

## EXECUTIVE

**Wednesday, 29 August 2018****6.00 pm****Committee Room 1, City Hall**

Membership: Councillors Ric Metcalfe (Chair), Donald Nannestad (Vice-Chair), Jackie Kirk, Rosanne Kirk, Neil Murray and Fay Smith

Officers attending: Angela Andrews, Democratic Services, Kate Ellis, Jaclyn Gibson, Simon Walters and Carolyn Wheeler

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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.	
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You are asked to resolve that the press and public be excluded from the meeting during the consideration of the following items because it is likely that if members of the press or public were present, there would be disclosure to them of 'exempt information'.

In accordance with the Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012, notice is hereby given of items which will be considered in private, for which either 28 days' notice has been given or approval has been granted by the appropriate person specified in the Regulations. For further details please visit our website at <http://www.lincoln.gov.uk> or contact Democratic Services at City Hall, Beaumont Fee, Lincoln.

This item is being considered in private as it is likely to disclose exempt information, as defined in Schedule 12A of the Local Government Act 1972. No representations have been received in relation to the proposal to consider this item in private.

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**SECTION B**

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**REMARKABLE PLACE**

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9. Street Scene Contract Renewals

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**[Exempt Para(s) 3]**

**Present:** Councillor Ric Metcalfe (*in the Chair*),  
Councillor Donald Nannestad, Councillor Jackie Kirk,  
Councillor Rosanne Kirk, Councillor Neil Murray and  
Councillor Fay Smith

**Apologies for Absence:** None.

**22. Confirmation of Minutes - 2 July 2018**

RESOLVED that the minutes of the meeting held on 2 July 2018 be confirmed.

**23. Declarations of Interest**

No declarations of interest were received.

**24. Statement of Accounts 2017/18**

Purpose of Report

To present the Statement of Accounts for the financial year ended 31 March 2018, together with a short summary of the key issues reflected in the statutory financial statements.

**Decision**

That the report be noted and referred to Full Council for approval.

Alternative Options Considered and Rejected

None.

Reason for Decision

The Statement of Accounts for 2017/18 provided a comprehensive picture of the Council's financial circumstances and were compiled to demonstrate probity and stewardship of public funds.

The Council was statutorily required to publish its Statement of Accounts for 2017/18 with an audit opinion and certificate by no later than 31 July 2018. It was noted that the Statement of Accounts for 2017/18 had been subject to external audit.

The Council had to make the Statement of Accounts available for public inspection for 30 working days. Following notification from the external auditors this ran from 1 June 2018 to 12 July 2018 and the external auditor was available to answer questions during this period. No questions had been received.

The Council was also required to provide a documented annual review of the effectiveness of its governance arrangements, which sat alongside the Statement of Accounts. The overall level of assurance provided for 2017/18 was high and in line with the Council's Code of Corporate Governance. There was one defined significant issue carried over from the previous year that had not yet reached

completely acceptable levels of performance, with related to Information Management. This would remain a focus in 2018/19 and would be regularly reported by management to the Audit Committee.

A summary of the accounts for 2017-18, together with the draft Statement of Accounts for the year ended 31 March 2018 were appended to the report. An additional disclosure had been requested in the Statement of Accounts as reflected in a supplement in relation to financial liabilities.

The Audit Committee had considered the Statement of Accounts at its meeting on 19 July 2018 where it was reported that the accounts were in a clean bill of health and were set to receive, subject to final outstanding audit work, an unqualified audit opinion. An amount of £80,000 was required as an adjustment but would not be made to the 2017/18 accounts and would be rolled over to the following year. This would be included in the letter of representation to the Council's external auditors.

Councillor Ric Metcalfe congratulated the Chief Finance Officer and her team on an excellent statement.

## **25. Human Resources Policies**

### Purpose of Report

To seek approval of the Council's Substance Misuse Policy, Transgender Policy and updates to the Grievance Policy.

### **Decision**

That the Council's Substance Misuse Policy, Transgender Policy and updates to the Grievance Policy be approved.

### Alternative Options Considered and Rejected

None.

### Reason for Decision

#### *Substance Misuse Policy*

There was a new policy which ensured that the Council recognised that substance misuse related problems were an area of health and social concern and to ensure that the Council provided adequate support to employees with such problems.

The policy also outlined the procedures and process which would be followed should an employee's conduct or capability cause work related issues brought on by consumption of alcohol or any illicit substance.

A copy of the policy was appended to the report.

#### *Transgender Policy*

This was a new policy to demonstrate that the Council was committed to ensuring that transgender employees were treated with dignity and respect and were not disadvantaged in the workplace.

The policy set out the steps the Council took to welcome and support transgender employees and prevent discrimination.

A copy of the policy was appended to the report.

#### *Grievance Policy*

Sections 5.8 to 5.10 had been added to the policy to outline the procedure for when an employee's health prevented them from participating in the grievance procedure.

Section 6.2 had been reworded to read 'The informal meeting should only consist of the manager and the employee, however if the matters involve another employee they may also be invited to attend'.

A copy of the updated policy was appended to the report.

Councillor Metcalfe said that a lot of good work was taking place in reviewing Human Resources policies such as these and welcomed this report. Members agreed that the introduction of a Transgender Policy in particular was a positive move forward for the authority.

Councillor Donald Nannestad asked how these policies would be circulated to members of staff so that they were all aware of their implications. All staff would have access to these policies and it was noted that the Human Resources Team was in the process of planning training for managers in order that knowledge of these policies could be highlighted and cascaded to all members of staff.

Councillor Jackie Kirk, in relation to the Transgender Policy, asked whether there had been any developments in respect of single sex toilets. Single sex toilets were already available by way of existing disabled facilities in the building but the Council's Facilities Management Team was aware of the need for more designated single sex facilities, which it was in the process of looking into.

## **26. Information Management Policies**

### Purpose of Report

To seek approval of the Information Management Policies required in accordance with the EU General Data Protection Regulation and the Data Protection Act 2018.

### **Decision**

That the policies appended to the report in respect of Information Management be approved.

### Alternative Options Considered and Rejected

None.

### Reason for Decision

Data protection was critical to the Council to ensure that the data which was received, processed, retained and shared was protected in accordance with the legal framework, as set out by the Data Protection Act 2018 and the EU General Data Protection Regulation.

The Council needed to have policies in place to enable the Council to be compliant with the new legal framework and the Information Governance Team needed to rollout the policies in order to increase awareness of this legal framework to officers and elected members.

The following policies and documents had therefore been developed and were appended to the report for consideration:

- the General Data Protection Regulation and Data Protection Policy;
- the General Data Protection and Data Protection Policy Summary Sheet;
- Information Governance Policy;
- Legal Responsibilities Policy;
- Information Sharing Policy;
- Data Quality Policy;
- Data Protection Breach Management Policy;
- Freedom of Information Policy and Environmental Information Regulations Policy;
- Records Management Policy;
- Retention and Disposal Policy.

These policies had been considered by the Council's Audit Committee on 19 July 2018 where it was resolved that the policies be forwarded to the Executive for approval.

Councillor Ric Metcalfe emphasised the importance of these policies from the perspective of protecting people's personal information as well as protecting the reputation of the authority. It was noted that the Council's NetConsent system would be used to provide a summary of the various policy documents to all members of staff which would not only highlight the key points but also highlight the fact that the policies had been implemented.

Councillor Metcalfe put on record his thanks to Becky Scott, Legal and Democratic Services Manager, and Sally Brooks, Data Protection Officer, for the significant amount of work they had undertaken in developing these policies.

## **27. Regulation of Investigatory Powers Act 2000 Update**

### Purpose of Report

To update the Executive on use of powers under the Regulation of Investigatory Powers Act 2000 as required by guidance issued by the Office of Supervision of Surveillance.

### **Decision**

That the report be noted.

### Alternative Options Considered and Rejected

None.

### Reason for Decision

Directed surveillance was essentially covert surveillance in places other than residential premises or private vehicles. Local authorities could not conduct 'intrusive' surveillance under the Regulation of Investigatory Powers framework. A covert human intelligence source included undercover officers, public informants and people who made test purchases. The framework allowed authorities to undertake such surveillance if permitted by the Chief Executive, who was the Council's Authorised Officer, and judicial approval was sought and obtained. The authority had policies in place to cover this process.

The Council had still not applied for, nor obtained any authorisations from the Magistrate's Court for surveillance since 2009. This was mainly due to the fact that the Council's investigations were mostly pre-planning and overt.

## **28. Business Rates Growth Policy**

### Purpose of Report

To seek approval of a City of Lincoln Business Rates Growth Policy, which aimed to provide a time limited rate relief discount to new and extended business premises within the city in the interest of building the Business Rates base, supporting economic growth and job creation.

### **Decision**

That the Executive:

- (1) Supports the proposal for a different level of discount being available depending on whether or not a business is located, or is to be located, within a Strategic Employment Site as identified within the Central Lincolnshire Local Plan.
- (2) Delegates changes to scheme parameters to the Chief Finance Officer, providing these do not fundamentally alter the principles behind this policy and continue to link into aspirations relating to the Council's Strategic Plan.
- (3) Approves the proposed Business Rates Growth Policy.

### Alternative Options Considered

None.

### Reason for Decision

Provisions under Section 69 of the Localism Act 2011 allowed all authorities to grant discretionary relief in any circumstances where the Council felt fit having regard to the effect on the Council Tax payers of its area. It was proposed that, in line with the Act, the Council adopted a policy for the discounting of Business Rates where economic benefit to the city could be evidenced.

A draft Business Rates Growth Policy, outlining further details of the proposed relief, including eligibility criteria, was included in the appendices to the report. The draft policy aimed to provide a time-limited rate relief discount to new and extended business premises within the city, in the interest of building the business rate base, supporting economic growth and job creation. Eligibility and aspects of the scheme were noted as follows:

- the ratepayer must be able to evidence that new employment floor space would be provided, and by association additional rateable value, either through new development or extension by the end of the discounted period;
- the ratepayer must be able to demonstrate that their business was of value to the city with reference to employment, economy and/or growth sector as set out in local evidence as outlined in Appendix B;
- the ratepayer must not be entitled to mandatory rate relief or relief as a non-profit making organisation or as a sports club or similar;
- discretionary rate relief would not ordinarily be granted on unoccupied premises. Consideration for this relief may, however, be given for businesses within identified priority employment areas;
- the ratepayer must demonstrate that assistance would only be required for a maximum period of three years and that their business/operation was financially viable in the medium and long term.

In order for a growth business to qualify for a discount they must apply to the Council's Major Developments Directorate. Applications would be scored by an Officer Board which would aim to meet at least quarterly, with applications judged on their merits on a case-by-case basis. Details relating to the scoring criteria were set out in paragraph 4.6 of the report.

Any award made as a local growth discount would fall as a loss on the Council's business rates collection fund. Normally 40% of the loss was allocated to the Council, however, for 2018/19 the loss would be 60% due to Lincoln being part of the pilot for 100% Business Rates retention. A factor open to the Council to ensure financial control was to place a cap on the total amount that could be awarded in any given year. It was therefore proposed that a cap of £150,000 per annum be put in place should the scheme be approved. This would equate to a loss in Business Rates of £90,000 to the Council as a consequence of 60% retention of Business Rates, compared to £60,000 in the previous year when the retention rate was 40%.

It was reported that this proposal had been considered by the Council's Policy Scrutiny Committee on 19 June 2018 where a number of comments were made which had been incorporated into this final proposal.

Councillor Metcalfe made the point that the Council had always had statutory and discretionary rate relief schemes and asked what this particular proposal was adding. It was reported that the Council's other rate relief schemes focussed, primarily, on organisations such as charities and not the business sector. This proposed policy was aimed at encouraging new businesses into the city or encouraging existing businesses within the city to grow, the aim of which was to grow the business rate base for future years.

## **29. Review of Fraud Sanction Policy**

### Purpose of Report

To seek approval of a small number of amendments to the already adopted Fraud Sanction Policy in respect of the shared Revenues and Benefits Service between the City of Lincoln Council and North Kesteven District Council.

### **Decision**

That the Executive:

- (1) Approves the proposed amendments to the Fraud Sanction Policy.
- (2) Agrees that 'minor amendments' to the Fraud Sanction Policy, such as changes in job titles or legislative changes, be delegated to officers.

### Alternative Options Considered and Rejected

None.

### Reason for Decision

The purpose of the Fraud Sanction Policy was to assist the Councils in the shared Revenues and Benefits Service in preventing and detecting fraud in a consistent, effective, efficient and equitable manner.

A copy of the amended Fraud Sanction Policy was appended to the report, with proposed amendments detailed in paragraph 3.1 of the report.

The Council's Policy Scrutiny Committee had considered this report at its meeting on 19 June 2018 where it resolved that the amendments to the Fraud Sanctions Policy be supported.

## **30. Extension of Houses in Multiple Occupation Licensing**

### Purpose

To outline the increase in workload caused by statutory legislative changes extending the mandatory licensing of Houses in Multiple Occupation from 1 October 2018 and to appraise the options for resourcing this additional work demand.

### **Decision**

That the Executive:

- (1) Approves option one as set out in the report, that the purchase of Rocktime Verso software proceeds and that a management of change for one additional establishment Housing Standards and Enforcement Officer is commenced.

- (2) That £25,000 be allocated within the General Investment Programme, funded from the Invest to Save Reserve, for the purchase of the new Verso system and that the ongoing revenue savings are used to replenish the reserve before being contributed to the Towards Financial Sustainability Programme.

#### Alternative Options Considered and Rejected

None.

