whereas phase 3 (years 10-15) accounts for 45%. 26% (2,798) of the total capacity of 10,595 dwellings already had outstanding planning permission as at October 2007.

In 2009, the GLA carried out the Strategic Housing Land Availability Assessment (SHLAA) with the Borough. The study provides further assessment of the capacity of sites with housing potential. It estimates that Waltham Forest has capacity to provide 6880 units from 2011 to 2021 from the source of new build, conversion and change of use as conventional supply with 4790 units from sites over 0.25ha and 2090 units (30% of 10-year capacity) from sites less than 0.25ha. For the 15-year supply from 2011 to 2026, the study suggests that 6428 units would be from the sites over 0.25ha.

Given that 30% of housing capacity in the coming 10 years will come forward through small sites, we are focusing our efforts on larger potential regeneration
areas identified in our Core Strategy and our priority estates review programme, where we expect substantial housing capacity to be provided. Our four major regeneration areas are:

- Blackhorse Lane;
- The Northern Olympic Fringe;
- Walthamstow Town Centre; and
- Wood Street (over the longer term).

The chart below shows that a significant proportion of the total units coming forward in the borough will be in our main regeneration areas.

### Housing potential sites

<table>
<thead>
<tr>
<th></th>
<th>Planning permissions</th>
<th>UDP proposed housing sites</th>
<th>Regeneration areas</th>
<th>GLA sites</th>
<th>De-designed employment sites</th>
<th>Garage sites</th>
<th>Housing estate sites</th>
<th>Survey sites</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>672</td>
<td>8</td>
<td>9</td>
<td>26</td>
<td>4</td>
<td>17</td>
<td>14</td>
<td>482</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>2798</strong></td>
<td><strong>84</strong></td>
<td><strong>3793</strong></td>
<td><strong>1214</strong></td>
<td><strong>179</strong></td>
<td><strong>60</strong></td>
<td><strong>710</strong></td>
<td><strong>1757</strong></td>
</tr>
</tbody>
</table>

Source: HLAA

As shown in the below tables, the latest analysis further suggests that about 63% of capacity would be from the regeneration areas to be covered by the proposed Area Action Plans.

<table>
<thead>
<tr>
<th>SUB REGION</th>
<th>SHLAA SITES</th>
<th>WFHLAA SITES</th>
<th>PLANNING APPROVALS</th>
<th>APPROVALS STARTED</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Southern Waltham Forest</td>
<td>1671</td>
<td>497</td>
<td>554</td>
<td>116</td>
<td>2838</td>
</tr>
<tr>
<td>Walthamstow Central</td>
<td>3376</td>
<td>792</td>
<td>206</td>
<td>103</td>
<td>4477</td>
</tr>
</tbody>
</table>

Waltham Forest Borough Investment Plan
We will only meet our annual London Plan housing target by focusing efforts on large brownfield sites in these potential growths areas and by encouraging investment in small site housing development, making the most efficient use of existing housing estate sites and bringing empty homes back into use. All sites will need to be well serviced by public transport and provide convenient access to employment opportunities and social infrastructure.

The table below shows the average size of the expected developments in the borough, emphasising the importance of small sites to delivering housing numbers in the borough, and the challenges of bringing forward development over the next five years to smooth out the development trajectory.

<table>
<thead>
<tr>
<th>Indicators</th>
<th>Number / Area</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total number of sites</td>
<td>1212</td>
</tr>
<tr>
<td>No. of sites &lt;5 units</td>
<td>958 sites (79%)</td>
</tr>
<tr>
<td>No. of sites 6-10 units</td>
<td>114 sites (9%)</td>
</tr>
<tr>
<td>No. of sites &gt; 10 units</td>
<td>140 sites (12%)</td>
</tr>
<tr>
<td>Total outstanding planning</td>
<td>2798 dwellings</td>
</tr>
</tbody>
</table>
### Indicators

<table>
<thead>
<tr>
<th>Number / Area permissions</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>No. of sites &lt; 0.5 Ha</td>
<td>1156 sites (95%)</td>
</tr>
<tr>
<td>No. of sites 0.5 – 2.0 Ha</td>
<td>39 sites (3%)</td>
</tr>
<tr>
<td>No. of sites &gt; 2.0 Ha</td>
<td>17 sites (2%)</td>
</tr>
<tr>
<td><strong>Total capacity</strong></td>
<td><strong>10595 dwellings</strong></td>
</tr>
<tr>
<td>Phase 1 (years 1-5)</td>
<td><strong>2922 dwellings</strong></td>
</tr>
<tr>
<td>Phase 2 (years 6-10)</td>
<td><strong>2894 dwellings</strong></td>
</tr>
<tr>
<td>Phase 3 (years 11-15)</td>
<td><strong>4779 dwellings</strong></td>
</tr>
</tbody>
</table>

### 2.2.1. Small sites

The table above shows that the largest proportion of developable sites (at 95% under 0.5ha) are small sites.

The Council is keen to see the continued development of small sites in the borough. These sites are critical to the regular delivery of high quality, family sized affordable homes and the Housing Partnerships Team will continue to facilitate and support the development of small sites in Council and private ownership. We consider that well-designed infill schemes can also have a positive impact on local neighbourhoods and we would welcome the opportunity to play a greater role in funding allocation and approval arrangements to ensure high design quality and relevant provision. The Council is also assessing housing and garage sites in its ownership to put together development packages and recycle receipts towards affordable housing in the borough.

### 2.2.2. Affordable housing

Waltham Forest has a high level of need for affordable housing, particularly social housing, and many residents are unable to afford standard intermediate products. The Council also has a significant overcrowding problem. It has been identified that over-occupation affects 12.9% of all existing households, which is far higher than the national average level of 3%(Housing Need and Market Assessment Study 2008).

Taking into account unmet needs, existing needs and needs from future households, the total annual level of outstanding need for affordable housing is 3,374 units (Housing Need and Market Assessment Study 2008). After allowing for current re-let supply and planned new unit delivery, the total net affordable need is 2,607 units.
This level of need is almost four times the Council’s housing target for all tenures (in the London Plan 2008) of 665 units each year in the period 2008 to 2016.

There is an existing affordability problem in the borough arising from the relationship between local incomes and the realistic supply of the cheapest housing available. Income levels of around 92.2% of new households which formed in 2006/7 were below the level necessary to be able to buy outright, and 73.1% are unable to access the private rented sector in the Borough (Housing Need and Market Assessment Study 2008). Restrictions on mortgage lending have further exacerbated this problem.

The council is seeking to provide every opportunity for residents to progress on the property ladder. In order to provide for the demand for affordable housing the Council has agreed a challenging target to deliver 363 affordable housing units per year (more than 50% of overall housing provision). Given the existing level of need for affordable housing in the borough the Council will seek to maximise the opportunity for developing more affordable housing by adopting a pro-active and flexible approach to assessing sites of ten units or more to establish what affordable housing threshold is appropriate on each individual site, given the need to maintain financial viability of schemes to ensure homes are provided that our residents can afford. Final targets will be subject to site constraints, wider planning, economic viability, regeneration and sustainability considerations and will require a flexible approach to specific site negotiations.

It is important to provide a balance of affordable rented and intermediate housing (including both rented and low cost home ownership) to respond to our residents’ aspirations to own their homes, and also to ensure that there are realistic home ownership options for people with limited access to mortgage borrowing. The Council is seeking to provide an affordable split of 60% Social Rented and 40% Intermediate in line with regional guidance. This will increase the amount of intermediate housing stock in the borough, support the shift from social to intermediate housing and to provide the first steps for residents to get onto the home ownership ladder. Increasing the amount of affordable intermediate product on the market should alleviate pressure on social housing on the borough and also help to create more balanced communities by avoiding high concentrations of social housing or mono-tenure affordable housing developments.
### Gross Affordable Housing Completions from planning permissions

<table>
<thead>
<tr>
<th>Year</th>
<th>Number</th>
<th>(as % of total)</th>
<th>Affordable</th>
<th>Social Rented</th>
<th>Intermediate</th>
</tr>
</thead>
<tbody>
<tr>
<td>2004/05</td>
<td>154</td>
<td>25%</td>
<td>100%*</td>
<td>79%</td>
<td>21%</td>
</tr>
<tr>
<td>2005/06</td>
<td>89</td>
<td>14%</td>
<td>25%</td>
<td>66%</td>
<td>34%</td>
</tr>
<tr>
<td>2006/07</td>
<td>329</td>
<td>34%</td>
<td>36%</td>
<td>73%</td>
<td>27%</td>
</tr>
<tr>
<td>2007/08</td>
<td>247</td>
<td>25%</td>
<td>35%**</td>
<td>60%</td>
<td>40%</td>
</tr>
<tr>
<td>2008/09</td>
<td>302</td>
<td>35%</td>
<td>30%</td>
<td>89%</td>
<td>11%</td>
</tr>
</tbody>
</table>

*One scheme: ** HA/private joint schemes*

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**MEDIUM TERM:** We ask that the HCA work with us to develop a devolved funding arrangements for new affordable housing for small sites to help smooth and streamline the process of facilitating these schemes, and help us to bring them forward in a timely and efficient manner.

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### 2.3. Other key housing and regeneration objectives

The borough strategic objectives outlined in the Sustainable Communities Strategy will be achieved through the strategic outcomes set out in the borough Local Area Agreement, including key targets for:

- **NI 116** Proportion of children in poverty
- **NI 117** 16 to 18 year olds who are not in education, employment or training (NEET)
- **NI 130** Social care clients receiving Self Directed Support
- **NI 152** Working age people on out of work benefits
- **NI 153** Working age people claiming out of work benefits in the worst performing neighbourhoods
- **NI 154** Net additional homes provided
- **NI 155** Number of affordable homes delivered (gross)
- **NI 186** Per capita reduction in CO₂ emissions in the local authority area

These targets are at the heart of and aligned with our Sustainable Community Strategy objectives and commitments, and our Housing Strategy priorities outlined in the diagram below. Both those strategic documents, and our LDF, are consistent in giving priority to:

- Encouraging growth and development in the borough
- Ensuring that development is consistent with the needs arising from the demographic and socio-economic conditions in the borough
- A commitment to improving the current housing stock in the borough, and that the role of town centres is maximised
• Ensuring that new development supports and delivers economic growth in the borough
• Ensuring that new development has a standard of design that helps the borough achieve its ambition to raise its profile
• Ensuring community and business involvement and public realm improvement are at the heart of all development proposals
Links between Housing and Sustainable Community Strategies

**SCS Principles**

- Manage population growth and change
- Create wealth and opportunities for residents
- Retain more wealth in the borough

**SCS Commitments**

- More high quality, affordable 3/4 bedroom family homes
- Maintain a distinct housing offer, resisting the conversion of family homes to flats
- Harness the opportunities for housing renewal/development
- Raise standards within the private rented sector
- Retain the character of places that people aspire to live in
- Ensure new developments and existing public sector buildings are environmentally sustainable
- Support and empower most vulnerable people to lead independent, active and enjoyable lives
- Promote the potential of the large-scale regeneration of the Lee Valley
- Harness the development of North Olympic Fitne
- Make strategic use of land and property assets in the public sector to lever private sector investment
- Transform Walthamstow Town Centre
- Enforce and promote quality and innovations in design of buildings and public space
- Involve residents and businesses in improving the street scene

**Housing Strategy Priorities**

- Building new homes
  - Making development happen and making the most of regeneration opportunities
  - Economically balanced communities that prioritise family housing
  - Right homes in the right places – design, design, design

- Making the most of the homes we have
  - Improving social rented homes
  - Addressing overcrowding and under-occupation
  - Renewing private housing

- Create Successful Communities
  - Housing advice, support and preventing homelessness
  - Good quality safe public realm
  - Facilitating involved and inclusive communities
  - Improving the local economy

**Local Development Framework (LDF)**
2.4. Spatial Strategy

The emerging Local Development Framework provides a spatial interpretation and framework for both the Sustainable Communities Plan and the borough Housing Strategy. It is currently at Preferred Options stage.

Key LDF Documents:

**LDF Timetable: Stage | Timetable**

| Issues and Options consultation – identification of the key issues and options the Core Strategy must address | Undertaken (June – September 2008) |
| Preferred Options – the policy approach the Council considers most appropriate | Current Stage |
| Submission Draft – the final document is published for final consultation (6 week period) | November–December 2010 |
| Submission – the document is submitted to the Secretary of State with representations received at the publication stage | March 2011 |
Independent Examination – the Inspector hears the evidence from invited parties to inform the consideration of the soundness of the plan | June 2011

Receipt of the Inspector Report – the Council receives the Inspector’s Report which is binding on the authority | October 2011

Adoption – the Council formally adopts the Core Strategy | December 2011

The LDF promotes a spatial focus on our growth and regeneration efforts in four key areas:

- Central Waltham Forest (Wood Street and Walthamstow Town Centre);
- Southern Waltham Forest (Northern Olympic Fringe);
- Blackhorse Lane;
- and Northern Waltham Forest
Central Waltham Forest: **Wood Street and Walthamstow Town Centre** (including the wards of Wood Street, Hoe Street, Hale End and Highams Park, William Morris, High Street and Markhouse).

The area will continue to be the key urban centre of the Borough and a primary focus for growth and regeneration. Area Action Plans are due to be developed for the key growth areas of Wood Street and Walthamstow Town Centre. It is proposed that up to 7,000 new homes will be built in the area.

**Southern Waltham Forest: Northern Olympic Fringe** (including the wards of Cann Hall, Cathall, Leytonstone, Grove Green, Leyton, Forest and Lea Bridge)

This area will undergo the most significant transformation with proximity to the Olympic Park and the ‘East End Renaissance’ a major catalyst for growth and inward investment. The Northern Olympic Fringe and Lea Bridge Area Action Plan are crucial and will set the policy and regeneration context for the development of up to 2,000 new homes, a significant number of new jobs, improved public transport facilities, a better public realm and new social infrastructure. There is also an opportunity to attract more businesses, especially from the arts, culture and media based communities.

**Blackhorse Lane**

This area has been identified as one with significant unrealised potential, and is likely to accommodate 7% of our total planned housing growth planned, delivering up to 1000 new homes. Existing employment uses will generally be protected, with greater intensification of uses and the potential for excess industrial land to be released for alternative uses with a presumption being towards social infrastructure in the first instance.

**Northern Waltham Forest** (including the wards of Chingford Green, Endlebury, Valley, Larkswood and Hatch Lane)

This area will see 9% of the borough’s housing growth, up to 1,100 new homes. The Council will emphasise the retention of the character and distinctiveness of this part of the Borough, will protect important built and open space assets, and will ensure investment in community services and infrastructure helps address the challenges of deprived neighbourhoods in the area.

**2.4.1. Borough Wide LDF Themes**

**Regional Linkages:** The Council will capitalise upon Waltham Forest’s proximity to a number of major regeneration initiatives and growth areas, including the London-
Stansted -Cambridge-Peterborough Corridor, the Upper Lea Valley and Lower Lea Valley Opportunity Area Planning Frameworks, the 2012 Olympic and Paralympic Games and Stratford City. Through the development of the Olympic Park, over 9,000 homes will be built as part of a wider strategy to create 30,000-40,000 homes in the Lower Lea Valley. This is likely to have a major impact on the housing market in the south of the borough - both before and after the Games.

**Housing:** New housing will be generally located on brownfield sites that are well serviced by transport, facilities, employment and recreation opportunities - predominately in regeneration areas, where strategic planning will ensure the integration and prosperity of new communities.

**Transport Connections:** The Council will promote necessary borough wide enhancements to the network including public transport, walking and cycling networks so that the population can access desired services and employment in a sustainable manner. It is the Council’s expectation that additional trips as a result of growth will be made by public transport, on cycle or by foot, and public realm and footway links will be enhanced to support this. New links will provide a reliable and sustainable link between the north and south of the borough with sufficient existing capacity to accommodate growth over the long term duration of this plan.

**Responding to Climate Change:** Waltham Forest will progress its agenda to meet future energy demand and reduce CO₂ emissions through increased standards of energy efficient design and construction, incorporating connection to low carbon and renewable energy generation. This will include use of on-site systems and investment in decentralised energy infrastructure provision.

**Town Centres:** The promotion of healthy and vibrant town centres will play an important role in the development of sustainable communities and are vital to the borough's economic prosperity. An increase in diversity and floorspace of the retail offer will be very important for the future of the Borough’s town centres. Given the proximity of the Borough to the Stratford City development, the Council will promote the development of a distinctive retail offer from small enterprises, as a means of retaining a different niche offer for shoppers. Town centres will be designed to act as the centre of the communities they serve - providing the focus for shopping, employment, cultural, leisure activities and entertainment facilities. The development of better quality night-time and evening economies will be important in extending the hours of use of town centres, retaining spending and wealth within the borough and increasing safety through natural surveillance. Furthermore, opportunities for the location of social infrastructure such as health services, libraries and leisure centres in the town centre will increase their use and function and contribute to reduction of car usage.
Open and Green Spaces: The green spaces in the Waltham Forest are major assets to local residents and the Borough's general amenity and beauty. The general extent of the Green Belt and Metropolitan Open Land in the borough will be protected over the plan period, and new development will focus on brownfield sites and will ensure that brownfield potential capacity is fully optimised.

3. CHALLENGES TO DELIVERY

There are a number of challenges to delivery of our key opportunity sites and priority themes. Some of these are short term challenges resulting from the economic conditions, other are longer term barriers, resulting from physical conditions, fragmented land ownership and the need for enhanced social or transport infrastructure. The most important of these are detailed below.

3.1. Short–medium term challenges

Market conditions: The falling property market and tight credit conditions have undermined the viability of private developments to the point where many will not proceed with existing planning permissions. Ongoing uncertainty in market conditions has had a significant impact as most of the major development opportunities are on brownfield land with significant inherent pre-development costs. RSLs have also become more risk averse, and are now less willing to take on certain types of property they perceive as risky, reducing the scope for switching private planning permissions to affordable units.

Issues of land value: Private and Housing Association developers have told us that the borough is an attractive place to build, because of generally low land prices and good transport links. However, we also struggle with high land values in some areas due to ‘Olympics Optimism’ from land owners.

Funding pressures: We expect increasing pressure on public funds, with limitations on the Council’s and our partners’ capital resources that might otherwise be available to bridge viability gaps and the position has been exacerbated by the downturn in the property market. Falling contributions from S106 agreements, the marked reduction in capital receipts from the Right to Buy and land sales, and increasing demands on the limited resources available, have all made it extremely difficult for the Council to provide any significant funding locally for new affordable housing developments.
3.2. Ongoing barriers

**Affordability issues and high levels of deprivation:** Despite low house prices relative to London, affordability problems remain due to low incomes. Only Barking and Dagenham, Bexley and Newham have lower average prices in the Capital. The is also a strong demand for social housing in the borough, as demonstrated by the housing waiting list of over 10,000 in the borough. Affordability constraints and demographic pressures mean that there is a real shortage of affordable housing in the borough.

**Imbalance of supply and demand:** The number of bedrooms per unit is also a significant issue with nearly 60% of families seeking a move requiring 3 or more bedroom properties (Housing Strategy).

**Negative perceptions:** The challenges we face in housing, education, crime and the poor condition of our public realm all exacerbate negative perceptions of the borough, acting as a barrier to investment and to our core aims of attracting and retaining wealth in the borough.

**Infrastructure strains:** The demographic changes in the borough are also causing major pressures on health provision. This is an area we are keen to prioritise through our SCS and our work with the Olympic Host Boroughs’ Strategic Regeneration Framework. The borough also has considerable shortages of school places – both in the secondary and primary sectors. Further development will only exacerbate these challenges.

**Land availability and ownership:** Constraints on land availability, particularly public sector owned land, are exacerbating many problems. The major regeneration areas are all reliant upon change of use and intensification to allow delivery, and the great majority of the borough’s pipeline sites are on a small scale, and are therefore very resource intensive to bring forward. The plans for intensification on the key regeneration areas include many sites which are in multiple private ownership, and therefore present problems for the process of land assembly and coordination – particularly in the current market where values are uncertain.

**Transport limitations:** While the borough has many strengths in terms of access to the City/West End by public transport, connections across the borough itself and with its immediate surrounds are often poor, acting as a barrier to employment and decreasing mobility for residents within the borough. North-South transport provision is a limiting factor in access to the Olympic Park, to Stratford City, and to the Isle of Dogs – all established or emerging major employment zones within London. Whilst
these barriers exist, Waltham Forest will continue to not fully realise the benefits of these employment and enterprise zones that have the ability to increase

We have plans in place to respond to these challenges but we will need considerable support and commitment from our partners, including the HCA and TfL, in order to implement them.

4. KEY INVESTMENT OPPORTUNITIES

4.1. Summary

During the past two years, the Council has developed an effective strategy to prioritise plans for sustainable regeneration. In the context of the current housing market and economic investment conditions, the Council is moving away from traditional models of delivery – where the large sites were packaged to development partners to bring forward in a comprehensive manner. We are now working towards a more pragmatic approach, where sites are brought forward in smaller parcels, within the context of an overall master plan / area regeneration strategy. This approach is also being applied to affordable housing delivery and we are seeking to support affordable housing development in smaller sites alongside the large regeneration areas. While current conditions prevail we will continue with this pragmatic and opportunistic approach to maintain momentum. Our planning policies and approach will, however, ensure that any development will be of a high quality and will help to shape and to create successful places where people want to live.

We are interested in exploring the potential for the HCA to act as a ‘development partner’ with us on our key long-term regeneration sites. The most immediate priority we have identified for this approach is the Blackhorse Lane Regeneration scheme, where we are currently concluding a deal with the HCA for a site for a new school, and where there is scope for the HCA to be engaged with our ongoing plans. The second area where we would like to talk in more detail about the HCA’s potential long term role is at Leyton Mills, in the Northern Olympic Fringe, where we believe that there may be developer interest in bringing forward a new scheme, but where support may be needed to key infrastructure projects (including links to the Olympic Park and upgrades to Leyton Station) to ‘kick-start’ any development, with potential for a future return if values rise.

A summary table of key ‘asks’ is set out in the Executive Summary section of this document.
4.2. Blackhorse Lane

Blackhorse Lane is an important gateway site for the borough, to be developed over the next decade. As a key connection to the Upper Lee Valley Opportunity Area, we are looking to develop a new urban quarter in close proximity to a key public transport hub and an outstanding natural environment – thereby helping to achieve the vision for North London Waterside which we share with other boroughs bordering the Upper Lee Valley.

Equally important is the need for the development to deliver the Council's strategic priorities, particularly in terms of housing design, wealth retention, sustainability, and education. The Council's proposals so far have been developed through a major community engagement programme, which has involved local residents and businesses, and secured a consensus in support of the redevelopment proposals.

Planning Framework: The Council has approved an Interim Planning Policy Framework for the area. This framework for Blackhorse Lane proposes the transformation of the area bringing over 2,000 new homes, 1,000 new jobs and creating a new neighbourhood centre with shops and a public square. A subsidiary planning brief is also in place for the Sutherland Road development. There is an ongoing review being conducted by external consultants of the scheme including examination of the masterplan and infrastructure requirements for the development. Following the outcome of this study, a formal Area Action Plan, and design briefs will be prepared. These are anticipated to be available in draft form by early 2011 for full adoption in 2012.

Delivery partners: Negotiations are on-going with a number of land-owners and potential developers, although the complexity of land ownership in the area, and the recession has slowed progress. Despite this there is currently real interest from a number of landowners and developers to bring forward development on these sites.

We propose to create a strong governance structure for the project, and invitations for representation on a project board will be extended to a number of key partners including the HCA. Governance proposals are set out in Section 6 of this report. There are a number of other key players involved in the wider area's development:

- One of the current landowners is in the process of selling a site to MacDonald Egan Developments.
- A strong relationship has been developed with East Thames Housing Association who have brought forward 241 units on Sutherland Road and with the Borough’s other RSL investment partners.
- Hadley Homes for the development of Banbury Park.
Lea Valley Estates are a major landowner in the area and they are in the process of developing a planning application for a scheme on Sutherland Road. The Council has put in place a S106 strategy based on pooled contributions in the area, with a fixed contribution payable of £9,000 per housing unit. This strategy may need to be revised following the adoption of the AAP.

### 4.2.1. Project Outline:

#### A new centre around the station:
The creation of a new Neighbourhood Centre for the area directly opposite Blackhorse Road Station (blue dot on the Key Diagram), including a small number of shops, cafes, bars and a new park.

Borough Investment Plan for London Borough of Waltham Forest
Bringing the country into the city: The Blackhorse Lane area is surrounded by the reservoirs, waterways and marshes of the Lee Valley Regional Park but access to the Park is extremely poor. We will create new and improved pedestrian and cycle routes to the Park, create more views of Walthamstow Reservoirs and Tottenham Marshes, and encourage the development of new and improved leisure and recreational facilities making full use of the landscape.

Meeting housing need: The Council will support the development of housing in the three ‘main growth areas’ (shown as blue circles), aiming to create around 2,000 new homes over the next 10 years with around half being affordable housing, to help meet housing needs in the area.

A 21st century business area: Around 1,000 more jobs could be created in the area over the next 10 years. We will release some employment land for housing and mixed-use developments and protect other areas. We will encourage the provision of a wider range of business premises and will seek to retain existing businesses as well as encouraging new businesses and in particular creative industries.

Managing traffic and encouraging sustainable transport: We intend to improve the Standard junction primarily for pedestrians and cyclists, improve local bus services, provide new pedestrian and cycle routes and require strict parking standards for new developments.

A sustainable development: We intend to explore the possibility of developing a district energy scheme as a core part of the development.

4.2.2. Projects

The proposals for Blackhorse Lane Regeneration area are sub-divided into 3 main sub-areas:

1. **Station Hub and Waterfront area**: This mixed-use development will include; residential (around 1300 units), retail, business, leisure, community, education, health, transport improvements and investment in walking and cycling routes. As a gateway site, it is key to improving the image of the borough. A key element of the education infrastructure involves the relocation and development of Willowfield School, and the Council has purchased this site (part of the Station Hub site) from the HCA, which was previously intended to be brought forward for Key Worker Housing under the London Wide Initiative.

2. **Sutherland Road**: Mainly residential development (over 600 units) of former industrial land around Sutherland Road and Paper Mill Place. The current site is a
poor quality commercial environment, and suffers from access problems. The vision includes a new mixed use area at the the Southern End of the sites. The Council has already acquired a number of properties on this site and may seek to acquire more properties especially those that are bad neighbours.

3. Billet Road: Principally a housing development based around the 3 hectare Banbury Park, but with some community infrastructure (health and education), and commercial frontages. Investment in walking and cycling routes linking to the nearby Lee Valley Park, and public transport improvements are also included in the proposals.

<table>
<thead>
<tr>
<th>SHORT TERM:</th>
<th>We ask the for the HCA’s support through integral participation in governance arrangements for this project</th>
</tr>
</thead>
<tbody>
<tr>
<td>SHORT TERM:</td>
<td>We seek HCA investment <em>(See Appendix A)</em> to purchase a key site in the Station Hub area and acquire other conflicting uses in the Sutherland Road area to enable the development of 220 units from 2013.</td>
</tr>
<tr>
<td>MEDIUM TERM:</td>
<td>We are likely to require ongoing affordable housing investment in this area to bring forward new affordable homes.</td>
</tr>
<tr>
<td>MEDIUM TERM:</td>
<td>We ask that HCA ring-fence the receipt received for the purchase of the former LWI site for reinvestment back into the Blackhorse Lane regeneration area <em>(see Appendix A)</em>.</td>
</tr>
<tr>
<td>SHORT TERM:</td>
<td>We request HCA support to work with the Council and development partners to develop a high density low rise housing typology for the regeneration area through the development of the AAP.</td>
</tr>
<tr>
<td>MEDIUM TERM:</td>
<td>We seek HCA support and/or funding to enable and deliver the transport infrastructure investment required to catalyse and facilitate development in the area, including the reconfiguration of the Royal Standard junction at Blackhorse Lane / Forest Road.</td>
</tr>
</tbody>
</table>

Phasing: As a large scale project, and due to the complexity of the proposals, it is inevitable that elements of the proposed delivery will change over time. We are proposing not to commit further GAF capital funding to projects in the regeneration area until the Area Action Plan is completed.
4.2.3. Delivery and Challenges

As a major regeneration scheme, an appropriate governance structure is vital to the long-term success of the development. The Council proposes to establish a **Blackhorse Lane** Project Board, to direct delivery and to give weight to the lobbying process necessary to lever in key partner support for critical elements of the scheme. The close involvement of the HCA, as a key investment and delivery partner, is required in this process.

The proposal to develop Blackhorse Lane regeneration area has been in place for several years, and a number of phases that make up this large scale development came to market at the time of the economic downturn. In the face of continued market difficulties, the Council has decided to take a pragmatic approach to the overall development of the area, which means it is open to piecemeal delivery of component sites within a guiding framework.

We have made a commitment for 50% of housing in the Blackhorse Lane regeneration area to be affordable. Given that many of the sites in the area are small, and have various complexities including multiple ownerships, we believe that a devolved approach to allocating NAHP funding would help us to respond flexibly and more appropriately to changing local circumstances given our greater on the ground market intelligence.

Much of the area is made up of former, or poorly used industrial land. The opportunity exists to improve the image of the area, achieve delivery of housing units through intensification and provide more appropriate and modern commercial units for the area. As the Council owns very little of the land in the regeneration area, land assembly is a key priority to achieve these aims, and HCA support in acquiring key sites is seen as vital. HCA support in acquiring land around Sutherland Road and Billet Road is a first a short-term priority.

The biggest challenge to development in Blackhorse Lane is the capacity of the existing road network, as shown by detailed traffic studies. There is an on-going review of the infrastructure requirements for the Black Horse Lane development, and the Council is awaiting the outcomes of the consultant’s assessment, which may recommend a reduced infrastructure requirement. The development of the new **Willowfield School** should be fully integrated into the new development, and it should play a key role in providing additional community infrastructure/facilities.
4.3. Walthamstow Town Centre

Walthamstow Town Centre is the premier town centre in the borough, and is historically home to one of the longest street markets in Europe. It is seen as crucial for the borough’s strategic objective of retaining wealth within the borough, and the successful development of the town centre is a key priority for the borough.

Planning Framework: An Interim Planning Policy Framework was developed for the Town Centre, following a masterplanning process developed in partnership with the Princes’ Foundation for the Built Environment. A formal Area Action Plan for the town centre will be developed ready for adoption in 2011.

Delivery partners: There are a number of delivery partners key to delivering the Walthamstow Town Centre vision:

- St. Modwen has been appointed as the development partner for the Arcade Site.
- The PCT are key development partners for the new health centre at St James’ Road.
- Network Rail has appointed a development partner, Solum, for the station site.
- The Council is in negotiation with Sainsbury’s on the proposed development for the South Grove site.
- Walthamstow Business Forum
- Street Traders – the Council is in discussion with traders regarding potentially reviewing the market

4.3.1. Project Outline

The vision for Walthamstow Town Centre is of a vibrant, sustainable town centre building on the cultural diversity of the community with specialist shops and market stalls, a well developed cultural and leisure offer, integrated transport links and extensive residential development.

The town centre has the potential for around 2,400 new homes in ‘walkable neighbourhoods’. We intend for Walthamstow to become an exemplar for sustainable living with daily needs being met within the town centre, removing the reliance on cars and increasing the opportunities for social interaction and the development of community cohesion. New innovatively designed mixed-use developments will be sympathetically integrated into the historic heart of the town centre, meeting the need for housing and supporting infrastructure growth in the borough.
An Interim Planning Policy Framework (IPPF) is in place which bridges the Unitary Development Plan 2006 (UDP) and the emerging LDF. It sets out our ambitions to:

- **Offer a wide mix of uses within the town centre** – A wide range of uses already exist within the town centre, but these can be developed and broadened further, especially in respect of leisure activities, the evening economy, café culture, markets and local businesses.

- **Provide both mixed tenure and mixed income housing** – Delivering high quality housing with a choice of tenures and sizes that are accessible to create popular and desirable communities.

- **Create a sustainable town centre through the provision of accessible neighbourhoods** – With good design, which takes into account accessibility and permeability, more people will actively use local streets, enhancing their vitality and their safety. Local employment opportunities will be facilitated within the town structure rather than being ‘zoned’, providing the community with a firm economic base.

- **Create a quality environment** – Spaces created need to be inclusive and accessible, constructed and maintained to a high level and to take account of issues of community safety, sustainability and accessibility.

- **Promotion of a high quality of design through-out the town centre** – Design must relate to its surroundings, adapt to climatic conditions, minimise energy consumption and relate to human scale.

There are a number of improvements and developments already achieved in this key regeneration area: Over 180 homes have already been completed around the High Street and Central Station, a new Council Direct Shop has opened on Hoe Street, the town square and gardens have been refurbished, and an Olympic live screen...
has been erected; The bus station has been redeveloped and the interchange with the Central Station has been improved, and the library has been refurbished and extended.

New plans for the Arcade site will create a mixed-use retail, housing and leisure development. This will improve an important area in the town centre before the Olympics and kick-start the next stage of town centre development.

### 4.3.2. Projects

The Council will prioritise intensification of development in and around the town centre. The town centre has been divided into four development nodes:

**South Grove/St James Street:** This project proposes to create a mixed-use eco-neighbourhood through the redevelopment of a large car park and industrial premises. The project will increase the vibrancy of the western end of the High Street, create 850 new homes, new open space and improved public realm, community facilities, commercial units and a new Sainsbury’s supermarket.  

**West End:** This project proposes to assemble a site, which is partly in Council ownership to deliver around 70 homes in keeping with the residential nature of the area. Funding is sought to assist the site assembly process.

**High Street:** The Council seeks additional retail and commercial provision with residential development above in this major opportunity area. Around 1,140 units could be achieved through redevelopment and infill development, and create and improve linkages between the shopping centre, the high street, the town square and the street market. A substantial amount of land assembly will be required to realise this potential.

**Arcade Site**

The proposal for this site is for a mixed-use development comprising housing, retail, and leisure. The Council is keen for a leisure activity which supports a night-time economy and which encourages an increased pedestrian footfall in this part of the Town Centre. It is envisaged that the development of this site will be supported by a high quality public realm design treatment and potential shop front improvement for the surrounding shops. Developers are being encouraged to work with one of the Council’s preferred RSL partners.

The Council continues discussions with the appointed developer to bring forward a scheme for this site.
Central/Town Square: The Council has a long held aspiration to provide a convenient pedestrian link between the rail stations at Walthamstow Central and Walthamstow Queens Road. The existing walk between the two station entrances takes approximately 10 minutes along a number of side streets. The proposed route through the Exeter Road estate and Walthamstow Central car park site would provide a shorter walking route of less than 5 minutes and create a much more convenient interchange between the two stations. It is anticipated that the completed pedestrian link could be opened early in 2011. Wider proposals for the Transport Interchange are to improve pedestrian and cycle access to encourage public transport use, and to secure an increase in housing density development with capacity for around 380 additional units.

Sainsbury's site: In December 2008 the Council’s Cabinet authorised officers to enter into negotiations with Sainsbury’s regarding their wish to acquire a site for a new food retail store at South Grove Car Park in Walthamstow Town Centre. An additional food retail store in the Town Centre is not regarded as necessary, but a transaction with Sainsburys to relocate would not only provide a modern food retail solution, but would enable their existing store in the High Street to be redeveloped to the overall benefit of the town centre and fit well with the aims of the Town Centre IPPF. Proposals regarding the use of the High Street store site are yet to be formulated.

Phasing: An outline plan early phases in the different development nodes were drawn up for the GAF bid (see below), although this will need to be revisited in the process of developing the Area Action Plan. It is anticipated that the sites to the west of the town centre, South Grove and West End, will now be brought forward before the High Street and Central Station/Town Square sites.

<table>
<thead>
<tr>
<th>Development Node</th>
<th>Site</th>
<th>Housing Units</th>
<th>Indicative Start on Site</th>
<th>Indicative Completion</th>
</tr>
</thead>
<tbody>
<tr>
<td>Walthamstow Town Centre</td>
<td>Arcade Site</td>
<td>40</td>
<td>Winter 2010</td>
<td>2013/14</td>
</tr>
<tr>
<td></td>
<td>Walthamstow Central</td>
<td>87 (Ph. 1)</td>
<td>Autumn 2010</td>
<td>Winter 2012</td>
</tr>
<tr>
<td></td>
<td>Church Hill</td>
<td>36</td>
<td>Summer 2010</td>
<td>Spring 2013</td>
</tr>
<tr>
<td></td>
<td>Edinburgh Primary</td>
<td>50</td>
<td>Spring 2011</td>
<td>Spring 2013</td>
</tr>
<tr>
<td>Central Station / Town Sq.</td>
<td>South Grove Phase 1 (Eastern End)</td>
<td>150</td>
<td>Winter 2010</td>
<td>2013 / 14</td>
</tr>
<tr>
<td>High Street</td>
<td>Buxton Rd Bingo Hall + adjoining car park</td>
<td>TBC</td>
<td>TBC</td>
<td>TBC</td>
</tr>
</tbody>
</table>

Note: where scheme details are not known, a 50/50 mix of private / affordable is assumed according to the WF Housing Strategy.
4.3.3. Delivery and Challenges

The town centre faces a number of key challenges including: concerns about community cohesion, retail competition from ever expanding sub regional shopping areas (especially that being realised at Stratford City), sustainability issues and rising property prices threatening the balance of the community. Longer term development proposals for the High Street area will require values to rise significantly to justify major private sector investment.

A key barrier to growth is the complexity of land ownerships in and around the town centre, which makes land assembly difficult to achieve.

Transport connectivity is not sufficient. Strategically, the development of the town centre is constrained by the relative lack of connectivity southwards towards Stratford and Canary Wharf. The Council has campaigned for many years for a rail service to be introduced between Chingford and Stratford to provide access from the borough to the Lower Lea Valley. Chingford and Walthamstow are located only a few miles north of Stratford but are not connected to it by rail. It currently takes 45 minutes to catch a bus from Walthamstow Town Centre to Stratford. In recent years, the case for the Chingford to Stratford scheme has strengthened considerably. The need to provide access from Waltham Forest to the Stratford City development, the Olympic Parkland legacy developments and the other regeneration areas means that there will be a much greater demand for the service in the future than there has been previously.

Despite some progress, improved access to the transport hub around Walthamstow Central Station also needs improvement, and will require substantial investment. The need to improve the connectivity of the hub has also been identified, with bus priority schemes earmarked for investment by TfL. It is possible that the large amount of connectivity works around the high street could be provided through the value generated by development. However, this is subject to question in the current market conditions.

The key external interventions required to trigger delivery in the Walthamstow Town Centre regeneration area are as follows:

✅ **SHORT TERM:** We ask for the HCA to become actively involved in the governance arrangements for this project in order to support and secure development plans.
4.4. Northern Olympic Fringe (NOF) and Lee Bridge Area Action Plan

The 2012 Games and the Olympic Legacy is set to transform parts of East London. As the northern edge of the Olympic Park is situated in Waltham Forest, the south of the borough has been identified as a key regeneration area with growth potential due to its proximity to the Olympic Park and Stratford City. The Olympic Games, in particular, is seen as a catalyst for the regeneration of the area and inward investment.

The Northern Olympic Fringe is our highest profile regeneration area and it is essential to the strategy of the borough that the Games’ legacy leads to its transformation. Our vision is to capture investment in this area arising from the regeneration of East London and the Lower Lee Valley ensuring that this leads to a higher quality of life in this part of the borough, creating better quality housing,
delivering more community facilities, securing employment opportunities and revitalising the green open spaces and waterways in the area.

**Area Action Plan Progress:** Spatial masterplans for the Northern Olympic Fringe (NOF) and Lee Bridge areas were separately prepared by Urban Practitioners, which culminated in Joint Issues and Options consultations in July 2009. Both studies addressed specific issues of neighbourhood integration, connectivity with the Olympic Park and Stratford City, and land use optimisation.

The Council is currently in the process of integrating the work done on the separate masterplans to develop a single Area Action Plan, which holistically addresses existing issues around crime and safety, green spaces, housing provision and connectivity. The Council has a large number of different programmes and services in the study area, and the key function of the Area Action Plan is to ensure that future investment in the area is targeted and delivers the future vision for the area. The preferred options for this Area Action Plan will then be released for consultation, most likely in Summer/Autumn 2010, with the adopted plan to be in place by late 2011.

**Delivery partners:** The Council recognises that the delivery of the vision for this area will rely on a joined-up approach to development, with service providers and key land owners fundamental to implementation. As part of this, negotiations are ongoing with a number of land-owners and potential developers as a means of ensuring that appropriate development is brought forward in a timely manner. Discussions are ongoing with:

- Aviva, owners of the Leyton Mills retail park site;
- Thames Water
- Numerous service providers such as Waltham Forest PCT and Emergency Services
- The Olympic Park legacy company;
- The LDA
- Land-owners of small sites in the area

### 4.4.1. Project Outline

Our aim is to exploit the unprecedented level of local investment and regeneration activity arising as a result of the Olympics and the Stratford City development to create distinct, sustainable and well-connected high quality urban centres along the northern fringe of the Olympic Park and the south of the Borough. There are a significant number of green and environmental opportunities in the area which are currently under-utilised. As an example, Dagenham Brook is central to the vision for
the area. Although currently polluted and weed infested, the Area Action Plan will seek to tidy this waterway, and create a vibrant green feature for the surrounding area and a natural habitat for biodiversity.

Above: Capitalising on existing opportunities at Dagenham Brook/Lea Bridge R
The strategic framework established by the Northern Olympic Fringe and Lea Bridge masterplans sought to address:

- **Severance**: To minimise the barrier between existing neighbourhoods, new neighbourhoods and the Lea Valley
- **Poor Connections**: To establish a series of well connected neighbourhoods with strong links across the area
- **Lack of quality public realm**: To enhance street and public space environments to make them attractive and safe to use
- **Lack of identity in centres**: To provide a clear and appropriate role for each centre in the future
- **Degraded character**: To address poor quality buildings and establish strong urban environments
- **Inefficient land use**: To use land efficiently and appropriately to meet future demands and ensure enhanced activity at key points through the area
- **Poor public transport**: To bring enhanced accessibility to those areas which are currently isolated within the strategic network

### 4.4.2 Projects

The Council’s plans for the area include the delivery of up to 2000 new homes and new jobs, improved transport facilities, better public realm and new social infrastructure, better access to green spaces and facilities and improved access to the Olympic Park.

A key site for delivering the vision is the Leyton Mills major site as well as a number of interlinked smaller sites, taking a holistic neighbourhood management approach to delivery across departments and partner agencies.

The Leyton Mills site is an existing retail park and presents significant opportunities for enhancement and intensification. Located immediately adjacent to the Olympic Park and very close to Leyton Underground, the site offers excellent potential for residential development, alongside improvements to the retail offer and potential new infrastructure providing a direct link with the Olympic Park.

Other key sites within this area are Essex Wharf Site, Thames Water Site, Ice Rink
Site, Lea Bridge Station, Argall Industrial Estate, Lea Bridge Road and Lea Valley Park.

The Council also plans a number of key interventions:

- **Walthamstow Wetlands and Green corridors**: Straddling Waltham Forest and Hackney and bordering a part of Haringey, Walthamstow Wetlands’ sits within the Middle Lee and is identified by the Upper Lee Valley Landscape Strategy as a transformational project to increase access to Walthamstow Reservoirs by providing attractive walking and cycling connections throughout the area, and extending from Lea Valley through Leyton via Coronation Gardens which it is anticipated will have economic, social, environmental and cultural benefits and in particular act as a catalyst for wider regeneration as a result of raised land values and a more positive and attractive image of the area.

- **Olympic Neighbourhood Initiative**: seeking to bring private sector homes up to Decent Homes+ standard with skills and jobs outcomes;

- **Drapers Field**: with a view to introducing Legacy enhancements to the playing field with landscaped groundworks, new leisure facilities and increased access.

- **Street improvements**: To Leyton High Road and Temple Mills Lane, along Orient Way;

- **New homes and employment space**: With capacity for over 2,000 new homes;

- **Cycle and pedestrian routes**: North-south walking and cycling route along Dagenham Brook, and Ruckholt Road linking to the Olympic park;

- **Transport hubs**: New Leyton station entrance and ticket hall;

- **Sports and recreation**: Revitalised Marsh Lane Fields with improved sports and recreation facilities;

- **Redevelopment of surrounding sites**: to reduce the isolation of the park;
4.4.3. Delivery and Challenges

Discussions are on-going with Aviva Investments and Asda, co-owners of the **Leyton Mills retail park site**, and there is potential interest in masterplanning the site for redevelopment with a new link in to the Olympic Park. Delivery challenges include the effective engagement of the Department for Transport to enable the new link over live railway lines.

Transport and connectivity improvements are required. The presence of the A12, rail lines and the River Lea all contribute to a poor level of connectivity between the Northern Olympic Fringe and the Olympic Park and Stratford City. In recognition of physical barriers, LBWF have prioritised road improvements, and a pedestrian/cycle bridge to Eton Manor and Olympic Park. LBWF will seek s106 for support for these. The NOF site is poorly served in access terms by Leyton Station on the Central Line. The required redevelopment of access arrangements and the ticket hall is not a current TfL investment priority. The Council also seeks to reopen the disused station at Lea Bridge. This would provide access to the Lea Bridge Gateway area, Waltham Forest’s largest industrial area, the Lea Valley Park and would significantly increase the PTAL rating in the area boosting the development potential and value of the area attractiveness, and in turn.

The locality makes this scheme a challenge - Leyton is the most deprived part of borough and the least resilient to the economic downturn. Community safety is a major concern in the area, with high crime rates, and significant teenage gang problems in Leyton and Leytonstone linked to certain estates. The area also struggles with poor public realm and poor perceptions of the area and these are being addressed. Housing quality is an issue, with a prevalence of privately owned terraced houses in poor condition.

The key external interventions required to trigger delivery in the Northern Olympic Fringe regeneration area are as follows:

- **SHORT TERM:** We ask that the HCA designate a senior officer to take a seat on the Northern Olympic Fringe board, to provide advice through the AAP’s development and support to the delivery of the plans for the area

- **SHORT TERM:** Commitment to investment and lobbying support to drive development at Leyton Mills
SHORT/MEDIUM TERM: We ask that the HCA assist LBWF in enabling the Hall Farm Curve to be brought back into use, and introduce a train service from Chingford to Stratford, through ongoing discussions with DfT.

SHORT/MEDIUM TERM: We ask that HCA to assist LBWF in lobbying TfL to prioritise access improvements to Leyton Underground station.

SHORT/MEDIUM TERM: We ask for HCA grant support to assist in the acquisition of key strategic sites in this area to be assembled through negotiation wherever possible, or through the use of CPO powers if necessary.

4.5. Wood Street

Wood Street is one of Waltham Forest’s district centres and has historically provided a unique retail offer. Identified as a key growth area for the borough, Wood Street is envisaged to progressively develop as a retail-led mixed-use town centre with opportunity for housing growth. Town centre uses can be intensified through infill commercial and retail development and be combined with well-serviced residential redevelopment and renewal, including in relation to Council housing estates in the area. The regeneration of Wood Street will provide opportunities for well serviced residential development, while also strengthening the area’s urban fabric, assisting in the creation of a more coherent and dynamic public realm which will further catalysing the regeneration of the area.

Wood Street AAP Scoping Study: An Area Action Plan (AAP) Scoping Study has been undertaken as a first step in identifying key issues and regeneration opportunities for the area. Consultation on the Issues and Options for the Wood Street AAP is anticipated in Summer 2010, with a timescale for adoption in late 2012.

Delivery Partners: The project is at an early stage, and the identity and commitment of delivery partners will be sought in the early stages of the AAP through the Issues and Preferred Options.
consultation phases. Potential delivery partners are likely to include the LSP, Ascham Homes, HCA, TfL, Network Rail, businesses and landowners.

4.5.1. Project Outline

The vision for Wood Street is to be a vibrant, viable town centre with a retail-led mix of uses that builds upon the distinct historic character of the area and offers a good range of convenience, comparison and niche products. The area is envisaged to benefit from a step change in the quality of the public realm, attractive and safe connections to and across the area for all modes and an increased emphasis on social and community activities.

Our ambitions for the Wood Street area are as follows:

- **To strengthen the centre with a retail-led mix of uses** – intensifying the town centre and maintaining and encouraging a vibrant range of shops and services, whilst capitalising on the existing indoor market and arcade area to provide a unique selling point for Wood Street town centre;

- **To consolidate Wood Street with a clear spatial strategy** – creating a clear heart to the town centre in relation to shopping, public transport access, and community activities and establishing the necessary critical mass to support the viability and vitality of the town centre;

- **To promote housing estate renewal** – To renew, remodel and improve housing estates in the area identified as priorities through the Estates Review

- **To enhance links to surrounding neighbourhoods** – establishing attractive, direct, safe and well overlooked connections between the residential neighbourhoods and the high street through renewal of housing estates and facilitating pedestrian and cycle movements along desire lines through and across the high street;
• **To enhance historic assets** – maintaining and enhancing the existing character of the area through retention, sensitive renewal and refurbishment of historic and character buildings and ensuring that new development blends into the existing urban structure and character of the area;

• **To promote sustainable approach to transport and parking** – ensuring an integrated approach to regeneration and transport initiatives which builds upon the funding for pedestrian and cycle improvements that has been secured through a TfL Area Based Scheme and which is expected to kick-start the regeneration within the Wood Street AAP area by encouraging modal shift towards sustainable modes of transport and rationalising parking;

• **To enhance public realm and spaces** – focusing on key spaces within the area, such as the precinct, the town square and the Millennium Clock site, an integrated programme of public realm and streetscape improvements will be brought forward that seeks to strengthen the vibrancy and vitality of the town centre by day and night and encourage walking and cycling to and from and within the Wood Street area;

• **To promote a community focused approach to regeneration** – integrating community activities in improved facilities and spaces to maximise benefits for and buy-in of local residents and businesses and complement the physical renewal of Wood Street.

### 4.5.2. Projects

There is significant potential for redevelopment across a cluster of sites in this area, including the Library site, Precinct site, Thorpe Combe Hospital site and several car parks. Pre-application discussions are underway, but this will likely be medium-term development for the borough (2014-19).
It is anticipated that a development framework will be prepared for the Wood Street area informing the AAP process. This will ensure a comprehensive and holistic approach to regeneration and renewal of the area.

The area has potential to support residential and mixed use development with many larger sites in single ownership. Such development will need to be supported by sufficient and timely delivery of infrastructure including community infrastructure, utilities and transport. Identification of specific infrastructure projects will occur through the Issues and Options and Preferred Options consultation phases.

### 4.5.3. Delivery and Challenges

Key challenges for the Wood Street regeneration include the lack of strong identity and image of the area, the retail competition from adjacent town centres, perceived and actual safety and security concerns, the quality of the existing housing stock, and the legibility of the public realm. Additionally a key consideration in any regeneration of the area will be attracting investment whilst also maintaining the unique retail nature and history of Wood Street itself.

Wood Street has a number of Council or Government owned sites within the proposed boundaries including housing estates, schools and health services. Some of these sites may be considered for renewal and improvement in the coming years. These sites therefore provide key opportunities within Wood Street and will have the potential to act as catalysts for the regeneration of the whole area. Transport connectivity, public realm and community infrastructure will need to go forward hand-on-hand with development proposals to achieve a step change in the quality and identity of the area.

Attracting investment and buy-in of local residents and businesses will be crucial to the success of the project. The key emphasis in the next stages of this project will therefore be placed on consultation and engagement.

**SHORT TERM:**

✔ **SHORT TERM: HCA involvement in the development of the AAP.**

Waltham Forest will pursue the preparation of the Issues and Options document for consultation. The outcomes of this consultation will inform medium and long term objectives.

✔ **SHORT TERM: We seek HCA funding (see Appendix A) for preparation of a Masterplan and implementation strategy to inform the Area Action Plan process to be undertaken in 2010/11 and professional support to**
develop innovative delivery models to make the best use of Council owned land within the area to maximise the impact of regeneration of the area

**MEDIUM TERM:** As part of the Estates Review process and Area Action Plan process, we seek HCA support in developing a community consultation approach to establish from residents perspectives what is wrong with the area and what needs to change.

### 4.6. Decent Homes and Estate renewal

We are underway with our programme of Decent Homes across the borough and on track to meet a 2012 deadline. We will have spent almost £200m since 2005/6 on the programme, with almost £100m of central funding and over £45m of borrowing. £85m is still to be spent between 2009/10 and 2011/12. It is imperative that we continue to receive the support and investment we need to meet these pre-identified targets.

**MEDIUM TERM:** We are seeking continued HCA commitment to the full level of Decent Homes funding, and certainty over its provision.
Beyond this, however, several of our neighbourhoods are likely to need more than a ‘decent homes’ approach to tackle the issues affecting residents’ quality of life and to create the sustainable communities that they aspire to. In 2009, we commissioned consultants to undertake an Estates Review and to establish a methodology for the assessment and evaluation of critical factors that determine the quality of life experiences of tenants and residents living in Council accommodation on estates. The review has taken account of aspects such as the quality of the community facilities and public space, safety and transport accessibility, the energy efficiency of buildings and other measures that reduce the level of carbon emissions from existing homes.

The estates review team has looked at 27 ‘estates’ and a total of 4,430 properties. As a result of this, we have a draft list of estates where intervention is required and these in alphabetical order are:
1. Aldriche Way
2. Avenue Road
3. The Drive
4. Knebworth
5. Marlowe Road
6. Montague Road
7. Oak Hill
8. St. Stephens Close
9. Tenby Court
10. Vincent Road

We expect to agree a shortlist of high intervention estates in July 2010, and plan to establish on-site teams to lead community engagement in the autumn.

✓ SHORT TERM: Our estates review will identify 3 or 4 estates where intensive community engagement work around ‘what is wrong and what needs to change’ will be required. We ask for funding to assist with this work which will lead to community based planning and in turn sustainable, transformational change.

✓ MEDIUM TERM: There are likely to be significant opportunities for development and or redevelopment which will require HCA support for estate renewal and new development.

4.7. Other Sites

4.7.1. Walthamstow Stadium

Following the private sale of the Walthamstow Stadium to London and Quadrant, there is an opportunity to develop this landmark site for mixed-uses. Current proposals indicate that 150 affordable units will be brought forward within the proposed development, however, it is estimated that the site could yield around 500 housing units, and should also include a significant body of community and leisure facilities which meet the needs of local residents. This does not preclude the option to reinstate greyhound racing on the site, either on its own or as part of a mixed use development.
A Design brief was developed for the site in July 2009, and its findings were that the site should include family homes conceived as terraced houses with private amenity space and additional access to public open space. The brief suggested that Warner half-houses provide an interesting model for ways in which smaller units can be configured to provide high density with high quality.

The brief found that there was some opportunity for taller buildings, but that the height of the buildings should be kept low to the western end of the site to maintain the setting of the main listed building, which is principally seen in silhouette at present. There may be opportunities for additional height to the eastern end where the location is less sensitive, subject to a very high quality of design.

The site lies within a predominantly suburban location so densities should be in the range of between 200-250 habitable rooms per hectare, in accordance with UDP policy. The Council may however consider development at higher densities dependent on the overall quality of design and living accommodation, and appreciation of the wider site context.

The site has been purchased by L&Q who are developing proposals to bring forward the site for housing. They have recently engaged a new design team to draw up proposals for the site and are actively engaging with the Council and English Heritage to ensure that the character and elements of historical importance of this iconic building are retained and exemplified.
SHORT/MEDIUM TERM: To provide funding for new affordable homes on this site.

4.7.2. Other sites

In addition to the larger regeneration schemes, there are also a number of proposed developments in the borough pipeline which will deliver a significant number of new affordable homes and are likely to require HCA grant. These are as follows:

Banbury Park (Tyco Works), Billet Road, E17 - approximately 150 affordable units
This scheme is being developed by Hadley Homes and comprises approximately 550 new homes that includes a high proportion of family units and is situated on a former industrial site. In addition to the new homes the development could incorporate a variety of services and facilities potentially including a day nursery/crèche, a primary health care facility, a restaurant bar, additional shops and office accommodation and a linear park providing a direct link from Billet Road to the Cheney Row Open Space.

As at May 2010, the scheme was refused planning permission by the Local Planning Authority.

Tesco’s site - Highams Park - approximately 94 affordable units
Tesco has submitted plans to the Council to build a 24-hour store in an industrial estate off Larkshall Road, Highams Park. 253 homes are also proposed which includes approximately 94 affordable units and 159 for private rent arranged around public green space with independent shops facing Larkshall Road, underground car parking spaces and offices, workshops and business start-up units.

These sites will play a positive contribution towards the borough's targets for affordable homes.

4.8. Improving our Town Centres

Our town centres represent a key economic asset, providing shopping, employment, leisure, cultural, community services and facilities for our residents and visitors.

Walthamstow is the borough’s major centre. District Centres in Waltham Forest include North Chingford, South Chingford, Wood Street, Bakers Arms, Leyton and Leytonstone. Neighbourhood centres include Highams Park, Sewardstone Road,
Chingford Hatch, Chingford Mount Road, Forest Road, Markhouse Corner, Francis Road and Thatched House.

The LDF seeks to ensure that these centres remain successful and attractive in the long term. The ability of the borough’s town centres to accommodate additional growth whilst also improving their relative attractiveness will be key to achieving sustainable and well balanced communities. It sets out our plans for:

- Ensuring that new proposals for town centre uses are directed to the designated centres and appropriate to the role and character of the centre and its catchment;
- Promoting the dominant position of Walthamstow Town Centre as a key growth centre;
- Consolidating retail activities within core areas (designated centres and local retail parades);
- Creating distinctive town centres, encouraging differentiation and specialisation;
- Encouraging housing in and around town centres as part of mixed use developments;
- Promoting the rejuvenation of town centres through redevelopment of under-used sites.

Walthamstow and Wood Street centres have been identified for significant change/growth as set out in 5. Key Investment Opportunities.
4.9. Thematic interventions and investments

As well as focusing on a number of key spatial priorities and regeneration project areas, we are also concentrating our efforts on a range of thematic, borough wide interventions and investments which will make a significant contribution toward our ambitions for the borough.

4.9.1. The development of new homes

Read in conjunction with Appendix B (Classified), ‘Waltham Forest Housing Pipeline’

To help bring forward new homes in the borough the Council is committed to:

- Maintaining a high quality and efficient planning service to respond effectively to applications from developers wishing to develop new homes, including providing strategic policy and guidance on large sites;
- Maintaining an ongoing dialogue with our partners through the LSP, to identify a number of small to medium sites on publicly-owned land that we can jointly develop by June 2009, and seek to increase this list year on year. We will aim to start construction on the first site with two or more members of the LSP by 2010; Working with Housing Associations to develop a solution for 50 homes per year for 3 years from 2010 for homes they are unable to sell, either outright or through shared ownership. We will do this by renting these homes for a number of years at a market rent, with an option to buy at the end of that period;
- Supporting our Housing Association partners in bids for HCA funds to purchase 50 unsold new homes per year for three years from developers from 2009 – ensuring that these are in locations that will help to increase the mix of housing types and tenures in line with our policy; (HS)
- Starting with the larger sites, assessing at least 12 sites per year from 2009 for their feasibility, aiming to assess all medium/large sites for their feasibility by 2013. Each feasibility study will be reviewed every three years. We will assess each site individually for the contribution it can make to achieve the our affordable housing targets – including the large regeneration schemes. Requirements for each site will be set out in a ‘housing requirements brief’ to guide our partners about our development requirements.

4.9.2. High quality and sustainable housing

Strategic Stock Options and Investment: The Council owns the freehold of approximately 12,320 homes. 10,520 are tenanted and 1,800 are leasehold. These homes are managed by Ascham Homes, which is an Arms Length Management Organisation (ALMO). The Management Agreement with Ascham Homes ends in
April 2013 and it is necessary for the Council to commence the process of deciding what management and ownership arrangements it wants in place from May 2013 onwards.

The Council will need to carry out an Options Appraisal, (similar to that carried out in 2002). During this process it will work with its key stakeholder partners to identify the option that will be best suited to meet the investment needs of the stock and reflect the aspirations of the tenants. The Council is under a government directive to ensure its stock complies with the Decent Homes standard by 2012 and it is on course to achieve that. In spite of this, there will still be an investment need profile for the future years as properties, over time, fall out of decency.

The appraisal will hinge on the investment need required to maintain the stock in an acceptable condition and members’ and tenants regeneration aspirations for the stock. The options available to the Council need to be appraised once these investment needs and aspirations are fully understood. Baseline work and research will be undertaken during 2010 to enable the Council to make an informed decision about the future stock options.

A 30 year asset management strategy will be put in place which will identify the profile of investment required to improve and maintain our stock.

Design Quality: All Housing schemes are expected to be designed in line with best practice and to meet, where possible, the standards and requirements set out in Building for Life, Lifetime Homes, Secured by Design, Homes and Community Agency Design and Quality Standards, Manual for Streets and the Code for Sustainable Homes.

Since Autumn 2009 the council has utilised the forum of the North London Sub-regional Design Surgery to provide commentary and advice to the borough and developers of major applications. The surgeries aim to provide fresh independent thoughts on schemes to support local authorities in the sub-region as they develop, consider and negotiate them. Surgeries are chaired by Fred Manson (CABE) and a panel of experts is made up of representatives from HCA, North London Strategic Alliance, Urban Design London, CABE and Design for London. The Design Surgery has funding secured until February 2011. LBWF sees the surgeries as an important and valuable tool to bring forward well-designed and high quality schemes within the borough.

We have also set out ambitions to:

- Run two housing design award competitions every year from 2011;
• Require all privately funded schemes to deliver houses at CSH 3 in 2010, CSH 4 in 2011, and CSH 5/6 by 2016.
• Develop five to ten exemplar environmentally sustainable projects with partners by 2012.
• Work with partners, such as Eaga, to examine the feasibility of developing a Carbon Neutral Neighbourhood within Waltham Forest, using new funds available from the Community Energy Saving Programme (CESP) – during 2009, and commence work in 2010.

Address the shortage of family sized housing: 58.7% of existing households moving to market housing require three or more bedrooms. Our draft LDF core strategy sets out our expectations for a large proportion of family sized housing in new development. We will, however, listen to responses from private developers and other partners and ensure that this policy approach is operated in a way consistent with scheme viability.

