

Cabinet

DOCUMENTS FOR THE MEMBERS ROOM

Tuesday, 16th January, 2018
at 4.30 pm

MEMBERS ROOM DOCUMENTS ATTACHED TO THE
LISTED REPORTS

Contacts

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MEMBERS ROOM DOCUMENTS

- 8 **CUSTOMER STRATEGY 2018-2022** (Pages 1 - 6)
- 9 **DIGITAL STRATEGY 2018-2022** (Pages 7 - 24)
- 11 **LOCAL AUTHORITY TRADING COMPANY FOR SOME COUNCIL SERVICES**
(Pages 25 - 34)
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Monday, 8 January 2018

SERVICE DIRECTOR, LEGAL AND GOVERNANCE



Equality and Safety Impact Assessment

The **public sector Equality Duty** (Section 149 of the Equality Act) requires public bodies to have due regard to the need to eliminate discrimination, advance equality of opportunity, and foster good relations between different people carrying out their activities.

The Equality Duty supports good decision making – it encourages public bodies to be more efficient and effective by understanding how different people will be affected by their activities, so that their policies and services are appropriate and accessible to all and meet different people’s needs. The Council’s Equality and Safety Impact Assessment (ESIA) includes an assessment of the community safety impact assessment to comply with section 17 of the Crime and Disorder Act and will enable the Council to better understand the potential impact of the budget proposals and consider mitigating action.

<p>Name or Brief Description of Proposal</p>	<p>The Customer Strategy 2018-22 aims to drive improvements for customers across all council services to achieve the overall aim of putting all of our customers at the heart of everything we do, reflecting their feedback in the design and delivery of services, and to provide appropriate support to those who need it ensuring that customer experiences are easy, effective and convenient.</p>										
<p>Brief Service Profile (including number of customers)</p> <p>The customer strategy relates to all interactions between the council and customers, we deal with a wide range of people across Southampton, and our customers include everyone living, working, volunteering, investing, studying, running a business in or visiting Southampton.</p> <p>Our customers contact us for many different reasons, including to:</p> <ul style="list-style-type: none"> • Get information from us, or give us information • Apply for, book or arrange services • Report issues • Make payments • Buy our services • Access specific help and support. 											
<p>Southampton has 254,275 residents and this is expected to increase to 263,900 by 2022. In total the council dealt with at least 1,156,954 contacts in the last year. There are 127,601 properties which include residential and commercial buildings in the city.</p> <p>The contact centre dealt with the following volumes of customer contact over the last year.</p> <table data-bbox="256 1809 981 1883"> <tr> <td>Face to face</td> <td>Post</td> <td>Emails</td> <td>Telephone calls</td> <td>Web form</td> </tr> <tr> <td>78,000</td> <td>4,500</td> <td>80,000</td> <td>540,000</td> <td>100,000</td> </tr> </table> <p>In addition to this there were around 3.5 million website visits. This strategy has a universal impact as the improvement to customer experiences will</p>		Face to face	Post	Emails	Telephone calls	Web form	78,000	4,500	80,000	540,000	100,000
Face to face	Post	Emails	Telephone calls	Web form							
78,000	4,500	80,000	540,000	100,000							

benefit all users of council services.

Summary of Impact and Issues

The overall strategy focuses on listening to customers and making changes to services and processes to make it easier to deal with the council. A major part of this work will be built around making improvements to online services and increasing their use, this may have an impact initially on elderly and vulnerable customers who do not or cannot access services online. To mitigate against this, alongside the work to increase digital take up, there will be a programme of digital inclusion activity. This will include courses and promotion of free access IT equipment to help improve digital access and skills. Non-online contact channels will also be maintained.

Potential Positive Impacts

The positive impacts will be improved customer experiences and an increase in the number of services available online. This should lead to customers being able to report, pay for, apply and get information from their own device or from home. This should lead to more customers being able to report, pay for, apply and get information about more services from their own device or from home. As the programme of work to deliver the strategy develops automatic updates will form a part of normal interactions with the council so that customers are kept up to date.

Part of the improvement process will also focus on reviewing website content and the information we provide to customers, ensuring it is easy to understand and customers are clear about what to expect from the council.

The activity outlined within the strategy will be led by customer views and changes will be tested by customers to ensure that services and processes are designed to work for customers first.

Responsible Service Manager	Dan Tong – Improvement Manager: Customer Experience
Date	28/12/2017
Approved by Senior Manager	James Marshall – Service Lead: Customer Experience and Insight
Date	02/01/2018

Potential Impact

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
Age	Implementing the proposed changes is expected to have positive impacts on council customers whatever their background or personal characteristics. The strategy does outline a plan to shift more contact online which may exclude some older people from the benefits.	Alongside the work to increase digital take up there will be a programme of digital inclusion activity. This will include courses and promotion of free access IT equipment to help improve digital access and skills. Non-online contact channels will also be maintained.
Disability	Implementing the proposed changes is expected to have positive impacts on council customers whatever their background or personal characteristics. The strategy does outline a plan to shift more contact online which may exclude some people from the benefits who struggle to use online services.	As a part of the digital inclusion work and ongoing improvements to the website accessibility considerations will be built into improvement plans. Non-online contact channels will also be maintained.
Gender Reassignment	Implementing the proposed changes is expected to have positive impacts on council customers whatever their background or personal characteristics.	N/A
Marriage and Civil Partnership	Implementing the proposed changes is expected to have positive impacts on council customers whatever their background or personal characteristics.	N/A