#### Reason for Decision

The Council had a mandatory duty to identify and license larger Houses in Multiple Occupation. The Licensing of Houses in Multiple Occupation (Prescribed Description) (England) Order 2018 extended this duty to one and two storey Houses of Multiple Occupation from 1 October 2018. Combining intelligence of the existing licensable Houses in Multiple Occupation and the stock modelling from the British Research Establishment, it had been estimated that the total licensable properties would rise from 318 to over 900. This increase in work demands could not be accommodated within the existing housing team establishment structure.

It was proposed that, in order to manage the increase in the inspection and formal enforcement of the additional 600 properties, that a full time equivalent Housing Standards and Enforcement Officer be added to the establishment, the cost of which would be fully paid for by the additional licensing income.

At present the current administrative Houses in Multiple Occupation licensing process was time consuming and vulnerable to human error. The preferred option to address this was to purchase bespoke IT software as an invest to save initiative. The software offered an online portal for landlords to manage their licensing applications and would automate administrative processes and streamline the workload for the Council's officers, assisting with the identification of higher risk and unlicensed premises as well as maximise income.

Councillor Metcalfe understood how significant the private rented sector had become in the city and the importance of trying to maintain and improve standards. He was therefore supportive of the proposal.

Councillor Murray reiterated this point and felt that the proposal would have a positive impact for tenants in the city.

Councillor Nannestad, noting that additional licence fees should cover the additional resource implications, said that costs would need to be monitored with the situation reviewed in due course should volume be greater than anticipated.

Councillor Jackie Kirk suggested that the City of Lincoln Council's licence fees were relatively low in comparison to other local authorities, so there may be an opportunity in the future to increase the licence fee.

## **31. City Centre Intervention**

### Purpose of Report

To seek approval for the allocation of a maximum of £61,000 for a twelve month period for the purposes of commissioning a City Centre Intervention Team to build on the co-location of the Public Protection and Anti-Social Behaviour Team and City Centre Policing Team within City Hall.

### **Decision**

That the Executive approves the creation of a multi-agency team and the allocation from the Business Rates retention pilot 2018/19 monies of:

- (1) a maximum of £45,000 for an additional outreach worker for a period of twelve months;
- (2) a maximum of £5,000 as a contribution to the administrative support and general worker for the project, in partnership with Lincoln BIG;
- (3) a maximum of £11,000 for the research project delivered by Development Plus which will form the evidence base for a longer term intervention through the City Centre Strategy Group.

### Alternative Options Considered and Rejected

None.

### Reason for Decision

Evidence indicated that incidents of anti-social behaviour related to addiction to drugs and/or alcohol were increasing in the city centre area. A city-wide Strategy Group had defined a framework for intervention designed to offer support to those in need, with the objectives of the Strategy Group and the strands of activity detailed in Appendix A of the report.

The intervention framework consisted of the following three key strands of action:

- managing the demand for services;
- opening up the supply of support services;
- effective outreach and enforcement.

This report focussed on the third strand of effective outreach and enforcement with the primary objective being to encourage vulnerable clients into support, but acknowledging that intervention may be necessary for those who rejected support and continued to aggressively present in the city centre. All enforcement would be appropriate to the situation and would focus on behaviour that demonstrated criminality and harm to the community. It was emphasised that this was not a project about tackling rough sleepers, although there was some cross over in the cohort. The project was about tackling those individuals who were aggressively presenting in the city centre or causing intimidation by their behaviour.

To maximise impact, a multi-disciplinary team was required to address the multiple issues likely to be encountered as part of outreach and enforcement

work within the city centre Public Space Protection Order area. The proposed concept was to locate the team in City Hall, drawn from a range of agencies including:

- the Public Protection and Anti-Social Behaviour Team;
- the City Centre Policing Team;
- an Addiction Outreach Worker;
- a General Support Outreach Worker;
- a Befriending Service;
- administrative support.

There was also an aspiration for this team to include a Mental Health Worker, with it acknowledged that the team would grow as the project progressed. It was highlighted that, at this stage, the multi-disciplinary team would be working on the basis of a pilot for twelve months.

Councillor Ric Metcalfe was pleased that this Council had provided leadership in dealing with this issue and that progress was being made with partners committing to become involved. It was clear that there was a need for effective specialist support for people out on the streets to address the issue and open up access to services. This situation presented a very challenging and complex set of problems which were not unique to Lincoln and he was keen to put this team in place in order that it could do its upmost to actively deal with the issue. This was a hugely important piece of work with this starting point being significant, which he felt could be built on with further participation from partners.

Councillor Neil Murray was impressed with the amount of work that had been undertaken to date and hoped it would have an impact.

Councillor Donald Nannestad highlighted that the people requiring intervention were highly likely to be suffering from very complex mental health issues and substance misuse. He therefore asked whether adequate resources would be in place from a mental health practitioner perspective to deal with the additional clients this project may place into the system and whether the Council should be lobbying those services to ensure that they could cope. It was noted that discussions with the Lincolnshire Partnership Foundation Trust were currently taking place. A suggested approach was to allocate a Mental Health Worker to work with these people on a case-by-case basis in order that they received timely one-to-one support. This was being explored and discussions on that basis were continuing.

Councillor Jackie Kirk requested further information in respect of the allocation of just under £377,000 via the Rough Sleeping Grant. It was reported that this needed to be spent before the end of March 2019 and that the Council had been invited to bid for further funding for 2019/20. In relation to instances of aggressive begging and drug/alcohol fuelled anti-social behaviour, a large number of people committing those offences were not necessarily rough sleepers. This funding would be used to deal solely with the issue of rough sleepers in the city, working with a range of partners. Organisations such as hospitals and the prison were also involved in this project to ensure that people were not being discharged into a homelessness situation.

Councillor Metcalfe thanked Simon Walters, Strategic Director of Communities and Environment, for the significant amount of work he had undertaken on this project.

**32. Protocol for Transition from Children's Services to Adult Related Support and (Semi) Independent Living**

Purpose of Report

To provide the Executive with an update on the Council's Corporate Parenting responsibilities and to request signing and adoption of the protocol for transition from Children's Services to Adult Housing Related Support and (Semi) Independent Living.

**Decision**

That the signing and adoption of the protocol for transition from Children's Services to Adult Housing Related Support and (Semi) Independent Living be approved.

Alternation Options Considered and Rejected

None.

Reason for Decision

Local authorities were subject to new legislation, namely the Children and Social Work Act 2017 and the Homelessness Reduction Act 2017, which placed a new 'Corporate Parenting' duty on the authority. The City of Lincoln Council had been working in partnership to develop a protocol which set out how partners would work together to deliver the requirements of the legislation and to make the transition from care leaver or looked after child into independent living as seamlessly as possible.

A protocol for transition from Children's Services to Adult Housing Related Support and (Semi) Independent Living had been jointly developed and agreed between Lincolnshire Children's Services, Adult Care and Community Wellbeing, District Councils and the Department for Work and Pensions. The purpose of the document was to define the arrangements that needed to be in place within the local authority in relation to when a young person soon to turn, or already, 18 years of age, or 21 years of age if a care leaver, was receiving support within the Children's Services commissioned Youth Housing contract. It also related to the Single Gateway Protocol developed by Children's Services and District Councils covering 16-17 year olds presenting as, or deemed to be at risk of, being homeless.

The County Council had 'corporate parenting' responsibilities for around 180-200 children and young people at any one time and the City Council had received assurances from County Council officers that the City Council was likely to receive only a handful of applications from care leavers on an annual basis. The City Council had also advised the County Council that it would use its best endeavours to provide suitable housing for these young people but that, given the high demand for single persons housing within the city, it would need to utilise the private sector where appropriate. Given the assurance from the County Council's officers it was proposed that the City Council would offer a local connection to any Lincolnshire care leaver wishing to join the Housing Register. This would be kept under review.

Councillor Metcalfe was pleased to see such a protocol put in place, acknowledging that young people leaving care were very vulnerable.

**33. Exclusion of the Press and Public**

RESOLVED that the press and public be excluded from the meeting during consideration of the following items of business because it was likely that if members of the public were present there would be a disclosure to them of 'exempt information' as defined by Section 100I and Schedule 12A to the Local Government Act 1972.

This item was considered in private as it was likely to disclose exempt information, as defined in Schedule 12A of the Local Government Act 1972. No representations had been received in relation to the proposal to consider this item in private.

**34. Proposed Sale of Land**

Purpose of Report

To consider options for the sale of approximately 0.5 acres of disused land.

**Decision**

That the recommendation contained within the report be approved.

Alternative Options Considered and Rejected

Alternative options considered were outlined in the report.

Reason for Decision

That the sale of the site, as set out in the report, be approved.

**EXECUTIVE****29 AUGUST 2018**

<b>SUBJECT:</b>	<b>FINANCIAL PERFORMANCE – QUARTERLY MONITORING</b>
<b>REPORT BY:</b>	<b>CHIEF FINANCE OFFICER</b>
<b>REPORT AUTHOR:</b>	<b>ROBERT BAXTER, FINANCIAL SERVICES MANAGER</b>

**1. Purpose of Report**

- 1.1 To present to the Executive the first quarter's performance (up to 30<sup>th</sup> June) on the Council's:
- General Fund
  - Housing Revenue Account
  - Housing Repairs Service
  - Capital Programmes
- 1.2 Financial Procedure Rules require members to receive, on a quarterly basis, a report prepared jointly by the Chief Finance Officer and Corporate Management Team commenting on financial performance to date. This report is designed to meet this requirement.

**2. Executive Summary**

- 2.1 As at the end of the first quarter (up to 30<sup>th</sup> June) the forecast financial position of the Council for 2018/19 is:

	<b>2018/19</b>		
	<b>Budget £'000</b>	<b>Forecast at Q1 £'000</b>	<b>Variance at Q1 £'000</b>
<b>Revenue Accounts</b>			
General Fund –Contribution to/(from) balances	288	(429)	717
Housing Revenue Account (HRA) (Surplus)/Deficit in year	0	37	37
Housing Repairs Service	0	(159)	(159)
<b>Capital Programmes</b>			
General Fund Investment Programme	17,113	17,113	0
Housing Investment Programme	30,198	30,198	0
<b>Capital Receipts</b>			
General Fund	3,555	3,651	96

	2018/19		
	Budget £'000	Forecast at Q1 £'000	Variance at Q1 £'000
HRA	1,719	1,719	0
<b>Reserves &amp; Balances</b>			
General Fund Balances	1,898	1,181	(717)
HRA Balances	1,023	986	(37)
HRS Balances	89	89	0
General Fund Earmarked Reserves	5,833	6,514	681
HRA Earmarked Reserves	1,366	1,373	7

2.2 The detailed financial position is shown in sections 3-7 and accompanying appendices.

### 3. General Fund Revenue Account

3.1 For 2018/19 the Council's net General Fund revenue budget was set at £14,276,460, including a planned contribution to balances of £288,360 (resulting in an estimated level of general balances at the year-end of £1,897,724).

3.2 The General Fund Summary is currently projecting a forecast variance of £717,343 (appendix A provides a forecast General Fund Summary). This forecast variance is the result of a number of forecast year-end variations in income and expenditure against the approved budget. Full details of the main variances are provided in appendix B while the key variances are summarised below:

- Car Parking - reduced income £1,141,000
- Income Volatility Reserve - increased income £(178,070)
- Borrowing Contingency - reduced cost £(200,000)
- Balance Sheet Review - increased income £(82,450)
- Pay Contingencies - reduced cost £(82,600)

3.3 The most significant of these variances is clearly the shortfall of car parking income against its budget target. This is a trend that began to emerge towards the end of 2017/18 and reflects a reduction in demand for shopper car parking spaces. This position is in line with a reduction in footfall in the City Centre and the general decline in high street shopping and fragility of the retail sector. There have over the course of the last 6 months been a number of business failures in the City and many businesses on the High Street are reporting up to a 25% drop in takings year on year.

- 3.4 In response to this emerging trend, £178,070 of the General Fund underspend at the end of 2017/18 was set aside in an income volatility reserve to mitigate part of the shortfall forecasted for 2018/19. In addition to the application of this reserve a number of contingency budgets have been reviewed and released to further mitigate against the forecasted shortfall, this are however one off resources.
- 3.5 Although the forecast outturn for the General Fund is currently estimated to be £717,343, at this stage in the financial year forecast outturns are difficult to predict and often subject to volatility. The forecast for car parking income is key to this forecast and it will continue to be closely monitored by officers and forecasts revised accordingly. By the end of quarter 2 officers will be in a more informed position to review the year end forecast having assessed the impact of the summer season and improved weather conditions plus a number of large scale events in the City.
- 3.6 However, given the scale of the shortfall in car parking income targets CMT have accelerated the implementation of the car parking income generation strategy. This strategy focuses on 5 key strands, as follows:
- Car park improvements – focussing on making our car parks the preferred choice including enhanced ticket machines to improve connectivity and to offer contactless payment and improved security arrangements.
  - Promotion of the City as a destination – focussing on maximising the linkages between visitor numbers into the City and an improving offer in the City with the utilisation of the Council's parking stock.
  - Maximisation of car parking stock – focussing on ensuring that the Council's car parks are in the correct location and condition, in line with the Car Parking Strategy, and considering alternative income generation opportunities for some sites.
  - Permit parking – focussing on increasing the number of permit parking arrangements with major employers in the city.
  - Residents parking – focussing on responding to residents' concerns and encouraging commuters to modal shift or to move into city centre car parks.
- 3.7 Longer term, there is forecasted to be an increase in the demand for City Centre parking through developments such as the Cornhill Quarter, further expansion in the University and direct Lincoln to London trains with consequent increased passenger numbers. These future changes and growth over the next few years are set to increase utilisation of the Council's car parks, reducing the shortfall against income targets.
- 3.8 Recognising that the financial impact of the actions in the income generation strategy and the expected growth in demand for parking will not be immediately felt, CMT have also requested that;
- An full review of earmarked reserves is undertaken, and
  - A review of the self-insurance fund is carried out.

