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CITY OF *Lincoln* COUNCIL

Council Summons

For the meeting to be held on

Tuesday, 10 April 2018

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CITY OF LINCOLN COUNCIL

Sir/Madam,

You are hereby summoned to attend the meeting of the COUNCIL of the City of Lincoln to be held at The Guildhall on Tuesday, 10 April 2018 at 6.30 pm.

Chief Executive and Town Clerk

Angela Andrews

A G E N D A

SECTION A **Page(s)**

1. Confirmation of Minutes - 27 February 2018 **5 - 12**

2. Declarations of Interest

   Please note that, in accordance with the Members' Code of Conduct, when declaring interests members must disclose the existence and nature of the interest, and whether it is a disclosable pecuniary interest (DPI) or personal and/or pecuniary.

3. Receive Any Questions under Council Procedure Rule 11 from Members of the Public and Provide Answers thereon

4. Receive Any Questions under Council Procedure Rule 12 from Members and Provide Answers thereon

5. Receive Reports under Council Procedure Rule 2 (vi) from Members

   (a) Portfolio Holder for Environmental Services and Public Protection **13 - 24**

   (b) Portfolio Holder for Recreational Services and Health **25 - 34**

   (c) Chair of the Community Leadership Scrutiny Committee **35 - 40**

   (d) Chair of Equality and Diversity Group **41 - 44**

   (e) Design Advocate and Chair of Planning Committee **45 - 46**

6. To Consider the Following Recommendations of the Executive and Committees of the Council

(a) Proposed amendments to the Constitution - Financial Procedure Rules and Delegated Powers **47 - 94**

Present: Councillor Chris Burke *(in the Chair)*, Councillor Kathleen Brothwell, Councillor Sue Burke, Councillor Bob Bushell, Councillor Thomas Dyer, Councillor Geoff Ellis, Councillor Paul Gowen, Councillor Gary Hewson, Councillor Ronald Hills, Councillor Jackie Kirk, Councillor Rosanne Kirk, Councillor Jane Loffhagen, Councillor Helena Mair, Councillor Liz Maxwell, Councillor Adrianna McNulty, Councillor Ric Metcalfe, Councillor Neil Murray, Councillor Donald Nannestad, Councillor Lucinda Preston, Councillor Fay Smith, Councillor Edmund Strengiel, Councillor Ralph Toofany, Councillor Naomi Tweddle, Councillor Pat Vaughan, Councillor Keith Weaver and Councillor Peter West

Apologies for Absence: Councillor Biff Bean, Councillor Yvonne Bodger, Councillor Gill Clayton-Hewson, Councillor Jim Hanrahan, Councillor Andy Kerry, Councillor Tony Speakman and Councillor Loraine Woolley

41. Mayoral Announcements

The Mayor highlighted that information on his recent civic engagements was available for viewing via his social media profiles and that his final charity function would be a ceilidh on 7 April 2018.

42. Confirmation of Minutes - 23 January 2018

RESOLVED that the minutes of the meeting held on 23 January 2018 be confirmed.

43. Declarations of Interest

Councillor Liz Maxwell declared a Disclosable Pecuniary Interest with regard to the agenda item titled 'Portfolio Holder for Housing'. Councillor Maxwell was a residential landlord in Lincoln and it was noted that she would leave the meeting room if housing in multiple occupation was discussed as part of this item of business. No such discussion took place so no action was taken.

Councillor Ralph Toofany declared a Disclosable Pecuniary Interest with regard to the agenda item titled 'Portfolio Holder for Housing'. Councillor Toofany was a residential landlord in Lincoln and it was noted that he would leave the meeting room if housing in multiple occupation was discussed as part of this item of business. No such discussion took place so no action was taken.

Councillor Donald Nannestad declared a Disclosable Pecuniary Interest with regard to the agenda item titled 'Medium Term Financial Strategy 2018 - 2023'. Councillor Nannestad leased an allotment from the Council. A dispensation had been granted to all members who had a Disclosable Pecuniary Interest for any license to occupy land in the area of the authority for a month or longer and the nature of the business specifically related to the consideration of the Council's Medium Term Financial Strategy as a whole. Councillor Nannestad therefore remained in the meeting during consideration of the item.

Councillor Ralph Toofany declared a Disclosable Pecuniary Interest with regard to the agenda item titled 'Medium Term Financial Strategy 2018 - 2023'. Councillor Toofany leased an allotment from the Council. A dispensation had been granted to all members who had a Disclosable Pecuniary Interest for any license to occupy land in the area of the authority for a month or longer and the nature of the business specifically related to the consideration of the Council's Medium Term Financial Strategy as a whole. Councillor Toofany therefore remained in the meeting during consideration of the item.

44. Receive Any Questions under Council Procedure Rule 11 from Members of the Public and Provide Answers thereon

No questions had been received.

45. Receive Any Questions under Council Procedure Rule 12 from Members and Provide Answers thereon

No questions had been received.

46. Receive Reports under Council Procedure Rule 2 (vi) from Members

(a) Portfolio Holder for Housing

Councillor Pete West, Portfolio Holder for Housing, presented an annual report on the work of his portfolio. He highlighted that all figures set out in the report reflected the position at the end of December 2017, reporting that at the end of January 2018 the position had not changed.

Councillor West, as part of his presentation, made the following additions to support his report:

- Yvonne Fox had recently been appointed as the Assistant Director for Housing Management;
- works on new housing schemes were progressing, with the scheme at Blankney due for completion and formal handover today;
- negotiations regarding the Section 106 Agreement in respect of the Queen Elizabeth Road development were progressing;
- works at De Wint Court would be completed towards the end of May 2018;
- the rogue landlord initiative continued to deliver results, with a £10,000 prosecution having recently been made and a further two prosecutions expected to be finalised very soon;
- Bob Ledger, Strategic Director of Housing and Regeneration, would be retiring in May 2018. Mr Ledger had moved the department forward on many fronts and placed the Council in a good position from a housing perspective. Councillor West, on behalf of the Council, wished him well for his future endeavours.

Councillor West highlighted that this would be his last report to Council as Housing Portfolio Holder due to deciding not to stand for the City Council elections in May 2018. He thanked officers for their forbearance in his time as Portfolio Holder and, in particular, placed on record his thanks to Alison Hewson, Democratic Services Officer, for the support she had provided to him.

The Mayor and a number of members expressed their thanks to Pete West for the work he had done as Portfolio Holder for Housing and wished Bob Ledger well for his retirement, noting that there would be further opportunities for members to express their gratitude before they both left the authority.

Councillor Edmund Strengiel asked a question regarding voids. Councillor West reported that the target of 25 days to fill voids was not likely to be met and anticipated the actual performance to be approximately 27 days. This level of performance for 2017/18 had been expected, but the service had put itself in a position where the 25 days target would be achievable in future years.

Councillor Strengiel also expressed his concerns in respect of asbestos in that it was still being found and having to be dealt with. Councillor West responding by saying that asbestos could appear anywhere and that it was not always obvious where it had been used or was located. As soon as asbestos was found as part of any works carried out by the Council it would be removed and disposed of accordingly.

47. To Consider the Following Recommendations of the Executive and Committees of the Council

(a) Medium Term Financial Strategy 2018 - 2023

It was proposed, seconded and RESOLVED that Council Procedure Rule 17.4 regarding the content and length of speeches be suspended to allow the Leader of the Council and Leader of the Opposition unlimited time to speak on this item.

It was proposed, seconded and RESOLVED that:

(1) The Chief Finance Officer's statement on the robustness of the budget and the adequacy of reserves be noted.

(2) The Medium Term Financial Strategy 2018-2023 and the Capital Strategy 2018-2023 be approved, including the following specific elements:

- a council tax increase of 2.95% for 2018/19;
- a housing rent decrease of 1% for 2018/19;
- the Council being a member of the Lincolnshire Business Rates pilot for 100% business rates retention in 2018/19;
- the general fund reserve forecast 2018/19-2022/23 as shown in Appendix 1 of the report and the main basis on which the budget had been calculated;
- the general investment programme 2018/19-2022/23 as shown in Appendix 2 of the report and the main basis on which the programme had been calculated;
- the housing revenue account forecast 2018/19-2022/23 as shown in Appendix 3 of the report and the main basis on which the budget had been calculated;
- the housing investment programme 2018/19-2022/23 as shown in Appendix 4 and the main basis on which the programme had been calculated.

In accordance with Council Procedure Rule 19.7 a recorded vote was taken, the result of which was detailed below:

For	Against	Abstained
Councillor Brothwell		
Councillor C Burke		
Councillor S Burke		
Councillor Bushell		
Councillor Dyer		
Councillor Ellis		
Councillor Gowen		
Councillor Hewson		
Councillor Hills		
Councillor J Kirk		
Councillor R Kirk		
Councillor Loffhagen		
Councillor Mair		
Councillor Maxwell		
Councillor McNulty		
Councillor Metcalfe		
Councillor Murray		
Councillor Nannestad		
Councillor Preston		
Councillor Smith		
Councillor Strengiel		
Councillor Toofany		
Councillor Tweddle		
Councillor Vaughan		
Councillor Weaver		
Councillor West		

(b) <u>Council Tax 2018/2019</u>

It was proposed, seconded and RESOLVED that:

(1) The Council Tax Base for 2018/19, as calculated in accordance with the Local Authorities (Calculation of Council tax Base) (England) Regulations 2012, accepted as 23,943.

(2) The following amounts be calculated for the year 2018/19 in accordance with Sections 31 to 36 of the Local Government Finance Act 1992:

a) £106,585,210 being the aggregate of the amounts which the Council estimates for the items set out in Section 31A(2) of the Act taking into account all precepts issued to it by Parish Councils.

b) £100,191,720 being the aggregate of the amounts which the Council estimates for the items set out in Section 31A(3) of the Act.

c) £6,393,490 being the amount by which the aggregate at 2(a) above exceeds the aggregate at 2(b) above, calculated by the Council in accordance with Section 31A(4) of the Act as its Council Tax requirement for the year. (Item R in the formula in Section 31A (4) of the Act).

d) £267.03 being the amount at 2(c) above (Item R), all divided by Item T (1 above), calculated by the Council, in accordance with Section 31B(1) of the Act, as the basic amount of its Council Tax for the year (including Parish precepts).

e) £0 being the aggregate amount of all special items (Parish precepts) referred to in Section 34(1) of the Act.

f) £267.03 being the amount at 2c) above less the amount at 2e) above, all divided by the amount at 1 above, calculated by the Council in accordance with Section 33(1) of the Act, as the basic amount of its Council Tax for the year.

g) **City of Lincoln Council**

A	B	C	D
£178.02	£207.69	£237.36	£267.03
E	**F**	**G**	**H**
£326.37	£385.71	£445.05	£534.06

being the amounts given by multiplying the amount at 2f) above by the number which, in proportion set out in Section 5(1) of the Act, is applicable to dwellings listed in a particular band divided by the number which in proportion is applicable to dwellings listed in Valuation Band D, calculated by the Council, in accordance with Section 36(1) of the Act, as the amounts to be taken for the year in respect of categories of dwellings listed in different bands.

(3) That it be noted that for the year 2018/19 Lincolnshire County Council have stated the following amounts in precepts issued to the Council, in accordance with the dwelling bandings shown below:

Lincolnshire County Council

A	B	C	D
£820.98	£957.81	£1,094.64	£1,231.47
E	**F**	**G**	**H**
£1,505.13	£1,778.79	£2,052.45	£2,462.94

(4) That it be noted that for the year 2018/19 Police & Crime Commissioner Lincolnshire have stated the following amounts in precepts issued to the Council, in accordance with the dwelling bandings shown below:

Police & Crime Commissioner Lincolnshire

A	B	C	D
£144.96	£169.12	£193.28	£217.44
E	**F**	**G**	**H**
£265.76	£314.08	£362.40	£434.88

(5) That having calculated the aggregate in each case of the amounts at 2g, 3 and 4 above, the Council, in accordance with Section 30(2) of the Local Government Finance Act 1992, hereby sets the following as the amounts of Council Tax for the year 2018/19 in accordance with the dwelling bandings shown below:

Total Council Tax Charge 2018/19

A	B	C	D
£1,143.96	£1,334.62	£1,525.28	£1,715.94
E	**F**	**G**	**H**
£2,097.26	£2,478.58	£2,859.90	£3,431.88

In accordance with Council Procedure Rule 19.7 a recorded vote was taken, the result of which is detailed below:

For	Against	Abstained
Councillor Brothwell		
Councillor C Burke		
Councillor S Burke		
Councillor Bushell		
Councillor Dyer		
Councillor Ellis		
Councillor Gowen		
Councillor Hewson		
Councillor Hills		
Councillor J Kirk		
Councillor R Kirk		
Councillor Loffhagen		
Councillor Mair		
Councillor Maxwell		
Councillor McNulty		
Councillor Metcalfe		
Councillor Murray		
Councillor Nannestad		
Councillor Preston		
Councillor Smith		
Councillor Strengiel		
Councillor Toofany		
Councillor Tweddle		
Councillor Vaughan		
Councillor Weaver		
Councillor West		

(c) Prudential Indicators 2017/18 - 2020/21 and Treasury Management Strategy 2018/19

It was proposed, seconded and RESOLVED that:

(1) The prudential indicators be approved.

(2) The Treasury Management Strategy, including the treasury management prudential indicators and the Investment Strategy, be approved.

(d) Council House and Garage Rents 2018/19

It was proposed, seconded and RESOLVED that:

(1) The basis of rent calculation for changes to individual council house rents, as set out in paragraph 6 of the report, which represents a decrease in the average 52 week net rent in 2018/19 of 1% for housing rents be approved.

(2) That council garage rents for 2018/19 be increased by 3% in accordance with the proposal set out at paragraph 6.1 of the report.

48. Annual timetable of meetings 2018-19

It was proposed, seconded and RESOLVED that the timetable for meetings for 2018-19 be approved.

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COUNCIL **10 APRIL 2018**

REPORT UNDER RULE 2(vi) OF THE COUNCIL PROCEDURE RULES

Report by Councillor Fay Smith, Portfolio Holder for Environmental Services and Public Protection

Council will be aware of the many services that come under my portfolio. I have tried in this report to bring Council up to date with all the activities that have taken place over the last year.

1. Waste/Recycling

In last year's report, and indeed in a separate report to committee on this subject, I flagged up that there were issues of note with the City Council's waste streams, and that specifically we were facing issues of increasing 'contamination' within the recycling commodities collected. I also identified that this was not just an issue for Lincoln, but that it was also affecting all of Lincolnshire. Since that time little has changed in terms of 'contamination' rates, but I am pleased to report that, following a change of Portfolio Holder at the County Council, there is now increased recognition of the need for joint action, and increasing engagement with districts on the issues. Indeed the county have put additional staff resources into the progression of a new Joint Municipal Waste Management Strategy, and this is being drafted presently. It is expected that structured engagement with the public about the contents of the strategy will take place shortly.

The Council's combined recycling and composting rate at the end of quarter 2 was 39.1% (18.65% recycling and 20.42% composting).Quarter 3 outcomes are not yet available.

Recycling tonnages by the end of quarter 2 were around 1% lower than at the same point in the previous year.

Composting tonnages were around 6.3% lower than the previous year and the number of residents using the garden waste service was 16,355 at 15th February compared with 16,661 the previous year. The tonnage of composting waste collected varies quite dramatically in a manner which can only be attributed to differing weather conditions from one year to the next.

Residual waste tonnages has decreased by 2.5% (304 Tonnes) on the previous year despite the city continuing to grow, showing that in general people are throwing less away.
Generally, an increase is to be expected as the city grows, although other factors can affect waste tonnages, such as the financial climate (in a recession, people throw less away). Garden waste has the expected seasonal ups and downs, and this is affected by extremes of weather. Recycling tonnages have followed a similar trend to residual waste over the last four quarters.

We continue to monitor performance, in the light of the ongoing contamination problems mentioned above.

The November 2017 Citizens Panel survey results showed that satisfaction for waste collection services remains very high. 94% of respondents reported being very or fairly satisfied with the residual waste service overall and 92% reported being very or fairly satisfied with the recycling service. Of those who used the garden waste service, 94.1% reported feeling very or fairly satisfied, which is an increase on the previous year's survey results of 93.2%.

2. Cleansing

This covers all areas of street cleansing, including street sweeping, litter picking, litter bin emptying, fly tipping, and the removal of graffiti and abandoned vehicles.

In the summer a Citizens Panel Survey ,76.4 % of respondents who gave a view reported being very or fairly satisfied with the cleanliness of the City

Fly tipping continued to be an issue for us this year in certain areas of the city. Despite our targeted efforts the previous year, the Sincil Bank area remains the area of highest demand. More fly tipping is taken out of this area than any other, and more littering of the streets takes place. Outside of the city centre, the Sincil Bank area receives the most attention city-wide, and we continue to search for ways to improve this situation, acknowledging the limited staff and financial resource we have available. Making use of the more flexible CCTV system we are expecting to be able to deploy cameras into some streets as a trial by the summer, which we hope will be a useful deterrent. Its effectiveness will be monitored.

Graffiti has also been an escalating problem this year, and more recently we have seen concerted repeat attacks in a number of areas. We have endeavoured to respond to reports but also endured renewed graffiti attacks only a day or two after clearance, which can be soul destroying for staff and residents alike.

Decreased scrap values have led to a significant increase in the number of abandoned vehicles on city streets. Although overall the number remains relatively low, it is a worrying trend that once again places pressures on staff and budgets.

Finally in this section I would make reference to the provision of dog waste and litter bins. Accepting that there is no requirement to have two types of bin, often side by side, I have asked staff to stop buying dog waste bins, and instead to gradually transition to joint use of the litter bins. Suitable stickers are being put on all litter bins and the public are gradually being educated that dog waste does not have to go in a special bin. The transition will be gradual and longer term, but should reduce pressure on budgets and remove unnecessary street clutter.

3. Public Toilets

This service has again achieved high standards, with four of its city centre toilets being entered for, and receiving, awards in the national Loo of the Year awards: Tentercroft St toilets, Lucy Tower St toilets, Castle Square toilets and Westgate

toilets all attained Gold standard, with the service overall being commended by being awarded Premier League standard. All attendants were judged to be of Attendant Of The Year Award standard. This is an increasingly important independent accreditation, especially given the recent move to charging.

Charges of 20p per use have been in operation at some facilities now for about a year (started January 2017). Lucy Tower Street and Castle Square have been the first two to move to charges, and I am pleased to report that this has been remarkably well received. Feedback has been mixed at times, but overall people have said that they are willing to pay 20p provided the facilities are safe, clean and attended. Staff have reported that the toilets are suffering much less damage/abuse.

New to the charging scheme are now the Bus Station and Tentercroft Street. Both offer good quality facilities and have a layout that is suited to charging. Early indications are that there has been little complaint at the charges.

In terms of overall provision the city has enhanced its accessible toilet provision this year, with a new accessible toilet at the bus station supplemented by a full Changing Places facility. These are free to use by making a request to staff, or more regular users can obtain an unlimited access card at a cost of £5. This access system is proving very effective and consideration is being given to expanding it to other locations, given the problems seen with the Radar key scheme. Additionally it should be noted that new public toilet facilities have also been provided in Boultham Park, as a part of the restoration work, and that this too includes for public access to a Changing Places toilet within the Linkage Community Trust facilities.

4.CCTV

This has been a huge year for CCTV, with major changes installed for the system. A recent invitation was issued to all members to visit and be briefed on the new system, which I know some have taken up. For those that have not received the briefing, the Council's system is now much expanded to over 300 cameras, and with quality of images now as good as can be achieved in any modern CCTV system.