<table>
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<tr>
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<th>2 bed</th>
<th>3 bed</th>
<th>4 bed+</th>
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<td>Intermediate</td>
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<td></td>
<td>Social</td>
<td>10%</td>
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In 2007/08 we brokered 43 solutions for under-occupying households in order to increase the number of larger homes available to relieve overcrowding. Cash incentives are provided as well as a service that helps under-occupying Ascham Homes and housing association tenants to move to a smaller home if they want to.

MEDIUM TERM: We ask HCA to support us in pressing for more family sized housing in the borough and to have regard to these ambitions in any funding decisions.

Mixed and balanced communities: In order to realise the Council’s aspiration for a more economically balanced population, new, economically active households need to come to the borough. Some of our communities are suffering from high population turnover, while we are seeing a large number of higher income families and individuals leaving the borough – partly as a result of the lack of high quality, affordable housing in attractive areas they want to live, connected to jobs and leisure opportunities. We are focusing on creating homes and neighbourhoods that will meet their needs over the family life cycle to ensure that wealth is retained in the borough, reversing past trends of population churn where wealthier residents move out of the borough. This has significant ramifications for community cohesion, concentrations

Borough Investment Plan for London Borough of Waltham Forest

Page 88
of deprivation, and the sustainability of these communities. We are seeking ways to reverse this trend.

As part of this, we will produce an assessment of the take-up of the various Low Cost Home Ownership Scheme homes across the borough and review our affordable housing provision in the light of this information. This will include seeking more affordable tenures in the north of the borough where house prices remain too high for many of our residents.

MEDIUM TERM: We are keen to work with the HCA to develop a high quality housing offer, potentially through a professionalised private rented product and more intermediate housing tenure options in our well connected town centres and regeneration areas.

4.9.3. Supported housing

The demand for specialised and supported housing, – to meet the needs of elderly people, residents with disabilities and mental health problems, homeless young people, care leavers, and other vulnerable people – is likely to increase, especially as the number of people aged over 65 and 75 continues to grow. We estimate that 38.7% of our overall population growth will be amongst those aged 65 years and over.

22,500 households in Waltham Forest currently include somebody with a disability or a long term limiting illness. The demand from these groups is predominately for independent accommodation with external support. Extra care provision will therefore need to be expanded to offer opportunities for people to maintain their independence.

Our Supporting People Strategy and Programme sets out our funding and commissioning approach for care and support to enable people in these groups to live independently:

- We have with Forest YMCA provided an additional 50 supported homes for young people aged 18-30 – the Clockworks Project – we are hoping to secure funding to provide a training suite designed for developing life and work skills;
- Expand floating support and increase provision for people with learning disabilities and mental health problems and expand extra care provision for older people;
- Provide additional help for young people, particularly 16 and 17 year olds, and young people leaving care who are either homeless or at risk of homelessness.
**MEDIUM TERM:** We request HCA grant funding support for the supported housing commissioning priorities set out in the LBWF Supporting People Strategy 2010 – 2015 which are:

- Increasing learning disabilities high support including provision for young people in transition: target increase 6 - 8 units by 2014;
- Increasing mental health high support: target increase 20 units by 2015;
- Increasing extra care provision for older people: target additional 75 units by 2012.

### 4.9.4. Private Sector Housing

Highlights of the Private Sector approach in Waltham Forest are:

1. **SHESP Programme**

   LBWF were awarded up to £1.4m of HCA Grant funding in July 2009 to undertake cavity wall insulation to, primarily, hard to treat properties ('category 3 properties' which are in essence 3 storeys+). All properties in this category will be treated. The works are being undertaken in 2 Key Phases, Phase 1 started in April 2010 and will be completed June 2009 - around 200 properties will be treated as part of this. Phase 2 will commence in June/July and be completed Oct/Nov and will treat up to 400 properties - up to 600 properties in total. All Cat3 LBWF properties that require the measure will be treated at some point in the programme without the need to target particular areas. The programme must be completed by March 2011. The programme will help to reduce CO2 emissions across the borough, save tenants money on their annual fuel bills, assist in tackling fuel poverty, improve the SAP ratings and overall condition of LBWF owned stock.

2. **Thermal Comfort**

   During 2009/10, the homes of 940 households in Waltham Forest benefited from works to improve thermal comfort. Warm Front and London Warm Zone are particularly active and also HEET, a local not-for-profit organisation working to make homes safer and warmer, make a valuable contribution.

   The East London Renewal Partnership commission London Warm Zone (LWZ) to provide a client assessment service and benefit advice support to maximise income and entitlement to thermal comfort support, as well as scheme management and
development costs. LWZ is a not for profit organisation working in partnership with local councils, the Government and EDF Energy.

In 2009/10, the homes of 129 residents of Waltham Forest benefited from thermal comfort works delivered by LWZ. The borough’s thermal comfort allocation for 2009/10 was £509,656. The primary means of identifying clients is through doorstep surveys in the areas of greatest poverty. During 2009/10, LWZ were directed to target the wards in the North Olympic Fringe. Assistance is limited to those homeowners and private tenants in receipt of income or disability benefits or over the age of 70, who are in fuel poverty. This relates to residents who are assessed to spend more than 10% of their disposable income on heating their homes.

The sub-region funds the membership fees of all partner boroughs to the Landlord Accreditation Scheme, both to encourage landlords to fund their own investment and to increase take-up of LWZ grants in the private rented sector. Generally this sector suffers the lowest levels of energy efficiency and has the worst take-up of such grant assistance.

Our Private Sector Housing Renewal Assistance Policy (2008-9) and Empty Property Strategy (2007-10) include proposals to:

- Develop a Private Housing Forum and part of the pan-London accreditation scheme for landlords/properties;
- Provide grants for owners and private tenants – this includes a number of different types of grants for minor and major repairs and improvements;
- Carry out a programme for bringing empty properties and commercial space into residential use (in 2006/7 we met our target to bring 300 empty homes back into use); closer targeting of long-term empty private homes, through a ‘Top Ten eyesore list’, and incorporating intensive activity into higher priority areas with higher than average numbers of empty private homes. Where necessary, Compulsory Purchase Order (CPO) and empty dwelling order powers will be used;
- Implement a Private Sector Leasing Scheme where the Council leases unused private homes from landlords, improves them and manages the tenancy for a number of years (with the rent payment covering the costs of the improvements);
- Select one area in the south of the borough that will benefit from a more comprehensive approach and commence an Area Improvement Strategy of private sector renewal;
- Implement a programme of purchasing and upgrading poor quality private homes and making these available for households that have been homeless, or living in...
hostels. Some of these homes will be made available to single homeless people as well as families. The properties improved through this initiative will be predominantly in the south of the borough, where there are higher levels of privately rented homes. The improvement programme will form part of the 2012 Olympics programme to create a legacy for neighbourhoods in East London.

4.10. Economic Development

The recent financial crisis has had significant impacts on Waltham Forest and so far the recovery has been underwhelming and the new economic reality is one of fiscal austerity and uncertainty about how the economy will substantially recover. In November 2009 the Council’s Cabinet agreed the Waltham Forest Enterprise Employment and Skills Strategy which outlined how the borough would prepare for economic recovery and tackle the interrelated problems of worklessness, low skills and poor business competitiveness. From April 2010 there is a requirement of local authorities to produce a Local Economic Assessment (LEA), and this is currently in the process of being developed by a consultant team appointed by the Council. This provides us with an opportunity to compile a robust set of data to better understand the economic geography of the borough and provide an evidence base for future planning and investment. This work has recently been commissioned and will report in the autumn.

The LEA provides a timely opportunity to assess what type of economy WF will strive to create, where greatest potential exists and where interventions should be targeted to overcome existing weaknesses. The economic framework for WF that arises from this work will need to communicate an ambitious but realistic economic narrative for change and a route map to deliver it.

The assessment will give particular attention to the opportunities presented by the main regeneration areas, in particular at Blackhorse Lane and Walthamstow Town Centre, providing a finer-grained analysis of the current and potential economic performance and role of these localities and the corresponding opportunities for sectoral employment growth and the attendant skills and training needs both during the phases of development and, sustainably in the longer-term.

Olympic Boroughs Strategic Regeneration Framework (SRF)

The SRF sets out an ambitious legacy vision that within 20 years the communities who host the 2012 Olympic and Paralympic Games will enjoy the same social and economic chances as the rest of London referred to as the principle of convergence.
The SRF brings together the regeneration of the physical area of the five host boroughs and the socio economic regeneration of the communities that live there. It provides a strategic, cross borough blueprint for improvement. It describes what the five boroughs are going to do to make changes in people’s lives as a result of investment in the Olympics, including opportunities for new jobs, better housing, a changed public realm and huge economic growth.

The first stage of the SRF sets out the issues facing the area, defines the approach to the physical regeneration of the region, outlines that targets for improvement in key deprivation indicators, and describes the next steps for all partners. It will be followed in Autumn 2010 by a second stage which sets out legacy benefits, the economic prospects for the sub region and the first five year action plan.

Worklessness, Employment and Skills

The LEA will be accompanied by the production of a Worklessness and Skills Plan which will integrate employment and training opportunities arising from regeneration and development plans. Employment and job brokerage programmes are currently undergoing a period of change and the advent of the new Government is likely to presage significant change.

From 1st July 2010 new arrangements are being put in place as the strategic context and funding arrangements that have supported WorkNet activity over 2008 – 2010 are changing. There are however successor programmes to the above programmes that will enable the continuation of employment support and job brokerage activity. As an Olympic host borough, Waltham Forest remains a part of the City Strategy Pathfinder five-borough partnership and continues to work closely with the Host Borough Unit.

In the place of the above programmes succession programmes have been developed that will enable us to commission new employment support and job brokerage services through the WorkNet partnership. However the nature of the programmes are changing, with a far greater emphasis on sustained job outcomes and working with residents who are furthest from the labour market.

More generally, the recent Houghton Review has recognised that potential for locally led, delivered and accountable services, rather than an inflexible and one size fits all national framework. The DWP has said by 2015 some areas with City Strategy Partnerships and MAAs will have greater responsibility for delivering outcomes and handling budgets. The DWP would specify outcomes but commissioning, funding and contract management would go to a local partner or joint commissioning body. There is a growing argument that this process of devolution should be faster and
deeper. Many local authorities have the capacity to deliver back-to-work employment and skills services. Additional resources would deliver the incentive to align and mobilise directorates and partners around the clear goal of getting people into work. It remains to be seen what degree of localism and devolution will be promoted by the new Government but there may be significant opportunity, alone and in concert with the other Host Boroughs to further integrate and align employment programmes with the regeneration and development opportunities across the area.

A range of current initiatives and activities are currently in place:

- WorkNet, [Community Based Housing Association], a leading a partnership of social landlords in the borough, to provide pathways into work, training and skills development for their residents;
- More Single Points of Access are being created to access comprehensive advice and employment programmes within the borough, some of which are hosted by Ascham Homes and Housing Associations;
- The City Strategy Pathfinder WorkNet partnership is co-ordinating all the entry to work and progression in work programmes that exist in Waltham Forest. The partnership includes Jobcentre Plus, the Learning and Skills Council and Community Based Housing Association;
- Construction Training Centre – the development of a flagship construction training centre in Leyton, adjacent to the Olympic and Stratford City development sites, to serve the five Olympic host Boroughs with a high quality, flagship facility with a focus on giving local residents skills for employment in the construction sector. From 1st July 2010 new arrangements are being put in place as the strategic context and funding arrangements that have supported WorkNet activity over 2008 – 2010 are changing.

4.11. Infrastructure needs

Our housing and regeneration objectives explicitly require that growth and development align with our infrastructure investment programme. The community we are trying to create – those which attract and retain wealth, and in which people will wish to live, work and invest, require specific infrastructure investments, some relating to key projects and developments, and some relevant to our long term, borough-wide ambitions.

Our bespoke Infrastructure Model has been used to assess the infrastructure requirements arising from development. The Model sets out the demand arising from growth for various services (e.g. for education, for medical care, etc.) over the period
from 2009 to 2026. The Model subsequently, wherever possible, translates this demand for a service or amenity into a requirement for infrastructure (e.g. classrooms or medical centres) and provides an assessment of a likely commensurate cost.

In our study we have used two growth scenarios:

- The lower growth scenario is based on the 2008 London Plan’s housing target for Waltham Forest of 665 new homes per annum
- The higher growth scenario tests the impacts of a greater level of growth in Waltham Forest to understand the impact on associated infrastructure requirements of 1,251 new homes per annum.

4.11.1. Transport

Waltham Forest scores well on the connectivity index ranking 24th out of the 408 districts nationally. Situated just to the north east of central London, the transport infrastructure reflects this geography, with roads and rail links running predominantly from north-east to south-west to access the City and the West End. The borough also has two tube services, the Central and Victoria lines, which form the main commuter routes to the City and West End. Two railway lines cross the Lea Valley: The Chingford to Liverpool Street Line is a radial line and forms a main commuter route to central London. The Barking to Gospel Oak line is an outer London orbital route. Newham lies to the south of the borough with its major transport hub Stratford bordering Leyton.

The transport networks connect the borough to the rest of London but also serve as borders within the borough, especially the North Circular between the centre and north. Crossings of the River Lea corridor are limited for both road and rail – there are only five road crossings out of Waltham Forest on its western borders plus two bridges for walkers and cyclists only. Furthermore, despite its proximity to Newham, Waltham Forest is not well connected to Stratford due to:

- The roads running on a north-south axis within the borough are narrow, with limited scope for realignment due to the predominantly Victorian streetscape. These roads are not conducive to efficient bus transit;
- There is no direct rail link between Stratford and Walthamstow Town Centre, and the north of the borough, though the reinstatement of the Hall Farm Curve section of track could provide for one;
- The A12 provides a major barrier to pedestrian movements between Leyton and the Stratford City and Olympic Park developments;
Residents have previously reported that getting round the borough is more difficult than travelling into Central London which acts as a disincentive to shopping locally. Local transport connectivity is therefore a major constraint on regeneration and economic development.

Growth strategies are likely to generate significant increases in people movement during peak travel periods, particularly in the south of the borough within the Central WF and Southern WF sub-areas. It is also evident that unless constrained, the car mode of travel will likely dominate given the relatively short trip lengths to the key Opportunity Areas of Stratford and the Lower Lea Valley to the further detriment of the existing surface transport network. The higher growth scenario within the Southern WF sub-area could be unsustainable without further investment, particularly due to the constrained transport network between the northern and southern halves of the sub-area separated by the A12 TLRN route.

We will strive to see that:

- **Public realm and footway links** are enhanced to provide for the walk stage of the total trip, with Real Time Passenger Information provided along the routes at appropriate locations and key interchange sites, together with improved pedestrian road crossing provisions along the desire lines providing access between the homes and the bus stop sites;
- Funding is found for **cycle network enhancement** with additional facilities provided at destinations and interchange sites in sufficient quantity to provide for the increased demand necessary to effect a significant modal shift from car to cycle;
- We build support for the **reinstatement of the Hall Farm Curve** on the Chingford to Liverpool Street LOL to provide a direct rail route through the borough to the strategically important interchange hub at Stratford. The alternative of a public transport journey by bus is very slow as the road corridors connecting into Stratford are narrow and congested. This new link would serve the key Opportunity Areas of Stratford and the Lower Lea Valley to the south of the borough, and will also provide a reliable and sustainable link between the north and south of the borough with sufficient existing capacity to accommodate growth over the long term.
- **We reduce the impact of new developments** through car free/car capped housing, travel plans, construction management plans and servicing management plans and cycle parking;
- **Additional planned capacity on the Victoria Line** is further supplemented as the planned increase will be exceeded in the short term by the projected growth – further investment is required;
• We address lack of direct overland rail access to Stratford or the Lower Lea Valley Opportunity Area. Currently, access to Stratford is by bus and interchange or mainline and London Overground rail, walk and interchange to the Central Line at either Leyton or Leytonstone. We seek the introduction of a new train service to Stratford and the re-opening of a station at Lea Bridge;

• Improvements are made to the North Circular to provide safe routes for pedestrian and cycle movements at these wide and congested locations, preferably at-grade with the borough roads;

• Promote a new route between Forest Road eastbound and Sutherland Road.

**Key transport requirements map**

**MEDIUM TERM:** We are keen to engage with regional and national authorities to pursue all the necessary potential sources of funding for strategic transport infrastructure investment to support growth. Such sources might include:

• Funding from DfT/TfL for specific projects;
- A regional infrastructure fund, similar to that proposed in the London Plan primarily to support the development of Crossrail and in the south east and south west regions by the relevant RDAs;
- A local tax increment funding (TIF) mechanism should such become available.

4.11.2. Environmental and energy projects

The Waltham Forest Local Strategic Partnership, including the Council, have adopted the Waltham Forest Climate Change Strategy that aims to reduce CO2 emissions within the Borough boundary by 80% by 2050. The latest government data shows that homes are the biggest emitting sector at 50%, businesses emit 29% and transport is 21%. Work needs to be targeted on reducing domestic emissions in particular, as Waltham Forest has proportionately higher emissions due to there being less industrial units than most London Boroughs. The table below from the Strategy shows the mix of interventions to reach the 80% reduction target and the interim targets.

Retrofitting energy efficiency measures in the existing housing stock has to be a priority, as the majority of the stock will still be here in 2050, due to the relatively limited opportunities for large-scale regeneration.

We have undertaken an LCLIP (Local Climate Impacts Profile) study to help us assess our vulnerability to severe weather events and how these events are anticipated to affect local communities as well as local authority assets, infrastructure
and capacity to deliver services. The outcomes of the LCLIP will help us to identify appropriate actions required in the Borough to adapt to climate change. Our main vulnerabilities are heavy rainfall, drought and high winds, with an increasing pattern expected of such extreme weather events.

As shown in the Waltham Forest Climate Change Evidence Base 2010, we will progress our agenda to meet future energy demand through low carbon energy generation, including inter and cross-borough decentralised energy infrastructure provision and Energy from Waste (EfW) opportunities. The density of the built environment and the lack of large scale renewable energy opportunities together make decentralised energy and CHP particularly important for delivering CO2 reduction targets in Waltham Forest. The regeneration areas of Walthamstow, North Olympic Fringe and Blackhorse Lane were identified as having the highest development densities, existing energy demands, and future growth; and have therefore been identified as most likely to support the creation of a decentralised energy network.

Waltham Forest Council has been accepted onto the LDA De-centralised Energy Master Planning (DEMaP) programme which would provide support in the following four key elements that need to come together to make Decentralised Energy (DE) schemes happen:

• viable and feasible heat network development opportunities,
• sufficient institutional capacity,
• a supportive policy framework, and
• an effective commercial delivery structure.

We will also investigate a large scale District Energy, possibly CHP plant, operation as part of the Area Action Plans being developed, particularly in the Northern Olympic Fringe / Lea Bridge area where industrial land use is projected to grow, e.g. the Argall Industrial Estate/Rigg Approach.

The diagram below from the Waltham Forest Climate Change Evidence Base 2010 shows the longer term potential for Combined Heat and Power (CHP) and decentralised energy networks in the borough including opportunities to establish cross-borough linkages.
We will consider the feasibility of ESCOs and the development of sustainability policies which create an expectation for developers to utilise low carbon fuel sources and to connect to sustainable utilities, where available and feasible. We will maximise the potential from the Feed-In Tariff (FiT) changes to install renewable energy generation on Council buildings and Ascham Homes stock.

The Council is leading by example and has adopted a Carbon Management Plan to reduce carbon emissions from their own operations by 20% by the end of 2012. This shows strong community leadership whilst achieving real carbon reductions. The Council’s Carbon Management Plan can be found at: http://www.walthamforest.gov.uk/wf-carbon-management-plan.pdf

We also wish to improve public access to open space to help increase opportunities for leisure and to support our health inequalities strategy. Improving physical access
to the Olympic Park to the South forms part of this strategy as does access West to the upper lee Valley and we are currently seeking to engage Thames Water in discussions about opening up the reservoirs on the west side of the borough for development.

**MEDIUM TERM:** We seek HCA support, advice and funding to help us connect up the existing energy infrastructure, and deliver new schemes where necessary, to realise our ambitions of becoming one of the greenest London Boroughs, particularly in the south and middle of the borough and on key regeneration schemes.

### 4.11.3. Public realm

In 2009 we were given official support from the London Mayor’s Great Spaces initiative and our project ‘The High Street Life’ which is a major £27m programme to improve the borough’s town centres with major improvements to develop green streets and upgrade the main arterial route, which is also a suite of high streets linked from North Chingford to Drapers Field in Leyton High Road. The programme will also clean up shop fronts, and improve pedestrian and cycling routes for ease of movement.

Our objective is to revitalise and re-design the public realm along our high streets to create dynamic spaces that facilitate, showcase and build on the unique elements of our borough. These include the abundance of independent retailers in parades, our diverse and entrepreneurial community and the range of green and open spaces so that there is a shift beyond places of local convenience to making accessible places that are charming and enjoyable destinations.

We have moved beyond thinking in terms of street networks to thinking in terms of creating places. We are transforming the overall management of the urban realm through inter-disciplinary working for improved coordination and delivery. Focussing on easing pedestrian and cycling movement we have a holistic approach to designing spaces where we aim to create green corridors that connect Epping Forest on the eastern border and Lee Valley on the west, and the Olympic Park situated to the south. **Open Spaces**

While the borough benefits from the regional parks (Epping Forest and Lee Valley Regional Park) on its eastern and western edges, public satisfaction with parks and open spaces across the borough is lower than in other parts of London. The Open
Space Strategy (currently at draft stage) identifies sites and areas for improvement particularly in terms of quality. The plan is to bring the best sites (the six Premier Parks) all to Green Flag standard by 2012 (two of these already have achieved the standard) and to improve the poorest quality sites, many of which are semi-natural open spaces. The strategy also identifies three significant areas of deficiency in provision; one of these could be much reduced by the conversion of a playing field (Drapers Field) into a public park.

**Priorities**

Our immediate priorities are around the Olympic Fringe area which include Leyton, Leytonstone, Walthamstow and Thatched House.

To maximise the benefits of the Olympic Park it needs to be integrated with the surrounding area making it accessible to local and largely deprived communities. Together, these benefits should provide a catalyst to attracting further private investment to the area, accelerating its economic growth and so its contribution to the London and UK economies.

We have secured funding of £15.7m for a number of Public Realm improvements but considerable further investment will be required across the borough. In relation to the main regeneration areas, in the Northern Olympic Fringe a programmes of improvements has been costed at £13.9m and this is currently unfunded; in Walthamstow Town Centre investment of £2.5m is needed.

### 4.11.4. Education

Our Core Strategy and children and education policies are commonly concerned with ensuring that the borough offers opportunities to improve the life chances and choices for all children and young people.

**Early Years:** There is a requirement for an increase in capacity of between 212 and 563 early years places for two and three year olds, for the lower and higher growth scenarios respectively, over the period 2009 to 2026. The assumptions are that, although some growth in demand for early years provision is projected over the planning period, it is expected that demand for additional services can be met without the need for the Council to provide additional facilities/infrastructure. If new housing is developed in line with the higher growth scenario constructing the additional early years capacity in the Central and Southern areas of the borough as required will cost approximately £350,000 and £3,962,000 respectively.

**Primary:** As at September 2010, there are 43 primary schools in the borough, two all-through schools and 4 infant and junior schools. Currently 43 of these schools
have provision for early years education. There are also four nursery schools in the borough. Waltham Forest, in common with many local authorities in London, is experiencing a substantial rise in the birth rate. Coupled with increasing migration into the borough, we face a challenge to ensure that we are able to meet our statutory duty.

Since 2007 Waltham Forest has had a strategy in place to address the demand for primary school places. This was set out in our draft Primary Strategy for Change. The Strategy was the subject of consultation with a wide range of stakeholders, including Members. The DCSF gave unconditional approval to our final Primary Strategy for Change in December 2007 and this triggered release of primary capital funding for the 3 year ‘window’ to 2011.

For the lower growth scenario, part of the infrastructure requirement for the period 2009-2014 is already being accounted for through committed and planned investment in the Primary Strategy for Change. The Primary Strategy for Change outlines details of significant plans to provide additional primary school infrastructure/forms of entry (FoE) over a five-year period:

<table>
<thead>
<tr>
<th>Infrastructure Provision</th>
<th>Planning Area</th>
<th>Proposed Expansion</th>
<th>Delivery Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>Willow Brook</td>
<td>Leyton West</td>
<td>Expanded by one FoE</td>
<td>September 2009</td>
</tr>
<tr>
<td>Saint Saviour’s</td>
<td>Walthamstow West</td>
<td>Expanded by one FoE</td>
<td>September 2009</td>
</tr>
<tr>
<td>Edinburgh Primary</td>
<td>Walthamstow West</td>
<td>Replacement of school building and expansion by two FoE</td>
<td>September 2010</td>
</tr>
<tr>
<td>George Mitchell School</td>
<td>Leyton West</td>
<td>Expanded by one FoE as part of the George Mitchell all through school</td>
<td>September 2010</td>
</tr>
<tr>
<td>George Tomlinson</td>
<td>Leyton East</td>
<td>Expanded by one FoE</td>
<td>September 2011</td>
</tr>
<tr>
<td>Buxton School</td>
<td>Leyton South</td>
<td>Expanded by one FoE</td>
<td>September 2012</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td>Expanded by 7 FoE’s</td>
<td></td>
</tr>
</tbody>
</table>

*Source: Primary Strategy for Change, January 2009 (updated July 2010) and consultation with LB Waltham Forest School Organisation*

However, there is an additional requirement for 5 more unfunded FoE in this first phase. For the higher growth scenario, there is a need for an additional 2 or 3 FoE. Between 2014 and 2019 it is recommended that the Council plan for a further 13.5
FoE for the lower scenario and 15.9 FoE for the higher scenario (see table below). The total cost of additional primary provision over the planning period is considered to be in the range of £55m - £84m.

**Secondary**: As at September 2010, there are 13 secondary schools, one academy and two all-through school (3-18 year olds) in Waltham Forest. The BSF programme was budgeted at over £300 million to be invested in transforming secondary schools across the borough. However on the 5th of July 2010 the Secretary of State for Education made a statement in the House of Commons confirming that the BSF model of investment in schools would not continue; Waltham Forest is seriously affected by this and has asked for the decision to be reconsidered. There is still a need for the planned expansion of six FoE by 2014/2015 and a further eight FoE forecasted demand up to 2017/18; this was going to be delivered through the BSF programme, Below is the expansion programme that has been consulted on and that it was anticipated would be delivered under BSF; this will be reviewed once the Secretary of State’s response to the Council’s appeal for a review of the decision to stop the BSF programme has been considered and / or once the Government has reviewed and published proposals for investment in schools, in particular those proposals relating to sufficiency.

<table>
<thead>
<tr>
<th>Infrastructure Provision</th>
<th>Proposed Expansion</th>
<th>Delivery Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>Highams Park Secondary</td>
<td>The expansion to provide 25 places per year group (i.e. one FoE)</td>
<td>From 2012</td>
</tr>
<tr>
<td>Kelmscott School</td>
<td>The expansion to provide two FoE</td>
<td>2011 – 2014</td>
</tr>
<tr>
<td>Leytonstone Secondary</td>
<td>The expansion to provide one FoE</td>
<td>From 2011</td>
</tr>
<tr>
<td>Willowfield</td>
<td>The expansion to provide two FoE</td>
<td>2014</td>
</tr>
<tr>
<td>Proposed new school</td>
<td>Establish eight FoE</td>
<td>2015 (target)</td>
</tr>
<tr>
<td>Total</td>
<td>14 FoE</td>
<td>2015</td>
</tr>
</tbody>
</table>

*Source: Building Schools for the Future consultation / expansion proposals for Waltham Forest School, March 2008, reviewed April 2010*

Projections show that an extra 14 FoE will meet the majority of demand to 2017/2018, however we will need secondary places in addition to those outlined above in order to address the continuing demand for secondary places from 2018/2019 and beyond.

See Appendix A for Capital Programme proposed under the BSF Programme.
In the lower growth scenario this will result in a shortfall in meeting the need for some 2.6 FoE and in the need for an extra 8.5 FoE in the higher growth scenario. The majority of this requirement occurs in the medium term, from 2014-2019.

4.11.5. Health Care (PCT)

In line with the PCT’s strategic priorities, the Primary Estates Strategy states that, ‘seventy percent of the infrastructure is in place to deliver care outside hospitals in the form of six new or refurbished primary care centres located in deprived areas’.

In September 2008, LB Waltham Forest was selected as one of five ‘early implementer’ boroughs in London of the polyclinic model. Polyclinics are intended to offer a far greater range of services currently provided in a primary care setting. In addition to traditional GP services they would provide extended unscheduled care, community nursing services, diagnostics and services previously provided in a hospital setting. The PCT has already established a polyclinic in April 2009 in Leyton/Leytonstone, which constitutes one of up to four planned hubs of a hub/spoke model of service delivery. Over the next five years two other hubs will be developed.

There are thus several ‘priority developments’ for practice co-location set out in the Primary Care Estates Strategy - St. James Street, Tallack Road, Higham Hill, and Handsworth Avenue. As part of the redevelopment plans set out in the Walthamstow Town Centre Masterplan, new health facilities, with increased capacity, would be provided at South Grove (St James Street development). A Joint Service Centre will also be built in Blackhorse Lane which will accommodate two of the area’s existing GP practices in purpose-built premises with room for expansion, and provide space for other health services such as minor operations, family planning clinics, diet and nutrition clinics, group therapy, specialist optometry and retinal screening.

An assessment of demand for GP services arising from growth indicates that there will be demand for 11.2 GPs based on the lower growth scenario and 25.3 GPs based on the higher growth scenario. Given a three GP per surgery model, this equates to a requirement of between four and nine GP surgeries over the planning period. The total cost of providing GP services is estimated at being £6.9 million for the lower growth scenario, and £15.7 million for the higher growth scenario.
Sports And Leisure Facilities – We propose several improvements to the provision of leisure services in the borough: The replacement of Waltham Forest Pool and Track, replacing Kelmscott Leisure Centre, replacing Cathall Leisure Centre, refurbishing and extending of Larkswood Leisure Centre, and refurbishing and extending Leyton Leisure Lagoon. In addition to this, the £244 million Aquatics Centre at Stratford, for the London 2012 Olympic and Paralympic Games, although outside the borough, could provide increased opportunities for residents during the legacy period of the Games. The Eton Manor sports ground in the south west of the borough will be a multi-use training ground during the London 2012 Olympic and Paralympic Games. Amongst the proposals for the site in the Legacy period is that part of the site could be used for a five-a-side football centre. Such a centre, in its typical form, may have the potential for a sports hall. We also require the provision of two synthetic turf pitches (STPs) in the borough.

Parks and Open Spaces - the key aspects of our aspiration are to treat the borough’s open space network as an integrated system that provides a ‘green network’; protect open spaces; make use of regeneration and opportunity areas to achieve improvements; improve accessibility and; support the Green Arc Vision in the ‘countryside’ areas of the borough (Waltham Forest Draft Open Space Strategy 2009). Our planned investments include:

- A development grant from the Heritage Lottery Fund and Big Lottery Fund to draw up proposals for the restoration and renewal of Lloyd and Aveling Park;
- Improvements to Abbott’s Park and Stoneydown Park may also be carried out if capital funding for these investments are approved;

<table>
<thead>
<tr>
<th>Sub Area</th>
<th>2009-2014</th>
<th>2014-2019</th>
<th>2019-2026</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>L</td>
<td>H</td>
<td>L</td>
<td>H</td>
</tr>
<tr>
<td>Southern WF</td>
<td>1.0</td>
<td>1.6</td>
<td>0.5</td>
<td>3.7</td>
</tr>
<tr>
<td>Central WF</td>
<td>1.7</td>
<td>1.7</td>
<td>2.1</td>
<td>2.5</td>
</tr>
<tr>
<td>Blackhorse Lane</td>
<td>0.4</td>
<td>2.5</td>
<td>0.4</td>
<td>2.0</td>
</tr>
<tr>
<td>Northern WF</td>
<td>0.2</td>
<td>0.2</td>
<td>0.9</td>
<td>0.9</td>
</tr>
<tr>
<td>Total</td>
<td>3.2</td>
<td>5.9</td>
<td>4.0</td>
<td>9.1</td>
</tr>
</tbody>
</table>

Source: URS Calculations. Note: Calculations may not always sum due to rounding. A negative value indicates a decline in the baseline population in this phase.
• A new publicly accessible park/open space, forming part of the existing Lea Valley Regional Park, is proposed along the waterfront of the River Lea at Blackhorse Lane as part of the proposed regeneration of the area;
• A small pocket park may also be provided at Sutherland Road as part of the same regeneration plans.

5. INVESTMENT AND DELIVERY

5.1. Local Authority role

As an ambitious local authority, we are keen to both lead and facilitate our growth and regeneration plans, to help attract and coordinate investment, and to work closely with partners to transform the local community and the opportunities available to the borough’s residents, employees and businesses. We can do this in a number of ways:

5.1.1. Land

We will review all Council and other public sector landholdings for their potential to deliver:

• Major housing development
• Infrastructure development
• Area-based regeneration that will attract local and regional support

In determining future land use, we will create an SCS ‘checklist’ which will apply to all new development sites. The checklist will take account of the housing trajectory linked to the evidence on land availability, to ensure that the London Plan housing targets are met.

5.1.2. Delivery models / mechanisms

At this stage we are reliant on traditional models of developer or RSL led approaches. However, we are pragmatic and open minded about the opportunities to bring forward development through new models of delivery. We will support methods that bring forward best results, whether traditional or new approaches, such as joint venture partnerships. Council officers are currently in development discussions with several partners, including preferred RSL partners with a view to setting up one or more joint venture vehicles to bring forward development in the borough.
Lane might offer a suitable opportunity for such an approach and we are keen to explore this in partnership with the HCA, and to explore the potential for both the Council and the HCA to become long term investment partners in the area. We will also explore use of the Public Land Initiative approach and consider use of the HCA delivery partner panel to facilitate and expedite procurement and delivery.

### 5.1.3. Expertise, capacity and project management

Following a period of internal restructuring we are now at full capacity, with a clear strategic direction and confident of future success. In order to deliver the Housing priorities and maximise the flow of housing investment into the borough, Waltham Forest and its partners will:

- **Build on our success:** In 2007 Waltham Forest became one of the fastest improving councils in the country. Our recent CAA report praised the council for making savings and delivering “value for money” while preparing well to take advantage of opportunities from the Olympic Games. The Council has also been successful in its Round 2 bid for Local Authority Newbuild funding from the HCA. We have been awarded a grant of £1.8 million to build 22 homes for affordable rent on 2 sites in the borough. The homes will be CSH level 4 and the majority will be family-sized units. Construction is due to start in December 2010 with the new homes completed by December 2011. We see this as an opportunity to build high quality and well designed family homes in the borough and to nurture our own in-house development delivery capacity across a range of corporate departments.

- **Develop solutions with internal buy-in:** Our single corporate group (the Strategic Land Use Group), led by the Director of Development with high level representation across directorates, will identify and broker solutions to the key sites;

- **Manage projects and risks effectively:** The council has developed robust procedures for financial, project and programme management through its Capital Strategy and Risk Management Strategy. These processes and procedures will be used to support a new Regeneration Board with the express function of overseeing the delivery of the Council’s major housing, regeneration and infrastructure projects. The Board will have director level representation from within the Council and will include officers from the GLA, LDA and HCA. The Board will report on a regular basis to the Council’s Leadership Board, the LSP and Cabinet.

- **Develop new ways of working:** We have introduced cross-departmental and multi-agency activities in the Northern Olympic Fringe area. This model of
holistic neighbourhood management is set to be implemented on a borough wide basis.

- **Review and manage our processes:** Our ALMO is currently under review and we are confident that a robust strategy for improvement will be adopted and implemented during 2010.

- **Adapt to changing conditions:** Due to market conditions, we are moving to an ‘opportunistic’ development approach, in the context of area masterplans, and away from large site regeneration programmes / land assembly and disposal as these are now stalled in the market.

- **Engage with partners:** Ensure other partners such as private and affordable housing developers bring their resources and expertise to Waltham Forest and stay for the long term.

- **Work in partnership:** We are working with the 2012 Olympic Games host boroughs and regional stakeholders to develop and deliver a Multi Area Agreement (MAA), focusing on providing more jobs, an improved public realm and housing renewal. We will also work proactively with the Homes and Communities Agency (HCA).

- **Make the best use of our resources:** We are developing a plan to align the housing strategy with future growth bids, and increasing the use of our enforcement powers and using public sector land creatively. The Council and other public sector land owners (e.g., health authorities) have an important role to play in ensuring their land is used as creatively and effectively as possible.

- **Make best use of our powers:** We will utilise planning powers to establish a better mix of housing in terms of the type, size, tenure and affordability of dwellings. This will mean that a full range of homes must be provided on larger sites, and any housing on smaller sites must complement what is already locally available.

**SHORT TERM:** We ask for HCA representation on our proposed Regeneration Board to underpin the relationship promised by the single conversation and provide the basis for strategic engagement and support to the realisation of our regeneration and investment priorities.

### 5.1.4. Strategic Partners

The borough is currently working in partnership with a number of strategic partners to facilitate project delivery. Partnership support takes various forms, from the provision of financial support e.g. GAF funding from CLG, to lobbying and regional support e.g. North London Strategic Alliance. In addition, the borough aims to
Equality Impact Assessment Template

The Equalities Duties and Equality Impact Assessments (EIA)

Cabinet must have due regard to its equalities duties when making decisions. EIA are the means by which the Council demonstrates compliance with the duties. The findings of and actions arising from an EIA should be set out in the Equalities implications section of the Cabinet report. Failure to complete an EIA and implications will result in the deferral of the report.

The Equalities Duties
The Council has statutory equalities duties in relation to gender, race and disabilities.

The Council must have ‘due regard’ to the need in the following areas to:

Gender:
- eliminate unlawful sex discrimination and harassment (including for transsexual people)
- promote equality of opportunity between men and women

Race:
- eliminate unlawful racial discrimination;
- promote equality of opportunity; and
- promote good relations between people of different racial groups.

Disability:
- promote equality of opportunity between disabled persons and other persons
- eliminate discrimination that is unlawful under the Act
- eliminate harassment of disabled persons related to their disabilities
- promote positive attitudes towards disabled persons
- encourage participation by disabled persons in public life; and
- take steps to take account of disabled persons’ disabilities, even where that involves treating disabled persons more favourably than other persons

NB Please note the additional disability duty to provide for positive discrimination for disabled persons to “level the playing field” with non-disabled persons, e.g. in accessing services through dedicated car parking spaces.

THIS FRONT SHEET FORMS PART OF THE EIA – PLEASE COMPLETE THE REST OF THE TEMPLATE AND SUBMIT AS A SINGLE DOCUMENT

FOR FURTHER INFORMATION AND GUIDANCE ON THESE DUTIES, YOU SHOULD ALSO READ THE CORPORATE GUIDANCE PROVIDED ON EQUALITIES IMPLICATIONS.
<table>
<thead>
<tr>
<th>Name of policy/service/function</th>
<th>Borough Investment Plan</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date of Assessment</td>
<td>July 2010</td>
</tr>
<tr>
<td>Directorate</td>
<td>Environment and Regeneration</td>
</tr>
<tr>
<td>Head of Service</td>
<td>Shifa Mustafa</td>
</tr>
<tr>
<td>Name of lead Assessor</td>
<td>Anne Byrne</td>
</tr>
</tbody>
</table>

**Reason for completing assessment**

- Cabinet Report

**Context**

The Waltham Forest Borough Investment Plan is being prepared at the request of the Homes and Communities Agency, the national Government agency that provides funding to the borough for regeneration and affordable housing projects. All local authorities in England are required to prepare a Borough Investment Plan by September 2010 in order to secure future investment and funding from the HCA. The plan will detail the priorities for funding over future years.

The Single Conversation, the process by which HCA agree with the Council the content of the BIP is deemed to be the HCA’s most important business process – it is the way in which the agency agrees and secures delivery at the local level in support of its national objectives.

The Local Investment Plan will set out the investment required for the borough to deliver the agreed vision and economic purpose of the place. In doing so it will identify the priorities to be addressed, based on robust evidence from local strategies, including the Physical Regeneration Strategy, Housing Strategy, emerging Local Development Framework and other key documents. The Plan will include objectives, outputs and outcomes that are expected from each partners’ interventions.

From an equalities perspective, the BIP will have the impact of bringing investment into the borough for housing and regeneration projects, increasing the provision of affordable housing and improving the condition of existing stock as well as resulting in increased employment opportunities of Waltham Forest. It will, in turn, have an impact directly or indirectly upon minority groups within the borough. The document focuses upon a range of specific project based and thematic interventions based around the objectives of the Sustainable Communities Strategy.

The primary function of this assessment therefore is to identify the equality impacts that will arise from implementing the Borough Investment Plan (BIP).

It should be noted that since the function of the BIP is to compile a broad range of housing and regeneration projects within one document, each project will be subject to individual internal approvals and individual Equalities Impact
Assessments at the start of the process to ensure we are able to identify and mitigate any potential negative impact on equality groups as well as identify opportunities to further promote equality of opportunity.

Gathering and Reviewing Evidence

Profile of groups affected as customers and/or staff

Age equality

The State of the Borough, An Economic, Social and Environmental Profile of Waltham Forest produced in December 2007 states that Waltham Forest’s social profile reflects one of the youngest communities in the country.

The 2001 census identifies the borough to have 46,868 residents between the ages of 0 to 15; 159,041 between the ages of 16 to 74; and 12,432 aged 75 or over. The 2001 census also identifies 8,518 one parent households with dependant children and 3,491 lone parent households with non-dependant children.

Paradoxically Waltham Forest is also a borough with a growing and aging population; in 2006 approximately 25,000 residents were over 65 years of age. Based on the GLA 2007 lower population projections, that number will rise to approximately 37,000 by 2031; an increase of 32% compared with an overall population growth of 5.4%.

Waltham Forest’s 2008 Tenants Satisfaction Survey shows that 34% of all council tenants are over the age of 65.

Reviewing our Housing Register identified that there are over 150 older residents under-occupying larger accommodation within Council stock. Thirty percent of under occupation is within the Black, Asian & Minority Ethnic (BAME) communities.

The challenge of managing population and change is a key priority in the Sustainable Communities Strategy. The BIP is relevant to shaping of Waltham Forest as a place that fits with this future demographic profile by promoting priorities for investment that reflect these issues.

2.1 Disability equality

The 2001 census identifies the borough to have 7,986 people to be permanently sick or disabled. Waltham Forest’s 2007 Housing Market Study identified that 16.9% of council tenants have a lifelong limiting illness and that 55.6% of those are over the age of 65. Of those aged 75 and over 24.8% have a lifelong limiting illness.
Analysing the Housing Market Study data by area shows that Chingford has the lowest level of disability amongst its residents, there are approximately 6,500 households with a disabled person. Walthamstow has the highest level of disability, 10,800 households has a resident with a disability.

As set out in X above the population is ageing and this will bring with it an increased likelihood of disability, and this will impact upon housing requirements for the borough. As already stated the BIP is relevant to shaping of Waltham Forest as a place that fits with this future demographic profile by promoting priorities for investment that reflect these issues.

2.3 Gender equality

The 2001 census shows Waltham Forest has slightly more female residents than male with 106,245 males and 112,096 females. Below age 25 there are more males than females but from age 25 on there are more females in each age group. The 2001 census also tells us that 7% of lone parent household are headed by men of whom 57.24% are in full time work and 5.52% in part time-work. 93% are headed by women of whom 26.42% are in work full time and 16.07% in part-time work.

Women are disproportionately represented on the Council’s housing register and as tenants in Council stock. Over 60% of the borough’s tenants are female. A review of housing register data shows that 58% of all applicants are female.

However, the 2008 Community Engagement carried out by Development Management shows that 58% of planning applicants are male, 21% female (21% unknown).

2.4 Race equality

The 2001 Census identifies that 35.5% of out of our residents were from an ethnic minority background and this is projected to rise to 46.9% by 2026, and more than 60% in most of the centre and south of the borough which have seen significant population turnover in recent years.

74.8% of people in Waltham Forest were born in the UK, which is about average for London. Caribbean people are the largest ethnic minority group at 8.2%, and Pakistani people the second largest at 7.9%. This is the second highest percentage in Greater London after Newham. Black African people make up 5.7% of the population and 3.6% of people are of mixed ethnic origins. The largest mixed ethnic group is Black Caribbean and White.

The State of the Borough, An Economic, Social and Environmental Profile of Waltham Forest produced in December 2007 states that Waltham Forest’s social profile reflects one of the most ethnically diverse communities in the country.
In general the highest population numbers occur in the age groups 20-35. However, people in the Mixed White and Black Caribbean group have a far higher 0-15 year age percentage than other groups. People in the White groups also vary quite a lot over different age groups.

Given that a major focus of the BIP is on social and affordable housing, it is important to understand the characteristics of social housing with the borough. The 2008 Tenants Satisfaction Survey identified that 37.6% of Ascham Homes tenants are from the BAME community. This figure is lower than the overall figure for the borough, where approximately half of all households in the borough are from BAME communities, which implies that ethnic minorities are under represented in council housing.

Twenty-one percent of BAME households in the borough are overcrowded. The highest level of over-crowding is in Ascham Homes managed properties where 36.7% of households are over-crowded. Furthermore, 28.8% of BAME households had incomes below £10,000, compared to 22.1% in the non-retired population, higher than the corresponding UK figure (20.3%). Incomes generally are lower than for all households, restricting their access to market housing.

The evidence from our HMA is that although BAME housing requirements are similar to those in the general population, the combination of family size, lower incomes and the high proportion of small units in the stock make their problems more acute and require a focused strategic response. Twinned with this, the population change that is anticipated includes the possibility of becoming super diverse where no one ethnic group is in the majority. When determining investment priorities and the housing mix of schemes to be developed, the Council should be aware of these issues and promote awareness of these issues during negotiations with RSL investment partners and developers.

In terms of planning, Development Management have carried out Community Engagement with applicants. The 2008 returns show that around 93% of applicants are white; 4% are Asian; 1% black and 1% other. This data demonstrates that planning applicants are disproportionately from the white ethnic group when compared with the overall demography of the borough.

### 2.5 Religious beliefs

The 2001 census shows we have more Buddhist, Hindu, Jewish, Sikh and Muslim residents than the average for England and Wales, with our Muslim population ranking the 5th highest out of 376 communities, placing as the third largest community in London within this group. 9% preferred not to say whether they had a religion. Our Christian population is as one of the lowest in England and Wales ranking 360 out of 376. 15.4% of people in Waltham Forest say they have no religion. 56.8% of people stated their religion as Christian, 15.1% stated Muslim and 1.8% stated Hindu.

The 2008 Tenants Satisfaction Survey shows that tenants from the Christian
faith are the biggest community in the borough’s housing stock with 64% of residents; the next biggest community are tenants from the Muslim faith, with 18%.

Our housing register shows that 36% of residents have not responded to a request for faith data. Thirty-one percent of those responding to the faith question are from the Christian faith, 15% are Muslim and 9% have to specific religious beliefs.

In terms of planning, inference can be made on religious beliefs from the findings on race identified by Development Management’s 2008 Community Engagement figures. This shows that only 5% of applicants are Asian which would suggest a very low number of applicants would be Buddhist, Hindu, Sikh, or Muslim.

2.6 Sexual orientation

Getting reliable figures for sexual orientation is very difficult as this information is not available for Waltham Forest. To give an estimate of the number of Gay and Lesbian, transgender and bi-sexual residents in Waltham Forest, statistics from the National Survey of Sexual Attitudes and Lifestyles (NSSAL) 1999-2001 have been used. This survey was a probability sample of 11,161 people aged 16-44 using computer-assisted interviews. This survey found that in London 10.5% of men and 6.9% of women had same sex partners. Therefore out of a population of 218,341 (as identified in the 2001 census) we can estimate there to be 18,890 gay, lesbian and bisexual residents in Waltham Forest.

The Council’s own recent research did not show any concerns about this area of service and as such this assessment concludes that there little relevance between the BIP and LGBT equality.

Stage 2. Making an Assessment of the Impact

3.1 What kind of equality impact might there be?

The impact of the BIP is broad and wide ranging. Individual projects will have specific impacts upon communities or groups according to their location within the borough. It is anticipated that all impact will be positive. This assessment will therefore respond to the general impact that the BIP may have, and it is therefore imperative that each project listed within the BIP undertakes a comprehensive EQIA in order to mitigate against potentially negative aspects arising within individual projects.

Investment into housing and regeneration projects within the borough can improve the quality of life for residents who live in those properties and within the surrounding areas by increasing the and renewing the housing stock for the population including BAME groups, greater provision of local amenities and opportunities for employment and increase in mobility through
improvements in transportation and public realm. In general, the priorities within the BIP are targeted towards the most deprived areas within the borough in order to increase quality of life and prosperity within these areas.

As the aim of the BIP is to attract investment into housing and regeneration projects, the aspiration will be that projects funded by that investment are designed and built to the highest possible quality. Projects benefitting from NAHP funding will be subject to meeting the requirements of HCA Design & Quality Standards, which requires as a core standard that:

“The development of new homes should be undertaken in a manner which delivers great places to live, creates well-mixed and integrated communities and provides an appropriate balance between private and public open space”

and;

“Housing design should take account of the need to accommodate as wide and as diverse user groups as practicable. Multicultural societies need designs that reflect diverse living options”.

Since much of the investment set out within the BIP is targeted through NAHP towards social housing provision within the borough, given that BAME groups are disproportionally over represented within this tenure (at 36.7%) when compared to the population within the borough as a whole (at 35.5%) the impact upon these groups will be higher.

It is intended that the impact will be positive, resulting in new housing stock that is more suited to the requirements of these groups, for example through greater provision of family units, and in turn decreased over crowding and a better quality of life.

3.2 How significant is it in terms of its nature and the number of people likely to be affected?

The impact is significant as the interventions within the Borough Investment Plan are spread across the whole area of the borough and are likely to affect the majority of the borough’s population. The BIP is formed of a strong evidence base (some of which is presented within the document) that clearly demonstrates that population is set to rise within the borough over future years, and that this will include diverse ethnic groups.

The BIP provides a basis both for investment in order to support this growth, and address the needs of current residents including BAME groups within the borough.

3.3 Is the impact positive or negative (or is there a potential for both)?

All impacts are deemed to be positive. The overall impact is positive as investment is directed in support of the aims of the Sustainable Communities
Strategy, namely:

- Managing population growth and change
- Create wealth and opportunity for all residents
- Retain more wealth in the borough

Specifically, positive impact upon equalities issues will be achieved through the following interventions stated within the BIP:

- Increasing the provision of social housing stock
- Bringing necessary funding to complete the Decent Homes Programme, raising living standards for all residents (including BAME groups) within non-decent homes by 2012
- Supporting Older and Vulnerable people
- Social Infrastructure, Education and Health Care improvements
- Improvements in the key regeneration areas of Walthamstow Town Centre, Blackhorse Lane, Northern Olympic Fringe, providing a positive impact for all residents in the borough

3.4 On what aspects of the Equality Duties will these impacts be?

The BIP is relevant to the Council’s duties to promote race, gender and disability equality. Approving the Borough Investment Plan will help the council meet its equalities duties and advance its corporate equality priorities, specifically around the areas of:

- Enabling disabled and elderly residents to live in their homes for longer through the design of ‘lifetime homes’ which will be developed if NAHP funding can be secured as a result of the BIP. This is in line with the corporate priority of enabling disabled people to live independently.
- Enabling wheelchair residents to live alongside non-disabled residents helping them to participate in the boroughs communities and public life which will support community cohesion and good relationships between these groups.
- Improving access to all new development promoting equality of opportunity for disabled residents. This will contribute to the corporate priority of enabling disabled people to get out and about more easily.
- promote equality of opportunity; and
- promote good relations between people of different racial groups through the promotion of investment into well designed development, with a range of tenure and appropriate mix of housing and social infrastructure (including employment opportunities) that reflects the needs of the community.
- bringing necessary funding to complete the Decent Homes Programme, raising living standards for all residents (including
**Stage 3** Planning Mitigating and Improvement Action

Please see Appendix A.

**Stage 4** Governance, Monitoring and Review

The plan will be monitored by the Environment and Regeneration Equalities Board, and the responsible officer will be Anne Byrne.

**Stage 5** Recording and Communicating the Results of the Assessment

**Checklist to ensure proper completion of the assessment**

- Executive Director has signed off this assessment
- Cabinet report EIAs has been signed off by the Portfolio holder
- The results of the assessment are included in the relevant report and this record is attached as background information
- The assessment is available on the Council’s website
- Relevant officers are aware of the action allocated to them in the action plan
## EIA Action Plan

<table>
<thead>
<tr>
<th>Negative impact or improvement</th>
<th>Action required</th>
<th>Lead Officer</th>
<th>Time scale</th>
<th>Expected Outcome</th>
</tr>
</thead>
<tbody>
<tr>
<td>Continuous improvement and monitoring</td>
<td>Equality Impact Assessments to be undertaken at the beginning of the process for all relevant project within the BIP as and when required</td>
<td>Anne Byrne / Peter Wright / Claire Hamilton / Gordon Glenday</td>
<td>2010 - 2015</td>
<td>All projects and programmes promoted by the BIP have a full EIA in place and actions are prioritised accordingly</td>
</tr>
</tbody>
</table>
GUIDANCE FOR REPORT AUTHORS:
SUSTAINABILITY IMPLICATIONS

What are Sustainability Implications?
You should consider how your report’s proposals contribute to the sustainability of Waltham Forest and the wider environment. The Council’s ambitions to create a sustainable community are set out in our Sustainable Community Strategy, *Our Place in London*. Also, the Council has specific legal duties to consider specific issues that fall within the spectrum of sustainability. Main areas of sustainability for consideration include:

- Climate change and environment;
- Equalities and diversity
- Crime and disorder;
- Health and well being;
- Economic sustainability;

This list is not exhaustive. Particular decisions may have other sustainability implications not addressed here.

*Equalities must be dealt with under its separate implications section.* You should note the clear links between sustainability and equalities and diversity issues.

Key Considerations in Assessing Sustainability

- Your report should impact one or more SCS priorities, otherwise you need to reconsider why the report is being put forward at all;
- Consider the impact on the specific duties set out below;
- Demonstrate how the proposals address any impact. Recommendations should have positive impacts on sustainability but you should also address how to mitigate or lessen negative impacts.
- If the body of the report already addresses relevant sustainability issues, the implications section does not need to repeat these points and can just refer to the body of the report.
- The impact on some priorities may be neutral or remote – if so say so but remember that impacts are not always obvious, e.g. planning decisions can affect community safety issues and can be minor, e.g. small scale climate change impact as part of a building project or procurement.

Statutory Duties – Guidance

The Council has a number of legal duties it must consider when making decisions that affect the discharge of its functions. The key duties are below and need to be addressed where they are relevant to the proposals.

*Crime & Disorder*

The authority must exercise its functions (i.e. including making decisions) with due regard to the likely effect of the exercise of those functions on, and the
need to do all that it reasonably can to prevent crime and disorder in its area including anti-social behaviour and the misuse of drugs, alcohol and other substances. (s.17 Crime and Disorder Act 1998).

The SCS has priorities to:

- Improve community safety and reduce anti social behaviour; and
- Cultivate civic participation, cohesion and independent living so everyone feels they belong.

This will not affect just community safety proposals but also other areas could also have an impact on crime and disorder, e.g. planning, housing and youth provision.

**The Local Economy**
Creating and retaining wealth in the borough are two of the themes of the SCS. Under these, priorities include:

- Create a more economically balanced population to increase local spending power, generate jobs and tackle concentrations of deprivation and low aspirations;
- Achieving full employment.

The Local Democracy, Economic Development and Construction Bill which is likely to be in force in April 2010 will requires all local authorities to prepare an assessment of the economic conditions of the area. When produced, this will provide an evidence base for these implications.

Employment, housing and regeneration will clearly have to have consider these issues but they many other areas could also have an impact for example, planning, education and skills and culture.

**Health & Well Being**
There is a shared aim of the Council and NHS to improve health and well-being of residents. The relevant SCS priority is ensuring residents are fit and healthy for work. It is important to remember that:

- health and well-being is not just about physical health;
- It is also about considering the effects on mental well-being, quality of life and community involvement; and

There is a clear link between social and economic well being and better health. Reports should seek to address this interaction and the impact the proposals.

Additional work is being done between the authority and NHS to develop and better understand the interaction of health and council activities and policies. The guidance will be updated to reflect this.
The Well-Being of Children
Under s.1 of the Childcare Act 2006, the Council has a general duty to improve the well-being of young children in its area and to reduce inequalities between young children in their area in relation to well being issues which include:

(a) physical and mental health and emotional well-being;
(b) protection from harm and neglect;
(c) education, training and recreation;
(d) the contribution made by them to society;
(e) social and economic well-being.

This is in addition to the other duties under the various children acts. The SCS includes priorities for children and the Council’s Children and Young People’s Plan sets out its strategy for discharging its functions for children and young people.

Climate Change & Environment
The Council agreed that all decisions must incorporate a climate change assessment and the authority is under a statutory duty to have regard to the Government’s energy measures report. These reports may include measures that authorities can take to, amongst other things improve energy efficiency, reduce vehicle travel, reduce greenhouse gases emissions or the number of households living in fuel poverty (s.3, Climate Change and Sustainable Energy Act 2006)

The SCS includes a priority to respond to climate change in a practical and effective way.

For full guidance on climate change impact assessments, see below.

Climate Change Impact Assessments
Introduction

These guidance notes and matrix are intended to give officers an overview of what should be highlighted, mitigated and addressed in the impact assessment. **This should always include actual CO2 emission figures (either to be saved or increased) as a result of the proposal.**

The Sustainability Implications section in the report should summarise the key outcome of the assessment and the specific effects on CO2 tonnes emitted.

Climate Change
Climate change is a very broad agenda and can impact on many of the functions and roles of a local authority. The most common types of impacts are set out below. On average, the implications should be no more than 1 or 2 paragraphs. If more substantial, they can be attached as an appendix to the report. Areas for consideration include:
General
• Effect on energy usage;
• Effect on transport use & air quality
• Opportunities for awareness raising e.g.: children and young people, business & social enterprises, staff, equalities groups

Buildings and Property
• Potential impact on water use and flooding;
• Opportunities to install renewable energy generation technologies;
• Adaptability of buildings to mitigate and / or adapt to climate change effects
• Opportunities to use “natural” features to reduce energy use in buildings
• Effect on natural habitats – will it disturb or enhance wildlife & habitats

Finance / Procurement
• Assessment of whole life costs of contracts and potential savings, e.g. invest to save
• Opportunities to work with supply chains and local suppliers to follow sustainable procurement
• Potential for “green” or “greener” procurement options

This is not an exhaustive list but should act as a guide to the types of impact that should be considered. Worked example for CO2 calculation:
Average LBWF annual claim for business mileage is 545 miles emitting 0.1 tonne of CO2. Targets should be set for each service and contractor to reduce this. A 10% reduction would equate to travelling 55 miles less by vehicle (balanced by increase in car sharing, cycling, walking or public transport) saving 0.01 tonnes of CO2 on average per person.

The Display Energy Certificate (DEC) for the building to be occupied should be noted in the matrix and text of the Cabinet report. This certificate is displayed in the foyer of each major office building. Proposals should aim to occupy buildings rated A-D – which are above average in terms of energy efficiency.

There will not always be a measurable climate change impact from the report proposals but, in key areas, there will be, e.g. housing, planning, construction, contracts and procurement. Even minor positive measures, such as reduced printing costs, can be reported.

Please use the attached matrix to map the possible climate change effects. The concluding explanation section is particularly important, as it will show the effects in tonnes of CO2 and why the particular proposal is being pursued, in light of the outcomes of the matrix assessment.

The completed matrix should either be an appendix to the report or included in the list of background documents for the report. This will usually depend on the level of climate change impact; the greater the impact, the more likely it should be an appendix.
The officer leading on climate change in LBWF can be contacted at Carolyn.Seymour@walthamforest.gov.uk should further advice and help be needed, particularly in calculating specific CO2 emissions.