This actions are intended to provide a short term, in year response, to the forecasted overspend in 2018/19. Beyond 2018/19 CMT have also requested that the development of Phase 6 of the Towards Financial Sustainability Programme is bought forward. The development of the programme and the forecasted levels of car parking income over the next 5 years will be considered further in the Budget Strategy report to be presented to the Executive in September 2018.

- 3.9 **Towards Financial Sustainability Programme** - The savings target included in the MTFS for 2018/19 is £3,850,000. Progress against this target, based on quarter 1 performance shows that secured and confident projections total £3,867,900. This results in a current forecast under achievement of the target in 2018/19 of £12,890. In respect of this outstanding target work is currently underway through the ToFS Programme Board to accelerate existing projects in the programme and to develop further new projects. A summary of the current position is shown in the table below.

	£ General Fund
<b><u>Review/Business Case Approved/Delegated Decision Taken</u></b>	
Shared Services/Savings/Managing Demand	2,533,170
Commercialisation	833,680
Asset Rationalisation	380,880
<b>Total Savings – Secured</b>	<b><u>3,747,730</u></b>
<b><u>Subject to Review/Business Case</u></b>	
Shared Services/Savings/Managing Demand	37,500
Commercialisation	0
Asset Rationalisation	51,880
<b>Total Savings - Subject to Review/Business Case</b>	<b><u>89,380</u></b>
<b>Overall Savings</b>	<b><u>3,837,110</u></b>
<b>MTFS savings target</b>	<b>(3,850,000)</b>
<b>(Under)/ over achievement</b>	<b>(12,890)</b>

- 3.10 **Fees and charges income** – Income from fees and charges represents a significant proportion of income to the Council, with the primary sources being from car parking, development management and building regulations. Due to the importance of these income streams to the Council's financial position and the impact external factors can have on the levels of income receive they are monitored regularly by the Corporate Management Team. A summary of the progress of these key income streams against the approved budget, together with the forecast variance for the first quarter of the financial year is provided below:

	<b><u>Budget</u></b> <b><u>Q1</u></b> <b><u>£'000</u></b>	<b><u>Actual</u></b> <b><u>Q1</u></b> <b><u>£'000</u></b>	<b><u>Variance</u></b> <b><u>£'000</u></b>	<b><u>Forecast</u></b> <b><u>Variance</u></b> <b><u>Q1</u></b> <b><u>£'000</u></b>
Car Parks	(1,581)	(1,265)	316	1,141
Development Management	(111)	(227)	(116)	(75)
Building Regulations	(57)	(36)	21	37
<b>Total</b>	<b>(1,749)</b>	<b>(1,528)</b>	<b>221</b>	<b>1,103</b>

#### **4. Housing Revenue Account**

- 4.1 For 2018/19 the Council's Housing Revenue Account (HRA) net revenue budget was set at break even, resulting in an estimated level of general balances at the year-end of £1,023,099.
- 4.2 The HRA is currently projecting an in-year overspend of £37,243, which would reduce General Balances to £985,858 at the end of 2018/19 (appendix C provides a forecast HRA Summary). The assessed prudent minimum balance for the HRA is currently £1,000,000. The level of forecast HRA balances will be monitored closely during the coming quarter and will be subject to a fundamental review as part of the MTFS 2018-23 process which is currently getting underway.
- 4.3 The components of this underspend are detailed in Appendix D and a summary of the key variances are provided below:
- Staff Vacancies - reduced cost £(205,000)
  - Rental Income – increased income £(108,000)
  - HRS Surplus – increased income £(159,000)
  - Repairs & Maintenance – increased cost £423,000

#### **5. Housing Repairs Service**

- 5.1 For 2018/19 the Council's Housing Repairs Service net revenue budget was set at zero, reflecting its full cost recovery nature.
- 5.2 At quarter 1 HRS are forecasting a surplus of £159,000 in 2018/19 (appendix E provides a forecast HRS Summary), with full details of the main variances provided in appendix F.

#### **6. Earmarked Reserves**

- 6.1 The details of all the earmarked reserves and their forecast balance as at 31st March 2019 are attached in Appendix G. In summary:

	<b>Opening Balance</b>	<b>Contributions</b>	<b>Actuals Q1</b>	<b>Forecast Q2-Q4</b>	<b>Forecast Balance</b>
	<b>01/04/18</b>				<b>31/03/19</b>
	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>
General Fund	4,559	2,727	0	(771)	6,514
HRA	1,572	3	0	(202)	1,373
Capital Resources	22,358	17,607	0	(32,874)	7,091

## 7. Capital Programme

### 7.1 General Investment Programme

- 7.2 The original General Fund Investment Programme for 2018/19 in the MTFS 2018-23 amounted to £14,208,836. This was increased to £17,032,859 following year end re-profiles from 2017/18. This has been further increased to £17,112,478 during the first quarter of 2018/19. A summary of the overall changes to the programme is shown below:

	<b>2018/19</b>	<b>2019/20</b>	<b>2020/21</b>	<b>2021/22</b>	<b>2022/23</b>
	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>
Revised budget following 17/18 Outturn Report	17,033	500	500	500	500
Budget changes for Executive approval at Q1	80	0	0	0	0
<b>Revised Budget</b>	<b>17,113</b>	<b>500</b>	<b>500</b>	<b>500</b>	<b>500</b>

- 7.3 The Chief Finance Officer has delegated authority to approve financial changes up to an approved limit as set out under Financial Procedure Rules. All changes over the approved limit require approval by the Executive.

There have been no changes approved by the Chief Finance Officer during the first quarter in conjunction with the Capital Programme Group.

- 7.4 Changes that require Executive approval for the first quarter (further details in Appendix I) are:

- Increase to DFG scheme in line with additional grant received £395,866
- Decrease to Boutham Park scheme regarding in kind funding (£215,900)
- Decrease to telephony scheme due to contribution by supplier (£100,347)

- 7.5 New projects agreed at Capital Programme Group are then subject to Executive Approval. There are no new projects that require Executive approval for the first quarter.

7.6 The table below provides a summary of the projected outturn position for the General Investment Programme:

	<b>MTFS 2018-23 Budget</b>	<b>Revised Budget</b>	<b>Forecast Outturn</b>	<b>Variance</b>
	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>
<b>Active Programme</b>				
Housing & Regeneration	0	415	415	0
Communities & Environment	969	2,587	2,587	0
Chief Executives Department	12,178	12,491	12,491	0
"Mega Projects"		1,393	1,393	0
<b>Total Active Schemes</b>	<b>13,616</b>	<b>16,886</b>	<b>16,886</b>	<b>0</b>
Schemes On Hold/Contingencies	592	227	227	0
<b>Total Capital Programme</b>	<b>14,209</b>	<b>17,113</b>	<b>17,113</b>	<b>0</b>

7.7 The overall spending on the General Fund Investment Programme for the first quarter is £413,204, which is 2.29% of the agreed programme and 2.41% of the active programme. This is detailed further at Appendix J.

Although this appears to be a relatively low percentage of expenditure at this stage of the financial year, the budget for the active programme includes :

- Residual expenditure on the Transport Hub which is the subject of a retention period;
- Disabled Facility Grants of £1m some of which may be committed (offered) but the expenditure is not incurred until later in the year or perhaps the following accounting period;
- The largest scheme (land and building acquisition at Tentercroft Street) is projected to be fully spent during quarter three at circa £12m in 2018/19.

## 7.8 Housing Investment Programme

7.9 The original Housing Investment Programme for 2018/19 in the MTFS 2018-23 amounted to £25,804,701. This was increased to £29,597,788 following year end movements as part of the 2017/18 outturn. This has been further adjusted to £30,197,788 during the first quarter of 2018/19. A summary of the changes are shown below:

	2018/19	2019/20	2020/21	2021/22	2022/23
	£'000	£'000	£'000	£'000	£'000
Revised budget following 17/18 Outturn Report	29,598	14,809	11,601	12,638	12,338
Budget changes for Executive approval at Q1	600	(600)	0	0	0
<b>Revised Budget</b>	<b>30,198</b>	<b>14,209</b>	<b>11,601</b>	<b>12,638</b>	<b>12,338</b>

7.10 The Chief Finance Officer has delegated authority to approve financial changes up to an approved limit as set out under Financial Procedure Rules. All changes over the approved limit require approval by the Executive. There were no changes approved by the Chief Finance Officer for the first quarter.

The changes requiring approval from the Executive are detailed in Appendix K and summarised below:

- Movement of purchase costs for Ingleby Crescent from generic new build budget to specific scheme budget - £6,870,000
- Movement of purchase costs for two land sites to specific scheme budgets - £335,000.
- Reprofile of door replacement budget from 2019/20 to 2018/19 - £600,000 (see para 7.11)

7.11 New projects agreed at Capital Programme Group are then subject to Executive Approval. There is one new project to be presented to the Executive for the first quarter. Following independent fire compartment health check surveys on Shuttleworth House and St Botolphs Court, improvements are required to the majority of communal and flat fire doors. The 2019/20 housing investment programme has a door replacement budget of £913,851. It is proposed to bring forward £600,000 of this approved budget into 2018/19 to fund the increased door works and this is reflected in the changes requiring Executive approval in para 7.10 above.

7.12 The table below provides a summary of the projected outturn position:

	<b>MTFS 2018-23 Budget</b>	<b>Revised Budget</b>	<b>Forecast Outturn</b>	<b>Variance</b>
	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>
Decent Homes/ Lincoln Standard	8,618	9,218	9,218	0
Health and Safety	825	825	825	0
Contingent Major Repairs/ Works	637	637	637	0
New Build Programme	15,384	15,384	15,384	0
Land Acquisition Fund	3,215	3,215	3,215	0
Other Schemes	806	806	806	0
Computer Fund	111	111	111	0
<b>Total Capital Programme</b>	<b>29,598</b>	<b>30,198</b>	<b>30,198</b>	<b>0</b>

- 7.13 Expenditure against the HIP budget during the first quarter was £1,627,783, which is 5.4% of the approved programme. A further £406,019 has been spent as at the end of July 2018. The expenditure is detailed further at Appendix L.

Although this would appear to be low at this stage of the financial year, the following points should be taken into consideration:-

- A large element of the programme in 2018/19 is the new build programme, most of which is planned to be delivered during quarter three of 2018/19.

## **8. Resource Implications**

- 8.1 The financial implications are contained throughout the report.
- 8.2 There are no legal implications arising from this report.
- 8.3 There are no equality and diversity implications as a direct result of this report.

## **9. Risk Implications**

- 9.1 A full financial risk assessment is included in the Medium Financial Strategy 2018-23.

## 10. Recommendations

The Executive are to:

- 10.1 Note the progress on the financial performance for the period 1<sup>st</sup> April to 30<sup>th</sup> June 2018 and the projected outturns for 2018/19.
- 10.2 Assess the underlying impact of the pressures and underspends identified in paragraphs 3.2 (and appendix B), 4.3 (and appendix D), and 5.2 (and appendix F)
- 10.3 Approve the changes to the General Investment Programme and Housing Investment Programme as detailed in paragraphs 7.4 and 7.10.

<b>Key Decision</b>	No
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<b>Key Decision Reference No.</b>	N/A
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<b>Do the Exempt Information Categories Apply</b>	No
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<b>Call in and Urgency:</b> Is the decision one to which Rule 15 of the Scrutiny Procedure Rules apply?	No
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<b>Does the report contain Appendices?</b>	Yes
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<b>List of Background Papers:</b>	Medium Term Financial Strategy 2018-23
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<b>Lead Officer:</b>	Robert Baxter, Financial Services Manager Telephone 873361
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**GENERAL FUND SUMMARY - AS AT 30 JUNE 2018**

<b>Service Area</b>	<b>Ref</b>	<b>Revised Budget £'000</b>	<b>Projected Outturn £'000</b>	<b>Variance £'000</b>
Strategic Development	A	1,859	1,836	(23)
Chief Finance Officer (S. 151)	B	192	307	115
City Solicitor	C	1,507	1,531	24
Housing	D	754	788	34
Director of Major Developments	E	418	493	75
Communities and Street Scene	F	1,346	2,621	1,275
Health & Environmental Services	G	1,997	2,018	21
Planning	H	886	710	(176)
		<b>8,959</b>	<b>10,304</b>	<b>1,345</b>
Corporate Expenditure	I	1,692	1,495	(197)
<b>TOTAL SERVICE EXPENDITURE</b>		<b>10,651</b>	<b>11,799</b>	<b>1,148</b>
Capital Accounting Adjustment	J	1,858	1,833	(25)
Specific Grants	K	(1,006)	(1,006)	0
Contingencies	L	406	264	(142)
Savings Targets	M	(102)	(89)	13
Earmarked Reserves	N	2,054	1,777	(276)
Insurance Reserve	O	128	128	0
<b>TOTAL EXPENDITURE</b>		<b>13,988</b>	<b>14,705</b>	<b>717</b>
<b>CONTRIBUTION FROM BALANCES</b>		<b>288</b>	<b>(429)</b>	<b>(717)</b>
<b>NET REQUIREMENT</b>		<b>14,276</b>	<b>14,276</b>	<b>0</b>
Retained Business Rates Income	P	28,041	28,041	0
Tariff	Q	(20,620)	(20,620)	0
Collection Fund surplus/ (deficit)	R	462	462	0
Council Tax	S	6,393	6,393	0
<b>TOTAL RESOURCES</b>		<b>14,276</b>	<b>14,276</b>	<b>0</b>

Please note the above is now shown on an Expenditure Funding Analysis (EFA) basis. This means all charges which are reversed out under statute are now **not** shown in the above figures. Examples of this are depreciation and capital grants. This means the above only includes items which are a call on the general fund balance.