Critically the system is now fully wireless based, making flexibility of use greater and at a much lower operating cost, and the images are now digital, rather than analogue. This means that the images can be used in many new and exciting ways including for such advances as number plate and facial recognition systems. There are other innovations coming available in the near future and so members should expect the value of CCTV to the council to grow in the coming years.

It is also worth noting that the use of wireless technology for transferring camera images means that it is now possible to provide a free public Wi-Fi system in the city centre. This is being developed currently and is expected to 'go live' this spring.

To the end of quarter 3, CCTV operators had handled 10,323 incidents this year. This includes requests from the Police to follow incidents and those discovered proactively. This compares with 10,771 in the same period in the previous year. This has been a challenging time for the operators, with a move to a temporary control room for some of the works. More recently we have seen an increase in the number of incidents as a result of the upgraded technology. I anticipate this Portfolio being able to report very positive outcomes from these changes in the future.

5. Public Protection and Anti-Social Behaviour

During the financial year to date the PPASB team have responded to 2856 requests for service. Demand for service over the last 3 years has averaged at just over 4000 service requests per year.

Fly tipping, bin presentation and street waste has reduced over the year from 2016/17 however continues to be a large proportion of requests for service constituting approximately 20% of overall demand. This includes issues such as fly tipping, bins on the street and waste accumulations in public. Animal issues are the next largest driver with just over 20% of demand (this has risen slightly compared to 2016/17), this includes issues such as accumulations of fouling, pet shop issues and stray/lost dogs. Noise nuisance makes up 15% of Service requests with licensing consultations relating to noise makeup a further 10% of service requests. ASB makes up 10% of service requests. Both noise and ASB have increased by around 20% compared to 2016/17. The remaining demand is made up of nuisance issues including smoking chimneys, light and odours and pests etc.

Target response times for the service are generally around three working days, with more serious cases requiring more urgent response. To date this year the achievement against this target is in excess of 95%, which is 3% higher than the previous year's figures.

To date this year, the team have served 97 'notices'. Notices are legal documents that come under varying pieces of legislation and allow us to place legal restrictions or requirements on individuals. The team have also completed, or are in the process of completing 69 Prosecutions, 1 Closure Order, 4 Injunctions and 2 Criminal Behaviour Orders throughout this financial year.

In relation to how many cases the team actually resolve, this is measured by how many complaints come back in to the team within six months of closure. To date this year 2.6% of cases have been found to be unresolved in the medium to long term. This figure has fluctuated in the previous three years as follows; 3% for 16/17 5% for 15/16, 4% for 14/15 and 7% for 13/14.It is encouraging to see this figure at its lowest since the introduction of PPASB.

Satisfaction measures are now well embedded across the services and this year an average satisfaction rate of 81% has been achieved in response to the question which asks people how happy they are with the way their complaint was dealt with. In the last quarter, we have seen this figure rise to 89% following additional work done in this area. Over the course of the year we have seen figures fluctuate

somewhat from as low as 44% to as high as 100%. Low satisfaction has appeared to be due to low return rates of customer satisfaction where only a handful of responses have been received and of these half have had poor feedback. This has now been address by changing from paper customer satisfaction to Customer Services telephoning customers to gather feedback. This has increased our sample size and satisfaction rates dramatically. Given the nature of the service customer satisfaction can be difficult to achieve consistently however we continue to review processes based on customer feedback where appropriate.

The PPASB teams dedicated enforcement officer has issued a total of 550 tickets so far this financial year for littering and dog fouling offences.

The Council has reviewed and renewed the city centre Public Space Protection Order (PSPO). The PPASB team along with partners will continue to engage with individuals that do not comply with the requirements of the PSPO.

Throughout the course of the previous year the team have also developed and refined policy in relation to Animals, this includes an Animal Welfare Charter. The Animals policy has attracted much interest and has received an award from the RSPCA.

Over the past year the team has relocated bringing the whole PPASB Team together in one office for the first time. This move has been enabled due to on-going discussions which seek to relocate some community policing staff in to City Hall to ensure they are close to the communities they serve, increase communication and partnership working and further support the public services hub initiative. Police partners are due to move into the PPASB team in summer 2018.

The last year has seen the appointment of a new Service Manager following the resignation of the previous manager in summer 2017. This has provided an opportunity to bring the licensing service under the direction of the PPASB Service Manager. This is a positive change that will increase the partnership working between the two teams. The Licensing team is also a welcome addition to the community safety hub that is being created with PPASB and Police.

6 Licensing

This year the Licensing Team have moved under the PPASB Team Service Manager. This offers an opportunity to increase partnership working with PPASB and to also look to increase proactive inspections and enforcement of licensing conditions in line with policy.

The end of the 2018 financial year see’s Kev Barron take his well-earned retirement.

The team continued to maintain a close working relationship partners, the various trades requiring licences as well as giving advice and assistance to new licensee’s.

Licensing Act 2003

- There are 404 current live licences/club premises certificates (compared with 398 at end of 2016) with 20 new applications and 16 variations made (6 major and 9 minor).

- There were 2 application's made for a new premises licence which was objected and resulted in a hearing, both licences granted. There was 1 review made which resulted in a hearing licence granted.

Personal Licences

There are 1472 current personal licences with 69 new applications.

The annual maintenance fees for premises licences for the current financial year (2017/18) to date has seen a recovery rate of 90.90% i.e. of the £13,130 of Outstanding fees referred to the team, £11,935 was recovered. £1,195 left to recover

This is gradually reducing over the years, indicating that licensees are paying their fees and not having them referred to the team for recovery.

Taxi Licensing

During the year the team has dealt with the supervision/grant/renewal of the following licences:

- 19 Private Hire Operators;
- 485 Private Hire Drivers;
- 437 Private Hire Vehicles;
- 36 Hackney Carriage drivers;
- 31 Hackney Carriage Vehicles;
- 58 Hackney Carriage Test Certificates; and
- 724 private hire test certificates.

Of the number above 8 new applicants had licences granted.

(This is broadly the same as 2016/17 data)

In addition to this there have been 15 drivers referred to committee. 7 of these were current drivers. 2 of the 7 has their licence revoked by committee with 1 appealing the decision which was upheld by magistrates. 1 of the 7 drivers was suspended by committee.

Also we have granted 1 specialist vehicle licence for a Lamborghini and will introduce Section 167 of the Equality Act 2010 requiring us to keep a list of designated wheelchair accessible vehicles.

Gambling Act 2005

There are currently;

- 18 betting shops;
- 2 bingo premises;
- 1 adult gaming centre
- 12 licensed premises gaming machines;
- 50 gaming machine notices;
- 14 licensed club machine premises; and
- 35 small society lotteries.

Scrap Metal Dealers Act 2013

- 1 Current Scrap Metal Site Licence (Expires June 2018 3 year licence)
- 3 Scrap Metal Collectors Renewals Issued.

These are both small decreases on previous years and are likely due to the falling price of scrap metal.

Other Licensing Functions

The team deals with many other licensing functions which include:

- 58 Registrations for Horses on the Commons;
- 90 Street Collection Permits
- 19 House to House Collection Permits;
- 7 Animal Boarding Establishment (1 Cattery and 6 Home Boarding of Dogs). There was an increase of one animal boarding licence in 2017/18.
- 2 Riding Establishments
- 1 Sex Shop and 2 Sexual Entertainment Venues.
- 1 Street Trader

There have been 2 enquiries over the year to keep a dangerous wild animals, but no applications received to date.

The team have also had 1 Sex Shop Licence that will be going to committee due to their licence expiring and 1 Home Boarding for Dogs going to committee.

7.Food, Health and Safety

Food Safety

Volume of Work (01/01/17 – 31/12/17)

- Service Requests (Complaints, food hazard warnings and requests for advice) – 1273
- Inspections – 519
- Samples Taken - 86

- Infectious Disease Investigations – 114
- Welfare Funerals – 15

Official Controls Delivered

Between 01 January 2017 and 31 December 2017, 519 inspections were carried out. At the end of the third quarter, the number of inspections carried out was 84.5% which is below the target of 97%, this is largely due to a depletion in full time staff.

One Environmental Health Officer has been acting up into a Team Leader role, staff turnover meant there was a period of 3 months between an officer leaving and their replacement starting, an increase in sickness levels and the absence of a Food Safety Officer for 6 months. In addition, an Environmental Health Officer was redeployed to cover sickness absence in the Corporate Health and Safety team. In mitigation, an agency worker was employed within the resources available which was the equivalent of 30 days.

The service however continues to focus on those businesses that present the greatest risk to public health.

Between 01 January 2017 and 31 December 2017, 245 written warnings were issued, 1 Hygiene Improvement Notice served and there have been 3 voluntary closures. The closures were due to a worsening cockroach infestation, a business with a lack of hot water and a business that was very dirty and had their gas supply disconnected.

The decrease in enforcement action taken, is due to the team focusing on those non-compliant businesses that are of most risk to public health. This is reflected in an increase in compliance which can be seen in the table below.

As of December 2017, 98% of the City's food businesses are considered to be compliant against a target of 97%, which can be seen in the table below.

Table FHS 4 – Percentage of food premises that are fully or broadly compliant with food safety requirements.

	Fully Compliant %	Broadly Compliant %	Non-Compliant %	New businesses %	Total Premises
December 13	73	22	3	2	1056
December 14	75	22	2	1	1053
December 15	75	20	3	2	1038
December 16	77	18	4	2	1029
December 17	82	16	1	1	1005

Food Hygiene Ratings Of Businesses Within The City

As of March 2018, the food hygiene ratings for businesses that fall within the Food Standard's Agency's Food Hygiene Rating Scheme can be seen below. The increase in the number of businesses rated as 5 has increased, which is a reflection of the increase in fully compliant businesses.

Food hygiene rating	No. of businesses			
	2015	**2016**	**2017**	**2018**
5 *(Very Good)*	645	651	680	723
4 *(Good)*	174	150	133	113
3 *(Generally Satisfactory)*	58	58	48	31
2 *(Improvement Necessary)*	13	11	12	9
1 *(Major Improvement Necessary)*	16	12	13	8
0 *(Urgent Improvement Necessary)*	1	0	2	0
Total	907	882	888	884

Note the total number that have a food hygiene rating is less that the total number of food businesses as a number of businesses fall outside the scope for a food hygiene rating score.

Examples of Complex Cases

During 2017, the team have dealt with 3 large outbreaks of infectious disease, all of which were caused by Norovirus. Other complex cases have involved pest control issues such as a continuing infestation of cockroaches in a food business that was reported in last year's report and a case of a mouse infestation. The premises with the cockroach infestation had improved and the officer relaxed the number of monitoring visits. However a further worsening of the situation required the officer to close the business until the infestation was under control. The situation has now improved but still needs to be monitored in order for standards to be maintained.

Citizens Panel

There is an increasing awareness of the Food Hygiene Rating Scheme, with 82% of respondents confirming that they were aware of it.

There has been however been a reduction in the percentage of respondents who are satisfied with the standard of hygiene in restaurants, cafes, shops and takeaways in Lincoln, the figure being 81%. Of the other 19%, only 2% were fairly dissatisfied and 1% were very dissatisfied.

Health and Safety (Enforcement)

Volume of Work (1/1/17-31/12/17)

- Complaints – 51

- Advice and guidance – 50
- Notifications of dangerous equipment – 11
- Accident notifications – 75 of which 3 were investigated.

Enforcement Action Taken

There have been 2 Prohibition Notices served, one for the continuing use of dangerous lifting equipment and the other for the risk of carbon monoxide poisoning from the inappropriate use of a generator. The latter case caused the business to cease trading. Another business closed temporarily until dangerous electrics had been made safe.

8.Bereavement Services

We have increased on cremation numbers once again and look like we will be just over 1950 cremation services this year.

We have now increased our available services to 11 per day Monday to Thursday with the 15:50 service and 10 services on a Friday with the 15:10 service being added. We also now offer a direct cremation service at 08:45 Monday to Friday and have carried out 33 direct cremation since we started them on Tuesday 30th May 2017.

Burial numbers are much the same since last year, but we are running out of grave spaces in Newport. Canwick Road and St Swithin's Cemeteries. They are full for new full body burials, but we are still doing re-open graves and have cremated remains graves. We are now seeing the number of burials in Long Leys Road increase.

The Wesley Media system has reduced the number of music issues due to funeral directors now ordering the music direct with Wesley, this has had an increase in the workload of the office and also for the crematorium attendant who now needs to programme the system. We have had a number of webcasts, recordings and also visual tributes. The feedback that we have received is that this is a great additional service that gives families a way to personalise a service and remember loved ones

The new staffing structure was implemented at the end of May 2017 and this has had a benefit for the service of having staff in prior to the public to ensure that the cleaning has been done and the building is ready, we also have a member of staff later in the day.

The overflow car park is still an issue as the grass seeding has not taken due to bad weather and usage of the car park. We have been looking at ways that this can be improved and are waiting for Property Services to come back to us. We have, however, now installed some lighting to the overflow car park area .A much needed improvement.

The crematorium continued to operate during the recent spell of adverse weather as the staff walked into work by 6am most days and set to clearing snow and

getting the site operational Some funerals were cancelled by families or funeral directors .Staff agreed to open on a Saturday to accommodate the backlog that would have been caused by these cancellations.

9 Carbon Reduction

We hope to achieve a 25% reduction in our carbon footprint by 2020 from our baseline figure in 2005 which was 550 tonnes. So far Lincoln's CO2 emissions have reduced by 41.3% overall since 2005.So we are exceeding our target.

10. Air Quality

We continue to monitor air quality within the city using a combination of a nitrogen dioxide continuous analyser, nitrogen dioxide diffusion tubes and a particulate monitor.

During 2017, nitrogen dioxide diffusion tube network is made up of 11 sites that are mainly within or close to the boundary of the existing nitrogen dioxide Air Quality Management Area (AQMA) and where there is relevant exposure to the public. From the beginning of 2018, eight additional sites have been incorporated into the network including locations on Doddington Road (2 no.), Skellingthorpe Road (3 no.), Long Leys Road, Wigford Way and Portland Street.

The continuous nitrogen dioxide analyser on Canwick Road is operated on behalf of DEFRA as part of the national monitoring network and benefits from DEFRA's quality control regime.

A further analyser monitoring levels of fine particulates (PM10 – particulate matter smaller than 10 microns) is installed on Broadgate adjacent to the library.

The Council's Local Air Quality Annual Status Report in 2017 identified that there were no new areas in the city likely to be breaching any of the national air quality objectives.

In 2017, a significant review of Lincoln's air quality model was completed which aimed to clarify the spatial extent of any exceedances of the air quality objectives. The final report confirmed that the spatial extent of exceedances of the nitrogen dioxide objectives is significantly reduced. The report also confirmed that the PM_{10} objectives are being fully complied with throughout the city.

As a result of this detailed assessment, and following consultation with statutory consultees, a decision has been made to reduce the size of the existing nitrogen dioxide Air Quality Management Area and to revoke the PM_{10} Air Quality Management Area to reflect the air quality improvements within the city.

Officers are now in the process of undertaking a fundamental review of the City Council's Air Quality Action Plan to ensure that it focuses on securing improvements in those areas where exceedances of the national objectives persist. This is one of the projects detailed in the Council's Vision 2020 under the "Let's enhance our remarkable place" strand.

Finally, I have to thank officers in these service areas for all the help and support they have given me over the last 12 months not least in providing the information required to enable me to produce this report.

I would also like to pay tribute to all the staff employed in the area of my portfolio for their hard work and commitment under increasingly difficult circumstances.

COUNCIL **10 APRIL 2018**

REPORT UNDER RULE 2(vi) OF THE COUNCIL PROCEDURE RULES

Report by Councillor Donald Nannestad, Portfolio Holder for Recreational Services and Health

The purpose of this report is to provide an update on the Council's performances in relation to recreation and health. The report has to be viewed in the context of the challenging financial position this council and other local authorities find themselves in. A significant amount of the service areas within this portfolio are non-statutory duties or the main remit falls within another authority (e.g. public health is the responsibility of Lincolnshire County Council).

The report covers a number of different service areas as set out below. Recreation and sport are very much integral to both the physical and mental wellbeing of the population.

There are significant health inequalities not only between Lincoln and other districts but within Lincoln. Economic poverty is a key factor in this and the antipoverty work being carried out by the council plays a role in improving the health of our residents and in particular those in the most deprived areas of Lincoln.

There have been two major projects under this portfolio area. Work on the regeneration of Boultham Park, funded mainly by the Heritage Lottery Fund (HLF), has been completed. This project was the biggest being undertaken by the City Council aside of the Transport Hub. A second HLF bid is being put together for the regeneration of the lake within the park.

The second major project is the re-development of Birchwood Leisure Centre. The first stage of this work has been completed and has been very well received by users. The second phase of the work which includes improvements to the car park is to follow. A considerable amount of work has been undertaken by our officers and by Active Nation to ensure this is completed.

Usage figures at Yarborough Leisure Centre continue to increase although the usage of Birchwood Leisure Centre has been affected by the work that has been taking place. Physical activity figures are positive for Lincoln compared to other districts within the county. However the Health Profile for Lincoln produced by Public Health England (see Appendix A) shows areas of concern. It should be noted that some of the data included in the Profile are historical.

Sport

Yarborough Leisure Centre

Quarterly Usage (SP5)

- Q1 (16/17) 175,197 Q1 (17/18) 178,857
- Q2 (16/17) 172,245 Q2 (17/18) 176,421

- Q3 (16/17) 156,469 Q3 (17/18) 158,419
- Q4 (16/17) 175,549

Cost to the Council p/visit (SP3)

- Q1 (16/17) 0.33 Q1 (17/18) 0.22
- Q2 (16/17) 0.34 Q2 (17/18) 0.23
- Q3 (16/17) 0.38 Q3 (17/18) 0.25
- Q4 (116/17) 0.33

Swimming Figures (1 Jan to 31 Dec)

- 2015 267,285
- 2016 293,858
- 2017 290,487

Birchwood Leisure Centre

Quarterly Usage (SP6)

- Q1 (16/17) 24,921 Q1 (17/18) 23,949
- Q2 (16/17) 25,417 Q2 (17/18) 14,349*
- Q3 (16/17) 23,433 Q3 (17/18) 12,177*
- Q4 (16/17) 27,409

* Refurbishment work taking place during Q2 and Q3

Cost to the Council p/visit (SP4)

- Q1 (16/17) 1.57 Q1 (17/18) 1.15
- Q2 (16/17) 1.54 Q2 (17/18) 1.27
- Q3 (16/17) 1.67 Q3 (17/18) 0.00
- Q4 (16/17) 1.43

The 2018 Lincoln 10K had to be postponed due to the adverse weather conditions. This has been re-arranged for Sunday 1 July. The Junior and Mini races were held albeit in extreme conditions. The numbers were reduced by the weather conditions but the number of entrants in the parent and toddler run was very encouraging. Both events are out sourced to the not for profit organisation Run For All and operate with the only costs to the City Council now being incidental costs.

10K entries

- 2015 - 4,995 adults
- 2016 - 4,682 finishers
- 2017 - 4,802 finishers

- 2014 Juniors and Minis – 443 entries
- 2015 Juniors and Minis – 349 entries

- 2016 Juniors and Minis – Races cancelled due to poor weather
- 2017 Juniors and Minis – 642 finishers

We continued to be a sponsor for the 2017 Lincoln Cycling Grand Prix which is the leading one-day cycle event in the UK and will continue to do this for the 2018 event which is to be held next month. The weekend of events surrounding this includes not only the elite men's and women's races but a city centre criterion, the uphill dash up Michaelgate and a Sportive event which has a capacity of 2,000 entries.