Here are some useful website links for background information:

LBWF website Climate Change pages: http://www.walthamforest.gov.uk/index/environment/climate-change.htm
Defra website: (Department for Environment, Food & Rural Affairs) http://www.defra.gov.uk/environment/climatechange/about/index.htm
Document on Mayor of London’s website:
<table>
<thead>
<tr>
<th>Aim</th>
<th>Positive impact</th>
<th>Negative impact</th>
<th>Mitigation measure</th>
<th>Effect on CO2 emissions (+ or - tonnes of CO2)</th>
<th>Opportunity to promote</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Water</strong>&lt;br&gt;Water Use and Flooding</td>
<td>In line with planning policy BIP aims to increase water efficiency in new and existing homes as well as prevent and reduce flood risk through the siting and location of new development, avoidance of high risk floodplains etc.</td>
<td>Potential increased surface water run off from new development</td>
<td>Installation of SUDS systems, minimising water usage in new developments, siting of developments in appropriate locations</td>
<td>Saving of 0.005695 Per Home to CfSH 3</td>
<td>SUDS Greywater recycling</td>
</tr>
<tr>
<td><strong>Energy</strong>&lt;br&gt;Energy efficiency and energy saving in buildings, including opportunities for installation of renewable energy generation</td>
<td>The BIP promotes the increase the energy efficiency of new and existing buildings as well as develop a decentralised</td>
<td>The planned growth in housing and employment will likely result in an increased demand for energy.</td>
<td>Development applications will be assessed on a site-by-site basis-applicants will be required to demonstrate how increased energy efficiency is</td>
<td>Community education campaigns to show case opportunities to be more energy efficient. e.g schools and workplace</td>
<td>Code for Sustainable</td>
</tr>
<tr>
<td>Aim is to reduce Carbon Emissions (CO2) by 80% by 2050</td>
<td>Positive impact</td>
<td>Negative impact</td>
<td>Mitigation measure</td>
<td>Effect on CO2 emissions (+ or - tonnes of CO2)</td>
<td>Opportunity to promote</td>
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<tr>
<td>energy system and promote the use of renewable energy</td>
<td>achieved</td>
<td></td>
<td></td>
<td></td>
<td>Homes</td>
</tr>
<tr>
<td>Air</td>
<td>The BIP advocates the increased provision and upgrading of ‘green corridors’, open space and reduced private motor travel.</td>
<td>Potential decrease in air quality through emissions</td>
<td>Promotion of greenroofs, sustainable energy etc to limit Carbon footprint of developments</td>
<td>Saving of 0.005695 Per Home to CfSH 3</td>
<td></td>
</tr>
<tr>
<td>Waste – reducing, reusing and recycling waste</td>
<td>The Core Strategy aims to ensure new development will reduce waste and promote recycling in the borough generally. Additionally the Core Strategy advocates the delivery of the</td>
<td>Potentially negative through increased waste from development of new homes</td>
<td>The intensification of existing brownfield land for residential and employment land may offer further opportunities for recycling units and easier collection of waste</td>
<td></td>
<td>Recycling New waste disposal systems e.g. NVAC</td>
</tr>
<tr>
<td>Aim is to reduce Carbon Emissions (CO2) by 80% by 2050</td>
<td>Positive impact</td>
<td>Negative impact</td>
<td>Mitigation measure</td>
<td>Effect on CO2 emissions (+ or - tonnes of CO2)</td>
<td>Opportunity to promote</td>
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</tr>
<tr>
<td><strong>Land</strong> Use of brown-field and green-field sites</td>
<td>North London Waste Plan which deals with how WF will manage its waste in conjunction with 6 other North London Boroughs.</td>
<td>None identified.</td>
<td>Planning policy legislates against development on Greenfield sites</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Bio-diversity</strong> Effects on bio-diversity including green space, trees, rivers and streams</td>
<td>Potential to unlock unused public open space</td>
<td>Potential loss of open space which is currently accessible</td>
<td>All new developments to have sufficient amenity space, maximising public access where possible</td>
<td></td>
<td>Public access to open space</td>
</tr>
<tr>
<td><strong>Transport</strong> Travelling to deliver service. Discouraging</td>
<td>Promotion of development of new homes in</td>
<td>A planned increase in population and</td>
<td>Apply core strategy policies and put in place</td>
<td></td>
<td>Sustainable Travel Plans</td>
</tr>
</tbody>
</table>
### Aim is to reduce Carbon Emissions (CO2) by 80% by 2050

<table>
<thead>
<tr>
<th>Positive impact</th>
<th>Negative impact</th>
<th>Mitigation measure</th>
<th>Effect on CO2 emissions (+ or - tonnes of CO2)</th>
<th>Opportunity to promote</th>
</tr>
</thead>
</table>
| Areas with high PTAL ratings. All new developments to include design measures to promote sustainable transport. | Family housing (traditionally at lower densities) is likely to result in an increase in the demand for private travel. | Travel plans and s106 mitigation measures to encourage sustainable transport. | | Cycling  
Car Free Development |

### Buildings
Adaptability of buildings to heat or flooding. Use of green roofs, rainwater harvesting etc.

<table>
<thead>
<tr>
<th>Positive impact</th>
<th>Negative impact</th>
<th>Mitigation measure</th>
<th>Effect on CO2 emissions (+ or - tonnes of CO2)</th>
<th>Opportunity to promote</th>
</tr>
</thead>
</table>
| Adaptability of new buildings through ‘Purchase and Repair’ grants. | None identified. Using sustainable construction and design and retro-fitting older traditionally less energy-efficient buildings will have positive climate change implications. | Apply Core Strategy policies (such as requiring buildings to incorporate shading and breezes in the summer to enhance natural cooling while allowing for sunlight in the winter to enhance natural warming where possible. Additionally ensuring... | | Feed in Tariffs  
Improvements in thermal efficiency |
<table>
<thead>
<tr>
<th>Aim is to reduce Carbon Emissions (CO2) by 80% by 2050</th>
<th>Positive impact</th>
<th>Negative impact</th>
<th>Mitigation measure</th>
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<th>Opportunity to promote</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>buildings are insulated and draft proofed to help retain heat)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Commentary on any differences in financial costings for climate change mitigation / adaptation measures including energy efficiency and potential external grant sources

The Borough Investment Plan is a borough wide document and therefore it is difficult to comment specifically upon the impact of individual schemes. However, it is likely that increased climate change requirements will increase the cost of new development and may reduce the viability of development in some circumstances especially in a depressed construction market. Where development can occur it is considered that the developer may incur many of these costs in the design and construction stage and in the absence of any government grant support, will seek to pass these costs on to potential home owners resulting in affordability issues.

However it is considered that the long-term implications of a ‘do nothing’ approach (i.e. not promoting measures in new buildings to combat climate change) will result in higher cost to the borough in terms of failure to adapt to climate change. In addition, it is also considered that as building regulations are likely to be tightened over the coming 15 years, independent of HCA funding requirements, developers will be required to meet increasing standards of construction in any case. It is important as a Council we have systems in place in order to assist developers to meet their sustainable construction and design requirements and therefore assist the cost effectiveness of delivery for them.

The Borough Investment Plan directly seeks to identify funding to make developments more viable, and in turn lessen the financial cost for developers as a result of incorporating sustainable building practices in return for receiving public funding. Overall this will allow WF to be well placed to encourage development in the borough compared with other boroughs that may not have enabling policies in place.
In 2007 the Housing Corporation and English Partnerships published a document assessing the cost and energy saving of achieving Code for Sustainable Homes Level 3 over the baseline example of a standard home built to Building Regulations (2006) standards (shown below).

The report concluded that a Code level 3 compliant home will have a far lower level of CO2 emissions (approximately 25% better) and reduced water consumption than an EcoHomes 2006 Very Good rated home, however, that this would cost around 6% more in terms of build costs than the baseline example. In real terms, on average terms this equates to a kg CO2 saving of 5.695 kg Co2 m2 over baseline.

<table>
<thead>
<tr>
<th>Unit Type</th>
<th>Base Cost (per unit)</th>
<th>Area (m²)</th>
<th>Cost per m²</th>
<th>Target emission rate (kg CO₂ m²)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Detached House</td>
<td>£91,206</td>
<td>116</td>
<td>£786</td>
<td>24.1</td>
</tr>
<tr>
<td>End of Terrace House</td>
<td>£75,235</td>
<td>101</td>
<td>£745</td>
<td>21.1</td>
</tr>
<tr>
<td>Low Rise Flat (Non SDS)</td>
<td>£79,200</td>
<td>59</td>
<td>£1,342</td>
<td>20.5</td>
</tr>
<tr>
<td>High Rise Flat</td>
<td>£124,500</td>
<td>75</td>
<td>£1,660</td>
<td>24.9</td>
</tr>
<tr>
<td>Weber Haus; Terraced House</td>
<td>£50,958</td>
<td>77</td>
<td>£779</td>
<td>26.7</td>
</tr>
<tr>
<td>SixtyK House</td>
<td>£60,000</td>
<td>77</td>
<td>£779</td>
<td>19.3</td>
</tr>
<tr>
<td>Extra over for site wide heat and power services</td>
<td>£9,601</td>
<td>77</td>
<td>£125</td>
<td></td>
</tr>
</tbody>
</table>

Potential “whole life costing” savings ie: increased installation costs will achieve running cost savings over lifetime; including reduced use of resources eg: water saving devices.
Given the Borough Investment Plan is a borough wide document seeking funding for developments which may not be in design or development stages ‘whole life costing’ savings are difficult to quantify. However a recent report ‘Building for the future: Sustainable construction and refurbishment on the government estate’ suggest that some aspects of more sustainable building on government buildings offer tangible financial savings for example, savings in energy and water consumption of at least £20 million a year. Some of that additional value may offer direct financial savings in the long run but other value will come from the contribution departments can make to delivery of the UK’s Sustainable Development Strategy and achievement of related national targets.

Taking this as a very broad example, it can be assumed that there will be improved efficiencies as a result of interventions promoted within the BIP on a borough-wide scale and that any investment into the sustainable construction and design will be recouped in a relatively short time in terms of the cost saved in energy, water etc. More detailed information regarding energy efficiency targets etc will be outlined in the emerging Site Specific Allocations and Development Management DPDs. It is also considered that there are additional multiplier effects to the Borough arising from the enhancement of Waltham Forest’s reputation as a ‘green borough’ in terms of the ability to draw down additional grant money, and employers and highly skilled workers wishing to locate here.

Explanation of Proposal chosen in context of results matrix assessment, including what mitigating steps can and have been taken
All developments in receipt of HCA NAHP funding should be developed to Code for Sustainable Homes Level 3 in accordance with HCA funding conditions to achieve the positive impacts as identified within the matrix shown above.

<table>
<thead>
<tr>
<th>Total Tonnes of CO2 &amp; DEC rating of building to be occupied: TO BE QUOTED DIRECTLY IN CABINET REPORT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Saving of 0.005695 tonnes per new home to designed to Code for Sustainable Homes Level 3</td>
</tr>
</tbody>
</table>
## SUMMARY

1.1 The Borough Investment Plan sets out a coherent and targeted plan for Housing and Regeneration in the borough over the next five years. This report summarises the content of the plan and gives a context within which it has been developed.

## RECOMMENDATIONS

2.1 For the reasons given in this report, Cabinet is recommended to:

(a) Approve the content of the Waltham Forest Borough Investment Plan (BIP)

(b) Approve the submission of the BIP to the Homes and Communities Agency

## BACKGROUND

3.1 The Waltham Forest Borough Investment Plan has been prepared at the request of the Homes and Communities Agency (HCA) as part of their ‘Single Conversation’ process to define with local authorities their priorities for investment in the short, medium and long term within an agreed Borough Investment Plan (BIP).

3.2 The HCA is the single, national housing and regeneration agency for England. Formed in December 2009, it brings together the development and regeneration expertise of English Partnerships, the investment functions of the Housing Corporation, and the Academy for Sustainable Communities, with the major delivery programmes of Communities and Local Government.

3.3 HCA provides local authorities with funding for housing and regeneration projects. Funding streams managed by the HCA include Growth Area, Decent Homes and National Affordable Housing Programme.
3.4 The Single Conversation is a place-based approach that will take the vision and ambitions of local authorities and help them achieve their plans through a shared investment agreement.

3.5 All local authorities in England are required to prepare a BIP by September 2010 in order to secure future investment and funding from the HCA, which is becoming increasingly limited. The plan will detail the priorities for funding over future years.

3.6 The BIP will set out the investment required for the borough to deliver the agreed vision and economic purpose of the place. In doing so it will identify the priorities to be addressed, based on robust evidence from local strategies, including the Housing Strategy, emerging Local Development Framework and other key documents. The Plan will include objectives, outputs and outcomes that are expected from each partners’ interventions. In the context of funding limitations, the BIP is viewed by HCA London as the single most important document that will govern its relationships with boroughs.

3.7 Once the BIP is complete, a Local Investment Agreement (LIA) will be drafted setting out the roles and responsibilities of each partner in delivering the BIP (see 8.4).

4. PROPOSALS

4.1 In response to the Government’s decision to dismantle the Government Office for London (GoL) with immediate effect, the Mayor of proposes to streamline the GLA group to make it more fit for purpose through the removal of overlapping functions across public agencies in London.

4.3 As arrangements for the restructure of the GLA are formalised, HCA London have stated that Borough Investment Plans will be the primary reference document by which funding allocations are made – the implication being that if a priority is not stated within the BIP then it is less likely to be funded. Therefore, the Council has been keen to ensure that a broad range of short, medium and longer term housing and regeneration activities across the whole area of the borough are reflected within the BIP.

4.4 The BIP proposes a number of ‘asks’ of the HCA and sets out the priorities of the borough over the next 5 – 10 years that the agency can best support in terms of investment. The asks are, in the main based upon existing housing and regeneration projects.

4.5 The BIP prioritises physical priorities (projects) and thematic priorities (programmes). The following projects and programme have been identified as key priorities for intervention in the borough that HCA can best support:
<table>
<thead>
<tr>
<th>Physical Priority</th>
<th>Support requested from HCA</th>
<th>Time- scales</th>
<th>HCA Fund Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>Walthamstow Town Centre</td>
<td>We request National Affordable Housing Programme (NAHP) investment support for Council led regeneration projects in the town centre at the Arcade Site and South Grove</td>
<td>MEDIUM</td>
<td>Affordable</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Priority</td>
<td>Support requested from HCA</td>
<td>Time- scales</td>
<td>HCA Fund Type</td>
</tr>
<tr>
<td>Blackhorse Lane</td>
<td>We request investment to acquire a key site in this area and kick start the regeneration of the Station Hub area of regeneration programme</td>
<td>SHORT</td>
<td>Renewal</td>
</tr>
<tr>
<td></td>
<td>We request support in developing an exemplar low rise high density housing typology</td>
<td>SHORT</td>
<td>Renewal</td>
</tr>
<tr>
<td></td>
<td>We request funding to bring forward a pipeline of affordable and private housing within the area</td>
<td>MEDIUM</td>
<td>Affordable</td>
</tr>
<tr>
<td>Northern Olympic Fringe</td>
<td>We request investment and lobbying support to help drive forward development at Leyton Mills</td>
<td>SHORT</td>
<td>Renewal</td>
</tr>
<tr>
<td>Wood Street</td>
<td>We request investment support to develop a masterplan for the area in support of an Area Action Plan for the area</td>
<td>SHORT</td>
<td>Renewal</td>
</tr>
<tr>
<td>Thematic Priority</td>
<td>Support requested from HCA</td>
<td>Time- scales</td>
<td>HCA Fund Type</td>
</tr>
<tr>
<td>Affordable Housing on small and medium sites</td>
<td>We request devolution of administration of NAHP funding to the Council for small sites development within the borough – similar to the approach taken on our Local Authority New Build programme</td>
<td>MEDIUM</td>
<td>Affordable</td>
</tr>
<tr>
<td>Estates Review</td>
<td>We request funding support (to be defined) to implement the outcomes of the estate review programme.</td>
<td>MEDIUM</td>
<td>Renewal</td>
</tr>
<tr>
<td>Decent Homes</td>
<td>We request continued support to achieve Decent Homes targets by 2012</td>
<td>SHORT</td>
<td>Decent Homes</td>
</tr>
<tr>
<td>Community Infrastructure</td>
<td>We seek HCA support in lobbying central government for the funding necessary to increase provision of community infrastructure (including</td>
<td>MEDIUM</td>
<td>Renewal</td>
</tr>
</tbody>
</table>
4.6 The priorities are based upon a firm foundation of evidence shared with the emerging Core Strategy.

5. Next Steps

5.1 The Borough Investment Plan for each local authority area will be subject to a high-level appraisal, in London by the HCA Executive Investment Group (EIG). The appraisal process will inform what is included in the subsequent Local Investment Agreement (LIA) and will enable comparisons to be made with other Single Conversation areas elsewhere in the region (for example LB Haringey, LB Hackney etc). This will enable the HCA to assess how best to allocate its finite resources to the competing investment priorities in the region, to maximise performance, impact and value for money. The recommendations of the EIG will be taken to the London Housing Board (GLA) for final approval by the Mayor of London.

6. SUSTAINABLE COMMUNITY STRATEGY PRIORITIES (AND OTHER NATIONAL OR LOCAL POLICIES OR STRATEGIES)

6.1 Waltham Forest has the chance to benefit from a wealth of regeneration opportunities over the next 20 years. In 2012, we will be under the world’s spotlight as we host the Olympic and Paralympic Games. We also need to help our community to take advantage of the thousands of job opportunities at Stratford City, as well as the housing and employment being created along the Lea Valley.

6.2 We recognise that our challenges and opportunities are interlinked and the BIP has embedded the three priorities of the Sustainable Community Strategy within the priorities contained within the document: -

- Manage population growth and change
- Create wealth and opportunity for all residents
- Retain more wealth in the borough
6.3 The Borough Investment Plan directly promotes the priorities of the Sustainable Community Strategy, and in turn the priorities of the Local Investment Agreement 2008 – 11, specifically the following indicators:

- **NI 117** - 16 to 18 year olds who are not in education, employment or training (NEET)
- **NI 152** - Working age people on out of work benefits
- **NI 153** – Working age people claiming out of work benefits in worst performing targets
- **NI 154** – Net additional homes provided

The BIP anticipates that additional homes can be provided from the period 2010 – 2015 based upon current projections.

- **NI 155** – Number of affordable homes delivered

The BIP anticipates that additional affordable homes can be provided from the period 2010 – 2015 based upon current projections and requests NAHP funding from HCA in order to achieve this target and documents the projects that are able to deliver these increases.

- **NI 186** - NI 186: Per capita reduction in CO2 emissions in the Local Authority area
- **NI 187 a/b** – Tackling fuel poverty

The BIP promotes new homes to be developed to the Council’s minimum standards of Code for Sustainable Homes Level 3, which means new homes will be more thermally and energy efficient, decreasing fuel costs, emissions of CO2 within the borough and in turn tackling fuel poverty.

6.4 These targets are at the heart of and aligned with our Sustainable Community Strategy objectives and commitments, and our Housing Strategy priorities. Both those strategic documents, and our LDF, are consistent in giving priority to:

- Encouraging growth and development in the borough
- Ensuring that development is consistent with the needs arising from the demographic and socio-economic conditions in the borough
- A commitment to improving the current housing stock in the borough, and that the role of town centres is maximised
- Ensuring that new development supports and delivers economic growth in the borough
- Ensuring that new development has a standard of design that helps the borough achieve its ambition to raise its profile
- Ensuring community and business involvement and public realm improvement are at the heart of all development proposals
6.5 The BIP also works towards achieving our annual London Plan growth targets by prioritising regeneration projects on large brownfield sites in potential growths areas, by encouraging investment in small sites for housing development, making the most efficient use of existing housing estate sites and bringing empty homes back into use.

7. **CONSULTATION & ENGAGEMENT**

7.1 Consultation and continuous engagement with internal and external stakeholders has been undertaken throughout the preparation of the BIP. A Steering Group formed of representatives from Physical Regeneration, Housing and Spatial Strategy team have led the preparation of the document, and have consulted extensively with Economic Regeneration, Transport Planning, Property Services and Education in order to inform the formulation of priorities and ‘asks’ within the BIP and ensure that the framework of the document is based upon sound evidence.

7.2 The Steering Group has also met regularly with the HCA East London team to gain guidance on various drafts of the document and guidance upon further preparation in order to ensure that the general principles and specific priorities within the document are satisfactory to the agency’s requirements and are present realistic and attractive potential investment opportunities.

7.3 An early draft of the document has also been presented to RSL Investment Partners through the forum of the Housing Association Liaison Group in order to gain input on the priorities of the document as they emerge and become firmer.

7.4 During the course of the preparation of the document, members of the Steering Group have met regularly with the Portfolio Holder for Housing and Development and Junior Cabinet Member for Employment in order to ensure that the document accords with the political aspirations of the Council.

7.5 The BIP will be presented to the Council’s Leadership Team and LSP Board on 8th September 2010.

7.6 Further consultation will be undertaken on future editions and amendments to the BIP as appropriate.

8. **IMPLICATIONS**

8.1 **Finance and Risk**

8.2 There are no direct financial implications arising from the submission of the BIP to HCA, as it only acts to compile within one document activities already occurring within the Borough. However, each of the proposals within the BIP will be subject to a detailed options appraisal and individual Cabinet approvals as appropriate.

8.3 Within the context of austerity measures and cuts in public expenditure, the importance of the role that the BIP will play in the short to medium term in securing investment into housing and regeneration projects in
the borough should not be under-estimated. In order to mitigate the risk of being unsuccessful in attracting investment in projects and programmes within the borough, the Council should be pro-active in ensuring that all existing and emerging priority housing and regeneration projects are reflected within the BIP. The implications of the Comprehensive Spending Review upon the BIP will be reported to Cabinet if necessary when they become clear in November 2010.

8.4 Legal

8.5 Once agreed by Cabinet, the priority interventions within the BIP will form the basis of a Local Investment Agreement (LIA) between the Council and the HCA.

8.6 The Local Investment Agreement will be prepared after the BIP and is a non-legally binding Memorandum of Understanding. To avoid inefficient use resources on consultancy fees, the Council and HCA will complete the negotiations and have a very clear understanding of what is actually to be agreed before drawing up the Agreement.

8.7 At the time of writing HCA have not yet issued updated detailed guidance on preparation of Local Investment Agreements in the light of the change in Government and the Emergency Budget. A Local Investment Agreement will be presented to Cabinet once completed. It is anticipated that this will be in mid-2011.

8.8 Implementation of proposals within the BIP will be subject to compliance with the Council’s Constitution and specifically, with regards to the procurement of any goods/services/works, will comply with the Councils’ Contract Procedure Rules to ensure valued for money in accordance with the Best Value principles under the Local Government Act 1999.

8.9 Equalities and Diversity

8.10 Since this is a borough wide document a high level Equalities Impact Assessment has be undertaken and is appended to this report in Appendix C.

8.11 All projects arising from the BIP will be required to undertake a full Equalities Impact Assessment.

8.12 Sustainability (including climate change, health, crime and disorder)

8.13 The BIP will have a positive impact upon the climate change agenda and a Sustainability Impact Assessment has been undertaken in respect of the implications of the BIP.

8.14 The Sustainability Impact Assessment identified that whilst it is difficult to assess the direct impacts of a borough wide document, for every new home built to Code for Sustainable Homes Level 3 rather than to traditional standards would make a kg CO2 saving of 5.695 kg Co2 m2 over baseline. This is because the BIP seeks funding for development of new homes from public sources, that is conditional upon CSH Level
3 being achieved as a minimum for all affordable homes in receipt of government funding.

8.15 Developments in receipt of NAHP funding will be required to have regard to Secured by Design principles when being developed.

8.16 **Council Infrastructure (e.g. Human Resources, Accommodation or IT issues)**

8.17 The development of the BIP into a Local Investment Agreement will be managed within existing resources. It is anticipated that this will be managed by the Council’s Physical Regeneration team in partnership with the Housing and Spatial Strategy teams.

**APPENDICES**

Waltham Forest Borough Investment Plan – August 2010 v. 21
Appendix A - Waltham Forest BIP Ask table (classified)
Appendix B – Waltham Forest BIP Housing Pipeline NAHP ask (classified)
Appendix C – Equalities Impact Assessment
Appendix D – Climate Change Impact Assessment
Appendix E – Cabinet Report Checklist

**BACKGROUND INFORMATION (as defined by Local Government (Access to Information) Act 1985)**

**Approval by the Portfolio Holder**

I have cleared this report for inclusion on the Cabinet agenda.

Signed: [Signature]
Date: 2.9.2010
Appendix G

HR Processes
London Borough of Waltham Forest

Proposals for Formal Consultation

Council Reorganisation

16th July 2010
CONTENTS

EXECUTIVE SUMMARY

RATIONALE

DETAILED PROPOSALS
  o Senior Management Structure
  o Adult Social Care
  o Children and Young People’s Services
  o Environment and Regeneration
  o Finance
  o Governance and Law
  o Strategy and Communications
  o Residents First

LIST OF AFFECTED POSTS

HOW TO RAISE FORMAL QUERIES, PROVIDE FORMAL RESPONSES OR COMMENTS ON THE PROPOSALS OR MAKE A FORMAL ALTERNATIVE PROPOSAL
EXECUTIVE SUMMARY

Waltham Forest Council is intent on meeting its obligations to consult with trade unions and staff representatives in good time regarding potential changes for the organisation as a result of the financial challenges faced by all Councils. The Council does so in the true spirit of seeking agreement with the trade unions and staff representatives on the proposals themselves and on ways of mitigating and minimising the effects on staff where at all possible.

The purpose of this consultation proposal is to outline formally provide information on:

- the number of posts and descriptions proposed for deletion
- the total number of employees of those descriptions employed by the Council
- the rationale for the proposed restructurings.

Delivering our priorities in a financial reality

In June and July 2009, Cabinet agreed to a number of changes to the Council’s senior management structure and arrangements for service delivery. These changes helped to create a support framework for the implementation of an ambitious Transformation Programme which aimed to deliver a saving of £30m over 3 years. They have also served well in helping the organisation to respond to the financial and political circumstances of their time. Since then, the context in which the Council operates has significantly changed. This necessitates a new reconsideration of the organisation’s senior management and service delivery arrangements for the Council and its residents.

The priorities for the new administration focus on our residents and the quality of their daily experience of our services in their home, local environment and travel around the borough. The delivery of these priorities requires the provision of reliable front line services, initiatives to regenerate our housing provision and borough as a whole, improved education and skills, and the provision of a safe and rewarding environment, and continuing delivery of quality services protecting our most vulnerable residents.

Change is required to realise these objectives; change to redirect resources and reprioritise the services we currently provide. To date this has been managed through the Council’s Transformation Programme with savings of approximately £30m secured over the past 3 years.

The Council’s Medium Term Financial Strategy agreed by Cabinet on 9 February 2010 identified a savings requirement of £30m over the next three years. As a result of the recent Government emergency budget to cut the deficit by reducing public spending the Council will receive a cut in grant in the 2010/11 budget of approximately £2.6 million. The Council is also currently under other emerging pressures, such as the cost of social care and refuse disposal. As a consequence it has been necessary to revise the MTFS. A report on the remodelled MTFS will be presented to September Cabinet. This will require the preparation of emergency budgetary measures.
Staffing costs make up a significant proportion of the Council’s budget. It is therefore important that staffing structures are completely aligned with the Council’s priorities. In practice this means reducing the number of managerial, support and back office staff as far as is reasonable and reinvesting resources in the front line. There will be three phases to restructure the entire organisation, both to equip the Council to deliver its new priorities and to also meet the very difficult financial challenges that the Council faces.

The first phase will be reported to Cabinet on 20th July 2010 and considers the top structure of the Council, namely the Chief Executive and his direct reports.

This second phase considers the senior management structures and below the Chief Executive and Executive Directors, together with some support services. The timetable for this phase is as follows:

16 July 2010  The proposed structures are launched and employees in the relevant areas receive a briefing to explain the proposals.

During consultation no members of staff will be declared ‘at risk’ of redundancy until the end of the consultation period and a final decision is made by Cabinet as to whether or not to implement the proposals or counter proposals.

Consultation will take place in good faith and with a view to agreement with the trade unions. Views and suggested alternative proposals are logged and properly considered.

16 August 2010  End of minimum 30-day consultation period, subject to any extension of that period.

15 September 2010  Formal consideration by Cabinet.

After Cabinet  Announcement of final decisions on the structures and processes for managing change.

1 October 2010  Relevant staff are advised of ‘at risk’ status and individual consultation takes place.

Notices of dismissal issued on the grounds of redundancy with the appropriate effective termination date.

Assimilations finalised and agreed. Selection processes for ring-fenced posts commence.

Proactive management of the re-deployment processes.

By 31 December 2010  Following the above, the employment will be terminated of those employees who are to be made compulsorily redundant.

From 1 January 2011  Employees take up new posts (or at the earliest opportunity before then)

The third and final phase will address the remainder of the organisation and a timetable will be announced when confirmed.
RATIONALE

Over the three phases of the reorganisation, the Council’s proposals will deliver a number of principles. These are to:

- Create a smaller, and wherever possible flatter organisational structure which the Council can afford.
- Prioritise staff resources on front line service delivery and reduce the back office.
- Reduce management structures to an appropriate level looking for opportunities to redirect resources, reflect Member priorities and link functions to deliver greater benefits than the sum of their parts. For example:
  - Bring together relevant functions to create a Customer/Resident led approach to service delivery
  - Bring together relevant functions to strengthen the way we communicate and lobby.
- Release the resources currently tied up in preparing for CAA and other redundant inspection regimes
- Develop our Human Resources function to be truly in tune with business needs
- Mainstream transformation to become business as usual
- Reduce the dependency on Consultants and agency staff
- Agree our priority and non priority services and invest and disinvest accordingly
- And most importantly bring a clarity to the role of every member of staff in the delivery of services to our residents, visitors and businesses.

A fundamental premise underpinning these proposals is that it will not make changes that negatively impact on frontline services. Management Board recognise that appropriate management structures and efficient back-office functions are essential to enable frontline services to deliver a high quality service that meets the needs of the Council’s customers.

As a result, in this phase the Council is proposing changes in a number of key areas for efficiency, including:

- Further review of its senior management structures
- Reducing the provision of support services given the need to meet the Council’s budget and in line with the Government's recent announcements regarding budgetary reductions and reduction of external performance reviews on local government. The support services included in this phase are:
  - Communications
- Other support services areas such as Procurement and Commissioning and IT will follow in phase 3.

- Moving functions in line with efficiency opportunities or delivering priorities, including realigning resources into two new service functions:
  - A customer lead approach to service deliver through the creation of Residents First
  - Bringing together relevant functions to strengthen the way we communicate and lobby in Strategy and Communications.

'As is’ and proposed ‘To be’ structure charts are attached to assist readers understand the proposals. Similarly a list of all deleted and new posts is attached.
HOW THE PROPOSALS WOULD AFFECT POSTS AND STAFF

The Council employs approximately 3,559 staff excluding schools based staff.

It is anticipated that about 80 staff are in posts proposed for deletion and 44 staff have a change in their line management.

Posts may be deleted, moved or changed in terms of grade, status, activities or emphasis.

If these proposals are implemented it is calculated that in addition to vacant posts 80 posts would be deleted that are occupied. However the proposals would mean the creation of approximately 62 posts.

These projections may change as the proposals are further developed and as a result of the consultation process.

SUMMARY OF THE POTENTIAL IMPACT ON POSTS AND STAFF

<table>
<thead>
<tr>
<th>Description</th>
<th>Approximate number of employees of this description employed by the LBWF</th>
<th>Proposed number of FTEs for deletion</th>
</tr>
</thead>
<tbody>
<tr>
<td>Managerial/Supervisory</td>
<td>91</td>
<td>30</td>
</tr>
<tr>
<td>Technical/Professional</td>
<td>48</td>
<td>48</td>
</tr>
<tr>
<td>Administrative Support</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>Non-affected Staff</td>
<td>3,418</td>
<td>0</td>
</tr>
<tr>
<td>Total</td>
<td>3,559</td>
<td>80</td>
</tr>
</tbody>
</table>
MANAGEMENT STRUCTURES

The projected saving from this area is approximately £2,270,000.

As a result of these revisions approximately 47 Full Time Equivalent (FTE) net posts would be proposed for deletion.

### MANAGEMENT STRUCTURES

<table>
<thead>
<tr>
<th>Directorate FTEs</th>
<th>Reduction</th>
<th>New</th>
<th>Net</th>
<th>Net Savings £'000</th>
</tr>
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<tr>
<td>Adults</td>
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<td>3</td>
<td>(2)</td>
</tr>
<tr>
<td>Children's</td>
<td>14</td>
<td>3</td>
<td>10</td>
<td>(4)</td>
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<tr>
<td>Environment</td>
<td>8</td>
<td>1</td>
<td>3</td>
<td>(5)</td>
</tr>
<tr>
<td>Finance</td>
<td>16</td>
<td>7</td>
<td>10</td>
<td>(6)</td>
</tr>
<tr>
<td>Governance and Law</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
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<td>PPP</td>
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<td>15</td>
<td>33</td>
<td>(30)</td>
</tr>
<tr>
<td>Chief Executive</td>
<td>2</td>
<td>-</td>
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<td>(1)</td>
</tr>
<tr>
<td>Residents First (new)</td>
<td>-</td>
<td>-</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>Strategy &amp; Communications (new)</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td><strong>Overall Proposed Reductions</strong></td>
<td><strong>108</strong></td>
<td><strong>28</strong></td>
<td><strong>61</strong></td>
<td><strong>(47)</strong></td>
</tr>
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</table>

### SERVICE

<table>
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<tr>
<th>Directorate FTEs</th>
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<th>New</th>
<th>Net</th>
<th>Net Savings £'000</th>
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<tr>
<td>Policy</td>
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<td>Performance</td>
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<td>Communications</td>
<td>21</td>
<td>5</td>
<td>11</td>
<td>(10)</td>
</tr>
<tr>
<td>Diversity</td>
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<td>3</td>
<td>2</td>
<td>(10)</td>
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<td>Finance</td>
<td>15</td>
<td>7</td>
<td>10</td>
<td>(5)</td>
</tr>
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<td>Education for Communities</td>
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<td>(1)</td>
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<td>Children &amp; Families</td>
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<td>6</td>
<td>(2)</td>
</tr>
<tr>
<td>New Structures</td>
<td>16</td>
<td>3</td>
<td>8</td>
<td>(8)</td>
</tr>
<tr>
<td>Chief Executive Office</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td>(1)</td>
</tr>
<tr>
<td><strong>Overall Net Proposed Reductions</strong></td>
<td><strong>108</strong></td>
<td><strong>28</strong></td>
<td><strong>61</strong></td>
<td><strong>(47)</strong></td>
</tr>
</tbody>
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SENIOR MANAGEMENT STRUCTURES

AS IS

[Detailed diagram of senior management structures]
Adult Social Care Proposals

Senior Management structure – Adult Social Care

The Adult Social Care structure has undergone change in the last year – large services such as Housing and Culture and Leisure have moved to other directorates, the Section 75 for Mental Health Services has been formalised delegating budgets more locally and this has made Adult Social Care a smaller but much more focussed directorate.

This allows the Executive Director post to focus on the core elements of the service, which is part of the rationale for the deletion of the post of Head of Adult Social Care and Health along with the greater emphasis on Strategic Commissioning. It also enables the directorate to raise the profile of Care Management.

Services that better sit within the cycle of assessment and care have been identified and will transfer to this service. Likewise the post of the Head of Provision and Independence will be more focussed on services providing in-house provision such as residential and home care reablement services. This meets with good practice as provision and commissioning/contract monitoring will sit in separate areas.

The Strategic Commissioning function will be responsible for key deliverables in the Adult Social Care vision and for making savings as part of our plans to de-commission and re-commission services. The post of Head of Strategic Commissioning will in the future also be responsible for implementing Personalisation because this is key to reshaping services. The post of the Head of Personalisation will be deleted, and a lower level post of Project Manager Personalisation will be created and will sit with the Commissioning function.

In recent years a number of residential homes have closed and it has been a key plank of the vision to reduce the number of residential placements and wherever possible allow residents to remain independent and live within their own home. We have succeeded in reducing admissions significantly, it is anticipated that this trend will continue as we focus on prevention and care at home.

Given the lower number of direct reports to the Head of Independence and Provision and the reduced numbers of homes due to some closures in recent years it is proposed that the post of Service Manager – Residential and Day Care Services is deleted.

A post of Project Manager will be created for a fixed term period (the expectation is that this post will be two years but will be subject to review). This post will be responsible for special projects and provide additional support to the Head of Provision and Independence during a time of significant change in both homecare and residential homes. This post will release savings from this area by moving the homecare function to a full reablement service and by assisting with plans to be developed for the future of residential services.

In addition given the reduced functions within the Provision and Independence service the job description of the post of Head of Provision and Independence will be reviewed to reflect that reduced responsibility.

The post of Team Leader Mobility and ICES (Integrated Community and Equipment Store) Service Manager will be merged. The core aspects of both posts will incorporated into a new post including staff management. This post will now sit with the Occupational Therapy department.

In line with the proposal regarding the centralised Equality Unit (see Diversity rationale) the post of Equalities and Monitoring Officer for the directorate will be deleted. The role of Equality and Diversity Champion will sit with a Head of Service.

These proposals sit with the adult social care vision of developing a modern and strategically strong service in line with quality and value for money and have been developed with the vision for the future of adult social care in mind.
Third tier reductions will be signed off shortly and implemented by October.

NP = New Post

Proposed deleted posts as part of Commissioning Review and Back Office Review:
* Customer and Information Manager
* Group Manager Procurement

Existing non-financial responsibilities remain but will be subject to review.
Children and Young People Services Proposals

Children and Family Proposals

Senior Management structure – Children and Young People Services
Children and Families Service

These proposals consolidate service responsibilities under five direct reports to the deputy director. This will be achieved via an amalgamation of the First Response and Community Safeguarding and Intervention Service and a restructure of the teams currently sitting in these areas.

1. Background

The service has seen several major reorganisations in the last few years. The first of these occurred in April 2007 when the Child Protection Reviewing service separated out the functions of child protection conference chairing, expert child protection advice and quality assurance from the independent reviewing service. The principal manager who had previously managed the both parts of the service was complemented by an additional principal manage post and the respective functions were split to allow robust development of both these service areas.

In January 2008, the Children in Care Service (CIC) was created, which brought together the looked after children team, the court team, the leaving care team and unaccompanied asylum seekers team under a single leadership at the third tier. These teams henceforth took on a generic responsibility for children in care covering the full range of services from court work through permanency planning to leaving care responsibilities.

In 2008 the Joint Area review judged services to children in care in the borough to be good while at the same time finding that the independent reviewing function and child protection quality assurance function to be very good.

In January 2009, the service again restructured to enable cases that were backlogging in the First Response Service (FRS) to be fast tracked into to the Community Intervention Service (CSI) and the CiC Service. This restructuring meant that additional responsibility for child protection investigations relating to children who had become looked after now became the responsibility of CiC service. In addition, the fast tracking of children who may be rehabilitated back to their families into the CiC service has also meant additional work for a service that was still developing expertise in the area of generic children in care services.

The restructure entailed a shift of resources from FRS to the CSI in order to respond to the fast tracking of cases. This has resulted in child protection cases being transferred to CSI at the point of the first strategy meeting, with CSI undertaking the S47 investigation and progressing the case to initial child protection conference when required.

The main focus of the FR service has been the identification of children in need of protection, initial action to safeguard these children and the completion of initial and core assessments regarding children in need (CIN).

As a result of the increase in demand for services additional sort term resources were made available in the CiC and FR services during 2009/10.
2. Rationale

This restructure has the purpose of creating a child in need service under single leadership which is able to respond effectively to the increase in demand following the Baby P case in Haringey.

This proposal will result in a service that ensures thresholds are applied consistently, resources are targeted to need, and has the structures in place to ensure that children are on the right pathway and reach their destination team as quickly as possible.

Informal feedback from staff suggests that they want a more holistic case work experience than is currently the case under the arrangements for fast tracking of cases.

This proposal will allow staff at the front end of the service to gain a wider breadth of experience, particularly in child protection work whilst permitting staff in the longer term teams to focus on more in depth work.

Following the recent budget announcements and the requirement to make savings to the area based grant, greater efficiency is required in order to make savings which contribute to the directorate’s savings requirements. This proposal therefore takes account of this requirement.

3. The ‘as is’ position

The deputy director currently has seven direct reports. There are six group managers for:

- First Response Service
- Community Safeguarding and Intervention Service
- Children in Care Service
- Specialist Children’s Service
- Placements and Resources Service
- Protection, Partnership and Plans Service

In addition the personal assistant also reports to the Deputy Director.

It should be noted that managers in the Children and Families Service are not generic management roles. All of the manager posts require highly specialist knowledge and experience.

4. The proposed ‘to be’ position

It is proposed to consolidate the First Response Service and the Community Safeguarding and Intervention Service under one group manager to create a single child in need service:

Proposed structure of child in need service

This proposal results in the deletion of one group manager post, one principal officer post, one team manager post, one Public Law Outline (PLO) Coordinator post, two deputy team manager posts and one team administrator post.

The proposal also involves the creation of two principal officer posts and two senior practitioner posts.

In order to effectively manage a large children in need service it is necessary to create two principal officer posts from within existing resources. It is proposed that this is achieved by the deletion of the current principal officer post in child protection and the creation of a principal
officer post (duty). The Child Protection Unit is now a high performing service which can be appropriately managed directly by the group manager for that service.

The other principal officer post will be created by deleting the PLO coordinator post and replacing it with a principal officer post (long term).

The principal officer post (duty) will be complimented by the addition of two senior practitioner posts which would be responsible for the threshold and triage of referrals, ensuring a consistent response to service demand. These posts would be created from the resources freed up by the deletion of two deputy manager posts from the existing structure.

Currently the two teams in FRS consist of a manager, two deputy team managers, two senior practitioners, four social workers and three referral and assessment officers (RASO’s).

The three teams in CSI consist of a team manager, two deputy team managers, three senior practitioners, six social workers and three social work assistants.

The new service would be organised on the basis of four social work teams consisting of a greater number of social workers in each team. This would entail the deletion of a team manager post.

The new model would therefore comprise of a duty service with two teams. In each team there would be one team manager, two deputy team managers, two senior practitioners and five social workers in one team and six in the other. Three RASO would be attached to each team.

The longer term service would consist of two social work teams. Each team would comprise of one team manager, two deputy team managers, three senior practitioners, eight social workers and three social worker assistants.

As one team would be effectively absorbed into the remaining team the administrative support for this team would be deleted.

The two group manager posts affected are the group manager for the First Response Service which is shortly to become vacant and the group manager for the Community Safeguarding and Intervention Service. As one post is soon to be vacant no redundancies are anticipated in this area and the current group manager CSI should be assimilated into this new post.

The appointment to the two senior practitioner posts should be ring fenced to the affected deputy team manager group for assimilation. Therefore no redundancies should occur.

There is currently a vacancy for a team manager post in the CSI service, therefore the deletion of one team manager post should not result in any redundancy.

The appointment to the two principal officer posts should be ring fenced to the PLO coordinator and the principal officer child protection for assimilation. Therefore no redundancies should occur.

The administrative officer post proposed for deletion will incur redeployment or redundancy.

Proposals to balance services

In terms of balancing service responsibilities the proposed ‘to be’ position would therefore divide the responsibilities for short and long term work as follows:

- Duty service, to undertake all initial screening, contacts/referrals, initial assessments, S47 child protection investigations (point of transfer to longer term service would be initial child protection conference) and core assessments on CIN cases

- Longer term service, to take all cases subject of an initial child protection conference at the point of that conference, all CIN cases that have a statutory element, i.e. private
fostering, families with no recourse to public funds, S7/37 reports and CIN cases where there is a requirement for ongoing work.

Children who become looked after would be transferred to the CIC service as is current practice.

**Conclusion**

In taking forward the proposals set out in this consultation, the Council hopes to consolidate and further integrate service provision in a way that is meaningful to staff and our service users.
**Education for Communities Proposals**

**Senior Management structure – Children and Young People Services**

**Education for communities**

The proposal consolidates service responsibilities under six direct reports to the deputy director.

1. **Background**

The education for communities service has undergone fundamental changes since 2008. On 1 April 2008, a major in-source of services from EduAction, Connexions North London and Career Management Futures took place.

Following comprehensive service reviews, the integrated youth support service came into being in 2008 under a single group manager, comprising the former youth, Connexions, careers and teenage pregnancy services. Extended services, comprising the former early years, extended schools and family support services was also formed under a single group manager.

Following the in-source from EduAction, a single group manager was appointed to review and consolidate the educational psychology, welfare, behaviour support and social inclusion services into a single integrated education support service. A separate review of pupil referral units, now called short stay schools, was also undertaken by the group manager for education support which resulted in the appointment of an executive head teacher for short stay schools and alternative provisions, reporting directly to the deputy director.

In July 2008, following its inspection, the youth offending service transferred to education for communities.

In 2009, the special educational needs (SEN) services transferred from children and families to education for communities.

In April 2010, under the ASCL Act, 2009, responsibility for commissioning education and training for 14-19 year olds transferred to the Council. Former Learning and Skills Council staff transferred to the Council under TUPE regulations into a comprehensive 14-19 education service.

Also in 2010, the Council signed a section 75 agreement with Outer North East London Community services - the autonomous provider organisation for health services - to secure the management of children’s community health services within the education for communities service structure.
During 2009-10, the deputy director took on the strategic leadership of school improvement, specifically to manage change in the transition period, 2010-12, when the Babcock (formerly VTES) contract ends.

2. **Rationale**

The significant growth and service changes over a 2-year period necessitate a review of the third tier structure of group managers reporting to the deputy director. The service changes have led to a wider span of control than recommended through the efficiency review design principles. The restructure will also support the achievement of efficiency savings.

Specifically, it is timely to review the education for communities service structure for the following reasons:

- One service – the youth support service - will be redesigned and transformed in line with the MTFS and reductions to external grants – this transformation creates the opportunity to consolidate service areas and form a service to lead on activity for 0-19 year olds; and

- Another service – the SEN service – is in the process of transferring part of its structure (the service to deaf and hearing impaired children) to schools and another part (Education Plus) to short stay schools – this creates the opportunity to consolidate SEN with the integrated education support service.

The restructure is in line with the principle in our children and young people plan 2010-13, to join up our services and the way we do things to make them better for, and more valued by, families.

3. **The ‘as is’ position**

The deputy director currently has ten direct reports. There are six group managers for:

- Special educational needs services;
- Extended services;
- Youth support services;
- Integrated education support services;
- 14-19 services; and
- Youth offending services.

Additionally, the following managers report to the deputy director:

- Head of the music service;
- Head of Suntrap;
• Executive head teacher, short stay schools and alternative provisions; and

• Head of nursing (under the section 75 agreement).

It should be noted that the group managers in education for communities are not generic management roles on a common job description. Most of the group manager posts require specialist knowledge and experience. Part of the rationale for joining up the services identified in this consultation document is that they are close enough in functions for the joins to be sensible and the skills, knowledge and experience of the relevant group managers are transferable.

4. The proposed ‘to be’ position

It is proposed to consolidate the following service areas, each under a single group manager:

• The youth support service and extended services to create a service to lead on activity for 0-19 year olds; and

• The SEN service and integrated education support to create a single service area under one group manager.

Proposed children and youth support services

This proposal results in the deletion of two group manager posts. The first two posts affected are the group manager for youth support (vacant post) and the group manager for extended services. As one post is vacant no redundancies are anticipated in this area.

It is also proposed to create a principal officer post within the new service structure to lead on services for 13-19 year olds. This will be a specialist post requiring either a youth work or Connexions qualification.

Given the size of Suntrap – a small outdoor education services - and the nature of the educational activity it provides, it is proposed that the management of Suntrap transfer to the group manager for children and youth services. This is proposed as a medium term solution while the provision is supported to become a sustainable traded service with a balanced budget.

Discussions have been taken forward with the head teacher and governing body of Heathcote School to transfer the management of Suntrap to the school in the medium to long term, once it achieves sustainability.

Proposed SEN and education support services

The other two group manager posts affected by this consultation are the group manager for SEN and the integrated education support service, both those posts will be deleted and a new group manager post managing both the areas will be created. This will result in one possible redundancy.
It should be noted that the Council is currently looking at a shared solution with other east London local authorities for the specialist principal educational psychology role.

It is also worth noting that the proposal to create a special educational needs and education support services structure is very likely to require further review, following the government’s SEN green paper due to be published in the Autumn, 2010.

**Proposals to balance services**

In terms of balancing service responsibilities across the group manager roles and consolidating strategic leadership of pupil behaviour and the management of the fair access panel, it is proposed that the social inclusion manager post transfer from the education support service to the short stay school structure, under the management of the executive head teacher.

It should be noted that the short stay school and alternative provisions service is undergoing further change and that reviews of Education Plus and Forest Pathways College are being prepared.

It is proposed to transfer the music service from education for communities to overall management of the Head of Culture and Leisure. A service review is proposed with a view to considering an integrated cultural service. The head of the music service is currently vacant. It is proposed to retain an interim manager in the financial year 2010-11 to lead a comprehensive service review, reporting to the Head of Culture and Leisure Services.

The proposed ‘to be’ position therefore has six direct reports to the deputy director:

- Group manager, special educational needs and education support services;
- Group manager, children and youth services;
- Group manager 14-19 services;
- Group manager youth offending services;
- Executive head teacher, short stay schools and alternative provisions; and
- Head of nursing (under the section 75 agreement).

**School improvement and education commissioning**

The deputy director will continue to have strategic leadership of school improvement, specifically to manage change in the transition period, 2010-12, when the VTES contract ends. The new policy context will determine the shape of the school improvement function and broader education commissioning, which will be the subject of a separate consultation.
5. Conclusion
In taking forward the proposals set out in this consultation, the Council hopes to consolidate and further integrate service provision in a way that is meaningful to staff and our service users.
Children and Young People Services

TO BE

Proposed CYPS Model

As at 15 July 2010

Head of Culture and Leisure Services

Deputy Director: Education for Communities

Deputy Director: Children & Families

Assistant Director: Resources ASC & CYPS (see Finance)

NP

Head of CLASS

Head of Culture, Museums, Gallery & Archives

Head of Music

Head of Sports & Leisure

Group Manager: Specialist Needs Education & Support - NP

Group Manager: Class

Group Manager: Support Services

Group Manager: Special Education Services

Group Manager: Specialist Services

Group Manager: Child Health Services

Group Manager: Youth Offending

Group Manager: Placement & Resources

Group Manager: Education

Group Manager: Child Health Services

Group Manager: Social Care

Group Manager: Commissioning & Contract Management - Social

Group Manager: Commissioning & Contract Management - Education

Group Manager: Finance

Group Manager: Information Technology and Governance

Group Manager: Business Support

Governor Services Manager

Business Partner: Schools HR

Business Partner: SOPD Finance and Business Manager

Complaints Manager

Head of Music

Head of Nursing (NHS Section 75)

Moved from Education for Communities

NP = New Post

Suntrap transferred to Heathcote School

No saving assumed

Existing non-financial responsibilities remain but will be subject to review

Executive Head of Short Stay Schools and Alternative Provisions

There are also some lower-level changes in Children and Families

Refer to List of Affected Posts

NP = New Post

Head ofCLASS

Head of Culture, Museums, Gallery & Archives

Head of Music

Head of Sports & Leisure

Suntrap transferred to Heathcote School

No saving assumed

Proposed CYPS Model

As at 15 July 2010

Head of Culture and Leisure Services

Deputy Director: Education for Communities

Deputy Director: Children & Families

Assistant Director: Resources ASC & CYPS (see Finance)

NP

Head of CLASS

Head of Culture, Museums, Gallery & Archives

Head of Music

Head of Sports & Leisure

Group Manager: Specialist Needs Education & Support - NP

Group Manager: Class

Group Manager: Support Services

Group Manager: Special Education Services

Group Manager: Specialist Services

Group Manager: Child Health Services

Group Manager: Youth Offending

Group Manager: Placement & Resources

Group Manager: Education

Group Manager: Child Health Services

Group Manager: Social Care

Group Manager: Commissioning & Contract Management - Social

Group Manager: Commissioning & Contract Management - Education

Group Manager: Finance

Group Manager: Information Technology and Governance

Group Manager: Business Support

Governor Services Manager

Business Partner: Schools HR

Business Partner: SOPD Finance and Business Manager

Complaints Manager

Head of Music

Head of Nursing (NHS Section 75)

Moved from Education for Communities

NP = New Post

Suntrap transferred to Heathcote School

No saving assumed

Proposed CYPS Model

As at 15 July 2010

Head of Culture and Leisure Services

Deputy Director: Education for Communities

Deputy Director: Children & Families

Assistant Director: Resources ASC & CYPS (see Finance)

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Head of Culture, Museums, Gallery & Archives

Head of Music

Head of Sports & Leisure

Group Manager: Specialist Needs Education & Support - NP

Group Manager: Class

Group Manager: Support Services

Group Manager: Special Education Services

Group Manager: Specialist Services

Group Manager: Child Health Services

Group Manager: Youth Offending

Group Manager: Placement & Resources

Group Manager: Education

Group Manager: Child Health Services

Group Manager: Social Care

Group Manager: Commissioning & Contract Management - Social

Group Manager: Commissioning & Contract Management - Education

Group Manager: Finance

Group Manager: Information Technology and Governance

Group Manager: Business Support

Governor Services Manager

Business Partner: Schools HR

Business Partner: SOPD Finance and Business Manager

Complaints Manager

Head of Music

Head of Nursing (NHS Section 75)

Moved from Education for Communities

NP = New Post

Suntrap transferred to Heathcote School

No saving assumed

Proposed CYPS Model

As at 15 July 2010

Head of Culture and Leisure Services

Deputy Director: Education for Communities

Deputy Director: Children & Families

Assistant Director: Resources ASC & CYPS (see Finance)

NP

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Head of Music

Head of Sports & Leisure

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Group Manager: Class

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Group Manager: Specialist Services

Group Manager: Child Health Services

Group Manager: Youth Offending

Group Manager: Placement & Resources

Group Manager: Education

Group Manager: Child Health Services

Group Manager: Social Care

Group Manager: Commissioning & Contract Management - Social

Group Manager: Commissioning & Contract Management - Education

Group Manager: Finance

Group Manager: Information Technology and Governance

Group Manager: Business Support

Governor Services Manager

Business Partner: Schools HR

Business Partner: SOPD Finance and Business Manager

Complaints Manager

Head of Music

Head of Nursing (NHS Section 75)

Moved from Education for Communities

NP = New Post

Suntrap transferred to Heathcote School

No saving assumed

Proposed CYPS Model

As at 15 July 2010

Head of Culture and Leisure Services

Deputy Director: Education for Communities

Deputy Director: Children & Families

Assistant Director: Resources ASC & CYPS (see Finance)

NP

Head of CLASS

Head of Culture, Museums, Gallery & Archives

Head of Music

Head of Sports & Leisure

Group Manager: Specialist Needs Education & Support - NP

Group Manager: Class

Group Manager: Support Services

Group Manager: Special Education Services

Group Manager: Specialist Services

Group Manager: Child Health Services

Group Manager: Youth Offending

Group Manager: Placement & Resources

Group Manager: Education

Group Manager: Child Health Services

Group Manager: Social Care

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Group Manager: Commissioning & Contract Management - Education

Group Manager: Finance

Group Manager: Information Technology and Governance

Group Manager: Business Support

Governor Services Manager

Business Partner: Schools HR

Business Partner: SOPD Finance and Business Manager

Complaints Manager

Head of Music

Head of Nursing (NHS Section 75)

Moved from Education for Communities

NP = New Post

Suntrap transferred to Heathcote School

No saving assumed
Environment and Regeneration Proposals

Senior Management structure - Environment & Regeneration

1. Safe & Strong Communities & Housing

Description of proposed change

- Deletion of Head of Housing Services post
- Deletion of the Head of Community Cohesion & Partnerships post
- The Head of Community Engagement post to move to the corporate Residents First service.

Rationale for change

Following the recruitment to the post of Director of Safe & Strong Communities and Housing, it is proposed that the service is re-structured with regard to leadership of the Housing Service. The intention is to delete the post of Head of Housing Services to create a flatter management structure.

The service will be lead by the Director for Safe and Strong Communities and Housing who is an experienced senior housing practitioner.

A further and fundamental review of the Housing Service will take place at a later phase of this organisational review.

The deletion of the Head of Community Cohesion & Partnerships post comes as a result of a reduction in government funding around PREVENT activity as well as Area Based Grant reduction for the voluntary sector (which supports the cohesion work for this Authority). Any residual PREVENT work to be covered by the Head of Community Safety.

The Cohesion function is to move to a newly formed corporate Residents First Service. It is also proposed that the Head of Community Engagement moves to Residents First. Both functions will be better aligned with and provide important support to this new customer facing service area.

The Consultation element of Community engagement is proposed to move to the new Strategy and Communications service.

2. Public Realm

Description of proposed change

- Deletion of Head of Green Spaces post
- Deletion of Environment Manager post
- Creation of Head of Environment & Green Spaces post
- The Special Projects Manager to report to the Business Unit Manager.

Rationale for change

It is proposed that the management function of the Environment Team and the Green Spaces team within Public Realm is merged. The knowledge, skills and abilities involved in the management of both functions are similar. Although management capacity will be reduced in the service as a whole, it is envisaged that the change will have minimum impact on customer service. This change will also go some way in realigning management salaries.

The potential financial benefit (saving) results from the salary costs of the two deleted posts minus the salary cost of the proposed new post.

Public Realm is also currently re-designing structures below 2nd and 3rd tier. These changes will form part of later phases of this review.
3. Development

Description of proposed change
- Deletion of Head of 2012 post
- Deletion of Head of Development Management post
- Creation of Head of Development Management & Building Control post
- The Head of Building Control to report to Head of Development Management & Building Control
- Deletion of Building Regulation Manager.

Rationale for change

It is proposed that the post of the Head of 2012 is deleted. The 2012 function has so far achieved a lot in representing the Authority at local, regional & sub-regional level, as well as laying the foundations for our approach to legacy and games time operations. As the games approach, we have to re-think our approach, as there is a need for more operational capacity and less strategic steer.

Wave 2 of the Efficiency Review saw the amalgamation of admin functions between Development Management & Building Control. This Phase 2 review of structures has given us the opportunity to go a step further. It is proposed that a new Head of Development Management & Building Control post is created. The rationale centres around ensuring that the Authority manages physical development in the borough in an integrated way. Further service rationalisation and modernisation is envisaged to take place as part of the Phase 3 with the review of the structures below.

It is proposed that the head of profession for Building Control in the borough [Head of Building Control] reports to the new Head of Development Management & Building Control post.

Furthermore, it is proposed that the Building Regulations Manager (North) post currently reporting to the Head of Building Control is deleted. The post is currently vacant with the work covered by the other two Building Regulations Managers. Until Phase 3 of the review takes place, these two managers will be reporting directly to Head of Building Control.

The existing Senior Building Control Officer reporting to the vacant Building Regulations Manager post proposed for deletion, will be merged within the existing South/Central teams.
As is Environment & Regeneration Model
As at 14 July 2010

Executive Director
Environment and Regeneration and Deputy Chief Executive

Director of Safe and Strong Communities and Housing
- Head of Community Safety
- Head of Community Engagement
- Head of Enforcement
- Head of Environmental Health
- Head of Community Cohesion and Partnerships

Director of Development
- Head of Spatial Planning
- Head of Building Control
- Head of Development Management
- Head of Physical Regeneration
- Head of Special Projects
- Head of Economic Development

Director of Public Realm
- Group Manager / Highways
- Head of 2012
- Head of Building Control
- Head of Development Management
- Head of Physical Regeneration
- Head of Special Projects
- Head of Economic Development

Head of Resources
- Head of Finance
- ICT Team Leader
- Business Analyst

Head of 2012

Assistant Director Property Services, Capital Strategy & Partnering
- Head of School Organisation Partnership & Development
- Head of Asset Management
- Facilities Management
- Accommodation Strategy and Planning
- Strategic Projects Officer
- Strategic Projects and Commercial Manager
- School Organisation and Consultation Manager
- Programme Implementation Manager
- Contracts and Service Development Manager

*Assumes Head of Civil Contingencies reports to Director of Public Realm
*Assumes Assistant Director Property Services Capital Strategy & Partnering reports to Executive Director Environment & Regeneration
Subject to Cabinet Decision at July Meeting
There will be a complete restructuring of this area.

NP = New Post
Finance Proposals

Senior Management Structure – Finance

This proposal is in respect of the senior management of Finance, primarily to the Accountancy, Exchequer, Treasury and Pension Fund functions as well as the Customer Services function. There is no change to Internal Audit.

Customer Services is moved to Residents First – see that rationale – which results in the Head of Revenues and the Head of Benefits remaining within Finance and reporting to the Deputy Director of Finance.

Customer Services Rationale

Please refer to the rationale regarding Residents First. In addition to that the post of Assistant Director Customer Service is proposed for deletion.

The customer service function transfers to Residents First with the Head of Revenues and Head of Benefits remaining in Finance and reporting to the Deputy Director of Finance.

Finance Rationale

The proposal seeks to create a Finance Department with enhanced strategic capacity, which though less costly at senior management level, is better able to support the Council and its individual Directorates through:

- Enhancing the Council’s Financial planning/policy capacity
- Enhancing capacity for capital strategy including BSF and PFI
- Providing high level quality financial advice and support to Service Directorates
- Achieving economies of scale
- Achieving business process improvements in exchequer/transactional services.

The current structure has a number of weaknesses. The Director’s post is a joint post with the NHS (This is being considered by Cabinet on 20th July). This means to date, that the Director is unable to concentrate fully on Council business. The Assistant Director post has responsibility for all Financial planning/policy, accounting, financial support to Service Directorates, Treasury management, central Exchequer services and the Pension Fund. Two attempts have been made to fill this post on a permanent basis without success. The Financial planning/policy capacity of the Council is underdeveloped. The Heads of Resources in the service Directorates are diverted from concentrating on leading and providing high level support to their Directorates by a variety of other responsibilities including exchequer/transactional finance.

In the context of a proposal to reduce budgeted costs it is proposed to create a focussed Finance Service to deliver financial planning/advice/accounting and exchequer/transactional services and also robustly support the Pension Fund through four senior posts reporting to the Director of Finance. The post of Deputy Director of Finance will include responsibility for Revenues and Benefits and provide leadership and management of these services following deletion of the Assistant Director Customer Services post.

It is proposed to create an Assistant Director responsible for Financial Planning. This post will be responsible for developing a financial planning/policy division capable of facilitating the matching of a reducing Council resource base with the Council’s ambitions to focus on priority areas. This post will be responsible for developing and co-ordinating and embedding an enhanced Medium Term Financial Planning and Revenue Budgeting process in close liaison with Service Directorates. There will be an enhanced emphasis on Capital and Capital related schemes through the creation of a dedicated Capital team, led by a Capital Strategy Manager The creation of a Head of Financial Planning and Technical Accountancy
will give additional capacity to deal with technical issues, the government grant settlement and other grant related issues will also be built into the new arrangements.

There will be **two Assistant Directors of Finance** responsible for the provision of high level Financial Advice, budget setting, monitoring and financial accounting within Directorates. One post will be responsible for supporting the **Children/Young Peoples Directorate** and the **Adult Social Care Directorate** and one for **Environment, Housing and Central Services**.

These posts will have a greater emphasis on leading the provision of high-level financial advice to Directorates as it is proposed to relieve these roles of both the exchequer/transactional finance roles currently undertaken by the Heads of Resources. Transfer of the exchequer/transactional functions will be to a corporate Exchequer unit within the Deputy Director of Finance’s Division.

**The Deputy Director of Finance** will retain responsibility for financial accounting and preparing the Council’s Statement of Accounts both of which are crucial to the Council’s reputation and the view taken of it by the External Auditor. This post will also take responsibility for all Exchequer/transactional finance. Through amalgamating those functions currently carried out centrally with those currently undertaken in Directorates it will be possible to achieve efficiencies through both economies of scale and re-engineering of business processes. However to achieve the anticipated efficiencies in Exchequer/transactional services it will be crucial that accommodation is provided so that all staff involved in these functions are co-located. The postholder will also lead the Treasury and taxation functions. This post also has responsibility for the Pension Fund, which operates under a different legislative regime to other services. Legislation deems the Pension Fund a non-Executive function and consequently it is necessary for the Finance Department to service the Pension Fund Committee, which reports direct to the Council. It is proposed that 40% of the cost of the Deputy Director is recharged to the Pension Fund to reflect his responsibility/work on this area. The Head of Revenues and the Head of Benefits will report to the Deputy Director as a result of the deletion of the existing AD Customer Services and creation of the Residents First Service. The Deputy Director of Finance will deputise for the Director of Finance in all their responsibilities.