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
Pregnancy and Maternity	Implementing the proposed changes is expected to have positive impacts on council customers whatever their background or personal characteristics.	N/A
Race	Implementing the proposed changes is expected to have positive impacts on council customers whatever their background or personal characteristics.	N/A
Religion or Belief	Implementing the proposed changes is expected to have positive impacts on council customers whatever their background or personal characteristics.	N/A
Sex	Implementing the proposed changes is expected to have positive impacts on council customers whatever their background or personal characteristics.	N/A
Sexual Orientation	Implementing the proposed changes is expected to have positive impacts on council customers whatever their background or personal characteristics.	N/A
Community Safety	N/A	N/A
Poverty	Implementing the proposed changes is expected to have positive impacts on council customers whatever their background or personal characteristics. The strategy does outline a plan to shift more contact online which may exclude some people from the benefits who cannot afford IT equipment or an internet connection.	Alongside the work to increase digital take up there will be a programme of digital inclusion activity. This will include courses and promotion of free access IT equipment to help improve digital access and skills. Non-online contact channels will also be maintained.

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
Other Significant Impacts	None	N/A

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Equality and Safety Impact Assessment

The **Public Sector Equality Duty** (Section 149 of the Equality Act) requires public bodies to have due regard to the need to eliminate discrimination, advance equality of opportunity, and foster good relations between different people carrying out their activities.

The Equality Duty supports good decision making – it encourages public bodies to be more efficient and effective by understanding how different people will be affected by their activities, so that their policies and services are appropriate and accessible to all and meet different people’s needs. The Council’s Equality and Safety Impact Assessment (ESIA) includes an assessment of the community safety impact assessment to comply with Section 17 of the Crime and Disorder Act and will enable the Council to better understand the potential impact of proposals and consider mitigating action.

Name or Brief Description of Proposal	Digital Strategy
Brief Service Profile (including number of customers)	
<p>The Digital Strategy is a high-level document that will help guide the council’s investment in technology, enable improvement of services and support delivery of other key strategies such as the Customer Strategy. It does not commit the council to any individual decisions.</p> <p>As such this is a high-level assessment only. Individual projects arising from the adoption of the Digital Strategy will need their own more detailed assessments.</p>	
Summary of Impact and Issues	
<p>A principal aim of the Digital Strategy is to make contacting the council easier. Success will depend partly on the ability of customers to use the digital tools that the council may offer, such as online forms, voice recognition software or geolocation/GPS.</p> <p>It is also expected that the council will increasingly promote digital access as the preferred means of engaging with services, due to the typically lower cost and faster response of digital options.</p> <p>While the council would expect most people to find digital access to services quicker, easier and cheaper than other methods, it is possible that some will find digital services harder to use. The council will therefore need to mitigate this by continuing to provide alternative means of access such as a telephone</p>	

number, face-to-face meetings or large-type web pages.

This impact is most likely to be felt by older people, who may not have high levels of digital skills; those with disabilities that inhibit use of digital devices such as smartphones; and those on low incomes, who may not own or have access to digital devices. The impact will need to be continually assessed in the light of service and customer information arising from specific projects.

Potential Positive Impacts

Digital services are by their nature equally available to everyone who has access to the internet. In addition to the substantial majority of customers who own internet-enabled devices, the council provides free internet access at a number of locations including the city's libraries.

The cost of digital access to council services will vary depending on individual tariffs, but in most cases it is likely to be cheaper to use a digital option than to make a phone call to the council or visit a council office. For many customers it will carry no cost at all.

Digital access will mean that customers are able to engage with the council and its services at a time and place that suits them, rather than the council. This could, for example, avoid the need for someone with mobility difficulties to have to make a visit to a council office in person.

Digital access allows fast or 'real time' responses to customers' enquiries, meaning that customers have to spend less time on their dealings with the council and get the information they need much sooner than they would otherwise have done.

Digital systems allow enormously expanded access to council information, thereby increasing transparency and democratic accountability. Digital technology such as social media also allows safety- or emergency-related information such as flood alerts or weather warnings to be disseminated within minutes.

Online forms can currently involve completing or sending information to the council online through a website, including typing, reading and processing complex information. As the Digital Strategy is taken forward the need for this will reduce as the council offers services through voice-enabled applications, like Siri, Ask Google, Amazon Alexa or other 'bots'. This will offer increased accessibility and ease of use compared to current digital services.

Staff, Members and organisations that deal with the council are likely to benefit from digital systems that enable greater productivity and integrate with each other, not just internally but with partner systems.

Responsible Service Manager	Deborah Smart
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Date	3 January 2018
Approved by Senior Manager	James Strachan
Date	3 January 2018

Potential Impact

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
Age	Some older people may lack digital skills or familiarity with new technology	Maintain availability of telephone numbers and other non-digital contact options; promote accessible options such as 'large type' web pages and voice recognition; promote digital skills initiatives
Disability	Some disabled people may have inhibited use of digital devices and reduced ability to read online information	Maintain availability of telephone numbers and other non-digital contact options; promote accessible options such as 'large type' web pages and voice recognition; promote digital skills initiatives
Gender Reassignment	None	
Marriage and Civil Partnership	None	
Pregnancy and Maternity	None	
Race	None	
Religion or Belief	None	
Sex	None	
Sexual Orientation	None	
Community Safety	More timely/up-to-date of advice and information about keeping communities safe	
Poverty	Some people may not be able to afford digital devices	Maintain availability of telephone numbers and other non-digital contact options; maintain free

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
		internet access in council locations such as libraries; promote universal mobile and broadband coverage, and free wifi access in city-centre locations; promote digital skills initiatives
Health & Wellbeing	None	
Other Significant Impacts	None	

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What is a Data Protection Impact Assessment?