Health

The 2017 Health Profile for Lincoln produced by Public Health England is the latest to be published and is included at Appendix A of this report. It should be noted that although this profile was published in July 2017 some of the data is historic.

The difference in life expectancy for men between those in the most deprived wards within the city is 8.6 years compared to 7.4 years in the 2016 report. This may seem an alarming difference but the 2017 figure is very similar to that of 2015 where the difference was 8.7 years.

The equivalent data for women in 2017 is 7.5 years which, although again a significant change from 2016 (when the figure was 8.2 years) brings it to a similar level to 2015 which was a 7.7 years differential.

Hospital stays for alcohol related harm have decline for the second consecutive year with the figure being 630 per 100,000 population (678 in 2016 and 734 in 2015).

Low income and poor housing are key factors in poor health. The report notes that about 23% (3,900) children live in low income families within the city.

A new item included in this year's profile is the figure for excessive winter deaths which again is of significance to Lincoln. This is data produced for the period August 2012 to July 2015 and is the ratio of excess winter deaths to average non-winter deaths over a three year period. The figure for Lincoln is 36.0 compared to the England average of 19.6 and Lincoln is the worst figure for England. It equates to 274 extra deaths over the three years.

The City Council's anti-poverty strategy is one of the keys to improving these statistics. Increasing the income of local residents will improve both the physical and mental health of our residents.

Physical Activity

The data produced by Sport England relating to physical activity is now produced using different criteria with the Active Lives Survey replacing Active People. This is in line with its remit to concentrate on physical activity rather than purely sporting activity. There are a number of new key performance indicators and in particular KPI 2 which measures inactivity as opposed to activity. The new indicators have been set by the Government's Sporting Future document. The survey which provides the Active Lives data is carried out by IPSOS-MORI and measures the number of people aged 16 and

over who take part in sport and physical activity by demographic group, where people live and activity type. Sport England is, at the time of writing this report, imminently due to produce a new set of data. It acknowledges that some of the information it produced for 2017 was inaccurate due to the way the data was gathered. Active Lives not only includes the usual sporting activities but also physical activity including gardening.

The data produced in the Active Lives survey covering the period November 2015 to November 2016 which includes gardening gives a positive outcome for Lincoln. The level of the adult population aged 16+ counted as “active” is 70% in Lincoln which is the highest of any district in Lincolnshire. It compares with the average for Lincolnshire of 65.1% with the lowest district in Lincolnshire being Boston with 57.5%. Additional figures for Lincoln are 10.3% “fairly active” and 19.7% “inactive”. In terms of numbers for Lincoln this equates to 15,387 inactive people. However Lincoln comes out less favourably in data referred to by Sport England as “the inequality gap” which is the difference between activity levels of the 16-34 age group and those of the 55+ age group. 80.5% of the 16-34 age group is active(the highest for this age group in the county and well above the England average of 72.6%) but for the 55+ group the figure is 61.4% giving a gap of 19.2% which is worse than both the England and Lincolnshire average. Because of the demographic make-up of the City the overall total of 55+ people being inactive is 6,381 which is the lowest total (as opposed to %) within the county.

The Health & Wellbeing Strategy currently being developed for the county will include a physical activity theme the strategy for which in the process of being produced by Active Lincolnshire.

Parks

The work to complete the Heritage Lottery funded regeneration of Boultham Park has finally come to its conclusion. This work is an innovative scheme in partnership with Linkage Trust which is one of the reasons that the HLF agreed to grant such a significant amount of funding.

Key improvements include a café and toilets, a restored stable block (with a room that can be booked by community groups and a Changing places toilet), a glass house, the footprint of the old hall marked out, new path surfaces, a restored ‘fountain’ and crazy paving, a restored bandstand, bridges repaired, CCTV installed, and some new sign posts, litter bins and benches. An archive of Boultham Park and its surroundings is currently in development.

A celebration of the end of this phase of the park’s restoration is to be held on Saturday 19 May.

The overall project concludes in the autumn, when the community development programme also comes to an end, and the work that these staff have put in to host community development activities and events, and work with volunteers, will stop. Our challenge now is to make sure that we have arrangements and support in place to ensure that the positive outcomes of their work continue as seamlessly as possible.
The project has received support from, a number of regular volunteers.

One of the disappointments of this project was the fact that the funding did not extend to improving the lake. The Council remains committed to finding a way to carry out this work and currently we are drafting a further bid to the HLF for the funding of this. However this will require significant match funding.

The Arboretum has seen the cafe reopen. This provides an excellent facility both for visitors to the park and for local residents.

The camp site at Hartsholme had a good year, with more visitor bookings than ever before, with each month other than October being higher than any previous year. The result was an increase of 393 nights booked on the previous year. Further upgrading means that all pitches can now offer electrical hook-ups.

Use of the trialled camping pod was down a little this year when compared to its first year. However the pod is showing signs of being a profitable element of the site, and adding to the offer. As such staff are exploring ways to identify funding for an additional unit for 2019. The Council's Vision 20:20 includes the production of a master plan to regenerate the park following on the excellent work in regenerating both the Arboretum and Boultham Park.

The City Council again achieved the external accreditation of Green Flag Awards for Hartsholme Country Park and the Arboretum, which provides independent evidence that both parks continue to be well managed and run. These awards require considerable work by the staff and I thank both the operational staff and volunteers for their dedication to ensure high standards.

Finally in this section, I remain grateful to the various Park Advisory Groups' members for their guidance and engagement in the management of our parks, and the Commons Advisory Panel for its continued work in the protection of our three commons.

Volunteers

Although the city has some long standing volunteers aiding care of its open spaces in Hartsholme Park, and more latterly in Boultham Park, for which we continue to be most appreciative, members will recall that following a service review last year it was determined that we should try to encourage a greater level of volunteering on a wider basis. Working with our grounds maintenance contractors, Continental Landscapes, we have been able to begin a trial post to coordinate and encourage volunteering. This work has been slow to get started but we can now see tangible work on the ground at places such as South Common and Birchwood Nature Park. As well as delivering practical improvements this work has delivered against two strands of the Vision 20:20 plan, these of improving biodiversity and encouraging and offering greater community engagement opportunities.

Citizen Panel Surveys

The 2017 Citizens Panel survey, the latest available, continued to reflect good satisfaction levels amongst users, although not as high as in previous years.

Open spaces overall returned a ‘Very or fairly satisfied’ result of 86%

Grass cutting in the city returned a ‘Very or fairly satisfied’ result of 77% (83.5% in 2016 and 91.5% in 2015.

Parks returned a ‘Very or fairly satisfied’ result of 84 %(95.9% in 2016 and 96.9% in 2015.

Commons returned a ‘Very or fairly satisfied’ result of 77% (92% in 2016 93.2% in the 2015)

It is important to note that there has been no reduction in budgets or work in these areas, or changes in staffing prior to the surveys in July. To a large extent the outcomes, being down on previous years are therefore inexplicable, other than to suggest that the levels of publicity about cuts may mean that the public are expecting to see service reductions thus influencing their views. This will be kept under observation.

One area of note is the feedback on safety in parks. Responses on this issue from those who actually use parks show:

“I always/usually feel safe in parks in the day”88.9% (89.8% 2016 and 92.3% in 2015.
“I always/usually feel safe in parks after dark” 41% (49.5% 2016 and 58.06% in 2015)

Whilst this slightly worsening picture mirrors the general reductions, it should be noted that this is in contrast to a similar question regarding use of the High Street at night, which shows 37% as “always or usually feel safe at night”. If this is used as a benchmark then, comparatively, Lincoln’s parks are considered to be relatively safe places.

Finally I thank all those members of staff who have contributed to these performance figures and in particular Simon Walters (the director who covers this portfolio area) and the assistant directors Steve Bird and Simon Colburn. These continue to be difficult times for local authority staff, particularly those working in non-statutory areas such as the service areas covered by this portfolio, and the dedication to their work of all staff whose work covers recreation and health has continued to be excellent over the last year.

Appendix A – Lincoln Health Profile 2017

Donald Nannestad
Portfolio Holder for Recreational Services and Health

Public Health England

Protecting and improving the nation's health

Lincoln

District

This profile was published on 4th July 2017

Health Profile 2017

Health in summary
The health of people in Lincoln is varied compared with the England average. Lincoln is one of the 20% most deprived districts/unitary authorities in England and about 23% (3,900) of children live in low income families. Life expectancy for both men and women is lower than the England average.

Health inequalities
Life expectancy is 8.6 years lower for men and 7.5 years lower for women in the most deprived areas of Lincoln than in the least deprived areas.

Child health
In Year 6, 22.8% (204) of children are classified as obese, worse than the average for England. The rate of alcohol-specific hospital stays among those under 18 is 19*, better than the average for England. This represents 3 stays per year. Levels of GCSE attainment are worse than the England average.

Adult health
The rate of alcohol-related harm hospital stays is 630*. This represents 546 stays per year. The rate of self-harm hospital stays is 237*, worse than the average for England. This represents 254 stays per year. The rate of TB is better than average.

Local priorities
Priorities in Lincoln include reducing alcohol misuse, smoking and obesity. For more information see http://www.research-lincs.org.uk and http://www.lincolnshire.gov.uk

* rate per 100,000 population

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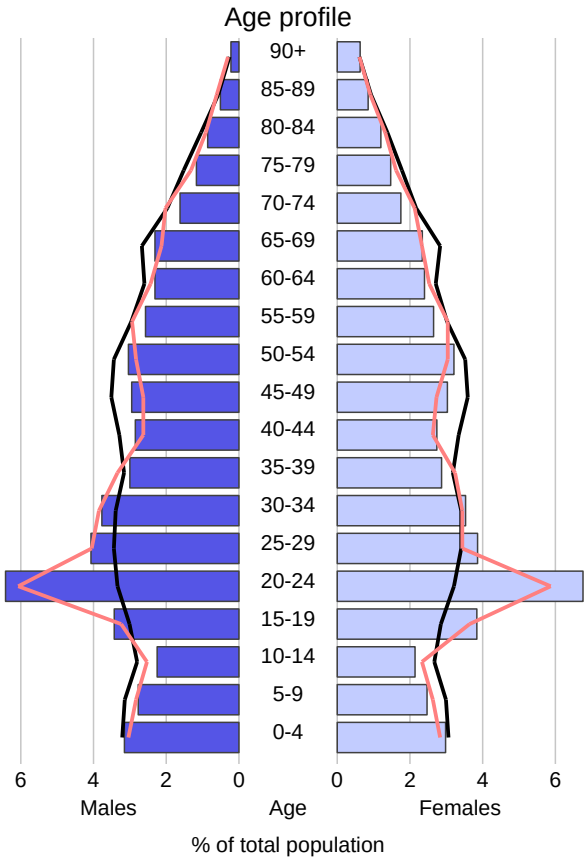
Contains OS data © Crown copyright and database right 2017

This profile gives a picture of people's health in Lincoln. It is designed to help local government and health services understand their community's needs, so that they can work together to improve people's health and reduce health inequalities.

Visit www.healthprofiles.info for more profiles, more information and interactive maps and tools.

Follow @PHE_uk on Twitter

Population: summary characteristics



	Males	Females	Persons
Lincoln (population in thousands)			
Population (2015):	48	49	97
Projected population (2020):	49	50	99
% people from an ethnic minority group:	4.1%	*	3.5%
Dependency ratio (dependants / working population) x 100			48.3%
England (population in thousands)			
Population (2015):	27,029	27,757	54,786
Projected population (2020):	28,157	28,706	56,862
% people from an ethnic minority group:	13.1%	13.4%	13.2%
Dependency ratio (dependants / working population) x 100			60.7%

* - value suppressed due to small numbers

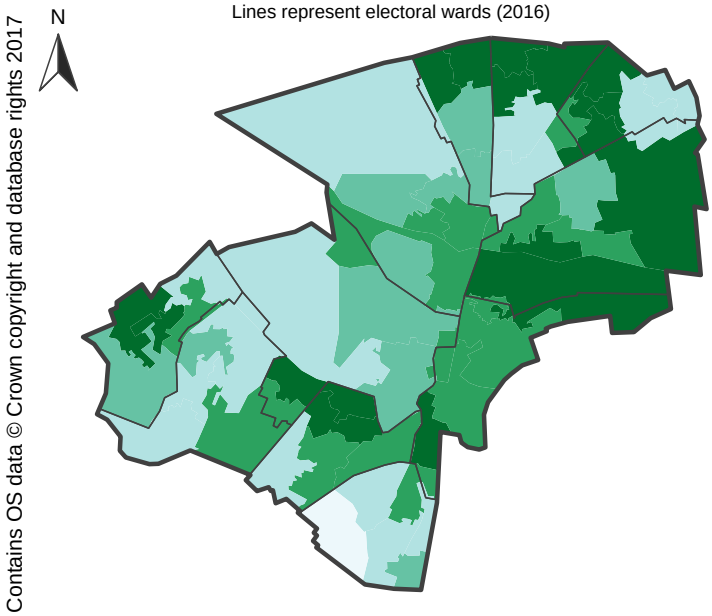
The age profile and table present demographic information for the residents of the area and England. They include a 2014-based population projection (to 2020), the percentage of people from an ethnic minority group (Annual Population Survey, October 2014 to September 2015) and the dependency ratio.

The dependency ratio estimates the number of dependants in an area by comparing the number of people considered less likely to be working (children aged under 16 and those of state pension age or above) with the working age population. A high ratio suggests the area might want to commission a greater level of services for older or younger people than those areas with a low ratio.

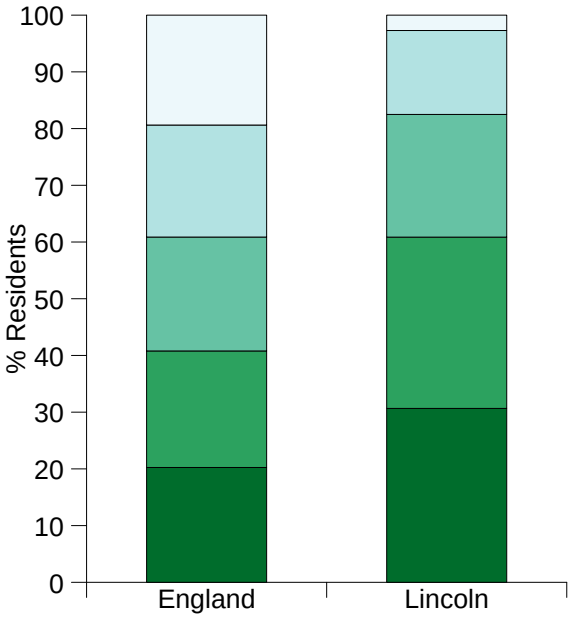
Lincoln 2015 (Male) — England 2015
Lincoln 2015 (Female) — Lincoln 2020 estimate

Deprivation: a national view

The map shows differences in deprivation in this area based on national comparisons, using national quintiles (fifths) of the Index of Multiple Deprivation 2015 (IMD 2015), shown by lower super output area. The darkest coloured areas are some of the most deprived neighbourhoods in England.



This chart shows the percentage of the population who live in areas at each level of deprivation.

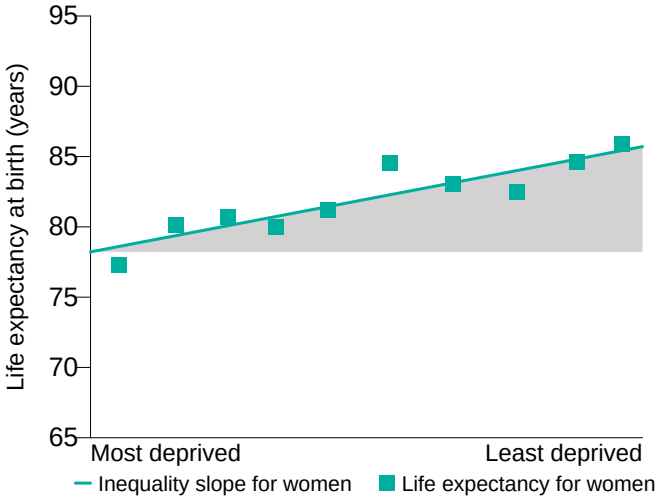


Life expectancy: inequalities in this local authority

The charts show life expectancy for men and women in this local authority for 2013-15. The local authority is divided into local deciles (tenths) by deprivation (IMD 2015), from the most deprived decile on the left of the chart to the least deprived decile on the right. The steepness of the slope represents the inequality in life expectancy that is related to deprivation in this local area. If there was no inequality in life expectancy the line would be horizontal.

Life expectancy gap for men: 8.6 years

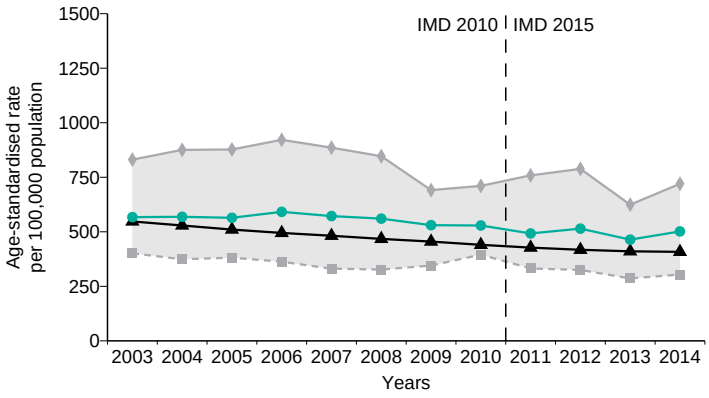
Life expectancy gap for women: 7.5 years



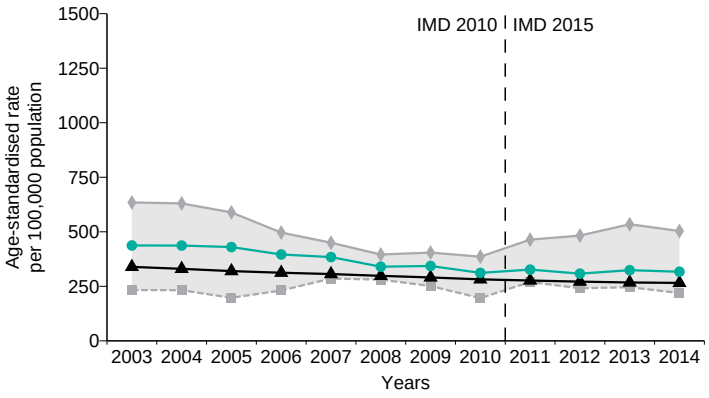
Health inequalities: changes over time

These charts provide a comparison of the changes in death rates in people under 75 (early deaths) between this area and England. Early deaths from all causes also show the differences between the most and least deprived local quintile in this area. Data from 2010-12 onwards have been revised to use IMD 2015 to define local deprivation quintiles (fifths), all prior time points use IMD 2010. In doing this, areas are grouped into deprivation quintiles using the Index of Multiple Deprivation which most closely aligns with time period of the data. This provides a more accurate way of discriminating changes between similarly deprived areas over time.