Notwithstanding the advantages of the proposed structure compared with the existing structure there are risks associated with the proposal. Consequently it will be essential to achieve genuine business process re-engineering in exchequer/transactional services and where possible, in financial advice/accountancy services through for example removal of any duplication of effort between the central Finance and Directorate Finance teams.

In order to improve the strategic planning and management of capital it is proposed to create a new post, the **Senior Finance Manager Capital Strategy (inc BSF and PFI)** to manage all aspects of the council’s capital strategy including PFI, prudential borrowing and capital grants. It is also proposed to transfer in three posts from Asset Management and Property Services.

- Commercial Manager
- Business and Capital Finance Manager
- Senior Finance Officer.

These posts will report to the Director of Finance through the Assistant Director Financial Planning but will continue to support service operations in Asset Management and Property. The Senior Finance Manager Capital Strategy post will not be filled pending a review of the three finance posts transferring in from Asset Management and Property. That review would also provide the funding for this post.
Deleted Posts

Assistant Director of Finance (CO1) – This post will be re-designated to Deputy Director of Finance. There have been two attempts to recruit to the current role without success and the post remains vacant. This re-designation of the role together with a refocus of its areas of responsibility will give this role parity with similar roles elsewhere.

Head of Financial Planning (PO12) – This post is replaced by an Assistant Director post. The Head of Financial Planning post is currently vacant.

Assistant Director of Resources (CO3 x 2 FTEs) / Head of Resources (PO12 x 2 FTEs).
All four posts are proposed to be deleted. One CO3 and one PO12 posts are currently vacant and two filled. These four posts will be replaced by two new Assistant Director Resources posts, one for Adults and Childrens and the other for Environment & Regeneration and Central Services.

Head of Finance x 5 / Strategic Management Accountant x3 (PO10 x 8) – Five posts are currently filled three are vacant. Five new posts of Senior Finance Manager will be created. The rationale for this is the creation of a Financial Planning and Technical Manager, economies of scale from closer integration of the present centrally and directorate based finance staff and a review of senior finance support to the HRA. At present there are two established PO10 posts supporting the HRA one based in the financial planning team and one located with the service. Recently the senior finance support to the HRA has been effectively provided by one person covering both the corporate and directorate aspects of financial support to the HRA and it is considered that this can realistically become the long term arrangement.

Group Accountant – Treasury and Pensions (PO7/PO9) – Deletion of this post is to create a new role to enhance the strategic capacity within the Treasury and Pension function.

Created Posts

Deputy Director of Finance – To lead on the major areas of Corporate Finance, Exchequer services, Treasury and Pensions, Revenues and Benefits.

Assistant Director Financial Planning – To lead a significantly strengthened financial planning function.

Assistant Director of Finance, Environment & Regeneration and Central Services – To provide high-level financial support to these Directorates.

Assistant Director of Finance, Adults, Children & Young People – To provide high-level financial support to these Directorates.

Head of Financial Planning and Technical Accountancy – To lead a high level technical team whose responsibilities will include government grant settlement issues.

Senior Finance Manager Capital Strategy (inc BSF and PFI) – To manage all aspects of the council’s capital strategy including PFI, prudential borrowing and capital grants. (Note: this post will not be filled pending a review of the three finance posts transferring in from Asset Management and Property. That review would also provide the funding for this post.)

Senior Finance Manager – Financial Planning – To provide technical support on grants settlements and the MTFS.

Senior Finance Manager – 5 posts – These posts will report into the new AD Finance roles for CYPS and ASC and Environment, Housing and Strategic Directorates and will support the
Assistant Directors in providing financial advice, budget setting and budget monitoring functions for both revenue and capital.

**Treasury and Pensions Manager** – To increase the capacity in the management of the treasury and pensions function. Will report to the Deputy Director of Finance.

**Transferred In Posts (from Asset Management and Property)**

Commercial Manager  
Business and Capital Finance Manager  
Senior Finance Officer
Finance

AS IS

\[ 
\text{Director of Finance} \\
\quad \downarrow \\
\text{Assistant Director Transformation} \\
\quad \downarrow \\
\text{Assistant Director Audit} \\
\quad \downarrow \\
\text{Fraud Prevention Group Manager} \\
\quad \downarrow \\
\text{Insurance & Risk Manager} \\
\quad \downarrow \\
\text{Fraud Investigations Group Manager} \\
\quad \downarrow \\
\text{Outsourced Audit, Complaints, \\ Anti-Fraud & Partnership} \\
\quad \downarrow \\
\text{Support Functions Unit Manager} \\
\quad \downarrow \\
\text{Customer Services Manager} \\
\quad \downarrow \\
\text{Assistant Director Customer Services} \\
\quad \downarrow \\
\text{Head of Revenues} \\
\quad \downarrow \\
\text{Head of Benefits} \\
\quad \downarrow \\
\text{Support Functions Unit Manager} \\
\quad \downarrow \\
\text{Assistant Director Resources CYPS} \\
\quad \downarrow \\
\text{Chief Accountant, \\ Corporate Finance, \\ Exchequer Services, \\ Treasury & Pensions} \\
\quad \downarrow \\
\text{Head of Financial Planning} \\
\quad \downarrow \\
\text{Head of Financial Planning} \\
\quad \downarrow \\
\text{Assistant Director Resources CYPS} \\
\quad \downarrow \\
\text{Head of Resources Strategy & Resources} \\
\quad \downarrow \\
\text{Head of Resources Strategy & Resources} \\
\quad \downarrow \\
\text{Assistant Director Resources E&R} \\
\quad \downarrow \\
\text{Head of Resources E&R} \\
\quad \downarrow \\
\text{Heads of Finance rules are being reviewed} \\
\]
Proposed Finance Model
as at 19 July 2010

Director of Finance

Deputy Director of Finance NP
- Head of Audit, Anti-Fraud & Risk Management
  - Fraud Prevention Group Manager
  - Insurance and Risk Manager
  - Fraud Investigations Group Manager
- Treasury and Pensions Manager NP
- Head of Revenues
- Head of Benefits
- Support Functions Unit Manager

Assistant Director Finance ASC/CYPS NP
- Senior Finance Manager x2 NP

Assistant Director Finance E&R and Central Services NP
- Senior Finance Manager x3 NP

Assistant Director Financial Planning NP
- Head of Financial Planning and Technical Accountancy NP
- Senior Finance Manager NP
- Senior Finance Manager Transformation NP
- Senior Finance Manager for Capital Strategy incl. BSF and PFI

Assistant Director Transformation (Interim Role)
- Commercial Manager
- Business and Capital Finance Manager
- Senior Finance Officer

NP = New Post

Financial posts transferring from Assistant Director Property, Asset Management and Major Projects in E&R – subject to future review

TO BE

Finance
Governance and Law Proposals

Senior Management structure – Governance and Law

There are no changes in Governance and Law that lead to the deletion or creation of any posts.

Two changes in reporting lines are proposed:

**Freedom of Information:** It is proposed that the two posts engaged in this function will join the Complaints Team within the new Customer First service where there will be symmetry and synergy with what are similar customer services. See also the rationale for Service Excellence and Efficiency.

**Executive Support** is proposed to move to Governance and Law formalising the current interim arrangements under the Head of Democratic Services. This co-locates two similar functions Members’ Services and the Executive Support.
Freedom of Information work is transferring to Residents First
Overview and Scrutiny is transferring to Strategy and Communications
Communications, Policy and Scrutiny (Proposed Strategy and Communications)

Proposals

Communications, Policy and Scrutiny (proposed Strategy and Communications)

It is proposed to create a new post of Assistant Director, Strategy and Communications and a new service grouping which brings together policy, communications and scrutiny.

Given the financial challenges facing the Council there are significant reductions in the communications and policy elements of the team and it is important that this new service grouping is focused on:

- Delivering and communicating the new administration’s priorities to residents
- Supporting the Leader, Cabinet and Chief Executive in understanding the impact of national policy initiatives and in adopting appropriate lobbying and public affairs stances on behalf of the authority
- Providing the evidence base in order to inform future policy and communications, including campaigns
- Delivering a robust scrutiny function that will focus around the authority’s performance in relation to its priorities including value for money.

This proposal will focus policy development on the strategic positioning of the organisation rather than large scale policy development. There will no longer be set resources for departments or for the Local Strategic Partnership. Instead the central policy resource will be focused on developing priorities and enabling the organisation to anticipate government changes and innovate in its service provision. In order to support this with further capacity, shared service arrangements will be explored with another local authority and a call in arrangement made with a local government policy organisation such as the LGIU to give access to additional capacity if the organisation requires it. All work would be commissioned by the Chief Executive and Leader and would take into account the needs of Management Board and Cabinet.

Policy and communications officers will work together in order to create public affairs capacity to enable lobbying, campaigning and innovation to take place in relation to national policy.

The management of the Chief Executive’s office will also be co-located with the policy team in order to give direct access to policy and public affairs support for the Leader and Chief Executive.

Areas of work would include developing:

- The forward agenda as the authority balances the need to make savings, protect frontline services and deliver the Council’s priorities
- Evidence and intelligence to support campaigning and lobby work that will attract additional resources or opportunities to WF or mitigate risk.

Like policy, the new communications function will be entirely focused on strategic priorities, supporting up to 10 high profile campaigns. They will provide strategic communications advice to Management Board and a reduced press office which will be largely reactive apart from the Council’s priorities. The media team will no longer provide media support to LSP partners, Ascham Homes, the Local Safeguarding Children Board and schools and head teachers unless on a contracted basis.

A shared media and communications support service will be established with another Council to provide additional capacity if needed for specific projects or major incident cover.

The service will only provide individual communications plans for priority programmes and workstreams. Directorates in future will commission service information work and non corporate campaign work directly with the external design and print provider. Services will also begin to develop their own communications plans for their areas with standard advice and templates provided by the communications team. Programme boards will no longer have
dedicated communications or individual communications plans drawn up by a communications officer.

The council will develop new business processes to enable a self service approach to design and print materials as well as a renewed branding and style guide to help officers across the council deliver good quality and consistent communications materials for themselves.

To recognise the significant challenges facing the authority and the importance of keeping staff informed and up to date, the post of staff communications officer will be created.

The Council’s Consultation Manager will transfer to the Communications and Strategy team in order to provide a seamless relationship between public consultation, policy and communications. This also creates an opportunity to consolidate council spend on research and consultation, joining up our approach to consulting residents and driving out savings through more focused, centrally commissioned consultation work.

Scrutiny will also be located in this team to provide a clearer link to policy formation.

Effect on Posts

With the exception of the officers working in the Web team of Corporate Communications, all posts that currently form part of the Policy Unit and the Corporate Communications team will be deleted and the posts shown in the revised structure will be created. Overall there is reduction in staffing from 31.4 to 18 FTEs across these two areas.

It is proposed that the incoming resources, namely the Consultation Manager and the Scrutiny Manager, will be imported into the new service grouping although it may be necessary to re-examine their job descriptions in order to ensure their fitness for purpose for the new structure. There is one proposed deletion of posts within the Chief Executive’s Office and which currently forms part of the Diversity and Business Support team.
The Transformation Communications role and budget currently sits with the Transformation Team.
Policy

AS IS

[Diagram of organizational structure]

Policy Model
as at 14 July 2010
Residents First Proposals (includes Performance and Service Improvement and Diversity)

Residents First

It is proposed to establish a Residents First service grouping headed by a new Assistant Director post.

The rationale for this is that the new administration is committed to the Council improving its focus on service delivery to the public and ensuring a high quality and consistent interface with the public. Over recent years despite some significant improvements in key services, our residents’ and service users’ levels of satisfaction in many areas have fallen below the London average. It is essential that as well as meeting the financial challenges facing the Council, that steps are taken to address this.

Currently services that shape residents’ experience of the Council are located in different areas and there is no one individual responsible for ensuring high standards across the board. The new service grouping will reflect the following principles:

- Ensuring that effective engagement mechanisms are in place in order to understand the needs and expectations of all of our residents and to enable opportunities for residents’ participation in decisions relating to resource allocation
- Driving up service standards and providing an effective and consistent service offer at the first point of contact
- Responding efficiently and effectively to service failure, complaints and other customer feedback and using the learning to improve what we do
- Ensuring that services are fair and accessible and take account of diverse needs as fully as possible
- Ensuring that services provide value for money and that information provided to residents on service cost and performance is open and transparent.

The Assistant Director’s post will report into the Chief Executive and will bring together a range of currently disparately located functions comprising performance and service improvement, diversity, community engagement, voluntary sector liaison, cohesion, complaints management and Waltham Forest Direct. The latter includes both the WFD shops and the contact centre. The co-location of these functions will ensure that there is an integrated approach to improving standards of service to residents and driving up satisfaction levels.
Performance and Service Improvement Proposals

Performance and Service Improvement (proposed Service Excellence and Efficiency)

Background

In 2008/9 the Head of Performance and Service Improvement was asked by the then Leadership Team to review the Council’s Performance and Service Improvement function. A new centralised model was established in August 2009, which resulted in efficiencies in excess of £1M. In addition to achieving significant savings, the new arrangements were more resilient, flexible and capable of responding to change.

Supporting the organisation in responding to the previous Government’s performance management framework, the Comprehensive Performance Assessment (CAA) formed a key part of the role of the unit. The removal of the CAA provides an opportunity to review the structure both in terms of its cost, structure and purpose.

Proposal

The Performance and Service Improvement Unit (which includes the Corporate Complaints Team) will be reduced by 50%.

Taking account of the 16 posts deleted from the current structure and the transfer of the two Assistant Information (Freedom of Information) posts, the proposed structure will have a total of 15 staff compared to the current establishment of 29. Please Note: It is proposed that two Assistant Information posts currently located within Governance and Law and filled by agency staff are transferred to the Service Excellence and Efficiency Unit.

Within the current structure there are 20 staff in post.

A revised role, purpose and structure will now be developed which focuses on the administration’s key commitments to:
- Put residents first
- Ensure the delivery of good quality and efficient services
- Deliver better value for money services

The repositioning and refocus of the new structure will require a review of all job descriptions and person specifications. Therefore all staff will be affected by these proposals.

New Model

The new unit must be shaped around the three principles identified above. Renamed Service Excellence and Efficiency, the new unit will focus its attention on three key areas:
- Residents Response
- Performance Analysis
- Improvement and Efficiency.

The model provides for “matrix management” of a flexible pool of resources which can respond to changing workloads and priorities in the most cost-effective way.

Residents Response

The Residents Response Team will focus on listening and responding to the issues and concerns of our residents. It is proposed that a Residents Response Information Hub is established which brings together information the Council receives from its residents on a daily basis through various means including service requests, complaints, Members enquiries, Freedom of Information, feedback from satisfaction surveys and other engagement activity. Using a “You said, We Did” approach, the team will ensure an efficient and effective response that meet with corporate standards that will need to be developed in consultation with residents. The outcome of the Complaints Review, which is currently underway, will
inform further the structure of this team, for example the formation of a centrally managed complaints function.

**Performance Analysis**

The Performance Analysis Team will focus on developing an effective framework, which ensures that the Leadership Team has a good understanding of the progress made in delivering priorities. In addition this team will be responsible for overseeing the Council’s response to the remaining government inspection regimes which are likely to continue for Children, Older People and other vulnerable groups.

**Improvement and Efficiency**

It is important that the Council’s priority services are high performing and deliver value for money. The Improvement and Efficiency Team will take the lead on this agenda. Using the intelligence generated from the Residents First and the Performance Analysis teams, areas of under performance, resident dissatisfaction and inefficiencies will be identified. This team will lead on developing and delivering a programme of suitable interventions agreed by Leadership Team (including service review, business process re-engineering, etc.) to deliver better outcomes.

**Service Change**

The scale of the reduction and the refocus of the function will mean that work currently undertaken would have to cease. A key example of this is the dedicated performance support that is currently provided to each of the directorates. This support has been highly valued as demonstrated through the very positive feedback from the directorates during this year’s appraisal process. Reducing this support will present challenges in particular in Children’s and Adults services. Other key areas of work that the team have supported include leading on completing and submitting government statutory returns, proving performance support to the LSP Board and thematic boards and leading on the data quality agenda.

The performance lead for children and young people currently line manages a member of the 14-19 team in children services. The reductions set out in this report would require this arrangement to cease, and line management of this member of staff to transfer back to the 14-19 team.

A key risk is around the government recreating a new performance regime. Although it is unlikely that any future regime would be as resource intensive as the CAA, there is some suggestions of a new stripped down national indicator set being introduced. Managing the council’s response to any new regime would be a challenge with the proposed level of resources.

Ensuring the new function is centrally managed and flexible in its approach will go some way in managing this risk.
**Diversity Proposals**

**Diversity (proposed Equality Unit)**

The proposal is to centralise and refocus diversity and equality activity. A revised purpose, specification and structure will now be developed which will focus on mainstreaming equality work and on the delivery of the Council’s key commitments to:

- Put residents first
- Ensure the delivery of fair services
- Use the Equality Act 2010 to ensure that equality and fairness are at the heart of what the Council does.

The Council will discontinue its work on the Equality Framework for Local Government. The proposal will have an impact on both the number and nature of posts and on and structure of the unit in which they are located. The unit will be renamed as the Equality Unit and number of posts will be reduced from five full time cross-organisation posts to three full time centralised posts.

The proposed centralisation and reconfiguration of the service will require a deletion of all existing posts and the recreation of a new structure and new posts in line with the reduced service specification.

**Business Support Rationale**

In line with the proposed dissolution of the PPP directorate and the proposed restructuring and reductions in the services within that directorate the proposal is to reduce the level of administration and finance support in the Business Support Unit by 50% and to relocate the Unit in the new strategy and communications directorate.

This proposal will require the deletion of two existing administration related posts and the development of one new post which reflects the needs of the Chief Executive’s office and is consistent with the wider strategy and communication directorate in which it will be located. Administration support for the services currently within PPP will need to be met as part of their individual restructures.
'Proposed' Residents First Model
as at 15 July 2010

Assistant Director
Residents First
NP

Customer Services
Manager

Service Excellence
and Efficiency
Manager
NP

Community
Engagement Manager
(incl. Voluntary Sector
& Cohesion) NP

Community
Cohesion
as is

Voluntary Sector
Team
as is

Senior Equality
Officer
NP

Equality Officer
NP

The Chief Executive’s Business
Unit has been moved to the Head
of Strategy and Public Affairs in
Strategy and Communications

NP = New Post
Diversity

As is Diversity Model

As at 14 July 2010
## Proposed Deleted Posts

<table>
<thead>
<tr>
<th>Directorate</th>
<th>Service</th>
<th>Chart View</th>
<th>Post Title</th>
<th>Grade</th>
</tr>
</thead>
<tbody>
<tr>
<td>ASC</td>
<td>Social Care</td>
<td>Tier 1-3 Management Teams</td>
<td>Head of Adult Social Care</td>
<td>CO2</td>
</tr>
<tr>
<td>ASC</td>
<td>Social Care</td>
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<td>Equalities Monitoring Officer</td>
<td>PO4</td>
</tr>
<tr>
<td>ASC</td>
<td>Social Care</td>
<td>Tier 1-3 Management Teams</td>
<td>Head of Personalisation (Grant Funded)</td>
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<tr>
<td>ASC</td>
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<td>Proposed ASC</td>
<td>Mobility Team Leader</td>
<td>PO1</td>
</tr>
<tr>
<td>ASC</td>
<td>Social Care</td>
<td>Proposed ASC</td>
<td>ICES Service Leader</td>
<td>PO1</td>
</tr>
<tr>
<td>ASC</td>
<td>Resources</td>
<td>Tier 1-3 Management Teams</td>
<td>Head of Resources</td>
<td>CO4</td>
</tr>
<tr>
<td>CYPS</td>
<td>Children &amp; Families</td>
<td>CYPS 'As is'</td>
<td>Group Manager First Response and Assessment</td>
<td>PO12</td>
</tr>
<tr>
<td>CYPS</td>
<td>Children &amp; Families</td>
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<td>Group Manager Safeguarding and Intervention</td>
<td>PO12</td>
</tr>
<tr>
<td>CYPS</td>
<td>Children &amp; Families</td>
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<td>Team 1 Manager (Safeguarding and Intervention)</td>
<td>PO8</td>
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<tr>
<td>CYPS</td>
<td>Children &amp; Families</td>
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<td>Principal Manager Child Protection Service</td>
<td>PO9/10</td>
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<td>CYPS</td>
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<td>PLO Co-ordinator</td>
<td>PO8</td>
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<td>Deputy Team Manager (Safeguarding and Intervention)</td>
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<td>Education for Communities</td>
<td>CYPS 'As is'</td>
<td>Group Manager Special Education Needs</td>
<td>SMT</td>
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<tr>
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<td>CYPS 'As is'</td>
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<td>E&amp;R</td>
<td>Community Cohesion and Partnerships</td>
<td>Tier 1-3 Management Teams</td>
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</tr>
<tr>
<td>E&amp;R</td>
<td>Housing</td>
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<td>CO2</td>
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<tr>
<td>E&amp;R</td>
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<tr>
<td>E&amp;R</td>
<td>Greenspace</td>
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<td>Head of Greenspace</td>
<td>CO4</td>
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<tr>
<td>E&amp;R</td>
<td>Public Realm</td>
<td>Tier 1-3 Management Teams</td>
<td>Environment Manager</td>
<td>PO8</td>
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<tr>
<td>E&amp;R</td>
<td>Development</td>
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<td>Building Regulation Manager</td>
<td>PO6</td>
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<tr>
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<td>Development</td>
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<td>Head of Development Management</td>
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</tr>
<tr>
<td>E&amp;R</td>
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<tr>
<td>E&amp;R</td>
<td>Safe and Strong Communities</td>
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<td>Head of Community Engagement</td>
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<tr>
<td>Finance</td>
<td>Resources</td>
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<td>Assistant Director Resources</td>
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### Proposed Affected Posts

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<td>Service</td>
<td>Chart View</td>
<td>Post Title</td>
<td>Indicative Grade where known, subject to evaluation</td>
</tr>
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<tr>
<td>ASC</td>
<td>Social Care</td>
<td>Tier 1-3 Management Teams</td>
<td>Head of Strategic Commissioning</td>
<td></td>
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<tr>
<td>ASC</td>
<td>Social Care</td>
<td>Tier 1-3 Management Teams</td>
<td>Project Manager Personalisation</td>
<td>PO10</td>
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<tr>
<td>ASC</td>
<td>Social Care</td>
<td>ASC 'To be'</td>
<td>Team Manager ICES, Mobility Team</td>
<td>PO2</td>
</tr>
<tr>
<td>ASC</td>
<td>Social Care</td>
<td>ASC 'To be'</td>
<td>Projects Manager (Fixed term for 2 years)</td>
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<tr>
<td>CYPS</td>
<td>Children &amp; Families</td>
<td>CYPS 'To be'</td>
<td>Group Manager - Child in Need Services</td>
<td>PO12</td>
</tr>
<tr>
<td>CYPS</td>
<td>Children &amp; Families</td>
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<td>Principal Officer - Child in Need Services</td>
<td>PO9</td>
</tr>
<tr>
<td>CYPS</td>
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<td>PO9</td>
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<tr>
<td>CYPS</td>
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<td>Senior Practitioner - Child in Need Services</td>
<td>PO4</td>
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<tr>
<td>CYPS</td>
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<td>Senior Practitioner - Child in Need Services</td>
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<td>CYPS</td>
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<td>Team Administrator</td>
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<td>Education for Communities</td>
<td>CYPS 'To be'</td>
<td>Group Manager SEN and Education Support Services</td>
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</tr>
<tr>
<td>CYPS Education for Communities</td>
<td>CYPS 'To be'</td>
<td>Group Manager Children and Youth Support Services</td>
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<td>CYPS</td>
<td>N/A</td>
<td>Principal Officer - Youth Support PO10</td>
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<td>Head of Development Management and Building Control PO12</td>
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<tr>
<td>E&amp;R Greenspace</td>
<td>Tier 1-3 Management Teams</td>
<td>Head of Greenspace and Environment PO12</td>
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<tr>
<td>Finance Deputy Director</td>
<td>Finance 'To be'</td>
<td>Deputy Director of Finance CO2</td>
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<tr>
<td>Finance Resources</td>
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<td>Assistant Director Finance ASC/CYPS CO3</td>
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<tr>
<td>Finance Resources</td>
<td>Finance 'To be'</td>
<td>Assistant Director Finance E&amp;R and Central CO3</td>
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<tr>
<td>Finance Resources</td>
<td>Finance 'To be'</td>
<td>Senior Finance Manager x 2 (ASC and CYPS) PO10</td>
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<tr>
<td>Finance Resources</td>
<td>Finance 'To be'</td>
<td>Senior Finance Manager x 3 (E&amp;R, Housing &amp; Central Services) PO10</td>
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<td>Finance Financial Planning</td>
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<td>AD Financial Planning CO2</td>
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<td>Senior Finance Manager Transformation PO10</td>
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<tr>
<td>Finance Financial Planning</td>
<td>Finance 'To be'</td>
<td>Head of Financial Planning and Technical Accountancy PO12</td>
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<tr>
<td>Finance Financial Planning</td>
<td>Finance 'To be'</td>
<td>Senior Finance Manager (reporting to Head of Financial Planning and Technical Accountancy) PO10</td>
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<tr>
<td>Finance Deputy Director</td>
<td>Finance 'To be'</td>
<td>Treasury and Pensions Manager PO10</td>
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<tr>
<td>Residents First</td>
<td>Residents First</td>
<td>Community Engagement Manager (incl. Voluntary Sector &amp; Cohesion) PO9</td>
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<tr>
<td>Residents First</td>
<td>Residents First</td>
<td>Assistant Director Residents First - additional cost of upgrade from PO9 to CO4 as Director will be recruited from service pool. CO4</td>
<td></td>
<td></td>
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<tr>
<td>Residents First</td>
<td>Equalities Unit</td>
<td>Equalities Manager PO9</td>
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<td></td>
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<tr>
<td>Residents First</td>
<td>Equalities Unit</td>
<td>Senior Equality Officer PO5</td>
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<tr>
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<td>Equality Officer PO1</td>
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<td>Service Excellence and Efficiency</td>
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<td>Service Excellence and Efficiency Support Officer</td>
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<td>PO1/2</td>
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<td>Service Excellence and Efficiency Support Officer</td>
<td>PO1/2</td>
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<td>Proposed Service Excellence and Efficiency Model</td>
<td>Learning from Complaints Manager</td>
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<td>Residents First</td>
<td>Service Excellence and Efficiency</td>
<td>Proposed Service Excellence and Efficiency Model</td>
<td>Learning from Complaints Officer</td>
<td>PO1</td>
</tr>
<tr>
<td>Residents First</td>
<td>Service Excellence and Efficiency</td>
<td>Proposed Service Excellence and Efficiency Model</td>
<td>Learning from Complaints Officer</td>
<td>PO1</td>
</tr>
<tr>
<td>Strategy &amp; Comms</td>
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<td>Strategy &amp; Comms 'To be'</td>
<td>Assistant Director of Strategy &amp; Comms</td>
<td>CO4</td>
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<td>Strategy &amp; Comms</td>
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<td>Strategy &amp; Comms 'To be'</td>
<td>Staff Comms Officer</td>
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<tr>
<td>Strategy &amp; Comms</td>
<td>Communications</td>
<td>Strategy &amp; Comms 'To be'</td>
<td>Advertising and Comms Assistant</td>
<td>SO2</td>
</tr>
<tr>
<td>Strategy &amp; Comms</td>
<td>Communications</td>
<td>Strategy &amp; Comms 'To be'</td>
<td>Residents Comms Manager</td>
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<tr>
<td>Strategy &amp; Comms</td>
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<tr>
<td>Strategy &amp; Comms</td>
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<td>Residents Comms Assistant</td>
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<td>Strategy &amp; Comms 'To be'</td>
<td>Residents Comms Assistant</td>
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<td>Communications</td>
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<td>Senior Policy Officer</td>
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<td>Strategy &amp; Comms</td>
<td>Communications</td>
<td>Strategy &amp; Comms 'To be'</td>
<td>Policy Officer</td>
<td>PO6</td>
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<tr>
<td>Strategy &amp; Comms</td>
<td>Communications</td>
<td>Strategy &amp; Comms 'To be'</td>
<td>Policy Officer</td>
<td>PO3</td>
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<tr>
<td>Strategy &amp; Comms</td>
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<td>Policy Officer</td>
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<tr>
<td>Strategy &amp; Comms</td>
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<td>Senior Research and Intelligence Officer</td>
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<tr>
<td>Strategy &amp; Comms</td>
<td>Communications</td>
<td>Strategy &amp; Comms ‘To be’</td>
<td>Media Comms Officers</td>
<td>PO3</td>
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<tr>
<td>Strategy &amp; Comms</td>
<td>Communications</td>
<td>Strategy &amp; Comms ‘To be’</td>
<td>Media Comms Officers</td>
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<td>Strategy &amp; Comms ‘To be’</td>
<td>Media Comms Officers (incl. WFN)</td>
<td>PO3</td>
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<td>Strategy &amp; Comms</td>
<td>Chief Exec's Office</td>
<td>Strategy &amp; Comms ‘To be’</td>
<td>Administrative Officer</td>
<td>Scale 6</td>
</tr>
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</table>
HOW SHOULD MEMBERS OF STAFF RAISE FORMAL QUERIES, PROVIDE FORMAL RESPONSES OR COMMENTS ON THE PROPOSALS OR MAKE A FORMAL ALTERNATIVE PROPOSAL?

The consultation period with the trade unions lasts for a minimum of 30 days, subject to any extension of that period. Therefore the earliest end date for consultation is the 16 August 2010.

Members of staff are encouraged to continue to raise queries, provide responses or comments on the proposals or make an alternative proposal at the earliest opportunity.

To raise a query, provide a response to the proposals or make an alternative proposal, members of staff should complete the consultation template already sent to them and also available from ForestNet http://forestnet.lbwf.gov.uk/reorganisation.

Members of staff should return the consultation template to:
councilreorganisation@walthamforest.gov.uk

**Important:** If a member of staff wants the Council to log their comments and formally acknowledge and respond, the member of staff must submit their comment, query, formal response or alternative proposal using the formal consultation template.

Members of staff may of course alternatively channel their queries, formal responses or alternative proposals through their trade unions representatives.

All queries will be responded to via email to the individual raising the question.

Alternative proposals relating to the proposed structures and efficiencies will be forwarded to the directorates for consideration during the consultation period. These will also be shared with the Trade Unions. Formal responses to any such proposals will be responded to after full consideration has been given to them by the Directorates. This will not be until the consultation period has concluded.
Appendix B

Alternative Staff Proposals and Management Responses

(For ease of reference, those proposals highlighted in grey have been accepted or partially accepted)
<table>
<thead>
<tr>
<th>DIRECTORATE: Children and Young People Services</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>CR27.2 - Halls</strong></td>
</tr>
<tr>
<td>Halls should be part of Property Services as halls are staffed whether they are let or not. There are two porters attached to halls at any one time and four porters to the Town Hall site. When the hall is not let there is an opportunity, if part of PS, to not staff unless let and thereby not incurring any costs.</td>
</tr>
<tr>
<td><strong>Management Response</strong></td>
</tr>
<tr>
<td><strong>REJECTED</strong></td>
</tr>
<tr>
<td>The halls are not staffed at all times whether they are let or not. The Halls Service has been subject to staff reductions and to vacancies held. The substantial focus of staff time is for peak use Fridays to Saturdays involving staff shifts patterns covering up to 19 hrs per day. Remaining staff time is focused on covering midweek hires at Walthamstow Assembly Hall (WAH), additional hires Chingford Assembly Hall (CAH) and with cleaning and maintenance duties. Both WAH and CAH are unstaffed where there is not a hire and cleaning tasks are not scheduled. There is presently a staff shortage to the Assembly Halls. Whilst recruitment is intended this will be informed by the level of business demand and staffing will be maintained a the minimum requirement with the use of casuals to provide cover as needed. As part of the wider review of council spend consideration is being given to the inclusion of the two Assembly Halls as part of the Leisure Centres Contract (currently with Greenwich Leisure).</td>
</tr>
<tr>
<td>CR30 - Resources</td>
</tr>
<tr>
<td>------------------</td>
</tr>
<tr>
<td>If the Principle Officer is not to be on duty then we would really benefit from a manager be it deputy or team manager on duty 24/7 as it is now as this is something that this working very well, provides a sense of consistency for referrers and for duty as it roles over from week to week. It also irons out any differences around thresholds. After a rocky period, duty is functioning very effectively and it is of concern that this could be lost. That further staff are allocated to the teams or that a further team is created to ensure staff are on duty less often. All staff at FRT do not see how the service can run as suggested in the restructure proposal. It is of concerns that a back log will quickly ensue and that vulnerable children will not be safeguarded.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>CR033 - Resources</th>
<th>REJECTED</th>
</tr>
</thead>
<tbody>
<tr>
<td>I believe all the staff at FRT feel that holding cases until point of Initial Child Protection Conference is a positive move, however we feel that without the additional staff this is not achievable. Therefore, if Sec47’s are to come back to FRT, logic tells me that another team needs to be introduced to ensure the safety of children and staff. FRT has some very hard working and enthusiastic workers, if this proposal goes ahead without additional resources and/or staff, FRT will be left with agency staff who come and go. I leave it to you to evaluate the risks this poses to LBWF and the children we aim to protect</td>
<td>The group manager for the service will be responsible for the whole of the service and will ensure that the resources available are deployed in the most effective fashion, ensuring that the whole service is able to respond to demands and that the service user’s experience is a consistent one.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>CR042 - CSI Support</th>
<th>ACCEPTED</th>
</tr>
</thead>
<tbody>
<tr>
<td>We only have two administrators at present in FRT. We are extremely stretched with a volume of minutes we have to take amongst other duties. At present, if we need to take any absences that is annual leave, sickness, attending training the workload repercussions on the remaining administrators is tremendous.</td>
<td>The Council has reconsidered the deletion of the admin post in order to relieve some of the pressure on admin staff and support the minuting of strategy meetings in the service.</td>
</tr>
<tr>
<td>CR058 - Principal Manager</td>
<td>REJECTED</td>
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<td>--------------------------</td>
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</tr>
<tr>
<td>The post of Principal Manager is a promotion opportunity and should be available for all operational managers at same grade as PLO Coordinator to apply, or ring fenced to CSI/FRT Team Managers who are same grade as PLO Coordinator post.</td>
<td>The first step is to consider anyone at risk of redundancy. If the post is still vacant then it would be advertised, even if internally throughout the Council.</td>
</tr>
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</table>

<table>
<thead>
<tr>
<th>CR067 - Youth Support Service</th>
<th>PARTIALLY ACCEPTED</th>
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<tbody>
<tr>
<td>The reasoning within the consultation document explains very clearly savings in a transformation programme of £30m over 3 years. I feel it needs to also take into consideration the full impact on the community it provides to and the long-term effects of quick and easy savings plan. As the current group manager post for Youth Support Service is vacant it has had an acting role for the last 19 months. The service has undergone a full review and has made large savings not by cutting the service it provides but working in more efficient ways. Although this post would not incur redundancy, the creation of a lower graded post, line managed by a group manager not directly linked to Youth would indeed make little savings at all. The Local Authority need to have a Youth Support Service that can work closely with the third sector as a partner to cover the targets and needs of young people. Potential funding (for example ‘the Youth In Focus’ Big Lottery Fund) which can be sort after by this type of partnership work and will encourage a strong third sector in Waltham Forest, increase provision that is not directly managed by Local Authority. This is a positive way of making real savings in the future. This type of partnership will help to develop an equal status between the two and with the continued development of the Youth Alliance encourage a stronger and trusted relationship for all, delivering joined provision for young people having best value and maximum efficiency. A further example of the role of the Youth Support Service is around the work on ‘Gang intervention’ and the ‘Youth Buses’, as written in the Children</td>
<td>The Council has carefully considered the rationale put forward in the alternative proposal. The case is clearly argued and important considerations are raised. The proposal to reinstate the group manager post for youth is accepted, for the following reasons:</td>
</tr>
<tr>
<td></td>
<td>• The case to retain a third tier group manager to work strategically with the third sector;</td>
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<td></td>
<td>• The need to take the long view in relation to building a youth offer by developing a volunteering strategy, and managing the opportunities and risks associated with this;</td>
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<td></td>
<td>• Commensurability with other third tier posts;</td>
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<td></td>
<td>• The case for a third tier manager to lead significant service transformation;</td>
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<td></td>
<td>• The case to retain strategic expertise and the role of the expert client in relation to commissioning youth activities; and</td>
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<td>• The original proposal does not achieve significant efficiency savings.</td>
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<td></td>
<td>Additionally, since the publication of the consultation, the Council has had its unannounced inspection and as part of the action plan to address the areas for development, the Council will consult with the group manager for extended services to refocus the service on early intervention and prevention, embedding CAF and a triage model for vulnerable children.</td>
</tr>
</tbody>
</table>
and young Peoples Plan “we are planning to create a special team of people to help prevent gangs and make children and young people feel safe”: The Youth Support Service is part of that team working closely with the Safer neighbour hood team, police, local community including faith groups, delivering in areas which have been deemed no-go areas, encouraging the community to get involved, train as volunteers and support the running sessions for all age ranges and to re-engage young people to be part of the community. Our work at Higham Hill Hut and Cann Hall Park are developing this way of working and have had excellent results and feedback from young people, community and local councillors.

The saving that can be made by this type of work can only be measured but how much we will not need to spend if Youth Crime decreases in these areas and how much if it escalates, for each fatal stabbing that occurs the cost to the local authority is around 1.6 million.

However, concentrating on real savings that can be made across the whole of the service without disrupting delivery of provision is a challenge, not impossibility. Areas of provision can be joined from matching services and aligning them to the new way of thinking and working, for example, extended school provision, a one team approach could hold a saving of 4 full-time salaries, merging of the teenage pregnancy team and substance misuse team to a single post holder would also make savings. The delivery of programmes such as the Duke of Edinburgh through our business plan of services buying in the service and if the need is now lost through school budget cuts a reduction in the staffing level required would also be deemed as a saving.

Further development around early intervention and prevention work and targeting wider numbers of groups for example children in care would give the local authority long-term savings. Long-term plans for the final reduction of buildings for Youth Support Service could be a major savings to the outgoings of the service however, with the 2012 Olympics and the position of
Leyton Sports ground (Leyton Youth Centre) this could be a jewel in the local Authority crown, for some investment for us a major investment from outside. A form of good income could be achieved to enhance the potential of the move on to an independent after 2012.

The current role for the Group manager and the new role for the principle manager will be similar as many of the tasks required will need to continue as part of the Local Authorities duties. By down grading this post it is left vulnerable and at a disadvantage with other group managers that it will need to be working with at the same level, it has a clear lead role in the development of the Youth Alliance a clear partnership role with the third sector providers to build confidence and making savings while having a good service provided. A volunteering strategy which will be one of the biggest challenges to continue to support the work with the third sector and the community which we have vast experience of. We must consider the continued development of the professional lead for commissioning and the youth capital strategy also. Within both of these roles further savings can be made were at present we have two areas of worker the monitoring and quality assurance for all the provision would go through the professional lead.

All of these elements link into the strategic changes towards a Targeted Youth support service will need to be delivered in a clear and cohesive manner. As it will involve a culture change of the service and a new understanding of how it works these needs to be delivered in the key area’s which are young people, local community, local authority and local councillors.
<table>
<thead>
<tr>
<th>CR003 - Strategic Projects and Commercial Manager</th>
<th>Management Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>My post, Strategic Projects and Commercial Manager (also referred to in the consultation document as &quot;Commercial Manager&quot;), should remain in Environment and Regeneration and should not be transferred to the Finance Department. In the Finance Proposals section of the consultation document it is proposed that three posts are transferred from &quot;Asset Management and Property Services&quot; to the Finance Department. One of these posts, described as &quot;Commercial Manager&quot;, I understand to be my post, Strategic Projects and Commercial Manager. This post was formerly part of the School Organisation and Partnership Development team in Children and Young People, which was transferred from Children and Young People to Environment and Regeneration on 20 July 2010 (i.e. just last week). I understand that the post will be part of a Major Projects team in Environment and Regeneration. I think that the post of Strategic Projects and Commercial Manager should remain in the Major Projects team in Environment and Regeneration because it is not primarily finance-related, but is concerned with the planning and procurement of major programmes and projects and the skills required include procurement, commercial and legal, as well as financial, skills. I believe that the inclusion of the proposal in the consultation document was a mistake, based on the assumption that the post was primarily finance-related. This was an error.</td>
<td>ACCEPTED</td>
</tr>
</tbody>
</table>

The post of Strategic Projects and Commercial Manager should remain in the Major Projects team in Environment and Regeneration because it is not primarily finance-related, but is concerned with the planning and procurement of major programmes and projects and the skills required include procurement, commercial and legal, as well as financial, skills. The inclusion of the proposal in the consultation document was a mistake, based on the assumption that the post was primarily finance-related. This was an error. Provided there is a role for me in the Major Projects team, I have no wish to move to the Finance Department at the present time.
<table>
<thead>
<tr>
<th>CR022 - PA Posts</th>
<th>REJECTED</th>
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<tbody>
<tr>
<td>If the PA posts are deleted, there should be a support officer in the teams.</td>
<td>The roles of PAs supporting Chief Officers whose posts are being proposed for deletion are not part of the phase 2 consultation. They will be looked at Phase 3.</td>
</tr>
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<thead>
<tr>
<th>CR024 - Head of 2012</th>
<th>REJECTED</th>
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<tbody>
<tr>
<td>The suggested alternative is that:</td>
<td>This suggestion was previously raised by yourself with the Acting Executive Director Environment and Regeneration and a response was sent to you by email dated 24th June 2010. The Acting Executive Director E&amp;R has given further consideration to your request, but the position remains unchanged. If you require a further copy of the email dated 24th June 2010 please contact Rose Parnell, HR Business Partner, by email or telephone 020 8496 6821.</td>
</tr>
<tr>
<td>• The current Head of 2012 is considered for/offered the opportunity to act into the vacant position of Director of Development given the current post holder’s experience and background at a senior level in physical, social, economic, environmental and health regeneration and across all sectors; public, private and voluntary</td>
<td></td>
</tr>
<tr>
<td>• The role of Head of 2012 is held vacant pending further organisational reviews, and considered at the same time as the rest of the 2012 Team under Phase 3 of the reorganisation.</td>
<td></td>
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<tr>
<td>The rationale for this suggestion is that:</td>
<td></td>
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<tr>
<td>This provides a benefit to both the employer and employee in accordance with the Borough’s recent advisory bulletin on the policy and procedures for Acting Up and Honorarium Arrangements (circulated and made operative 12 July 2010).</td>
<td></td>
</tr>
<tr>
<td>The arrangement would ensure the work of the Development Division can be developed and delivered effectively within the changing demands of a new political and economic climate. The 2012 Team would have a clear line of management within the Development Division that is experienced and skilled across the spectrum of planned 2012 work.</td>
<td></td>
</tr>
<tr>
<td>As the only significantly affected post in the Development Division management team in the proposal, this alternate proposal would afford a more equitable opportunity for the current post-holder to compete for posts in the context of future phases of divisional and departmental restructures.</td>
<td></td>
</tr>
<tr>
<td>CR038 - Web Officer</td>
<td>NOTED</td>
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</tr>
<tr>
<td>The web officer function remains in Environment and Regeneration.</td>
<td>Discussions are still to be held with directorate ICT teams to review all the functions for which they are responsible and to define the optimum organisational structure for ICT across the Council. These will form part of the proposals for Phase 3.</td>
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<table>
<thead>
<tr>
<th>CR048 - Reducing Staff Hours</th>
<th>REJECTED</th>
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<tbody>
<tr>
<td>That the Council gives thought to reducing staff hours as an alternative to cutting posts. From reading the consultation document, this does not appear to have been considered in this current phase. Such arrangements have worked well in the private sector and could be transferrable to local government.</td>
<td>This view has been put forward by a number of colleagues informally. It is not part of the current proposals but further thought will be given and discussed with the trade unions in the future. However the issues are that this is difficult to achieve in front line services as the Council seeks to protect these areas to ensure residents continue to receive services. Therefore this is not easy to undertaken equally across the Council.</td>
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<table>
<thead>
<tr>
<th>CR049 - Five Host Boroughs’ Unit</th>
<th>REJECTED</th>
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<tbody>
<tr>
<td>The Council currently pays a substantial sum towards the Five Host Borough Unit’s operation. I personally feel that Waltham Forest (or even any other borough for that matter) reaps little benefits from the work of the Unit, and it should be considered that this funding not be contributed in future and used for staff salaries or operational budgets for those who work in a 2012 capacity in LBWF.</td>
<td>However, your suggestions and comments are noted and, for information, the Council is proposing to review the Five Host Borough Unit.</td>
</tr>
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<table>
<thead>
<tr>
<th>CR051 - Five Host Boroughs’ Unit</th>
<th>REJECTED</th>
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<tbody>
<tr>
<td>Assess financial contribution into the Five Host Borough Unit, as savings could be made and jobs saved.</td>
<td>However, your suggestions and comments are noted and, for information, the Council is proposing to review the Five Host Borough Unit.</td>
</tr>
<tr>
<td>CR052 - Part-time Working</td>
<td>REJECTED</td>
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<td>--------------------------</td>
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</tr>
<tr>
<td>Consider part-time working arrangements for staff, rather than just cutting posts.</td>
<td>This view has been put forward by a number of colleagues informally. It is not part of the current proposals but further thought will be given and discussed with the trade unions in the future. However the issues are that this is difficult to achieve in front line services as the Council seeks to protect these areas to ensure residents continue to receive services. Therefore this is not easy to undertaken equally across the Council.</td>
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<table>
<thead>
<tr>
<th>CR054 - Reduced Working Hours</th>
<th>REJECTED</th>
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</thead>
<tbody>
<tr>
<td>That reduced working times be considered as an alternative to post deletions.</td>
<td>This view has been put forward by a number of colleagues informally. It is not part of the current proposals but further thought will be given and discussed with the trade unions in the future. However the issues are that this is difficult to achieve in front line services as the Council seeks to protect these areas to ensure residents continue to receive services. Therefore this is not easy to undertaken equally across the Council.</td>
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<table>
<thead>
<tr>
<th>CR056 - Higher Management</th>
<th>ACCEPTED</th>
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<tbody>
<tr>
<td>To look at the posts of higher management, rather than keep culling the staff who are the wheels of LBWF.</td>
<td>Thank you for your comment. It is noted.</td>
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<table>
<thead>
<tr>
<th>CR066 - Five Host Boroughs' Unit</th>
<th>REJECTED</th>
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<tbody>
<tr>
<td>The 5 host borough unit has shown very little return on the council’s investment in it. I would suggest that we cease to contribute to this unit and put the money towards salaries ‘inhouse’ where staff are more in tune with local resident needs and can work towards meeting these needs. I would also suggest staff being given the option to work reduced hours and pay freezes in the next financial year before the option to cut salaries is considered.</td>
<td>However, your suggestions and comments are noted and, for information, the Council is proposing to review the Five Host Borough Unit.</td>
</tr>
<tr>
<td>CR007 - Role Titles</td>
<td>Management Response</td>
</tr>
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<tr>
<td>Finance restructure; Heads of Finance and strategic management accountants become Senior Finance manager CYPS and Adults etc. If the roles continue to undertake similar work as heads of finance and strategic management accountants the suggested new title of Senior Finance Managers is too generic. As head of finance the post is responsible for financial procedures and monitoring. When dealing with communications out managers auditors and schools the current title of head of finance is explicit as to what responsibilities come with the role. I would suggest either keeping the head of finance title or changing it to the Head of accountancy and finance - Children services.</td>
<td>PARTIALLY ACCEPTED</td>
</tr>
<tr>
<td>Whilst the job description will be the same, the 5 posts reporting to the out-posted assistant directors will be titled Head of Accountancy and Finance. The 2 central posts will remain as Senior Finance Managers.</td>
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<tr>
<th>CR012 - Customer Services</th>
<th>Management Response</th>
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<tbody>
<tr>
<td>The alternative proposal is to move the line management of Unit Head of Revenues and Unit Head of Benefits and Unit Head of Support Services from the Deputy Director Finance and the Finance Department so that they report into the Assistant Director Residents First. This approach would deliver the same reductions in posts as the current proposals and would keep the large groups of customer-facing services together in one department and one line management. It would also maximise the future opportunities for savings and service improvements. This change would also ameliorate the risks around the role of deputy director of finance identified in the Proposals for Consultation report.</td>
<td>REJECTED</td>
</tr>
<tr>
<td>The formal consultation document on the Council’s proposals clearly sets out the rationale for the creation of the Residents First service, which is aligned with the Council’s agreed priorities to focus on and transform customer services. The first step in delivering these aspirations is to establish the Residents First core service, i.e. management and customer contact staff. This will be followed by the new Assistant Director and their team determining the relationship with, and deployment of, service delivery operations in relation to customer contact arrangements. These considerations will include the concept of the customer services agents acting as advocates for the customer and commissioner of services for them. Given the above, it would be premature to assume the transfer of any specific services, including Revenues and Benefits, to Residents First.</td>
<td></td>
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</tbody>
</table>
**CR016 - Finance**

1. Don’t have a deputy DDOF, replace DDoF with another ADOF
2. Under the new ADOF have a Head of Exchequer Services, Head of Revenues, Head of Benefits only.
3. Move Corporate Finance, Treasury and Pensions under ADOF financial planning
4. Make the ADOF (financial planning) the deputy S151 officer
5. No other changes.

**REJECTED**

The deputy director will have a wider remit across the council’s finances and will be the clear deputy to the section 151 officer. Financial planning needs a clear focus given the current financial situation faced by all public authorities and we don’t wish to dilute this function. The alternative suggestion here would result in an imbalance of responsibilities.

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**CR026 - Finance Roles**

The Chief Accountant’s workload is currently exceeding what can be done in a normal working week. Overloading the current employee further with all exchequer functions for the Council is ridiculous. It also puts at risk the ‘clean bill of health’ we routinely achieve on our closure of accounts. Additionally the Corporate Finance section and the Financial Planning sections work hand in hand and only achieve results by ‘sharing’ of staff at peak times. Their work is closely interlinked and therefore I suggest that the Chief Accountant and Corporate Finance come under the AD for Financial Planning. This will provide a better ‘balance’ of work between the Deputy and the AD.

I also think that to include Revenues and Benefits in with Treasury and Pensions is unwise. Historically Revenues and Benefits has had problems and had to have additional funding to cope with backlogs. Over recent years, there have been no such problems and the government grant has over achieved against budget. Why change a structure that currently works in this area? In the current economic climate, there is likely to be increasing demands on this service and it needs to be strengthened, not depleted. There should be a separate Head of Revenues and Benefits who could also have responsibility for Exchequer services across the borough.

The Deputy Director will need to concentrate on Treasury and Pensions which will occupy around 40% of his/her time (and have a similar % charged to the pension fund). With so many

**REJECTED**

Once these functions have been centralised, it will lead to a review of how to best operate them.

In terms of the Deputy Director, it is intended that the person appointed has a broad experience to give strategic direction across a range of subjects. They do not need to be an expert in every subject area. On reflection, the percentage of time spent on treasury and pensions will be decided upon once operational.
Pension fund managers, this area needs a high level of management and expertise. This, along with exchequer functions (if it remains under that post), would leave no time for the management of Revenues and Benefits, which requires detailed knowledge of the service. It is unlikely that a candidate will be found who has the necessary experience in Treasury and Pensions as well as Revenues and Benefits.
## CR014 - Pool of Resources

Make the 6x FTE in the ‘pool of resources’ PO3 posts thereby opening them up to those in PO4 or PO2 posts. By setting up a pool of resources then it is implied that each person within would be performing similar roles and be able to work on similar projects, so why not be at similar grades? This would also create fairer competition for limited posts in a ring-fence situation. If there are to be posts within this team on different grades then there should be clarity in the JDs about seniority between officers and in particular the types of projects that they will work on.

<table>
<thead>
<tr>
<th>Alternative Proposal</th>
<th>Management Response</th>
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<tbody>
<tr>
<td><strong>REJECTED</strong></td>
<td>The grades of the posts reflect the qualifications, experience and special abilities of staff required to deliver the key objectives of the proposed new structure. Following the drafting of the JDs and person specifications, a grade for each post has been suggested based on these criteria. Confirmation of this grading will be made at job evaluation panels that will be set up following the consultation period. Separate JDs and person specifications have been drafted for the PO4 and PO2 posts setting out the key roles and responsibilities.</td>
</tr>
</tbody>
</table>
**CR15 - Corporate Complaints**

Following from the above concerns, the Corporate Complaints Team would like to put forward the following suggestion in relation to the proposed structure.

a) The two posts of “Assistant Information Officer” should be changed to two posts of “Complaints and Freedom of Information Support Officers”. Thus, these two officers would be able to share the administrative functions for complaints (to include all the duties listed above), plus the administration of customer requests under the Freedom of Information legislation.

b) Our understanding is that the current role of the Assistant Information Officers includes the drafting of responses on behalf of the service area. With the above proposal, the current functions of the Assistant Information Officers would need to be reviewed, so that the role would be one of support to Service Areas, whereby the Head of Service/Manager would have responsibility for the issue of responses to customers, while the support officers would be mainly responsible for logging and distributing requests, ensuring that responses are sent out within the set timescales and gathering statistical information as necessary.

c) Under this proposal, the team would be able to continue to provide support to the Stage 1 complaints process, which includes responding to customer enquiries about the progress of Stage 1 investigations.

d) Similarly, by taking on the complaints support function, the support officers would free up more time for the “Learning from Complaints Officers” to concentrate on carrying out Stage 2 investigations, identifying learning points from complaints, making suggestions for service improvement and dealing with complaints from the LGO.

In addition, it would allow the team to continue to achieve

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**PARTIALLY ACCEPTED**

A key priority for the new Residents First directorate will be to review our processes (including our administrative processes) to ensure that they add value to the customer’s experience. The role of the newly created post of Information Officer will be to support the development of a streamlined process of receiving and responding to information received by the Council by residents and customers and ensuring that an accurate and timely response is provided that comply with corporate standards.
consistent and timely response times to customer complaints, as the current team has been doing over the last three financial years.

<table>
<thead>
<tr>
<th>CR027.1 - Freedom of Information (FOI)</th>
<th>REJECTED</th>
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<tbody>
<tr>
<td>Freedom of Information should be in Strategy and Communications as many FOI requests are either generated by staff, ex-staff or the trade unions and many of these result in sensationalised articles in the press. There may be an opportunity to pre-empt bad press if located in Communications.</td>
<td>REJECTED</td>
</tr>
<tr>
<td>The role of the newly created post of Information Officer within the Residents Focus Team will be responsible for overseeing arrangements for receiving, recording, allocating and sending out responses to requests for information including Freedom of Information requests. Responsibility for drafting the response and ensuring it complies with all relevant legislation and corporate standards will lie with the relevant Head of Service. A Service Level Agreement setting out the key roles and responsibilities will be developed.</td>
<td>PARTIALLY ACCEPTED</td>
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<tr>
<th>CR040 - Community Cohesion</th>
<th>PARTIALLY ACCEPTED</th>
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<tr>
<td>The lead responsibility for community cohesion should lie with the equalities unit. A duty to foster good relations between different groups is part of the Equality Act 2010 and the new unit has responsibility for ensuring compliance with this piece of legislation. The actual delivery of cohesion activity would take place across the organisation as a mainstream activity with additional activity being delivered in the third sector via the community engagement team.</td>
<td>PARTIALLY ACCEPTED</td>
</tr>
<tr>
<td>The Council agrees that the legal responsibility rests with the Equalities team. The delivery responsibility, however, will remain with the Community Engagement team.</td>
<td>PARTIALLY ACCEPTED</td>
</tr>
<tr>
<td>CR061 - AD Residents First</td>
<td>ACCEPTED</td>
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<tr>
<td>---------------------------</td>
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</tr>
<tr>
<td>Assistant Director, Residents First JD</td>
<td>The Job Description (JD) will be changed to reflect the proposal.</td>
</tr>
<tr>
<td>I would like to make the following suggestions:</td>
<td></td>
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<tr>
<td>1. The Job Purpose should make reference to developing a customer focused culture across the organisation</td>
<td></td>
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<tr>
<td>2. Paragraph 4 seems to be inappropriate for a JD as it is time sensitive task and would probably be more appropriate within a work programme. The wording also suggests that there is a need for greater local participation. This is ambiguous and isn’t necessarily compatible with ensuring high quality engagement. I would suggest that this should be changed to read: Deliver community engagement mechanisms that ensure residents views can inform service development and delivery and enable involvement and participation in decision making.</td>
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<tr>
<th>CR069 - Transformation and Service Improvement</th>
<th>REJECTED</th>
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<tbody>
<tr>
<td>The work of the service excellence and efficiency team could be integrated with that of the Transformation Team to create a joint unit that oversees the transformation programme and service improvement work. The Performance Leads have already been trained in transformation techniques and are already supporting the One Contact programme through business analysis work. Contract management monitoring could form part of the work of the service excellence and efficiency team to provide evidence that contracted services provide value for money and fits within the aim of the Residents’ First directorate to provide a high quality and consistent interface with the public</td>
<td></td>
</tr>
<tr>
<td>There are proposals to mainstream the programme of work currently undertaken by the Transformation Team. Service Improvement interventions, including Business Process Reengineering (BPR), will be delivered by the Service Excellence and Efficiency Unit. Contract Monitoring Contract monitoring teams are currently located within service areas. These areas have not been included in this stage of the Council’s restructure but will be looked at as part of future phases. Suggestions for alternative ways of proving these services can be made can be made at this time.</td>
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<tr>
<th>CR070 - Additional Post</th>
<th>REJECTED</th>
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<tr>
<td>I would like to put forward an “invest to save” proposal. Having developed the draft proposals for the new Service Excellence and Efficiency structure, I believe that the additional post focussing on Service Reviews and Business Process</td>
<td></td>
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<tr>
<td>However, this is an excellent suggestion, which should be put forward under the existing Invest to Save process within the Council.</td>
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</table>
Engineering (BPR) will strengthen the Council's ability to deliver both current and future efficiency targets. Since completing programme of transformation training, members of my team have been in demand to undertake BPR exercises both as part of a service review and in supporting the One Contact Project. Through applying the BPR approach, significant efficiencies have been identified in the way in which the Council manages its complaints function that will lead to an improved offer for customers in the future and a reduction in costs. The support the team is providing to the One Contact Project is also supporting a number of quick wins and the longer terms improvements required at first contact. With a 50% reduction in the Performance and Service Improvement Team the level of resources allocated to this area of work will be reduced. The proposed structure includes a Service Improvement and Efficiency Team that will support this work going forward and I am confident that the work of this group will support the delivery of service improvement and efficiencies in the future. I believe however that investing in an additional officer dedicated to BPR would deliver significant further savings. I am therefore proposing that an additional post is created (BPR Lead Officer) and appointed on a 2 year fixed term contract. Working with services and reporting to the Head of Service Excellence and Efficiency the post would be required to deliver efficiency savings (target to be agreed) over a 2 year period.
<table>
<thead>
<tr>
<th>DIRECTORATE: Strategy and Communications</th>
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<tbody>
<tr>
<td><strong>Alternative Proposal</strong></td>
</tr>
<tr>
<td><strong>CR019 - Communications Assistant</strong></td>
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<tr>
<td>I feel I would be more suitable to the Communications Assistant post, I have carried out duties of this role to cover a member of staff who is off sick at present. I have enjoyed it and feel this would be more suited to me. I would like to be considered for assimilation into this post instead of the Advertising Assistant post.</td>
</tr>
<tr>
<td><strong>CR020.1 - Policy Research Officer</strong></td>
</tr>
<tr>
<td>Instead of 3 x Policy Officer posts at PO3, I propose that one of those posts be a Policy Research Officer post (graded PO4) so that the policy function maintains a service with a GIS practitioner and economist able to provide a more comprehensive approach to developing policy and strategy based evidence. The post will enable policy to be analysed and expressed on a spatial basis and specialise in socio-economic analysis and enhance the capacity of the service.</td>
</tr>
</tbody>
</table>
**CR020.2 - Policy Function**

In order to protect the integrity of the policy function the 5 dedicated policy posts are either:

a. Made a separate team on the same basis as Scrutiny with the senior policy officer reporting directly to the AD; or and preferably

b. Combined with Scrutiny in order to maintain policy integrity and to increase the policy capacity. The role of Scrutiny needs to change and a move away from an adversarial to a policy development model creates a real opportunity to combine the functions. This would create a total of 9 policy posts (including head of scrutiny) and this considerably boost capacity. The risk generated by the current proposal is that communications will dominate to the detriment of the policy function especially as the two key posts are likely to be occupied by communications staff. The structure therefore needs someone from policy (senior policy post) to defend and protect the function.

<table>
<thead>
<tr>
<th>REJECTED</th>
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<tbody>
<tr>
<td>The new Head of Strategy and Public Affairs post will be responsible for the integrity of the policy function and the five dedicated policy posts.</td>
</tr>
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</table>
CR064 - Comms Issues

a) The Communications Assistant post is re-titled as Communications Coordinator. The job specification and description suggest a similar role of that of the existing Communications Officer and they are not there purely to assist as they have some levels of responsibility, therefore we think a ‘coordinator’ title would be more suitable. In addition people’s attitude towards the title assistant can be very demeaning. Restructures are difficult enough without having an evident drop in title and role.

b) Include the web restructure within this. It is likely that the web team will expand to cater for an expected demand on work with e-communications becoming the main communications channel due to budget restrictions. See above point 2b

c) An additional Residents Communications Officer will be required to cope with the level of work that will come from the Chief Executive and the Cabinet.