A Data Protection Impact Assessment (“DPIA”) is a process that assists organisations in identifying and minimising the privacy risks of new projects or policies.

Projects of all sizes could impact on personal data.

The DPIA will help to ensure that potential problems are identified at an early stage, when addressing them will often be simpler and less costly.

Conducting a DPIA should benefit the Council by producing better policies and systems, and improving the relationship with individuals.

Why should I carry out a DPIA?

Carrying out an effective DPIA should benefit the people affected by a project and also the organisation carrying out the project.

Whilst not a legal requirement, it is often the most effective way to demonstrate to the Information Commissioner’s Officer how personal data processing complies with data protection legislation.

A project which has been subject to a DPIA should be less privacy intrusive and therefore less likely to affect individuals in a negative way.

A DPIA should improve transparency and make it easier for individuals to understand how and why their information is being used.

When should I carry out a DPIA?

The core principles of DPIA can be applied to any project that involves the use of personal data, or to any other activity that could have an impact on the privacy of individuals.

Answering the screening questions in **Section 1** of this document should help you identify the need for a DPIA at an early stage of your project, which can then be built into your project management or other business process.

Who should carry out a DPIA?

Responsibility for conducting a DPIA should be placed at senior manager level. A DPIA has strategic significance and direct responsibility for the DPIA must, therefore, be assumed by a senior manager.

The senior manager should ensure effective management of the privacy impacts arising from the project, and avoid expensive re-work and retro-fitting of features by discovering issues early.

A senior manager can delegate responsibilities for conducting a DPIA to three alternatives:

- a) An appointment within the overall project team;
- b) Someone who is outside the project; or
- c) An external consultant.

Each of these alternatives has its own advantages and disadvantages, and careful consideration should be given on each project as to who would be best-placed for carrying out the DPIA.

How do I carry out a DPIA?

Working through each section of this document will guide you through the DPIA process.

The requirement for a DPIA will be identified by answering the questions in **Section 1**. If a requirement has been identified, you should complete all the remaining sections in order.

The Data Protection Impact Assessment Statement in **Section 7** should be completed in all cases, and a copy of this document should be sent to the Information Lawyer (Data Protection Officer) to record and review.

The Information Lawyer (Data Protection Officer) will review the DPIA within 14 days of receipt, and a draft DPIA report will be issued within 28 days. The report will confirm whether the proposed measures to address the privacy risks identified are adequate, and make recommendations for additional measures needed.

These measures will be reviewed once in place to ensure that they are effective.

Advice can be found at the beginning of each section, but if further information or assistance is required, please contact the Information Lawyer (Data Protection Officer) on 023 8083 2676 or at information@southampton.gov.uk.

Section 1 - Screening Statements

The following statements will help you decide whether a DPIA is necessary for your project.

Please tick all that apply.

The project will involve the collection of new information about individuals.

The project will compel individuals to provide information about themselves.

Information about individuals will be disclosed to organisations or people who have not previously had routine access to the information.

You are using information about individuals for a purpose it is not currently used for, or in a way it is not currently used.

The project involves you using new technology which might be perceived as being privacy intrusive. For example, the use of biometrics, facial recognition, or profiling.

The project will result in you making decisions or taking action against individuals in ways which can have a significant impact on them.

The information about individuals is of a kind particularly likely to raise privacy concerns or expectations. For example, health records, criminal records, or other information that people would consider to be particularly private.

The project will require you to contact individuals in ways which they may find intrusive.

The project involves making changes to the way personal information is obtained, recorded, transmitted, deleted, or held.

If any of these statements apply to your project, it is an indication that a DPIA would be a useful exercise, and you should complete the rest of the assessment, including the Data Protection Impact Assessment Statement in **Section 5**.

If none of these statements apply, it is not necessary to carry out a DPIA for your project, but you will still need to complete the Data Protection Impact Assessment Statement in **Section 5**.

Section 2 - Identifying the Need for a DPIA

Briefly explain what the project aims to achieve, what the benefits will be to the Council, to individuals, and to other parties.

Section 3 - Describe the Information Flows

The collection, use, sharing, and deletion of personal data should be described here.

Section 4 - Identifying the Privacy Risks

Answering the questions below will help identify the key privacy risks, and the associated compliance and corporate risks.

The questions cover the key data protection principles, and whilst all may not be relevant to your project, they may prompt you to consider areas of risk which aren't initially apparent.

Principle 1

Personal data shall be processed lawfully, fairly and in a transparent manner in relation to the data subject.

What personal data will be collected and/or shared?

With whom will the personal data be shared?

How will individuals be told about the use of their personal data?

Conditions for processing

For all data (tick all that apply):

The data subject has given consent to the processing.

The processing is necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.

The processing is necessary for compliance with a legal obligation to which the Council is subject.

The processing is necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the Council.

Does your project involves the processing of the following?

Tick all that apply:

data revealing racial or ethnic origin

political opinions

religious or philosophical beliefs

trade-union membership

genetic data or biometric data for the purpose of uniquely identifying a natural person

data concerning health

data concerning a natural person's sex life or sexual orientation

If so, which of the following apply?

The data subject has given explicit consent to the processing.

The processing is necessary for the purposes of carrying out the obligations and exercising specific rights of the Council or of the data subject in the field of employment and social security and social protection law.

The processing is necessary for the establishment, exercise, or defence of legal claims, or whenever courts are acting in their judicial capacity.

The processing is necessary for reasons of substantial public interest.