**General Fund Forecast Variances - Quarter 1**

Many items of income and expenditure are demand led and difficult to predict. Consequently, judgement has been applied in order to provide the most realistic indication of the financial position at the year-end. Figures in brackets indicate an underspend of expenditure or additional income.

Ref		£	Reason for variance
	<b><u>Additional Spending</u></b>		
D	Control Centre	67,290	Purchases of new equipment for Ageing Lifelines plus increased maintenance costs – the service is under review to produce a zero variance revised budget.
F	Waste/Street Cleansing	56,840	Overspend projected on the Waste Contract.
	<b><u>Reduced Income</u></b>		
B	Housing Benefits	225,280	Expected reduction in the level of Housing Benefits Overpayments raised compared to the budgeted amount which is based on the average amount for the last three years.
F	Car Parks	1,141,000	The budget for the new Lincoln Central Car Park is projected to underachieve due to volatility of income in recognition of a decline in high street trading conditions, further impacted by weather conditions during the early part of the year.
L	Vacancy Contingency	140,740	Reduced vacancies expected during 2018/19 offset by savings in service areas.
C	Apprentice Scheme	65,510	Net overspend after loss of contract to Lincolnshire County Council less staff vacancies and savings on the apprentice levy payable.
	<b><u>Reduced Spending</u></b>		
B	Corporate Management	(26,460)	Underspends on Audit Fees and Debt Management Expenses. There is an ongoing saving on audit fees due to the reduction in the audit fee under the new contract from 2018/19 onwards.
I	Bad Debt Provision	(67,460)	Significant reduction in Housing Benefit Overpayments raised is expected in 2018/19 should lead to less being required in the provision.
A	Customer Services	(31,430)	Underspends expected on overtime and Supplies & Services budgets.

## Appendix B

Ref		£	Reason for variance
C	Legal Services	(43,430)	Savings made on books and publications, vacancies and increased income on asset sales including Right to Buys.
I	Pension Recharges	(39,070)	Underspend projected on recharges to Lincolnshire County Council.
E	DMD Vacancies	(29,830)	Vacancies projected in the DMD directorate
L	Borrowing Contingency	(200,000)	Borrowing costs not anticipated to increase in the year therefore additional contingency not required in 2018/19.
L	Pay Contingency	(82,600)	At the time of the setting the MTFS the Local Government Pay award was still pending therefore additional amounts were set aside to fund any increases and this amount is no longer required.
H	<b><u>Additional Income</u></b> Development Management	(69,930)	Overachievement of income projected in the year due to an increase in larger applications.
I	Release of Balance Sheet Items	(82,450)	A review of the Balance Sheet at outturn 2017/18 has led to the identification of amounts set aside which are no longer required.

## HOUSING REVENUE ACCOUNT FUND SUMMARY - AS AT 30 JUNE 2018

	Ref	Budget	Forecast Outturn	Variance
		£'000	£'000	£'000
Gross Rental Income	A	(27,711)	(27,818)	(108)
Charges for Services & Facilities	B	(383)	(316)	67
Contribs towards Expenditure	C	(45)	(51)	(7)
Repairs & Maintenance	D	8,298	8,721	423
Supervision & Management:	E	6,517	6,447	(70)
Rents, Rates and Other Premises	F	34	99	65
Increase in Bad Debt Provisions	G	290	283	(7)
Insurance Claims Contingency	H	253	253	0
Contingencies	I	(10)	0	10
Depreciation	J	10,697	10,697	0
Debt Management Expenses	K	12	12	0
HRS Trading (Surplus) / Deficit	L	0	(159)	(159)
<b>Net Cost of Service</b>	<b>M</b>	<b>(2,047)</b>	<b>(1,832)</b>	<b>215</b>
Loan Charges Interest	N	2,352	2,352	0
Investment/Mortgage Interest	O	(31)	(31)	0
<b>Net Operating Inc/Exp</b>		<b>273</b>	<b>488</b>	<b>215</b>
Major Repairs Reserve Adjustment	P	0	0	0
Transfers to/from reserves	Q	(273)	(451)	(178)
<b>(Surplus)/Deficit in Year</b>		<b>0</b>	<b>37</b>	<b>37</b>
<b>Balances b/f @ 1st April</b>		<b>(1,023)</b>	<b>(1,023)</b>	<b>0</b>
(Increase)/Decrease in Balances		0	37	37
<b>Balances c/f @ 31st March</b>		<b>(1,023)</b>	<b>(986)</b>	<b>37</b>

### **Housing Revenue Account Variances - Quarter 1**

Many items of income and expenditure are demand led and difficult to predict. Consequently, judgement has been applied in order to provide the most realistic indication of the financial position at the year-end. Figures in brackets indicate an underspend of expenditure or additional income.

Ref		£	Reason for variance
	<b><u>Reduced Spending</u></b>		
E	Staff vacancies	(205,000)	Supervision & Management Vacancies Q1 - under review.
	<b><u>Additional Income</u></b>		
A	Rental Income	(108,000)	Effect of revised new build phasing.
C	Court Fee Income	(7,000)	Court Fee income expected to be higher than budget at Q1.
L	HRS Trading Surplus	(159,000)	Forecast HRS repatriation
	<b><u>Increased Spending</u></b>		
F	Rents Rates & Other Premises	65,000	Council Tax on voids.
D	Repairs & Maintenance	423,000	Increased number of void property movements as a result of the release of new build properties.

## HOUSING REPAIRS SERVICE SUMMARY - AS AT 30 JUNE 2018

	Forecast Outturn		
	Budget	Forecast Outturn	Variance
	£'000	£'000	£'000
Employees	2,539	2,443	(96)
Premises	28	30	2
Transport	450	450	0
Materials	1,329	1,287	(42)
Sub-Contractors	2,229	2,195	(34)
Supplies & Services	114	126	12
Central Support Charges	754	754	0
Capital Charges	0	0	0
<b>Total Expenditure</b>	<b>7,443</b>	<b>7,284</b>	<b>(159)</b>
Income	(7,443)	(7,443)	0
<b>(Surplus)/Deficit</b>	<b>0</b>	<b>(159)</b>	<b>(159)</b>

### **Housing Repairs Service Variances - Quarter 1**

Many items of income and expenditure are demand led and difficult to predict. Consequently, judgement has been applied in order to provide the most realistic indication of the financial position at the year-end. Figures in brackets indicate an underspend of expenditure or additional income.

	<b>£</b>	<b>Reason for Variance</b>
<b><u>Reduced Spending</u></b>		
Employees	(95,940)	3 x vacancies ongoing.
Materials	(42,450)	Less Responsive expenditure work versus budget.
Sub Contractors	(34,000)	Continual reduction of sub-contractor works.

**EARMARKED RESERVES – Q1 MONITORING 2018/19**

	<b>Opening Balance 01/04/2018 £'000</b>	<b>Contributions £'000</b>	<b>Actuals Q1 £'000</b>	<b>Forecast Q2-Q4 £'000</b>	<b>Forecast Balance 31/03/2019 £'000</b>
<b>General Fund</b>					
Grants & Contributions	787	95	0	(110)	772
Business Rates Volatility	539	917	0	0	1,456
Strategic Projects - Revenue					
Costs	496	0	0	(193)	303
Mercury Abatement	378	94	0	(58)	414
Budget Carry Forwards	324	0	0	(171)	152
Invest to Save (GF)	307	137	0	0	444
Unused DRF	221	0	0	0	221
Backdated rent review	220	0	0	0	220
IT Reserve	217	100	0	(52)	266
Income Volatility	178	0	0	0	178
Revenues & Benefits shared service	163	0	0	(45)	118
Tree Risk Assessment	106	20	0	(27)	99
Strategic Growth Reserve	100	0	0	(100)	0
Asset Improvement	72	0	0	0	72
Private Sector Stock Condition Survey	63	12	0	0	75
MA Reserve	51	0	0	0	51
Mayoral car	47	0	0	0	47
Property Searches	36	0	0	0	36
City Hall Sinking Fund	36	0	0	0	36
Managed Workspace	35	0	0	0	35
Section 106 interest	32	0	0	0	32
Funding for Strategic Priorities	28	1,342	0	(15)	1,355
Commons Parking	27	0	0	0	27
Electric Van replacement	22	4	0	0	27
Air Quality Initiatives	22	6	0	0	28
Christmas Decorations	17	0	0	0	17
Boston Audit Contract	14	0	0	0	14
Tank Memorial	10	0	0	0	10
Organisational Development	8	0	0	0	8
Yarborough Leisure Centre	2	0	0	0	2
	<b>4,559</b>	<b>2,727</b>	<b>0</b>	<b>(771)</b>	<b>6,514</b>
HRA Repairs Account	624	0	0	0	624
Capital Fees Equalisation Reserve	238	0	0	(24)	214
HRA Strategic Priority Reserve	240	0	0	0	240
Invest to Save (HRA)	140	0	0	0	140
Western Growth Corridor	178	0	0	(178)	0
De Wint Court Reserve	73	0	0	0	73
HRA Survey Works	57	3	0	0	60
Stock Retention Strategy	22	0	0	0	22
	<b>1,572</b>	<b>3</b>	<b>0</b>	<b>(202)</b>	<b>1,374</b>
<b>Total Earmarked Reserves</b>	<b>6,131</b>	<b>2,730</b>	<b>0</b>	<b>(973)</b>	<b>7,888</b>

**CAPITAL RESOURCES – Q1 MONITORING 2018/19**

	<b>Opening balance</b>	<b>Contributions</b>	<b>Used in financing</b>	<b>Forecast balance 31/03/2019</b>
	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>
Capital Grants	385	1,298	(1,683)	0
Capital receipts General Fund	41	3,880	(1,195)	2,726
Capital receipts HRA	7,334	819	(8,153)	0
Capital receipts 1-4-1	1,958	900	(2,858)	0
Major Repairs Reserve	12,640	10,710	(18,985)	4,365
<b>Total Capital Resources</b>	<b>22,358</b>	<b>17,607</b>	<b>(32,874)</b>	<b>7,091</b>

**General Investment Programme – Summary of Financial Changes**

Project Name	2018/19	2019/19	2020/21	2021/22	2022/23	Notes
	£	£	£	£	£	
2018/19 MTFS Budget following 17/18 outturn report	17,032,859	500,000	500,000	500,000	500,000	
Budget for approval	17,112,478	500,000	500,000	500,000	500,000	
<b>Total changes for Q1</b>	<b>79,619</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	
<b>To be approved by the Executive</b>						
Disabled Facilities Grant	395,866	0	0	0	0	Increase in grant
Boultham Park Masterplan	(215,900)	0	0	0	0	Revision to scheme costs for in-kind funding
New Telephony System	(100,347)	0	0	0	0	Reduction in DRF funding
	<b>79,619</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	

**General Investment Programme – Summary of Expenditure as at 30<sup>th</sup> June 2018**

Scheme	2018/19 MTFS Budget	Revised Budget	Actuals as at Q1	Variance	Spend
	£	£	£	£	%
<b><u>ACTIVE SCHEMES</u></b>					
<b><u>DCE - Communities &amp; Environment</u></b>					
Skate Park	183,021	183,021	0	183,021	0.00%
Compulsory Purchase Orders	83,700	83,700	0	83,700	0.00%
Disabled Facilities Grant	450,000	1,080,980	31,473	1,049,507	2.91%
Transformation of Birchwood Leisure Centre	278,000	401,364	74,936	326,428	18.67%
Bereavement Services Lighting	0	24,290	24,482	(192)	100.79%
Memorial Tree	0	20,000	24,200	(4,200)	121.00%
	<b>994,721</b>	<b>1,793,355</b>	<b>155,092</b>	<b>1,638,263</b>	
<b><u>DCE - Community Services</u></b>					
Flood alleviation scheme - Hartsholme Park	88,293	88,293	0	88,293	0.00%
Boultham Park Masterplan	5,000	134,413	21,964	112,449	16.34%
CCTV Upgrade	0	7,135	0	7,135	0.00%
Allotment Capital Improvement Programme	350,000	564,224	119,972	444,252	21.26%
	<b>443,293</b>	<b>794,065</b>	<b>141,936</b>	<b>652,129</b>	
<b><u>General Fund Housing</u></b>					
Housing Renewal Area	367,000	414,545	5,800	408,745	1.40%
	<b>367,000</b>	<b>414,545</b>	<b>5,800</b>	<b>408,745</b>	
<b><u>CX - Corporate Policy</u></b>					
New Telephony System	140,512	40,165	0	40,165	0.00%
	<b>140,512</b>	<b>40,165</b>	<b>0</b>	<b>40,165</b>	

Scheme	2018/19 MTFS Budget	Revised Budget	Actuals as at Q1	Variance	Spend
	£	£	£	£	%
<b><u>CX - Chief Finance Officer</u></b>					
The Terrace	0	0	(2,712)	2,712	0.00%
The Terrace Heat Mitigation Works	257,965	257,965	0	257,965	0.00%
Planned Capitalised Works	200,000	625,401	52,017	573,384	8.32%
Land and Property Acquisition	11,580,000	11,567,232	2,110	11,565,122	0.02%
	<b>12,037,965</b>	<b>12,450,598</b>	<b>51,415</b>	<b>12,399,183</b>	
Lincoln Transport HUB	0	1,392,840	58,961	1,333,879	4.23%
<b>TOTAL BUDGET FOR ACTIVE SCHEMES</b>	<b>13,983,491</b>	<b>16,885,568</b>	<b>413,204</b>	<b>16,472,364</b>	
<b><u>Schemes Currently Non Active</u></b>					
Compulsory Purchase Orders	155,833	154,504	0	154,504	0.00%
Non Disabled Facilities Grants	23,132	26,026	0	26,026	0.00%
Capital Contingencies	46,380	46,380	0	46,380	0.00%
<b>TOTAL BUDGET FOR SCHEMES NON ACTIVE</b>	<b>225,345</b>	<b>226,910</b>	<b>0</b>	<b>226,910</b>	
<b>TOTAL GENERAL INVESTMENT PROGRAMME</b>	<b>14,208,836</b>	<b>17,112,478</b>	<b>413,204</b>	<b>16,699,274</b>	