PARTIALLY ACCEPTED

a) The job title will be looked at in line with council structures and a suitable alternative proposed.

b) The web team had not been looked at in this wave of reorganisation as the Council is in the process procuring a new ICS provider which will result in new operating systems and entirely new internet and intranet sites being built. It is anticipated that this will take up to a year to put in place therefore it is not possible to understand the needs of the new web systems at this time. It is however not anticipated in the current financial climate that additional numbers of web posts will be created.

c) The Council has reduced the communications budget by 50% as a necessary response to very tough financial circumstances. There is no additional money to pay for another post.
**CR072.1 - Executive Support**

Bring Executive Support into the Strategy and Public Affairs team to ensure consistency of service delivery to the Chief Executive, Leader and Cabinet.

**REJECTED**

Whilst there are some similarities in the work undertaken by Executive Support and the Chief Executive’s Office, there are also clear synergies between the work undertaken by Executive Support and Members’ Services. The close working relationship between Executive Support and Members’ Services is recognised through the proposal to locate both teams within the Governance and Law Directorate. Consistency of service delivery to the Chief Executive, Leader and Cabinet can be provided through the development and application of common service standards. The proposed location of Executive Support in Governance and Law also recognises a degree of separation in the management of this service and that of Scrutiny, which reflects usual practice. It is not proposed therefore to take account of this alternative suggestion.

**CR072.2 - Press Officer**

Fund another press officer from the Olympics team. The current proposals mean that there will only be three people to manage the production of the Council’s fortnightly newspaper and cover a proactive and reactive press office. This will mean that for four months of the year (leave entitlement) there will only be 2 people to handle every press enquiry and get the paper out (which is a statutory duty due to the inclusion of public notices). Should anything happen to one of these people e.g. sick leave, there will only be one person to handle these specialist roles with significantly reduced managerial capacity. Given the significant cuts which we are going to make in the coming years, we can anticipate an explosion of press enquiries that the unit will not be staffed to deal with. This pressure will get greater the closer we get the Olympics. We need to ensure that there is adequate cover both to inform residents about the services available to them and to explain the difficult decisions that the Council has to make about its

**REJECTED**

The level of reduction in the Communications service, as with other support services, reflects the need for the Council to achieve its overall financial targets. Any additional media or communications posts, albeit funded from a different source, would negatively impact upon the ability of the Council to achieve a balanced budget. It is not proposed therefore to take account of this alternative suggestion. In terms of the points raised about the workload of the press/media staff, it is anticipated that there will be a need for resources to be used flexibly across the new Strategy and Communications service grouping in order to deliver its priorities and take account of any pressures associated with leave and sickness. Indeed this is the case with all services across the Council. However, there may be scope as the Olympics approaches to look at temporary solutions to deal with any increase in workload that may be experienced at this time.
budget. Additionally, they will have to be on call one week in three, or one week in two throughout leave periods which will be difficult to sustain. Again this is a statutory duty because of emergency planning.

<table>
<thead>
<tr>
<th>CR072.3 - Generic Roles</th>
<th>ACCEPTED</th>
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<tbody>
<tr>
<td>That the two proposed PO2 officers for staff and residents communications should be generic and do both staff and external communications.</td>
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<tr>
<td>Given that this proposal would be likely to deliver a more flexible service, then this alternative suggestion is accepted on the provision that it leads to no additional costs.</td>
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<tr>
<th>CR074.1 - Press/Media Team</th>
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<tr>
<td>Serious consideration needs to be given to the staffing of the press/media team. Operating with just three Media Communications Officers (one of whom may or may not be full-time WFN editor) is simply untenable as it allows absolutely no room for error and seems to operate on a supposition that no member of the team will ever be ill, wish to take a day off at the same time as a colleague or suffer a personal emergency. Having worked in the team when only two officers are on duty I can confidently state that such a situation involves constantly ‘fire-fighting’ and is no good for either the officer(s) working or the organisation’s reputation as a whole.</td>
<td></td>
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<tr>
<td>It is acknowledged that at 50% reduction in resources will significantly reduce the capacity of the media team. Unfortunately the council has been required to reduce its communications budget by 50% due to very difficult financial position. The Council will look to put in place an arrangement with another authority in case of emergency.</td>
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<tr>
<th>CR074.2 - Career Progression</th>
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<tbody>
<tr>
<td>Serious consideration needs to be given to the fact that there is absolutely no scope for personal progression for any of the Media Communications Officers. There are potentially six to seven payscales between the Media Communications Officers and their nearest ‘practical’ role, and this de facto ‘glass ceiling’ has already had a damaging effect on staff morale, especially considering the very clear progressions and promotions mapped out for other members of the team. If Waltham Forest genuinely wants to recruit and retain the ‘best and brightest’ members of staff and ‘recognise and develop talent and potential’, then more should be done to ensure the organization practices what it preaches rather than assume that certain employees will stay content in the same role forever.</td>
<td></td>
</tr>
<tr>
<td>These are very tough financial times and the budget for communications has been reduced by 50%. The structure has been designed to meet the very basic communications needs of the council within a very restricted cost envelope and for no other reason. Whilst budgets for learning and development are going to be limited going forward the council will continue to support innovative and informal means of development such as acting up, secondment opportunities, mentoring and work experience opportunities with partner organizations.</td>
<td></td>
</tr>
<tr>
<td><strong>CR075 - Financial Support</strong></td>
<td><strong>REJECTED</strong></td>
</tr>
<tr>
<td>-------------------------------</td>
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</tr>
<tr>
<td>The administrative support officer (SC6) will need to provide financial administrative support to the overall Strategy and Communications Team. In particular they will need to be able to support the complex financial requirements of Waltham Forest News in terms of raising invoices, reconciling payments and working with corporate finance to support the business unit that produces the Council’s fortnightly newspaper. The post also manages the filming requests for the borough and this will also need to be reflected in the job description.</td>
<td>The Administrative Support Officer will need to support the Strategy and Communications service grouping as a whole and in particular the Chief Executive given their location within his/her overall support team. This may involve some financial support work but is not envisaged that this would be a major focus of their work, or that it would be concentrated on WFN. It is envisaged that the bulk of the financial support to WFN detailed above would need to be provided via other new posts such as the Advertising and Communications Assistant and that this may require adjustments to be made to other job descriptions within the new unit.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>CR077.1 - Role Title</strong></th>
<th><strong>PARTIALLY ACCEPTED</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>That the Communications Assistant title should be changed to Communications Coordinator title, which better reflects the level of work that will be undertaken in the role. The title of assistant does not reflect that level of responsibility required in the role.</td>
<td>The job title will be looked at in line with Council structures and a suitable alternative proposed.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>CR077.2 - Role Title</strong></th>
<th><strong>REJECTED</strong></th>
</tr>
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<tbody>
<tr>
<td>That the Residents Communications Manager, Officer and Assistant should have Marketing added into their title to reflect the campaign driven nature of the team i.e. Residents Communications and Marketing Manager - etc.</td>
<td>The title for this team was carefully chosen to reflect the fact that their core work will be to provide information to residents about services. It is therefore not appropriate to add ‘marketing’ to the job titles. All job descriptions have also been designed to reflect the need for teams to be multi-skilled and work across all areas of communications due to it being very small team.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>CR082.1 - Additional Officer</strong></th>
<th><strong>REJECTED</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>An additional Media Communications Officer will be required to cope with the level of work that will come from the Chief Executive and the Cabinet, perhaps with one officer responsible for Waltham Forest News and special projects/campaigns and the other three media Communications Officers responsible for directorates.</td>
<td>The new structure has been drafted as a result of a 50% reduction in budget due to very tough financial circumstances for the council. We cannot afford another press officer post.</td>
</tr>
</tbody>
</table>
### CR082.2 - Comms Structure

The Advertising and Communications Assistant should sit within the same team as the Media Communications Officers.

**REJECTED**

The Advertising and Communications Assistant will need to support the AD Communications in meeting tough targets for external and internal revenue generation for WFN. It will also manage all of the finances for the Communications Team. It is therefore necessary for the AD to manage that person directly.

### DIRECTORATE: Ex-PPP

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<thead>
<tr>
<th>Alternative Proposal</th>
<th>Management Response</th>
</tr>
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<tbody>
<tr>
<td><strong>CR027.3 - HR</strong></td>
<td><strong>REJECTED</strong></td>
</tr>
<tr>
<td>AD for HR should be contained within G&amp;L to maximise synergies between the HR function and employment lawyers.</td>
<td>The HR function needs to report to the Chief Executive during this phase of transformation.</td>
</tr>
<tr>
<td><strong>CR027.4 - Pension Function</strong></td>
<td><strong>PARTIALLY ACCEPTED</strong></td>
</tr>
<tr>
<td>Management of the pension function which is outsourced to Capita should not be managed by HR but should be transferred to the Treasury and Pension function in Strategic Finance.</td>
<td>Whilst this suggestion is not part of the current proposals, the chief finance officer will discuss this with the Acting Head of HR.</td>
</tr>
</tbody>
</table>
Dear Mark,

Thank you for your letter received on 16th August 2010 regarding the Proposals for Council Reorganisation. I note that you wish to support the submission of Unison and rather than repeat the response I am copying my response to Dave Knight to you.

I am able to provide the following responses, using the paragraph numbers you note, in relation to aspects not covered in the letter to Unison.

**General Comments**

1 to 3) See attached letter to Unison.

**Impact Assessments**

4 to 6) The points made here are appreciated. GMB raised this in the last meeting within the consultation process. It was agreed that for those support functions that are clearly reducing by approximately 50% the rationale suffices. It was further agreed to ask directorates to provide information where the impact of their proposals was unclear.

**Expressions of Interest**

7) Thank you for your suggestion, this will be considered. I understand the Acting Head of HR is scheduled to meet you on Friday 3rd September to further discuss this.

**Satellite Restructures**

8) We are attempting to do this, but you will understand that sometimes business reasons overtake this wish.

**The Rationale**

9) See attached letter to Unison.

10) Noted

**Senior Management Structures**

11 to 18) See attached letter to Unison.

**Adult Social Care Proposals**
19 to 20) See attached letter to Unison.

**Children & Young People Proposals**

21 to 23) See attached letter to Unison.

**Environment & Regeneration Proposals**

24) See attached letter to Unison.

**Governance & Law Proposals**

25) See attached letter to Unison.

**Communications, Policy and Scrutiny Proposals**

25 to 27) See attached letter to Unison.

Yours sincerely

Martin Esom  
*Acting Chief Executive*

Copy to: Dave Knight, Unison  
Carolyn Simpson, Unite  
Moshe Ash, GMB  
Christine Street, Unison  
Stuart Petrie, Acting Head of HR  
David Evans, Transformation Director
Martin,

The GMB are in agreement with the previous submission put forward by David Knight of Unison and this is reflected in our comments below. We have re-iterated comments Unison have made, whilst adding some other relevant issues to our members.

The GMB has the following comments and observations to make as our response to the formal consultation regarding the proposed Council Reorganisation:

**General Comments**

1. The consultation period should be extended to 90 days as we believe that there are over 100 individual employees facing potential redundancy in the Council and we should therefore be granting the extended consultation period in all the Council’s reorganisations.

2. Members are concerned that Job descriptions that are relevant to the structure, and obviously required so that members can play a full part in the consultation, were not provided until 6th August 2010. This means that they were available to employees facing potential redundancy for only 6 working days prior to the end of consultation on 16th August. Members who knew that their posts are being proposed for deletion had to wait for 19 of the 25 days consultation before they could see what the new posts would look like.

3. We note that emergency budgetary measures are due to be discussed at the September Cabinet. This may be followed by another emergency budget once the outcomes of the Comprehensive Spending review are known in October. The trade unions require full, early and open consultation on these reports so as to have the opportunity to influence the debate.

**Impact assessments**

4. Although equality impact assessments have been carried out, the GMB believe that impact assessments should be undertaken for posts that remain in a structure where there have been deletions so that the council better understand where workloads now fall. The council have not done this in the current wave of cuts.

5. We believe that staff will have to take on larger workloads and this will lead to added pressure and stress. Sometimes this would also lead to a workload that was impossible to manage. If managers carried out Impact assessments at the time of deciding where cuts should be made, they may be better informed as to how the council would still carry out the work done (or managed) by the deleted post, who would be doing it, and the impact on the council and the member of staff of this additional work.

6. This should be a regular part of the process when determining cuts within the council, rather than an afterthought.
Expressions of Interest (EOI’s)

7. The GMB believes that EOI’s should be extended to staff in the whole affected area rather than specifically where the cuts are to be made. This would mean that a member of staff that is not directly affected, but would be happy to take redundancy and free up his or her post for another staff member that wanted to stay, could do so. Managed correctly, this could be a useful tool in helping staff to stay employed by the council, whilst letting staff leave who are happy to do so.

Satellite restructures

8. There is the matter of satellite restructures that are ongoing at the same time as the major wave of cuts. This makes the whole matter of what the council are cutting less transparent and complicates consultation with the unions. The GMB believe that all restructures should be managed through the main consultation of each wave of cuts, so that they are visible to council staff, management and councilors alike and they can be concentrated on as part of a whole rather than having different consultation periods, different documentation, and separate meetings.

The Rationale

9. Under Rationale the report talks of a smaller flatter structure but the two charts do not show this as happening at senior management level. The As Is chart shows one Chief Executive with 5 Executive Directors plus 2 Chief Officers reporting directly to him. The To Be chart shows one Chief Executive, 5 Executive Directors and 4 Chief Officers reporting directly to him. There may be some saving in salaries so we would like to be informed of the salary costs to each of these posts in both the As Is and To Be structures.

10. We welcome the Council’s principle to reduce dependency on consultants and agency staff.

Senior Management Structures

11. We note that the As Is chart on page 9 contains 19 Chief Officer graded posts and so does the To Be chart on page 10. This does not include the Joint posts on the To Be Chart which would contain 21 if they were included. We would like to see the full costing of all these posts both As Is and To Be because it is difficult to see the savings at this level of the organisation.

12. The same As Is chart has 11 Service Heads while the To Be Chart has 12. There are a further 2 Joint posts and three Assistant Director posts in the To Be chart, which management inform us are the same posts featured twice.

13. It appears from the above that the new Tiers 1 to 3 management team will comprise 42 posts while the previous structure contains only 36.

14. Here is a table to demonstrate the above:

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<td>19</td>
</tr>
<tr>
<td>Joint Posts</td>
<td>(both included in Chief Officers figure above)</td>
<td>2</td>
</tr>
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Far from creating a smaller flatter senior management team, we have an extra tier in the Assistant Director level, though they will report directly to the Chief Executive along with the Executive Directors and we have 6 additional posts. It appears that senior management do not intend to share in the cuts that will inevitably occur further down the structure as we get to operational and front line posts. Management have since informed us that the Assistant Directors posts appear twice in the structure charts – this can be seen on the structure chart on page 10. At time of writing management were due to come back to the unions to clarify these figures.

15. Given the above, GMB fails to see how this phase of the Council Reorganisation can meet the first two principles laid out on Page 5 under Rationale.

16. GMB has serious concerns about the Equalities Impact at this top level of the management structure. Of the 6 Chief Officers currently in post whose jobs are deleted three are BME which is 60% of the BME managers employed at this level. Furthermore we understand that there are also gay officers in this group and sexual orientation has not been assessed at all.

17. The Equalities Impact Assessment drawn up so far (see Appendix 2) really does not show the impact it just shows the diversity make up of the current Chief Officers structure. At this moment there does not appear to be a proper Equalities Impact Assessment that gives the true picture of the impact of these proposals. Surely this should be available before any decisions are made.

18. We can see from the table at page 8 that a saving of £2,270,000 is anticipated but we remain unconvinced that the senior management structure itself contributing to this saving. It appears to us that the savings will be made further down the structure and that the deletions at senior level will be replaced by alternative senior posts. We also wonder at the cost of the potential redundancies of several chief officers when they are likely to be replaced by staff on similar salaries. Is there any estimate as to the redundancy costs associated with this proposal?

**Adult Social Care Proposals**

19. At the time of writing the senior management team is dominated by consultants and interim managers. It has been this way for some while and the directorate has been negatively affected as some services have closed while the quality of care has fallen in others. If Waltham Forest Council is to develop and improve social care then managers with long-term commitment to the people of this borough are required rather than a team of overpaid consultants.

20. The proposals ‘As Is’ chart for Adult Social Care shows 23 posts whilst the ‘To Be’ chart shows 26 posts. However, it appears that the ‘To Be’ post does go down to include posts that are not included in the ‘As Is’ chart. Management have explained how this has occurred as a result of deleting the Head of Social Care post which has meant that posts lower down in the structure have been "pulled up". However, it still appears to us that the top two tiers of the directorate feature the Executive Director and 7 second tier managers.

**Children and Young People Proposals**

21. you are cutting an administrative post from this service.. It is important to recognise that social workers already spend too much of their time on admin tasks. This proposal can only exacerbate that problem.
22. It is noticeable once again in the Children and Young peoples Services Directorate that the top two tiers of posts still consist of as many posts after the reorganization as before, though we recognize that one post has assumed additional responsibilities from Adults and Social Care.

23. The “To Be” Chart for Children and Young People Services states, “There are also some lower level changes in Children and Families”. We would like to see the structure charts that relate to those lower level posts.

**Environment and Regeneration Proposals**

24. In the Environment and Regeneration services section of the report it is claimed that the deletion of the Head of Housing Services will create a flatter structure. That is not evident from the structure charts where the previous 9 Service Heads are replaced by 6 Services Heads. There are 3 less Service Heads but there is still a Service Head Tier so the structure itself is not flattened.

**Governance and Law Proposals**

There are no real proposals contained within this document but members have already been told that the Directorate will be reorganised with a 30 day consultation and redundancies will take effect on 31st December 2010, the same day as the redundancies arising from this reorganisation are due to take effect. It appears to us that reorganisations are being timed and manipulated by management so as to deprive employees of 90 day consultation. As we remarked above this approach is disingenuous. We all know that ultimately there are likely to be more than 100 potential redundancies so the Council would be best advised to allow 90 days consultation on all the current crop of reorganisations.

**Communications, Policy and Scrutiny Proposals**

25. The Policy Unit is being brought under the management of the proposed Strategy and Communications Directorate. The team goes down from 13 people to 6 and it appears that employees are likely to be handed wage cuts or redundancies via this reorganisation.

26. The supervision arrangements being proposed in Strategy and Public Affairs shows the Head of Service as managing 10 staff, which is above the target of nine direct reports for any one manager. We do not understand why the Chief Executive’s office is being placed in this area and it may be that the Consultation manager might be better placed in Residents First.

27. Reducing the Research and Intelligence Officer posts from 2 to 1 does not really fit with the stated aim of "providing the evidence base in order to inform future policy and communications, including campaigns".

Yours sincerely

Mark Holland
Regional organiser
In Waltham Forest

Martin Esom, Chief Executive,
Waltham Forest Council,
Waltham Forest Town Hall,
Forest Road
Walthamstow E17 4JF

16th August 2010

Dear Martin,

Re: Proposals for Council Reorganisation dated 16th July 2010.

UNISON has the following comments and observations to make as our response to the formal consultation regarding the proposed Council Reorganisation:

General Comments

1. The consultation period should be extended to 90 days. We believe that there are currently over 100 individual employees facing potential redundancy in the Council and we should therefore be granting the extended consultation period in all the Council’s reorganisations. We note your comments about the potential cost, but the Council is prepared to pay the outgoing Chief Executive £356,000 as a leaving gift and is also prepared to pay a battalion of consultants and interim managers to come in and work for the Council on inflated pay agreements. We think it is inappropriate and hypocritical that the Council should treat its own permanent employees’ livelihoods in such a hurried manner whilst continuing to waste money in the way described above. Management will argue that only 80 people face potential redundancy and that the Council are within the legal consultation phase. We argue that this is a disingenuous position to take. Management and unions both know that there are a number of staff hanging in an uncertain limbo, e.g. in Property services where the reorganisation has been put on hold. It is our view that a good employer would show some compassion about these issues, recognise that there are likely to be hundreds of redundancies over the next few months and years and in order to allow for a proper, unhurried reorganisation apply a 90 day consultation period to all these reorganisations.

2. Our members are further concerned that job descriptions that are relevant to the structure, and obviously required so that members can play a full part in the consultation, were not provided until 6th August 2010. This means that they were available to employees facing potential redundancy for only 6 working days prior to the end of consultation on 16th August. Members who knew that their posts are being proposed for deletion had to wait for 19 of the 25 days consultation before they could see what the new posts would look like.

Cherry Tree House
Waltham Forest Town Hall Grounds
Forest Road
Walthamstow, E17 4JF

Branch Secretary: Dave Knight
E-mail: david@unison-wf.fsnet.co.uk

Office Number: 0208 496 4703
E-mail: madeleine@unison-wf.fsnet.co.uk

Fax: 0208-5311715
Priorities:

3. We note the priorities set out in the document on page 3 and comment as follows:

- The delivery of reliable front line services requires a stable workforce sharing a vision of how the service should be provided. To achieve that aim in the most efficient manner would be to ensure direct democratic accountability and ensuring services are run in house by a dedicated and fairly treated workforce. However, the Council is currently involved in outsourcing and seeking many different providers for its services. This strategy cannot provide or sustain a reliable front line service. Home Care, Street Services, Education outcounings have all demonstrated this point to Waltham forest Council.

- The borough also requires skills and expertise in economic development to help deal with the ever growing unemployment problems of the borough and also in town planning as the Council now has a number of derelict properties and uncompleted regeneration projects around the borough.

- The government are doing all they can to make life difficult for Waltham Forest Schools and Education but it appears that there are many in the community who are willing to support campaigns to prevent the government’s damaging initiatives and we note that the Council is campaigning to prevent the loss of local BSF developments.

- Social Care in Waltham Forest is an area of great concern. Good resources have been lost and replaced by services of poorer quality. We refer to the situation with Home Care and Residential Care in particular, but we have also lost Council run nursery provision and we have problems in recruiting and retaining social workers.

4. The amount to be saved is so large that cuts to front line services will be inevitable. UNISON suggests that the Council adopt the UNISON Alternative Budget (attached as Appendix 1) and refuse to set a budget that accommodates the massive attack on our community that will result from attempting to meet the government’s budgetary restrictions. Thirty million pounds of cut budgets over three years can only serve to cause hardship and damage our environment and community.

5. We note that emergency budgetary measures are due to be discussed at the September Cabinet. We would guess that this will be followed by another emergency budget once the outcomes of the Comprehensive Spending review are known in October. The trade unions require full, early and open consultation on these reports so as to have the opportunity to influence the debate.

The Rationale

6. Under Rationale the report talks of a smaller flatter structure but the two charts do not show this as happening at senior management level. The As Is chart shows one Chief Executive with 5 Executive Directors plus 2 Chief Officers reporting directly to him. The To Be chart shows one Chief Executive, 5 Executive Directors and 4 Chief Officers reporting directly to him. There may be some saving in salaries so we would like to be informed of the salary costs to each of these posts in both the As Is and To Be structures.

7. It is difficult to comment at this stage on the statement laid out at the third bullet point under “Rationale” on page 5, but this phase does not appear to be reducing the management structure and so does not provide much in the way of potentially redirected resources. Whether the changes will result in any redirection of resources to deliver greater benefits remains to be seen. However, the trade unions remain sceptical as this reorganisation has a similar flavour to the previous Efficiency Review.
8. In relation to the resources currently tied up in redundant inspection regimes, it would be useful to know how much that amounts to and where the money will be released to.

9. The principle to develop Human Resources needs further clarification but we believe that the term “develop” may be a misnomer as we anticipate cuts in HR.

10. We welcome the Council’s principle to reduce dependency on consultants and agency staff, but again we feel sceptical. Back in 2003 the trade unions complained about the millions spent on consultants in 2002/2003. This was discussed at a CJCC and assurances were given that the Council would bring such spending under control. In our view that has not happened and the Council is still spending obscene amounts on consultants, agency workers and interim managers. Last financial year the cost of consultants was £4 million - £1 million up on the previous financial year. And this is the tip of the iceberg as we also employ direct interim managers etc. Some consultants earn as much as £1,000 a day and this £4 million is 50% of what the Council needs to save. It is also almost twice as much as this reorganisation is estimated as saving, though of course the savings will be far less by the time it is all actually implemented. We need to see some strident action to change the consultant culture of this borough.

Senior Management Structures

11. We note that the As Is chart on page 9 contains 19 Chief Officer graded posts and so does the To Be chart on page 10. This does not include the Joint posts on the To Be Chart which would contain 21 if they were included. We would like to see the full costing of all these posts both As Is and To Be because it is difficult to see the savings at this level of the organisation.

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<td>Assistants Directors</td>
<td>0</td>
<td>3</td>
</tr>
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<td>Service Heads</td>
<td>11</td>
<td>12</td>
</tr>
<tr>
<td>Totals</td>
<td>36</td>
<td>42</td>
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19. All this leaves members with a prevailing feeling that that the new structure and posts within it are purely being created for certain people whilst others are being “managed” out of the organisation.

**Adult Social Care Proposals**

20. At the time of writing the senior management team is dominated by consultants and interim managers. It has been this way for some while and the directorate has been negatively affected as some services have closed while the quality of care has fallen in others. If Waltham Forest Council is to develop and improve social care then managers with long-term commitment to the people of this borough are required rather than a team of overpaid consultants.

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**Children and Young People Proposals**

22. The proposals for Children and Young Persons Directorate do not really address the difficulties faced by social workers on the front line. Recruitment and retention is difficult. The workloads are stressful and overwhelming for many of the staff and child protection is in crisis. Demand is growing and resources are shrinking. The feedback from our members is that much more support is needed and staff should not be pressured to the extent that they are currently. How this area can possibly contribute savings is a question that begs to be answered. UNISON is very concerned about child protection and children’s social work in the borough and believes that a review of management systems is required with a view to providing better support and controllable workloads into the service. In our First Response Team at Buxton Road we currently have 13
agency staff, 3 Deputy Team Managers 2 Admin. 6 Social Workers and 2 Referral and Support Officers.

23. We find it quite staggering that an administrative post is being cut from this service. This will not help an already difficult scenario and can only lead to further demands being placed on already stretched workers. It is important to recognise that social workers already spend too much of their time on admin tasks. This proposal can only exacerbate that problem.

24. It is noticeable that this Directorate has suffered from recurring reorganisations. As I write we know that the incomplete Youth Service Review is likely to be superseded by another reorganisation caused by the deletion of the Group Manager Youth Support post. The Directorate is charged with carrying out important duties relating to child welfare and education, yet it appears that the service is managed with uncertainty and confusion. This causes instability and uncertainty at a time when the Council needs to ensure that our safeguarding and education responsibilities are carried out in an effective and efficient manner. The proposals listed here again amount to cuts and we believe this will impact directly on the quality of service provision to children and families over the next few years. This is not reflected in the report which suggests that these cuts will “consolidate” and “integrate” service provision. Surely Waltham Forest Council, as a Labour-controlled authority is opposed to the cuts being forced on to local government and should be highlighting the difficulties that the government’s policies are causing for service delivery and Council services, rather than accepting the cuts and portraying them as positive to the residents of Waltham Forest.

25. It is noticeable once again in the Children and Young peoples Services Directorate that the top two tiers of posts still consist of as many posts after the reorganization as before, though we recognize that one post has assumed additional responsibilities from Adults and Social Care.

26. The “To Be” Chart for Children and Young People Services states, “There are also some lower level changes in Children and Families”. We would like to see the structure charts that relate to those lower level posts.

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Finance Proposals

28. In Finance we were surprised to read that the Director’s post being a joint post shared with the NHS is now being seen as a weakness. A few short months ago management told councillors how this would strengthen the Council and would be a positive step for the Council.

29. The Finance “As Is” chart appears to have fewer posts than the “To Be” chart. We recognize that this may be because of staff returning to a centralized finance team from the outlying directorates.

30. The proposal to retain Revenues and Benefits within Finance is inappropriate. 86% of callers to WFD shops and 25% of phone calls have Council Tax or Benefits enquiries. Given those figures and the stated aim of creating a Residents First Directorate to provide a “high quality and consistent interface with the public”, would it not make more sense for Revenues and Benefits to be part of Residents First? The arrangements for managing Revenues and Benefits within Finance
are an uneasy fit for the post of Deputy Director of Finance as that posts major responsibility will be to manage Council accounts and the Treasury and Pensions areas.

**Governance and Law Proposals**

There are no real proposals contained within this document but members have already been told that the Directorate will be reorganised with a 30 day consultation and redundancies will take effect on 31st December 2010, the same day as the redundancies arising from this reorganisation are due to take effect. It appears to us that reorganisations are being timed and manipulated by management so as to deprive employees of 90 day consultation. As we remarked above this approach is disingenuous. We all know that ultimately there are likely to be more than 100 potential redundancies so the Council would be best advised to allow 90 days consultation on all the current crop of reorganisations.

**Communications, Policy and Scrutiny Proposals**

31. The Policy Unit as shown on page 42 is being totally changed. Employees working in that area feel unfairly treated and discriminated against because theirs is the only unit where the proposals reach down through the unit to affect every worker.

32. The Policy Unit is being brought under the management of the proposed Strategy and Communications Directorate. The team goes down from 13 people to 6 and it appears that employees are likely to be handed wage cuts or redundancies via this reorganisation.

33. The supervision arrangements being proposed in Strategy and Public Affairs shows the Head of Service as managing 10 staff, which is above the target of nine direct reports for any one manager. We do not understand why the Chief Executive’s office is being placed in this area and it may be that the Consultation manager might be better placed in Residents First.

34. Reducing the Research and Intelligence Officer posts from 2 to 1 does not really fit with the stated aim of "providing the evidence base in order to inform future policy and communications, including campaigns".

**Residents First Proposals**

35. If the Council really want their public facing services to be brought together under one service grouping then it would be more consistent to place Revenues and benefits in this grouping as we have already mentioned above.

**Managing Change**

The following comments are UNISON’s formal response to the amended “Managing Change” proposals. It is still the union’s view that members should have access to Councillor level appeals. Chief officers still have such access as they are appointed directly by councillors but we believe that the current process leaves the reorganisation open to possible manipulations based more on personality decisions than on true service quality and efficiency decisions.

1. UNISON notes that the new Managing Change procedure states that the Council may consider Voluntary Redundancy. If that is going to be the case then employees should be offered some enhancement to the compulsory redundancy formula so as to provide them with extra support should their benefit entitlements be affected and also to encourage staff to apply. We would want to have further discussion on how a voluntary severance scheme could work for Waltham Forest in order to set criteria.
2. Under Assimilating Employees into Posts we believe that there could be some further work done on ring fences so that staff who are already employed in a post that is not deleted cannot be “bumped” by changes to posts around them into a redundancy situation as has happened in the Youth Service recently.

3. Under Appeals UNISON is opposed to the change in the process. Under the Efficiency Review members had a two stage appeal which was treated like a grievance. Their case would be investigated by a senior officer from their department. If the member wanted to appeal against the outcome then they could appeal to a senior manager from a different Directorate. There was at least a sense of some independence in the Appeals process. Now the process is to be dealt with entirely by the management team who are carrying out the reorganization. A Head of Service from the same directorate will hear the appeal and that’s it. There will be no independent scrutiny or consideration given. This appears to UNISON to be a recipe for potentially unfair treatment and inappropriate manipulation of posts, assimilations and ring fences.

UNISON presents this letter in the hope that the Council will send this back for the full 90 day consultation. Many of our members caught up in this reorganisation feel it is being rushed and insufficient consideration is being given to suggested alternatives. There is a sense that the reorganisation is being driven too quickly and that what it all will mean for the future of the Council’s services is of little consequence. The Chief Executive in his presentations has stressed that the pace of change is of the utmost importance. A 90b day consultation gives time for some proper reflection rather than this knee jerk approach of the moment.

Yours sincerely

Dave Knight
Branch Secretary
Dear Carolyn,

**Proposals for Council Reorganisation**

Thank you for your letter of 16th August 2010 regarding the above. I note that you wish to support the submission of Unison and rather than repeat the response I am copying my response to Dave Knight to you.

I am able to provide the following responses, using the paragraph numbers you use, in relation to matters not covered in the letter to Unison.

1. See attached letter to Unison.

2. The posts shown twice are the Assistant Director Resources. These report to the Director of Finance and are show in that structure. However the post also appears on the 3 service directorates as supporting them. I am sorry if this has caused confusion that was not the intention.

3 & 6 Thank you for your suggestion regarding ‘Voluntary redundancy’. I understand the Acting Head of HR has scheduled to meet you on Friday 3rd September to further discuss this. I do need to say though that most staff in the council are providing front line services and therefore are not likely to be considered for voluntary redundancy. Therefore a communication to all staff would not be in the best interests of staff or the Council.

4. With regard to impact assessments, the points made here are appreciated. As you know the issue was raised in the last meeting within the consultation process. It was agreed that for those support functions that are clearly reducing by approximately 50% the rationale suffices. It was further agreed to ask directorates to provide information where the impact of the proposals was not clear.

5. See attached letter to Unison.

7. We will continue to work with the trade unions to implement whatever decision is eventually made by Cabinet. Similarly in future proposals the Council will have to ensure that it is able to operate within its financial resources.

With regard to BSF you have been forwarded a copy of the letter from the Leader to the Secretary of State. The Council is continuing to make representations to government regarding this matter.
Finally I can confirm that the submissions received from the trade unions and my response will be appended to the Cabinet report for their consideration.

Yours sincerely

Martin Esom  
**Acting Chief Executive**

Copy to: Dave Knight, Unison  
Mark Holland, GMB  
Moshe Ash, GMB  
Christine Street, Unison  
Stuart Petrie, Acting Head of HR  
David Evans, Transformation Director
Our ref: CES/ST/LBWF/reorganisation 2010

Your ref: 

16th August 2010

Mr Martin Esom
Chief Executive
Waltham Forest Council
Waltham Forest Town Hall
Forest Road
LONDON
E17 4JF

Dear Martin

Re: Proposals for council Reorganisation 16th July 2010

Whilst largely agreeing with the comments submitted by Unison in their letter dated 16th August 2010, Unite has the following additional comments to make in relation to the proposals currently under discussion:

1. The consultation period should be extended to 90 days notwithstanding the cost to the Borough as the cumulative redundancies, we believe, amount to more than 100 arising from a number of reorganisations throughout the Council as detailed in Unison’s letter – with specific reference to Governance and Law proposals where no timeline, numbers or procedure is outlined but it seems clear that changes will have to be made and should be included in this process now rather than at a later date as suggested.

2. We, too, are concerned that the actual number of senior posts appears to increase rather than decrease, contrary to the statements made in the proposal document (as per Unison’s letter paragraphs 11-19). Unite would therefore wish to see a clearer picture of the proposed structure including a clear indication of where the posts/postholders ‘double up’ or are counted twice.
3. The proposal document states that the Council hopes to be able to open a 'Voluntary Redundancy' (VR) scheme. Unite believes that, if such a scheme were to be offered, then it should be made available to ALL staff and not simply those affected by this current set of proposals as it is clear from the tenor of this initial reorganisation there will be at least 2 more phases (if not more) and staff may wish to make career and life choices now rather than later. Unite further believes that any VR scheme should be enhanced in order to encourage staff to apply thus bringing forward potential savings for the Council rather than waiting for phases 2, 3 or more.

4. We are aware that initial 'Equality Impact Assessments' have been carried out taking into account the employees affected by these proposals but Unite believes that the Council should carry out additional 'Impact Assessments' for all service areas but especially those whose clients include those who are most vulnerable and at risk – the Departments who spring to mind as perhaps the prime candidates are Children and Families (CYPS), Adult Social Care and Environment. These Departments' clients and service users may be adversely impacted by the proposals and the removal of services to them may place the Council at risk of not meeting their statutory responsibilities. More detail is needed to demonstrate that such Assessments have been carried out and that service levels will not fall to such an extent that a legal challenge may be mounted.

5. We are very concerned, as are the other unions, that the appeals process is now to be handled entirely within Departments rather than the second stage being heard by a senior officer from another Directorate/Department. This independent 2nd stage appeal acts as an independent stage and, we feel, is crucial to the process being ‘felt fair’ by appellants and we urge the Council to re-instate this independence to the process.

6. We look forward to further discussions regarding the criteria for redundancy - whether voluntary or compulsory.

7. We also look forward to continuing dialogue and engagement with the Council at all stages of these dramatic cuts across the Borough.

Finally, as a Labour controlled Council, Unite believes that Waltham Forest must continue in its petitioning of Government to see the re-instatement of the BSF contracts which were at the point of delivery with certain schools within the Borough literally to move out ('decanter') into other schools so essential works could be carried out. The efficient delivery of excellent education in the Borough must be of paramount importance for the well-being of its citizens and Unite urges the Council to maintain pressure on the Minister and the Department of Education to deliver this service as promised under the previous administration.
I hope that Councillors of all Parties will take these comments into account when coming to their decisions.

Yours sincerely

[Signature]

Carolyn Simpson  
Regional Officer  
Unite the union, London and Eastern Region

cc  Mark Holland, GMB Regional Organiser (via e-mail)  
    Dave Knight, Unison Branch Secretary (via e-mail)
Dear Dave,

**Proposals for Council Reorganisation dated 16th July 2010**

Thank you for your letter of 16th August 2010 regarding the above. I am able to provide the following responses, using the paragraph numbers you note.

**General Comments**

1) I am not able to agree to this suggestion. At the point consultation started there were 81 individuals at risk of redundancy from these proposals. You ask that this be extended on compassionate grounds. Whilst this is understandable I am also aware of individuals affected by these proposals who tell me we should act in a timely manner so they are clear if they have a position with the Council or not.

2) All bar 2 of the proposed new job descriptions were placed on ForestNet within the consultation period. Whilst I appreciate that individuals are keen to see new job descriptions, the procedure followed was in line with consultation obligations. The Council is required to begin the consultation as soon as proposals are formed. For this reason the Council cannot delay until all the job descriptions are ready before starting the consultation. I do not accept that this is grounds for extending the consultation period. Unions and individuals were still able to comment on the proposals without sight of job descriptions.

3) I note your comments. We have discussed previously that the Council will be considering how best to provide such services including whether it should continue to do so itself or via outsourcing.

4) The Alternative Budget document that you append appears to be a response to the Government’s recent budget. The Council has a statutory duty to set a budget so is unable to agree to your suggestion. As we move forward I would be interested to hear how you would apply the ideas within the document to Waltham Forest.

5) We will consult you on any proposals arising from the Comprehensive Spending Review.

**The Rationale**

6) The salary of the Chief Executive post has reduced since the previous post holder left and is now a spot salary of £180,000. There is no change
to the salaries of the Executive Directors. Similarly the Head of ICT is unchanged.

The new Assistant Director posts for Residents First and Strategy & Communications are still subject to evaluation but the indicative grade as per the consultation document is CO4 for both

As you know the HR Director post is currently being recruited to and the salary is a spot salary of £95,000.

Please see paragraph 14 below for more detail.

7) Noted.

8) The rationale for Performance & Service Improvement on page 44 notes that the proposals will result in a reduction of 50% for the service. The second paragraph under the Background notes the removal of the Comprehensive Performance Assessment regime. Any savings are part of the overall savings from these proposals.

9) The new HR Director will be asked to review Human Resources to ensure it is meeting and supporting the Council’s future needs.

10) I acknowledge that we discuss the use of agency workers and consultants regularly. As you will know a review of agency workers and consultants was one of the elements required from the letter of the Leader and myself from early June. You are also aware that the Finance Scrutiny Sub Committee receives a quarterly report on this matter with the reports copied to you. The most recent report showed a reduction in the use of agency workers.

Senior Management Structure

11) The number of Chief Officer graded posts (excluding directors) in the existing (‘As is’) structures is 22 in total. This includes 4 posts that do not appear on the Tiers 1-3 charts but in the lower level charts i.e.

- Head of Housing Services (E&R)
- Head of 2012 (E&R)
- Head of Green Spaces (E&R)
- Head of Financial Planning (Finance)

In the proposed charts there are 19 Chief Officer graded posts (excluding directors) i.e. a net reduction of 3. The figure of 19 includes the two new services of Residents First and Strategy & Comms. The following table shows the costings of the posts (including 'on costs'):

<table>
<thead>
<tr>
<th>Post</th>
<th>Grade</th>
<th>'As is'</th>
<th>'To be'</th>
</tr>
</thead>
<tbody>
<tr>
<td>Head of Adult Social Care</td>
<td>CO2</td>
<td>123,240</td>
<td></td>
</tr>
<tr>
<td>Head of Strategic Commissioning</td>
<td>CO3</td>
<td></td>
<td>113,907</td>
</tr>
<tr>
<td>Deputy Director Children &amp; Families</td>
<td>CO2</td>
<td>123,240</td>
<td>123,240</td>
</tr>
<tr>
<td>Deputy Director Education for</td>
<td>CO2</td>
<td>123,240</td>
<td>123,240</td>
</tr>
<tr>
<td>Post</td>
<td>Grade</td>
<td>'As is'</td>
<td>'To be'</td>
</tr>
<tr>
<td>------------------------------------------</td>
<td>-------</td>
<td>----------</td>
<td>----------</td>
</tr>
<tr>
<td>Communities</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Head of Culture and Leisure</td>
<td>CO3</td>
<td>113,907</td>
<td>113,907</td>
</tr>
<tr>
<td>Director Development</td>
<td>FIDIR</td>
<td>134,550</td>
<td>134,550</td>
</tr>
<tr>
<td>Director Public Realm</td>
<td>CO2</td>
<td>123,240</td>
<td>123,240</td>
</tr>
<tr>
<td>Director Safe &amp; Strong Communities</td>
<td>FIDIR</td>
<td>134,550</td>
<td>134,550</td>
</tr>
<tr>
<td>Assistant Director, Property Services</td>
<td>CO2</td>
<td>123,240</td>
<td>123,240</td>
</tr>
<tr>
<td>Head of Housing Services</td>
<td>CO2</td>
<td>123,240</td>
<td>123,240</td>
</tr>
<tr>
<td>Head of 2012</td>
<td>CO4</td>
<td>99,868</td>
<td></td>
</tr>
<tr>
<td>Head of Green Spaces</td>
<td>CO4</td>
<td>99,868</td>
<td></td>
</tr>
<tr>
<td>Assistant Director of Finance</td>
<td>CO1</td>
<td>134,550</td>
<td></td>
</tr>
<tr>
<td>Assistant Director Audit</td>
<td>CO3</td>
<td>113,907</td>
<td>113,907</td>
</tr>
<tr>
<td>Assistant Director Customer Services</td>
<td>CO3</td>
<td>113,907</td>
<td>113,907</td>
</tr>
<tr>
<td>Assistant Director Transformation</td>
<td>CO3</td>
<td>113,907</td>
<td>113,907</td>
</tr>
<tr>
<td>Head of Resources (ASC)</td>
<td>CO3</td>
<td>113,907</td>
<td></td>
</tr>
<tr>
<td>Assistant Director Resources (CYPS)</td>
<td>CO3</td>
<td>113,907</td>
<td></td>
</tr>
<tr>
<td>Head of Financial Planning</td>
<td>CO3</td>
<td>113,907</td>
<td></td>
</tr>
<tr>
<td>Deputy Director of Finance</td>
<td>CO1</td>
<td>134,550</td>
<td></td>
</tr>
<tr>
<td>Assistant Director Resources (ASC/CYPS)</td>
<td>CO3</td>
<td>113,907</td>
<td></td>
</tr>
<tr>
<td>Assistant Director Resources (Env. etc.)</td>
<td>CO3</td>
<td>113,907</td>
<td></td>
</tr>
<tr>
<td>Assistant Director Procurement</td>
<td>CO3</td>
<td>113,907</td>
<td>113,907</td>
</tr>
<tr>
<td>Head of Corporate Comms</td>
<td>CO4</td>
<td>99,868</td>
<td></td>
</tr>
<tr>
<td>HR Director</td>
<td>CO2</td>
<td>123,240</td>
<td>123,240</td>
</tr>
<tr>
<td>Head of ICT</td>
<td>CO3</td>
<td>113,907</td>
<td>113,907</td>
</tr>
<tr>
<td>Assistant Director, Residents First</td>
<td>CO4</td>
<td>99,868</td>
<td></td>
</tr>
<tr>
<td>Assistant Director, Strategy &amp; Comms</td>
<td>CO4</td>
<td>99,868</td>
<td></td>
</tr>
<tr>
<td>Totals</td>
<td></td>
<td>2,591,097</td>
<td>2,254,082</td>
</tr>
</tbody>
</table>

12 to 15) Your table is broadly correct although service Heads have not increased. In terms of chief officer graded posts the deleted and new posts are as follows:

<table>
<thead>
<tr>
<th>DELETED JOBS</th>
<th>COMMENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Head of Adults Social Care and Health</td>
<td></td>
</tr>
<tr>
<td>Assistant Director of Resources</td>
<td></td>
</tr>
<tr>
<td>Head of 2012</td>
<td>Not shown on overall as is structure as reports to Director of Development</td>
</tr>
<tr>
<td>Head of Housing</td>
<td>Not shown on overall as is structure as reports to Director of Safe &amp; Strong Communities and Housing</td>
</tr>
<tr>
<td>Head of Greenspace</td>
<td>Not shown on overall as is structure as reports to Director of Public Realm</td>
</tr>
<tr>
<td>Assistant Director of Customer Services</td>
<td></td>
</tr>
<tr>
<td>Head of Corporate Communications</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>NEW POSTS</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Head of Strategic Commissioning - Adults</td>
<td>Greater emphasis on commissioning as per rationale</td>
</tr>
<tr>
<td>Deputy Director of Finance</td>
<td>To strengthen finance function as per rationale</td>
</tr>
</tbody>
</table>
In terms of Assistant Directors I believe you are counting the 3 Assistant Directors Resources under Adults, Children and Environment twice as they appear under their line management in Finance. They are shown here to highlight their service allocation. Apologies for any confusion.

The number of Heads of Service is misleading as posts that exist do not appear on the As IS structure for the reasons given in paragraph 21 specifically for Adults, but the same principle applies elsewhere as well.

16 & 17) Data for equality impact assessments was shared with you during the consultation period including the appendix you attach which is only for the chief officers.

I need to correct your statement. There are 7 Chief Officers proposed for deletion of which 43% are BME. A full equality impact assessment will form part of the report to Cabinet and will highlight this point. In terms of sexuality and religion the information is not developed enough to report on. However it is accepted there may be gay officers within the staff affected by these proposals.

18 & 19) It is correct that senior management make up a minority of the posts proposed for deletion. Indeed the consultation document declares 30 posts being managerial. Senior Managers will be a minority of the figure of 30 posts. 57% of the staff affected by these proposals are within the Performance, Communications and Policy functions.

In terms of Chief Officers’ savings, please see paragraph 11 above, however you will appreciate that there are further savings being made from reductions in senior management below this level.

In terms of redundancy you will appreciate that the HR Process for Managing Change seeks to re-deploy people where possible. Therefore it is difficult to be precise in this matter. However the cost of all staff at risk of redundancy would be in the region of £900,000. Of this figure the 7 chief officers amount to approximately £100,000. This excludes any costs associated with release of pension which only applies to those aged 55 & over.

**Adult Social Care Proposals**

20) This is acknowledged but it is preferred that the new Chief Executive is involved with the recruitment of the Director. The new Director will then recruit to remaining vacancies within the structure.
21) I know you have discussed this within the consultation process. However to confirm, those posts on the ‘To Be’ structure shown with a dotted line arrangement are not affected by these proposals. The Hr Business Partner actually sits within HR but is shown here as the post supports the directorate. The same applies to the Assistant Director Resources who actually reports to the Director of Finance.

This leaves the posts within Adult Social Care as:

- Head of Strategic Commissioning
- Head of Assessment & Care – now reporting to the Director
- Head of Provision and Independence – now reporting to the Director
- Service Manager - Safeguarding and DOLS

The direct reports for these last two posts are now shown on the ‘To Be’ structure. Most of these posts currently exist, but are not shown on the ‘As Is’. This structure is a good example of removing middle mangers posts and the consequence of service managers having only 1 manager between them and the director or in the case of Safeguarding reporting directly to the director.

**Children & Young People Proposals**

22 & 23) Currently the numbers of initial assessments leading to no service is far too high (approximately 45%). We will be strengthening the intake element of the service with 5 social workers from the long term service and organising an increased screening function with two senior practitioners undertaking a screening role. This will mean that we will undertake fewer initial assessments, as they will be pushed back to targeted services to undertake Common Assessment Frameworks (CAF), team around the child and lead professional intervention. The CAF team will also be located within the intake service and will therefore be in a position to take this work forward. The service will also be supported by additional capacity being made available from the Education for Communities Service.

The group manager for the service will be responsible for ensuring that there is sufficient capacity within the intake part of the service to ensure we are responding appropriately to demand.

Following concerns raised by staff and yourselves the manager has withdrawn the proposal to reduce the number of administrative staff in Safeguarding and Intervention.

24) It is not accepted that the services are managed with uncertainty and confusion. Safeguarding and education responsibilities are carried out in an effective and efficient manner and are compliant with all statutory mandatory requirements.
In relation to the specific proposal to delete the group manager for youth support, the Council has received and accepted an alternative proposal during the consultation process, which retains the post of the group manager for youth support.

25) The second tier in CYPS was reduced by a post in 2008 - this was a policy, performance and commissioning post, reporting directly to the Director of CYPS. This was a 20% reduction - 5 to 4. When leisure was transferred to CYPS, a second tier post transferred. This new team has taken on additional work - the assistant director for resources is responsible for adults and children’s finance functions, with other officers taking on extra duties for no extra remuneration.

26) The structure charts for Children and Families are attached at the end of this document.

Environment & Regeneration Proposals

27) The proposal to delete the Head of Housing post will result in a similar position to that noted above in Adult Social Care - the 3 ‘Head of’ posts within Housing reporting to a Director. However as the consultation document states ‘A further and fundamental review of Housing Service will take place at a later phase of this organisational review’.

Finance Proposals

28) This was considered by Cabinet in July and was part of a previous consideration and consultation process.

29) Your comment regarding centralisation is correct. The two Assistant Director posts supporting the directorates are the refocused Heads of Resources that will now clearly be concentrating on Finance alone.

30) The formal consultation document on the Council’s proposals sets out the rationale for the creation of the Residents First service, which is aligned with the Council’s agreed priorities to focus on and transform customer services. The first step in delivering these aspirations is to establish the Residents First core service, i.e. management and customer contact staff. This will be followed by the new Assistant Director and their team determining the relationship with, and deployment of, service delivery operations in relation to customer contact arrangements. These considerations will include the concept of the customer services agents acting as advocates for the customer and commissioner of services for them. Given the above, it would be premature to assume the transfer of any specific services, including Revenues and Benefits, to Residents First.

Governance & Law Proposals
I am unclear what your point is here, but clearly as proposals are formed they will be consulted upon.

**Communications, Policy and Scrutiny Proposals**

31 & 32) It is proposed that the number of Policy Officers be reduced as part of the restructuring proposals from 12 to 6, rather than from 13 to 6. Given that there are vacant posts in the existing Unit the number of staff affected by the proposals is 9.

The reduction of 50% in staffing levels is in line with the proposals for a range of support services subject to the consultation process. It is also the case with a number of other services, such as Communications, Diversity and Performance and Service Improvement as well as Policy that posts at all levels are affected. The restructuring of all of these support teams involve the deletion of all existing posts and the recreation of new posts. It is therefore not correct to say of the Policy function that this is "the only unit where the proposals reach down ....... to affect every worker".

33) There is no formal upper limit for the management of direct reports, and the ratio within the proposed Strategy and Public Affairs area reflects the aim of creating flatter organisational structures.

34) With regard to the point about reducing resources in the fields of research and intelligence, it is intended that, in addition to the one dedicated post that is retained in the new structure, one of the proposed Policy Officers also be required to have expertise in these areas, so retaining a similar level of resource to that which currently exists.

**Residents First Proposals**

35) Please see the response to para 30) above.

**Managing Change**

Your comments on member appeals are noted but the Council does not intend to revise the present procedures as you suggest.

1) Voluntary Redundancy – this was raised with you in the consultation process and whilst I can agree to continue to discuss this am disappointed you have made no suggestions to us. I understand the Acting Head of HR has scheduled to meet you on Friday 3rd September to further discuss this.

2) Assimilating Employees – this will be discussed with you for the implementation stage.

3) Your comments are noted but the reason for a directorate Head of Service is they better understand the nature of the business in question. We will consider on a case by case basis if we need to make independent
arrangements. We will amend the procedure to incorporate this. Of course if an individual is subject to dismissal then they will have an appeal to an independent director or Head of Service.

Yours sincerely

Martin Esom  
Acting Chief Executive

Copy to: Mark Holland, GMB  
  Carolyn Simpson, Unite  
  Moshe Ash, GMB  
  Christine Street, Unison  
  Stuart Petrie, Acting Head of HR  
  David Evans, Transformation Director
Annex a: ‘as is’ structure chart

Deputy Director (Children and Families)

Group manager
First Response

Group manager
Community Safeguarding and Intervention

Group manager
Children in Care

Group manager
Specialist Children Service

Group manager
Placements and Resources

Group manager
Protection Partnership and Plans

Strategic/ service responsibilities

Thresholds for entry into service
Triage
Initial and core assessments of children in need
Initial response to Child Protection
Child protection work originating from the hospital
Prevention of accommodation

Management team:
2 social work teams (1 team manager, 2 deputy team managers, 2 senior pracs, 4 social workers and 3 RASO’s)
1 duty manager
Hospital social work team

Strategic/ service responsibilities

Children in Need
Child protection investigations and ongoing work
Initial and core assessments relating to child protection cases
Support to Privately fostered children
Families with no recourse to public funds
Pre proceeded work
Initiation of proceedings
Section 7/37 reports for court

Management team:
3 social work teams (1 team manager, 2 deputy team managers, 3 senior pracs, 6 social workers*, 1 social work assistant.
PLO Coordinator
FGC Coordinator

Strategic/ service responsibilities

Children in Care
Care leavers service

Management team:
4 social work team
Office manager
Compliance officer

Strategic/ service responsibilities

Integrated health service to disabled children
Disabled children social work team

Management team:
1 social work team
Head of occupational therapy
Portage team manager
Head of community nursing
Head of speech and language therapy
Office manager
Compliance officer
Community Paediatric consultants

Strategic/ service responsibilities

Fostering, adoption and post adoption services
Placement service
Management of placement budget

Management team:
Team manager, fostering assessment
Team manager Fostering support
Team manager adoption
Team manager adoption support
Team manager placements

Management team:
Principal officer Child Protection (manages 3.5 CP coordinators)
Principal officer Independent reviewing service
LSCB Business manager
Practice development

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Page 266
Appendix D

Final 'As is' and 'To be' (Proposed) Structures
This is the actual 'as is' structure but formal established reporting lines may differ and have done so over a long period of time.
Proposed CYPS Model
As at 26 August 2010

Executive Director
Children and Young People Services

Deputy Director
Education for Communities

Group Manager
Special Educational Needs & Education Support - NP

Group Manager
Extended Services

Group Manager
Youth Support

Group Manager
14-19

Group Manager
Youth Offending

Executive Head
of Short Stay Schools and Alternative Provisions

Head of Nursing
(NHS Section 75)

Deputy Director
Children & Families

Group Manager
Child in Need Services NP

Group Manager
Children in Care Services

Group Manager
Integrated Specialist Children's Services

Group Manager
Placements & Resources

There are also six lower level changes in Children and Families Refer to List of New Posts

Assistant Director
Resources ASC & CYPS (see Finance) NP

Existing non-financial responsibilities remain but will be subject to review

Head of Accountancy & Finance NP

Business Support Manager

Governor Services Manager

Unit Manager – Catering Services

Information Governance and Technology Manager

Group Manager
Commissioning & Contract Management - Social

Group Manager
Commissioning & Contract Management - Education

External Funding Manager

CYPs HR Business Partner

Complaints Manager

SOPD Finance and Business Manager

Schools HR Business Partner

NP = New Post

Head of Culture and Leisure Services

Head of CLASS

Head of Libraries, Museums, Gallery & Archives

Head of Arts, Events and Halls

Head of Music

Moved from Education for Communities

Head of Sports & Leisure

Suntrap transferred to Heathcote School
No saving assumed

Page 274
There will be a complete Restructuring of this area

Transferring Directorate ICT Manager and team To corporate ICT

Comprehensive review of asset and property management to be undertaken

NP = New Post
Proposed Finance Model
as at 26 August 2010

Director of Finance

Deputy Director of Finance
NP

Assistant Director, Anti-Fraud & Risk Management

Chief Accountant Corporate Finance and Exchequer Services

Treasury and Pensions Manager NP

Head of Revenues

Head of Benefits

Support Functions Unit Manager

Assistant Director, Finance ASC/CYPS NP

Fraud Prevention Group Manager

Insurance and Risk Manager

Fraud Investigations Group Manager

Outsourced Audit Contract (London Audit & Anti-Fraud Partnership)

Assistant Director Finance E&R and Central Services NP

Head of Accountancy and Finance x2 NP

Assistant Director Financial Planning NP

Head of Accountancy and Finance x3 NP

Assistant Director NP

Assistant Director Financial Planning NP

Assistant Director Financial Planning and Technical Accountancy NP

Senior Finance Manager NP

Senior Finance Manager Transformation NP

Senior Finance Manager for Capital Strategy incl. BSF and PFI

Business and Capital Finance Manager

Senior Finance Officer

NP = New Post

Chief Officer Grade

Senior Officers

Financial posts transferring from Assistant Director Property, Asset Management and Major Projects in E&R – subject to future review

Support Functions Unit Manager NP

Senior Finance Manager NP

Senior Finance Manager for Capital Strategy incl. BSF and PFI

Business and Capital Finance Manager

Senior Finance Officer

NP = New Post

Chief Officer Grade

Senior Officers

Financial posts transferring from Assistant Director Property, Asset Management and Major Projects in E&R – subject to future review
Freedom of Information work is transferring to Residents First

Overview and Scrutiny is transferring to Strategy and Communications
As is Diversity Model

as at 26 August 2010
'As is' Performance and Service Improvement Model
as at 26 August 2010

Head of Performance and Service Improvement

- Performance Lead – Adults & Healthier Communities
  - Performance Officer
  - Performance Officer
  - Performance Officer

- Performance Lead – Children and Young People
  - Performance Officer
  - Performance Officer

- Performance Lead – Employment and Enterprise and Sustainability and the Environment
  - Performance Officer
  - Performance Officer

- Performance Lead – Community Safety and Housing
  - Performance Officer
  - Performance Officer

- Performance Lead – Achieving Excellence
  - Performance Officer

- Graduated Trainee 2 FTE

- Complaints Manager
  - Complaints Investigator 2.75 FTE
  - Administrative Officer

- Performance Lead – Community Safety and Housing
  - Performance Officer
  - Performance Officer
  - Performance Officer

- Performance Lead – Achieving Excellence
  - Exelisis Co-ordinator
  - Performance Officer
  - Performance Officer

- Performance Officer

- Performance Officer

- Officers
‘Proposed’ Service Excellence and Efficiency Model
as at 26 August 2010

Service Excellence and Efficiency Manager
NP

Performance Intelligence and Analysis Manager
NP

Improvement and Efficiency Manager (incl. VfM) - NP

Residents Response Manager
NP

Pool of Resources
Service Excellence and Efficiency Support Officers
6 FTE = NP

Learning from Complaints Manager
NP

Learning from Complaints Officers
2 FTE - NP

Assistant Information Officer (FOI) 2 FTE
Transferred from G&L

NP = New Post
Appendix E

Final list of posts proposed for deletion and new posts

(The shaded rows highlight those posts that do not appear on the structure charts)
## Posts Proposed for Deletion (105 posts equating to 104 FTEs)

<table>
<thead>
<tr>
<th>Directorate</th>
<th>Service</th>
<th>Chart View</th>
<th>Post Title</th>
<th>Grade</th>
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<tbody>
<tr>
<td>ASC</td>
<td>Social Care</td>
<td>Tier 1-3 Management Teams</td>
<td>Head of Adult Social Care</td>
<td>CO2</td>
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<tr>
<td>ASC</td>
<td>Social Care</td>
<td>Tier 1-3 Management Teams</td>
<td>Head of Strategic Commissioning</td>
<td>PO10</td>
</tr>
<tr>
<td>ASC</td>
<td>Social Care</td>
<td>Tier 1-3 Management Teams</td>
<td>Head of Personalisation (Grant Funded)</td>
<td>PO12</td>
</tr>
<tr>
<td>ASC</td>
<td>Social Care</td>
<td>Tier 1-3 Management Teams</td>
<td>Service Manager - Residential and Day Care</td>
<td>PO7</td>
</tr>
<tr>
<td>ASC</td>
<td>Social Care</td>
<td>Proposed ASC</td>
<td>Mobility Team Leader</td>
<td>PO2</td>
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<tr>
<td>ASC</td>
<td>Social Care</td>
<td>Proposed ASC</td>
<td>ICES Service Leader</td>
<td>PO2</td>
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<td>CYPS</td>
<td>Children &amp; Families</td>
<td>CYPS 'As is'</td>
<td>Group Manager First Response and Assessment</td>
<td>PO12</td>
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<tr>
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<td>Children &amp; Families</td>
<td>CYPS 'As is'</td>
<td>Group Manager Safeguarding and Intervention</td>
<td>PO12</td>
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<td>PO8</td>
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<td>Principal Manager Child Protection Service</td>
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<td>Education for Communities</td>
<td>CYPS 'As is'</td>
<td>Group Manager Special Education Needs</td>
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<td>Group Manager Education Support</td>
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<td>Tier 1-3 Management Teams</td>
<td>Head of Community Cohesion &amp; Partnerships</td>
<td>PO9</td>
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<tr>
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<td>Tier 1-3 Management Teams</td>
<td>Head of Housing</td>
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<td>E&amp;R</td>
<td>2012</td>
<td>Tier 1-3 Management Teams</td>
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<td>CO4</td>
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<td>E&amp;R</td>
<td>Greenspace</td>
<td>Tier 1-3 Management Teams</td>
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<td>PO8</td>
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<td>Building Regulation Manager</td>
<td>PO6</td>
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<td>E&amp;R</td>
<td>Development</td>
<td>As is E&amp;R</td>
<td>Head of Development Management</td>
<td>PO12</td>
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</table>
Page 290
<table>
<thead>
<tr>
<th>Communications</th>
<th>Communications</th>
<th>Comms 'As is'</th>
<th>Olympics Communication &amp; Consultation Officer</th>
<th>PO5</th>
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<tbody>
<tr>
<td>Communications</td>
<td>Communications</td>
<td>Comms 'As is'</td>
<td>Design Web &amp; Marketing Manager</td>
<td>PO9</td>
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<tr>
<td>Communications</td>
<td>Communications</td>
<td>Comms 'As is'</td>
<td>Design Web &amp; Marketing Assistant</td>
<td>SO2</td>
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<tr>
<td>Communications</td>
<td>Communications</td>
<td>Comms 'As is'</td>
<td>Design Web &amp; Marketing Assistant</td>
<td>SO3</td>
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<td>Communications</td>
<td>Communications</td>
<td>Comms 'As is'</td>
<td>Marketing Officer</td>
<td>PO3</td>
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<td>Communications</td>
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<td>Bill Board Assistant</td>
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<td>Communications</td>
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<td>Communications</td>
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<td>Communications</td>
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<td>Transformation - Communications Officer</td>
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<td>Comms 'As is'</td>
<td>Community Safety Communications Officer</td>
<td>PO2</td>
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**Communications Total = 21**