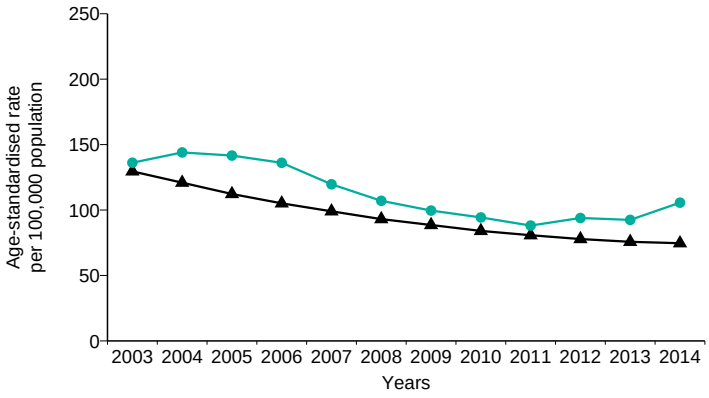
Early deaths from all causes: men



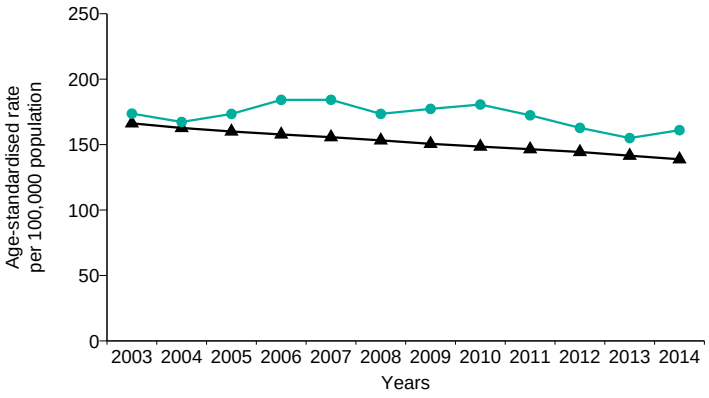
Early deaths from all causes: women



Early deaths from heart disease and stroke



Early deaths from cancer



Data points are the midpoints of three year averages of annual rates, for example 2005 represents the period 2004 to 2006. Where data are missing for local least or most deprived, the value could not be calculated as the number of cases is too small.

England average | Local average | Local least deprived | Local most deprived | Local inequality

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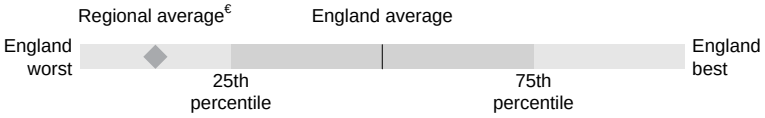
Health summary for Lincoln

The chart below shows how the health of people in this area compares with the rest of England. This area's result for each indicator is shown as a circle. The average rate for England is shown by the black line, which is always at the centre of the chart. The range of results for all local areas in England is shown as a grey bar. A red circle means that this area is significantly worse than England for that indicator; however, a green circle may still indicate an important public health problem.

- Significantly worse than England average
- Not significantly different from England average
- Significantly better than England average
- Not compared



Domain		Indicator	Period	Local count	Local value	Eng value	Eng worst	England range	Eng best
Our communities	1	Deprivation score (IMD 2015)	2015	n/a	28.9	21.8	42.0		5.0
	2	Children in low income families (under 16s)	2014	3,925	23.3	20.1	39.2		6.6
	3	Statutory homelessness	2015/16	11	0.3	0.9			
	4	GCSEs achieved	2015/16	384	45.8	57.8	44.8		78.7
	5	Violent crime (violence offences)	2015/16	1,766	18.4	17.2	36.7		4.5
	6	Long term unemployment	2016	463	7.0 ^20	3.7 ^20	13.8		0.4
Children's and young people's health	7	Smoking status at time of delivery	2015/16	x[1]	x[1]	10.6 $[1]	26.0		1.8
	8	Breastfeeding initiation	2014/15	760	x[1]	74.3	47.2		92.9
	9	Obese children (Year 6)	2015/16	204	22.8	19.8	28.5		9.4
	10	Admission episodes for alcohol-specific conditions (under 18s)†	2013/14 - 15/16	10	18.5	37.4	121.3		10.5
	11	Under 18 conceptions	2015	34	24.1	20.8	43.8		5.4
Adults' health and lifestyle	12	Smoking prevalence in adults	2016	n/a	21.0	15.5	25.7		4.9
	13	Percentage of physically active adults	2015	n/a	54.0	57.0	44.8		69.8
	14	Excess weight in adults	2013 - 15	n/a	66.1	64.8	76.2		46.5
Disease and poor health	15	Cancer diagnosed at early stage	2015	146	45.1	52.4	39.0		63.1
	16	Hospital stays for self-harm†	2015/16	254	237.1	196.5	635.3		55.7
	17	Hospital stays for alcohol-related harm†	2015/16	546	630.0	647	1,163		374
	18	Recorded diabetes	2014/15	4,938	6.4	6.4	9.2		3.3
	19	Incidence of TB	2013 - 15	12	4.2	12.0	85.6		0.0
	20	New sexually transmitted infections (STI)	2016	492	731.4	795	3,288		223
	21	Hip fractures in people aged 65 and over†	2015/16	90	592.6	589	820		312
Life expectancy and causes of death	22	Life expectancy at birth (Male)	2013 - 15	n/a	77.6	79.5	74.3		83.4
	23	Life expectancy at birth (Female)	2013 - 15	n/a	81.9	83.1	79.4		86.7
	24	Infant mortality	2013 - 15	8	2.1	3.9	8.2		0.8
	25	Killed and seriously injured on roads	2013 - 15	100	34.6	38.5	103.7		10.4
	26	Suicide rate	2013 - 15	35	13.7	10.1	17.4		5.6
	27	Smoking related deaths	2013 - 15	n/a	n/a	283.5			
	28	Under 75 mortality rate: cardiovascular	2013 - 15	213	105.6	74.6	137.6		43.1
	29	Under 75 mortality rate: cancer	2013 - 15	328	161.0	138.8	194.8		98.6
	30	Excess winter deaths	Aug 2012 - Jul 2015	274	36.0	19.6	36.0		6.9

Indicator notes

1 Index of Multiple Deprivation (IMD) 2015 2 % children (under 16) in low income families 3 Eligible homeless people not in priority need, crude rate per 1,000 households 4 5 A*-C including English & Maths, % pupils at end of key stage 4 resident in local authority 5 Recorded violence against the person crimes, crude rate per 1,000 population 6 Crude rate per 1,000 population aged 16-64 7 % of women who smoke at time of delivery 8 % of all mothers who breastfeed their babies in the first 48hrs after delivery 9 % school children in Year 6 (age 10-11) 10 Persons under 18 admitted to hospital due to alcohol-specific conditions, crude rate per 100,000 population 11 Under-18 conception rate per 1,000 females aged 15 to 17 (crude rate) 12 Current smokers (aged 18 and over), Annual Population Survey 13 % adults (aged 16 and over) achieving at least 150 mins physical activity per week, Active People Survey 14 % adults (aged 16 and over) classified as overweight or obese, Active People Survey 15 Experimental statistics - % of cancers diagnosed at stage 1 or 2 16 Directly age sex standardised rate per 100,000 population 17 Admissions involving an alcohol-related primary diagnosis or an alcohol-related external cause (narrow definition), directly age standardised rate per 100,000 population 18 % people (aged 17 and over) on GP registers with a recorded diagnosis of diabetes 19 Crude rate per 100,000 population 20 All new diagnoses (excluding chlamydia under age 25), crude rate per 100,000 population aged 15 to 64 21 Directly age-sex standardised rate of emergency admissions, per 100,000 population aged 65 and over 22, 23 The average number of years a person would expect to live based on contemporary mortality rates 24 Rate of deaths in infants aged under 1 year per 1,000 live births 25 Rate per 100,000 population 26 Directly age standardised mortality rate from suicide and injury of undetermined intent per 100,000 population (aged 10 and over) 27 Directly age standardised rate per 100,000 population aged 35 and over 28 Directly age standardised rate per 100,000 population aged under 75 29 Directly age standardised rate per 100,000 population aged under 75 30 Ratio of excess winter deaths (observed winter deaths minus expected deaths based on non-winter deaths) to average non-winter deaths (three years)

† Indicator has had methodological changes so is not directly comparable with previously released values. € "Regional" refers to the former government regions.
^20 Value based on an average of monthly counts x[1] Value not published for data quality reasons $[1] There is a data quality issue with this value

If 25% or more of areas have no data then the England range is not displayed.

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COUNCIL **10 APRIL 2018**

REPORT UNDER RULE 2(VI) OF THE COUNCIL PROCEDURE RULES

Report by Councillor Bob Bushell, Chair of Community Leadership Scrutiny Committee

Mr. Mayor, Members of the Council,

I was delighted to take over the chair of Community Leadership Scrutiny Committee (CLSC) in June 2018 when the previous incumbent was elected to be the Member of Parliament for Lincoln. Karen was passionate about the role of CLSC and continues to express a keen interest in its work.

When I started to write this report I thought it would be useful to remind Council of the purpose and Terms of Reference for the Community Leadership Scrutiny Committee (CLSC).

Purpose of the Committee:

- To actively promote and strengthen the City of Lincoln Council's community leadership role of speaking up for the people of Lincoln on matters which affect their well-being.

Its Terms of Reference are:

- To engage and consult with Lincoln residents to assist the Council in being fully aware of their issues and concerns and aspirations so these inform the policies and decision of the Council, giving particular attention to the needs of disadvantaged groups.
- To engage with all relevant stakeholders including all public, private and third sector organisations, seeking to promote effective partnerships for meeting the needs of the City.
- To exercise the powers granted to the Council by Parliament for the scrutiny of the decisions of external organisations or groups whose decisions appear to have an impact on the people of the City of Lincoln and seek to influence these in the interests of local people.
- To enhance the transparency of local decision making by enabling elected members to have the opportunity to hold service providers to account for their performance.
- To scrutinise any emerging legislation which directly impacts on people in Lincoln, seeking to exert influences on behalf of local people.

- To respond, in collaboration with the Council's Executive to any Government or other external consultation process ensuring that the Council's voice is heard on all matters affecting the well-being of the City.

Since its inception CLSC has scrutinised a broad range of issues which affect the City and its residents. Some of the outcomes have been more successful than others but there is no doubt that issues of concern have been robustly scrutinised in an apolitical and non confrontational approach. Many organisations including the City Council are faced with significant funding cuts and due regard has to be taken of this being often a significant factor in services responding in the face of years of austerity.

Members will no doubt recall that the committee's first challenge post the 2018 General Election was to assist the Council in submitting a formal response to West Lincolnshire Care Commissioning Group's (WLCCG) proposal to close the Lincoln Walk in Centre on Monks Road. This matter received considerable attention in the local media and the general public had the opportunity to respond also. It was quite clear from our intelligence gathering and the public response that the Walk in Centre was extremely popular and well used. The initial reason for opening Walk in Centers was to provide easy access to healthcare, something that it was very successful at doing. WLCCG held a number of consultation meetings and delayed their decision making to facilitate the public response. The City Council's CLSC held its own meeting in the public arena and heard from a representative of the CCG and numerous witnesses across a range of interests all of whom were keen to put forward their opposition to the proposed closure. The formal response from the City Council was to request the CCG to delay the closure of the Walk in Centre until the alternative services they proposed (extended GP opening hours, upgrading of NHS 111) were actually in place and functioning at their optimum level. At the meeting of WLCCG in late September 2017 the Management board recommended closing the Walk in Centre but opted to delay the closure until after the winter period as it was acknowledged that current services were under significant pressure.

Members will be aware that The Walk in Centre finally closed its door on February 28th 2018 despite 94% of respondents to the consultation wanting it to remain open.

The second major issue under scrutiny by CLSC was the issue of Inclusive Growth.

Members are aware that economic growth is one of the council's strategic priorities and it is recognised that economic growth should not be viewed in isolation but that it contributes towards and is a driver to achieving all of the strategic aims, reducing poverty and inequality, good quality affordable housing and an environment which is pleasant to live and work in.

Inclusive Growth is defined by the Organisation for Economic Growth (OECD) as;

Economic growth that creates opportunity for all segments of the population and distributes the dividends of increased prosperity, both in monetary and non-monetary terms, fairly across society.

What are the priorities for Inclusive Growth?

Who is benefitting from economic growth and what outcomes do we want growth to deliver?

- Connecting people up to the opportunities that exist in the labour market through better education, transport and employment support is vital.
- Boosting employers' demand for skills, shaping the occupational and sectoral make-up of the economy, and ultimately pushing up levels of pay and improving terms and conditions of employment contracts.
- Reducing poverty through jobs and improving the labour market must be the overarching priority towards creating a more prosperous economy combined with a more equitable society. Poverty is bad for growth according to the International Monetary Fund (IMF) and the Organisation for Economic Co-operation and Development (OECD). It weakens the 'consumer engine'.
- A more pro-active approach to ensure growth is more inclusive and doesn't simply pass many places and people by.

An inclusive growth agenda seeks to enable people to fulfill their own potential and in doing so improve the potential of the economy they are part of. Poverty can generate a vicious circle whereby people are not motivated to invest in their own education, skills and careers if they perceive their job prospects are to be a low paid 'dead end' job, or worse still, no job. For every out of work person who moves into a job paid at the Living Wage the government gains on average £6,900. It reduces welfare spending and increases tax receipts. More than half the people living in poverty in the UK are in a working household. Many communities feel disconnected and do not feel the benefits of economic growth.

There are two sides to Inclusive Economic Growth:

- **The supply side:** looks at inclusive growth from the individual's perspective. For example it considers how accessible jobs are, and what the quality of jobs is like.

- **The demand side:** looks at inclusive growth from the employer's perspective. For example, it considers what skillsets businesses need to grow, how health the economy is, and what sectors in the local economy support inclusive growth the most.

Supply-side and demand-side policies:

To achieve inclusive growth, the Joseph Rowntree Foundation (JRF) recommends pursuing both supply-side and demand-side policies in order to achieve a balance. In a study of other areas JRF found that focusing too much on one of these areas makes it harder to achieve inclusive growth.

Examples of supply-side policies:

- Increasing the number of people available and ready for work
- Increasing people's skills to make sure they are more likely to secure employment, or progress in employment
- Remove barriers to help people get into work
- Making work more attractive

Examples of demand-side policies:

- Identifying sectors in the economy that support inclusive growth, and creating more demand for them
- Ensuring training and employment programmes are visible to target groups and communities
- Identifying what skills the economy needs to grow, and using this to influence skills development
- Building closer public and private sector employer engagement and partnership focused on priority sectors
- Strengthening data collection, analysis. monitoring and evaluating activities and frameworks

In its August 2017 study of inclusive growth in cities, JRF pointed to the need for more jobs and better jobs to secure inclusive growth. Better wages for those on low pay (e.g. earning below the Living Wage). More security for workers on temporary contracts and who would prefer to be on permanent contracts. Creating more work for unemployed people who are actively seeking work and who may be inactive but would like to be in the labour market. Creating more work for people who are underemployed and would like to work more hours.

Residents in Lincoln on average earn weekly **£345** - East Midlands - £**425** - Britain **£440.8**

Committee heard from numerous key witnesses over three meetings:

- Farhan Ahmed - University of Lincoln
- Martin Walmsley - City of Lincoln Council (The Network)
- Graham Metcalfe - Dept. of Work and Pensions
- Richard Locke-Wheaton - Linkage Community Trust
- Mark Taylor - Lincoln College
- Elaine Lilley - Education Business Partnership
- Ben Barley - Voluntary Centre Services (Lincolnshire Move)
- Barry Hepton - Bailgate Guild
- Fliss Page - People Trainer at Tesco

As CLSC chair I also attended the Proud to be Lincoln Growth Conference held at Bishop Grosseteste University on Friday 16th March 2018. As a City Councillor it was very

pleasing to experience the positivity expressed by the numerous speakers and the pride that exists in Lincoln. It is clear that the council working in partnership with other organisations can achieve great things for Lincoln and future developments will I believe add to the progress that has already turned Lincoln into such a vibrant and pleasant place to live and work.

Attending the Inclusive Growth workshop it was an opportunity to hear feedback from businesses and other organisations. The feedback from this workshop will be fed back to the final meeting of the CLSC on this topic and will assist in formulating recommendations to be forwarded to the Executive for their deliberations.

I would like to express my thanks to committee who have taken such an active interest in both topics dealt with this municipal year and who have been like me so impressed with hearing from organisations who are already doing so much to contribute towards the inclusive growth agenda.

On behalf of CLSC I would like to thank Simon Colburn, Assistant Director (Health and Environmental Services) who assisted committee when considering the closure of the Lincoln Walk in Centre. Jessica Cullen, Democratic Services. My thanks also to James Wilkinson, (Strategic Development Project Manager), for his guidance on Inclusive Growth. Community Leadership Committee as a whole have had a lot of information before them this year and have risen to the challenge. I am grateful to committee members and the subs who have also contributed throughout. My sincere thanks also to Councillor. Naomi Tweddle CLSC vice-chair for her support and much valued contribution.

Bob Bushell
Chair of Community Leadership Scrutiny Committee

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COUNCIL **10 APRIL 2018**

REPORT UNDER RULE 2(VI) OF THE COUNCIL PROCEDURE RULES

Report by Councillor Naomi Tweddle, Chair of Equality and Diversity Advisory Panel

Introduction

This is my first report to Council as Chair of Equality and Diversity Advisory Panel, previously named Equality and Diversity Group. The report covers the period from November 2016 to March 2018. I have been chair of the panel since September 2017, prior to which Councillor Clayton-Hewson was chair.

I would like to thank Cllr Gill Clayton-Hewson for her excellent chairmanship of the panel and her commitment to the work of the group. I would also like to thank the other members of the Equality and Diversity Advisory Panel for their support of both myself and Gill.

The Equality and Diversity Advisory Panel is an informal advisory working group rather than a committee; the new name better reflects this. The membership of the group comprises of councillors and officers and is an important part of council functions. It gives members an opportunity to discuss equality and diversity with the relevant officers and to gives members the chance to share their views.

Summary of Main Work of the Group

The Equality Act 2010 Public Sector Equality Duty requires public sector organisations to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.
- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.

The Equality and Diversity group is mainly interested in the first two parts of the duty, with the third part coming under Councillor Rosanne Kirk's portfolio.

The group has met three times since the last report to council. These meetings were in September 2015, February 2016 and September 2016, and we discussed the following:

- Progress on Equality Action Plans (all meetings)

- Applicants for City of Lincoln Council Job Vacancies by those from Black and Minority Ethnic (BME) Groups (Feb 2017)
- Equality Journal 2016-17 (Sep 2017)
- Review of the Council's Equality and Diversity Policy (Sep 2017)
- Adoption of the IHRA Working Definition of Anti-Semitism (Sep 2017)
- Gender Pay Gap (Mar 2018)
- Applicants for City of Lincoln Council Job Vacancies (Mar 2018)
- Equality and Diversity Training (Mar 2018)
- Equality and Diversity Group Terms of Reference (Mar 2018)
- Lincoln Social Responsibility Charter (Mar 2018)
- Equality Monitoring Form and Guidance (Mar 2018)
- Celebrating 100 years of Women getting the Vote/National Democracy (Mar 2018)

The Annual Equality Journal gives details of the work done during the financial year 2016/17 and members might like to take a look at this on the website for further information.

We continue to focus the agenda of the meetings on working towards the equality and diversity work on working towards the council's five equality objectives. The five objectives for 2016-20 are:

- Objective 1: Our services are more accessible and do not discriminate on any unjustifiable grounds
- Objective 2: Local communities and stakeholders are empowered to influence the way our services are provided to them
- Objective 3: Equality is at the heart of decision making at all levels within the council
- Objective 4: Our workforce at all levels reflects the makeup of the local community
- Objective 5: Equalities, social inclusion and community cohesion have all improved with our communities

Some key activities which have been undertaken are set out below.