**Housing Investment Programme – Summary of Financial Changes**

Project Name	2018/19 MTFS Budget following 17/18 outturn report	Budget increase/ (reduction)	Revised Budget	Reprofile (to) from future years	Notes
	£	£	£	£	
<b><u>Decent Homes</u></b>					
Door Replacement	826,799	600,000	1,426,799	600,000	<b>2019/20</b>
<b>Decent Homes</b>	<b>7,562,138</b>	<b>600,000</b>	<b>8,162,138</b>	<b>600,000</b>	
<b><u>New Build Programme</u></b>					
New Build Partnership - Waterloo Housing	8,503,680	(6,870,000)	1,633,680	0	
Ingleby Crescent New Build Scheme	0	6,870,000	6,870,000	0	
<b>New Build Programme</b>	<b>15,384,355</b>	<b>0</b>	<b>15,384,355</b>	<b>0</b>	
<b><u>Land Acquisition</u></b>					
Land Acquisition Fund	1,520,213	(335,000)	1,185,213	0	
Land Acquisition – Site 1	0	200,000	200,000	0	
Land Acquisition – Site 2	0	135,000	135,000		
<b>Land Acquisition</b>	<b>3,215,213</b>	<b>0</b>	<b>3,215,213</b>	<b>0</b>	
<b>GRAND TOTALS</b>	<b>29,597,788</b>	<b>600,000</b>	<b>30,197,788</b>	<b>600,000</b>	

**Housing Investment Programme – Summary of Expenditure as at 30<sup>th</sup> June 2018**

Project Name	2018/19 MTFS Budget	Revised Budget	Actuals as at Q1	Variance	Spend
	£	£	£	£	%
<b><u>Decent Homes</u></b>					
Bathrooms & WC's	631,946	625,938	79,959	545,979	12.77%
DH Central Heating Upgrades	1,438,147	1,433,837	133,913	1,299,924	9.34%
Responsive Capitalised Heating Replacements	255,000	346,122	77,086	269,036	22.27%
Thermal Comfort Works	408,831	408,831	21,946	386,885	5.37%
Kitchen Improvements	570,351	570,276	90,783	479,493	15.92%
Rewiring	78,911	78,911	4,017	74,894	5.09%
Re-roofing	808,796	756,776	42,063	714,713	5.56%
Lincoln Standard Windows Replacement	600,000	600,000	0	600,000	0.00%
Structural Defects	55,713	105,015	5,627	99,388	5.36%
Wall Structure Repairs	374	6,951	0	6,951	0.00%
Door Replacement	826,799	1,426,799	38,315	1,388,484	2.69%
Decent Homes Decoration Allowance	13,371	13,371	6,905	6,466	51.64%
CO Detector Installation	40,058	40,058	19,839	20,219	49.53%
New services	55,713	47,046	2,280	44,767	4.85%
Void Capitalised Works	1,282,797	1,282,797	0	1,282,797	0.00%
Landscaping and Boundaries	419,410	419,410	0	419,410	0.00%
<i>Prelim Costs &amp; Exceptionals to be allocated</i>			77,398	(77,398)	0.00%
<b>Decent Homes</b>	<b>7,486,217</b>	<b>8,162,138</b>	<b>600,130</b>	<b>7,562,008</b>	
<b><u>Lincoln Standard</u></b>					

Project Name	2018/19 MTFS Budget	Revised Budget	Actuals as at Q1	Variance	Spend
	£	£	£	£	%
Over bath showers (10 year programme)	987,447	1,000,110	55,897	(944,213)	5.59%
Safety flooring - Supported Housing	51,257	55,369	0	(55,369)	0.00%
<b>Lincoln Standard</b>	<b>1,038,704</b>	<b>1,055,479</b>	<b>55,897</b>	<b>(999,582)</b>	
<b><u>Health &amp; Safety</u></b>					
Asbestos Removal	267,424	267,424	23,269	(244,155)	8.70%
Asbestos Surveys	149,312	230,583	35,534	(195,049)	15.41%
Replacement Door Entry Systems	61,596	81,034	0	(81,034)	0.00%
Renew stair structure	0	23,133	0	(23,133)	0.00%
Plastering (HHSRS)	222,854	222,854	0	(222,854)	0.00%
<b>Health &amp; Safety</b>	<b>701,186</b>	<b>825,028</b>	<b>58,803</b>	<b>(766,225)</b>	
<b><u>New Build Programme</u></b>					
New Build Programme	4,537,868	4,440,048	0	(4,440,048)	0.00%
New Build Partnership - Waterloo Housing	8,503,680	1,633,680	0	(1,633,680)	0.00%
New Build Partnership - Westleigh	517,567	1,502,054	418,972	(1,083,082)	27.89%
New Build Partnership - Lytton Street	0	700,000	0	(700,000)	0.00%
Alterations to De Wint Court	0	105,010	6,502	(98,508)	6.19%
New Build Site - 1	0	74,767	0	(74,767)	0.00%
New Build Site - 2	0	20,027	0	(20,027)	0.00%
New Build Site - 3	0	38,769	0	(38,769)	0.00%
Blankney Crescent New Build Scheme		0	1,058	1,058	0.00%
New Build Site - Queen Elizabeth Road	0	0	8,712	8,712	0.00%
Ingleby Crescent New Build Scheme	0	6,870,000	0	(6,870,000)	0.00%
<b>New Build Programme</b>	<b>13,559,115</b>	<b>15,384,355</b>	<b>435,244</b>	<b>(14,949,111)</b>	

Project Name	2018/19 MTFS Budget	Revised Budget	Actuals as at Q1	Variance	Spend
	£	£	£	£	%
<b><u>Land Acquisition</u></b>					
Land Acquisition Fund	1,520,213	1,185,213	0	(1,185,213)	0.00%
Land Acquisition – site 1	0	1,695,000	0	(1,695,000)	0.00%
Land Acquisition – site 2	0	200,000	186,621	(13,379)	93.31%
Land Acquisition – site 3	0	135,000	0	(135,000)	0.00%
<b>Land Acquisition</b>	<b>1,520,213</b>	<b>3,215,213</b>	<b>186,621</b>	<b>(2,893,592)</b>	
<b>Other</b>	<b>750,135</b>	<b>806,444</b>	<b>265,453</b>	<b>(540,991)</b>	<b>32.92%</b>
<b><u>Contingency Schemes</u></b>					
Contingency Reserve	637,704	637,704	0	(637,704)	0.00%
<b>Contingency Schemes</b>	<b>637,704</b>	<b>637,704</b>	<b>0</b>	<b>(637,704)</b>	
<b><u>Other Schemes</u></b>					
Housing Support Services Computer Fund	111,427	111,427	25,635	(85,792)	23.01%
<b>Other Schemes</b>	<b>111,427</b>	<b>111,427</b>	<b>25,635</b>	<b>(85,792)</b>	
<b>GRAND TOTALS</b>	<b>25,804,701</b>	<b>30,197,788</b>	<b>1,627,783</b>	<b>(13,310,988)</b>	

**EXECUTIVE****29 AUGUST 2018**

**SUBJECT: Q1 2018-2019 OPERATIONAL PERFORMANCE REPORT**

**DIRECTORATE: CHIEF EXECUTIVE AND TOWN CLERK**

**REPORT AUTHOR: PAT JUKES, BUSINESS MANAGER – CORPORATE POLICY**

**1. Purpose of Report**

- 1.1 To present to Executive a summary of the operational performance position for quarter one of the financial year 2018/19 (from April 2018 to June 2018)
- 1.2 The report is in the following format:
- Executive Summary – highlighting key points of note
  - Background – recent changes to the report
  - Operational performance overview – issues and successes
  - **Appendix A** details all measures by individual directorate grouping – with annual and quarterly measures split separately

**2. Executive Summary**

- 2.1 The report includes four corporate measures:

- Sickness – split by long and short term
- Corporate complaints including Ombudsman rulings
- Employee FTE headcount, vacancies & turnover.
- Staff appraisals completed

In addition, key headlines from operational measures collected and reported by Directorate are summarised below and reported in full in section 4.

NOTE: Some measures throughout this report are considered ‘volumetric’ measures e.g. The number of claims ... They are needed to set the context of performance, but cannot be changed by the performance of the team – these are marked as ‘V’

**2.2 Key headlines from performance results:**

Quarter one sees a long list of really good performance results - in Development Management and Housing in particular – mixed with some less positive results. A summary of the key headlines are found below:

- 2.3
- |   |   |
|---|---|
| <ul style="list-style-type: none"> <li>✓ (V)The number of face to face enquiries in Customer Services has dropped by 7,336 compared to quarter one last year</li> <li>✓ (V)The number of telephone enquiries that Customer Services answered has</li> </ul> | <ul style="list-style-type: none"> <li>❖ The average time taken to answer a call to customer services has increased from last quarter by six seconds, to 110 seconds</li> <li>❖ The level of outstanding customer changes in the Revenues team has</li> </ul> |
|---|---|

decreased by 8,793 compared to quarter one last year

- ✓ The number of users logged into 'MyInfo' this quarter has increased by 1,409 compared to quarter one last year
- ✓ The in-year collection rate for Lincoln Business Rates remains above its target of 30.53% at 35.86%
- ✓ The average days to process housing benefit claim changes of circumstances is better than its target of 5 at 4.72 days
- ✓ The total number of users at our Health & Recreation facilities has increased by 15,697 compared to quarter one last year
- ✓ The percentage of premises fully or broadly compliant with Food Health & Safety inspection has remained above its target of 97% at 98.7%
- ✓ Average time taken to determine a planning application has decreased by 9.9 days to 57.44 days.
- ✓ The percentage of Non-Major and Major Planning Applications determined within the government targets are above target at 94.67% and 100% respectively.
- ✓ The rent collected as a proportion of rent owed remains above its target of 96.50% at 97.56%.
- ✓ The current tenant arrears stand at 2.72%, better than the target of 3.5%
- ✓ The percentage of rent lost from voids has decreased by 0.25%, now at 0.72%.
- ✓ The percentage of reactive repairs completed within target time remains above its target of 97.50% at 98%.

increased by 156 compared the same quarter last year, now standing at 659.

**Note – now that we are implementing Universal Credit, there has been an effect on waiting times in the Benefits areas:**

- ❖ The average number of days to process new housing benefit claims has decreased by 5.84 days from the Q4 figure of 24.29, now standing at 30.13 days in Q1 – above its lower target of 26. \*
- ❖ The number of Housing Benefits / Council Tax support customers awaiting assessment has increased by 746 compared to Q1 last year, now at 1,323.
- ❖ Percentage of waste recycled or composted has decreased from 30.90% in quarter one last year to 27.4% in quarter one this year, although the full year 2017/18 has achieved within target boundaries
- ❖ In the new environment of an increase to 3622 parking spaces available - the overall percentage utilisation of car parks has increased 3% from last quarter at 48%, but still remains below the lower target of 60%
- ❖ The number of Homelessness applications progressed within the Housing team has increased by 114 compared to quarter one last year, now reporting at 167. However, this must be seen within the context of the implementation of the new homelessness Act (See 4.16 for details)

*\*CMT has asked that this measure is split to identify UC based claims with housing included which have an automatic 14 day waiting lag – and the rest (which can be compared to past achievements) for Q2.*

### Key headlines from the corporate measures:

The overall sickness data as at the end of June is 2.9 days per FTE (excl. apprentices). This is 0.21 days less per FTE compared to the same point last year.

The cumulative average time across all directorates to respond to formal complaints was 9.4 days, which is an increase of 3.2 days from quarter four 2017/18.

The total number of FTE employees (excluding apprentices) at the end of quarter one was 555.41. During quarter one, there was also an average of 19.43 apprentices.

### 3. Background

- 3.1 Regular monitoring of the Council's operational performance is a key component of the Local Performance Management Framework. This report covers key service performance measures identified by Members and CMT as of strategic importance.

### 4. Main Body of Report

#### 4.1 Key areas of note this quarter

**Please note the icons used in the summary highlight the trend performance of the measure.**



The figure is improving  
(high is good)



The figure is improving  
(low is good)



The figure is worsening  
(low is good)













The figure is worsening  
(high is good)



The figure is maintaining

The report will predominantly report on improving and declining performance.

#### 4.2 Key performance areas in Chief Executive's

- The number of apprentices moving into education, employment or training has increased back to 100% (6/6) 
- The number of face to face enquiries has dropped by 7,336 compared to quarter one last year 
- The number of telephone enquiries answered has decreased by 8,793 compared to the same quarter last year. 
- The number of users logged into the self-service system MyInfo this quarter has increased by 1,409 compared to quarter one last year. 
- Average time taken to answer a call to customer services has increased by six seconds on quarter four, at 110 seconds 
- The in-year collection rate for Lincoln Business Rates remains above its target of 30.53% with a figure of 35.86%. 
- The level of outstanding customer changes in the Revenues team has increased by 156 compared the same quarter last year, now at 659. 
- The average time taken to process new housing benefit claims has increased by 5.84 days from the quarter four figure of 24.29. At 30.13 days in Q1 this does not meet the lower target of 26 days 
- The average time taken to process housing benefit claim changes of circumstances has remained above its target of 5 days at 4.72 days 
- The number of Housing Benefits / Council Tax support customers awaiting assessment has increased by 746 compared to quarter one last year, reporting at 1,323 customers 

### 4.3 Customer Services

It is pleasing to report that yet again the number of users who logged into the self-service system 'MyInfo' has increased; from 6,516 in quarter one last year to 7,925 in quarter one this year. A more proactive approach to the marketing and delivery of the MyInfo service is paying off, with a further decrease in the number of face to face enquiries. Just 5,550 people came to City Hall in quarter one, a drop of 7,336 compared to the same point last year. The lack of a travel concession contract has contributed significantly to this drop, as less people have needed to contact or visit us. 8,793 less customers called in quarter one this year, reducing from 38,188 in quarter one last year to 29,395 in quarter one this year. Again, this can be primarily explained due to the lack of the travel concessions contract but also the reduction of garden waste callers (roughly 1,000 less callers in quarter one), which closely matches the increase in customers using the MyInfo system, suggesting more customers are using the councils online services.