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<tr>
<th>Performance</th>
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<th>Head of Performance and Service Improvement</th>
<th>PO12</th>
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<td>Principal Performance Officer - CYPS</td>
<td>PO4</td>
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<tr>
<td>Performance</td>
<td>Perf &amp; Service Improvement</td>
<td>Performance 'As is'</td>
<td>Senior Performance Officer - CYPS</td>
<td>PO2</td>
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<td>Performance</td>
<td>Perf &amp; Service Improvement</td>
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<td>Performance Officer - CYPS</td>
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<td>Performance Lead - Environment, Employment and Enterprise</td>
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<td>Perf &amp; Service Improvement</td>
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<td>Principal Performance Officer - Environment, Employment and Enterprise</td>
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<td>Performance 'As is'</td>
<td>Performance Officer - Environment, Employment and Enterprise</td>
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<td>Performance 'As is'</td>
<td>Principal Performance Officer - Housing and Community Safety</td>
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<tr>
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<td>Performance Officer - Housing and Community</td>
<td>SO2</td>
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<td>Performance 'As is'</td>
<td>Performance Officer - Housing and Community</td>
<td>SO2</td>
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<td>Performance Lead - ASC and Health</td>
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<tr>
<td>Performance</td>
<td>Perf &amp; Service Improvement</td>
<td>Performance 'As is'</td>
<td>Senior Performance Officer - ASC and Health</td>
<td>PO2</td>
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<tr>
<td>Performance</td>
<td>Perf &amp; Service Improvement</td>
<td>Performance</td>
<td>Performance Officer - Housing and Community</td>
<td>PO2</td>
</tr>
<tr>
<td>Performance</td>
<td>Perf &amp; Service Improvement</td>
<td>Performance</td>
<td>Performance Officer - ASC and Health</td>
<td>PO2</td>
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<tr>
<td>Performance</td>
<td>Perf &amp; Service Improvement</td>
<td>Performance</td>
<td>Performance Lead - Excellence</td>
<td>PO7</td>
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<td>Perf &amp; Service Improvement</td>
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<td>Excelsis Coordinator</td>
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<tr>
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<td>Perf &amp; Service Improvement</td>
<td>Performance</td>
<td>Senior Performance Officer - Excellence</td>
<td>PO2</td>
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<td>Performance</td>
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<td>PO2</td>
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<td>Perf &amp; Service Improvement</td>
<td>Performance</td>
<td>Performance Officer - Excellence</td>
<td>PO2</td>
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<td>Perf &amp; Service Improvement</td>
<td>Performance</td>
<td>Stage 2 Complaints Investigating Officer</td>
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<td>Administrative Officer</td>
<td>Scale 6</td>
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</table>

**Performance Total = 26 (25 FTE equivalent per tables in section 4 of report)**

| Policy | Policy | Policy | Head of Policy | PO12 |
| Policy | Policy | Policy | Policy and Partnerships Manager | PO8 |
| Policy | Policy | Policy | Corporate Policy Officer | PO3 |
| Policy | Policy | Policy | Research & Intelligence Officer | PO4 |
| Policy | Policy | Policy | Corporate Policy Officer | PO4/6 |
| Policy | Policy | Policy | Corporate Policy Officer | PO6 |
| Policy | Policy | Policy | Research & Intelligence Officer | PO6 |
| Policy | Policy | Policy | Directorate Policy Officer Housing & Environment | PO4/6 |
| Policy | Policy | Policy | Directorate Policy Officer CYPS | PO4/6 |
| Policy | Policy | Policy | Directorate Policy Officer Health & ASC | PO4/6 |
| Policy | Policy | Policy | Directorate Policy Officer | PO3 |
| Policy | Policy | Policy | Directorate Policy Officer | PO3 |

**Policy Total = 12**

| Diversity | Diversity | N/A | Head of Diversity & Business Support | PO9/10 |
| Diversity | Diversity | N/A | Diversity and Inclusion Manager | PO6 |
| Diversity | Diversity | N/A | Policy Officer | PO1 |
| Diversity | HR/Diversity | N/A | HR Diversity Manager | PO6 |
| Diversity | ASC/Diversity | N/A | Tier 1-3 Management Teams | PO4 |

**Diversity Total = 5**

| Chief Exec's Office | Chief Exec's Office | Comms & Strategy To be | Administrative Officer | Scale 6 |
| Chief Exec's Office | Chief Exec's Office | Comms and Strategy To be | Administrative Officer | Scale 6 |

**Chief Exec's Office Total = 2**

**GRAND TOTAL = 105 Posts/104 FTEs**
# Proposed New Posts (60 posts)

<table>
<thead>
<tr>
<th>Directorate</th>
<th>Service</th>
<th>Chart View</th>
<th>Post Title</th>
<th>Indicative Grade where known, subject to evaluation</th>
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<tbody>
<tr>
<td>ASC</td>
<td>Social Care</td>
<td>Tier 1-3 Management Teams</td>
<td>Head of Strategic Commissioning</td>
<td>CO4</td>
</tr>
<tr>
<td>ASC</td>
<td>Social Care</td>
<td>ASC 'To be'</td>
<td>Project Manager Personalisation</td>
<td>PO10</td>
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<td>ASC</td>
<td>Social Care</td>
<td>ASC 'To be'</td>
<td>Team Manager ICES, Mobility Team</td>
<td>PO2</td>
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<tr>
<td>ASC</td>
<td>Social Care</td>
<td>ASC 'To be'</td>
<td>Projects Manager (Fixed term for 2 years)</td>
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<td><strong>ASC Total = 4</strong></td>
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<td>Children &amp; Families</td>
<td>CYPS 'To be'</td>
<td>Group Manager - Child in Need Services</td>
<td>PO12</td>
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<tr>
<td>CYPS</td>
<td>Children &amp; Families</td>
<td>N/A</td>
<td>Principal Officer - Child in Need Services</td>
<td>PO9</td>
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<td>CYPS</td>
<td>Children &amp; Families</td>
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<td>Principal Officer - Child in Need Services</td>
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<td>CYPS</td>
<td>Children &amp; Families</td>
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<td>CYPS</td>
<td>Children &amp; Families</td>
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<td>Senior Practitioner - Child in Need Services</td>
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<tr>
<td>CYPS</td>
<td>Education for Communities</td>
<td>CYPS 'To be'</td>
<td>Group Manager SEN and Education Support Services</td>
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<td><strong>CYPS Total = 6</strong></td>
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<tr>
<td>E&amp;R</td>
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<td>Proposed E&amp;R</td>
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<td>Tier 1-3 Management Teams</td>
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<td>Finance</td>
<td>Resources</td>
<td>Tier 1-3 Management Teams</td>
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<td>Finance 'To be'</td>
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<td>Resources</td>
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<td>Head of Financial Planning and Technical Accountancy</td>
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<td>Finance 'To be'</td>
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<tr>
<td>Finance</td>
<td>Deputy Director</td>
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<td>Treasury and Pensions Manager</td>
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**Finance Total = 13**

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<thead>
<tr>
<th>Residents First</th>
<th>Residents First Management Teams</th>
<th>Community Engagement Manager (incl. Voluntary Sector &amp; Cohesion)</th>
<th>PO9</th>
</tr>
</thead>
<tbody>
<tr>
<td>Residents First</td>
<td>Residents First Management Teams</td>
<td>Assistant Director Residents First - additional cost of upgrade from PO9 to CO4 as Director will be recruited from service pool.</td>
<td>CO4</td>
</tr>
<tr>
<td>Residents First</td>
<td>Equalities Unit</td>
<td>Equalities Manager</td>
<td>PO9</td>
</tr>
<tr>
<td>Residents First</td>
<td>Equalities Unit</td>
<td>Residents First 'To be' Senior Equality Officer</td>
<td>PO5</td>
</tr>
<tr>
<td>Residents First</td>
<td>Equalities Unit</td>
<td>Residents First 'To be' Equality Officer</td>
<td>PO1</td>
</tr>
<tr>
<td>Residents First</td>
<td>Service Excellence and Efficiency</td>
<td>Service Excellence and Efficiency Manager</td>
<td>PO10/11</td>
</tr>
<tr>
<td>Residents First</td>
<td>Service Excellence and Efficiency</td>
<td>Proposed Service Excellence and Efficiency Model</td>
<td>PO7</td>
</tr>
<tr>
<td>Residents First</td>
<td>Service Excellence and Efficiency</td>
<td>Proposed Service Excellence and Efficiency Model</td>
<td>PO7</td>
</tr>
<tr>
<td>Residents First</td>
<td>Service Excellence and Efficiency</td>
<td>Residents Response Manager</td>
<td>PO7</td>
</tr>
<tr>
<td>Residents First</td>
<td>Service Excellence and Efficiency</td>
<td>Service Excellence and Efficiency Support Officer</td>
<td>PO5</td>
</tr>
<tr>
<td>Residents First</td>
<td>Service Excellence and Efficiency</td>
<td>Service Excellence and Efficiency Support Officer</td>
<td>PO4</td>
</tr>
<tr>
<td>Residents First</td>
<td>Service Excellence and Efficiency</td>
<td>Service Excellence and Efficiency Support Officer</td>
<td>PO4</td>
</tr>
<tr>
<td>Residents First</td>
<td>Service Excellence and Efficiency</td>
<td>Service Excellence and Efficiency Support Officer</td>
<td>PO1/2</td>
</tr>
<tr>
<td>Residents First</td>
<td>Service Excellence and Efficiency</td>
<td>Service Excellence and Efficiency Support Officer</td>
<td>PO1/2</td>
</tr>
<tr>
<td>Residents First</td>
<td>Service Excellence and Efficiency</td>
<td>Service Excellence and Efficiency Support Officer</td>
<td>PO1/2</td>
</tr>
<tr>
<td>Residents First</td>
<td>Service Excellence and Efficiency</td>
<td>Proposed Service Excellence and Efficiency Model</td>
<td>Learning from Complaints Manager</td>
</tr>
<tr>
<td>----------------</td>
<td>----------------------------------</td>
<td>-----------------------------------------------</td>
<td>---------------------------------</td>
</tr>
<tr>
<td>Residents First</td>
<td>Service Excellence and Efficiency</td>
<td>Proposed Service Excellence and Efficiency Model</td>
<td>Learning from Complaints Officer</td>
</tr>
<tr>
<td>Residents First</td>
<td>Service Excellence and Efficiency</td>
<td>Proposed Service Excellence and Efficiency Model</td>
<td>Learning from Complaints Officer</td>
</tr>
<tr>
<td><strong>Residents First Total = 18</strong></td>
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</table>

<table>
<thead>
<tr>
<th>Strategy &amp; Comms</th>
<th>Communications</th>
<th>Tier 1-3 Management Teams</th>
<th>Assistant Director of Strategy &amp; Comms</th>
<th>CO4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strategy &amp; Comms</td>
<td>Communications</td>
<td>Strategy &amp; Comms 'To be'</td>
<td>Staff Comms Officer</td>
<td>PO2</td>
</tr>
<tr>
<td>Strategy &amp; Comms</td>
<td>Communications</td>
<td>Strategy &amp; Comms 'To be'</td>
<td>Advertising and Comms Assistant</td>
<td>SO2</td>
</tr>
<tr>
<td>Strategy &amp; Comms</td>
<td>Communications</td>
<td>Strategy &amp; Comms 'To be'</td>
<td>Residents Comms Manager</td>
<td>PO5</td>
</tr>
<tr>
<td>Strategy &amp; Comms</td>
<td>Communications</td>
<td>Strategy &amp; Comms 'To be'</td>
<td>Residents Comms Officer</td>
<td>PO2</td>
</tr>
<tr>
<td>Strategy &amp; Comms</td>
<td>Communications</td>
<td>Strategy &amp; Comms 'To be'</td>
<td>Residents Comms Assistant</td>
<td>SO2</td>
</tr>
<tr>
<td>Strategy &amp; Comms</td>
<td>Communications</td>
<td>Tier 1-3 Management Teams</td>
<td>Head of Strategy and Public Affairs</td>
<td>PO9</td>
</tr>
<tr>
<td>Strategy &amp; Comms</td>
<td>Communications</td>
<td>Strategy &amp; Comms 'To be'</td>
<td>Senior Policy Officer</td>
<td>PO6</td>
</tr>
<tr>
<td>Strategy &amp; Comms</td>
<td>Communications</td>
<td>Strategy &amp; Comms 'To be'</td>
<td>Policy Research Officer</td>
<td>PO4</td>
</tr>
<tr>
<td>Strategy &amp; Comms</td>
<td>Communications</td>
<td>Strategy &amp; Comms 'To be'</td>
<td>Policy Officer</td>
<td>PO3</td>
</tr>
<tr>
<td>Strategy &amp; Comms</td>
<td>Communications</td>
<td>Strategy &amp; Comms 'To be'</td>
<td>Policy Officer</td>
<td>PO3</td>
</tr>
<tr>
<td>Strategy &amp; Comms</td>
<td>Communications</td>
<td>Strategy &amp; Comms 'To be'</td>
<td>Senior Research and Intelligence Officer</td>
<td>PO6</td>
</tr>
<tr>
<td>Strategy &amp; Comms</td>
<td>Communications</td>
<td>Strategy &amp; Comms 'To be'</td>
<td>Media Comms Officers (incl. WFN)</td>
<td>PO3</td>
</tr>
<tr>
<td>Strategy &amp; Comms</td>
<td>Communications</td>
<td>Strategy &amp; Comms 'To be'</td>
<td>Media Comms Officers (incl. WFN)</td>
<td>PO3</td>
</tr>
<tr>
<td>Strategy &amp; Comms</td>
<td>Communications</td>
<td>Strategy &amp; Comms 'To be'</td>
<td>Media Comms Officers (incl. WFN)</td>
<td>PO3</td>
</tr>
<tr>
<td>Strategy &amp; Comms</td>
<td>Chief Exec's Office</td>
<td>Strategy &amp; Comms 'To be'</td>
<td>Administrative Officer</td>
<td>Scale 6</td>
</tr>
</tbody>
</table>

**Strategy & Comms Total = 17**

**GRAND TOTAL = 60 Posts**
Equality Impact Assessment Template

The Equalities Duties and Equality Impact Assessments (EIA)

Cabinet must have due regard to its equalities duties when making decisions. EIA are the means by which the Council demonstrates compliance with the duties. The findings of and actions arising from an EIA should be set out in the Equalities implications section of the Cabinet report. **Failure to complete an EIA and implications will result in the deferral of the report**

The Equalities Duties
The Council has statutory equalities duties in relation to gender, race and disabilities

The Council must have ‘due regard’ to the need in the following areas to:

**Gender:**
- eliminate unlawful sex discrimination and harassment (including for transsexual people)
- promote equality of opportunity between men and women

**Race:**
- eliminate unlawful racial discrimination;
- promote equality of opportunity; and
- promote good relations between people of different racial groups.

**Disability:**
- promote equality of opportunity between disabled persons and other persons
- eliminate discrimination that is unlawful under the Act
- eliminate harassment of disabled persons related to their disabilities
- promote positive attitudes towards disabled persons
- encourage participation by disabled persons in public life; **and**
- take steps to take account of disabled persons’ disabilities, even where that involves treating disabled persons more favourably than other persons

**NB** Please note the additional disability duty to provide for positive discrimination for disabled persons to “level the playing field” with non-disabled persons, e.g. in accessing services through dedicated car parking spaces)

**THIS FRONT SHEET FORMS PART OF THE EIA – PLEASE COMPLETE THE REST OF THE TEMPLATE AND SUBMIT AS A SINGLE DOCUMENT**

FOR FURTHER INFORMATION AND GUIDANCE ON THESE DUTIES, YOU SHOULD ALSO READ THE CORPORATE GUIDANCE PROVIDED ON EQUALITIES IMPLICATIONS.
Name of policy/service/function | Council Restructure Phase 2 
--- | ---
Date of Assessment | August 2010
Directorate | All
Name of Lead Assessor | Stuart Petrie

**Reason for completing assessment**
- The Council is undertaking a large-scale reorganisation of its staffing to reduce management structures and support services in order to protect front line services and meet priorities in response to the financial pressures on the Council’s budget.
- There are currently 3 phases to this process and this assessment is focussed on phase 2.
- Because of this phasing, account has been taken of Phase 1 and the Phase 3 EIA. The associated Action Plan will be treated as a live and cumulative document reflecting the impact of phases to that point.

**Context**

**What is the purpose or desired outcome of this policy/proposal from an equalities perspective?**

In response to the financial pressures faced by the Council this proposal is to:
- Continue reduction of senior management structures at the next layer down from the Chief Executive and immediate reports.
- Make further reductions (c.50% of budgets) and realignment of groupings in support services:
  - Communications
  - Policy
  - Performance and Service Improvement
  - Diversity

Within the above the re-alignment of functions and staff to create two new service areas:
- Residents First - a customer focussed, residents led approach to service delivery
- Strategy and Communications to strengthen communications and lobbying.

The Process for Managing Change policy will be used to transition the organisation move to the new structures in a process that is fair, open and transparent.

The staffing costs of the support functions noted above will be approximately 50% less than the current model. Consequently the work will have a narrower focus. The proposal contains the specific rationales for each function noting areas of work that will be retained in the new model.

The desired outcome of the proposals is to protect the delivery of services to
the customers and residents of the Council and ensure statutory requirements and priorities are met, within the constraints of the current financial climate. The “Council Restructuring” report to the July 2010 noted:

3.5 Staffing costs make up a significant proportion of the Council’s budget. It is therefore important that staffing structures are completely aligned with the Council’s priorities. In practice this means reducing the number of managerial, support and back office staff as far as is reasonable and reinvesting resources in the front line. It is likely to involve the prioritisation of frontline services.

This Assessment explores the impact of the Council Restructure proposals, which directly affect 81 staff. 57% of this number is within the Performance, Communications and Policy functions.

The equalities data used in this Assessment are taken from SAP as at 30 June 2010. Equality data is provided voluntarily by staff and does not yet provide full data across all 6-equality strands.
**Stage 1  Gathering and Reviewing Evidence**

What are the equality issues including barriers to access or success that are relevant to understanding the equality dimension of this policy/proposal?

As a pre-cursor to this assessment it should be noted that these proposals are specifically targeted around posts in management structures and professional support service areas. Given that the profile of people who populate the posts within this scope do not match the overall equality profiles of the workforce, the proposals will produce results which, whilst disproportionate in certain areas from an equalities point of view, are both predictable and in line with the policy objective of the reductions.

The data on ethnicity, disability, gender and age for the whole workforce as of June 2010 and for those that would be directly affected by these proposals are shown in Appendix 1. A review of this shows that:

1. Men are disproportionately affected in relation to their numbers in the workforce.
2. It appears that BME groups as a whole are not disproportionately affected by these proposals. However, it should be noted that small numbers are involved.
3. People aged 26 – 40 and 46 – 50 are disproportionately affected in relation to their numbers in the workforce. The 31-35 group are most affected.
4. The affect on disabled staff is in proportion to their number in the workforce.

It is evident from this profile that any redundancies arising from the implementation of this proposal, should redeployment be ineffective, are likely to affect the groups named in 1. and 3. above. It is also evident that although there is no disproportionate impact on BAME groups overall, there is, when the data is disaggregated, an impact on the profile of BME Chief Officers. This issue is commented on in the next section of this assessment.

**Where are the gaps in this evidence; which groups or issues do we know least about?**

There is no information held on religion or sexual orientation of the staff affected.

**Where you have involved or consulted on this policy/proposal with equality stakeholders and what did they tell you?**

The Trade Unions and those staff affected have been consulted on this proposal. Trade unions and individual staff have expressed concern about
the impact on the level of ethnic diversity at Chief Officer level.

The proposals were also placed on ForestNet so all staff of the Council had opportunity to comment on them.
Stage 2. Making an Assessment of the Impact

Drawing on aims of the policy, the evidence of issues and barriers and the outcomes of involvement activity please list all potential negative impacts on;

People from the Equality Groups

There is the potential for staff from all equalities groups to be made redundant as a result of this proposal. The HR Processes for Managing Change provides the policy and processes to implement the proposals in a fair, open and transparent way.

The evidence reviewed for this assessment indicates that should redeployment be ineffective, any redundancies arising from the implementation of this proposal are likely to particularly affect men, those aged 26 – 40 and 46 – 50 (particularly 31-35 group), white staff and BME Chief Officers. In addition although only small numbers of disabled staff are affected by these proposals there is well documented evidence nationally of the numerous barriers disabled face in finding employment compared to other groups.

Please specify what action could you take to remove or partially mitigate each negative impact.

Impact on Disability

Although the affect on disabled staff is in proportion to their number in the workforce, evidence and research has demonstrated that this group faces significantly more difficulty in terms of redeployment and if unsuccessful finding alternative employment, particularly in the current climate where competition is increasingly fierce.

Within the implementation of the proposals in accordance with Managing Change policies it is essential that all reasonable adjustments are put in place to ensure such staff are not be disadvantaged including ensuring that managers handle such cases with as much flexibility as possible.

This applies not only to the selection processes itself where adaptations and adjustments need to be made, but also in the job specifications themselves on offer, to ensure this group is not excluded. This may mean reasonable alterations to office layout and equipment, changes to working hours and operational practices or processes or even an acceptable level of job re-design.

Critical to the success of these processes is ensuring disability confidence of the officers not only conducting the selection processes, but also the understanding and flexibility in managers responsible for the jobs this group are considered for. A specific briefing will be provided by HR.
Impact on Gender

Men are disproportionately by these specific proposals in relation to their representation in the workforce. In numerical terms 44 women and 34 men affected out of a workforce of 2,586 and 968 respectively.

There are however a higher proportion of the male cohort in management positions than within the female cohort. It follows that reductions targeted at management roles will produce such a disproportionate effect, and is a predictable outcome.

Percentages or proportions aside the absolute numbers affected are small and the overall impact on the workforce statistics will be negligible at c. 0.35%. The current distribution of men and women remains virtually unchanged.

Compared to other equalities groups there is little evidence to suggest that men in general face significant barriers in the labour market. Given this no mitigating action is proposed in respect of this impact.

Impact on BAME staff

Overall there is no significant impact in terms of BAME staff. However if the impact is disaggregated by grade then the potential impact of this proposal would be a reduction of the level of ethnic diversity amongst the Council’s Chief Officer grades.

Phase 1 of this reorganisation in July only affected Chief Officers (one white woman and one white man) and it is therefore necessary to include this in any assessment of the process to date to have a full and balanced picture of the impact on the Chief Officer cohort.

<table>
<thead>
<tr>
<th>Personnel Area</th>
<th>BME Staff</th>
<th>White - British</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>All Chief Officers</td>
<td>5</td>
<td>19</td>
<td>24</td>
</tr>
<tr>
<td></td>
<td>20.8%</td>
<td>79.2%</td>
<td></td>
</tr>
<tr>
<td>Phase 1</td>
<td>0</td>
<td>(2)</td>
<td>22</td>
</tr>
<tr>
<td>Net</td>
<td>5</td>
<td>17</td>
<td></td>
</tr>
<tr>
<td></td>
<td>22%</td>
<td>78%</td>
<td></td>
</tr>
<tr>
<td>Phase2</td>
<td>(3)</td>
<td>(4)</td>
<td>15</td>
</tr>
<tr>
<td>Net</td>
<td>2</td>
<td>13</td>
<td></td>
</tr>
<tr>
<td></td>
<td>7.5%</td>
<td>92.5%</td>
<td></td>
</tr>
</tbody>
</table>

Note: the small numbers involved in this population means that any movement is represented by large percentage swings.

Staff who are at risk of redundancy will be redeployed where possible to other vacancies in the Council. This may enable the Council to maintain a diverse workforce profile at a senior level provided the staff concerned have the skills.
and experience that match the new situation. The details of how this matching process will be implemented are contained in the HR Process for Managing Change.

Across the existing posts that remain and the new posts in the To Be structure there are some 8 Chief Officer vacancies. Those not filled through redeployment and ring-fencing provide an opportunity for external advertisement to the widest possible pool of recruits including BAME candidates

**Age Impact for Staff**

In age terms the most affected groups in relation to their representation the workforce are 26-40 year olds and 45-50 year olds.

**26-40 age group**
The majority of the deletions affecting the younger group are in the Policy, Performance and Communications group where managers have been successful in recruiting younger people. In addition, in order to make the 50% cost reductions the whole “As Is” structures has been deleted and new, smaller “To Be” structures created.

The numbers involved are therefore consistent with the approach being taken to reduce and re-design these back office service areas. This is thus a predictable outcome The youngest people affected will also have shorter lengths of service and will therefore receive lower amounts of redundancy payments compared to older colleagues. This is a known disproportionate impact of the formula used to calculate redundancy payments and arises from the assumptions about the need for compensation that underpin it.

In terms of encouraging age diversity across the Council as a whole, particularly for younger people, the Council already has in place graduate and apprenticeships schemes to attract young people. For vacancies that continue to be recruited to then the equal opportunities policy will apply and the Council will have the option of specifically encouraging younger people to apply if appropriate.

**45-50 age group**
With regard to the older group these are primarily in the management category of the analysis where, given the senior nature of the posts and older age profile is expected. Given a focus on reductions in management, and particularly senior management, both the numbers and age of those affected are in line with the focus and objectives of the proposals and the age to be expected amongst senior management. No mitigating action is proposed in respect of this group.

**Impact on employee perceptions/relations**
A reduction on BME chief officers will result in a loss of role models and may be interpreted as reduction in opportunity and ambitions for the BME community.

The Council’s BME staff network and the development activities it is planning to implement provides an important platform for the Council to demonstrate that it continues to values BAME staff and is committed to their development in an environment where the public sector is shrinking and wider career development strategies will be needed. To mitigate potentially negative perceptions the network will be developed and used to provide opportunities for BME staff to access role models from within and outside the Council in consultation with the forum members. Committed and active direction and management plus appropriate support and facilitation of the forum is critical to achieving this outcome. This should form part of the action plan supporting the People Strategy to be developed and directed by HR.

It is recognised that there is a need to support BME staff to progress up the organisation. This may be increasingly important if there is a reduction in the number of BME chief officers following the redeployment process. The BME staff network will continue to play an important role in this process and the Council will be bringing forward some further proposals, following discussion with this group, to support BME staff.

If any of these negative impacts cannot be mitigated at all please provide justification for this.

In the event that staff from equalities groups cannot be redeployed and they are made redundant from the Council this will be as a result of the urgent need to respond to the financial challenges faced by the Council and to reduce the number of managers employed by the Council and the number of staff employed back office functions in order to protect front line services. As such any remaining negative impacts can be justified on financial grounds and on the grounds of protecting front line services on which many vulnerable people from equalities groups depend.

Drawing on the evidence, the outcomes of involvement activity and the detail of the policy please list any additional improvements and positive benefits that can be made to better promote equality and community cohesion.

The shift in emphasis towards a sharp service improvement focus and to the team becoming more of a direct deliverer offers the potential for higher levels of customer satisfaction than is possible with the current delivery model which has a broader remit and relies on service heads to deliver service improvements.
<table>
<thead>
<tr>
<th><strong>Stage 3</strong> Planning Mitigating and Improvement Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Complete the action-plan template attached to show what action will be taken to mitigate each negative impact and action each improvement, how will be take it and when it will be done.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Stage 4</strong> Governance, Monitoring and Review</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Which group, Board or Officer will be responsible for the implementation and review of the action plan?</strong></td>
</tr>
<tr>
<td>Management Board have overall responsibility, but his will be co-ordinated by Human Resources.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Stage 5</strong> Recording and Communicating the Results of the Assessment</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Checklist to ensure proper completion of the assessment</strong></td>
</tr>
<tr>
<td>Cllr. Akram has signed off this assessment</td>
</tr>
<tr>
<td>Cabinet report EIAs has been signed off by the Portfolio holder</td>
</tr>
<tr>
<td>This assessment is included in the report to Cabinet for their consideration in the decision making process</td>
</tr>
<tr>
<td>The assessment is available on the Council’s intranet website (ForestNet) &amp; shared with the trade unions</td>
</tr>
</tbody>
</table>
**APPENDIX 1**

Disability

Workforce Profile as at 30\textsuperscript{th} June 2010

<table>
<thead>
<tr>
<th>Personnel area</th>
<th>Not Disabled</th>
<th>Disabled</th>
<th>None Declared</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Adult and Community Services</td>
<td>581</td>
<td>42</td>
<td>1</td>
<td>624</td>
</tr>
<tr>
<td>Central Services</td>
<td>413</td>
<td>25</td>
<td>0</td>
<td>438</td>
</tr>
<tr>
<td>Children Services</td>
<td>1482</td>
<td>56</td>
<td>0</td>
<td>1538</td>
</tr>
<tr>
<td>Environmental Services</td>
<td>477</td>
<td>29</td>
<td>0</td>
<td>506</td>
</tr>
<tr>
<td>Finance</td>
<td>351</td>
<td>35</td>
<td>0</td>
<td>386</td>
</tr>
<tr>
<td>Governance and Law</td>
<td>58</td>
<td>4</td>
<td>0</td>
<td>62</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>3362</strong></td>
<td><strong>191</strong></td>
<td><strong>1</strong></td>
<td><strong>3554</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>Not Disabled</th>
<th>Disabled</th>
<th>None Declared</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Performance</td>
<td>17</td>
<td>2</td>
<td></td>
<td>19</td>
</tr>
<tr>
<td>Policy</td>
<td>9</td>
<td></td>
<td></td>
<td>9</td>
</tr>
<tr>
<td>Communications</td>
<td>18</td>
<td></td>
<td></td>
<td>18</td>
</tr>
<tr>
<td>Mgmt</td>
<td>29</td>
<td>2</td>
<td></td>
<td>31</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>73</strong></td>
<td><strong>4</strong></td>
<td><strong>0</strong></td>
<td><strong>77</strong></td>
</tr>
</tbody>
</table>

Profile of Affected Staff

<table>
<thead>
<tr>
<th>Personnel area</th>
<th>Not Disabled</th>
<th>Disabled</th>
<th>None Declared</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Performance</td>
<td>17</td>
<td>2</td>
<td></td>
<td>19</td>
</tr>
<tr>
<td>Policy</td>
<td>9</td>
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<td></td>
<td>9</td>
</tr>
<tr>
<td>Communications</td>
<td>18</td>
<td></td>
<td></td>
<td>18</td>
</tr>
<tr>
<td>Mgmt</td>
<td>29</td>
<td>2</td>
<td></td>
<td>31</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>73</strong></td>
<td><strong>4</strong></td>
<td><strong>0</strong></td>
<td><strong>77</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>Not Disabled</th>
<th>Disabled</th>
<th>None Declared</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Adult and Community Services</td>
<td>581</td>
<td>42</td>
<td>1</td>
<td>624</td>
</tr>
<tr>
<td>Central Services</td>
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## Gender

### Workforce Profile as at 30th June 2010

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- Gender: 72.76% Female, 27.24% Male

### Profile of Affected Staff

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- Gender: 56% Female, 44% Male
# Ethnicity

## Workforce Profile as at 30<sup>th</sup> June 2010

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<th>Black or Black British – Caribbean</th>
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<th>Dual / Multi Heritage – Other</th>
<th>Dual / Multi Heritage – White / Black African</th>
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### Chief Officer Staff Profile by Ethnicity

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### Age Bands

**Workforce Profile as at 30th June 2010**

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<th>20 to 25</th>
<th>26 to 30</th>
<th>31 to 35</th>
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<th>41 to 45</th>
<th>46 to 50</th>
<th>51 to 55</th>
<th>56 to 60</th>
<th>61 to 65</th>
<th>66 to 70</th>
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Profile of Affected Staff

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<th>20 to 25</th>
<th>26 to 30</th>
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### EIA Action Plan

<table>
<thead>
<tr>
<th>Negative impact or improvement</th>
<th>Action required</th>
<th>Lead Officer</th>
<th>Time scale</th>
<th>Expected Outcome</th>
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<tbody>
<tr>
<td><strong>PROCESSES</strong></td>
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| Potential negative impact on the diversity of the Council’s workforce profile as follows:  
  - ethnic diversity at the Chief Officer level.  
  - Staff aged 26 to 40 and 46 to 50 | Ensure that the HR processes to manage change are implemented effectively.  
Across existing posts that remain and new posts in the To Be structure there are some 8 Chief Officer vacancies. Those not filled through redeployment and ring-fencing provide an opportunity for external advertisement to the widest possible pool of recruits. A strong brief needs to encourage BAME applicants should form part of the search recruitment process | Stuart Petrie will co-ordinate, but appointing managers on selection panels clearly have a role  
Appointing panels  
Lead for search and recruitment strategy and process re Chief Officers. | Between Oct and December 2010 | Staff feel they are fairly treated during the change process and individuals from equalities groups with key skills and experiences are retained in the organisation.  
External recruitment produces a diverse candidate pool |
<table>
<thead>
<tr>
<th>Ensuring that the assimilation, ring-fencing redeployment and redundancy arrangements are bias-free and are implemented in a fair and non-discriminatory fashion by managers</th>
<th>Ensure that the HR policies and processes to manage change are implemented effectively.</th>
<th>Stuart Petrie</th>
<th>Between Oct and December 2010</th>
<th>A fair and transparent set of selection process which all staff feel they are able to access and fully compete within.</th>
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<tr>
<td>Ensure reasonable adjustments in place for disabled staff throughout the process.</td>
<td>Issue dedicated HR briefing note to managers to ensure that appropriate arrangements are put in place for disabled staff to fully participate in compete effectively in redeployment and recruitment processes.</td>
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<td>Ensure that any reasonable adaptation or amendment is made to relevant working environments and jobs to ensure disabled staffs are able to fully compete.</td>
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<td>Ensure staff involved in selection processes and managing the jobs concerned are fully briefed on disability awareness. Investigate what particular support could be given to disabled staff being made redundant given their disadvantage position in a difficult employment market.</td>
<td>Ensure the effectiveness of the monitoring arrangements during the implementation phase from an equalities perspective to ensure that the Council’s commitments to equalities are being implemented.</td>
<td>STRATEGY</td>
<td>Improve staff engagement and development across all equalities groups.</td>
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<tr>
<td>Undertake monitoring of outcomes of the above</td>
<td>Report to Management Board on outcomes for staff affected by these proposals</td>
<td>December 2010 following implementation</td>
<td>Following taking up post expected to be</td>
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<tr>
<td>Stuart Petrie</td>
<td>Assistant Director HR</td>
<td></td>
<td>Promote morale, engagement and enthusiasm.</td>
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**Report to Management Board on outcomes for staff affected by these proposals**

December 2010 following implementation

**Stuart Petrie**

Assistant Director HR

Following taking up post expected to be

Promote morale, engagement and enthusiasm.

Develop and deliver a People Strategy which has a strong diversity theme.
| BME Staff forum to develop role models | The member cohort has strong diversity within it and could play a role in the forum. Given the reduction in black Chief Officers promote the use of external role models in forum events. Could form part of the engagement, change, OD etc. mix of the Action Plan above. The Member cohort has a good range of diversity and professionals and could play an important role in leading and supporting the form. | Assistant Director HR | Following taking up post expected to be Dec 10/Jan 11. | Avoid a culture of negativity. Enable both personal and organisational development. |
London Borough of Waltham Forest

Proposals for Managing Change

16th July 2010
MANAGING CHANGE

CONTENTS

Part One – The Context and Principles

  The future for Waltham Forest Council

  Our People Management Approach

  The Managing Change Process Outline

Part Two – Change Management Procedures
MANAGING CHANGE

INTRODUCTION AND CONTEXT

The Future for Waltham Forest Council

This is a challenging time for local government. From now and for the next few years councils and other public sector organisations will face major financial constraints. There are changing Government expectations about the nature of local government services, their cost and the way they are delivered. There are also changing demands and expectations from citizens and customers.

To achieve all that is required the London Borough of Waltham Forest needs to take a new approach, with new thinking about which services to provide and how to provide them. The outcome will be a new type of organisation, new ways of working and the need for new skills and abilities at all levels of the council. The leadership of the Council has indicated that the priorities in the financial climate are to:

- Create a smaller and flatter organisational structure
- Improve resident journeys and overall satisfaction
- Prioritise staff resources on front line service delivery and reduce the back office
- Bring a clarity to the role of every member of staff in the delivery of services to our residents, visitors and businesses
- Reduce management structures to an appropriate level looking for opportunities to redirect resources, reflect Member priorities and link functions to deliver greater benefits than the sum of their parts
- Respond vigorously and to the new political reality and create a culture of `working at pace´
- Become an innovative, customer-focused organisation
- Promote new ways of working and individual and collective responsibility and accountability
- Reflect the new priorities in everything we do.

In short, the council needs to be more effective in the way it delivers services, more responsive to the needs of customers, more agile and innovative in the way it provides and commissions services and in the way it works with other organisations.
MANAGING CHANGE

The focus and capabilities of all staff and most importantly of organisational leaders and managers will need to change. Everybody’s contribution needs to be more closely aligned with organisational imperatives and performance priorities. All staff will be expected to be more accountable for the quality and value for money of the services they deliver or commission, more responsive to customer needs, more focused on delivering services in partnership with others.

The council aims to re-shape and re-size its organisation in line with the following approach:

- Retaining the people with right skills, behaviours and understanding to operate in the new environment
- Recognising and developing talent and potential
- Promoting innovation and creativity – stimulating the development of new approaches to delivering services, new ways of working
- Promoting collaboration and engagement with individuals, communities and partnership organisations in a way that has not been achieved to date – creating a genuinely customer-led service
- Creating the platform for significant, sustained and sometimes rapid change.

Our People Management Approach

Our success depends on organisational flexibility and agility and that depends on leadership excellence, engaged staff and clear vision.

The financial situation inevitably means that jobs will be lost but the council will do all that it reasonably can to support staff facing change, redundancy or redeployment. To be successful we need to make sure that we retain the right people with the right skills - the people who are committed to the new ways of working, can meet the new expectations and help the council become a success in the new public sector environment. If we do not have people with the right skills who are able and willing to meet the new challenges the council will not succeed and more jobs will be at risk, more customers will be let down.

The council will therefore base its approach to reshaping the organisation on the following principles:

- It will make explicit the skills and behaviours needed by employees in the future and the performance expectations
- Where the reorganisation of services requires changes in staffing numbers or job roles, the process for deciding who will remain in employment will be based on assessing their ability to meet the stated expectations. Where such selection processes are required they will be properly designed and objectively undertaken
MANAGING CHANGE

The scale and intensity of change is such that success in the past is not necessarily an indication of success for the future but people’s past performance record will be taken into account as a part of any assessment process or retention decision.

Where an Assessment Centre has been used as part of the selection process those who do not meet the necessary criteria will be given individual feedback about their performance and where appropriate career development guidance.

Retraining and redeployment will be used where practicable to reduce the need for redundancy.

Voluntary redundancy opportunities may be available. Where such opportunities exist each request will be examined on its merits with the interest of the council and its customers being paramount to the decision.

Support will be available to those placed ‘At Risk’ in accordance with the processes outlined in this document.

The Managing Change Process Outline

The following is a summary of the key stages of the managing changes process. Detailed procedures are described later in the document. We will:

- Hold consultation/briefing meetings with staff and managers about the overall process describing anticipated changes and new priorities as fully as possible.
- Publish the criteria for selecting managers and other staff for future roles.
- Provide details of any assessment processes to be used, briefing participants in detail so that processes and outcomes are clear.
- Provide clear reasons/feedback to employees about any decisions made whether the person is retained, redeployed or put ‘at risk’.
- Provide support and advice to those ‘at risk’.
- Explore alternatives to redundancy where possible including redeployment and alternative working patterns.
- Consider all reasonable suggestions about alternative structures and approaches providing that they meet the council’s overall goals and targets.
MANAGING CHANGE

PART TWO – THE PROCESSES FOR MANAGING CHANGE

To meet new financial expectations and to deliver new services in new ways the council needs to make substantial changes to the way in which we work and therefore the skills we need. While achieving this change the council will focus on retaining staff with the right skills, experience and commitment. We will also take all reasonable steps to provide support to staff whose jobs are at risk – including, where possible, retraining, redeployment, outplacement support and career advice.

The procedures/processes outlined in this document will apply to all those employees within the London Borough of Waltham Forest and will be used to manage the changes for those employees affected by decisions regarding revised structures within the Council.

Agency workers, consultants and those employed by a third party to perform particular functions for or on behalf of the Council are not covered by these procedures.

These procedures/processes have been drawn up to ensure:
- That employees are treated with dignity, respect and fairly
- A fair, open and transparent change management process
- That the council retains the people and skills it needs to meet its future requirement
- That employees are appointed to posts in a revised structure on the basis their skills, experience and performance
- That employees `at risk` are given reasonable support to find an alternative job.

These procedures are designed to enable the Council to implement all the necessary changes as efficiently and effectively as possible and to retain the employees who have the required skills and experience.

Measures Already in Place

A vacancy management process has been operating since May 2010, with a view to maximising opportunities within the Council for redeployees and to making financial savings by limiting the use of agency workers.

Where possible Agency staff will be released in order that the number of suitable alternative posts for redeployees can be maximised. Decisions will be taken on a case by case basis with the emphasis on meeting service needs – current and future.

The council’s Transformation Programme, started in September 2009, is already focused on reviewing how services are designed and delivered and on introducing new ways of working. This work will continue where the outcomes support the achievement of the council’s new goals.
MANAGING CHANGE

TIMETABLE FOR CABINET CONSIDERATION OF PROPOSALS AND IMPLEMENTATION

The timetable for decisions and changes will be as follows, subject to any changes which may arise as the result of new Government or other expectations:

16 July 2010 Start of consultation period
16 August 2010 End of consultation period.
15 September 2010 Formal consideration of proposals by Cabinet

Sept 2010 Announcement of final decisions on the structures and processes and procedures for managing change

1 October 2010 Line managers will meet with all individuals who are in affected posts

Affected employees are given formal notice of redundancy, except for those employees who are to be assimilated. This letter will include the decision to assimilate, ring-fence or redeploy them and their opportunity to appeal

October/ November Selection processes for ring-fence posts undertaken

Management of redeployment processes

Staged release of agency workers to allow re-deployment opportunities

By 31 December 2010 Following the above, the employment will be terminated of those employees who are to be made compulsorily redundant

From 1 January 2011 Employees take up new posts (or at the earliest opportunity before then)
MANAGING CHANGE

COMMUNICATIONS

As in all major reorganisations there are a number of stages to the overall process and in may not be possible to give full details about all issues in the first instance. Some decisions and actions are dependent on the outcome of earlier stages of the reorganisation process.

All questions and queries about anything in this document should be put to your line manager who will provide immediate responses where possible or seek further information and respond as quickly as possible.

The timetable for services reviews and restructuring will be made available to managers and staff as soon as possible. There will be regular briefings by line managers as further information about the restructuring becomes available.

Detailed proposals will be made to each team as soon as possible after they are confirmed.

ABSENT EMPLOYEES

All employees affected by the proposals will receive a letter, normally at their home address, inviting them to contact their line manager to arrange a ‘first individual consultation meeting’. This includes employees on long-term sickness absence, maternity leave and career breaks.

Employees on maternity leave are in a special position. Should an employee on maternity leave be selected for redundancy she must be offered any suitable alternative employment that is available, unless the Council can justify a decision not to do so. HR will manage this process in discussion with the relevant line manager.

NOTIFICATION TO EMPLOYEES

Once decisions have been taken on the proposals and the new organisational structures are known, affected employees will be invited to an individual consultation meeting with their manager and will be entitled to be represented by a colleague or trade union representative (but not a person acting in a legal capacity).

The purpose of this meeting will be to:

- explain to the employee how the changes will affect them i.e. whether they are to be:
  - Assimilated into a role
  - Assessed for a new role through a ring fence or open recruitment process
MANAGING CHANGE

- Considered for retraining.

Or whether they will be at risk of redundancy:

- Explain to those employees who are at risk of redundancy that they will be served with notice of redundancy and will be given access to any support arrangements
- Verify personal information and any details relating to their contract of employment
- Explore any issues or matters of concern relating to the restructure
- Advise any employee placed in a ring fence or required to go through an open recruitment process of the requirements of the new post as outlined in the job description and the person specification, and outline the selection process that will be used to select to the post
- Explore any further options for the employee
- Inform the employee of their right of appeal.

Affected employees will receive a formal letter confirming their position and the outcome of the meeting and given 12 weeks notice regardless of their contractual entitlement to notice.

VOLUNTARY REDUNDANCY

The Council may consider voluntary redundancy in some instances where this option achieves the best outcome for the council and its customers. Any opportunity to express an interest in voluntary redundancy will be published – this may be on a council-wide, department-wide or other basis.

In circumstances where it has been decided that the council will consider voluntary redundancy it will invite relevant employees to express an interest in voluntary redundancy (‘EOI’), by writing to them at their home address.

In that letter the Council will make it clear that:

- The Council wishes to retain those employees who will best meet the needs of the Council in terms of delivering effective and efficient services to the public
- The Council reserves the right to decline an EOI and there is no right of appeal. Where a request is refused the reasons for doing so will be given.
MANAGING CHANGE

IMPLEMENTING THE RESTRUCTURING

For the purposes of managing the changes required across the council, the following processes will apply.

Providing the requirement for suitable skills, experience and performance can be met all posts will be filled by one of the following methods prior to any external recruitment activity:

- **Assimilation** – matching employees with posts where they meet the required criteria
- **Ring-fencing** – grouping employees who all undertake a similar role to the post being advertised
- **Redeployment (where suitable alternative employment criteria are met)** – transferring the employee to another role which is considered a suitable alternative
- **Open internal competition within the Council** – where there are no employees who meet the categories above.

The definitions above explain the principles of the approach only – the detailed procedures are described below.

In some instances the right skills and experience may not exist in the council and where this occurs the post will be filled by external advert.

Where assimilation, ring-fencing, redeployment or open internal competition is applied the inclusion of any employee will be based on their substantive post i.e. not including any honoraria, secondments, acting up or any other temporary arrangements currently in place for an employee irrespective of the length of those arrangements.

The process will be overseen by HR staff to ensure that legal and council policy requirements are met.

**ASSIMILATING EMPLOYEES INTO POSTS**

Assimilation will be undertaken wherever possible providing that the employee can meet the job description and person specification for the role.

The process of assimilation will be as follows:

- The Council will manage the process of assimilation promptly and openly in a way that is reasonable, fair and justifiable.
MANAGING CHANGE

- The Council will assimilate employees without interview if:
  
  a. the essential requirements of the job description and person specifications of the old and new posts are broadly similar, and  
  b. there are no other employees who have a comparable claim to the post by reason of assimilation.

Assimilation may occur where the grade differential between the old and new posts is not more than 1 grade up or down.

If the Council considers that there are other employees with a comparable claim to the post, then a ring fence process will apply.

RING FENCING

The process of ring fencing will be as follows:

- The Council will manage the process of ring-fencing and deal with it promptly and openly in a way that is reasonable, fair and justifiable
- The Council will place employees in a selection pool, known as a ring-fence, where:
  
  - the essential requirements of the job description and person specifications of the old and new posts are broadly similar, and  
  - there are other employees who have a comparable claim to the post by reason of assimilation.

Ring-fencing may occur where the grade differential between the old and new post is not more than one grade up or down. Ring-fencing will not occur where the job description, person specification or performance expectation has altered such that the skills or attributes required are different to those needed previously for the role.

Selection in a ring-fence will be based on a minimum of an interview and may include an assessment centre or selection tests appropriate to the post and grade. The selection process will be used to determine which employee will be appointed on merit to the new post on the basis of best meeting the needs of the Council in the provision of an effective and efficient service to the public.

The selection process will appoint to all of the posts within the ring-fence from the selection pool for that particular ring-fence. If prior to the selection process the number of posts and employees for selection match then all will be assimilated. Any selection will then be for allocation purposes only.
MANAGING CHANGE

The process will be to establish the group of employees directly affected. Ring fences will be drawn primarily around the directly affected employees within, for example, a unit, section, or professional grouping. All ring-fenced employees are required to participate in the selection process. Failure to do so could result in loss of employment with no entitlement to redundancy or other compensatory payment.

A shortened application form will normally be completed, and affected employees will be advised to consider the job description and person specification for the post and the extent to which their own skills, knowledge and experience make them a suitable candidate.

The selection process will vary depending on the nature and grade of the post. It is proposed that for Posts graded SO2 and below this will consist of an interview. Posts graded PO1 and above may include a written exercise and/or Presentation. For senior management and professional posts i.e. PO6 and above, a competence based interview and Assessment Centre will be used.

The purpose of the assessment centre for senior managers is to ensure the council will appoint individuals that have the skills, behaviours and expectations of its senior managers to drive the Council forward.

These processes will be designed to meet the requirements of each role type.

A selection panel consisting of not less than two managers will select for ring-fenced posts on the basis of this assessment. Candidates who are unsuccessful at any stage will have the opportunity to discuss the reasons for this with the Chair of the selection panel. References, CRB, vetting and medical checks will be completed in the normal way, if appropriate.

Candidates wishing to apply for more than one post will generally be required to submit a single application covering all the posts although in some instances separate applications may be required. Where a single application does apply it will be necessary to provide evidence of ability and experience to meet the particular specifications for each post. Applications by an employee for more than one post will be assessed through a single interview and selection process wherever this is appropriate.

The fact that an employee is unsuccessful in the ring fence process does not mean that there may not be suitable opportunities for re-deployment.

SECOND INDIVIDUAL CONSULTATION MEETING

Employees who continue to be ‘at risk’ e.g. after ring-fenced competition will be invited to a second individual consultation meeting with their manager and will be entitled to be represented by a colleague or trade union representative (but not a person acting in a legal capacity).
MANAGING CHANGE

Whilst every effort will be made to assimilate or place employees in ring fences it is recognised that there may be some cases where this is not possible. The Council is committed to being as proactive as possible in facilitating suitable alternative employment for redeployees. As a result, the proposed redeployment procedures will then be brought into operation. The meeting will:

- Confirm that the employee is still at risk and under notice of redundancy
- Discuss the next steps
- Outline the Council’s approach to suitable alternative employment
- Outline the Council’s approach to compulsory redundancy
- Consider any alternative options that may be available to avoid the employee being made redundant, for example job share
- Describe any support available.

The outcome of the meeting will be confirmed in writing to the employee.

REDEPLOYMENT PROCEDURE

The process of redeployment will be as follows:

- The Council will maintain a council wide redeployee register
- The Council will release those agency assignments that may result in a suitable alternative position for a redeployee regardless of the term of the agency assignment.

Employees will be assisted to positively seek redeployment and retraining opportunities for suitable alternative posts within the Council. All reasonable efforts will be made by line managers and HR advisers to find and consider suitable matches. The Council will be as flexible as possible in facilitating the range of job opportunities across a range of relevant skills, locations and working hours.
The period of the job search for the purposes of redeployment will be the length of the employees remaining period of notice.

In considering suitable alternative posts the question is not whether the employment is suitable for that sort of employee, but whether it is suitable for that particular employee.

Decisions on suitable alternatives posts will be made using the job descriptions and person specifications of the employees existing and proposed roles. This is then about matching skills and experience. Consideration can then be given to skills gaps and re-training to fill those gaps.

The approach to redeployment is as follows:

- Employees will be forwarded the relevant vacancy bulletins to support their search for alternative employment
- At the same time details of the employee’s skills and experience and job requirements will be proactively matched by HR against any vacancy that arises throughout the Council, prior to external advertisements
- When suitable vacancies arise HR will consult with the Head of Service and the re-deployee as to a potential match. Where there is more than one potential match, candidates will be placed in a ring fence for selection
- If the employee is assessed by the Head of Service as being able to achieve the job description and person specification within a reasonable time (using a trial period, and if necessary with retraining) the employee will be offered a trial period in the post.

In addition to meeting the required skills and abilities, the following non-exhaustive factors will be considered in determining whether or not alternative work is suitable:

- Pay
- Status
- Location
- Working environment
- Hours of work.
MANAGING CHANGE

- any offer of suitable alternative employment will be:
  - Made in writing
  - Show how the new employment differs from the old employment
  - Be made before the employment under the previous contract ends
  - Inform the employee that they have a statutory right to a trial period of 4 weeks in the new job where the provisions of the new contract differ from those of the old
  - Inform the employee that the trial period can be extended, to a maximum of 8 weeks, for retraining purposes by mutual written agreement that specifies the date on which the trial period ends and sets out the employee's terms and conditions after it ends
  - Advise the employee that if they work beyond the trial period they will have no entitlement to a redundancy payment because they will have been deemed to have accepted the new employment
  - Advise the employee that if they refuse an offer of suitable alternative employment they will lose any entitlement to redundancy pay.

If appropriate, a training allowance of up to £1,000 will be available for the redeployee. The allocations will be facilitated centrally by HR and will be allocated to the appropriate department. The training allowance will not be payable to the redeployee.

For employees with a disability, external funding from Access to Work may be available in order to make reasonable adjustments to enable the employee to undertake the role. This is separate from the re-training monies noted in the paragraph above. Any delay in making an application for such funding will not be a consideration in making job offers.

It is the line manager’s responsibility to ensure that employees who are at risk and therefore in a re-deployment position understands their responsibilities within the process i.e.:

- To be aware that if they decline an offer of suitable alternative employment, or where the Council believes that the employee has not fulfilled any of their responsibilities outlined in the redeployment procedure then their employment may end with no entitlement to a redundancy payment or other financial benefits
- To take an active part in the process, including actively looking for jobs and completing the redeployment application form comprehensively, with support from HR if required
- To discuss with their manager/HR any restrictions to their working time or other relevant factors for employment so that suitable vacancies, with adjustments if necessary, are identified
MANAGING CHANGE

- Given the nature of the service the Council delivers, to bear in mind that the more flexible an employee is in terms of hours and type of work then the more opportunities that are likely to be identified
- To proactively look at advertised positions to ascertain suitability
- To positively consider posts highlighted as possible alternatives including temporary/secondment opportunities, that may add further to the employee’s skills and experience as well as extend the time for exploring further permanent opportunities
- To enter into suitable alternative employment in good faith and to provide sufficient feedback through consultation to ensure that transitional adjustments into the role can be supported.

If at any point either the manager or the employee considers that the alternative role is not suitable, the case will be reviewed by the Head of Service in consultation with HR. The employee will remain in the role until a formal view is taken by the Head of Service.

RETRAINING AS AN ALTERNATIVE TO REDUNDANCY

The Council recognises that the UK and public sector in particular is facing difficult financial times. However there is a continuing need to provide essential services to residents of the Borough and in some areas there remain hard to fill posts. The Council is willing to consider retraining individuals into such areas, subject to the requirements of that profession as an alternative to redundancy. These include social work within Children and Young People, Revenue and Benefits. Any such opportunities will be advertised and the minimum criteria defined.

COMPULSORY REDUNDANCY

Employees who remain at risk following consideration of assimilation, ring fencing and redeployment will face compulsory redundancy unless they have made an application for voluntary redundancy that the Council has accepted. In these cases the employee will have a final meeting where the date of termination of employment, as notified at the first meeting, will be confirmed.

Arrangements will be put in place by the employee’s manager to support the employee during their remaining notice period, including continuing to look at potential opportunities within the Council as well as providing the time to attend interviews outside of the Council.
MANAGING CHANGE

EQUALITIES IMPACT ASSESSMENTS

Any new arrangements arising from these reviews will be introduced in accordance with the council’s diversity and equalities policies.

Assimilation, ring fencing, redeployment and redundancy processes will be monitored to ensure that the council continues to meet its commitment to achieving a representative workforce consistent with its operational requirements.

APPEALS

Employees are entitled to raise an appeal within 5 working days regarding decisions taken under the assimilation, ring fencing, and redeployment procedures/processes.

Any such appeals should be sent to Stuart Petrie, Acting Head of HR who will ensure that a hearing is convened within 15 working days. A Head of Service from the relevant Directorate will consider this appeal.

APPEALS AGAINST DISMISSAL

Any matters arising regarding the selection of an employee for redundancy will be dealt with as an appeal. This is an intended departure from Chapter 9 of the Framework document.

It is proposed that any such appeals must be lodged in writing within a period of 5 working days from the written notification of the decision being received by the employee. The appeal meeting will be held within 10 working days of the notification.

The employee must take all reasonable steps to attend the meeting and may be represented by a colleague or a trade union representative.

An independent Director or Head of Service who was not involved in the previous decisions, will normally chair the appeal meeting.

PROTECTION OF SALARY

Salary protection arrangements will apply where employees, as an alternative to redundancy, are offered, and accept, a post on a lower grade than their existing substantive grade e.g. upon assimilation or upon accepting a suitable alternative post.

To qualify for protection it is proposed that employees must have applied for posts within the ring fence or other vacant posts within the Council (if appropriate) at, or nearest to, their existing substantive grade.
MANAGING CHANGE

Arrangements

If an employee is redeployed to a lower graded post, the protection arrangements will be as follows:

- The rate of pay (not grade) at the time they take the lower graded post will be frozen (i.e. no future increments or pay awards) for a period of 6 months.

- At the end of the 6 month period the employee will be paid at the maximum of the new (lower) grade. If the maximum of the new (lower) grade catches up, through national pay increases, before the sixth month has passed, then the protection (i.e. frozen payments) will cease. From that date forward the rate of pay of the new (lower) grade will be paid.

The Council and trade unions hold the view that the norm for changes in grade should be no more than one grade. Changes that are greater than this will be regarded as exceptional and in agreement with the individual concerned.

PROTECTION OF OTHER TERMS AND CONDITIONS OF EMPLOYMENT – PENSIONS

Normally Local Government Pension Scheme (‘LGPS’) benefits are calculated on the better of an employee's two final years’ pay, plus the average of any fees received in the final three years. Members of the LGPS who downgrade, or whose pay is restricted in the final 10 years (other than as a result of flexible retirement), may, if they wish, choose to have pension scheme benefits based on an average of any three consecutive years in the last 10 years (ending on a 31st March).

Employees in this situation will be reminded of this pension scheme benefit in their written offer of alternative new employment.
MANAGING CHANGE

CALCULATION OF REDUNDANCY AND PENSION PAYMENTS

For employees who leave the Council’s employment either through voluntary or compulsory redundancy the following will apply:

a) The redundancy payment will be based on three factors: an employee’s age, salary and length of service. The employee is entitled to receive:

- 0.5 of a week’s pay for each year of employment in which the employee was aged 21 or under
- 1 week’s pay for each year of employment in which the employee was aged between 22 and 40

Or

- 1.5 of a week’s pay for each year of employment in which the employee was aged 41 or over.

The maximum number of years of employment that can be taken into account is 20.

b) Entitlement will be calculated using the table below. A week’s pay will be calculated using a week’s contractual pay

c) Employees aged over 55 and who are members of the LGPS, will receive their pension entitlements – lump sum and ongoing pension. No added years or other enhancements will be payable.
**MANAGING CHANGE**

**Redundancy Pay Table**

To calculate the number of week’s redundancy pay, cross-reference the person's age and years of service and then multiply that number by the weekly salary. e.g. a person with a salary of £200 aged 22 with four years of service will be entitled to two weeks salary e.g. a total redundancy of £400.

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To calculate the number of week’s redundancy pay, cross-reference the person's age and years of service and then multiply that number by the weekly salary. e.g. a person with a salary of £200 aged 22 with four years of service will be entitled to two weeks salary e.g. a total redundancy of £400.
MANAGING CHANGE

SUPPORT FOR EMPLOYEES

Training will be made available to affected employees who are in ring fence or redeployment situations on application and selection techniques.

Financial considerations are of key concern to affected employees. The Council will therefore arrange for financial advice, if requested.

At their second individual consultation employees will be provided with estimates of their financial information regarding severance and where eligible pension information.

HR SUPPORT

If there are any questions about the human resources procedures/processes contact your HR support as follows:

Children and Young People  
Elaine Brown (ext 3532)

Environment & Regeneration  
Rose Parnell (ext 6821)  
/Sharon Kerr (ext 6822)

Adult Social Care  
Saddaf Mian (ext 3406)

Governance & Law/Finance/People, Policy & Performance  
Tracey Jansen (ext 4366)  
/Christine Martin (ext 4366)

Email: councilreorganisation@walthamforest.gov.uk

CareFirst

CareFirst is a confidential counselling, help and information service provided for all employees and is available free of charge 24 hours a day, every day of the year. The service can help with a range of problems from practical everyday matters to sensitive and emotional issues.

Contact CareFirst by phone on 0800 174319, or visit the website at www.care-first.co.uk. Care First is accessible via Type talk on 0800 500888 and also Minicom.
MANAGING CHANGE

Trade Unions

Employees are encouraged to contact their trade union representatives for advice and support. The lead officers are:

**Unison:** Dave Knight
Cherry Tree House, Town Hall Complex, Forest Road, Walthamstow, E17 4JF
Tel: 020 8496 4479
Email: david@unison-wf.fsnet.co.uk

**GMB:** Moshe Ash
Tel: 020 8496 4787
Email: GMB@walthamforest.gov.uk

**Unite:** Carolyn Simpson,
46 – 48 New Road
Dagenham
Essex RM9 6YS
Tel: 020 8596 9966
Email: Carolyn.Simpson@unitetheunion.org

**NUT:** Rinaldo Frezzato Email: secretary@wfnut.org

**NASUWT:** Ian Moyes Email: ianmoyes@ntlworld.com

**ATL:** Ann White Email: awhite@field.atl.org.uk

**UCU:** Rosa Witton-Dauris: ucuwalthamforest@hotmail.co.uk
Introduction

The Council welcomes petitions and recognises that petitions are one way in which people can let us know their concerns. All petitions sent or presented to the Council will receive an acknowledgement from the Council within 10 working days of receipt. This acknowledgement will set out what we plan to do with the petition.