The processing is necessary for the purposes of preventive or occupational medicine, for the assessment of the working capacity of the employee, medical diagnosis, the provision of health or social care or treatment or the management of health or social care systems and services.

The processing is necessary for reasons of public interest in the area of public health, such as protecting against serious cross-border threats to health or ensuring high standards of quality and safety of health care and of medicinal products or medical devices.

The processing is necessary for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes.

If you are relying on consent to process personal data, how will this be collected and recorded?

What will you do if consent is withheld or withdrawn? How will this be recorded?

Can an alternative condition for processing (see page 7) be used instead of consent? If yes, please provide details. See conditions on page 6 for options.

How will individuals be informed at the point of collection about how their personal data will be used?

Will any personal data be published on the Internet or in other media? If yes, please provide details.

Will a third party contractor be processing the personal data on our behalf, or involved at any stage in the data processing process?

Principle 2

Personal data shall be collected for specified, explicit, and legitimate purposes, and not further processed in a manner that is incompatible with those purposes.

Do you envisage using the personal data for any other purpose in the future? If so, please provide details.

Principle 3

Personal data shall be adequate, relevant, and limited to what is necessary in relation to the purposes for which they are processed.

Are you satisfied that the personal data processed is of good enough quality for the purposes proposed? If not, why not?

Is there any personal data that you could not use, without compromising the needs of the project? If yes, please provide details.

How will you ensure that only personal data that is adequate, relevant, and not excessive in relation to the purpose for which it is processed?

Principle 4

Personal data shall be accurate and, where necessary, kept up to date.

Are you able to update and amend personal data when necessary, after it has been collected and recorded? Please provide details.

How will you ensure that personal data obtained from individuals or other organisations is accurate?

Principle 5

Personal data shall be kept in a form which permits identification of data subjects for no longer than is necessary for the purposes for which the personal data are processed.

What retention periods are suitable for the personal data you will be processing?

How will you ensure the personal data is deleted in line with your retention periods?

What processes will be put in place for the destruction of the personal data?

Principle 6

Personal data shall be processed in accordance with the rights of data subjects under this Act.

If an individual requested a copy of the personal data held about them, detail how this would be provided to them.

If the project involves marketing, have you got a procedure for individuals to opt out of their personal data being used for that purpose?

Principle 7

Personal data shall be processed in a manner that ensures appropriate security of the personal data, including protection against unauthorised or unlawful processing and against accidental loss, destruction or damage, using appropriate technical or organisational measures.

Where, and in what format, will the personal data be kept?

Will an IT system or application be used to process the personal data? Please provide details.

How will this system provide protection against security risks to the personal data?

What training and instructions are necessary to ensure that staff know how to operate the system securely?

Will staff ever process the personal data away from the office (e.g. via paper files, on laptops, tablets, or smart phones)? If so, please provide details.

How will access to the personal data be controlled?

Principle 8

Personal data shall not be transferred to a country or territory outside the European Economic Area (EEA) unless that country or territory ensures and adequate level of protection for the rights and freedoms of data subjects in relation to the processing of personal data.

Will the project require you to transfer personal data outside of the EEA? If yes, please provide details.

If you will be making transfers, how will you ensure that the personal data is adequately protected?

If a contractor is being used to process the personal data, where are they (and their data stores) based?

Section 5 - Data Protection Impact Assessment Statement

This statement must be completed for all projects, regardless of whether a DPIA was deemed to be necessary on completion of the screening questions in Section 1.

Name:

Position:

Project Summary:

Estimated date of project completion:

Please choose one of the following options:

None of the screening statements in Section 1 of this document apply to the above project, and I have determined that it is not necessary to conduct a Data Protection Impact Assessment.

Some of the screening statements in Section 1 of this document apply to the above project, and a need to carry out a Data Protection Impact Assessment was identified. The assessment has been carried out, and the outcomes will be integrated into the project plan to be developed and implemented.

Date:

Once completed, please send a copy of this document to Corporate Legal.

Email: information@southampton.gov.uk

Internal post: Corporate Legal, Civic Centre, Municipal, Ground Floor West

Document Information

Title: Data Protection Impact Assessment

Author: Chris Thornton, Senior Legal Assistant (Information)

Version: v2.7

Owner: Information Governance Board on behalf of the Council's Management Team

Agreed by: Information Governance Board on behalf of the Council's Management Team

Effective from: 31st January 2017

Review Date: 31st January 2018

Revision History:

06/12/13 - Version 1.0 - Reviser: Vikas Gupta - Document Created

10/03/15 - Version 2.0 - Reviser: Chris Thornton - Updated to PDF form format

17/07/15 - Version 2.1 - Reviser: Chris Thornton - Added information re report in introduction

14/01/16 - Version 2.2 - Reviser: Chris Thornton - Added screening question

27/01/16 - Version 2.3 - Reviser: Chris Thornton - Added project completion date to S7

24/01/16 - Version 2.4 - Reviser: Chris Thornton - Added service level for issuing reports

29/04/16 - Version 2.5 - Reviser: Chris Thornton - Removed sections 5 and 6, and revised questions

22/02/17 - Version 2.6 - Reviser: Chris Thornton - Changed wording to reflect GDPR

26/05/17 - Version 2.7 - Reviser: Chris Thornton - Changes made to consent to reflect GDPR



Equality and Safety Impact Assessment

The **public sector Equality Duty** (Section 149 of the Equality Act) requires public bodies to have due regard to the need to eliminate discrimination, advance equality of opportunity, and foster good relations between different people carrying out their activities.