However, the average time to answer a call in Customer Services has seen an unexpected increase this quarter reaching 110 seconds, which is 6 seconds higher than last quarter.

This is set against the background of a change in the nature of the work that customer services engages with. The length of call times in Q1 has increased 9.4% on Q1 last year when calls took an average of 175.67 seconds – in Q1 this year they took an average of 192.17 seconds. This increase could be as a side effect of customers moving to electronic access. As customers with straightforward queries or actions more and more accessing the council via electronic means (see below) this means that our agents are dealing with more complex issues, which naturally take longer to resolve. However, this is in line with the council's policy of encouraging direct usage of the website wherever possible, so that agents can help the more vulnerable customers or those with more complex issues.

Other potential impacts on customer services response times include: The number of team leaders has now reduced from 4 FTE to 3.6 FTE, due to a recent retirement. Ongoing issues with the telephony system are also causing problems with logging on to answer calls. The team continues to provide some capacity to manage the bus station information desk. In addition, IT speed has been slower than usual, especially in the last month, which has meant that it took longer to complete forms, put notes on the system and find information.

CMT has commissioned a report to understand the rationale between the various performance results – especially looking at why calls are now taking much longer to handle.

### 4.4 Revenues Administration

The in-year collection rate for Lincoln Business Rates has remained above its target of 30.53%, with a figure of 35.86%. Whilst only increasing by 0.03% in quarter one this year compared to quarter one last year, the team have collected £13,697 more than the same point in 2017/2018. Our total net receipt has also increased from the same point last year by £1,572,663.

Outstanding revenues customer changes have increased from 503 in quarter one last year to 659 in quarter one this year, an increase of 156. A new staffing contingency plan is in place from July 2018 which should see a significant reduction in the outstanding customer changes during quarter two.

#### 4.5 Housing Benefit Administration

Please note that this table (below) shows new claims only. Housing Benefit numbers are expected decrease as claimants move across to Universal Credit.

**The number of new Housing Benefits and Council Tax Support claims**

	Q1 2017/18	Q1 2018/19
Housing Benefits	703	372
Council Tax Support	1110	950

The average cumulative days to process housing benefit claim changes of circumstances has exceeded its annual target of five days with an outturn of 4.72 days, compared to 5.38 days at this point last year, but 0.72 days worse off than last quarter (which was four days) – however quarter four performance traditionally has a low turnaround figure due to the number of ‘1-day’ changes actioned in that quarter each year – for example, new year rent changes and pension increases.

It is worth noting that the average cumulative days to process new housing benefit claims has increased from 24.29 in quarter four last year to 30.13 in quarter one this year. The increase in time is due to a delay in income details for those Housing Benefit customers who are now claiming Universal Credit being transferred over. This does mean however that the figure of 30.13 is now below target by 4.13 days.

The number of Housing Benefit / Council Tax support customers awaiting assessment has increased significantly from 577 at quarter one last year to 1,323 in quarter one this year. Of the 1,323 customers, 890 are awaiting a first contact from a Benefits Officer. For the remaining 433 customers, Benefits Officers have made contact and are now awaiting information from the customer.










The rollout of Universal Credit Full Service has had a significant impact on the processing performance, with the section receiving 5,585 Universal Credit documents since 1 April 2018. Each of these documents require assessment – with benefits officers having to review the document and make a decision as to the assessment required. As a result, there has been a significant increase in incoming documents, which has resulted from the outstanding almost doubling within a number of weeks.

The changes are much more complex, and require more time to be taken to ensure accurate processing. The Universal Credit changes are also time limited, whereby a two week grace period on any overpayment has been given, therefore, priority is being given to this piece of work – resulting in the time taken to process changes being reduced. In addition, whilst the number of new claims is reducing, those claims that are being received are for the Universal Credit customers where Housing Benefit is still to be claimed (exempt categories). The housing costs are covered by Housing Benefit. As a result, Local Authorities are having to wait for the Universal Credit decision to be made, which is taking around 6 weeks, before an assessment decision can be taken on

the Housing Benefit entitlement. This delay by Department for Work and Pensions (DWP) has contributed to the 6 day increase for new claims.

As a result, overtime has been offered to staff to improve the processing position and this is taking place during July and August. Whilst it is expected the outstanding number of customers will reduce, it must be noted that the level of information from the DWP continues to be received at a significant rate. Officers will review the position once overtime has been completed.

#### 4.6 Key performance areas in Directorate for Communities and Environment

- The total number of users at our Health & Recreation facilities has increased by 15,697 compared to quarter one last year and is now 244,381 this quarter 
- Percentage of waste recycled or composted has decreased from 30.90% in Q1 last year to 27.40% Q1 this year, below the lower target of 35% 
- The overall percentage utilisation of all car parks has increased by 3% from last quarter, it still remains below the 69% reported in quarter one last year with a figure of 48% in quarter one this year. 
- As expected, the number of off street charged car parking spaces has increased by 1,381 compared to quarter one last year. 
- The satisfaction of complainants relating to how the complaint was handled in the Anti-Social Behaviour team has decreased from the Q4 figure of 87% to 80% in Q1, below its lower target of 85%. 
- The percentage of premises fully or broadly compliant with Food Health & Safety inspection has remained above its target of 97% at 98.7% in Q1 
- The end to end time to determine a planning application has decreased by 9.9 days to 57.44 days this quarter. 
- The percentage of Non-Major Planning Applications determined within the government target (70% in eight weeks) measured on a two year rolling basis remains above target (90%) with a figure of 94.67% 
- The percentage of Major Planning Applications determined within the government target (60% in 13 weeks) measured on a two year rolling basis remains above target (90%) with a figure of 100% 

#### 4.7 Recreation and Leisure

In comparison to quarter one last year, the total number of users at our health and recreation facilities has risen by 15,697, now totalling an impressive 244,381 as of quarter one this year. With Birchwood Leisure Centre now reopened with vast improvements, customers have been able to return to the facility. Effective marketing has also promoted the facility much better than ever before, and it is known that some of the increase is from new members who are accessing the new gym facilities. The team have asked for additional data for Q2 to include numbers of new members and also the spread of where they are coming from.

## 4.8 Waste Management

Note that the data presented here is as usual lagged and thus refers to Q4 2017/18

The percentage of waste recycled or composted has decreased from 30.9% in quarter one last year to 27.4% quarter one this year. This is also well below the lower target of 35%. In quarter one, the further drop in recycling/composting can be explained by the lack of a recycling collection due to the adverse weather experienced earlier this year. This meant some customers had delayed collections of the recycling, pushing their eventual recycling/composting collection into the following quarter. Of the 27.40% collected, 6.88% of waste was composted, and 20.51% of waste was recycled.

However, the full confirmed annual data for the year 2017/18 has now been published and that shows that we achieved 35.1% recycled or composted waste across the period. Of this 19.08% was recycled and 16.06% was composted. This total is within the annual target set.

## 4.9 Parking Services

The number of off street parking spaces operated by City of Lincoln Council (now standing at 3622) is 1,381 above the same point last year.

Overall utilisation of the car parks has decreased from last year (before the new multi-storey was built) and currently stands at 48% in quarter one this year. But this change needs to be set in the context of the significant increase in parking spaces and is not a drop in total usage. Whilst this is still below the lower target of 60%, income figures for the first quarter of 2018/19 against the same point in 2017/18 show a healthy 21% increase, which shows the additional capacity is creating significant income generation. (See the Q1 financial report for further details).

The Central car park has maintained a continued growth in usage, demonstrating that customers are trying and returning to the highest specification car park in the County.

The new building fits well within the landscape and compliments the rest of the transport hub. There is plenty of positive feedback from customers who like the light and open decks, with wide bays for ease of parking. They also appreciate the pay on foot system which allows payment for the parking actually used. The Central has been awarded the PARKMARK for a safe car park and the police assessors have praised the car park, which in their view, is one of the best in the Eastern region.

## 4.10 Public Protection and Antisocial Behaviour

The satisfaction of complainants relating to how the complaint was handled in the Anti-Social Behaviour team has decreased from last year's quarter one figure of 88% to 80% in quarter one this year. This is below its lower target of 85%, however it should be recognised that an achievement of 80% in an enforcement service is actually very positive.

Customer satisfaction continues to be undertaken by customer services. Over quarter one, April achieved 74% satisfaction, May 79% satisfaction and June 93% satisfaction. It's worth noting that there have not been any changes to how customer satisfaction is processed, however, vacant posts and changes within the team structure in April may have contributed to this decrease.

#### **4.11 Food Health & Safety (FHS) Enforcement**

The percentage of premises fully or broadly compliant with Food Health and Safety inspection has increased slightly from last quarter by 0.7%, and is again sitting above the target of 97% at a figure of 98.7% (98% last quarter). The total number of registered food businesses is 1027. Just 13 businesses are considered to be non-compliant of which 6 of those are new businesses. This is a considerable improvement and demonstrates the commitment of the service to direct resources to those businesses that are the greater risk to public health.

There are just 46 inspections outstanding, which includes the carryover from 2017/2018. There are no high risk red or amber inspections overdue, with six being new businesses and the remainder are green. This measure continues to be closely monitored.


#### **4.12 Development Management**





Quarter one saw 247 standard planning applications submitted, an increase of just 13 compared to last quarter. They were however dealt with in a much quicker average of 57.44 days, compared to the 67.34 days in quarter four. This was due to more straightforward applications being submitted that could be dealt with in a much shorter timescale.

The percentage of Non-Major Planning Applications determined within the government target (70% in eight weeks) measured on a two year rolling basis has maintained since last quarter, and is still above its target of 90% at 94.67%. In addition, the percentage of Major Planning Applications determined within the government target (60% in 13 weeks) measured on a two year rolling basis has maintained at an unbeatable 100%, higher than its target of 90%. The Development Management team prioritises Major Developments and manages the timescales effectively in cooperation with the applicant to ensure that this level of performance is achieved and more importantly, maintained.

Finally, the additional workload was completed against a background where 93% of planning applications were accepted and no planning appeals submitted. This kind of performance is evidence of how the team positively and pro-actively deal with growth in the City and is a testament to the work the Officers undertake in negotiating the best outcome prior to determination of an application.

#### **4.13 Key performance areas in Directorate for Housing and Regeneration**

- The rent collected as a proportion of rent owed remains above its target of 96.50% at a figure of 97.56%. 

- The current tenant arrears has increased by 0.61% from the quarter four figure of 2.11%, now at 2.72%, but better than the target of 3.5%. 
- The number of Homelessness applications progressed within the Housing team has increased by 114 compared to quarter one last year, now reporting at 167 under the new Homelessness Reduction Act changes 
- The percentage of rent lost through dwellings being vacant has decreased by 0.25%, now reporting at 0.72%. 
- The percentage of reactive repairs completed within target time remains above its target of 97.50% with a figure of 98% 

#### 4.14 Housing Investment

Excluding refusals there are currently 74 properties that are classed as non-decent. These properties are contained within the 2018-19 programme of improvement works to return them to the decent classification. We currently carry out stock condition surveys on our properties ahead of them been included within our yearly improvement programmes of work to ensure that accuracy of data within our asset management system.

We currently have a further 174 properties that are classed as non-decent, we are currently not able to carry out the identified improvement works due to the tenant refusing the work offered or not allowing access for us to carry out the required stock condition surveys.

In the coming year one of three actions will be taken on each of these items – improvement work will be carried out to make them “decent”, the tenant may refuse to allow the work, which is still deemed as a valid need and will be monitored, or the issue could be re-assessed as not requiring work yet.

#### 4.15 Rent Collection and arrears

In quarter one the level of rent collection decreased slightly from 99.68% to 97.56% this quarter. However it is still above its target of 96.50%. The slight decrease can be explained with the introduction of Universal Credit. A revision in internal targets for rent collection was implemented due to more and more of our existing tenants experiencing delays in receiving their first payment. This consequently affected collection figures for quarter one.

The current tenant arrears as a percentage of the annual rent debit has increased in quarter one to 2.72%, up from 2.11% in the last quarter. Similar to above, more and more tenants were experiencing delays in receiving their first payment with the introduction of Universal credit, which consequently affected arrears figures. This is however still above the target of 3.5%.

#### 4.16 Housing Solutions (Homelessness)

Due to the Homelessness Reduction Act changes which came into force in April 2018, we now have to open a homeless application/case for anyone eligible, threatened with homelessness within 56 days or is already homeless. The focus now, is to prevent

homelessness and to help support people to find and secure accommodation. This means the Council has a duty to start working with people who approach for help and advice, at an earlier stage and help should initially be offered regardless of whether the person has a local connection to Lincoln or a priority need for assistance. It is therefore likely that homelessness presentations will increase but the number of cases where homelessness is prevented will also increase. The team has been working to ensure that the service complies with legislation and over the next few months more work will take place to further develop and enhance the services offered. The team have also introduced changes to the Allocations Policy which means that the team can secure accommodation for those households who are statutory homeless, more quickly.