The last report to council mentioned the appointment of a Community Cohesion Officer, Magdalena Bednarczyk, on a fixed term contract to March 2017. During her appointment, Magdalena did a great deal of good work in the community to help bring different communities together around the City. This has provided strong foundations for ongoing work by our partners and the community. Further details of this were provided in Cllr Rosanne Kirk's portfolio holder report earlier this year.

In November 2017 we held a Disability Forum meeting which brought together a group of disabled people. These people either attended as individuals or as representatives of groups and discussed how best the council ensure that the voices of disabled people are heard.

All those who attended agreed that they could be contacted by the council in order to gather the views of disabled people. They also agreed to sign up to the People's Partnership which was set up to provide a voice for people that have different protected characteristics under the Equality Act.

Development of the new bus station has been a major project for the council during the past year and this has included a brand new Changing Places disabled toilet facility. This facility provides a state of the art facility for dedicated use by disabled people and is accessed with a card. This is given on application to the council or it can be accessed by asking the council staff on site.

Officers explained in the recent Equality and Diversity group meeting that the council decided to not use the radar key system as this system is easily abused. The card system is a newly designed system and ensures that only disabled people can access the state of the art facility.

Work has been undertaken, through the panel, to ensure our recruitment processes are fair and do not inadvertently discriminate. This has included analysis of recruitment data and discussion at both of the recent meetings of the Equality and Diversity Advisory Panel.

New regulations regarding data protection come into force in May 2018 and as part of the preparation for this we have updated our equality monitoring form and guidance. In practical terms, this means officers need to be even more careful to ensure personal data is not unintentionally divulged to third parties and is only collected if it is necessary. There is also a preference that such data should be kept anonymously so that individuals cannot be identified.

Concluding Comments

I would like to finish my report by looking forward to the year ahead.

A comprehensive action plan has been developed, drawing together all the equality actions identified in service plans. It is important that we continue to strive to ensure that the work of the council always is always mindful of equality and diversity and that we don't inadvertently discriminate. This is particularly pertinent when we are changing services or working on projects.

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COUNCIL **10 APRIL 2018**

REPORT UNDER RULE 2(vi) OF THE COUNCIL PROCEDURE RULES

Report by Councillor J Hanrahan, Design Advocate & Chair of Planning Committee.

Last year my report was focused on the City's first Design Awards. These celebrated the innovation, and integration into the existing built environment, achieved by the City's Architects on behalf of their clients and in conjunction with the City Planners advice and our discerning Planning Committee. This year I am concentrating on the behind the schemes discussions.

Due to the reputation that our City Planners have gained for being proactive in our approach to development, the Council is generally approachable all round and open to new ideas, concepts and materials. Our officers within Planning Services act for the Council as Local Planning Authority and are generally at the forefront of development discussions. Pre planning application discussions often move unacceptable proposals to become not only acceptable but admirable ideas.

The pre-application process seeks to engage with planning consultants, architects, developers and others as soon as possible in the development timeframe for any site in the city in order to guide development to ensure that it is of an appropriate scale and design. This will not always lead to an agreeable outcome but officers pride themselves on the design knowledge and understanding that they hold as a team. Often it will not be a single officer that liaises with external parties and the team will vary from one application to another; everyone has a part to play, including technical consultees.

Planners do not profess to be architects but maintain a good understanding of the wider implications of development, of which the aesthetics of a development is only one part, and seek to balance these competing issues in order to achieve the right development in the right location. However, our planners try to avoid instruction or lecturing in terms of design, so have avoided design training being targeted to those submitting applications, as this will be taken care of by respective professional bodies such as the Royal Town Planning Institute and the Royal Institute of British Architects.

Members may recall participating in several seminars on time for design and the design process a couple of years ago and these may be repeated as Councillors change after elections. Senior Council Officers are due to be meet representatives of RIBA regarding the Urban / Design Room to enhance the exchange of design ideas in the City.

Despite our pre-application discussions, and regardless of the professional experience of applicants, it will sometimes be that the Council needs to say no to

development. This can be an easy decision but there will be times when a judgement is finely balanced and emotive issues such as design often come into play (some might say subjective too). It is therefore the role of the Council's officers and the Members of the Planning Committee to understand and determine when this time is right. We may still get it wrong too, if the Planning Inspectorate overrules the Council's decision. However, officers can point to the fact that it is seldom that planning appeals are allowed on the grounds of design.

The Design Awards presented in 2017 could be seen as a barometer of the success of the process but as this was the opening year of the awards, only the future will tell. The planning is due to start for the next awards, which are hopefully due to be held next year and there are inevitably lessons that can be learnt from the awards process. As one would expect, it would only be right to try make the awards an even bigger success this next time round.

As with the last Design Awards, officers will need to start the process of highlighting projects that we believe should be added to a longlist under several categories. It may well be that these remain as they were for the last awards but this will depend on the selections made and the judging undertaken by the panel. Only applications that have been approved by the City Council, not won on appeal, can make the shortlist. Nonetheless, it will be an exciting process!.

Jim Hanrahan (MRTPI MIED) March 2018

COUNCIL **10 APRIL 2018**

SUBJECT:	**PROPOSED AMENDMENTS TO THE CONSTITUTION – FINANCIAL PROCEDURE RULES AND DELEGATED POWERS**
DIRECTORATE:	**CHIEF EXECUTIVE AND TOWN CLERK**
REPORT AUTHOR:	**ROBERT BAXTER, INTERIM CHIEF FINANCE OFFICER**

1. Purpose of Report

1.1 To propose amendments to the Council's Constitution in respect of the Financial Procedure Rules and delegated powers to the Executive and other Council bodies, as well as delegated powers to the City Solicitor in respect of minor amendments to the Constitution.

2. Executive Summary

2.1 The Financial Procedure Rules provide a framework for officers to work within to ensure compliance with the need to secure proper administration of the Council's financial affairs as required by section 151 of the Local Government Act 1972.

2.2 The last fundamental review took place in 2010, as approved by Council on 9 December 2010, with subsequent updates to reflect necessary changes.

2.3 The changes now required will ensure that officers have the flexibility to respond to the changing environment in which the Council now operates.

2.4 The Executive, or other decision-making bodies such as the Planning Committee, often make decisions within their terms of reference that require consequential amendments to the Constitution which, at present, can only be approved by Full Council. It is proposed to remove this duplication and provide the Executive and any other decision-making body with the authority to amend the Constitution directly as a result of any decisions they make.

2.5 It is also proposed that the Council's City Solicitor be given delegated authority to update the Constitution should any minor amendments be required including staffing changes, as well as mandatory changes in legislation which the authority has no choice to implement as part of its Constitution.

3. Proposed amendments

Financial Procedure Rules

3.1 The revised Financial Procedure Rules (Appendix A) have been compiled using the existing rules but also from comparison against other authorities and in accordance with changes in accounting regulations and practices.

3.2 Key changes from the existing Financial Procedure Rules include:

- financial planning arrangements including the management and use of the Council's reserves (section 4)

- financial management arrangements including clarity of the roles and responsibilities of budget holders, amendments to the rules relating to the carry forward of budgets from one year to the next and changes to capital project management (section 5)

- further clarity of the roles and responsibilities for orders and payments for works, goods and services including the introduction of a new section on officer responsibilities in relation to contracts for works, goods and services (section 6)

- resources and asset management including clarity around the roles and responsibilities of the Chief Finance Officer and Assistant Directors in relation to the acquisition and disposal of assets (section 9)

- external arrangements including a new section on officer responsibilities in relation to external funding (section 10)

3.3 Specific changes to delegations and limits are;

Procedure Rule	**Current**	**Proposed**
Carry forward of revenue budgets (from one year to the next)	Proposals for carry forward will only be considered where there is an overall underspend of the Directorate's cash limited budgets equal or greater than the carry forward amount	Proposals for carry forwards will only be considered where there is an overall underspend of the Directorate's cash limited budgets equal or greater than the carry forward amount **(for this purpose income budgets for which the Directorate doesn't have full control, e.g. due to market forces) are excluded from the considered cash limit budget;**
Collection of income	In accordance with Anti-Money Laundering requirements, no payment to the Council shall be accepted if it is in cash and exceeds a specified limit (currently 15,000 euros, approximately £12,000).	The Council does not accept cash payments except where this is unavoidable. In those unavoidable instances in accordance with the Council's Anti-Money Laundering policy payment to the Council can be accepted if it is in cash and does not

		exceed a specified limit (currently £2,000). The receipt of cash payments over £2,000 requires the prior authorisation of the Chief Executive, City Solicitor or Chief Finance Officer.
Writing off bad debts	No specific reference	The authority to reinstate previously written off debts upon receipt of outstanding amounts shall be as follows: • Reinstatement of debts up to £5,000 - authorisation required by Chief Finance Officer, City Solicitor or the Head of Shared Revenues and Benefit Service. • Reinstatement of debts over £5,000 – authorisation required by the Chief Finance Officer
Disposal of Items of Inventory, Stocks and Stores	No specific reference	Where the actual or estimated value of the goods to be sold is less than £10,000 the relevant Assistant Director may approve the disposal and may decide the procedure to be adopted.
Disposal of Items of Inventory, Stocks and Stores	No specific reference	Goods of an actual or estimated value exceeding £10,000 must be disposed of in one of the ways, listed 9.7.3 (of the FPRs) as determined most appropriate by the Assistant Director.
Disposal of Items of Inventory, Stocks and Stores	No specific reference	The receipt of any income from the disposal of goods, equipment, stocks and stores shall be treated as a capital receipt if it is in excess of £10,000, below this threshold

		it will be treated as revenue income for the relevant service area.

3.4 The key theme in these changes has been to ensure that officers have the flexibility required in order to respond to the changing environment in which the Council now operates. This reflects a more commercial approach to the operation of the Council. However the Financial Procedure Rules still ensure that a sound system of internal control is maintained.

3.5 In addition to the revised Financial Procedure Rules the Constitution itself includes other references to the conduct of the financial affairs of the Council. To ensure consistency throughout the Constitution a number of changes have therefore been made to Part 2 and Part 3. (Appendix B)

Delegated powers

3.6 The Executive, or other decision-making bodies such as the Planning Committee, often make decisions within their terms of reference that require consequential amendments to the Constitution. The current process would require Full Council to approve the necessary constitutional amendments, even though the decision had already been taken by the body with the relevant decision-making authority.

3.7 The process of taking a report to Council to approve the consequential constitutional amendment is unnecessary duplication and is solely an administrative decision, with the context of the decision having already been agreed. It would therefore be more efficient for the decision-making body to be given the delegated authority to amend the Constitutional as a result of any decision taken in accordance with the body's terms of reference.

3.8 Similarly, there are sometimes amendments to the Constitution that the Council has no choice but to implement, whether this be due to staffing changes or mandatory changes in legislation. It would be more efficient to delegate these changes to the Council's City Solicitor in order that amendments can be made immediately, rather than require their approval at Full Council.

4. Organisational Impacts

4.1 Finance - There are no direct financial implications from the adoption of these rules although the framework that they provide is a key consideration when managing the financial affairs of the whole organisation.

4.2 Legal Implications including Procurement Rules - The Council is required under Section 151 of the Local Government Act to ensure that it makes arrangements for the proper administration of its financial affairs. These rules lay down the principles to be followed to secure that proper administration.

5. Risk Implications

5.1 The review of the Financial Procedure Rules will ensure that the Council continues to have effective arrangements in place to maintain a sound system of internal control whilst giving officers and members the flexibility to deliver services.

5.2 The Rules provide guidance and general advice to officers and members as to their responsibilities and as such, they are a means of mitigating risk and controlling financial behaviour within the Council.

6. Recommendation

6.1 That Council be recommended to approve the revised Financial Procedure Rules and the subsequent amendments to the Constitution.

6.2 That Council be recommended to grant decision-making bodies with authority to approve consequential constitutional amendments from decisions they take in accordance with their terms of reference.

6.3 That the Council's City Solicitor be given delegated authority to make minor amendments to the Constitution, including amendments to reflect staffing changes and mandatory changes in legislation.

Is this a key decision?	Yes
Do the exempt information categories apply?	No
Does Rule 15 of the Scrutiny Procedure Rules (call-in and urgency) apply?	No
How many appendices does the report contain?	Yes - two
List of Background Papers:	None
Lead Officer:	Robert Baxter, Interim Chief Finance Officer Telephone (01522) 873361

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Appendix A

FINANCIAL PROCEDURE RULES

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2. Accounting Arrangements
2.1 Accounting Arrangements
2.2 Accounting Records
2.3 Accounting Systems and Procedures
2.4 Directorate Financial Management Arrangements
2.5 Annual Statement of Accounts
2.6 Trading Accounts

3. Audit Arrangements

4. Financial Planning
4.1 Medium Term Financial Strategy and Budget Preparation
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1. INTRODUCTION

1.1 Status of Financial Procedure Rules

1.1.1 Financial Procedure Rules lay down the principles to be followed in securing a proper administration of the Council's financial affairs as required by Section 151 of the Local Government Act 1972.

1.1.2 These Procedure Rules shall be read in conjunction with the Council's;

i) Responsibility for Functions (Constitution Part 3)
ii) Contract Procedure Rules (Constitution Part 4)
iii) Budget and Policy Framework Procedure Rules (Constitution Part 4)

1.1.3 These Procedure Rules apply to every Member and officer of the Council and anyone, including consultants, acting on its behalf.

1.1.4 These Financial Procedure Rules shall apply in relation to any partnership for which the Council is the accountable body unless the Council expressly agrees otherwise.

1.1.5 These Procedure Rules are supplemented by other related documents, issued by the Chief Finance Officer, which are designed to give guidance, including operational financial instructions. In the event of contradiction, the Financial Procedure Rules take precedence.

1.1.6 Financial Procedure Rules shall not override any statutory provisions that apply.

1.1.7 Financial Procedure Rules will be reviewed by the Chief Finance Officer at intervals of not more than three years and will be subject to approval by the full Council.

1.1.8 Failure to comply with these Procedure Rules or instructions issued under them will be subject to consideration as a disciplinary offence. Breaches of these Procedure Rules must be reported to the Chief Finance Officer and Internal Audit, who will be responsible for investigating the circumstances and recommending the further action to be taken.

1.2 General Roles and Responsibilities

1.2.1 These Financial Procedure Rules set out the roles and responsibilities of the Council and officers in financial matters. They should be read in conjunction with the Constitution, specifically Article 13, which details other specific responsibilities.

Full Council

1.2.2 The full Council is responsible for approving the overall Budget and Policy Framework within which the Executive operates having regard to the Chief Financial Officer's comments in his/her Local Government Act 2003 Section 25 report. The budget setting process includes the setting of the Council Tax and Housing Rent levels to be levied, and the approval of the Prudential Indicators as required by the CIPFA Prudential Code for Capital Finance in Local Authorities.

1.2.3 The full Council approves these Financial Procedure Rules.

The Executive

1.2.4 The Executive is responsible for proposing the Budget and Policy Framework to full Council, and for discharging executive functions in accordance with that framework.

1.2.5 The Executive monitors financial performance and service performance and makes changes, within the Budget and Policy Framework to ensure the budget is met or met within the limits determined by the Council.

Chief Finance Officer

1.2.6 Section 151 of the Local Government Act 1972 requires the Council to appoint a suitably qualified person to be responsible for the proper planning, administration and monitoring of its financial affairs. The Chief Finance Officer fulfils this statutory role.

1.2.7 The Chief Finance Officer is responsible for:

i) the proper administration of the authority's financial affairs;
ii) setting and monitoring compliance with financial management standards;
iii) advising on the corporate financial positon and on the key financial controls necessary to secure sound financial management;
iv) providing financial information;
v) preparing the Medium Term Financial Strategy including the Revenue Budget and Capital Programme;
vi) Treasury Management.

1.2.8 Section 114 of the Local Government Finance Act 1988 requires the Chief Finance Officer to report to full Council, the Executive and the External Auditor if he/she considers the Council, the Executive or an officer has made or is about to;

i) make a decision involving expenditure or a loss which is or would be unlawful,
ii) take an unlawful action which has resulted in or would result in a loss or deficiency to the Council or;
iii) make an unlawful entry in the Council's accounts

Before making any report to the Council or the Executive the Chief Finance Officer shall consult the Chief Executive and the City Solicitor.

1.2.9 The Chief Finance Officer also has a duty under Section 25 of the Local Government Action 2003 to report to the Council on;

i) the adequacy of the proposed reserves,
ii) the robustness of the budget

1.2.10 In order to carry out these responsibilities;

i) the Council must provide the Chief Finance Officer with sufficient resources,
ii) the Council recognises the Chief Finance Officer as its principal financial adviser with access to all meetings as he/she considers necessary (including the right to be heard),
iii) the Council recognises that neither it, nor any committee, Member or officer can require the Chief Finance Officer to breach any of his/her statutory duties.

1.2.11 The Council is also required by section 114 of the 1988 Act to have a designated deputy, currently the Financial Services Manager, to carry out these functions.

Chief Officers

1.2.14 The term, "Chief Officers", refers to the Council's Chief Executive and the Strategic Directors.

1.2.15 Chief Officers are each accountable to the Council for the financial management and administration of those services and activities allocated to them in accordance with Council policy.

1.2.16 Chief Officers are responsible for the overall arrangements within their Directorates and that due regard is given to compliance with the requirements of these Procedure Rules.

Assistant Directors

1.2.17 Assistant Directors are responsible for bringing these Procedure Rules and related documents to the attention of staff, for highlighting aspects of particular relevance to certain staff and for disseminating related documents including financial instructions as appropriate.

1.2.18 Assistant Directors are responsible for the accountability and control of staff and the security, custody and control of all other resources including buildings, furniture, equipment, stocks, stores, cash and other valuable resources or assets used by their service.

All Officers

1.2.19 All officers are responsible for ensuring that all actions they perform comply with the requirements placed upon them by the Council. They must also ensure that actions they take are properly authorised and within the sphere of responsibility their post possesses.

1.2.20 All officers have a general responsibility for taking reasonable action to provide for the security and use of the resources and assets under their control, and ensuring that the use of these resources and assets is legal, is consistent with Council policies and priorities and provides value for money.

1.2.21 All officers must report to a Chief Officer, the Chief Finance Officer or Internal Audit any occasions where they believe that these Procedure Rules, Contract Procedure Rules, Council policy or financial instructions are not being followed, or where

Council resources or assets are at risk.

Other Responsibilities

1.2.22 Chief Officers and Assistant Directors are required to carry out their tasks in accordance with these Procedure Rules. These officers may authorise other officers to carry out tasks for which they have responsibility as set down by these Procedure Rules.

1.2.23 Chief Officers have the same rights and responsibilities as Assistant Directors for any matters falling under their direct management.

2. ACCOUNTING ARRANGEMENTS

2.1 Accounting Arrangements

2.1.1 Subject to statutory requirements, all accounting procedures and records of the Council and its officers shall be determined by the Chief Finance Officer.

2.1.2 The Chief Finance Officer may issue detailed financial instructions on any aspect of accounting procedures and records to be applied generally or to specific departments or functions.

2.2 Accounting Records

2.2.1 The Chief Finance Officer shall be responsible for keeping the principal accounts and financial records of the Council.

2.2.2 The Chief Finance Officer shall ensure the safe retention of all accounting records, including paid invoices and certificates, for as long as may be statutorily required, currently 7 years for prime records such as invoices and 3 years for budget records.