The Equality Duty supports good decision making – it encourages public bodies to be more efficient and effective by understanding how different people will be affected by their activities, so that their policies and services are appropriate and accessible to all and meet different people’s needs. The Council’s Equality and Safety Impact Assessment (ESIA) includes an assessment of the community safety impact assessment to comply with section 17 of the Crime and Disorder Act and will enable the council to better understand the potential impact of the budget proposals and consider mitigating action.

<p>Name or Brief Description of Proposal</p>	<p>The proposal is seeking to create a Local Authority Trading Company (LATCo) for the management, delivery and commercialisation of the following Council services:</p> <ul style="list-style-type: none"> • Housing operations and housing management • Waste management and collection • Car park operations • Parks and open spaces • Fleet Services • Street cleansing (including pest control) • Facilities management • Transport (Co-ordination)
<p>Brief Service Profile (including number of customers)</p>	<p>The services in scope are delivered across three service areas of the Council and affect around 560 FTEs.</p> <p>Housing Operations & Management sits within the Adults, Housing and Communities service area and is responsible for the day to day maintenance and management of the Council’s 16,500 homes. This involves helping people to manage their tenancies as well as delivering 52,000 internal and external housing repairs each year.</p>

Housing Management and Operations Functions Under Consideration	
Housing Allocations applications	x
Applications for transfers	x
Homelessness	x
Enforcement of tenancy conditions & civil litigation	x
Tenancy advice services	x
Dealing with overcrowding	x
Management of supported accommodation & liaison with Scheme Managers	x
Tenant Involvement	x
Dealing with applications for access to personal files & information	x
Dealing with Members & Ombudsman enquiries & freedom of information requests	X
Complaint resolution	x
Reception services	x
Home loss payments	x
Insurance	x
Liaison with housing benefit and council tax	x
Domestic violence and relationship breakdown	x
Concierge services	x
Estate inspections	x
Safety management	x
Customer Call Centre	x
Right to Buy Leaseholder Consultation	x
Asset Register	x

The majority of remaining services currently under consideration sit within Transactional & Universal Services and include the following: Car Park Operation Services, which operate an in-house one stop shop approach to the management and maintenance of the city's car parks over a 7 day period from a workshop located in Paget Street Industrial Units. It is linked by dedicated fibre to all Multi Storey Car Parks to maintain the Pay on Foot System and to New City Depot for Control Room operators who monitor the help points and Pay on Foot Systems 24/7.

Car Park Operation Functions Under Consideration	
Development of existing car park sites	X
Opening and closing of car parks (as directed by SCC)	X
Cash collection, counting and banking	X
Supply of parking tickets and other materials	X
Provide and maintain any equipment / solutions required to manage car parks	X
Provide help-desk type service to customers	X
Provide an administration service	X

The Parks and Grounds Maintenance Team delivers a number of services in support of sustaining and developing Southampton as a 'green city'. This includes management and stewardship of parks resources and assets (e.g. grass, shrub & hedge maintenance; litter removal and disposal; seasonal bedding & floristry; sports pitch maintenance etc.), allotment provision & maintenance; SLA's for Housing and Schools grounds maintenance; Tree management, risk assessment, maintenance and planning advice; Landscape design & construction; Play area design, installation, inspection & maintenance and Stewardship of SSSI's, SINCS, and areas of importance for wildlife amongst other things.

Parks & Open Spaces Functions Under Consideration	
Management and stewardship of the city's parks and green spaces, and associated resources and assets	X
Grounds Maintenance	X
Landscaping	X
Maintenance of sports centre sports pitches, athletics facilities, and synthetic football, hockey, netball and tennis courts.	X
Provision and maintenance of public pay and play facilities i.e. mini golf, pitch and putt, tennis	X
Play Area installations, inspections and maintenance	X
Maintenance of urban games provision e.g. skate parks, baseball courts, and MUGA's	X
Arboriculture Services	X
Allotments	X

The Transport Services under consideration are:

Transport Functions Under Consideration	
Children's services transport e.g. Home to school transport	X
Courier Service	X

The Street Cleansing Service is organised into three District Teams (East, West and Central) and a specialist City Centre Team. The resourcing of the maintenance of the various land designations set out in the EPA supports a frequency of operation that ensures general compliance with the requirements of the Act (e.g. daily cleaning of zone 1 retail areas). Where an area is reported to fall below acceptable standards between routine visits, this will instantly generate a specific job task to be undertaken by the service's rapid response unit. The team also incorporate a small pest control team.

Street Cleansing Functions	
Cleaning of city centre and district centres	X
'Zonal' cleaning of residential areas	X
Routine cleaning of city's major gateways and arteries	X
Graffiti, fly posting and fly tipping removal and control	X
Rapid response to urgent cleansing customer reports (dog fouling, sharps, hate-crime graffiti, fly tipping, localised litter build-ups)	X
Autumn leaf clearing from city's Streets	X
Weed control on highways, footpaths and hard standing	X
Educational and enforcement promotions and campaigns to improve cleanliness of city.	X
Care and management of city's inventory of street litter bins, including replacement of damaged items and installation of new bins.	X
Eradication of rodent and insect pests	X
Collection of clinical waste	X
Cleansing of filthy or verminous premises	x

Waste Management Services provide alternate weekly collection of household waste and collection of recycling and glass; chargeable

fortnightly collection of garden waste; chargeable bulky waste collection service and bulky block and voids service for Housing. Commercial Waste Service includes schools; advice and information for bin storage and containers for new developments (chargeable service); education and enforcement initiatives; management of the waste disposal contract; a household waste recycling centre; glass banks across the city and the management of textile banks across the city which generate income.