The number of homelessness applications progressed within the Housing Solutions team totalled 167 for quarter one. This is a considerable increase of 114 more progressed applications than in quarter one last year. Comparisons externally have shown that this is in line with national averages and not a Lincoln phenomenon, however this still brings pressures for the Housing Solutions team. The team try to prevent homeless applications being necessary and assist through the waiting list, supported housing and the private sector. Unfortunately, it is becoming increasingly difficult to house applicants in the private sector

#### **4.17 Housing Voids**

Following the recent focus on turning void properties around, the average re-let time for all dwellings (including major works) has continued to reduce a little in quarter one from 26.77 days in Q4 to 26.42 days in Q1. This is a big drop compared to 31.54 days taken in quarter one last year.

This means that the percentage of rent lost through dwellings being vacant has also seen a decrease of 0.25%, now reporting at 0.72%, from 0.97% last quarter and down 0.43% on this time last year. Future demolition works at De- Wint Court means that the void loss from these properties will not be included because they are no longer in management.

#### **4.18 Housing Maintenance**

The percentage of reactive repairs completed within target time has increased again for the fourth consecutive quarter, now reporting at 98%. This is above the target of 97.50% and in comparison to the last quarter, has increased by 0.51%. Last year, the team went back to schedule of rates and reviewed all tasks codes. This has enabled the team to allocate the correct timescales on repairs; for example one, three and 20 day repairs resulting in further improvements which were already made in the prior financial year.

## 5. OTHER ACHIEVEMENTS DURING THIS QUARTER

### 5.1 LABC Awards 2018

The Building Control team attended the LABC Excellence in the East Midlands Awards. The team received the following awards for their outstanding efforts.

- Winner of Best Educational Building – Isaac Newton Building Lincoln University with BAM Construction and Maber Architects
- Highly Commended award for Best Educational Building – Constance Stewart Hall, Bishop Grosseteste University with LK2 Architects and Robert Woodheads
- Winner of LABC Non-residential Construction Professional of the year – Rachel Casey with Ian Rainbow for BAM Construction on the Sarah Swift Buildings Lincoln University.



### 5.2 Lincoln Transport Hub awards piling up!



Lincoln's brand new Transport Hub has become the first bus station, bus interchange or coach station in the East Midlands to win the Safer Bus Station Award.

The award is a national accreditation which provides owners and operators of bus stations the opportunity to help reassure passengers and staff and reduce any fear they have of crime and anti-social behaviour.

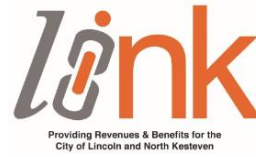
The Safer Bus Station scheme establishes a standard of good practice and accredits individual bus and coach stations whose operators have demonstrated a commitment to working with their local police force and other partners to reduce crime and create a safe and non-threatening environment.

Lincoln Transport Hub was also awarded the 2018 East Midlands Celebrating Construction Civil Engineering Project of the Year, as submitted by Architects JRA

### 5.3 IRRV Performance Awards 2018

The joint revenues and benefits service has this year been shortlisted for three awards in the Institute of Revenues Rating and Valuation (IRRV) Performance Awards for 2018, with the winners being announced in October 2018. This year the team have been shortlisted as finalist in the categories of:

- Benefits and Welfare Reform Team of the Year
- Most Improved Team of the Year
- Excellence in Partnership Working



#### 5.4 Council achieves record-breaking fine for rogue landlord

City of Lincoln Council took Mr Bijan Keshmiri of Wragby Road, Lincoln to Lincoln Magistrates' Court in June where the judge ordered him to pay £404,886.90 in fines and costs for a total of 28 offences in respect of four self-contained flats on Rosemary Lane and a property converted into two self-contained flats on Spa Buildings.

It is believed to be one of the biggest financial penalties ever handed out for an individual rogue landlord case in Britain.



#### 5.5 100 guests roll out to Lincoln Community Lottery launch

Lincoln Community Lottery was officially launched at a special event hosted by Lincoln Drill Hall on Tuesday 5 June 2018.



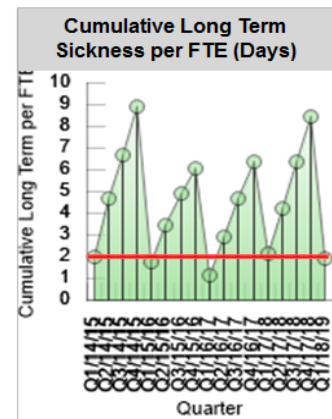
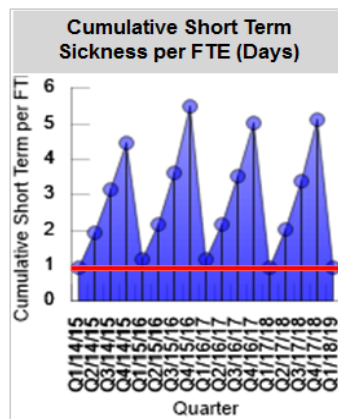
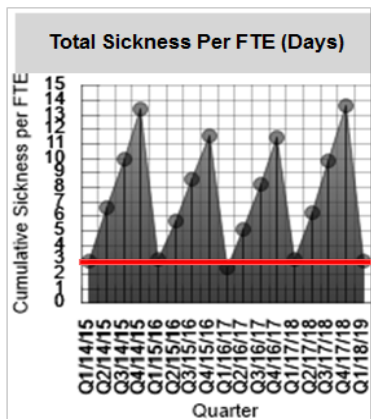
The evening aimed to encourage good causes to reap the rewards from City of Lincoln Council's new lottery, with 60 pence from every £1 ticket helping provide additional funding for charities, voluntary organisations and other good causes that operate in Lincoln and surrounding areas.

Around 100 guests attended the event to discover what the new lottery has to offer, with Lincoln Drill Hall being the first good cause to officially sign up to Lincoln Community Lottery. The first lottery draw will take place on the 11<sup>th</sup> August and we are hoping to have sold 1,000 tickets by that date.

## 6. CORPORATE MEASURES

### 6.1 Sickness Indicators – Q1 cumulative (Year to date) Q1 (only) Sickness data

	Short Term Sickness	Long Term Sickness	Total Sickness	No. of FTE Employees	Short Term Per FTE	Long Term Per FTE	Total Sickness per FTE
<b>CX (exc.app'r's)</b>	215.50	354.00	569.50	210.77	1.02	1.68	2.70
<b>DCE</b>	75.00	370.00	445.00	133.95	0.56	2.76	3.32
<b>DMD</b>	1.00	0.00	1.00	7.42	0.13	0.00	0.13
<b>DHR</b>	233.50	363.00	596.50	203.27	1.15	1.79	2.93
<b>TOTAL</b>	<b>525.00</b>	<b>1,087.00</b>	<b>1,612.00</b>	<b>555.41</b>	<b>0.95</b>	<b>1.96</b>	<b>2.90</b>



The overall sickness data as at the end of June is 2.9 days per FTE (excl. apprentices). This is 0.21 days less per FTE compared to the same point last year.

During quarter one, the long term sickness (sickness over 14 days) per FTE stood at 1.96 days. This is 0.21 days less than at the same point last year. In terms of short term sickness per FTE the quarter one figure stood at 0.95 days, which is exactly the same as at the same point last year.

CMT continues to place a keen focus on sickness and has recently conducted a Sickness Performance Clinic on Stress related sickness from which a number of actions have been identified and are being followed up through HR.

In addition, the Global Challenge is continuing at pace, involving 196 staff taking part in a 100 day virtual journey towards a healthier lifestyle. This involves trying to complete 10,000 steps a day and also monitors sleep and nutrition for each individual.

So far employees involved in the challenge Step Range Activity Levels are as follows:

Under 5,000 per day - (Inactive) - 1.0%

5,000 - 7,499 per day - (Somewhat Active) - 7.7%

7,500 - 9,999 per day - (Moderately Active) - 14.8%

10,000 - 12,499 per day - (Active) - 27.0%

12,500+ per day (Highly Active) - 49.5%

The total distance covered by all employees so far is 83,395 km (this equates to walking around the world twice). HR have received some very good feedback from employees on how this activity has made both them and their family members more active and has encouraged them to eat much healthier.

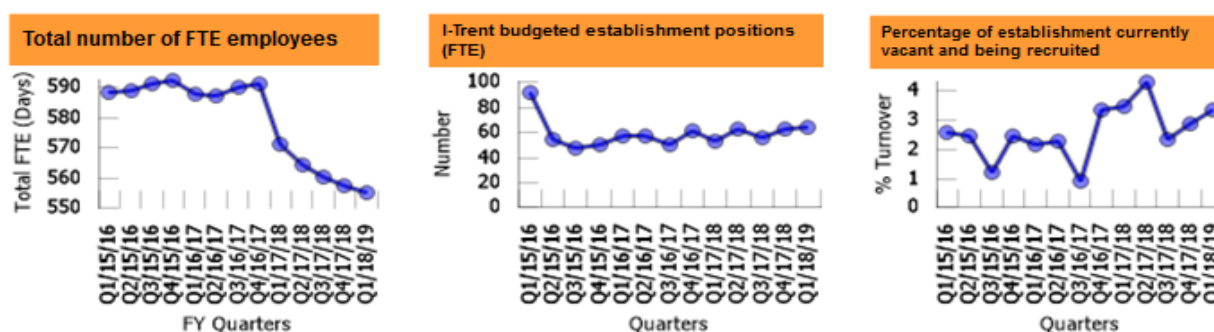
## 6.2 Apprentices sickness – Q1 cumulative

During quarter one, the apprentices lost a total of 46 days due to short term and long term sickness, which equates to a total of 2.41 days per FTE.

<b><u>Cumulative</u> sickness to Q1</b>	<b>Short term days lost</b>	<b>Long term days lost</b>	<b>Total days lost</b>	<b>Average Number of FTE this Q</b>	<b>Short term days lost per FTE</b>	<b>Long term days lost per FTE</b>	<b>Total days lost per FTE</b>
Apprentice sickness	30	16	46	19.43	1.57	0.84	2.41

### 6.3 Employees (FTE, vacancies and turnover) for Q1

Number of FTE employees (exc. App.s)	Q1 2017/18	Q2 2017/18	Q3 2017/18	Q4 2017/18	Q1 2018/19
CX - Number of FTE employees	216.20	211.85	209.46	209.08	210.77
DCE - Number of FTE employees	142.67	140.67	139.18	137.59	133.95
DHR - Number of FTE employees	205.22	203.91	204.18	203.63	203.27
DMD - Number of FTE employees	7.31	0.13	7.81	7.62	7.42
<b>TOTAL</b>	<b>571.40</b>	<b>564.24</b>	<b>560.63</b>	<b>557.92</b>	<b>555.41</b>
Average number of apprentices across the period					19.43
	Q1 2017/2018	Q2 2017/18	Q3 2017/18	Q4 2017/18	Q1 2018/19
I-Trent budgeted establishment positions (FTE)			56.20	63.00	64.50
Active vacancies which are being recruited (FTE)	22.00	20.80	25.50	17.00	30.60
	Q1 2017/18	Q2 2017/18	Q3 2017/18	Q4 2017/18	Q1 2018/19
Percentage of staff turnover	3.43%	4.24%	2.35%	2.83%	3.31%



The total number of FTE employees (excluding apprentices) at the end of quarter one was 555.41 with an average of 19.43 apprentices over the period.

In terms of the level of vacancies at quarter one - budgeted establishment unfilled positions (FTE) stood at 64.5 FTE. This figure has increased from that reported at quarter 4. It should be noted that the Council are actively recruiting to 30.6 FTE positions, also an increase over quarter four.

The percentage of staff turnover at the end of quarter one was 3.31%. In comparison to the previous quarter, this has increased by 0.48%.

The table below provides a breakdown of vacancies by directorate identifying budgeted unfilled FTE positions and those which are being actively recruited to.

Directorate	Number of vacancies	Post covered e.g. With an agency or secondment	Under review	Impending restructure	Reduced hours/ part time	Filled or currently recruiting	To be deleted (no longer exists)
CX	22.3	0	7.6	10.9	0	3.8	0
DCE	17.2	0.4	2.4	0	0.7	10.2	3.5
DHR	24.6	0.5	2	5.5	0	16.6	0
DMD	0.4	0	0	0	0.4	0	0
<b>Total</b>	<b>64.5</b>	<b>0.9</b>	<b>12</b>	<b>16.4</b>	<b>1.1</b>	<b>30.6</b>	<b>3.5</b>

## 6.4 Corporate Complaints – Q1 cumulative

The cumulative number of formal complaints received in quarter one was 75 which is a decrease of 15 when compared to the same period last year. The cumulative average time across all directorates to respond to formal complaints was 9.4 days, which is an increase of 2.6 days than the same point in 2017/18 (Q1).

We have one LGO complaint for DCE Directorate.

	Number of Formal Complaints Received (YTD)	Average time to respond to Formal complaints (Days) (YTD)	LGO complaints decided (YTD)	Number of Ombudsman decisions upheld (YTD)	LHO complaints decided (YTD)
CX	14	6.6	0	0	
DCE	25	15.6	1	0	
DHR	36	8.7	0	0	0
DMD	0	0.0	0	0	
TOTALS	75	9.4	1	0	

## 6.5 Appraisal Monitoring

	CX	DCE	DHR	DMD
Q1 2018/19	56%	86%	75%	25%

Appraisal Monitoring restarted for the year in April, please see below table for the breakdown of percentage of appraisals completed per directorate.