Paper petitions can be sent to:

Democratic Services
London Borough of Waltham Forest
Waltham Forest Town Hall
London
E17 4JF

Alternatively, you can post a petition on the Council’s website to see if other residents will support it. Details of how to start an ‘e-petition’ are given here [LINK 1](Link to e-petition page of website)

A petition can be submitted by a person of any age who lives, works or studies in the borough of Waltham Forest.

Depending on how many signatures there are to support a petition it will be considered in different ways:

<table>
<thead>
<tr>
<th>Type of Petition</th>
<th>Threshold (Signatories)</th>
<th>Body to consider petition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Written or e-petition</td>
<td>2,000</td>
<td>Full Council Assembly</td>
</tr>
<tr>
<td>Written or e-petition</td>
<td>1,000</td>
<td>Overview &amp; Scrutiny Committee</td>
</tr>
<tr>
<td>Statutory petition</td>
<td>See appropriate legislation</td>
<td>As directed by legislation</td>
</tr>
</tbody>
</table>

If your petition has received the required number of signatures or more it will be debated by the relevant body, or the officer will be called before the appropriate overview and scrutiny committee or scrutiny subcommittee. If this
is so we will let you know when the meeting will take place and the arrangements for you to address the meeting if you wish.

If the petitions do not received the required number of signatures for debate at a meeting, a response will be made in writing to the petition organiser on behalf of the Council, by either the relevant Cabinet Member or Council officer.

**What is a Petition?**

Petitions submitted to the Council must include:

- A clear and concise statement covering the subject of the petition and on each page of the petition
- It should state what action the petitioners would like the Council to take
- The name, address and signature of any person supporting the petition
- A “Statutory petition” is a petition which is covered by another statute, for example requesting a referendum on having an elected mayor or for an allotment.

*Overview & scrutiny committees are committees of councillors who are responsible for scrutinising the work of the council – in other words, an overview and scrutiny committee has the power to make comments and recommendations to Council decision makers and to hold them to account.*

Petitions should be accompanied by contact details, including an address for the petition organiser. This is the person we will contact to explain how we will respond to the petition. The contact details of the petition organiser will not be placed on the council’s website. If the petition does not identify a petition organiser, we will contact the first named person on the petition.

Petitions that are considered to be vexatious, abusive or otherwise inappropriate will not be accepted. In the period immediately before an election or referendum we may need to deal with petitions differently – if this is the case we will explain the reasons and discuss the revised timescale which will apply. If a petition does not follow the guidelines set out above, the Council may decide not to do anything further with it. In that case, we will write to you to explain the reasons.

**Scope of Petitions**

Petitions must relate to matters in which the council has powers or duties or which affects Waltham Forest*.

*A matter affects Waltham Forest where it does not relate to a power or duty but relates to an improvement in the economic, social or environmental well-being of Waltham Forest to which any of our local partners (LINK 3) could contribute. However, if your petition is about something over which the Council has no
direct control (for example the local railway or hospital) the council could consider making representations on behalf of the community to the relevant body. The Council works with a large number of local partners and where possible will work with these partners to respond to your petition. If we are not able to do this for any reason (for example if what the petition calls for conflicts with Council policy), then we will set out the reasons for this to you. You can find more information on the services for which the Council is responsible here (LINK 4) http://www.walthamforest.gov.uk/index/a-z.htm

Petitions shall not concern approval or otherwise of a planning or licensing application (objections to or support for such applications can be made under separate procedures).

Nor can it be about a matter where there are other specific statutory provisions for a petition (for example requesting a referendum on having an elected mayor),

Nor can it relate to a matter where there is already an existing right of appeal, such as council tax banding and non-domestic rates, other procedures apply.

Petitions will also be disallowed where there is already an existing right of appeal or the petition is vexatious, abusive or otherwise inappropriate.

We will not take action on any petition, which we consider falls outside the scope for petitions and will explain the reasons for this in our acknowledgement of the petition.

If your petition is about something that a different council is responsible for we will give consideration to what the best method is for responding to it. This might consist of simply forwarding the petition to the other council, but could involve other steps. In any event we will always notify you of the action we have taken.

Calling Senior Officers to Account

Your petition may ask for a senior council officer to give evidence at a public meeting about something for which the officer is responsible as part of their job. For example, your petition may ask a senior council officer to explain progress on an issue, or to explain the advice given to elected members to enable them to make a particular decision.

If your petition contains at least 1,000 signatures, the relevant senior officer will give evidence at a public meeting of the council’s overview and scrutiny management committee. A list of the senior staff that can be called to give evidence can be found in Appendix A. You should be aware that the overview and scrutiny management committee may decide that it would be more appropriate for another officer to give evidence instead of any officer named in the petition – for instance if the named officer has changed jobs. The
committee may also decide to call an appropriate councillor to attend the meeting, for example the Cabinet Portfolio holder for the service concerned.

If your petition is discussed at a meeting, it will be normal policy for you or another representative of the petitions to be invited to address the meeting.

**What Will the Council Do When it Receives My Petition?**

An acknowledgement will be sent to the petition organiser within 10 clear working days of receiving the petition. It will let them know what we plan to do with the petition and when they can expect to hear from us again. It will also be published on our [website](LINK 6 – To Petition / e-Petition page of website)

If the petition has enough signatures to trigger a debate at the council meeting you have requested, or a senior officer giving evidence, then the acknowledgment will confirm this and tell you when and where the meeting will take place. If the petition needs more investigation, we will tell you the steps we plan to take.

To ensure that people know what we are doing in response to the petitions we receive the details of all petitions submitted to us will be published on our website, except in cases where this would be inappropriate. Whenever possible we will also publish all correspondence relating to the petition (all personal data will be removed).

**How Will the Council Respond to Petitions?**

Our response to a petition will depend on what a petition asks for and how many people have signed it, but may include one or more of the following:

- Taking the action requested in the petition.
- Considering the petition at a council assembly meeting.
- Undertaking research into the matter.
- Holding a public meeting.
- Carrying out wider consultation.
- Holding a meeting with petitioners.
- Writing to the petition organiser setting out the Council’s views about the request in the petition.
- referring the petition for consideration by an overview & scrutiny committee.

**Process at the Meeting**
If a petition contains the required number of signatures, and you have requested that it is debated by a particular body such as Full Council; the issue raised in the petition will be discussed at a meeting which relevant councillors can attend. The Council will endeavour to consider the petition at the next available meeting, although on some occasions this may not be possible and consideration will then take place at the following meeting.

At the meeting the petition organiser will be given three minutes to present the petition at the meeting and the petition will then be discussed by councillors.

The councillors will decide how to respond to the petition at this meeting. They may decide to

- take the action the petition requests,
- not to take the action requested for reasons put forward in the debate, or
- to commission further investigation into the matter, for example by a relevant committee.

Where the issue is one on which the council’s cabinet are required to make the final decision, the councillors will decide whether to make recommendations to inform that decision. The petition organiser will receive written confirmation of this decision. This confirmation will also be published on our website (LINK 7 To Petition/e-petition page).

**What Can I Do if I Feel My Petition Has Not Been Dealt With Properly?**

If you feel that we have not dealt with your petition properly, the petition organiser may request that the Council’s overview and scrutiny committee review the steps that the council has taken in response to your petition. Such requests will be discussed with the chair of the Overview & Scrutiny Management Committee before a reply is given. In such cases the petition organiser should give a short explanation of the reasons why the Council’s response is not considered to be adequate.

If it is agreed that the Council has not dealt with your petition adequately, the Overview and Scrutiny Committee may use any of its powers to deal with the matter. These powers include instigating an investigation, making recommendations to the Council’s Leader and/or relevant Cabinet Member and arranging for the matter to be considered at a meeting of the Full Council.

Once the appeal has been considered the petition organiser will be informed of the results within 5 working days. The results of the review will also be published on our website (LINK 8).
Appendix A - List of Senior Council Officers

List will include all Chief Officers and Heads of Service

Waltham Forest council petition scheme Month 2010
1. SUMMARY

1.1 The Government has published statutory guidance on a new duty for councils to respond to petitions. The guidance came into force on 15 June 2010, and includes a requirement for local authorities to have provision on their websites for e-petitions by 15 December 2010. It also requires councils to have a scheme by which petitions with a specified number of signatures (paper or electronic) will be considered by an overview & scrutiny committee and by Full Council.

1.2 This report set out a draft petitions scheme for the Council. The draft scheme will be submitted to the next meeting of the Audit & Governance Committee for consideration, with a view to a recommendation being made to Full Council in October.

1.3 Any comments made by the Overview & Scrutiny Committee will be reported to the Audit & Governance Committee. Members comments are invited in particular on the proposed thresholds of 1,000 signatures and 2,000 signatures for petitions to be considered, respectively, by an Overview & Scrutiny committee and by Full council.

2. BACKGROUND

2.1 The Government believes that petitions are a good way for people to communicate their views. Petitions are the most commonly undertaken civic engagement activity according to a recent Citizenship Survey (2007-2008) with approximately 60% of people claiming to have signed a petition in the previous twelve months.

2.2 According to research, less than one third of councils automatically respond to petitions at present. The former Government also found that only one in five councils make details about how to submit a petition publicly available on their web-site.
2.3 Following the Governance of Britain Green Paper 2007 and the Local Democracy, Economic Development and Construction Act 2009, the former Government has set out to introduce a more formal petitioning system within all local authorities in England.

2.4 The statutory guidance sets out the requirements of the petitions duty, namely that all local authorities must establish a scheme for responding to the petitions they receive, and that councils will be required to tell people what action is going to be taken to address their concerns. There has been no indication to date that the Government elected in May 2010 will repeal the provisions Acts supporting the introduction of petition arrangements.

2.5 **The Petition Scheme:**

- must be approved by full council
- must be published on the website
- must be accessible for all and the process must be easy to understand and use

must include a number of options for further action such as (a) taking the action requested in the petition; (b) considering the petition at a meeting of the authority; (c) holding an inquiry; (d) holding a public meeting, (e) commissioning research; (f) a written response to the petition organiser setting out the authority’s views on the request in the petition; (g) referring the petition to an overview and scrutiny committee

- must set a threshold trigger for a petition to be debated in full council (no greater than 5% of the local population)
- must notify the petition organiser of the date of the debate to enable them to attend and may allow for petitioners to address full council
- must set a threshold trigger to require a senior officer to attend an overview and scrutiny committee to answer questions from the committee
- must determine a list of names and job titles of the most senior officers to whom the overview and scrutiny trigger applies (which as a minimum must include the chief executive) and the list must be held by the authority
- may exclude petitions which are vexatious, abusive or inappropriate
- must not apply to petitions on excluded matters (planning, licensing, individual appeals)

2.6 **The Petition:**

- can be signed or organised by anyone who lives, works or studies in the local authority area, including under 18’s
- can be referred to the council’s overview and scrutiny committee if the petitioners feel that the response from the council is not adequate

2.7 **The Authority:**

- must make a facility available for electronic petitions by 15th December 2010
- must allow people to sign e-petitions electronically (it is not enough to publish e-mailed petitions)
• may decide not to publish petitions which do not comply with data protection, libel, or do not comply with equalities and anti-discrimination legislation
• must acknowledge the petition within a time period specified in the scheme
• must notify the petition organiser of the steps it intends to take and publish this notification on the authority’s web-site
• must debate petitions in full council which are supported by a threshold trigger of not more than 5% of the local population (save on excluded matters, or on issues which are vexatious or which do not comply with data protection, libel or equalities and anti-discrimination legislation)
• must publish the results of any overview and scrutiny petition appeal review on the authority’s web-site

2.8 It will be important that the petition scheme sits alongside other public engagement processes including for example: the authority’s complaints procedures, the ability of local ward councillors to refer issues to the authority on behalf of their constituents, the councillor call for action, and other local consultation and engagement techniques.

2.9 (Paragraph to come from Claire Witney about the use of petitions as a means of protesting about Council decisions, and why it is expected that the use of petitions will increase)

3. PROPOSALS

3.1 A draft Petitions scheme is attached. This will be presented to the Audit & Governance Committee at its meeting on 23rd September 2010 for consideration. It should be noted that the proposals include:

(a) A suggested threshold of 2,000 signatures for a petition (written or electronic) to be considered by an appropriate Overview and Scrutiny Committee. It is expected that a petition meeting this threshold would be considered at the next scheduled meeting of the appropriate O&S sub-committee following receipt. The suggested threshold of 2,000 signatures represents approximately 1% of the ONS estimate of the borough population of 223,200.

(b) A suggested threshold of 4,000 signatures for a petition (written or electronic) to be debated by Full Council. This represents approximately 2% of the ONS estimate of the Borough population.

4. CONCLUSION

4.1 This Committee is asked to discuss the proposals and make any comments, particularly any relating to the arrangements for a petition to be debated by an Overview & Scrutiny committee. Any comments made will be conveyed to the Audit & Governance Committee.

4.2 The Audit & Governance Committee will be requested to make recommendations to the next Full Council Meeting on the adoption on a Petitions Scheme for Waltham Forest.
5. **APPENDICES:**

Draft Petition Scheme: London Borough of Waltham Forest

**Background Papers**

Government Guidance on Petition Schemes under the Local Democracy, Economic Development and Construction Act 2009 (Published)
1. SUMMARY

1.1 This report seeks the views of Members of the Overview & Scrutiny Management Committee on the detail for the introduction of a Scrutiny Co-Option scheme. The intention is for the scheme to foster increased resident participation through the scrutiny function via a formal scrutiny Co-Optee scheme. Ultimately, it is envisaged that the scheme will lead to a pool of such Co-Optees who may be called upon as required to participate and contribute to the work of the Council’s formal scrutiny Sub Committee’s and time limited Scrutiny Panels.

2. BACKGROUND

2.1 The Council would like to draw on the experience and knowledge of people within the borough of Waltham Forest when undertaking its Scrutiny function. It is envisaged that a scrutiny Co-Option scheme, leading to the establishment of a pool of Co Opted members available for a range of scrutiny reviews, would encourage a greater sense of community ownership and participation through the scrutiny process and would therefore lead to increased engagement with residents through scrutiny.

2.2 The issue of greater public involvement through the scrutiny process and engagement with residents was also raised in the rockpools review of scrutiny at the end of 2007 and again at the Scrutiny Chairs away day held in February 2010. The introduction of a Scrutiny Co-option scheme, with the expressed objective of widening community participation through scrutiny, would go some way towards addressing wider public participation issues as raised by some scrutiny Members to date.

2.3 The Local Government Act 2000 sets out the requirement for a Scrutiny function to review or scrutinise decisions made, and to make reports or recommendations. Co-Optees are provided for by the Local Government Act 2003. A Co-Opted
member may be given permission to vote at meetings of the Scrutiny Committee only in accordance with a scheme made by the Council. Without such a scheme being in place the independent Co-Optees have no voting rights. The proposed scheme would not change the existing voting arrangements for Co-Opted members sitting on formal scrutiny committee’s or time limited scrutiny panels.

3. **CONCLUSION**

3.1 Subject to comment received from Members of the Overview and Scrutiny Management Committee, the scrutiny Co-Optee scheme would be submitted to the Audit and Governance Committee meeting scheduled for 23rd September 2010. In the event that the scrutiny Co-Optee scheme is approved in September, advertising and publicity for the scheme could take place as a part of local democracy week, which will be launched in mid October 2010.

**APPENDICES:**

Appendix 1: Sample – Scrutiny Co-Optee Scheme Press Release

Appendix 2: Sample - Scrutiny Co-Option Induction Programme Details

Appendix 3: Scrutiny Co Optee Information and Application Pack

**Background Papers**
APPENDIX 1

SAMPLE PRESS RELEASE

WALTHAM FOREST COUNCIL – SCRUTINY NEEDS YOU!

Waltham Forest Council is recruiting members of the public as Co-Opted members onto their scrutiny sub committee’s and scrutiny panels.

Scrutiny acts as the Council’s ‘watchdog’, monitoring the decision-making process of the Cabinet, Council services and its partners. Co-Opted members work alongside Councillors on the Scrutiny sub committee’s and panels, to look at the services and issues that affect the lives of people living in the Borough of Waltham Forest.

By volunteering yourself or suggesting someone else with local knowledge and enthusiasm to be an effective co-opted member of a scrutiny committee or panel, you will help to reflect the views of your local community and other residents as to what the most important issues in the borough are and which matters should be given specific attention and reviewed.

Councillor Matt Davis, Chairman of the Overview and Scrutiny Management Committee, said:

“Co-Opted members play a very important role in the scrutiny process, helping to influence the Council’s policies and challenging performance and practice. It is an interesting and rewarding role.”

Anyone who is interested in finding out more is encouraged to drop-in to an information session. They are being held on:

- Date, Time, Location
- Date, Time, Location

Further details and an application pack can be requested from the Scrutiny Unit by:

Telephone: 020 8496 8093 (Paul Rogers, Overview & Scrutiny Manager)

e-mail: paul.rogers@walthamforest.gov.uk

Or directly from the Town Hall reception, Forest Road, Walthamstow, E17 4JF.
Scrutiny Co-Optee – Induction Programme

The Scrutiny Co Optee Induction Programme is delivered in three stages. Each stage builds on the previous one, and Co-Optees are therefore asked to make every effort to attend each stage.

Stage 1 – Introduction to Scrutiny
Date / Time
Location
This session will build on your existing knowledge of the scrutiny process and look in more detail at the decision-making structures of the Council and scrutiny’s role in these. We will also start to explore your Scrutiny Sub Committee / Scrutiny Panel preferences.

Stage 2 – Attending a Panel
You are asked to attend at least one Scrutiny Sub Committee / Scrutiny Panel meeting to observe scrutiny in action and to develop your understanding of the process.

Details of the Scrutiny Panels, which you can attend, are set out below:

- Date
  - Date
  - Date

All Scrutiny Sub Committee / Scrutiny Panel meetings are being held in Walthamstow Town Hall.

Please contact the Scrutiny Office to confirm which you will be attending.

Stage 3 – Key Skills
Date / Time
Location

This session will explore and develop the key skills that are required by members of Scrutiny Sub Committees and Scrutiny Panels.
# Contents

<table>
<thead>
<tr>
<th>Introduction to Overview and Scrutiny</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Councils Decision Making Structure</td>
<td></td>
</tr>
<tr>
<td>Scrutiny Panels</td>
<td></td>
</tr>
<tr>
<td>Overview and Scrutiny Voluntary Co-Optees</td>
<td></td>
</tr>
<tr>
<td>Overview and Scrutiny Voluntary Co-Optees</td>
<td></td>
</tr>
<tr>
<td>Frequently Asked Questions</td>
<td></td>
</tr>
<tr>
<td>Information on Expenses</td>
<td></td>
</tr>
<tr>
<td>Members Code of Conduct</td>
<td></td>
</tr>
<tr>
<td>Further Information</td>
<td></td>
</tr>
<tr>
<td>Recruitment Timetable</td>
<td></td>
</tr>
<tr>
<td>Application Form</td>
<td></td>
</tr>
</tbody>
</table>
INTRODUCTION TO OVERVIEW & SCRUTINY

BACKGROUND

Overview and Scrutiny is the process by which the Council looks at its own performance, and that of other public sector services, to check how well they are doing.

It was established by the Local Government Act 2000, to support efficient, transparent and accountable decision-making. More recent legislation, including the Police & Justice Act 2006 and the Local Government and Public Involvement in Health Act 2007, has extended its remit and powers.

Overview and Scrutiny provides an important role for all Councillors who do not hold Cabinet posts and has a number of key roles to play:

* Holding to account the Councils Cabinet ('Executive') and other decision makers
* Policy review and development
* Challenging performance and reviewing quality
* Reflecting the voice and concerns of the public

SCRUTINY STRUCTURE IN WALTHAM FOREST

The work of overview and scrutiny in Waltham Forest is co-ordinated by the Overview & Scrutiny Management Committee.

To ensure independence, this Committee is made up of ten Councillors (from each of the political groups) and is chaired by a member from an Opposition group. The Chairman of the Overview and Scrutiny Management Committee is Councillor Matt Davis.

There are six Scrutiny Sub Committees and a number of time limited Scrutiny Panels, which include Councillors from all political groups. The Standing Sub Committees are:-

* Children & Young People
* Community Safety & Housing (incorporating the Crime Reduction Scrutiny Sub Committee)
* Environment
* Finance
* Health, Adults & Older People
* Performance Improvement

The Scrutiny Panels are complemented by work undertaken by individual members as assigned tasks or small focused groups, which carry out in-depth investigations. Scrutiny Panels are established with specific terms of reference.

**OFFICER SUPPORT**

A dedicated support service is provided to the overview and scrutiny function, by an Officer team who provide independent information-gathering, analysis, advice and administrative support to those Council and Co-Opted Members involved in Overview and Scrutiny.

<table>
<thead>
<tr>
<th>Sub Committee/Panel</th>
<th>Lead Member</th>
<th>Support Officer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Overview &amp; Scrutiny Management Committee</td>
<td>Councillor Matt Davis</td>
<td>Paul Rogers</td>
</tr>
<tr>
<td>Children &amp; Young People</td>
<td>Councillor Ebony Vincent</td>
<td>Tony Lane</td>
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<tr>
<td>Community Safety &amp; Housing (incorporating Crime Reduction</td>
<td>Councillor Khevyn Limbajee</td>
<td>Farhana Zia</td>
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<td>Scrutiny Committee)</td>
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<td>Environment</td>
<td>Councillor Geoff Hammond</td>
<td>Tony Lane</td>
</tr>
<tr>
<td>Finance</td>
<td>Councillor Michael Lewis</td>
<td>Paul Rogers</td>
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<tr>
<td>Health, Adults &amp; Older People</td>
<td>Councillor Richard Sweden</td>
<td>Farhana Zia</td>
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<tr>
<td>Performance Improvement</td>
<td>Councillor Asim Mahmood</td>
<td>Paul Rogers</td>
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<tr>
<td>2012 Olympic Legacy Panel</td>
<td>Councillor Peter Herrington</td>
<td>Tony Lane</td>
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<tr>
<td>Procurement Scrutiny Panel</td>
<td>Councillor Bob Sullivan</td>
<td>Paul Rogers</td>
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<tr>
<td>Transformation Programme Scrutiny Panel</td>
<td>Councillor Michael Lewis</td>
<td>Paul Rogers</td>
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</tbody>
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Holding the Cabinet to Account
Regular liaison meetings between Lead Members and respective Cabinet Members. Challenging the decision-making process by using formal procedures - notice of concern and ultimately call-in. Cabinet Members (and officers) are required to attend Scrutiny Sub Committee and Panel meetings if requested to do so.

Policy Review and Development
Services and Cabinet Members should involve overview and scrutiny at the early stages of policy and plan making. This means that it is possible to address concerns before a formal decision is proposed.

Challenging Performance and Reviewing Quality
Panels can use performance monitoring information to hold the Cabinet to account, although they do not need to carry out monitoring themselves. Monitoring information can be used to identify issues that might need Panel attention.

Reflecting the Voice and Concerns of the Public
Panel meetings are held in public (unless they are looking at sensitive or confidential information). This means that the public and media are welcome to attend.

Monitoring Recommendations
Panels monitor and challenge the implementation of previous recommendations from scrutiny and other reviews and follow these up if necessary.

Assigned Tasks
Individual members of Scrutiny Panels may be asked to undertake various scrutiny tasks outside of formal panel meetings. These assigned tasks could include investigating a specific issue, scoping a potential area of work or other activities.

FURTHER INFORMATION
Copies of meeting agendas and the minutes of previous meetings can be requested from the Scrutiny Team or downloaded from the Council website at:


To find out more, contact:

Overview and Scrutiny Team
1st Floor, Town Hall, Forest Road, Walthamstow, E17 4JF
Tel: 020 8496 8093
E-mail: paul.rogers@walthamforest.gov.uk

Waltham Forest Council website:

www.walthamforest.gov.uk/index/council/overview-and-scrutiny
The Council’s Decision Making Structure

Summary

The Council has a Leader and Cabinet executive structure, in which the overall budget and policy framework is determined by Full Council (all 60 Councillors) with the Leader and Cabinet responsible for most day-to-day decisions. Major decisions for the coming months can be found in the Forward Plan.

Cabinet

The Leader and a Cabinet comprising 7 other Councillors is appointed annually by the council each year. Each Cabinet Member is responsible for a particular portfolio of responsibilities. Key decisions are generally made by the Cabinet as a whole, although sometimes, where there are no implications for other services, decisions may be made by individual Cabinet Members.

Overview and Scrutiny

The work of the Council and, in particular, the Cabinet is subject to scrutiny by those Councillors not in the Cabinet. In Waltham Forest, this is carried out by an Overview and Scrutiny Management Committee and 6 Scrutiny Sub-Committees (the scrutiny committee structure arrangements are presently under review and recommendations are expected to be submitted to the Cabinet in MONTH proposing a new scrutiny committee structure).

The Overview and Scrutiny Management Committee is responsible for looking at different aspects of the Councils’ Services and is supported by 6 dedicated thematic sub-committees.

Scrutiny Committees may co-opt people with particular expertise or local knowledge as non-voting members or advisers to the scrutiny committee.

In addition, the Management Committee may set up a number of time limited Scrutiny Panels.

More about Overview and Scrutiny Committees and Panels (weblink)

Role of the Full Council

The Full Council (all 60 Councillors meeting together) has the ultimate power to hold the Leader and Cabinet to account.

The Council's functions are to:

- Make decisions that have to be made by Full council by statute
- Consider, debate and approve budget, policy and major service proposals
• Scrutinise the performance of the Leader and Cabinet with the assistance of Scrutiny Committees and time limited scrutiny Panels
• Make appointments to the Cabinet, Scrutiny Committees and outside bodies
• Consider wider matters affecting the Council and the Borough

The Council also has the power to give direction to the Scrutiny Committees in a manner that is supportive of these Committees' independent role.

Role of the Cabinet

There are eight Cabinet members (including the Leader of the Council) with portfolios agreed by the Council. The Cabinet works within the policy of collective responsibility and its functions are to:

• Discharge all the functions of the authority which are not required by legislation to be discharged by the full Council, subject to any regulations made by the Secretary of State.
• Implement the Council's policies and spending the bulk of the budget in accordance with the policy framework and the Council's financial rules and regulations.
• Make recommendations on major policy and resources matters for decision by the Council.
• (within the current legal framework) to be the collective consultee on decisions under delegated authority which require full Cabinet consultation, other significant policy matters affecting functions are discussed with individual Cabinet members within the Cabinet member's portfolio.
• Give political direction and guidance to and monitor the performance of Officers who are responsible for managing and delivering services).
• Provide political accountability for the Council's performance to the Council and to Scrutiny Committees; to foster and improve the Council's performance as a partner with other bodies.

Purpose of Overview and Scrutiny Committees

Scrutiny Committees take an independent leadership role in the Council's efforts to continuously improve the performance of its services and the policies and strategies within which they operate.

The purpose of scrutiny is to:

• Examine in depth policies, services, options and alternatives.
• Monitor the Council’s performance.
• Conduct urgent reviews, if necessary, of Cabinet decisions before their implementation.

• Review the outcome of the Cabinet's and other decisions.

• Officers and Councillors must respond to questions and give evidence if requested as part of the scrutiny. Other statutory bodies, key strategic partners and people outside the Council may be requested to give evidence, including the Metropolitan Police, Learning and Skills Councils, transport operators and health providers.

• Five Councillors who are not in the Cabinet have been appointed to each of the six Scrutiny sub-committees. Ten such Councillors sit on the Overview & Scrutiny Management Committee.

To achieve their aims each Scrutiny committee:

• Monitor and evaluate the performance of relevant services and functions

• review relevant services and functions

• review the effectiveness and appropriateness of relevant Council policies, including assessment of the effectiveness of policy implementation

• propose and recommend improvements to the Council's services, functions and policies

  o comment and advise on service, policy and other proposals made by the Cabinet or the Council's management Board, including comment to the Council on Cabinet recommendation

  o consider, comment on and propose amendments to the budget proposed by the Cabinet

  o review decisions made under delegated authority and make comments and recommendations to the Cabinet and the Council's Management Board

  o refer any decisions, actual or contemplated, which are deemed by the committee or sub-committee to be improper or non-compliant to the Compliance Committee

  o review action taken in response to petitions and delegations and make comments and recommendations to the Cabinet and the Council's Management Board
Overview & Scrutiny: Governance Structure

Scrutiny has two main functions:
- To act as a check and balance on the Cabinet, holding them to account for the decisions taken.
- To review and help to develop Council policies to ensure that they have a positive impact on the people of Waltham Forest.

Scrutiny:
- is undertaken by elected members of the Council (Councillors) who are supported by a dedicated and independent Overview and Scrutiny Unit which reports directly to Waltham Forest's Executive Director for Law & Governance.
- is one of the most important ways in which non-executive Councillors can influence Council policy and champion his or her constituents
- is not limited to monitoring the Council and can be applied to any agency whose activities affects local people, including the police, parts of the NHS or the fire authority.

Overview and Scrutiny Management Committee

The Overview & Scrutiny Management Committee is responsible for:
- Establishing time-limited panels to look at particular topics.
- Calling in Executive decisions made but not yet implemented to see if they are appropriate.
- Examining performance management information to check areas of concern.
- Initiating new policies and suggest improvements to current policies.
- Managing and co-coordinating the Council’s six Scrutiny Sub-Committee’s forward work a programme, reviewing the scrutiny committee’s working practices and strategic objectives, managing the delivery of a scrutiny improvement action plan and identifying a scrutiny Member’s Learning and Development Programme.

The Committee consists of 10 non-Cabinet Member’s, including either the Chair of each of the Scrutiny sub-committees, and other Members appointed by the political parties to satisfy the requirements of political balance. It meets at least 12 times a year.
Overview and Scrutiny Sub-Committees

There are 6 Overview and Scrutiny Sub-Committees:

- Health, Adults and Older People’s Services Overview and Scrutiny Sub-Committee
- Children and Young People’s Services Overview and Scrutiny Sub-Committee
- Performance and Improvement Overview and Scrutiny Sub-Committee
- Community Safety and Housing Overview and Scrutiny Sub-Committee
- Environment Scrutiny Sub-Committee
- Finance Scrutiny Sub-Committee
Each Scrutiny Sub-Committee consists of 5 Councillors. Some Scrutiny Sub Committees also include statutory and voluntary Co-Optees.

The Chair must be a Councillor and no members of the Scrutiny Sub Committee can be a member of the Cabinet. The Committee may appoint non-voting co-opted members from outside bodies and local communities. Membership of the Sub-Committee must reflect the political balance of the Council.

The key functions of each of the Scrutiny Sub Committees are as follows:

**Health, Adults and Older People’s Services Overview and Scrutiny Committee**
The Health, Adults and Older People’s Overview and Scrutiny Sub Committee monitors and reviews the policies and practices of, and services provided by the Council, its partners and contractors, by co-ordinating the effective scrutiny of adult social care, public health services and other related services.

The Sub Committee drafts reports and puts forward recommendations to Cabinet, the relevant local NHS bodies, Pan-London Joint Health Overview and Scrutiny Committees, the Local Strategic Partnership (LSP), relevant external organisations and the Council as may be required.

**Adult Social Care**
The Sub-Committee will scrutinises the following services that fall within the remit of the Cabinet Portfolio holder for Health, Adults and Older People:-

- Adult Social Services Functions
- Health
- Older People’s Strategy
- Supporting People
- Value for Money within Portfolio Area
- External Partnerships within Portfolio Area

**Public Health**
The Sub Committee monitors related services delivered by the Council and local health agencies. It also considers diversity, inclusion and equalities in the performance of its overview and scrutiny role.

**Children and Young People’s Services Overview and Scrutiny Committee**
The Sub Committee monitors and reviews the policies and practices of, and services provided by, the Council, its partners and contractors in respect of children and young people.

In particular, it monitors and evaluates performance and receives reports on matters relevant to local education services, and other services relating to children and young people, such as safeguarding arrangements.
The Sub Committee also scrutinises services that fall within the remit of Cabinet portfolio holders for:

- Children and Young People and Leisure, Arts and Culture relating to children and young people.

**Community Safety and Housing Overview and Scrutiny Sub-Committee**
The Community Safety and Housing Scrutiny Sub Committee monitors and reviews the policies and practices of, and services provided by, the Council, its partners and contractors, in respect of community safety, the interaction between the Council and the borough’s residents in respect of community safety matters and the management and provision of housing within the borough.

The Sub Committee also scrutinises services that fall within the remit of Cabinet portfolio holders for Communities and Housing and Development.

**Environment Scrutiny Sub-Committee**
This Sub Committee monitors and reviews the policies and practices of, and services provided by, the Council, its partners and contractors, in respect of the environment and regeneration and cultural provision within the borough.

It also scrutinises services that fall within the remit of Cabinet portfolio holders for Environment and Leisure, Arts and Culture.

**Finance Scrutiny Sub-Committee**
The Finance Scrutiny Sub Committee monitors and reviews the policies and practices of, and services provided by, the Council, its partners and contractors, in respect of the preparation and monitoring of the Council’s financial programmes and annual budget; the council’s procurement strategies and performance, the Council’s risk management framework and the associated control environment and the general overview of the financial effectiveness and efficiency of any service undertaken by the Council.

It also scrutinises services that fall within the remit of The Leader of the Council in respect of the Council’s budget strategy and all portfolio holders in respect of budgetary control of services within their portfolios.

**Performance Improvement Scrutiny Sub-Committee**
The Performance Improvement Scrutiny Sub Committee monitors and reviews the policies and practices of, and services provided by, the Council, its partners and contractors. In particular, it monitors and evaluates performance and receives reports on matters relevant to the corporate performance of the Council, and services to borough residents. It also scrutinises services that fall within the remit of the Cabinet portfolio holder for Corporate Resources (including the Transformation Programme).
SCRUTINY PANELS

Scrutiny Panels examine issues and problems in detail. Panel meetings are less formal than traditional council committee meetings.

Panels:

- Gather evidence from a wide range of sources including Council Officers, other local authorities, national agencies, service users, expert witnesses and their own research.

- Consider the evidence presented to them and report back to the Scrutiny Commission or the appropriate Scrutiny Sub-Committee complete with recommendations.

- Publish their findings and refer their recommendations to the Executive or other agencies, which are affected by them, for consideration and implementation.

- Include co-opted members and meetings are sometimes held outside the Town Hall, in venues such as schools and community centres.

- Vary in duration according to the level of complexity and detail required. However, the maximum time expected is six months (unless the Panel is a 'standing Panel', in which case it may exist for longer than six months).
OVERVIEW AND SCRUTINY VOLUNTARY CO-OPTEES

What is a voluntary Co-Optee?

A voluntary Co-Optee is a layperson, resident in the Borough of Waltham Forest, with an interest in scrutinising decisions and policies that are being made by the council. A voluntary Co-Optee will want to contribute to shaping how the Council and its partners deliver services to meet the needs of residents of Waltham Forest.

A voluntary Co-Optee will be able to contribute equally to the constructive work of Overview and Scrutiny, as any other Scrutiny Sub Committee or Panel Member. Voluntary Co-Optees can be drawn from all sectors, irrespective of age, gender or ethnic background.

The position of Co-Optee is a voluntary role, with necessary expenses incurred by the Co-Optee being paid. There is more information detailing what expenses may be claimed by a Co-Optee towards the end of this information / application pack.

Skills and Knowledge:

What key skills and knowledge do you need to effectively carry out the role?

- Effective communication skills, particularly listening and questioning skills.
- The ability to look at issues from a broad perspective.
- The ability to work as a team with other panel members and council officers.
- The ability to weigh up information to reach conclusions and recommend action.
- An interest in local matters.
- The ability to listen with an open mind to the points of view of others.
- The ability to not pre judge outcomes or show bias, for example party political bias.

Key tasks:

What are the key tasks associated with the role?

- Attending Scrutiny Sub Committee meetings, approximately one meeting every 6 to 8 weeks. Time Limited Scrutiny Panel meetings may meet more frequently over a shorter timescale.
- Reading papers and reports in preparation for panel meetings.
- Asking appropriate questions on issues before the Sub Committee / Panel.
- Assessing the evidence and information provided at meetings to form views and opinions.
- Contributing to the formulation of Sub Committee / Panel recommendations.
- Undertaking work on assigned tasks agreed by the Sub Committee / Panel.
- Reporting back to the Panel on the findings of assigned tasks.
- Monitoring and following up on recommendations to monitor progress and improvement.
FREQUENTLY ASKED QUESTIONS

Here are some brief answers to the most frequently asked questions about overview and scrutiny.

More detailed information is available from:
www.walthamforest.gov.uk/index/council/overview-and-scrutiny.htm

What is Overview and Scrutiny?
Overview and scrutiny is an important council function, led by elected Councillors, who:

- monitor the quality of services delivered by the council and other local agencies
- carry out reviews of issues, policies or services in areas where there are concerns or there is potential for improvement
- develop policy proposals for recommendation to the cabinet, Council Partners or other agencies
- hold the Cabinet to account for its policies and decision-making
- hold the Local Strategic Partnership to account for its effectiveness

Who is involved?
Overview and scrutiny gives an important role to all Councillors who do not hold a Cabinet post. The role is undertaken by Councillors and voluntary scrutiny Co-Optees, who are supported in by a dedicated scrutiny officer team.

The Overview and Scrutiny Management Committee lead and manage the scrutiny process. The Scrutiny Management Committee agrees what issues will be reviewed, co-ordinate the scrutiny Sub Committee annual work programmes, and agree topics to form time limited Scrutiny Panels. There are six permanent scrutiny Sub Committee’s, some of which are comprised of Councillors with a number of voluntary Co-Optees and each focusing on different areas.

Time limited Scrutiny Panels are also agreed from time to time, usually in order to carry out more in depth or cross-cutting investigations, the recommendations and conclusions of which are reported up to the Overview and Scrutiny Management Committee before submission to the Cabinet, meeting of Council or directly to a partner organisation.

What powers does scrutiny have?
Scrutiny Sub Committee and Scrutiny Panels have the power to call in witnesses and any papers relevant to their enquiries and to require a response to their recommendations.

Is scrutiny a political activity?
Scrutiny is a key part of the political process. However, it is not party political. The
Overview and Scrutiny Management Committee, scrutiny Sub Committee’s and Scrutiny Panels involve Councillors from across all the political groups. When undertaking scrutiny, Councillors leave their party politics to one side in order to look objectively at the issues, agree conclusions and to make recommendations which are based on evidence and are in the best interest of Waltham Forest residents.

How do you choose what to scrutinise?
The Councillors and voluntary Co-Optees involved in scrutiny decide which issues they want to prioritise for scrutiny to address. Carrying out effective scrutiny takes a lot of time, commitment and effort so it is simply not possible to look at every issue. When choosing issues, scrutiny will consider whether it can make a real difference to the resident’s of Waltham Forest (for example, whether recommendations could result in improved council services).

Which Issues can scrutiny not consider and why?
Scrutiny is not appropriate for considering individual complaints, nor can Scrutiny Panels investigate regulatory or quasi-judicial decisions, such as planning or licensing decisions.

How Can Members of the Public Be Involved?
You can:
- attend public meetings of the Management Committee or scrutiny panels.
- suggest a topic for a scrutiny review.
- give evidence to a panel or send us your views about any of the reviews being undertaken.
- keep updated about what is happening in scrutiny by looking at the scrutiny pages on the Council’s website at:
  www.walthamforest.gov.uk/index/council/overview-and-scrutiny
- join a pool of people interested in being co-opted onto the scrutiny panels or Sub Committees when vacancies are advertised.

When do overview and scrutiny panels meet?
The Scrutiny Management Committee meets monthly. The six permanent Scrutiny Sub Committees usually each meet once every 4-6 weeks. Time Limited Scrutiny Panels can meet more frequently, but this depends on the topic being reviewed, the urgency of the matter and the review timescales involved. Meeting dates, times and venues are available on the website.

Will I be able to choose which Sub Committee or Panel to be co-opted onto?
Those applicants who are short listed will be able to express a preference at that stage, as to which Scrutiny Sub Committee they would prefer to be appointed to. At the present time, you will have a choice from the following scrutiny Sub Committees, although as previously mentioned, there is presently an on-going review of the
scrutiny committee structure which may result in changes to some of the committees remits detailed below:

1. Health, Adults & Older People Scrutiny Sub Committee
2. Community Safety & Housing Scrutiny Sub Committee
3. Children & Young People Scrutiny Sub Committee
4. Environment Scrutiny Sub Committee
5. Finance Scrutiny Sub Committee
6. Performance Improvement Scrutiny Sub Committee
INFORMATION ON EXPENSES

Persons who have been Co-Opted by the Council to serve on the Overview and Scrutiny Management Committee or Sub-Committees or Scrutiny Panels appointed by that Committee including the statutory Education Co-Optees may claim:

- dependants’ Carers’ Allowance (capped at the hourly national minimum wage and a maximum of four hours); and,
- Travelling and Subsistence Allowances (including for intra-borough travel) in respect of their attendance at meetings of the body concerned.

The Council’s Members Allowance Scheme is included for your information at the end of this information and application pack.
MEMBERS CODE OF CONDUCT

In the role of Voluntary Co-Optee supporting Waltham Forest Council’s Scrutiny function, you will be acting in an official capacity on behalf of the local authority. You are therefore being asked to observe and agree to the following and to sign the Council’s formal Member Code of Conduct:-

1. **YOU MUST TREAT OTHERS WITH RESPECT**
   The role of Scrutiny is to robustly challenge ideas, policies and strategies. However, in so doing you should not be unreasonable, excessive, personally attack or criticise officers, Councillors or members of the public.

2. **YOU MUST NOT BULLY ANY PERSON**
   Bullying may be characterised as offensive, intimidating, malicious, insulting or humiliating behaviour. Bullying behaviour attempts to undermine an individual and can be detrimental to their confidence and capability. It is therefore imperative that you abstain from all such behaviour.

3. **YOU MUST NOT DO ANYTHING WHICH MAY BREACH ANY EQUALITY LAWS**
   Under equality laws, the authority may be liable for any discriminatory acts, which you commit. This behaviour can include harassment, victimisation, direct discrimination and indirect discrimination on the grounds of sex, race, disability, religion or belief, sexual orientation or age.

4. **YOU MUST NOT DISCLOSE CONFIDENTIAL INFORMATION**
   On occasion’s information presented to a scrutiny committee or panel will be of a confidential nature. Such items are confidential and will be discussed in private. It is therefore imperative that you do not disclose this information, or any other confidential matters unless you have been given consent to do so. (If in doubt speak to a member of the Scrutiny Team).

5. **YOU MUST NOT BRING THE AUTHORITY INTO DISREPUTE**
   Dishonest and deceitful behaviour as well as conduct in your private life which results in a criminal conviction may bring the authority into disrepute.

6. **YOU MUST NOT USE, OR ATTEMPT TO USE, YOUR POSITION IMPROPERLY**
   As a Voluntary Co-Optee you should not use, or attempt to use your position for your or anyone else’s personal gain or loss.

7. **YOU MUST NOT COMPROMISE OR ATTEMPT TO COMPROMISE, THE IMPARTIALITY OF ANYONE WHO WORKS FOR, OR ON BEHALF OF THE AUTHORITY.**
   The role of Scrutiny is to robustly challenge and question officers in order to understand, for example, their reason for proposing a particular course of action/s. However, you should not approach or pressure anyone who works for, or on behalf of the authority, to carry out their duties in a biased or partisan way.

8. **DECLARING AN INTEREST**
   At the start of each meeting all panel members will be asked to declare if there are any items on the agenda in which they might have a personal interest which may prevent them from taking part in the discussions. The interest could be financial or some other reason. This is so that the public, council staff and Councillors know
which of your interests might give rise to a conflict of interest. (More detailed information on interests can be obtained from a Scrutiny Officer).

9. **BE NON PARTY POLITICAL (IN PANEL MEETINGS)**
   Although Councillors who are members of scrutiny panels are from different political parties, for the purposes of scrutiny they are required to leave party politics aside. It is imperative that as a Voluntary Co-Optee you ensure that while supporting the work of scrutiny you act in a politically neutral manner.

The conduct of Co-Optees will be overseen by the Overview and Scrutiny Management Committee and any breach of the code will be reported to the Chairman of the Overview and Scrutiny Management Committee, which may lead to further action.

The Council's formal Members Code of Conduct is detailed in full below for your reference and information. All appointed voluntary Scrutiny Co-Optees will be required to sign up to the Code of Conduct and observe it at all times.
Part 9
Code of Conduct for Members

Effective from 12 July 2007
Content

Preamble – The General Principles of Member Conduct

Part 1 - General provisions

Introduction & Interpretation

Scope

General Obligations

Behaviour towards others

Disclosing and withholding information

Bringing your office or the Council into disrepute

Using your position improperly

Decision-making and advice

Part 2 – Interests

Personal interests

Declaring personal interests

Prejudicial interests generally

Prejudicial interests arising in relation to Overview and Scrutiny Committees

Effect of prejudicial interests on participation

Part 3 – Registration of Interests

Duty to register financial and other interests

Sensitive Information
Preamble – The General Principles of Conduct for Members

These general principles underpin the Code of Conduct adopted in every local authority. They are approved by Parliament in the Relevant Authorities (General Principles) Order 2001. The first seven principles are taken from Nolan Committee Principles of Public Life. You must therefore bear them in mind when applying and interpreting the Code whilst carrying out your role as a Member. You should also note that the principles of:

• honesty and integrity;

• and the duty to uphold the law;

apply at all times, not just when you act in your capacity as a Member.

A breach of the General Principles does not constitute a breach of the Code of Conduct. The mandatory provisions of the Code of Conduct are set out after this Preamble. Members should be aware, however, that a breach of the General Principles will be considered as relevant when considering whether a Member is in breach of one or more of the mandatory provisions.

The Ten General Principles:

1. Selflessness
Members should serve only the public interest and should never improperly confer an advantage or disadvantage on any person.

2. Honesty and Integrity
Members should not place themselves in situations where their honesty and integrity may be questioned, should not behave improperly and should on all occasions avoid the appearance of such behaviour.

3. Objectivity
Members should make decisions on merit, including when making appointments, warding contracts, or recommending individuals for rewards or benefits.

4. Accountability
Members should be accountable to the public for their actions and the manner in which they carry out their responsibilities, and should co-operate fully and honestly with any scrutiny appropriate to their particular office.

5. Openness
Members should be as open as possible about their actions and those of their authority, and should be prepared to give reasons for those actions.

6. Personal Judgement
Members may take account of the views of others, including their political groups, but should reach their own conclusions on the issues before them and act in accordance with those conclusions.
7. Respect for Others
Members should promote equality by not discriminating unlawfully against any person, and by treating people with respect, regardless of their race, age, religion, gender, sexual orientation or disability. They should respect the impartiality and integrity of the authority’s statutory officers, and its other employees.

8. Duty to Uphold the Law
Members should uphold the law and, on all occasions, act in accordance with the trust that the public is entitled to place in them.

9. Stewardship
Members should do whatever they are able to do to ensure that their authorities use their resources prudently and in accordance with the law.

10. Leadership
Members should promote and support these principles by leadership, and by example, and should always act in a way that secures or preserves public confidence.
Part 1 - General provisions

Introduction and interpretation

1. (1) This Code applies to you as a member of the London Borough of Waltham Forest (described in this Code as “the Council”).

(2) You should read this Code together with the general principles set out in the Preamble.

(3) It is your responsibility to comply with the provisions of this Code.

(4) In this Code, a "meeting" means any meeting of:

(a) the full Council;
(b) the executive of the Council;
(c) any of the Council's or its executive's committees, sub-committees, joint committees, joint sub-committees, or area committees;

"member" includes a co-opted member and an appointed member.

(5) In relation to a parish council, references to an authority's monitoring officer and an authority's standards committee shall be read, respectively, as references to the monitoring officer and the standards committee of the district council or unitary county council which has functions in relation to the parish council for which it is responsible under section 55(12) of the Local Government Act 2000.

Scope

2. (1) Subject to sub-paragraphs (2) to (5), you must comply with this Code whenever you:

(a) conduct the Council's business (which, in this Code, includes the business of the office to which you are elected or appointed); or

(b) act, claim to act or give the impression you are acting as a representative of the Council, and references to your official capacity are construed accordingly.

(2) Subject to sub-paragraphs (3) and (4), this Code does not have effect in relation to your conduct other than where it is in your official capacity.

(3) In addition to having effect in relation to conduct in your official capacity, paragraphs 3(2)(c), 5 and 6(a) also have effect, at any other time, where that conduct constitutes a criminal offence for which you have been convicted.

(4) Conduct to which this Code applies (whether that is conduct in your official capacity or conduct mentioned in sub-paragraph (3)) includes a criminal offence for which you are convicted (including an offence you committed before the date you took office, but for which you are convicted after that date).
Where you act as a representative of the Council:

(a) on another relevant authority, you must, when acting for that other authority, comply with that other authority’s code of conduct; or

(b) on any other body, you must, when acting for that other body, comply with the Council’s code of conduct, except and insofar as it conflicts with any other lawful obligations to which that other body may be subject.

**General Obligations**

Your behaviour towards others

3. (1) You must treat others with respect.

(2) You must not:

(a) do anything which may cause the Council to breach any of the equality enactments (as defined in section 33 of the Equality Act 2006);

(b) bully any person;

(c) intimidate or attempt to intimidate any person who is or is likely to be:

(i) a complainant,

(ii) a witness, or

(iii) involved in the administration of any investigation or proceedings, in relation to an allegation that a member (including yourself) has failed to comply with his or her authority’s code of conduct; or

(d) do anything which compromises or is likely to compromise the impartiality of those who work for, or on behalf of, the Council.

**Disclosing and withholding information**

4. You must not:

(a) disclose information given to you in confidence by anyone, or information acquired by you which you believe, or ought reasonably to be aware, is of a confidential nature, except where:

(i) you have the consent of a person authorised to give it;

(ii) you are required by law to do so;

(iii) the disclosure is made to a third party for the purpose of obtaining professional advice provided that the third party agrees not to disclose the information to any other person; or
(iv) the disclosure is:

(aa) reasonable and in the public interest; and

(bb) made in good faith and in compliance with the reasonable requirements of the Council; or

(b) prevent another person from gaining access to information to which that person is entitled by law.

Bringing your office or the Council into disrepute

5. You must not conduct yourself in a manner which could reasonably be regarded as bringing your office or the Council into disrepute.

Using your position improperly

6. You:

(a) must not use or attempt to use your position as a member improperly to confer on or secure for yourself or any other person, an advantage or disadvantage; and

(b) must, when using or authorising the use by others of the Council’s resources:

(i) act in accordance with the Council’s reasonable requirements;

(ii) ensure that such resources are not used improperly for political purposes (including party political purposes); and

(c) have regard to any applicable Local Authority Code of Publicity made under the Local Government Act 1986.

Decision-making and advice

7. (1) When reaching decisions on any matter you must have regard to any relevant advice provided to you by:

(a) the Council’s chief finance officer; or

(b) the Council’s monitoring officer, where that officer is acting pursuant to his or her statutory duties.

(2) You must give reasons for all decisions in accordance with any statutory requirements and any reasonable additional requirements imposed by the Council.
Part 2 - Interests

Personal interests

8. (1) You have a personal interest in any Council where either:

(a) it relates to or is likely to affect:

(i) any body of which you are a member or in a position of general control or management and to which you are appointed or nominated by the Council;

(ii) any body—

(aa) exercising functions of a public nature;

(bb) directed to charitable purposes; or

(cc) one of whose principal purposes includes the influence of public opinion or policy (including any political party or trade union), of which you are a member or in a position of general control or management;

(iii) any employment or business carried on by you;

(iv) any person or body who employs or has appointed you;

(v) any person or body, other than a relevant authority, who has made a payment to you in respect of your election or any expenses incurred by you in carrying out your duties;

(vi) any person or body who has a place of business or land in Waltham Forest, and in whom you have a beneficial interest in a class of securities of that person or body that exceeds the nominal value of £25,000 or one hundredth of the total issued share capital (whichever is the lower);

(vii) any contract for goods, services or works made between the Council and you or a firm in which you are a partner, a company of which you are a remunerated director, or a person or body of the description specified in paragraph (vi);

(viii) the interests of any person from whom you have received a gift or hospitality with an estimated value of at least £25;

(ix) any land in Waltham Forest in which you have a beneficial interest;

(x) any land where the landlord is the Council and you are, or a firm in which you are a partner, a company of which you are a remunerated director, or a person or body of the description specified in paragraph (vi) is, the tenant;

(xi) any land in Waltham Forest for which you have a licence (alone or jointly with others) to occupy for 28 days or longer; or
(b) a decision in relation to that business might reasonably be regarded as affecting your well-being or financial position or the well-being or financial position of a relevant person to a greater extent than the majority of other council tax payers, ratepayers or inhabitants of the ward affected by the decision.

(2) In sub-paragraph (1)(b), a relevant person is:

(a) a member of your family or any person with whom you have a close association; or

(b) any person or body who employs or has appointed such persons, any firm in which they are a partner, or any company of which they are directors;

(c) any person or body in whom such persons have a beneficial interest in a class of securities exceeding the nominal value of £25,000; or

(d) any body of a type described in sub-paragraph (1)(a)(i) or (ii).

Disclosure of personal interests

9. (1) Subject to sub-paragraphs (2) to (7), where you have a personal interest in any Council business and you attend a meeting of the Council at which the business is considered, you must disclose to that meeting the existence and nature of that interest at the commencement of that consideration, or when the interest becomes apparent.

(2) Where you have a personal interest in any Council business which relates to or is likely to affect a person described in paragraph 8(1)(a)(i) (i.e. membership or a position of general control or management to which the Council has appointed or nominated you) or 8(1)(a)(ii)(aa) (i.e. a body exercising functions of a public nature), you need only disclose to the meeting the existence and nature of that interest when you address the meeting on that business.

(3) Where you have a personal interest in any Council business of the type mentioned in paragraph 8(1)(a)(viii), you need not disclose the nature or existence of that interest to the meeting if the interest was registered more than three years before the date of the meeting.

(4) Sub-paragraph (1) only applies where you are aware or ought reasonably to be aware of the existence of the personal interest.

(5) Where you have a personal interest but, by virtue of paragraph 14, sensitive information relating to it is not registered in the Council's register of members' interests, you must indicate to the meeting that you have a personal interest, but need not disclose the sensitive information to the meeting.

(6) Subject to paragraph 12(1)(b), where you have a personal interest in any Council business and you have made an executive decision in relation to that business, you must ensure that any written statement of that decision records the existence and nature of that interest.
(7) In this paragraph, "executive decision" is to be construed in accordance with any regulations made by the Secretary of State under section 22 of the Local Government Act 2000.

Prejudicial interests generally

10. (1) Subject to sub-paragraph (2), where you have a personal interest in any Council business you also have a prejudicial interest in that business where the interest is one which a member of the public with knowledge of the relevant facts would reasonably regard as so significant that it is likely to prejudice your judgement of the public interest.

(2) You do not have a prejudicial interest in any Council business where that business:

(a) does not affect your financial position or the financial position of a person or body described in paragraph 8;

(b) does not relate to the determining of any approval, consent, licence, permission or registration in relation to you or any person or body described in paragraph 8; or

(c) relates to the functions of the Council in respect of:

(i) housing, where you are a Council tenant provided that those functions do not relate particularly to your tenancy or lease;

(ii) school meals or school transport and travelling expenses, where you are a parent or guardian of a child in full time education, or are a parent governor of a school, unless it relates particularly to the school which the child attends;

(iii) statutory sick pay under Part XI of the Social Security Contributions and Benefits Act 1992, where you are in receipt of, or are entitled to the receipt of, such pay;

(iv) an allowance, payment or indemnity given to members;

(v) any ceremonial honour given to members; and

(vi) setting council tax or a precept under the Local Government Finance Act 1992.

Prejudicial interests arising in relation to Overview and Scrutiny Committees

11. You also have a prejudicial interest in any business before an overview and scrutiny committee of the Council (or of a sub-committee of such a committee) where:

(a) that business relates to a decision made (whether implemented or not) or action taken by the Council's executive or another of your Council's committees, sub-committees, joint committees or joint sub-committees; and

(b) at the time the decision was made or action was taken, you were a member of the executive, committee, sub-committee, joint committee or joint sub-committee mentioned in paragraph (a) and you were present when that decision was made or action was taken.
Effect of prejudicial interests on participation

12. (1) Subject to sub-paragraph (2), where you have a prejudicial interest in any Council business:

(a) you must withdraw from the room or chamber where a meeting considering the business is being held:

(i) in a case where sub-paragraph (2) applies, immediately after making representations, answering questions or giving evidence;

(ii) in any other case, whenever it becomes apparent that the business is being considered at that meeting;

unless you have obtained a dispensation from the Council’s standards committee;

(b) you must not exercise executive functions in relation to that business; and

(c) you must not seek improperly to influence a decision about that business.

(2) Where you have a prejudicial interest in any Council business, you may attend a meeting (including a meeting of the overview and scrutiny committee or of a sub-committee of such a committee) but only for the purpose of making representations, answering questions or giving evidence relating to the business, provided that the public are also allowed to attend the meeting for the same purpose, whether under a statutory right or otherwise.

Part 3 - Registration of Members' Interests

Duty to register financial & other interests

13. —(1) Subject to paragraph 14, you must, within 28 days of:

(a) this Code being adopted by or applied to the Council; or

(b) your election or appointment to office (where that is later),

register in the Council’s register of members' interests (maintained under section 81(1) of the Local Government Act 2000) details of your personal interests where they fall within a category mentioned in paragraph 8(1)(a), by providing written notification to the monitoring officer.

(2) Subject to paragraph 14, you must, within 28 days of becoming aware of any new personal interest or change to any personal interest registered under paragraph (1), register details of that new personal interest or change by providing written notification to the monitoring officer.
Sensitive information

14. (1) Where you consider that the information relating to any of your personal interests is sensitive information, and the monitoring officer agrees, you need not include that information when registering that interest, or, as the case may be, a change to that interest under paragraph 13.

(2) You must, within 28 days of becoming aware of any change of circumstances which means that information excluded under paragraph (1) is no longer sensitive information, notify the monitoring officer asking that the information be included in the Council's register of members' interests.

(3) In this Code, "sensitive information" means information whose availability for inspection by the public creates, or is likely to create, a serious risk that you or a person who lives with you may be subjected to violence or intimidation.
NEED FURTHER INFORMATION?

Visit our Overview and Scrutiny website pages:

www.walthamforest.gov.uk/index/council/overview-and-scrutiny.htm

Drop-in to an Information Session

Date, Time, Location  TBC

Date, Time, Location  TBC

Attend a Scrutiny Panel

Please see the schedule of Council Committee meetings for details of the Council’s Scrutiny Sub Committee meetings:


Contact the Scrutiny Team for Details

Talk to:

Paul Rogers
Scrutiny Manager
Tel. 020 8496 8093
Paul.rogers@walthamforest.gov.uk

Farhana Zia
Scrutiny Policy Officer
Tel. 020 8496 4352
Farhana.zia@walthamforest.gov.uk

Tony Lane
Scrutiny Policy Officer
Tel. 020 8496 8245
Anthony.lane@walthamforest.gov.uk
RECRUITMENT TIMETABLE

2010

Day, Month Recruitment Period Commences

Drop In Information Sessions

Day/s, Month Drop-in Information Session/s
Details for Time, Location
Details for Time, Location

Closing Date
Day / Month 2010 Closing Date for Applications

Shortlisting
Day/Month 2010 Shortlist applications

W/C Day, Month Selection Session for short listed candidates

W/C Day/Month Final selection of candidates

W/C Day/Month Notify successful candidates

Training & Development
Day/Month 2010 / Day/Month 2010 / Day/Month 2011 Training and induction period
APPLICATION FORM

PLEASE NOTE:
Those applicants short listed will be invited to attend an interview panel comprised of Councillors from the Overview and Scrutiny Management Committee.

All successful applicants will be required to agree to a Criminal Records Bureau (CRB) check and to provide formal proof of residency within the borough of Waltham Forest.

Successful candidates must not be in dispute with the Council or to be in a potential/ existing court action with the Council when taking up the post (for example, to have existing Council Tax arrears, which may lead to court action).

Consent from successful applicants will be sought in all cases in order for the Council to undertake any vetting procedures / background checks considered necessary.

Checklist

Please tick to confirm that you:

- Are 18 years old or over
- Live in the Borough of Waltham Forest
- Are not a current or recent (i.e. within the last 5 years) employee or Member of Waltham Forest Council
- Are able to commit approximately one day and one evening per month to scrutiny work

Applications will only be considered from people who meet all the above criteria.
Personal Details

Dr/Mr/Mrs/Miss/Ms Other please specify ____________________________________________
(Delete as appropriate)

Surname: __________________________ First names(s): ______________________________

Previous surname/s: __________________________________________________________
(If Applicable)

Address: ________________________________________________________________
__________________________________________ Post code: ______________________

Email address: _____________________________________________________________

Telephone: Work: ________________________ Home: __________________________

Mobile: _____________________________

If you are related to any Councillor or employee of Waltham Forest Council please give
details.

If none, please tick the box .

Name: ________________________________

Job Title: ______________________________

Relationship to you (aunt, brother, partner etc): ________________________________

________________________________________________________________________
Experience
Using the role profile as a guide, please set out details of any relevant qualifications or experience you have had. For example, professional or academic qualifications, work experience (paid, voluntary or casual), community work or other experience. Particularly, anything that demonstrates:

Your ability to review and analyse information.

Your ability to consider a variety of different sources of information and arrive at a balanced judgement.

We are looking for people with an interest in local government, public services and local issues. You do not need to have specific knowledge of how the council works.

As a voluntary scrutiny Co-Optee, you would contribute to the work of Overview and Scrutiny by giving careful consideration to evidence and information; asking questions and forming views and opinions based on evidence presented to scrutiny Sub Committee’s and/or time limited scrutiny panels.