Waste Management Functions Under Consideration	
Collect domestic and trade waste and recycling from homes and businesses	X
Deliver waste to transfer stations, incinerator and landfill	X
Disposal of commercial waste	X
Provide advice about waste disposal and collection options	X

Fleet transport is an in-house service provided to Council departments that require vehicles and equipment to run their services. It is a trading arm and has two strands to its service, 1) Policy and Compliance and 2) Fleet and Plant Management.

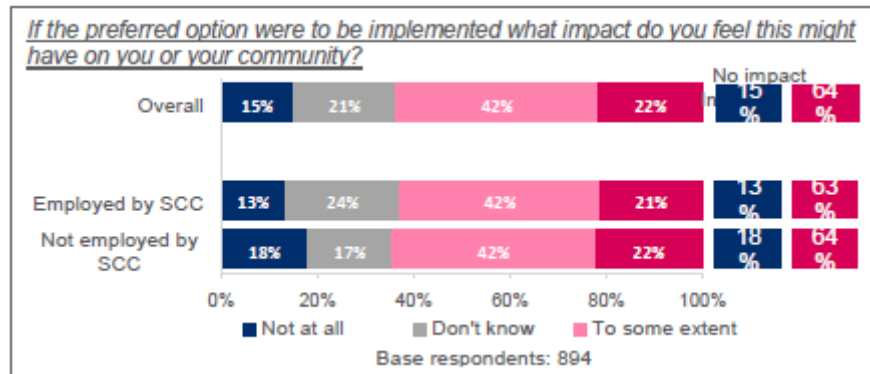
As a provider of vehicles to Council services, fleet transport has a statutory responsibility to make sure they are inspected, serviced and maintained in an efficient state, in efficient working order and in good repair in accordance with legal requirements and guidance from the Driver and Vehicle Standards Agency and the Health and Safety Executive. The service maintains/repairs and services over 900 vehicle and plants.

Fleet Service Functions under consideration	
Issue road fund licences	X
Vehicle servicing and inspections	X
Operator compliance, including driver licence checks	X
Vehicle maintenance and repair	X
MOT and other compliance testing	X
Legal and safety compliance	X
Management of the Council's Vehicle Operators Licence	X
Breakdowns, recovery and accident management	X
Holder of Operators Licence (O licence)	X

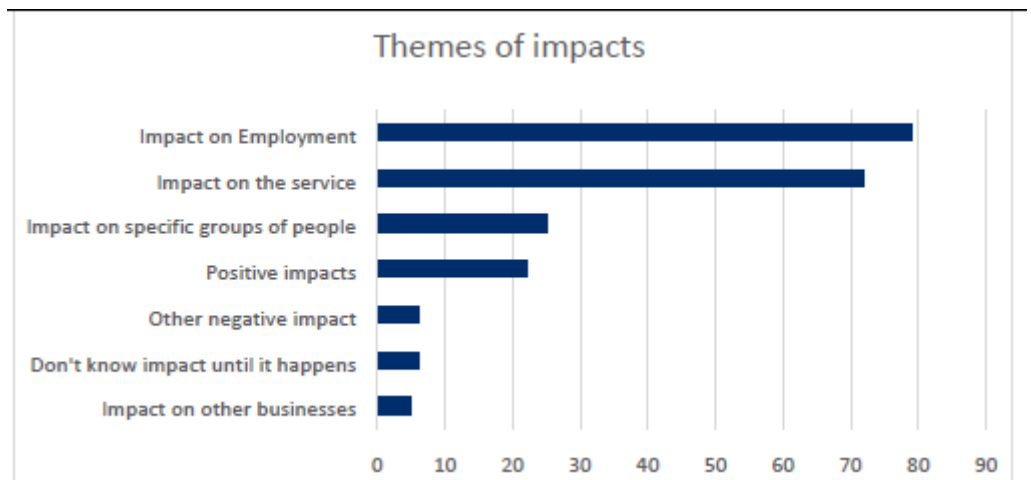
	<table border="1"> <tr> <td>Taco monitoring</td> <td>X</td> </tr> <tr> <td>Driver training and assessments</td> <td>X</td> </tr> <tr> <td>Insurance claims</td> <td>X</td> </tr> <tr> <td>Vehicle procurement and replacement programme</td> <td>X</td> </tr> <tr> <td>Supply and management of fuel to fleet vehicles</td> <td>X</td> </tr> <tr> <td>Vehicle stores to enable repairs to be done as quickly as possible</td> <td>X</td> </tr> <tr> <td>Vehicle hire</td> <td>X</td> </tr> </table>	Taco monitoring	X	Driver training and assessments	X	Insurance claims	X	Vehicle procurement and replacement programme	X	Supply and management of fuel to fleet vehicles	X	Vehicle stores to enable repairs to be done as quickly as possible	X	Vehicle hire	X						
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	<p>The Facilities Management Service sit within the Growth service area of Southampton city Council are delivered for Civic Buildings. In addition support services are also delivered with the management of CCTV, cleaning contract, parking, security and reception services.</p> <table border="1"> <tr> <td colspan="2">Facilities Management Functions under consideration (anything which is approved by Capital Board is out of scope).</td> </tr> <tr> <td>Civic Buildings Cleaning</td> <td>X</td> </tr> <tr> <td>Reception services</td> <td>X</td> </tr> <tr> <td>Security services</td> <td>X</td> </tr> <tr> <td>Maintenance of all external and internal areas, all structures, fabric, finishes and fixtures and fittings</td> <td>X</td> </tr> <tr> <td>Repair and replacement of all defective or non-serviceable parts</td> <td>X</td> </tr> <tr> <td>Maintenance of mechanical and electrical services and systems</td> <td>X</td> </tr> <tr> <td>Portable appliance testing</td> <td>X</td> </tr> <tr> <td>Maintenance of portable firefighting equipment</td> <td>X</td> </tr> <tr> <td>Reporting requirements for health and safety.</td> <td>X</td> </tr> </table>	Facilities Management Functions under consideration (anything which is approved by Capital Board is out of scope).		Civic Buildings Cleaning	X	Reception services	X	Security services	X	Maintenance of all external and internal areas, all structures, fabric, finishes and fixtures and fittings	X	Repair and replacement of all defective or non-serviceable parts	X	Maintenance of mechanical and electrical services and systems	X	Portable appliance testing	X	Maintenance of portable firefighting equipment	X	Reporting requirements for health and safety.	X
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Reporting requirements for health and safety.	X																				
Summary of Impact and Issues	<p><u>Customers</u></p> <p>There is a risk that some services may experience a dip in performance during transfer of services in to the LATCo.</p> <p><u>Staff</u></p> <p>Further work is required to determine the impact on staff in relation to secondment and / or TUPE arrangements and wider governance issues around the ownership and control functions of the Council.</p> <p>Feedback received: The initial consultation on the establishment of a Local Authority Trading Company took place between 15 June 2017 and 13 July 2017. In total, 923 responses were received on the proposals from a range of staff and members of the public.</p> <p>The response to the consultation showed a high level of agreement with the need for services to change to deal with the challenges we face</p>																				