2.2.3 All Directorate financial procedures and records shall be complied and maintained in accordance with such direction given by the Chief Finance Officer.

2.2.4 Assistant Directors must ensure that a complete audit trail, allowing financial transactions to be traced between accounting records and original documents, is maintained.

2.3 Accounting Systems and Procedures

2.3.1 Assistant Directors shall consult with and must obtain permission from the Chief Finance Officer before introducing, amending or discontinuing any system, record or procedure that relates to any area covered by these Procedure Rules.

2.4 Directorate Financial Management Arrangements

2.4.1 Chief Officers are responsible for the operation of financial processes within their Department and in consultation with the Chief Finance Officer shall ensure adequate controls are in place.

2.5 Annual Statement of Accounts

2.5.1 The Chief Finance Officer should ensure that the Council's accounts are prepared in accordance with the CIPFA Code of Practice on Local Authority Accounting in the United Kingdom, for each financial year ending 31st March and the CIPFA Service Reporting Code of Practice and prepared, published and audited in accordance with the Accounts and Audit Regulations 2003, or any subsequent Regulations.

2.5.2 The Chief Finance Officer is responsible for selecting the Council's accounting policies, including any change to these policies and ensuring that they are applied accurately and consistently.

2.6 Trading Accounts

2.6.1 The Chief Finance Officer will advise on the establishment and operation of trading accounts. Each trading account will have defined objectives, including the way in which surpluses or deficits will be dealt with.

2.6.2 Assistant Directors will observe all statutory requirements in relation to services that maintain trading accounts, including the maintenance of a separate revenue account to which all relevant income is credited and all relevant expenditure, including overhead costs, is charged, and to produce suitable information for the statutory disclosure in the Statement of Accounts.

2.6.3 Assistant Directors will ensure that the same accounting principles are applied in relation to trading accounts as for other services unless, in the opinion of the Chief Finance Officer, arrangements which are more advantageous to the Council are permissible.

3. AUDIT ARRANGEMENTS

3.1 The Accounts and Audit Regulation 2015 require that a, "relevant body shall maintain an adequate and effective system of internal audit of their accounting records and control systems and review its effectiveness on an annual basis." The Authority's Internal Audit function fulfils this role.

3.2 Internal Audit operates in accordance with the Code of Practice for Internal Audit in Local Government in the United Kingdom, published by CIPFA and with Terms of Reference approved by the Council and included with the Audit Committee's Terms of Reference, again also approved by the Council.

3.3 Internal Audit shall review, appraise and provide assurances on (and report to the Audit Committee or Executive if deemed necessary) the following matters;

i) the soundness, adequacy and application of internal controls;
ii) the extent to which the Council's assets and interests are accounted for and safeguarded from losses of all kinds arising from fraud, other offences, waste, extravagance, inefficient administration, poor value for money or other cause;
iii) the suitability and reliability of financial and other management information used within the Council.

3.4 In pursuance of their duties Internal Audit shall have the authority under the Accounts and Audit Regulations to;

i) access/enter at all reasonable times any Council premises or land;
ii) have access to all assets, records, documents, minutes. Correspondence and control systems relating to any aspect of the Council;
iii) require and receive such information and explanations as are necessary concerning any matter under examination;
iv) require any employee of the Council to produce cash, stores, or any other Council property under his/her control;
v) request access to records belonging to third parties, such as contractors and partners,
vi) have full and free access to all officers, Members and Committees.

3.5 Whenever a matter arising out of any audit activity, or otherwise, comes to the attention of Internal Audit and this reveals, or suggests, the possibility of any irregularity, Internal Audit shall consult immediately with the Chief Finance Officer and City Solicitor, to determine the nature of any action to be taken and to effect compliance with these Procedure Rules.

3.6 The effectiveness of a continuous Internal Audit shall be reported to the Audit Committee annually and as appropriate the results of audit reviews, which are deemed of interest, in accordance with the CIPFA code of audit practice.

4. FINANCIAL PLANNING

4.1 Medium Term Financial Strategy and Budget Preparation (Revenue and Capital, including the Housing Revenue Account).

4.1.1 The procedure for the preparation of the Medium Term Financial Strategy, revenue estimates and capital programme will be determined each year by the Chief Finance Officer. This procedure will be consistent with any direction given by the Executive which shall fulfil all statutory requirements.

4.1.2 Assistant Directors shall prepare estimates of revenue expenditure and income for all of the Council's services and estimates for the capital programme in accordance with the directions issued by the Chief Finance Officer.

4.1.3 The Chief Finance Officer shall collate the revenue and capital estimates and present them to the Executive together with the Medium Term Financial Strategy as part of the Budget and Policy Framework process. The Medium Term Financial Strategy will provide a five year forward assessment (for the next budget year and the four following years) of the revenue estimates based on present levels of service and efficiency but reflecting also decisions taken on new commitments and the budgetary impact of savings programmes. This plan should highlight total net expenditure (after income for fees and charges) on services and on financing costs, shown separately to make the implications explicit and in accordance with government guidelines.

4.1.4 The Executive shall consider the aggregate effect of these estimates and programmes on the Council's financial resources and, after consultation on proposed amendments, shall submit them to the full Council for approval, on or before the statutory date each year, together with a recommendation for the Council Tax and Housing Rent Levels to be levied for the following year, having determined the supporting resources to be used.

4.2 Reserves and Provisions

4.2.1 The Chief Finance Officer is responsible for making recommendations to Executive and full Council on the adequate level of unallocated General Fund and Housing Revenue Account Reserves and any limitations or conditions on the use of such unallocated reserves. This recommendation will be based upon;

i) the assessment of the robustness of the budget and adequacy of reserves under Section 25 of the Local Governance Finance Act,
ii) the projected level of reserves for the year and in the medium terms compared to a risk assessment based on the budget risk register and corporate risk register,
iii) an on-going assessment of the above.

4.2.2 The Chief Finance Officer is responsible for making recommendations to the Executive and full Council on the adequate level of specific provisions and earmarked reserves. Such recommendations shall include;

i) a list of the various earmarked reserves and provisions,

ii) the purposes for which they are held,

iii) the estimated opening balances for the year, planned additions/withdrawals and estimated closing balances.

4.2.3 Before approving the establishment of a new earmarked reserve or provision the Chief Finance Officer will require Assistant Directors to provide the following;

i) the purpose of the earmarked reserve or provision,
ii) the decision making and authorisation process for the use of those provisions and reserves,
iii) the process and timescale for review of the reserve.

The establishment of new earmarked reserves and provisions shall be bought to the attention of the Executive, by the Chief Finance Officer, not less than four times a year.

4.2.4 Authority to commit expenditure for the specified purposes lies with Assistant Directors in accordance with section 5.1 of these Procedure Rules. Assistant Directors shall only propose the use of earmarked reserves and provisions for the purpose of such reserves or provisions, unless otherwise agreed by the Chief Finance Officer.

5. FINANCIAL MANAGEMENT

5.1 Budgetary Control

5.1.1 Assistant Directors will operate the services under their control in accordance with the policies of the Council and the finances made available, and shall be accountable to the Executive for performance.

5.1.2 Assistant Directors shall make arrangements to monitor and manage the budgets for which they are accountable and may designate budget holders who are empowered to commit budgets. Designation of budget holders below Service Manager level or Officers on a PO grade or above reporting directly into an Assistant Director or Chief Officer, requires the express consent of the Chief Finance Officer.

5.1.3 Budget holders may delegate day to day responsibility for overseeing the budget and managing the service to budget operators but they retain the responsibility for ensuring the proper management of the Council's resources for their service areas and are responsible for economic, efficient and effective use of resources allocated to them. All budget holder and budget operator activities will be in-line with the approved authorised signatory level for the authorisation of orders and invoices on the Council's financial system and variation/compensation events within contracts:

Tier 1	Unlimited £	Chief Officers and Assistant Directors
Tier 2	Up to £50,000	Service Managers and Officers on PO grade or above that report directly into an Assistant Director or Director
Tier 3	Up to £10,000	Team Leaders or Officers below PO grade that report directly into an Assistant Director

5.1.4 The Chief Finance Officer shall maintain a list of the extent of authority of each authorising officer to authorise financial transactions. The list of authorising officers will be reviewed by Assistant Directors at least annually. The Chief Finance Officer should be notified of requests for changes in authorisation limits.

5.1.5 The Chief Finance Officer shall provide Assistant Directors and budget holders with appropriate financial information, support and advice to enable the revenue budget and capital programme to be monitored effectively.

5.1.6 The Chief Finance Officer shall monitor the arrangements made by Assistant Directors for implementing budgetary control and shall ensure an effective system of budgetary control is operated throughout the Council.

5.1.7 Assistant Directors shall consult with the Chief Finance Officer prior to submitting any report or statement to the Executive, Committee, Sub-Committee or Panel to ensure that the financial implications for either the revenue budget, capital programme or the overall finances of the Council contain the Chief Finance Officer views.

5.2 Revenue Budget Management

5.2.1 The inclusion of items in approved revenue estimates, as varied by a supplementary estimate or virement approved under these Procedure Rules, constitutes authority to incur expenditure and collect income.

5.2.2 Assistant Directors and budget holders must regularly monitor (at least monthly but more frequently where necessary) actual income and expenditure against that budgeted for all services under their control and ensure that all budget targets are being achieved. As part of such monitoring, Assistant Directors and budget holders must;

i) project likely future income and expenditure in order to identify immediately any potential over or under spends;
ii) take corrective action without delay and, if action beyond their authority is required, report to their Assistant Director/Chief Officer immediately;
iii) inform the Chief Finance Officer whenever there is a likelihood that expenditure will exceed the approved revenue estimate for it, or that income will be less than the amount included in the estimates, as soon as practicable, including any impact on future years.
iv) inform the Chief Finance Officer whenever there is a likelihood that expenditure will be below the approved revenue estimate for it, or that income will be in excess of the amount included in the estimates, as soon as practicable, including any impact on future years.

5.2.3 Corrective action may take the form of a transfer of budgets between budget heads (virement) or the suspension or deletion of other planned expenditure. Any such suspension or deletion shall require the Assistant Director to obtain the approval of the Executive and/or full Council if it is contrary to the Budget and Policy Framework and shall affect council policy.

5.2.4 The Executive shall be entitled to require corrective action to be taken to deal with either a forecast or known overspending or to accommodate a new demand that is considered important or unavoidable.

5.3 Exceptional Supplementary Budget Estimates

5.3.1 Once all other possibilities for corrective action have been considered the Assistant Director, in conjunction with the Chief Finance Officer, will be required to make a request for a supplementary budget.

5.3.2 Requests for supplementary budgets shall only be made in exceptional circumstances and may only be approved by the Council. A report requesting a supplementary budget must be produced jointly with the Chief Finance Officer and must make particular reference to any future financial implications.

5.4 Transferring Financial Resources Between Revenue Budget Heads in Year (Virement)

5.4.1 Budget provision may be transferred from one budget head to another during the course of the year subject to the following rules;

i) the proposed expenditure is not contrary to council policy and does not relate to an item which has previously been considered by the Council, and has been rejected;
ii) no net recurring increase in total expenditure will arise in any subsequent years directly from the virement unless the recurring cost is approved by the Executive;
iii) the proposed virement does not involve any loan charges, capital expenditure or apportioned central support services charges which the officer concerned has no control over;
iv) all virements are notified to the Chief Finance Officer within one week of approval; and
v) fortuitous income (which has not arisen through a positive management decision) cannot be a source of virement.

5.4.2 Where an approved budget is a 'lump sum' budget or reserve intended for allocation during that year, its allocation will not be treated as a virement for reporting purposes, provided that the amount is used in accordance with the purposes for which it was established.

5.4.3 The transfer of a budget is not virement if the budget continues to be used for the same purpose and is only being vired for the purpose of 'general housekeeping'.

5.4.4 The Chief Finance Officer is authorised to make any technical adjustment to budgets that are not contrary to the Policy and Budget Framework.

5.4.5 Virement is permitted between the revenue budget and the capital budget but not from the capital budget to the revenue budget.

5.4.6 Revenue virements may be made within the following criteria;

Within the same budget head;

i) transfer between subjective within revenue budget heads may be approved by the budget holder, after consultation with their Assistant Director.

Between different budget heads;

ii) where amount does not exceed £50,000 and the items are to be transferred between different budget heads then the relevant Assistant Director(s) may approve the transfer;
iii) where the amount is more than £50,000 but not exceeding £75,000 and is to be transferred between different budget heads then the relevant Director(s) may approve the transfer;
iv) where the amount is more than £75,000 the approval of the Executive is required.

5.4.7 Any virement that will impact upon the budget under the responsibility of another Assistant Director will require the approval of both Assistant Directors or both Chief Officers.

* A budget head is defined as a single line in the approved revenue estimates.

5.5 Carry Forward of Revenue Budgets from One Year to the Next

5.5.1 Assistant Directors will be able to request to carry forward any revenue estimate not utilised by the end of the financial year, subject to the following conditions:

i) proposals for carry forwards will only be considered where there is an overall underspend of the Directorate's cash limited budgets equal or greater than the carry forward amount (for this purpose income budgets for which the Directorate doesn't have full control, e.g. due to market forces) are excluded from the considered cash limit budget;
ii) carry forwards can only be used to finance one-off types of expenditure;
iii) proposals will be included for initial approval in the report on financial performance submitted to the Executive for the period to the end of 31st December each year;
iv) if carry forwards are not identified and reported to the Executive in the report of financial performance for the period to the end of 31st December then they will not be considered, except in circumstances which are beyond the Council's control, e.g. failure of supplier to deliver. In such a case the initial approval of the Chief Finance Officer will be required;
v) approval of the total value of carry forward proposals will only be given by the Executive once all spending in the financial year has been contained within the overall budget level set for the year and consideration given to the financial risks and priorities of the Council. This will be determined on receipt on the report of financial performance for the period to the end of 31st March each year. The allocation of the total carry forward amount to specific schemes will be determined following completion of the draft financial statements each year.

5.6 Capital Budget Management

Capital scheme initiations and approvals

5.6.1 Initial provision is made for capital schemes within the Capital Programme in line with the approved Strategic Plan, Housing Business Plan and Medium Term Financial Strategy.

5.6.2 Inclusion of an initial provision in the Capital Programme provides authorisation to carry out feasibility studies, outline design and application for planning consent (where required) provided the resources have been identified within the approved budget.

5.6.3 Before a capital scheme for which provision is made in the Capital Programme may proceed further i.e. to tender/commitment of expenditure, project documentation must be produced and agreed by the Capital Projects Team, in accordance with the Lincoln Project Management Framework, unless such documentation has been

completed within the last 12 months prior to inclusion in the Capital Programme. If a period of 12 months has elapsed a revised project appraisal will be required to be approved by the Strategic Plan Implementation Team.

5.6.4 Where Assistant Directors wish to propose new capital schemes for inclusion in the capital programme, they must first consult with the Chief Finance Officer who will determine the approach to be taken for approval of the proposal. The proposals will need to be approved by the Executive and be in accordance with the Lincoln Project Management Framework, i.e. require the completion and approval of appropriate project documentation. This must include all applications for schemes to be funded from Government sources, grants or other external funding.

5.6.5 Bids for external funding to support capital expenditure cannot take place until they have been approved by the Chief Finance Officer.

5.6.6 The Chief Finance Officer may approve expenditure where tenders received are less than the allocated scheme budget and the Assistant Director proposes to extend the scope of the work up to the allocated amount. In such circumstances the Chief Finance Officer will consider the overall capital programme and other calls on capital resources.

5.6.8 Capital Scheme Monitoring

5.6.9 Assistant Directors and budget holders shall be responsible the monitoring of all capital schemes under their control and shall, at the earliest opportunity, inform the Chief Finance Officer whenever;

i) the cost has or is likely to exceed the allocated project budget;
ii) there has been or is likely to be slippage in estimated payments for the year so that steps may be taken to avoid the loss of time-limited borrowing or capital grant approvals.

5.6.10 If after a scheme has commenced the original total cost has or appears likely to exceed the allocated scheme budget, or where any avoidable variations or discretionary charges are to be incurred, then equivalent savings must be made within the approved capital programmes (virement).

5.6.11 If it is not possible to identify a capital virement the Chief Finance Officer and Assistant Director shall report the scheme, the final cost or estimate thereof and reason for the increased expenditure to the Executive at the earliest opportunity.

5.6.12 Any proposal to amend an approved capital programme by deleting an approved scheme will require the approval of the Executive.

5.7 Transferring Financial Resources within Capital Schemes (Virement)

5.7.1 The Chief Finance Officer in conjunction with Capital Projects Team shall consider the scheme as a whole, the overall agreed capital programmes and other calls on capital resources, when taking correction action in the form of a virement.

5.7.2 The Chief Finance Officer shall have authority to approve virements to a capital scheme subject to the virement plus previous virements approved by the Chief Finance Officer being not more than £100,000 or 50% of the total scheme whichever is lower. For ongoing schemes (e.g. disabled facilities grants) the total value of the scheme refers to the annual budget allocation.

5.7.3 Such virements shall be reported by the Chief Finance Officer to the Executive, not less than four times a year.

5.7.4 Any virement which results in the change to the cost of the scheme exceeding the above financial limits will require the Assistant Director in conjunction with the Chief Finance Officer to prepare a report to obtain the approval of Executive.

5.7.5 The Chief Finance Officer shall have authority to approve the rephrasing of capital schemes within the approved capital programme between financial years (subject to the availability of resources) to make the most effective use thereof. Such re-phasing shall be reported by the Chief Finance Officer to the Executive, not less than four times a year. If deemed necessary the Chief Finance Officer in conjunction with the relevant Assistant Director shall prepare a report to the executive to consider proposals.

5.7.6 The Chief Finance Officer shall have the authority to approve the inclusion of schemes in the capital programme as required by capital accounting requirements in the Accounting Code of Practice.

5.8 Reporting

5.8.1 The Executive shall receive a report, prepared jointly by, the Chief Finance Officer and Officers, commenting on financial performance to date of the revenue budget and capital programmes, not less than four times a year. The Chief Finance Officer shall report to the Executive in between such regular reports should he/she require this to be necessary in the financial circumstances.

5.8.2 The Performance Scrutiny Committee shall receive a report, prepared jointly by, the Chief Finance Officer and Chief Officers, commenting on financial performance to date of the revenue budget and capital programmes, not less than four times a year.

5.9 The Capital Programme Board

5.9.1 Notwithstanding any of the responsibilities of Assistant Directors and budget holders for budget management within these Procedure Rules, in addition the performance of all capital schemes shall be monitored by the Chief Finance Officer in conjunction with the Capital Programme Board (the Assistant Director Group will fulfil this function).

5.9.2 The Capital Programme Board shall consist of the Chief Finance Officer and Assistant Directors representatives from each Directorate. The Capital Programme Board will consider rescheduling / resource shifting / financial programming, i.e. wider programme management, rather than being involved in the detail of individual projects. Only exceptions, where there is a risk of significant impact on financials or deliverables, would be reported to, and considered by, the Capital Programme

Board.

5.9.3 Project Briefs will be developed by the Project Manager, and agreed with the Project Sponsor, after consultation with all affected services, and the budget model is agreed with Finance.

5.9.4 The Capital Programme Board considers significant change only, with minor change being dealt with by the Project Manager / Project Sponsor. Tolerances of what constitutes significant change to be agreed at the start of the contract.

5.9.5 For capital schemes determined, as per the Lincoln Project Management Model, to be 'mega projects' the performance of that scheme can be undertaken through a designated project board rather than through the Capital Programme Board. In such circumstances the Chief Finance Officer, or representative of, will form part of the project board.