Further Information:
Please set out below any additional information you feel may be relevant to your application - for example details of any relevant interests or hobbies.
Please continue on an additional sheet if necessary, marking any additional sheets clearly with your name and contact details.

Declaration:

Applicants Signature: ____________________________

Date: ______________________________

Data Protection Statement

Data Protection Act 1998

We need some of your personal details to enable you to perform your role as a voluntary Co-Optee. This information will be seen only by those employees of Waltham Forest Council, or Councillors who need to do so in connection with your application. It will not be seen or shared with any other person or agency without your prior knowledge and consent, unless such sharing is required by law.

All the information provided by you will be kept securely and treated confidentially.
1. SUMMARY

1.1 The Government has published statutory guidance on a new duty for councils to respond to petitions. The guidance came into force on 15 June 2010, and includes a requirement for local authorities to have provision on their websites for e-petitions by 15 December 2010. It also requires councils to have a scheme by which petitions with a specified number of signatures (paper or electronic) will be considered by an overview & scrutiny committee and by Full Council.

1.2 This report set out a draft petitions scheme for the Council. The draft scheme will be submitted to the next meeting of the Audit & Governance Committee for consideration, with a view to a recommendation being made to Full Council in October.

1.3 Any comments made by the Overview & Scrutiny Committee will be reported to the Audit & Governance Committee. Members comments are invited in particular on the proposed thresholds of 1,000 signatures and 2,000 signatures for petitions to be considered, respectively, by an Overview & Scrutiny committee and by Full council.

2. BACKGROUND

2.1 The Government believes that petitions are a good way for people to communicate their views. Petitions are the most commonly undertaken civic engagement activity according to a recent Citizenship Survey (2007-2008) with approximately 60% of people claiming to have signed a petition in the previous twelve months.

2.2 According to research, less than one third of councils automatically respond to petitions at present. The former Government also found that only one in five councils make details about how to submit a petition publicly available on their web-site.
2.3 Following the *Governance of Britain Green Paper 2007* and the *Local Democracy, Economic Development and Construction Act 2009*, the former Government has set out to introduce a more formal petitioning system within all local authorities in England.

2.4 The statutory guidance sets out the requirements of the petitions duty, namely that all local authorities must establish a scheme for responding to the petitions they receive, and that councils will be required to tell people what action is going to be taken to address their concerns. There has been no indication to date that the Government elected in May 2010 will repeal the provisions Acts supporting the introduction of petition arrangements.

2.5 **The Petition Scheme:**

- must be approved by full council
- must be published on the website
- must be accessible for all and the process must be easy to understand and use
- must include a number of options for further action such as (a) taking the action requested in the petition; (b) considering the petition at a meeting of the authority; (c) holding an inquiry; (d) holding a public meeting, (e) commissioning research; (f) a written response to the petition organiser setting out the authority’s views on the request in the petition; (g) referring the petition to an overview and scrutiny committee
- must set a threshold trigger for a petition to be debated in full council (no greater than 5% of the local population)
- must notify the petition organiser of the date of the debate to enable them to attend and may allow for petitioners to address full council
- must set a threshold trigger to require a senior officer to attend an overview and scrutiny committee to answer questions from the committee
- must determine a list of names and job titles of the most senior officers to whom the overview and scrutiny trigger applies (which as a minimum must include the chief executive) and the list must be held by the authority
- may exclude petitions which are vexatious, abusive or inappropriate
- must not apply to petitions on excluded matters (planning, licensing, individual appeals)

2.6 **The Petition:**

- can be signed or organised by anyone who lives, works or studies in the local authority area, including under 18’s
- can be referred to the council’s overview and scrutiny committee if the petitioners feel that the response from the council is not adequate

2.7 **The Authority:**

- must make a facility available for electronic petitions by 15th December 2010
- must allow people to sign e-petitions electronically (it is not enough to publish e-mailed petitions)
may decide not to publish petitions which do not comply with data protection, libel, or do not comply with equalities and anti-discrimination legislation
must acknowledge the petition within a time period specified in the scheme
must notify the petition organiser of the steps it intends to take and publish this notification on the authority’s web-site
must debate petitions in full council which are supported by a threshold trigger of not more than 5% of the local population (save on excluded matters, or on issues which are vexatious or which do not comply with data protection, libel or equalities and anti-discrimination legislation)
must publish the results of any overview and scrutiny petition appeal review on the authority’s web-site

2.8 It will be important that the petition scheme sits alongside other public engagement processes including for example: the authority’s complaints procedures, the ability of local ward councillors to refer issues to the authority on behalf of their constituents, the councillor call for action, and other local consultation and engagement techniques.

2.9 (Paragraph to come from Claire Witney about the use of petitions as a means of protesting about Council decisions, and why it is expected that the use of petitions will increase)

3. PROPOSALS

3.1 A draft Petitions scheme is attached. This will be presented to the Audit & Governance Committee at its meeting on 23rd September 2010 for consideration. It should be noted that the proposals include:

(a) A suggested threshold of 2,000 signatures for a petition (written or electronic) to be considered by an appropriate Overview and Scrutiny Committee. It is expected that a petition meeting this threshold would be considered at the next scheduled meeting of the appropriate O&S sub-committee following receipt. The suggested threshold of 2,000 signatures represents approximately 1% of the ONS estimate of the borough population of 223,200.

(b) A suggested threshold of 4,000 signatures for a petition (written or electronic) to be debated by Full Council. This represents approximately 2% of the ONS estimate of the Borough population.

4. CONCLUSION

4.1 This Committee is asked to discuss the proposals and make any comments, particularly any relating to the arrangements for a petition to be debated by an Overview & Scrutiny Committee. Any comments made will be conveyed to the Audit & Governance Committee.

4.2 The Audit & Governance Committee will be requested to make recommendations to the next Full Council Meeting on the adoption on a Petitions Scheme for Waltham Forest.

Page 395
5. **APPENDICES:**

Draft Petition Scheme: London Borough of Waltham Forest

**Background Papers**

Government Guidance on Petition Schemes under the Local Democracy, Economic Development and Construction Act 2009 (Published)
APPENDIX 1

LONDON BOROUGH OF WALTHAM FOREST
PETITION SCHEME

Introduction

The Council welcomes petitions and recognises that petitions are one way in which people can let us know their concerns. All petitions sent or presented to the Council will receive an acknowledgement from the Council within 10 working days of receipt. This acknowledgement will set out what we plan to do with the petition.

Paper petitions can be sent to:

Democratic Services
London Borough of Waltham Forest
Waltham Forest Town Hall
London
E17 4JF

Alternatively, you can post a petition on the Council’s website to see if other residents will support it. Details of how to start an ‘e-petition’ are given here [LINK 1](Link to e-petition page of website)

A petition can be submitted by a person of any age who lives, works or studies in the borough of Waltham Forest.

Depending on how many signatures there are to support a petition it will be considered in different ways:

<table>
<thead>
<tr>
<th>Type of Petition</th>
<th>Threshold (Signatories)</th>
<th>Body to consider petition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Written or e-petition</td>
<td>2,000</td>
<td>Full Council Assembly</td>
</tr>
<tr>
<td>Written or e-petition</td>
<td>1,000</td>
<td>Overview &amp; Scrutiny Committee</td>
</tr>
<tr>
<td>Statutory petition</td>
<td>See appropriate legislation</td>
<td>As directed by legislation</td>
</tr>
</tbody>
</table>

If your petition has received the required number of signatures or more it will be debated by the relevant body, or the officer will be called before the appropriate overview and scrutiny committee or scrutiny subcommittee. If this
is so we will let you know when the meeting will take place and the arrangements for you to address the meeting if you wish.

If the petitions do not received the required number of signatures for debate at a meeting, a response will be made in writing to the petition organiser on behalf of the Council, by either the relevant Cabinet Member or Council officer.

**What is a Petition?**

Petitions submitted to the Council must include:

- A clear and concise statement covering the subject of the petition and on each page of the petition
- It should state what action the petitioner would like the Council to take
- The name, address and signature of any person supporting the petition
- A “Statutory petition” is a petition which is covered by another statute, for example requesting a referendum on having an elected mayor or for an allotment.

*Overview & scrutiny committees are committees of councillors who are responsible for scrutinising the work of the council – in other words, an overview and scrutiny committee has the power to make comments and recommendations to Council decision makers and to hold them to account.*

Petitions should be accompanied by contact details, including an address for the petition organiser. This is the person we will contact to explain how we will respond to the petition. The contact details of the petition organiser will not be placed on the council’s website. If the petition does not identify a petition organiser, we will contact the first named person on the petition.

Petitions that are considered to be vexatious, abusive or otherwise inappropriate will not be accepted. In the period immediately before an election or referendum we may need to deal with petitions differently – if this is the case we will explain the reasons and discuss the revised timescale which will apply. If a petition does not follow the guidelines set out above, the Council may decide not to do anything further with it. In that case, we will write to you to explain the reasons.

**Scope of Petitions**

Petitions must relate to matters in which the council has powers or duties or which affects Waltham Forest*.

*A matter affects Waltham Forest where it does not relate to a power or duty but relates to an improvement in the economic, social or environmental wellbeing of Waltham Forest to which any of our local [partners](http://www.walthamforest.gov.uk/index/community/lsp.htm) could contribute. However, if your petition is about something over which the Council has no
direct control (for example the local railway or hospital) the council could consider making representations on behalf of the community to the relevant body. The Council works with a large number of local partners and where possible will work with these partners to respond to your petition. If we are not able to do this for any reason (for example if what the petition calls for conflicts with Council policy), then we will set out the reasons for this to you. You can find more information on the services for which the Council is responsible here (LINK 4) http://www.walthamforest.gov.uk/index/a-z.htm

Petitions shall not concern approval or otherwise of a planning or licensing application (objections to or support for such applications can be made under separate procedures).

Nor can it be about a matter where there are other specific statutory provisions for a petition (for example requesting a referendum on having an elected mayor),

Nor can it relate to a matter where there is already an existing right of appeal, such as council tax banding and non-domestic rates, other procedures apply.

Petitions will also be disallowed where there is already an existing right of appeal or the petition is vexatious, abusive or otherwise inappropriate.

We will not take action on any petition, which we consider falls outside the scope for petitions and will explain the reasons for this in our acknowledgement of the petition.

If your petition is about something that a different council is responsible for we will give consideration to what the best method is for responding to it. This might consist of simply forwarding the petition to the other council, but could involve other steps. In any event we will always notify you of the action we have taken.

**Calling Senior Officers to Account**

Your petition may ask for a senior council officer to give evidence at a public meeting about something for which the officer is responsible as part of their job. For example, your petition may ask a senior council officer to explain progress on an issue, or to explain the advice given to elected members to enable them to make a particular decision.

If your petition contains at least 1,000 signatures, the relevant senior officer will give evidence at a public meeting of the council’s overview and scrutiny management committee. A list of the senior staff that can be called to give evidence can be found in Appendix A. You should be aware that the overview and scrutiny management committee may decide that it would be more appropriate for another officer to give evidence instead of any officer named in the petition – for instance if the named officer has changed jobs. The
committee may also decide to call an appropriate councillor to attend the meeting, for example the Cabinet Portfolio holder for the service concerned.

If your petition is discussed at a meeting, it will be normal policy for you or another representative of the petitions to be invited to address the meeting.

What Will the Council Do When it Receives My Petition?

An acknowledgement will be sent to the petition organiser within 10 clear working days of receiving the petition. It will let them know what we plan to do with the petition and when they can expect to hear from us again. It will also be published on our website (LINK 6 – To Petition / e-Petition page of website).

If the petition has enough signatures to trigger a debate at the council meeting you have requested, or a senior officer giving evidence, then the acknowledgment will confirm this and tell you when and where the meeting will take place. If the petition needs more investigation, we will tell you the steps we plan to take.

To ensure that people know what we are doing in response to the petitions we receive the details of all petitions submitted to us will be published on our website, except in cases where this would be inappropriate. Whenever possible we will also publish all correspondence relating to the petition (all personal data will be removed).

How Will the Council Respond to Petitions?

Our response to a petition will depend on what a petition asks for and how many people have signed it, but may include one or more of the following:

- Taking the action requested in the petition.
- Considering the petition at a council assembly meeting.
- Undertaking research into the matter.
- Holding a public meeting.
- Carrying out wider consultation.
- Holding a meeting with petitioners.
- Writing to the petition organiser setting out the Council’s views about the request in the petition.
- Referring the petition for consideration by an overview & scrutiny committee.

Process at the Meeting
If a petition contains the required number of signatures, and you have requested that it is debated by a particular body such as Full Council; the issue raised in the petition will be discussed at a meeting which relevant councillors can attend. The Council will endeavour to consider the petition at the next available meeting, although on some occasions this may not be possible and consideration will then take place at the following meeting.

At the meeting the petition organiser will be given three minutes to present the petition at the meeting and the petition will then be discussed by councillors.

The councillors will decide how to respond to the petition at this meeting. They may decide to

- take the action the petition requests,
- not to take the action requested for reasons put forward in the debate, or
- to commission further investigation into the matter, for example by a relevant committee.

Where the issue is one on which the council’s cabinet are required to make the final decision, the councillors will decide whether to make recommendations to inform that decision. The petition organiser will receive written confirmation of this decision. This confirmation will also be published on our website (LINK 7 To Petition/e-petition page).

**What Can I Do if I Feel My Petition Has Not Been Dealt With Properly?**

If you feel that we have not dealt with your petition properly, the petition organiser may request that the Council’s overview and scrutiny committee review the steps that the council has taken in response to your petition. Such requests will be discussed with the chair of the Overview & Scrutiny Management Committee before a reply is given. In such cases the petition organiser should give a short explanation of the reasons why the Council’s response is not considered to be adequate.

If it is agreed that the Council has not dealt with your petition adequately, the Overview and Scrutiny Committee may use any of its powers to deal with the matter. These powers include instigating an investigation, making recommendations to the Council’s Leader and/or relevant Cabinet Member and arranging for the matter to be considered at a meeting of the Full Council.

Once the appeal has been considered the petition organiser will be informed of the results within 5 working days. The results of the review will also be published on our website (LINK 8).
Appendix A - List of Senior Council Officers

*List will include all Chief Officers and Heads of Service*

Waltham Forest council petition scheme *Month 2010*
1. SUMMARY

1.1 The report ‘Review of Revenue Budget 2010/11 and Processes for the Medium Term Financial Strategy and the 2011/12 Revenue Budget’ considered by the Cabinet meeting of 20th July 2010 contained the following recommendation:

‘Recommend that the Overview and Scrutiny Management Committee establish a time limited scrutiny panel to undertake an urgent review of the placements budget within Adult Social Care and Children and Young People Services and the pressures within these services and to report its findings to the Cabinet’.

1.2 The Overview and Scrutiny Management Committee pre-scrutinised the above report at it’s scheduled meeting of 14th July 2010 and agreed to the Cabinet’s recommendation to establish a time limited scrutiny panel to undertake a review of the placements budget within Adult Social Care and Children and Young People Services.

1.3 This paper is an interim progress report from the Placement’s Budget Scrutiny Panel to the Overview and Scrutiny Management Committee for Member’s information. The Placements Budget Panel is seeking agreement from the Overview and Scrutiny Management Committee to extend the end date for the Panel to October/November 2010. The Panel intends to provide a final report for Overview and Scrutiny Management Committee and Cabinet by this time, with a view that it’s recommendations are implemented, if adopted, as part of the 2011/2012 annual budget setting process.

2. BACKGROUND

2.1 The Placements Budget Scrutiny Panel is comprised of Councillor Michael Lewis, Councillor Richard Sweden, Councillor Ebony Vincent and Councillor Bob
Sullivan. The Panel called for a roundtable planning meeting with Officers on 21st July 2010 in order to clarify the wider remit of the panel and work streams requiring investigation. A ‘long list’ of areas of enquiry and requests for information arose from the roundtable planning meeting. Officers from the Finance Directorate, Adults Social Services, Children’s Services and Performance Office provided a paper (attached at Appendix 3) addressing the initial lines of enquiry for the subsequent Panel meeting, which convened on 4th August 2010.

2.2 It is already evident from the Panel’s roundtable planning meeting of 21st July 2010 and inaugural Panel meeting of 4th August 2010 that the initial remit and lines of enquiry required to be undertaken by the Panel in order to satisfy the Cabinet’s request need to be well defined, concise and closely managed in order to keep the Panel’s work focussed, leading to definitive recommendations and actions for the aforementioned services to consider.

2.3 To date, the Panel has identified a wide range of issues which have a direct impact on the fiscal management of the placements budgets within the Children and Young People Service and Adult Social Care; further areas are likely to be identified as the Panel continues it’s investigation.

EMERGING FINDINGS

2.4 Annual Budget Setting Process
The most fundamental issue to emerge to date form the Panels investigation relates to the setting of the Adults Social Services budget supporting Young Adults. There appears to be a systematic fault in the base budget estimate for Adult Social Services in as far as it appears to lack adequate funding for placements for Young Adults and that this has been the case for a number of years. The Panel saw evidence that it has existed for the last three years and believe the short fall has actually existed for a longer period than three years.

2.5 In essence, the budget forecasting activities and the subsequent annual budget setting processes appear to have no correlation in setting future budgets which are truly realistic and reflective of the demands and cost pressures placed on the Children’s Services and Adults Social Services areas.

2.6 The Panel was further concerned to learn that ‘early warning’ assessment system that is to be introduced will not have a positive impact on the budgeting process until 2012-13. The Panel is of the opinion that an interim system should be introduced immediately so that there can be some adjustment ahead of next years (2011-2012) annual budget setting process. The Panel also noted with some concern that the current project work being undertaken between Children Services and Adult Social Care in respect of early transition planning was not expected to have a positive impact for annual budget planning purposes until 2012/13.

2.7 The Panel was unconvinced as to how the Medium Term Financial Strategy (MFTS) was used corporately as a management tool in the annual budget setting process and how the MTFS supported pro-active financial management within...
the two services areas throughout the financial year by, for example, responding to changing budget pressures, changing service demands, and contractual arrangements. In essence, the panel questioned the effectiveness of the MTFS as a financial tool for Council services, questioned how flexible the MTFS actually was in responding to changing fiscal environments and further questioned how the MTFS contributed to the setting of a realistic annual budget in Children’s Services and Adult Social Care.

2.8 Panel Members noted the use of underspend in previous years relating to the Housing Services budget and Freedom Pass funding to address the Adult Social Services underspend. The Panel noted that the use of underspend from one part of a service / Directorate to contain an overspend elsewhere within the service / Directorate was referred to as ‘Management Action’ having been taken. The Panel is of the opinion that the use of such underspend is fortuitous, rather than pro-active management action, and actually masks the true budget position within some service areas. The Panel is of the opinion that virement rules and associated reporting procedures need to be made explicit in addressing how such use is made of ‘Management Actions’ in the use of budget underspend in one service area to address continuing budget pressures in another.

2.9 **Definition of a ‘Placement’**
Both Children’s Services and Adults Social Services have varying definitions as to what constitutes a placement, which in turn leads to some ambiguity for forward budget planning purposes concerning transition cases between the two services.

2.10 **Funding Contributions via Partners**
Through evidence taken to date, the Panel is unconvinced that adequate financial support is being from responsible partners across the range of placement type. The Panel is of the opinion that there is a case to be made for joint contributions to be received from partners for some categories of placement, which presently are not received. The Panel is of the opinion that complex needs placements, particularly in the areas of learning disabilities, mental health and SEN, present a specific case for joint funding arrangements to be applied across partners.

2.11 **Funding Protocols and Criteria**
Through discussions with Officers from both service areas, it is evident that there are a number of placement types which have complex needs attached to them, for example in the areas of learning disabilities and mental health. Various NHS partners may also have involvement with the support of clients with complex needs. By and large however the Panel has not received any evidence to suggest that there are formal funding protocols or criteria in place between partners by which to govern financial agreements / contributions amongst partners.

2.12 **Transition Processes Between Children & Young People Services and Adult Social Services**
Through evidence heard to date, the Panel is of the opinion that there is greater scope for both service areas to work and plan together to identify the true costs involved for clients undergoing transition from one service to another. This
should entail greater frequency of formal budget setting and planning activities pre transition (i.e. from 14 years) between the services. The Panel acknowledged that the issue of joint transition planning between the two service areas has been recognised as an area requiring greater joint working and that work to support this objective has been initiated. However, the Panel is of the opinion that there is still scope for greater use of predictive modelling tools between the service areas, and greater use of formal data exchange, to help predict growing client demand and areas facing extreme fiscal pressures. The Panel has noted that early transitional care planning was particularly relevant in the case of disabled children if robust and appropriate care packages were to be put in place in good time to help facilitate accurate and meaningful financial service planning.

2.13 Identifying Case Numbers from Out of Borough and Care at Home
The lack of data with regard to client numbers emanating from the two areas above is a significant problem for Adult Social Services. Not knowing the number of clients to be received from these two sources has serious consequences for preparing the budget and identifying those cases with higher needs and therefore greater funding requirements. The Panel is seeking further clarification as to what inter borough intelligence systems are in place, if any, to facilitate authorities advising their peers of new cases scheduled to relocate into another borough (and of those clients specific needs). The Panel is forming a recommendation with regard to the issue of cared for at home cases transferring across to the local authority at age 19+years.

2.14 The panel sought clarification for at what point was the case put forward for continuing care for young people with complex needs. Members were informed that children’s services present potential cases to the Joint Commissioning Panel to identify continuing care cases.

2.15 Commissioning Arrangements
Through the evidence provided to the Panel, Members felt that scope existed for the Council to revisit its existing contracts supporting clients across a range of placement types and to seek to renegotiate unit costs with the providers. The Panel was also of the opinion that there was ample scope for the Council to formally approach health partners in respect of funding contributions to support complex needs cases.

2.16 Through the evidence taken to date, the Panel summarised the four principle issues affecting accurate budget setting and wider financial management arrangements in support of placements across children’s services and adult social care as:

- respective service area budgets were constrained by the lack of financial reality in setting the Medium Term Financial Strategy (MTFS);
- both services were purely demand led;
- service budgets were subject to inflationary pressures and market forces; and,
- both services were subject to unknown in-year demand.
2.17 Reviewing the above, the panel were moved to recommend that the services undertake respective service audits to test assumptions (i.e. future client / placement numbers, complex needs, unit costs versus budget etc) against known realities in these areas.

EMERGING RECOMMENDATIONS

2.18 The following represent emerging recommendations from the findings of the Placements Budget Scrutiny Panel:

1. That an interim ‘early warning’ assessment system be introduced immediately so that there can be some adjustment prior to next years (2011-2012) annual budget setting process

2. That a review of the base budget for Adult Social Care be undertaken in light of the cost pressures through growing client numbers placed on the service recognising that traditional budget overspend in this area has been addressed through under spend in other service areas (traditionally housing services);

3. That Adult Social Services urgently implement a protocol with SEN Schools whereby all SEN transitions cases are identified by SEN establishments and are brought to the attention of Adult Social Services by December of each year to allow for financial planning in adult social care for the following financial year.

4. Forecasting of future client numbers must be reflected in the budget planning process for both Children’s and Adult Social Services and reflected in the final base budgets for both Directorates on an annual basis;

5. That an Annual Review be undertaken and reported to Cabinet in respect of continuing care needs so that service demand and fiscal pressures may be recognised and addressed through the annual budget setting process;

6. Annual budget forecasting for Children’s Services and Adult Social Care is made central to and reflected in the Council’s Annual Budget setting process.

7. Both Children’s Services and Adult Social Services should consider revisiting current contract arrangements with current providers regarding unit costs, with a view to reopening contract negotiations where possible;

8. Joint funding protocols (and financial assessment criteria) are required to be put in place for the range of care packages across Children’s Services and Adults Social Care in respect of young adults, with all health and partner agencies as applicable;

9. Forecasting of partner’s financial contributions must be known at an earlier stage in the annual budget setting process than is presently the case i.e.
funding protocols put in place with partners should determine at what point in the financial year their financial contribution can be signed off and the funding made available to the Council;

10. The level of expected financial contribution from NHS Waltham Forest (as reflected in the Management Action Plan 2010/11) should be clarified and confirmed as a matter of urgency with NHS Waltham Forest.

11. Children’s Services and Adult Social Care should hold regular, joint finance planning meetings in order to specifically address the issue of transition numbers from children’s (and any other external agencies) to adult social care (and from outer borough);

12. Data gathering/intelligence arrangements should be put in place with schools, Council Directorates and partner agencies in respect of 19 years + in care at home but transferring to adult social care (including out of borough placements);

13. That the Children and Young People Service and Adult Social Service undertake respective service audits to test assumptions (i.e. future client / placement numbers, complex needs demand, placement unit costs versus actual budget etc) against known realities in these areas.

14. That it should be ensured that common definitions for eligibility criteria for placements between Children’s Services and Adult Social Care are agreed in put in place if this is not already the case.

Officer Recommendations

2.19 The Panel has also received Officer recommendations, which will be referenced in the final panel report:

1. A review of the existing transitions protocol and processes is undertaken to ensure communication between Finance Teams is improved.

2. The inclusion of the quantified transitions pressure for forward years is included in the Medium Term Financial Strategy.

3. Further benchmarking research is undertaken on the unit costs for each service package delivered.

3. CONCLUSION

3.1 Through the roundtable planning meeting of 21st July 20210 and inaugural Placements Budget Scrutiny Panel meeting of 4th August 2010, Members of the Panel quickly identified a number of significant issues which they feel have a detrimental impact on the accurate budget setting and on-going fiscal management of the placements budgets in Children’s Services and Adults Social
Services. Further issues which impact on the budget setting process are likely to be identified through future Panel meetings:

3.2 The emerging recommendations outlined in this paper are just that – they require further work to test their robustness and whether they will have a material impact and be beneficial to the two service areas in the management of the placements budgets. Cabinet requested that this Panel be convened as a matter of urgency. The Panel Members recognise the significance of the work to be undertaken, specifically as to how it may impact on the annual budget setting process. However, taking into account the size and complexity of the task, Members of the Panel will caution Cabinet that any of the initiative proposed will, if agreed by Cabinet, can only realistically be included in the 2011/12 annual budget setting process.

3.3 The Panel is seeking an extension to fully complete the review and is seeking to present a final report for the consideration of the Overview and Scrutiny Management Committee at its scheduled meeting of 8th November 2010, prior to submission to Cabinet.

3.4 The Panel has identified the budget arrangements supporting the areas of mental health and learning disabilities for the concluding stages of the review.

APPENDICES

1. Appendix 1: Placements Budget Scrutiny Panel Roundtable Planning Meeting 21st July 2010: Notes Arising


Background Papers
APPENDIX 1

PLACEMENTS BUDGET SCRUTINY PANEL

ROUNDTABLE MEETING – 21ST JULY 2010, COMMITTEE ROOM 2, TOWN HALL

NOTES ARISING

Present: Councillor Michael Lewis
Councillor Richard Sweden
Councillor Bob Sullivan
Alan Adams (Interim Executive Director, Adult Social Care)
Stephen Gilson (Financial Deputy, Resources)
Paul Rogers (Overview & Scrutiny Manager)

Apologies: Councillor Ebony Vincent

ITEM

1. Panel Remit / Terms of Reference

QUESTIONS / LINES OF ENQUIRY ARISING

A.A. briefed Members present with the background to the placement’s/budget overspend issue and raised a number of pertinent areas which required further investigation in order to establish how best to avoid overspends within the placement’s budgets in future years. The discussion also sought to determine the terms of reference for the panel’s review.

All present agreed that it was essential to identify a clearly focussed line of enquiry in order for the panel to deliver clear and definitive recommendations to the Scrutiny Management Committee in September.

The transition from children’s services to adult social care is bringing a number of financial pressures and challenges. Within the year, 37 placements moving from children’s services to adult social care have an associated cost of £2.5M, with the most expensive 5 placements equating to £1.2M.

It was recognised that there was a distinct possibility of a degree of silo working between children’s and adult social services when it came to addressing transition arrangements and that it was the transitions arrangements which had a significant (but unintentional) effect on the subsequent overspend in adult social services.

A.A advised that areas for the panel to focus on included:

- VfM (with placements)
- Commissioning arrangements
- Numbers
- The funding trail i.e. how it can follow the individual across services; how the funding is used when it is moved across to adult social care etc
Arising from the points above, the panel may wish to establish a review which would establish the shape of transition arrangements in place within the authority, which would entail addressing:

- Number of placement figures
- Ratio of extended support v. residential support
- Budget consequences (of the above)
- Do children’s and adults services work together in a cohesive way in addressing transition
- Do respective policies reflect a uniform / joined up and coherent strategy for managing transition arrangements
- Review existing policies supporting the transition pathways

With regard to the balance of residential placements, the panel may need to review the effectiveness of foster care / family support arrangements in order to obtain a balance of care view. Some benchmarking data would be required around this area to establish the Council’s position in this area.

By looking at placements, the panel would inevitably need to review the balance / weighting of placements in terms of placement numbers / unit costs etc.

**BUDGET SETTING**

Is the budget sufficient? Is service intelligence to support the budget setting process in place and complete?

The panel needs to isolate and identify the children’s social care budget from the remainder of the children’s budget and to receive a precise financial breakdown for both children’s and adult social services.

**Transition Budgetary Process/Pathways:**

A significant factor in the transition budgetary arrangements appears to be that the funding supporting a young person in children’s services does not transfer with them at 19 years into adult social care i.e. the funding does not follow the individual into adult social care.

It is imperative for accurate budget planning purposes to identify all the activity and associated costs generated between children’s services and adult’s social care. For example, to identify 18+ year olds moving from children’s services to adult social care with high needs – such cases need to be identified and fully reflected in the budget setting process if the final budget set is to be capable of supporting client needs.
Are the costs supporting transition the right size – this may require specific attention.

SG: Children with statements and placed out of borough incur significant costs (up to 5K per week) and may also not be identified for children’s social care / uncounted for budget setting/planning purposes.

JOINT FUNDING PROTOCOLS AND CRITERIA

Members raised the following points:

Are there any recognised joint protocols and /or criteria in place between the council and NHS partners in respect of continuing care responsibilities for adults? Are there any criteria in place between the Council and PCT/NHS with regard to generic funding support?

Are there established arrangements for reclaiming funding owed from other local authorities in respect of adult social care?

A.A.: An organisation needs an excellent commissioning /contract management operation to ensure recharging of partners is managed effectively. An effective client operation also ensures that any dispute is dealt with and resolved quickly and that the service user is not affected directly. This area has links to the issues with unit costs etc. An effective client side operation would have a positive impact on the unit cost through driving down costs

PLANNING CARE PATHWAYS

A.A.: The key ages for planning effective transitional pathways are from 14 – 15 years. This timeframe allows for effective, joint care pathway planning between services and addresses quality of life, suitability of care and affordability issues.

Are children’s services and adult social services planning client’s future pathways together at this stage of their client’s lives? Are they aware of joint service planning issues and, if so, are they addressed in a coherent and planned way?
PANEL TERMS OF REFERENCE AND FUTURE AREAS OF ENQUIRY

Having considered the issues detailed above, Members agreed that the panel’s enquiry should initially focus on the following areas, with an initial outline report addressing:

1. Obtain clarification regarding the children’s social services budget i.e. to demarcate children’s soc. services from the remainder of the children’s services budget.

2. Adult social services: Clarify whether the assumed reductions in adult placements are returning the anticipated level of budget savings.

3. Receive a financial breakdown specifically addressing children’s and adults placements. To include extent of budgetary / cost problems involved for each service.

4. Review the issues of Value for Money / unit costs (i.e. unit cost; overall service costs; number of placements involved).

5. Obtain relevant VfM data on unit costs / benchmarking data with comparable boroughs, including analysis of spend levels compared to the ‘average’ local authority.

6. Transition Arrangements: Review costs and budget planning processes to accurately reflect future cost pressures re. transition from children’s services to adult social care.

7. Clarify whether the contingencies and balances put in place to address the placements risk are sufficient and reflect the financial realities.

8. Clarify the scale of the transition numbers and whether transition arrangements are adequately reflected in the budget setting processes for children’s and adult social services (to incorporate the extent of joint service planning in the budget process).

9. Ascertain what was the projected figure for adult social care placements in 2010/2011; what processes were used to arrive at this figure. Similarly, what was the projected figure for transition numbers from children’s services to adult social care (and correlation of places required against the programmed budget).

N.B. Initial report back from the Panel to the Scrutiny Management Committee is scheduled for 13th September 2010.

NEXT SCRUTINITY PANEL MEETING DATE
7:00 p.m. on Wednesday 4th August 2010 - To be Confirmed.
APPENDIX 2

PLACEMENTS BUDGET SCRUTINY PANEL

PANEL MEETING: 4th AUGUST 2010, COMMITTEE ROOM 6, TOWN HALL

NOTES ARISING

Present:  Councillor Michael Lewis
Councillor Richard Sweden
Stephen Gilson (Financial Deputy, Resources) (SG)
Duncan Pike (Assistant Director of Resources) (DP)
Liz Gosling (Group Manager - Children in Care) (LG)
Mida Libman (Service Accountant, Children & Families) (ML)
Karen Morrell (Service Manager, Adult Social Care) (KM)
Matthew Chatfield (Children & Yong People Service) (MC)
Paul Rogers (Overview & Scrutiny Manager) (PR)

Apologies:  Councillor Bob Sullivan
Councillor Ebony Vincent
Alan Adams (Interim Executive Director, Adult Social Care)

ITEM

1. REVIEW OF EVIDENCE / DATA REQUESTED AT THE PANEL ROUNDTABLE MEETING OF 21ST JULY 2010

Councillor Lewis provided a recap of the reasons for the formation of the scrutiny panel and some detail concerning the first areas of work to be reviewed by the panel as identified at the roundtable planning meeting held on 21st July 2010. Officers were advised that this entailed reviewing the financial planning and budget setting processes in place to support the resourcing of the transition process between children’s services and adult social care.

Those present were advised that the panel intended to submit an interim report to the Scrutiny Management Committee meeting scheduled for 13th September 2010, which would detail the panel’s initial findings and progress with the enquiry. It was also the panel’s intention to request of the Scrutiny Management Committee an extension to the original schedule in order to fully complete the review.

Having considered the joint briefing report regarding placement’s arrangements and associated cost issues as provided by the finance directorate and performance office, the Member’s present sought further information across a range of related areas.

2. MEMBER / OFFICER QUESTION & ANSWER SESSION ARISING FROM 1. ABOVE

In response to the panel’s initial remit of reviewing the financial planning arrangements supporting the transition process between children’s services to adult social care, ML advised the panel that the council was participating through a government funded national transition support plan review. This entailed a self assessment process leading to the council receiving a rating for its transition processes. Different levels of support
were subsequently offered to councils from the transition support team, with Waltham Forest ranked as an Offer 3 authority. A steering Group was established to review the subsequent transition protocol and supporting action plan. All relevant stakeholders were involved in the process. The action plan will be reviewed by the respective management teams for children’s services and adult social care. Actions had been taken over the past year to improve the processes and data for establishing the number of clients involved in transition between children’s services and adult social care.

The panel sought clarification as to whether 2010/11 had seen a larger intake of 19+ year olds requiring transition than had been the case in previous years and if so whether the numbers involved were exceptionally high. Detail in page 8 of the report showed that as at period 3 in 2010/11, placements were running at 66 whereas in previous years they had averaged approximately 50 placements for the year. Reference was also made to page 14 of the report addressing transition costs and trends. The report informs that......Growth for transitions was awarded in the 2008/09 to 2010/11 budget process based on all known transaction cases at August 2007 (which in 2010/11 equated to £458,000 for 6 cases). The actual number of transitions in 2010/11 is 27 according to the month 3 forecast.

Members were advised that the number of transition cases would always be higher than the actual number of recognised LAC cases alone. The existing 2010/11 budget was predicated upon the LAC figures from three years ago and did not take into account costs. Moreover, it was a common feature for a number of transition cases not to have been previously identified, for example those cases where there had been no contact with adult social care whilst the client was still in a school setting; in instances where a client requires adult social care support having located into the borough and where the client had been cared for and supported in a home setting up to 19 years. In such instances, these cases are not accounted for in the financial transition planning stages.

The panel sought a definition for ‘placements’. In adult social care, placements equated to care packages, whereas in children’s services packages refer to fostering/residential placements and other forms of supported living. Across services ‘placements’ will refer to commissioned care, direct payments and directly provided care (residential care). It does not specifically include day care i.e. adult social care placements.

It was noted that there were budget overspends in wage costs and residential care and that the panel’s initial line of enquiry was not therefore addressing the full range of the adult social care budget. It was also noted that there was a budget overspend in mental health placements due to the number of clients supported, but that this was a separate issue to that of transition budgeting.

Members noted that nationally a number of authorities had experienced transition budgetary issues and that it was recognised that transition planning should commence from the 14+ years. Members were advised that work was being taken forward to support colleagues in school settings to identify transition requirements from 14+ years. Requirements were in place for transitional planning to commence at year 9 (14 years) jointly between children’s services and adult social care. Processes were also in place to identify those clients living at home (and likely to require transition) and not in a residential care setting. It was noted that early transitional care planning was particularly relevant in the case of disabled children if robust and appropriate care
packages were to be put in place in good time. Members were advised that the benefits from the early transition planning processes should start to have a positive impact for budget planning purposes from 2012/13. It was recognised that early transition planning would provide an opportunity to discuss and better plan between children services and adult social care for residential placement requirements and to address out of borough, long term residential placements (i.e. the most expensive form of placement). The panel recognised that pressure would always be brought to bear on the authority by parents/guardians in instances whereby out of borough placements were seen as the best care package available for the child.

The panel sought clarification as to at what point was the case put forward for continuing care for young people with complex needs. Members were informed that children’s services present potential cases to the Joint Commissioning Panel to identify continuing care cases. Section 20 cases, children service’s endeavour to support the parents/guardian but could take responsibility for an appeal in support of the parent. Legally, children’s services would use the same grounds as for SEN statements. Officers will take this back to the next JCP? Cllr Sweden – can you clarify / explain this point?

In respect of continuing care funding, the panel was informed that such funding via the NHS ends at eighteen years of age. The council has the option of taking a case to the Continuing Care Panel / and use the adults continuing care screening tool before the client reaches eighteen years in order to make an assessment. If the client is in an out of borough college, the council will liaise with the relevant PCT in order to undertake a continuing care assessment.

**ACTION:**
The Panel agreed to receive data with regard to continuing care packages received / agreed for children services and adult social care clients.

In respect of adult placements funding arrangements, the panel sought clarification as to whether a contribution was sought / provided from the health authority. Members were advised that an assumption had been made in the Management Action Plan 2010/11 that there would be a contribution (unspecified) received from the health authority, although there was the caveat that the PCT was also experiencing cost pressures at this time.

Councillor Sweden noted that continuing care arrangements were subject to quasi-judicial decisions/criteria in respect of required funding arrangements for adults in conjunction with the local health provider.

**ACTION:**
Scrutiny Panel to receive data on the level of financial contribution received from NHS for adult continuing care placements.
**ACTION:**

Scrutiny Panel to receive data detailing the number of cases approved by the Approval Panel for continuing care funding.

Councillor Sweden – We need an annual review to be undertaken and reported for continuing care needs.

The panel sought clarification as to the timescales involved for a young person to be identified via the Approval Panel as requiring adult social care services. Members were advised that there was a single transition list detailing those requiring continuing care. Transition case workers also employed a screening tool before the clients reached 18 years of age. As the Continuing Care Panel met on a fortnightly basis, such cases can be identified quickly. With regard to the timescales involved with adult social care identifying complex needs and requirements for continuing care funding, again this would be identified relatively quickly via the casework file/s received from children service’s during the transition process.

Councillor Lewis – How many children living at home are referred to continuing care when moving across to adult social care?

The panel noted the projected overspend of £2.7M against learning disabilities and the £867, 900 projected overspend for mental health residential placements. This seemed to imply that transition processes in this area were problematic. Members were informed that places in mental health were fairly stable and that when discussing transition, fundamentally you were referring to learning disability.

The panel noted that accurate budget forecasting appeared problematic and sought clarification as to whether this was due to the children’s services and adult social care budgets being too inflexible at the formulation stage and through the financial year. The consensus was that the respective budgets could not be managed in a particularly flexible / reactive way. Officers alerted the panel, however, to the fact that some cases would go through to continuing care whilst other would eventually attract lower unit costs than originally envisaged. Information would essentially fluctuate over time according to the service users needs over time. Some management actions had been put in place in children’s service and adult social care. NB. Are there actions to address cost pressures? What else? Copy/detail of the management actions required for the panel? What effect have the management actions had to date in containing the budget/cost pressures???

The panel sought clarification as to how, when estimating annual demand, this information is made integral to the annual budget setting process for the respective directorates. The panel was advised that adult social acre had lists of actual clients and that corresponding budget costs were allocated against them. There were also ‘risk lists’ for potential cases.
The Panel noted that children’s services had a known client cut off point from 19 years, whereas adult social care was in effect an open ended service provider. DP advised that more joined up planning processes were in place between the respective services for clients from fourteen years of age and that correspondingly there were less ‘surprises’ in theory for adult social care (an example being risk lists which included clients cared for at home by older carers). With regard to forecasting tools, the panel was advised that a 2007/08 Policy Review undertaken by Lancaster University gave estimated numbers of cases due through the services and this data was used as the basis for estimating future costs. (in 2010/11? Is this the latest trend predictor tool / data set available? Is this still the basis for our forecasting re. client numbers ??)

In response to the question being put as to when was the last time that the actual number of cases were identified and costed the panel was advised that a specification for consultancy support had been drawn up to look at actual placement numbers.

Councillor Lewis listed the issues identified thus far as:

- respective service area budgets were constrained by the MTFS;
- both services were purely demand led;
- service budgets were subject to inflationary pressures; and,
- both services were subject to unknown in-year demand.

Reviewing the above, the panel asked should the services therefore not undertake respective service audits to test assumptions (i.e. future client / placement numbers, complex needs, unit costs versus budget etc) against known realities in these areas.

The panel was advised of two significant issues impacting on the above. Firstly, Housing Services was formerly part of the social services directorate and returned a significant annual under spend, which was used to address the annual adult social care budget overspend. The annual budget previously set for adult social care from approximately 2006 was therefore not realistic or reflective of the true service demands or cost involved in supporting the service. Secondly, the MTFS is subject to a line by line review by adult social care via budget challenge sessions. Cost pressures are still present. A cost calculator tool is used to challenge unit costs / adult social care providers, but it is simply a case of attempting to reduce the level of existing cost pressures.

Finally, it was noted that there was an on-going budget tension between putting adequate growth into the budget versus adequate budget constraint.
APPENDIX 3

Officer Briefing Paper to the Placements Budget Scrutiny Panel

Overview & Scrutiny 4th August 2010 – Placements Scrutiny

Introduction and background

As part of the budget monitoring process, a Member Panel has been convened to review placement numbers and costs in Adult Social Care (ASC) and Children and Young People’s Services (CYPS) by both directorates. This report provides Members with a basic introduction to the services provided, present costs of services and benchmarking information. The placements issue is part of the overall budgetary forecast for each Directorate and therefore forms a part of the outturn projection, rather than the full picture.

Adult Social Care

Adults placements

Adult Social Services provide services to the following client groups:

- Older People (OP) (65+)
- Physical & Sensory Disabilities (PSD) (18-65)
- Mental Health (MH) (18–65)
- Learning Disabilities (LD) (18-65, although starting age may vary according to needs)

Brief definition of current adults placements

The following types of care package are provided by Adult Social Services:

- Residential (External / In house) - Long term permanent placements in a residential care home, generally used for people who need 24-hour care to meet their needs. There has been some reduction in Residential placements for Older People; numbers have remained relatively static for the other client groups.

- Direct Payments - Payments direct to the client or their carers to allow them to provide their own care. This can be managed via agencies (who would for example employ Personal Assistants), but can be used to meet individual care needs in different ways to traditional services. This supports the Personalisation Agenda in that it encourages service users to retain control of their care needs. This is a growth area, with budget pressures being identified for all client groups.
• Home Care (External / In house) - Support provided at home, such as personal care, (e.g. washing, dressing), or “home help” (cleaning, shopping, meals etc). The in-house team generally provides initial highly intensive care for people leaving hospital to re-establish their independence (called reablement). The external provision is generally a longer-term solution that supports people to continue living in the community and works with a select list of specialist providers. This is a growth area, with budget pressures being identified for all client groups.

Pressures facing ASC, and management action to control spending

• Political/Policy direction. The previous Government’s Policy of Putting People First (also known as Personalisation) maintains people in their own homes wherever possible, and to encourage use of Community-based, rather than residential care solutions. This is currently being demonstrated by increased use of Direct Payments, and following the development of the Resource Allocation System, a system of Individual Budgets. This is the guiding principle of the Directorate when considering a package of long-term care for any potential service user, and is demonstrated by a large increase in Direct Payments and Homecare packages.

• Budget constraints. Continuing levels of budget pressures from Central Government and competing priorities within the Medium Term Financial Strategy (MTFS) have meant that budget growth year on year has not kept up with demand, and budgets overall have been reduced. This inevitably has an effect on placement budgets as more creative ways of funding placements are sought.

Management action

• Rigorous Panel process. All decisions to provide care packages are examined by Social Care professionals to determine eligibility and suitability in terms of meeting assessed need. The Panel is kept informed of financial issues and constraints, and will challenge high cost packages to ensure consistent service levels and value for money.

• Budget challenge sessions. Heads of Service are called to account for the financial performance of their service area every month. The Executive Director chairs the meetings, and the Portfolio Lead Member attends the meetings, which detail financial and performance targets as well as HR issue.

• Financial targets for in-year reductions. A fundamental part of the budget monitoring framework is the setting of targets to achieve financial savings. Monitoring these targets is part of the Budget challenge process.
Adults Current Month 3 Projections for main placement types:

External Placements – OP/PSD/MH

<table>
<thead>
<tr>
<th>Services / Placement Types</th>
<th>Current No’s</th>
<th>2010-11 Budget</th>
<th>2010-11 Forecast</th>
<th>Over / (Under) Spend</th>
<th>Net Unit Cost (Approx)</th>
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</thead>
<tbody>
<tr>
<td>OP Residential</td>
<td>341</td>
<td>6,840,700</td>
<td>7,077,232</td>
<td>236,532</td>
<td>388.00 p w</td>
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<td>PSD Residential</td>
<td>31</td>
<td>1,320,700</td>
<td>1,243,669</td>
<td>(77,031)</td>
<td>771.50 p w</td>
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<tr>
<td>MH Residential</td>
<td>53</td>
<td>1,306,600</td>
<td>2,144,855</td>
<td>838,255</td>
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<td>OP Direct Payments</td>
<td>184</td>
<td>767,000</td>
<td>1,520,000</td>
<td>753,000</td>
<td>11.00 – 12.75 ph</td>
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<td>PSD Direct Payments</td>
<td>144</td>
<td>1,523,000</td>
<td>1,891,900</td>
<td>368,900</td>
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<tr>
<td>MH Direct Payments</td>
<td>53</td>
<td>83,900</td>
<td>271,600</td>
<td>187,700</td>
<td>11.00 – 12.75 ph</td>
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</table>

Hrs/week

<table>
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<th>Services / Placement Types</th>
<th>Current No’s</th>
<th>2010-11 Budget</th>
<th>2010-11 Forecast</th>
<th>Over / (Under) Spend</th>
<th>Net Unit Cost (Approx)</th>
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<td>OP External Home Care</td>
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<td>2,600,900</td>
<td>3,488,400</td>
<td>887,500</td>
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<td>591,900</td>
<td>555,400</td>
<td>(36,500)</td>
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<tr>
<td>MH External Home Care</td>
<td>170</td>
<td>55,000</td>
<td>118,600</td>
<td>63,600</td>
<td>14.00 ph</td>
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</table>

Adults Benchmarking

Adult Social Care costs are fully benchmarked with all other authorities using the end of year return PSSEX1 through our membership of the IPF Benchmarking club. The most recent comparisons reported are from the 2008-09 financial year and contains all Social Care authorities. The Directorate is currently waiting for information from IPF for different /smaller comparator groups. The benchmarking club process for 2009-10 financial year is just starting and runs through the next few months.
Adults Learning Disabilities Commissioning Budget

Learning Disabilities commissioning budgets include all placement types, the main ones being Residential, Home Care, Direct Payments, Supported Living and Adult Family Placements – these budgets and projections also include the transitional clients from Children and Families.

Current Month 3 Projections for main placement types:

<table>
<thead>
<tr>
<th>LD Services / Placement Types</th>
<th>Current No's (incl expected Transitions)</th>
<th>2010-11 Budget</th>
<th>2010-11 Forecast</th>
<th>Over / (Under) Spend</th>
<th>Approx Budgeted No's Clients</th>
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<tr>
<td>LD Commissioning</td>
<td>459</td>
<td>11,281,200</td>
<td>14,190,900</td>
<td>2,909,700</td>
<td>338</td>
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</table>
Children's Services

Children Services provide the following types of care packages:

Residential

These will be:

- DFES registered Residential schools which have dual registration as Care Homes and have been established to take a cohort of high end need young people with very complex health education and social care needs. These provisions have the facility for the young person to remain until the academic year after they turn 19 years old.

- Residential care homes for children with similar difficulties but are able to access mainstream education.

Foster Care

Looked After children for whom it has been assessed that a fostering family in the community can meet their needs. This may be:

- In House foster carers: who are recruited, assessed, trained and supported by the London Borough of Waltham Forest.

- Kinship carers: who are also In House carers but are the family or friends of the young people they are looking after.

- P& V Foster carers: who are purchased by the London Borough of Waltham Forest because we either do not have the correct match between child and carer amongst our own carers, or the child has to be placed outside of the borough.

Supported Lodgings

These are similar to Foster placements in that they are In House carers that have been assessed, recruited, trained and are supported by London Borough of Waltham Forest. These placements are intended for 16+ young people who still require support but are moving towards independence. Of the young people placed with these carers those aged 16 or 17 are still "Looked After" and their carers are registered under fostering regulations.

Semi - Independent Provision
This accommodation is purchased from local P & V providers along with social worker assessed weekly hours of support to 16+ young people moving towards independence. The weekly level of support is reduced as the requirement for the young person lessens. Young people in this type of accommodation who are 16 or 17 are still "Looked After".

Adoption orders

An Adoption order awards full parental responsibility to the adoptive parents of the child. When a young person is placed for adoption, if they were formally fostered by the same carer they are legally entitled to receive the same level of support they received as foster carers for 2 years less the child benefit and child tax credit they receive from central government. After the two years they are financially assessed via a means test on an annual basis and are then paid between 0% and 100% of the adoption allowance.

Special Guardianship

Special Guardianship Orders awards enhanced parental responsibility to the holders of the Special Guardianship order in that they are able to make day to day decisions about the child without reference to the birth parent. As with Adoption Orders, when the SGO is granted, if the child was formally fostered by the same carers, they are legally entitled to receive the same level of support they received as foster carers for 2 years, less the child benefit and child tax credit they receive from central government. After the two years they are financial assessed via a means test on an annual basis and are then paid between 0% and 100% of the Special Guardianship allowance, less child tax credit and child benefit.

Residence Orders

Holders of Residence orders are awarded joint parental responsibility with the birth parents of a child. If the child was formally Looked After, the carer is entitled to be financially assessed for ongoing financial support which could result in them receiving between 0% and 100% of the Residence Order allowance.

Children in Need

There is a variety of care packages for children in need that are not classified as children's placements. These allow the child to remain at home with their parents but with support. The support can include:

- Direct payments
- Personal care
- Respite care
## PLACEMENTS TRENDS

### Children’s Placements

<table>
<thead>
<tr>
<th></th>
<th>2007/08 Actual</th>
<th>2008/09 Actual</th>
<th>2009/10 Actual</th>
<th>Option 1 2010/11 Projected</th>
<th>Average 2010/11 Projected</th>
<th>31.07.10 Actual</th>
<th>Disabled Children 31.07.10</th>
<th>Transitions to Adults 1.08.10</th>
<th>Average Weekly Cost</th>
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<td>Residential</td>
<td>52</td>
<td>45</td>
<td>50</td>
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<td>58</td>
<td>58</td>
<td>66</td>
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<td>P &amp; V Fostering</td>
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<td>107</td>
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<td>129</td>
<td>138</td>
<td>143</td>
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<td>In House</td>
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<td>Kinship</td>
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<td>38</td>
<td>45</td>
<td>53</td>
<td>34</td>
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<td>0</td>
<td>0</td>
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<td>6</td>
<td>4</td>
<td>7</td>
<td>8</td>
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<td>Semi Independent &gt;18</td>
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<td>19</td>
<td>19</td>
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<td>0</td>
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<td><strong>Average Total LAC</strong></td>
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<td><strong>292</strong></td>
<td><strong>324</strong></td>
<td><strong>336</strong></td>
<td><strong>316</strong></td>
<td><strong>335</strong></td>
<td><strong>38</strong></td>
<td><strong>7</strong></td>
<td><strong>Average Weekly Cost</strong></td>
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<tr>
<td>P &amp; V Fostering &lt;18</td>
<td>1</td>
<td>2</td>
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<td>2</td>
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<td>In House &lt;18</td>
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<td>3</td>
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<td>7</td>
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<td>0</td>
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<tr>
<td>Kinship &lt;18</td>
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<td>6</td>
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<td>£125</td>
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<tr>
<td>Supported Lodgings &lt;18</td>
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<td>5</td>
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<td>4</td>
<td>0</td>
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<td>Semi Independent &lt;18</td>
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<td>65</td>
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<td>68</td>
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<td>0</td>
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<td><strong>Average Total placements</strong></td>
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<td><strong>481</strong></td>
<td><strong>539</strong></td>
<td><strong>494</strong></td>
<td><strong>545</strong></td>
<td><strong>558</strong></td>
<td><strong>38</strong></td>
<td><strong>7</strong></td>
<td><strong>Average Weekly Cost</strong></td>
</tr>
</tbody>
</table>
NB Not every disabled child meets the criteria for transition to Adults in particular those that are on the Autistic spectrum do not.

<table>
<thead>
<tr>
<th></th>
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<tr>
<td>Residential - Commissioned</td>
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<tr>
<td>Older people</td>
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<td>390</td>
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<td>341</td>
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<td>31</td>
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<td>Learning Disabilities</td>
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<td>113</td>
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<td>113</td>
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<td>Older people</td>
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<td>113</td>
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<td>67</td>
<td>75</td>
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<tr>
<td>Total Direct Payments (not incl Carers)</td>
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<td>LBWF</td>
<td>Average</td>
<td>LBWF</td>
<td>Average</td>
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<td>------------------</td>
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<td>---------</td>
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<td>---------</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Learning Disabilities (based on average 10 hours per client)</td>
<td>61</td>
<td>52</td>
<td>55</td>
<td>55</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total Homecare - external</td>
<td>761</td>
<td>514</td>
<td>614</td>
<td>644</td>
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</tbody>
</table>

### Unit Costs

(Fully allocated costs incl. Staff costs and overheads)

<table>
<thead>
<tr>
<th></th>
<th>2008/9 LAs</th>
<th>2008/9 LAs</th>
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</thead>
<tbody>
<tr>
<td>Local Authority Homes</td>
<td>na</td>
<td>£2,721</td>
</tr>
<tr>
<td>Other Homes</td>
<td>£2,823</td>
<td>£2,487</td>
</tr>
<tr>
<td>Own Foster Care</td>
<td>£606</td>
<td>£415</td>
</tr>
<tr>
<td>Private and Voluntary</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Foster Care</td>
<td>£947</td>
<td>£886</td>
</tr>
<tr>
<td>PAF B8</td>
<td>£1,080</td>
<td>£819</td>
</tr>
</tbody>
</table>

### Composition

<table>
<thead>
<tr>
<th></th>
<th>No.</th>
<th>%</th>
<th>Average</th>
</tr>
</thead>
<tbody>
<tr>
<td>Local Authority Homes</td>
<td>0</td>
<td>0%</td>
<td>4%</td>
</tr>
<tr>
<td>Other Homes</td>
<td>42</td>
<td>15%</td>
<td>10%</td>
</tr>
<tr>
<td>Own Foster Care</td>
<td>120</td>
<td>42%</td>
<td>61%</td>
</tr>
<tr>
<td>Private and Voluntary</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Foster Care</td>
<td>124</td>
<td>43%</td>
<td>24%</td>
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</table>

### Waltham Forest Looked After Children Population

Includes children only in residential homes and foster care

<table>
<thead>
<tr>
<th>By Age</th>
<th>0-1</th>
<th>2 to 3</th>
<th>4 to 5</th>
<th>6 to 7</th>
<th>8 to 9</th>
<th>10 to 11</th>
<th>12 to 13</th>
<th>14 to 16+</th>
<th>Total</th>
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</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>286</td>
</tr>
<tr>
<td></td>
<td>31-Mar-08</td>
<td>30-Jun-08</td>
<td>08</td>
<td>08 Mar-09</td>
<td>09</td>
<td></td>
<td></td>
<td></td>
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<td>-----------</td>
<td>----</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other Homes</td>
<td>1</td>
<td>1</td>
<td>2</td>
<td>4</td>
<td>17</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Own Foster Care</td>
<td>11</td>
<td>14</td>
<td>5</td>
<td>9</td>
<td>14</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Private and Voluntary Foster Care</td>
<td>12</td>
<td>8</td>
<td>5</td>
<td>14</td>
<td>13</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>23</td>
<td>23</td>
<td>10</td>
<td>23</td>
<td>28</td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>25</td>
<td>35</td>
<td>54</td>
<td>65</td>
<td>286</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Includes all Looked After Children including those at home and in Independent living</td>
<td>31-Mar-08</td>
<td>30-Jun-08</td>
<td>08</td>
<td>08 Mar-09</td>
<td>09</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Looked After Children total</td>
<td>325</td>
<td>322</td>
<td>314</td>
<td>319</td>
<td>343</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>WF</td>
<td>356</td>
<td></td>
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</tbody>
</table>

NB Waltham Forest does not have any of its only Residential Homes for Looked After Children. We have one respite home for short breaks for Disabled Children.
Transitions

The Transition protocol and process

Waltham Forest’s existing protocol on transitions has recently been revised as part of the Aiming Higher for Disabled Children Programme: a government funded national transition support team to help local agencies improve their services. An initial self assessment completed by the Council in 2008 indicated that the Council was an “offer 3” Authority (e.g. the Authority required support to improve the transition process). Improvements made since this initial assessment means that the Council has improved its transition process and is now classed as an “Offer 2” Authority. Since the finish of the Aiming Higher for Disabled Children Programme, operational work on Transitions has been overseen by the Transition Strategic Group which meets quarterly and includes senior managers for both Children’s and Adults Services.

The Transition Protocol details the responsibilities of all those involved in the transition process including schools, health professionals, education services and housing and social workers from both children and adult services. Resource meetings between Adult and Children’s services are held each May where information on future Transitions cases are discussed to ensure appropriate resources and packages are arranged and budget implications are understood.

Children in Waltham Forest transfer over to adult services after their 19th birthday and when they finish full time education.
All requests for adult social care packages go through the approval panel process, as is the case for all new or changed packages of care.
Tracking meeting with adult and children’s teams are set up 3-4 times a year to ensure smooth transfer of responsibility between children and adult teams.
The Children With Disability Team and the Learning Disability Adult Team both have transition champions and transition care Managers; there are 2.8 transition care managers in the children with disability team and 1.5 within the LD adult team.

There is a close working relationship established between the two teams and joint working at an earlier age prior to transition to adult services happens whenever possible, resources are limited but it is recognised that joint working and assessments show best practice.
There is a single main transition list which projects the young people coming through to adults in the next three years, this is a live document which is continually updated as information about individuals becomes available.

Transitions costs and Trends
Transitions are cases that had a children’s social care package and/or educational provision and require an Adults package at age 19 and two terms. Most transitions are not looked after children, though some of the higher cost Adults packages are provided for children who were looked after children.

Growth for transitions was awarded in the 2008-09 to 2010-11 budget process based on all known transition cases at Aug 2007.
2008-09 - £ 760,000 = 29
2009-10 - £ 747,000 = 7
2010-11 - £ 458,000 = 6

The actual number of transitions in 2010-11 is 27 according to the month 3 forecast. The cost of their Adults packages is still being evaluated, as are the associated systems issues. As the packages are clarified, the costs will be reviewed in monthly monitors.

**Recommendations**

Members are asked to comment on and approve the following recommendations:

- A review of the existing transitions protocol and processes is undertaken to ensure communication between Finance Teams is improved
- The inclusion of the quantified transitions pressure for forward years is included in the Medium Term Financial Strategy
- Further benchmarking research is undertaken on the unit costs for each service package delivered
Dear Member,

Please find attached copies of items 5 and 10 that were not available for circulation with the original circulation.

Martin Esom
ACTING CHIEF EXECUTIVE

AGENDA

5. CLOSURE OF ALBERT CRESCENT PUBLIC CONVENIENCES. (Attached)

10. SCRUTINY CO OPTION SCHEME. (Attached)
Waltham Forest Council and Committee Meetings

All Council/Committee Meetings are held in public unless the business is exempt in accordance with the requirements of the Local Government Act 1972.

Most meetings are held at Waltham Forest Town Hall which is an accessible venue located in Forest Road E17 between Waltham Forest Magistrates Court and Waltham Forest College. The nearest underground and railway station is Walthamstow Central, which is approximately 15 minutes walk away from the Town Hall. Buses on routes 275 and 123 stop outside the building.

There is ample parking accommodation for visitors for meetings held at Waltham Forest Town Hall including parking bays for people with disabilities.

There is a ramped access to the building for wheelchair users and people with mobility disabilities.

The Council Chamber and Committee Rooms are accessible by lift and are located on the first floor of Waltham Forest Town Hall. Induction loop facilities are available in most Meeting Rooms. Electronic copies of agendas, reports and minutes are available on the Council's website. The link is www.walthamforest.gov.uk/index/council/committees copies of agendas, reports and minutes are also available for inspection at Waltham Forest Town Hall and local libraries.

Contact officers listed on the agenda will be able to provide further information about the meeting and deal with any requests for special facilities.

Contact details for report authors are shown on individual reports. Report authors should be contacted prior to the meeting if further information on specific reports is needed or if background documents are required.