(78%). Overall 63% of all respondents agreed with the preferred option to create a Local Authority Trading Company. There was 58% overall agreement with the proposed services in scope.

In total, 894 respondents (97%) answered the consultation question about the impacts the proposals would have if implemented. The majority felt there would be an impact on them or their community, with 64% of all respondents suggesting they would feel some impact (full break down in the figure below).



Respondents were also given the opportunity to suggest any impacts they or others might face if the proposals were implemented. In total 156 respondents answered this question, the main themes of the impact comments are shown in the graph below.



The most frequently identified impact related to employment, these made up 51% of the impact comments. The second most frequently identified impact related to the potential impact on the service, these

	<p>made up 46% of the impact comments. The third most frequently identified impact related to the potential impact on specific groups of people, these made up 16% of the impact comments. Some of the specific groups mentioned in these comments were, vulnerable people, people with disabilities, lower income households, socially isolated people, older people, BAME, Tenants and children and young people. Many of these groups have been identified as impacted with little information as to how.</p> <p>All identified impacts have been noted and as proposals are developed and further consultation is undertaken plans can be put in place to mitigate against any negative impacts establishing a Local Authority Trading Company may have.</p>
Potential Positive Impacts	<p>Customers: The LATCo will build on existing service quality and improve the service experience to customers (citizens, businesses and visitors) through the development and improvement of service offerings. It will also seek to source and secure new revenue streams from external business with third parties in order to address decreasing funds from central government and invest surpluses into existing services;</p> <p>Staff: The LATCo presents opportunities for employees in the form of additional and has the ability to provide management with greater flexibility to shape future service provision.</p>
Responsible Service Manager	
Date	

<u>Approved by</u> <u>Senior Manager</u>	Richard Crouch – Chief Operations Officer (Customer Experience)
Signature	Richard Crouch
Date	8 January 2018

Potential Impact

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
Age	No specific impact at this stage	
Disability	No specific impact at this stage	
Gender Reassignment	No specific impact at this stage	
Marriage and Civil Partnership	No specific impact at this stage	
Pregnancy and Maternity	No specific impact at this stage	
Race	No specific impact at this stage	
Religion or Belief	No specific impact at this stage	
Sex	No specific impact at this stage	
Sexual Orientation	No specific impact at this stage	
Community Safety	No specific impact at this stage	
Poverty	No specific impact at this stage	
Other Significant Impacts	None	

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Equality and Safety Impact Assessment

The **Public Sector Equality Duty** (Section 149 of the Equality Act) requires public bodies to have due regard to the need to eliminate discrimination, advance equality of opportunity, and foster good relations between different people carrying out their activities.

The Equality Duty supports good decision making – it encourages public bodies to be more efficient and effective by understanding how different people will be affected by their activities, so that their policies and services are appropriate and accessible to all and meet different people’s needs. The Council’s Equality and Safety Impact Assessment (ESIA) includes an assessment of the community safety impact assessment to comply with Section 17 of the Crime and Disorder Act and will enable the Council to better understand the potential impact of proposals and consider mitigating action.

Name or Brief Description of Proposal	Procurement Strategy
Brief Service Profile (including number of customers)	
<p>The Procurement Strategy is a high-level document sets out how procurement will contribute to the achievement of the Council Strategy outcomes for 2016-20.</p> <p>This ESIA is, therefore, a high-level evaluation only. Individual projects arising from the adoption of the Procurement Strategy may need their own more detailed assessments.</p>	
Summary of Impact and Issues	
<p>The Procurement Strategy is intended to help ensure that the council becomes a modern, sustainable council with a forward-thinking procurement approach that is easily accessible to suppliers, consistently provides value for money, is compliant with relevant legislation, ensures risks are managed and results in excellent services and outcomes for our customers. It sets out the strategic approach to all buying activities undertaken by the council in order to achieve these objectives.</p> <p>The Strategy aims to set a foundation to help ensure that every penny spent by the council achieves its maximum possible positive impact for our customers and the council and supports suppliers in establishing and maintaining successful commercial relationships with us.</p>	
Potential Positive Impacts	
The Procurement Strategy aims to ensure that the council achieves	

consistent value-for-money in delivering quality goods, services and works. It will support the council's aims and legislative obligations in achieving positive economic, environmental and social impact through procurement activities.