5.9.6 Performance Scrutiny Committee and Executive will receive a progress report from the Chief Finance Officer on a quarterly basis on the capital schemes monitored by the Capital Programme Board.

EXPENDITURE

6.

6.1 Authorisation and Certification

6.1.1 Expenditure should only be incurred if authority to purchase goods or services has been delegated to an employee by an Assistant Director.

6.1.2 A list is maintained by the Chief Finance Officer of the extent of the authority of each authorising officer who can approve orders and authorise invoices for payment.

6.1.3 A list is maintained by the City Solicitor of the extend of the authority of each authorising officer who can:

i) authorise travel and expense claims;
ii) authorise petty cash reimbursement claims;
iii) authorise payroll transactions, including starters and leavers, overtime or bonus payment, notification of sickness, salary adjustments.

6.1.4 Transactions will not be processed unless authorisation has been given.

6.1.5 Agency staff are not permitted to place or approve orders or contractual payments.

6.1.6 Assistant Directors should notify the Chief Finance Officer and City Solicitor immediately of any changes in authorised personnel or requests for changes in authorisation limits. Periodically, the whole list of authorised officers shall be reviewed in its entirety.

6.2 Contracts for Works, Goods and Services

6.2.1 All contracts entered into on behalf of the Council shall be subject to the Contract Procedure Rules (Part 4) of the Constitution.

6.2.2 Payment to contractors on account shall be authorised only on certified documents signed by an authorising officer up to their agreed authorised limited, as per paragraph 5.1.3, showing the total amount of the contract, value of work executed to date, retention money, amount paid to date and the amount now certified.

6.2.3 Subject to the specific contract allowing a variation, every variation, addition to the original specification or compensation event, shall be authorised, in writing, by an authorising officer up to their agreed authorised limit, as per paragraph 5.1.3. Any such variation, addition or event which necessitates an increase in the amount of an accepted tender or estimate which exceeds the budgetary provision will be subject to the scheme of virement as per paragraphs 5.4 and 5.7. No order shall be placed, nor any payment certified, in respect of any such variation or addition until this has been approved by the Executive if required under the scheme of virement.

6.2.4 The final certificate on a contract or accepted estimate shall be issued by the duly authorised officer.

6.2.5 In the case of contracts for works entered into by the Council and supervised and managed by architects or persons other than the Council's own officers, the agreement with the person having control of the work shall provide that he/she submit to the Council for authorisation by a duly authorised officer, all payments on account and valuation certificates, furnishing them with all documents and vouchers relating to prime costs, provisional sums etc. Subject to the rights of other parties to the contract, the final certificate shall not be issued, nor the balance under such contract paid until an authorised officer of the Council has had the opportunity to examine the accounts, vouchers and documents and authorise the final certificate and payment.

6.3 Orders for Works, Goods and Services

6.3.1 Purchase orders shall be made out in the name of the Council and shall be in a form approved by the Chief Finance Officer. Electronic ordering shall be the Council's preferred method of raising orders.

6.3.2 Official purchase orders are required for all work, goods or services to be supplied to the Council except for:

i) supplies of public utility services;
ii) contracts for works, goods and services as per paragraph 6.2
iii) periodical payments (such as rent or rates);
iv) petty cash purchases; or
v) such other exceptions as the Chief Finance Officer may approve

If there is any doubt over whether a purchase order is required the Chief Finance Officer will confirm the requirements.

6.3.3 No official order shall be issued unless the rules regarding the obtaining of quotations/tenders in accordance with Contract Procedure Rules, (Part 4) of this Constitution, have been followed.

6.3.5 Verbal orders should only be given in emergencies and must be confirmed immediately by an official order, clearly marked 'Confirmation of an order issued verbally'. Personal credit cards can only be used in exceptional and justifiable circumstances and with prior authorisation of the Chief Finance Officer.

6.3.6 All orders shall specify the nature and quantity of the work, goods or services required, shall include all relevant expenditure (including freight/delivery) and shall specify the relevant contract and agreed or estimated price excluding Value Added Tax.

6.3.7 Each purchase order must be authorised by an authorising officer up to their agreed authorised limit. Before authorising purchase orders (or otherwise committing expenditure) authorising officers should ensure that sufficient budgetary provision is available.

6.3.8 Any purchases undertaken as part of a corporate procurement card scheme shall be in accordance with the instructions issued. Purchase orders are not required for

procurement cards.

6.3.9 No financial loan, leasing or hire purchase arrangement (with the exception of land and property) may be entered into without the express permission of the Chief Finance Officer.

6.3.10 Under no circumstances may individual employees use the Council's ordering or payments systems for personal use or benefit.

6.3.11 Assistant Directors shall ensure that, where construction maintenance works are undertaken, the contractor fulfils necessary Construction Industry Tax Scheme requirements.

6.4 Payment of Accounts

6.4.1 The Chief Finance Officer shall be responsible for making safe and efficient arrangements for all payments.

6.4.2 The primary method of payment of funds due from the Council is by BACS payment drawn on the Council's bank account by the Chief Finance Officer. In exceptional circumstances other forms of payment e.g. CHAPS/faster-payment/direct debit/standing order may be used with the agreement of the Chief Finance Officer.

6.4.3 Each Assistant Director shall be responsible for ensuring that prior to purchase orders for goods and services being confirmed as being goods received (or on occasions invoices being authorised for payment) the examination, verification and certification of the receipt of all goods and services under his/her control is in line with the original purchase order or subsequent amendments. He/she shall satisfy him/herself that robust procedures exist to ensure that;

i) the goods, works or services mentioned have been received, examined and approved as to quality and quantity and are in accordance with the order and/or subsequent correspondence;
ii) the relevant expenditure has been properly incurred, and is within the relevant budget;
iii) appropriate entries have been made in inventories, stores records or stock books as required;
iv) the account has not previously been passed for payment and is a proper liability of the Council;

Where the invoice received differs from the official purchase order or amounts certified as received, then they shall ensure that;

i) the price charged is correct and in accordance with any accepted quotation or contract and that all appropriate allowances, discounts and credits have been deducted, and that the invoice is arithmetically accurate;

6.4.3 Statements shall not be paid but should be passed to the Chief Finance Officer for review and reconciliation. Scanned or photocopied documents shall not be passed for payment unless endorsed by the authorising officer stating that the original is not,

and is unlikely to become, available. If this is the case scanned or photocopied documents must be of sufficient quality to be processed.

6.4.4 Each order, goods receipt confirmation and/or invoice shall be authorised by the authorising officer up to their agreed authorised limit.

6.4.5 Assistant Directors must ensure that invoices for payment are dealt with promptly in accordance with any contract conditions, late payment legislation and performance criteria. Priority is to be given to invoices subject to a discount for prompt payment. On confirmation the purchase orders have been goods receipted or if required invoices have been authorised for payment, the invoices will be processed by the Chief Finance Officer for payment without delay.

6.5 Payment for Salaries and Wages

6.5.1 The payment of all salaries, wages, compensation and other emoluments to all employees or former employees of the Council shall be made by the City Solicitor under secure and reliable arrangements approved by the Chief Finance Officer.

6.5.2 Assistant Directors and the City Solicitor will ensure that appointments of all employees are made in accordance with the Procedure Rules of the Council.

6.5.3 Assistant Directors shall notify the City Solicitor as soon as possible, complying with deadlines set down for payroll processing and in the form prescribed by him/her, of all matters affecting the payment of such emoluments, and in particular:-

i) appointment, resignations, dismissals, suspensions, secondments and transfers;
ii) absences from duty for sickness or other reason, apart from approved leave (via the appropriate admin team);
iii) changes in remuneration, other than normal increments and pay awards and agreements of general application; (e.g. honorarium, accelerated increments, regradings etc)
iv) information necessary to maintain records of service for superannuation, income tax, national insurance and the like.
v) all employees in receipt of taxable benefits;
vi) additional work such as overtime.

6.5.4 All time records or other pay documents shall be in the form prescribed by the Chief Executive and approved by the Chief Finance Officer and shall be certified by an authorising officer.

6.5.5 Assistant Directors must ensure that all pay transactions are processed through the payroll system. They must, in particular, seek advice from the City Solicitor on the employment status of potentially self-employed individuals or sub- contractors.

6.5.6 The City Solicitor shall implement all nationally agreed pay and related awards immediately.

6.6 Payments of officer's travel and subsistence

6.6.1 All claims for payment of car allowances, subsistence allowances, travelling and incidental expenses in relation to the performance of official duties shall be submitted via the system prescribed by the City Solicitor and approved by the Chief Finance Officer and submitted in accordance with such timescales as he/she may determine.

6.6.2 All claims for payment shall be certified by an authorising officer. Such certification shall be taken to mean that the authorising officer is satisfied that the journeys were authorised, the expenses properly and necessarily incurred and that the allowances are properly payable by the Council.

6.6.3 Irrespective of the method of claim or method of payment, all expenses for car allowances, subsistence allowances, travelling and incidental expenses shall be in accordance with the rates and scales set out in the HR Handbook as updated from time to time.

6.7 Payments to Member's or Independent Persons for Travel, Subsistence and Allowances

6.7.1 Payments to Members, including co-opted Members of the Council or its committees, or independent persons who are entitled to claim travelling or other allowances, will be made by the City Solicitor upon receipt of the prescribed form duly completed. All claims for a financial year are to be submitted in accordance with the Members' Allowance Scheme.

6.7.2 All issues relating to the payment of Members' allowances and including the keeping of records and publication of amounts claimed, shall be in accordance with the Council's Members' Allowance Scheme extant at that time as any relevant legislation.

6.7.3 The City Solicitor shall determine which duties of Members should qualify for payment in accordance with the Members' Allowance Scheme. Any other payments will require approval by the Executive.

7. INCOME

7.1 Fees and Charges

7.1.1 All fees and charges to be made for Council services shall be reviewed at least annually by the Assistant Directors. Such fees and charges shall be submitted by the Chief Finance Officer to the full Council for approval as part of the Medium Term Financial Strategy.

7.1.2 Proposals for new fees and charges should normally be considered as part of the Medium Term Financial Strategy. Where this is not possible then the Assistant Director, in conjunction with the Chief Finance Officer shall submit a report to the Executive for approval of the new fees and charges. Reasonable notice should be given to service users to consult on the fees, before any new charge is implemented, together with clear advice on any discounts or concessions that will be available.

7.1.3 Any fees and charges regulated by statute shall be implemented on the due date without requiring approval or consultation with service users.

7.1.4 In respect of services where fees and charges apply or may apply in circumstances where services are obliged through regulations to achieve cost recovery or where other market led factors influence the service and its charging structure, the relevant Assistant Director has the discretion to amend the set fees and charges by +/- 50%, after consulting with the Chief Finance Officer and relevant Portfolio Holder. Such an occurrence shall be reported by the Assistant Director to full Council at the earliest opportunity.

7.2 Collection of Income

7.2.1 The collection of all money due to the Council shall be under the supervision of the Chief Finance Officer who shall ensure adequate arrangements are maintained for;

i) the financial organisation and accounting necessary to ensure the proper recording of all sums due to the Council, and;
ii) the collection, custody, control, disposal and prompt accounting of all cash in all Directorates and establishments of the Council and any bodies acting on the Council's behalf.

7.2.2 Each Assistant Director shall arrange for accounts to be raised promptly in respect of charges for work done or goods or services supplied and for rendering such accounts to the debtors concerned, along with required supporting documentation. Such accounts will be in a form specified by the Chief Finance Officer.

7.2.3 Assistant Directors shall promptly notify the Chief Finance Officer of contracts, leases and other agreements and other arrangements entered into which involves the receipt of money by the Council.

7.2.4 The Council does not accept cash except where this is unavoidable and approved by an Assistant Director. Any cash received must be acknowledged by the issue of an official receipt.

7.2.5 All official receipt forms, books or similar items shall be in a form approved by the Chief Finance Officer.

7.2.6 All official receipt forms, books or similar items shall be ordered, controlled and issued only by the Chief Finance Officer and be in his/her custody, except where he/she may approve otherwise. A register shall be kept of all receipts and issues of such documents and each issue shall be acknowledged by the signature of the recipient.

7.2.7 Assistant Directors shall ensure that cash etc collected by an employee shall not be left unsecured in the absence, for any reason, of the employee from the point of collection. Where a collection point is left unattended, all cash must be put in secure conditions.

7.2.8 Every transfer of official money from one member of staff to another will be evidenced in the records of the departments concerned by the signature of the receiving officer.

7.2.9 Assistant Directors shall ensure that any shortages of cash collected shall be notified immediately to the Chief Finance Officer and Internal Audit to determine the nature of any action to be taken and to effect compliance with these Procedure Rules.

7.2.10 Personal cheques shall not be cashed out of the money held on behalf of the Council.

7.2.11 Each employee receiving income shall balance his/her collections at least daily and pay them to the Chief Finance Officer, the bank (either directly or via authorised collectors) or another officer nominated by the Chief Finance Officer in accordance with the instructions specified by the Chief Finance Officer . These payments in must be properly coded and any VAT properly accounted for. No deduction may be made from such money save to the extent that the Chief Finance Officer may specifically authorise.

7.2.12 The Chief Finance Officer shall arrange for prompt banking of monies received by him/her.

7.2.13 Each officer who banks money (either directly or via authorised collectors) shall enter on the paying-in slip a reference to the related debt (such as the receipt number or the name of the debtor) or otherwise indicate the origin of the cheque; on the reverse of each cheque, the officer shall enter the name of his/her directorate, office or establishment.

7.2.14 As per paragraph 7.2.4 above the Council does not accept cash payments except where this is unavoidable. In those unavoidable instances, in accordance with the Council's Anti-Money Laundering policy, payment to the Council can be accepted if it is in cash and does not exceed a specified limit (currently £2,000). The receipt of cash payments over £2,000 requires the prior authorisation of the Chief Executive, City Solicitor or Chief Finance Officer.

7.2.15 Electronic payments will be implemented on a service-by-service basis wherever this can be done so efficiently. Whenever possible this will be through a means that is without human intervention in the process such as through the online secure web

pages or by automated telephone payments. All monies received through such methods shall be subject to the specific instructions concerned and shall comply with the Payment Card Industry Data Security Standards (PCIDSS). This requirement to comply with PCIDSS extends to any third parties/contractors working on behalf of the Council

7.3 Writing off bad debts

7.3.1 The Chief Finance Officer shall generally administer the recovery of all income due to the Council, including taking appropriate proceedings in court. With exception of the delegation to the City Solicitor to settle all legal proceedings in consultation with the relevant instructing officer.

7.3.2 The authority to write out debts shall be as follows and exercised only where the debt is deemed uncollectable by virtue of the bankruptcy or liquidation of the debtor, the debt being statute barred or the absence of further remedies being available such as following a committal hearing or a deceased debtor with no estate or where the debt is deemed irrecoverable or uneconomic to pursue:

i) not more than £5,000 for any one debtor in respect of any one financial year – authorisation required by Chief Finance Officer, City Solicitor or the Head of Shared Revenues and Benefit Service.

ii) following a report to and the approval of the Executive in respect of debts over £5,000.

7.3.3 Where authorisation exists to write out a debt, the Chief Finance Officer may seek to mitigate the loss to the Council by selling the debt or passing it to an agency on a commission basis. Nothing in these Procedure Rules shall preclude the passing of a debt to an agency where either the debtor becomes liable for those costs or there is provision in the budgets or provisions to meet such costs. Nothing in these Procedure Rules shall preclude "technical" write-offs necessary to correct any account raised in error.

7.3.4 The authority to reinstate previously written off debts upon receipt of outstanding amounts shall be as follows:

iii) Reinstatement of debts up to £5,000 - authorisation required by Chief Finance Officer, City Solicitor or the Head of Shared Revenues and Benefit Service.

i) Reinstatement of debts over £5,000 – authorisation required by the Chief Finance Officer

8. Taxation

8.1 The City Solicitor shall be responsible for accounting to the HM Revenue's & Customs for all tax deducted from employees' emoluments under the PAYE arrangements.

8.2 The Chief Finance Officer shall be responsible for accounting to the appropriate agency for all other forms of taxation payable to or by the Council and for supplying to such agencies such other information as they may validly require.

8.3 The Chief Finance Officer may require from any employee of the Council such information as is necessary for fulfilment of the Council's obligation under this Procedure Rule. Assistant Directors shall be responsible for reporting taxable benefits (e.g. un-badged uniforms), which their staff may have received to the Chief Finance Officer in accordance with the timescales and procedures laid down by him/her.

8.4 Any purchase which is taxable under VAT Procedure Rules, whether or not the purchase price includes an element of VAT, shall be paid for only on receipt by the Chief Finance Officer of a suppliers invoice complying with VAT Procedure Rules or a written guarantee that an authenticated VAT receipt will be issued. Under no circumstances will VAT be payable on cheque requisition forms unless authorising officers have sought an authenticated VAT receipt.

8.5 Authorised officers accounting for income must ensure that the correct VAT is charged. Liability is determined by the type of organisation being charged and the nature of the service provided.

8.6 Assistant Directors should have regard to the provision of the Construction Industry Scheme (CIS) and should ensure that all payments which may incur a liability under this scheme are passed directly to the Chief Finance Officer for payment.

9. Resources and Asset Management

9.1 Banking Arrangements

9.1.1 All arrangements concerning banking services, including the opening, closing and operation of the Council's bank accounts shall be made solely upon direction of the Chief Finance Officer.

9.1.2 Cheques and other instruments drawn on the Council's banking accounts shall bear the facsimile signature of the Chief Finance Officer or be signed by the Chief Finance Officer or other officer authorised to do so in the bank mandate. The Chief Finance Officer will authorise the inclusion of specific officers on the bank mandate (to be at a minimum of Assistant Director level).

9.1.3 All such cheques and instruments shall be ordered only on the authority of authorised signatories and the Chief Finance Officer shall make proper arrangements for their safe custody.

9.1.4 The Chief Finance Officer shall authorise the establishment of all standing orders and direct debits.

9.1.5 The Chief Finance Officer shall maintain a list of all Council procurement cards issued and their holders. The Chief Finance Officer will authorise the issue of any new cards, the withdrawal of existing cards and provide operating guidance.

9.1.6 Card holders shall be personally responsible for the security of cards and for ensuring compliance with guidelines for their use, which shall include the requirement that procurement cards may only be used for Council business and in no circumstances used for personal purposes.

9.2 Investments, Borrowings and Trust Funds

9.2.1 The Council has adopted CIPFA's "Code of Practice for Treasury Management in Local Authorities".

9.2.2 The Council shall determine a Treasury Management Policy setting out its strategy and procedures for Treasury Management and set the Council's Prudential Indicators. The policy shall be reviewed once a year and completed in accordance with the budget timetable.

9.2.3 All money in the Council's possession shall be aggregated for the purposes of Treasury Management and shall be under the control of the Chief Finance Officer.

9.2.4 All Executive decisions on borrowing, investment or financing shall be delegated to the Chief Finance Officer or through him/her to his/her staff who shall all be required to act in accordance with current statutory requirements, professional guidelines and the Treasury Management Policy extant at the time of the transaction.

9.2.5 The Chief Finance Officer shall report to the;

i) Executive no less than twice in each financial year on the activities of the

Treasury Management operation and on the exercise of Treasury Management powers delegated to him/her. One such report shall comprise an Annual Treasury Management Stewardship and Prudential Indicators Report for presentation by 30 June of the succeeding financial year.

ii) Performance Scrutiny Committee no less than twice a year on the activities of the Treasury Management operation. Including, as a minimum, a mid-year review and an annual report after its close, in the form prescribed in its Treasury Management Practices.

iii) Audit Committee on an annual basis on the treasury management strategy before approval by the Executive and full Council.