All of the principles contained in the Strategy are designed to actively contribute to the achievement of the Council Strategy outcomes for 2016-20.

It will set the strategic basis by which we will provide opportunities for Small and Medium Sized Enterprises (SMEs) and the voluntary sector to engage with us to supply quality goods, services and works at a value-for-money price.

It is complemented by the SCC First policy which will consider – prior to the commencement of procurement processes - whether value for money can be achieved by using our in-house teams, by considering financial and non-financial factors.

Responsible Service Manager	Paul Paskins
Date	4 January 2018
Approved by Senior Manager	James Strachan
Date	4 January 2018

Potential Impact

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
Age	No identified negative impacts through the adoption of the Strategy but individual procurement projects may seek to achieve positive impacts	N/A
Disability	No identified negative impacts through the adoption of the Strategy but individual procurement projects may seek to achieve positive impacts	N/A
Gender Reassignment	No identified negative impacts through the adoption of the Strategy but individual procurement projects may seek to achieve positive impacts	N/A

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
Marriage and Civil Partnership	No identified negative impacts through the adoption of the Strategy but individual procurement projects may seek to achieve positive impacts	N/A
Pregnancy and Maternity	No identified negative impacts through the adoption of the Strategy but individual procurement projects may seek to achieve positive impacts	N/A
Race	No identified negative impacts through the adoption of the Strategy but individual procurement projects may seek to achieve positive impacts	N/A
Religion or Belief	No identified negative impacts through the adoption of the Strategy but individual procurement projects may seek to achieve positive impacts	N/A
Sex	No identified negative impacts through the adoption of the Strategy but individual procurement projects may seek to achieve positive impacts	N/A
Sexual Orientation	No identified negative impacts through the adoption of the Strategy but individual procurement projects may seek to achieve positive impacts	N/A
Community Safety	No identified negative impacts through the adoption of the Strategy but individual procurement projects may seek to achieve positive impacts	N/A

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
Poverty	No identified negative impacts through the adoption of the Strategy but individual procurement projects may seek to achieve positive impacts	N/A
Health & Wellbeing	No identified negative impacts through the adoption of the Strategy but individual procurement projects may seek to achieve positive impacts	N/A
Other Significant Impacts	A key objective of the Procurement Strategy is to help ensure that procurement positively impacts on the achievement of the Council Strategy outcomes for 2016-20	N/A



Equality and Safety Impact Assessment

The **Public Sector Equality Duty** (Section 149 of the Equality Act) requires public bodies to have due regard to the need to eliminate discrimination, advance equality of opportunity, and foster good relations between different people carrying out their activities.

The Equality Duty supports good decision making – it encourages public bodies to be more efficient and effective by understanding how different people will be affected by their activities, so that their policies and services are appropriate and accessible to all and meet different people’s needs. The Council’s Equality and Safety Impact Assessment (ESIA) includes an assessment of the community safety impact assessment to comply with Section 17 of the Crime and Disorder Act and will enable the Council to better understand the potential impact of proposals and consider mitigating action.

Name or Brief Description of Proposal	SCC First Policy
Brief Service Profile (including number of customers)	
<p>The council’s Procurement Service is delivered through the Strategic Services Partnership and manages all third party council spend above £1,000.</p> <p>The SCC First policy is being developed to provide a framework for considering and appointing in-house services to deliver council requirements before commencing a procurement process.</p>	
Summary of Impact and Issues	
<p>The SCC First policy is an internal policy which will govern the utilisation of in-house services across the council where SCC Best Value can be demonstrated and the in-house resource can meet council requirements.</p> <p>There is currently an inconsistent approach to engaging with in-house services and as a result, in-house services often miss out on opportunities or are informed of them too late to enable them to properly plan, mobilise, respond and deliver.</p> <p>The policy has been developed to support the effectively planning, resourcing and delivery of council requirements by in-house teams whilst ensuring that SCC Best Value can be demonstrated.</p> <p>This policy should not adversely affect any protected groups as identified by the Equality Act 2010.</p>	
Potential Positive Impacts	

The implementation of the SCC First policy will demonstrate the council's commitment to a consistent and transparent procurement approach. The impact will be positive to council services and staff, ensuring that services are delivered in-house where appropriate but also allowing for needs to meet through third parties when in-house services are unable to meet council needs or demonstrate best value to the council. It will also bring benefits to residents by ensuring best value for the city.

Responsible Service Manager	Katie Renouard – Service Manager (Supplier Performance)
Date	19 th December 2017
Approved by Senior Manager	Paul Paskins – Service Lead (Supplier Management)
Date	19 th December 2017

Potential Impact

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
Age	No identified negative impacts.	N/A
Disability	No identified negative impacts.	N/A
Gender Reassignment	No identified negative impacts.	N/A
Marriage and Civil Partnership	No identified negative impacts.	N/A
Pregnancy and Maternity	No identified negative impacts.	N/A
Race	No identified negative impacts.	N/A
Religion or Belief	No identified negative impacts.	N/A
Sex	No identified negative impacts.	N/A
Sexual Orientation	No identified negative impacts.	N/A
Community Safety	No identified negative impacts.	N/A
Poverty	No identified negative impacts.	N/A
Health & Wellbeing	No identified negative impacts.	N/A
Other Significant Impacts	No identified negative impacts.	N/A

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