9.2.5 Responsibility for the implementation and regular monitoring of the Treasury Management policies and practices is delegated to the Performance Scrutiny Committee.

9.2.6 The Audit Committee is responsible for ensuring effective scrutiny of the treasury management strategy and policies.

9.2.7 All borrowings, investments and trust funds shall be made in the name of the Council.

9.2.8 The Chief Finance Officer shall act as a registrar of mortgages, stocks, shares and bonds, whilst appropriate arrangements shall be made for other securities.

9.2.9 All trust funds shall, wherever possible, be in the name of the Council and Officers acting as trustees by virtue of their official position shall deposit all securities, etc., relating to the trust with the City Solicitor unless the deed otherwise provides.

9.2.10 The Chief Finance Officer shall arrange, where funds are held on behalf of third parties, for their secure administration and to maintain written records of all transactions.

9.2.11 The Chief Finance Officer shall ensure that trust funds are operated within any relevant legislation and the specific requirements for each trust.

9.3 Floats and Imprest Accounts

9.3.1 The Chief Finance Officer may establish and provide such imprest accounts and cash float holdings and in such a form as he/she deems appropriate.

9.3.2 The Chief Finance Officer shall maintain a list of all Council imprest accounts and cash float holdings issued and their signatories.

9.3.3 No income received on behalf of the Council may be paid into an imprest account but must be banked or paid to the Council as provided elsewhere in these Procedure Rules.

9.3.4 Payments shall be limited to minor items of expenditure up to a general individual limit of £50 and to such other items as the Chief Finance Officer may approve and shall be supported by a receipted voucher to the extent that the Chief Finance Officer may require. A VAT receipt should be obtained where possible.

9.3.5 Each imprest holder shall maintain an approved record of the sum received and disbursements made and shall produce the record and cash for checking on demand by the Chief Finance Officer or his/her representative.

9.3.6 Claims for reimbursement are completed by each imprest holder. The vouchers are attached to the claim certified by an authorising officer, and submitted to the Chief Finance Officer at such intervals as the Chief Finance Officer determines.

9.3.7 On leaving the employment of the Council or otherwise ceasing to be entitled to hold an imprest account, an Officer shall account to the relevant Assistant Director for the amount advanced to them

9.4 Unofficial Funds

9.4.1 The Council will not as a general rule supervise the financial administration of unofficial funds and will not in the course of normal business audit them. It accepts no liability whatsoever for any loss however caused. Those operating such funds therefore have an overall responsibility to ensure that proper financial stewardship is observed. This should include ensuring that:-

i) a Treasurer and an independent auditor are formally appointed;
ii) proper rules are operated to secure adequate standards;
iii) adequate records and procedures are maintained;
iv) regular reports on fund transactions and balances are received and checked against bank statements;
v) annual statements of income and expenditure and fund balances are prepared and audited.

9.4.2 Those operating or intending to operate such funds are also required to:

i) notify the Chief Finance Officer of details of the fund as soon as this is set up;
ii) provide an independent audit certificate for the fund on an annual basis.

9.4.3 The Chief Finance Officer reserves the right to inspect the accounts and records of such funds as necessary.

9.5 **Asset Registers and Inventories**

9.5.1 The Chief Finance Officer shall maintain an Asset Register, in such a form to record sufficient details to meet the requirements of the Code of Practice on Local Authority Accounting in respect of capital accounting, for all non-current assets with a value in excess of £10,000.

9.5.2 The Chief Finance Officer and the Assistant Director of Housing shall be responsible for ensuring that the Corporate Asset Management Plan and the HRA Asset Management Plan (respectively) under his/her control are up to date and provide the corporate framework for a coordinated approach to asset management within the Council.

9.5.3 In particular the Chief Finance Officer:-

i) will maintain a terrier of all properties owned by the Council recording the holding service, purpose for which held, location, extent and plan reference, purchase details, particulars of nature of interest and rents payable and review periods and particulars of tenancies granted;
ii) shall hold and regulate access to all title deeds to land and property owned by or mortgaged to the Council and shall hold the Council's seal.

9.5.4 Assistant Directors shall be responsible for maintaining an inventory if all items under their control with a replacement value in excess of £250, but including electrical and photographic equipment, that do not form part of the Asset Register modules or subsidiary records. Such inventories shall be in a form determined by the Chief Finance Officer.

9.5.5 The Assistant Director of Strategic Development shall be responsible for maintaining a central inventory of computer equipment.

9.5.6 Asset records and inventories are to be checked by Assistant Directors annually to ensure;

i) that new items are entered,
ii) that items are present; and
iii) any deficiencies are either accounted for or investigated without delay.

9.5.7 Each Assistant Director is responsible for maintaining proper security at all times for buildings, furniture, equipment, stocks, stores, cash and other valuable resources or assets under his/her control. All valuable resources must be locked away wherever possible to reduce the risk of theft. Buildings must be kept secure, well maintained and, where appropriate, access must be restricted. He/she shall consult promptly with the Chief Finance Officer in any case where security of cash or assets is thought to be defective or where it is considered that special security and/or safety arrangements may be needed.

9.5.8 The Council's vehicles, plant and equipment shall not be removed otherwise than in accordance with the ordinary course of the Council's business or used otherwise than for the Council's purposes except in accordance with specific directions issued by the Chief Officer concerned.

9.5.9 A loss of any asset of any kind must be reported to the Chief Finance Officer and Internal Audit Manager.

9.5.10 Guidance on asset disposal is included within section 9.7.

9.6 Stocks and Stores

9.6.1 Each Assistant Director shall be responsible for the custody, control and recording of stores in his/her department. He/she shall keep such records of stocks in a form approved by the Chief Finance Officer.

9.6.2 The Chief Finance Officer in conjunction with the Assistant Director concerned shall determine the method to be employed in the valuation of stocks and stores

9.6.3 Each Assistant Director shall undertake a regular system of stocktaking, and at least annually, to ensure that:-

i) deficiencies or surpluses are detected promptly,
ii) obsolete and redundant stock is revealed, and
iii) year end stocks can be ascertained accurately and promptly.

9.6.4 The Chief Finance Officer shall be entitled to receive from each Assistant Director such information as he/she or she requires in relation to stores for the accounting, costing and financial records.

9.6.5 The Chief Finance Officer may, after investigation, authorise the writing off of deficiencies and/or obsolete stores where he/she is satisfied as to the cause.

9.6.7 Guidance on the disposal of surplus materials, stores or equipment is included within section 9.7.

9.7 Disposal of Items of Inventory, Stocks and Stores

9.7.1 The procedures contained in section 9.7 apply to the disposal of surplus goods, equipment, stocks and stores but do not apply to the sale in the ordinary course of business of any article or publication the price of which has been fixed by the Council.

9.7.2 Where the actual or estimated value of the goods to be sold is less than £10,000 the relevant Assistant Director may approve the disposal and may decide the procedure to be adopted. The Assistant Director must establish if the goods could be used in the Directorate or elsewhere in the Council and consider whether any of the following methods are considered appropriate:

i) use of an appropriate selling agent/organisation
ii) offered for sale to employees and Members on the basis of the highest bid
iii) use of the Council's Ebay Account (subject to final approval of parameters)
iv) any of the disposal methods as set out in 9.7.4

If the item has no remaining value, its removal from the premises by an appropriately qualified contractor should be arranged.

9.7.3 Goods of an actual or estimated value exceeding £10,000 must be disposed of in one of the following ways, as determined most appropriate by the Assistant Director:

i) by public tender;
ii) by public auction; provided that a reserve price has been fixed by the authorised person or body in advance and the consideration obtained is equal to or more than the reserve price;
iii) by "trading in" goods at the best price obtainable against the purchase of other goods on behalf of the Council;

iv) by exchange, where authorised by the Assistant Director, for goods or works, subject to monetary adjustments as appropriate;
v) by treating with not less than 3 bona fide prospective purchasers;
vi) by sale to another local or public authority;
vii) in accordance with a statutory requirement or procedure.
viii) by sale in accordance with any other procedure approved by the Council or the Executive.

9.7.4 A record must be kept of the method of sale, price obtained, and the name and address of the purchaser. Where competitive prices have been sought, a record must be kept of the offers received and of the names and addresses of the persons making those offers.

9.7.5 The Chief Finance Officer shall be notified of the disposal of all goods and equipment, including stocks and stores. Assistant Directors are responsible for ensuring any inventories and records of stocks and stores they hold are updated to reflect the disposal of goods and equipment.

9.7.6 The receipt of any income from the disposal of goods, equipment, stocks and stores shall be treated as a capital receipt if it is in excess of £10,000, below this threshold it will be treated as revenue income for the relevant service area.

9.8 Acquisition and Disposal of Land and Buildings

9.8.1 Authority for any land and buildings acquisition must be sought through the Executive, with the recommendation of the Strategic Property Manager and in consultation with the Chief Finance Officer.

9.8.2 All acquisitions and interests in land and buildings must be negotiated through the Strategic Property Services Manager:

i) by private treaty;
ii) by tender;
iii) at auction, provided that the maximum price to be paid has been fixed by the Chief Finance Officer in advance and is not exceeded.

9.8.3 All disposals of land and buildings must be authorised by the Executive or a sub-committee authorised by the Executive, on the recommendation of the Strategic Property Manager and in consultation with the Chief Finance Officer

9.8.4 The Strategic Property Manager may enter into a contract for the disposal of any interest in the land and buildings;

i) by public tender;
ii) by public auction, provided that a reserve price has been fixed by the authorised person or body in advance and the consideration obtained is equal to or more than the reserve price;
iii) by exchange, where authorised by the Council or the Executive, for goods, works or land, subject to monetary adjustments as appropriate;
iv) by treating with one or more prospective purchasers, lessees or licensees

v) by sale to another local or public authority;
vi) in accordance with a statutory requirement or procedure;
vii) by sale in accordance with any other procedure approved by the Council or the Executive.

9.8.5 The City Solicitor will be responsible for the completion of all deeds and legal agreements relating to the acquisition and disposal of any interest in land and buildings, in accordance with the Council's scheme of delegation.

9.9 Procedure For Disposal By Public Tender

9.9.1 Every invitation to tender must be sent out in accordance with the standard tender process as detailed in Contract Procedure Rules.

9.9.2 The Strategic Property Manager may accept the highest tender.

9.9.3 Acceptance of a tender, which is not the highest, may only be authorised by the Executive whose decision and the reasons for it must be recorded in the minutes.

9.10 Insurances

9.10.1 The Chief Finance Officer shall be responsible for deciding whether an insurable risk should be insured, how or at what level it should be insured and for negotiating all insurances of the Council using consultants or directly with insurance companies under arrangements approved by the Council or in establishing/operating an Insurance Reserve or Provision.

9.10.2 The Chief Finance Officer shall annually, or at such other period as he/she may consider necessary, review all insurances and excess levels.

9.10.3 Assistant Directors shall give prompt notification to the Chief Finance Officer of;

i) all new risks and liabilities which may require specific insurance cover or an alteration to existing insurances;
ii) all new properties, vehicles or plant that require insurance or an alteration, including revised valuations, to existing insurances;
iii) all leases of property granted by or to the Council which involve a transfer of insurance cover;
iv) all new partnership arrangements or changes to existing partnership arrangements that require insurance or an alteration to existing insurances.

9.10.4 All claims and recoveries are to be negotiated by the Council's appointed claim handler. Each Assistant Director must inform the Chief Finance Officer of any incident, e.g. any liability or damage, which could give rise to an insurance claim, immediately the notice of any such incident comes to his/her attention, in accordance with the Council's Incident Reporting Procedure.

9.10.5 Assistant Directors shall consult the Chief Finance Officer and City Solicitor with regard to the terms of any indemnity, which the Council is requested to give. No indemnity is to be given without the written consent of the City Solicitor.

9.10.6 Assistant Directors are responsible for ensuring that no employee shall admit liability nor offer any payment of compensation that may prejudice the Council's liability in respect of any future claim.

9.10.7 All appropriate employees of the Council shall be included in suitable fidelity guarantee insurance whilst carrying out duties directly connected with their employment as a Council officer undertaking official business of the Council.

9.10.8 All of the above shall be done in the context of the Council's Risk Management Policy.

10. EXTERNAL ARRANGEMENTS

10.1 Partnerships

10.1.1 The Chief Finance Officer will ensure that the accounting arrangements adopted in relation to partnerships and joint ventures are subject to financial control procedures that reflect those of the Council, legislative requirements and other professional guidance. Partnerships include;

i) services provided by private sector and community and voluntary sector partners;
ii) shared services with other public bodies, including section 75 agreements entered into under the Health Act 2003 or similar arrangements;
iii) where the Council becomes the accountable body under legislation or the terms of a grant;
iv) any other partnerships involving a sharing of resources or risk and reward.

10.1.2 Assistant Directors must ensure that partnerships involving the Council are entered into or set up in accordance with the corporate guidance. This includes the responsibility to take appropriate professional advice (including financial, legal and procurement) when entering into partnership arrangements and to ensure that the impact of any such arrangements in terms of risk or financial standing are identified and considered by the Executive and the Council as appropriate. This includes:

i) governance arrangement for the partnership;
ii) risk management and risk sharing arrangement;
iii) performance and financial management/monitoring arrangements;
iv) financial administration, cash management and accounting arrangements;
v) pensions risk;
vi) taxation implications;
vii) human resources implications;
viii) the transfer of assets and liabilities;
ix) insurance arrangements.
x) ICT implications

10.1.3 Assistant Directors shall also ensure that;

i) such partnerships do not adversely impact upon services provided by the Council;
ii) all contracts are properly documented in a form approved by the City Solicitor; and
iii) all appropriate information is provided to the Chief Finance Officer to enable a note to be entered into the Annual Statement of Accounts.

10.2 External Funding

10.2.1 The Chief Finance Officer must be consulted on and approve all submissions to Central Government and other agencies for funding. Prior to making any submission in relation to external funding, Assistant Directors must ensure that:

i) an exit strategy is identified to manage the ultimate cessation of the funding stream with no adverse impact on the Council, including any ongoing revenue implications;
ii) any match funding requirements are given due consideration prior to entering into agreements and that future revenue budgets reflect these requirements; and
iii) they are able to comply with the terms and conditions of a grant scheme, including auditor certification requirements, before accepting them.

10.2.2 Assistant Directors must seek approval from the Chief Finance Officer before accepting any offer of funding from external bodies.

10.2.3 Assistant Directors are responsible for ensuring that all expenditure to be funded by grant is properly incurred in accordance with the requirements and conditions of the funding body, and is supported by adequate evidence.

10.2.4 Assistant Directors are responsible for ensuring the completion and submission of grant claims. Officers must also ensure that grant claims comply with the requirements and grant conditions of the funding body, are submitted promptly, and supported by adequate evidence.

10.3 Providing Services to Third Parties

10.3.1 No tender or quotation for any contract for the execution of works or provision of services by the Council may be submitted, or any such contract entered into, without first consulting the Chief Finance Officer and the City Solicitor

10.3.2 If either the Chief Finance Officer or City Solicitor object to any proposal to enter into a such a contract, then no authorised person or body other than the Executive may approve the submission of a tender or quotation or enter into such a contract.

10.3.2 All proposals to submit a tender or quotation shall consider;

i) governance arrangements for the contract;
ii) risk management and risk sharing arrangements, including the risk of service failure;
iii) financial administration, cash management and accounting arrangements;
iv) pensions risk;
v) taxation implications;
vi) human resources implications;
vii) the transfer of assets and liabilities;
viii)insurance arrangements.

Assistant Directors shall also ensure that;

i) the contract is not subsidised by the Council;
ii) the service has the appropriate expertise to undertake the contract;
iii) such contracts do not adversely impact upon services provided for the Council;
iv) all contracts are properly documented in a form approved by the City

Solicitor; and

v) all appropriate information is provided to the Chief Finance Officer to enable a note to be entered into the Annual Statement of Accounts.

11. LOCAL AUTHORITY COMPANIES

11.1 Where consideration is being given to the establishment of a local authority company or involvement in other companies the relevant Chief Officer must consult the Chief Finance Officer and the City Solicitor on all aspects of the proposal, at the earliest possible time, prior to seeking approval from the Executive.

11.2 The relevant Chief Officer, in consultation with the Chief Finance Officer and City Solicitor is responsible for:

i) preparing a detailed business case and business plan for the establishment of any trading organisation in accordance with relevant legislation and following best practice. The business plan must include full financial projections for the profit and loss account, balance sheet, cash flow statement. The business case must address the full financial implications and risks to the Council of establishing a trading company;
ii) ensuring that proposals for trading activities are not ultra vires and have Executive approval before the company is established or any contract with a third-party to establish a trading company is entered in to;
iii) ensuring that they have acquired the necessary expertise to establish the trading company and that its establishment does not adversely impact on the services provided for the Council;
iv) determining the appropriate form of company that should be established and that as appropriate, the articles of association of the trading company and any shareholders' agreement ensure that the Council can exert the appropriate degree of control over the trading company as shareholder;
v) ensuring that the trading company is not subsidised by the Council and that all services, officer time and other support provided to the company is charged to the company in accordance with the CIPFA Service Reporting Code of Practice;
vi) any contract drawn up between the trading company and the Council addresses risks to the Council;
vii) seeking and acting upon appropriate financial, legal and taxation advice in establishing a trading company.

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Part 2 Articles of the constitution

ARTICLE 4 - The Full Council

4.1 Meanings

(a) Policy Framework

The policy framework means the following plans and strategies together with any further plans and strategies which the Council expressly resolves should form part of the policy framework:

- Council Strategic Plan and delivery plan
- Strategic Plan Annual Report
- Lincoln Growth Strategy
- Crime and Disorder Reduction Strategy
- Licensing Authority Policy Statement
- Local Development Framework
- ICT/Transformation Strategy
- Workforce Development Strategy
- Equality Objectives

(b) Financial Framework

The Financial Framework means the following plans and strategies:-

- Medium Term Financial Strategy
- Capital Strategy
- Asset Management Plan
- Treasury Management Strategy

The setting of the budget includes the allocation of financial resources to different services, projects, and contingency funds, calculating the council tax base, setting the council tax, setting the housing rent levels and decisions relating to the control of the Council's borrowing requirements, the control of its capital expenditure, and the setting of virement limits.

Part 3 responsibilities for functions

19	To write off irrecoverable amounts below £5000 in respect of outstanding Council Tax, Business Rates, the Business Improvement District Levy, Sundry Debtors, Housing Benefit Overpayments, Current Rent and Former Tenants Arrears for any of the following reasons:- a) bankruptcy, liquidation or insolvency b) whereabouts of the debtor unknown c) the debtor has deceased and there are no funds available to pay the outstanding debt d) debts are out of time e) small balances which are uneconomic to collect

25	To dispose of land provided that: (a) The relevant land has been declared surplus to the Council's requirements by the Executive or a sub committee thereof (b) the disposal is certified by a Fellow or Associate of the R.I.C.S. as being for the best consideration (c) the disposal is carried out in accordance with the requirements of t Procedure Rules

33	To negotiate terms to take a lease or licence ~~or to acquire the freehold~~ of land or premises where a service need has been identified and budgetary provision made.	**Strategic Property Manager**
34	To negotiate terms to acquire the freehold of land or premises where Executive approval has been sought.	**Strategic Property Manager**

~~1.15 to approve fees and charges for any service item for which no fee and charge has been fixed by the Council~~