## 7. Strategic Priorities

- 7.1 Let's drive economic growth; Let's reduce inequality; Let's deliver quality housing; Let's enhance our remarkable place – As this report is purely concerned with service performance there are no direct impacts on Strategic Priorities, although clearly the better the performance the more services can contribute towards priorities.

## 8. Organisational Impacts

- 8.1 Finance (including whole life costs where applicable) - there are no direct financial implications as a result of this report. Further details on the Council's financial position can be found in the financial performance quarterly report elsewhere on the agenda.
- 8.2 Legal Implications including Procurement Rules – There are no direct legal implications

8.3 Equality, Diversity & Human Rights - Any impact of poor performance on individual groups is the responsibility of the relevant service area to consider. This report is simply a summary monitoring tool.

## **9. Risk Implications**

9.1 (i) Options Explored – not applicable

9.2 (ii) Key risks associated with the preferred approach – not applicable

## **10. Executive is asked to:**

a) Comment on the achievements, issues and any future concerns noted this quarter

b) Request that relevant portfolio holders ensure management has a local focus on those highlighted areas showing deteriorating performance

**Is this a key decision?**

No

**Do the exempt information categories apply?**

No

**Does Rule 15 of the Scrutiny Procedure Rules apply?**

No

**How many appendices does the report contain?**

One

**List of Background Papers:**

None

**Lead Officer:**

Pat Jukes: Business Manager,  
Corporate Policy Ext 3657

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APPENDIX A - CX Strategic Quarterly Measures Q1

Lean Area	Measure	Unit	Cumulative or Quarterly	High / Low is Good	Trend - Quarterly or Seasonal	Q1/17/18	Q2/17/18	Q3/17/18	Q4/17/18	Q1/18/19	Status	Q1/18/19 (Row Comment)	Under Performing	Target	Last Target Status
Work Based Learning	WBL 5 - Number of apprentices completing on time	Number	Cumulative	High is good	Seasonal	100%	100%	100%	100%	100%	Maintaining	7/7 apprentices within quarter 1 achieved their framework on time			
Work Based Learning	WBL 6 - Number of new starters on apprenticeships	Number	Cumulative	High is good	Seasonal	6	18	17	5	6	Maintaining	6 New starts within quarter 1			
Work Based Learning	WBL 7 - Number of apprentices moving into Education, Employment or Training	Number	Cumulative	High is good	Seasonal	100%	100%	100%	75%	100%	Improving	6/6 achievers moved in to Education/Employment or Training.	90%	100%	At target
Work Based Learning	WBL 8 - Number of early leavers	Number	Cumulative	Low is good	Seasonal	4	1	0	1	0	Maintaining	No early leavers			
Work Based Learning	WBL 9 - Employers / supervisors rating the WBL team as good or very good	%	Quarterly	High is good	Seasonal	100%	100%	100%	100%	100%	Maintaining	100% of employers rated the WBL team as good or very good in quarter 1			
Customer Services	CS 4 - Number of face to face enquiries	Number	Quarterly	Low is good	Seasonal	12,886	12,123	10,388	9,826	5,550	Improving	A significant drop from the same quarter last year, this is because we are no longer issue Travel Concessions			
Customer Services	CS 5 - Number of telephone enquiries answered	Number	Quarterly	Low is good	Seasonal	38,188	36,317	32,102	33,254	29,395	Improving	This is less than the previous quarter 1, we are no longer taking calls for Travel Concessions, a reduction of 8,793 calls from last quarter 1, we have also seen a reduction of 1000 calls for Garden Waste, more customers are self-serving			
Customer Services	CS 6 - Number of users logged into the self-service system MyInfo this quarter	Number	Quarterly	High is good	Seasonal	6,516	6,059	6,409	9,865	7,925	Improving	A more proactive approach to the marketing and delivery of the MyInfo service has meant that this quarter is again higher than the same point last year.			
Customer Services	CS 8 - Average time taken to answer a call to customer services	Seconds	Quarterly	Low is good	Seasonal	57	62	49	104	110	Deteriorating	This is a longer wait than previous quarters. As we have lost the Travel concessions contract we have reduced the number of CSAs and apprentices by 3 FTE and we have reduce team leaders from 4 FTE to 3.6 FTE and we are operating the information desk within our current resource. As well as changes to staffing we have experience unexpected issues, including system errors on our phone system.	50	40	Below Target
Human Resources	HU 4 - Number of grievances	Number	Quarterly	Low is good	Quarterly	0	1	1	0	1	Maintaining				
Human Resources	HU 5 - Number of disciplinary sanctions	Number	Quarterly	Low is good	Quarterly	0	4	2	0	2	Maintaining				
Accountancy	ACC 8 - Average return on investment portfolio	Number	Cumulative	High is good	Seasonal	0.31%	0.31%	0.53%	0.67%	0.57%	Maintaining	No change to the BoE rate this quarter - rates remain steady.			
Accountancy	ACC 9 - Average interest rate on external borrowing	%	Cumulative	High is good	Seasonal	4.07%	4.07%	4.07%	3.90%	3.90%	Maintaining	No further borrowing taken in the quarter - consistent with previous period			
Revenues Administration	REV 4 - Council Tax - in year collection rate for Lincoln	%	Cumulative	High is good	Seasonal	27.00%	53.17%	79.77%	97.17%	27.09%	Maintaining	0.09% above 2017/18 = £37,941 The total net receipt has also increased from 17/18 by £2,131,646	26.73%	27.14%	On Target
Revenues Administration	REV 5 - Business Rates - in year collection rate for Lincoln	%	Cumulative	High is good	Seasonal	35.83%	61.13%	86.43%	98.87%	35.86%	Maintaining	0.03% above 2017/18 = £13,697 The total net receipt has also increased from 17/18 by £1,572,663	30.07%	30.53%	Above Target
Revenues Administration	REV 6 - Level of outstanding customer changes in the Revenues team	Number	Quarterly	Low is good	Seasonal	503	624	80	121	659	Deteriorating	Increase due to reduced staffing. Contingency plan is in place from 16 July 2018 which should see a significant reduction in the outstanding customer changes during Q2			
Housing Benefit Administration	BE 4 - Average (YTD) days to process new housing benefit claims from date received	Days	Cumulative	Low is good	Quarterly	23.06	23.24	23.73	24.29	30.13	Deteriorating	Increase in time to provide income details for those HB customers who claim UC may be impacting on processing times.	26.00	24.00	Below Target
Housing Benefit Administration	BE 5 - Average (YTD) days to process housing benefit claim changes of circumstances from date received	Days	Cumulative	Low is good	Seasonal	5.38	7.62	7.93	4.00	4.72	Maintaining		6.00	5.00	Above Target
Housing Benefit Administration	BE 6 - Number of Housing Benefits / Council Tax support customers awaiting assessment	Number	Cumulative	Low is good	Seasonal	577	810	556	696	1,323	Deteriorating	1323 outstanding customers - of these 890 are waiting a fist contact. The increase may be due to the number of contacts via Universal Credit.			

Lean Area	Measure	Unit	Cumulative or Quarterly	High / Low is Good	Trend - Quarterly or Seasonal	Q1/17/18	Q2/17/18	Q3/17/18	Q4/17/18	Q1/18/19	Status	Q1/18/19 (Row Comment)	Under Performing	Target	Last Target Status
Housing Benefit Administration	BE 7 - Percentage of risk-based quality checks made where Benefit entitlement is correct	%	Cumulative	High is good	Quarterly	91.00%	91.00%	91.00%	92.00%	87.50%	Maintaining	Whilst the accuracy as a percentage has decreased slightly, the number of claims checked is significantly higher due to the implementation of the quality checking policy	86.50%	91.50%	On target
Housing Benefit Administration	BE 8 - The number of new benefit claims year to date (Housing Benefits / Council Tax Support)	Number	Cumulative	Low is good	Seasonal	1,813	3,731	5,513	7,296	1,322	Maintaining	HB 372/ CTR 950 New claims for HB decreasing as people migrate to UC.			

CX Annual Strategic Measures Q1

Service Area	Measure	Unit	Cumulative or Quarterly	High / Low is Good	Trend - Quarterly or Seasonal	2016/2017	2017/2018	Status	2017/2018 (Row Comment)	Under Performing	Target	Last Target Status
<u>Debtors &amp; Creditors</u>	<u>DCT 6 - Percentage of invoices paid within 30 days</u>	<u>%</u>	Quarterly	<u>High is good</u>		97.03%	95.17%	Maintaining	Figures are calculated on all invoices & credit notes (not refunds) paid 01/04/2017 to 31/03/2018. Figures are adjusted based on certain assumptions as below: -  1) No invoice collected by supplier from CoLC by Direct Debit classified as late. 2) No credit note taken by CoLC outside of the 30 days classified as late. 3) 0.5% of those invoices paid after 30 days were held in dispute at some point, hence paid later after dispute was resolved 4) 2.0% of those invoice paid after 30 days were held back from payment because the overall balance with the supplier was in credit. This is an increased percentage on last year as two major accounts (SSE and Lex Autolease) were closed during the year and sent refunds to the Council.			
<u>Debtors &amp; Creditors</u>	<u>DCT 9 - Percentage of invoices that have a Purchase Order completed</u>	<u>%</u>	Quarterly	<u>High is good</u>		40.76	41.60	Maintaining	Based on supplier expenditure only. 17,010 GL lines in total representing all supplier expenditure. Of these 7,076 lines were linked to either an Agresso or UH order number.			

APPENDIX A - DCE Strategic Quarterly Measures Q1

Service Area	Measure	Unit	Cumulative or Quarterly	High / Low is Good	Trend - Quarterly or Seasonal	Q1/17/18	Q2/17/18	Q3/17/18	Q4/17/18	Q1/18/19	Status	Q1/18/19 (Row Comment)	Under Performing	Target	Last Target Status
CCTV	CCTV 6 - Total number of incidents handled by CCTV operators	Num	Quarterly	High is good	Quarterly	3,452	3,519	3,374	3,380	3,191	Maintaining				
Recreation Services	RES 17 - Total number of users of our Health & Recreation facilities per quarter	Num	Quarterly	High is good	Seasonal	228,684	209,284	190,198	218,181	244,381	Improving	As expected this quarter, the number of users at our Health and Rec facilities has risen. This is due to the fact that Birchwood LC is now fully open, and the effective marketing of the facility is encouraging people to use it.			
Waste & Recycling	WM 5 - Percentage of waste recycled or composted	%	Quarterly	High is good	Seasonal	30.90%	39.90%	38.20%	33.70%	27.40%	Deteriorating	This figure relates to data from quarter 4. 6.88% of waste was composted, and 20.51% of waste was recycled, equating to 27.4% of waste being composted or recycled.	35%	45%	Below Target
Parking Services	PS 6 - Overall percentage utilisation of all car parks (P8)	%	Quarterly	High is good	Seasonal	69.00%	68.00%	70.00%	45.00%	48.00%	Deteriorating	This drop in utilisation is due to Lincoln Central being added into the equation and Tentercroft Street being fully opened therefore more spaces available than demand. We also now operate the University of Lincoln car park at weekends. Income figures for the first quarter of 2018/19 against the same point in 2017/18 show a healthy 21% increase, which shows the additional capacity is creating significant income generation.	60.00%	70.00%	Below Target
Parking Services	PS 7 - Number of off street charged parking spaces	Num	Quarterly	High is good	Seasonal	2,241	2,241	2,880	3,622	3,622	Improving	Floor 4 at Lincoln Central car park opened during March meaning additional spaces. Tentercroft St also reopened in February with 311 spaces (previously 75 Spaces). We also now operate the University of Lincoln car park at weekends.			
Allotments	AM 8 - Percentage occupancy of allotment plots	%	Quarterly	High is good	Seasonal	82.20%	82.87%	82.50%	80.10%	84.20%	Maintaining	As at the end of June 2018, 882 plots of a total 1105 plots were let, equating to 79.8%. Of the 1048 lettable plots, 882 occupied plots which equates to 84.2%.			
Public Protection and Anti-Social Behaviour Team	AB 4 - Number of service requests for Public Protection and ASB	Num	Quarterly	Low is good	Seasonal	978	818	612	587	817	Maintaining	As expected over the warmer months, the service is starting to see an increase in requests for service.			
Public Protection and Anti-Social Behaviour Team	AB 5 - Satisfaction of complainants relating to how the complaint was handled	%	Cumulative	High is good	Quarterly	88.00%	68.00%	89.00%	87.00%	80.00%	Deteriorating	Customer satisfaction continues to be undertaken by customer services. Over the quarter April achieved 74%, May 79% and June 93%. There have not been any changes to process however vacant posts and changes within the team around April may have contributed although it could be coincidental.	85%	87.50%	Below Target
Food and Health & Safety Enforcement	FHS 4 - Percentage of premises fully or broadly compliant with Food Health & Safety inspection	%	Quarterly	High is good	Quarterly	96.7%	97.8%	98.1%	98.0%	98.7%	Maintaining	The total number of registered food businesses is 1027. 13 businesses are considered to be non-compliant of which 6 of those are new businesses.	95.00%	97%	Above Target
Food and Health & Safety Enforcement	FHS 5 - Average time from actual date of inspection to achieving compliance	Days	Quarterly	Low is good	Quarterly	9.00	9.90	13.25	10.40	9.50	Maintaining				
Food and Health & Safety Enforcement	FHS 6 - Percentage of official controls that should have been completed and have been in that time period (cumulative data)	%	Quarterly	High is good	Quarterly	90.10%	81.10%	84.50%	94.00%	90.00%	Maintaining	There are 46 inspections outstanding this includes the carryover from 17/18. There are no high risk red or amber inspections overdue, 6 are new businesses and the remainder are green. This measure continues to be closely monitored.	75.00%	97.00%	On target
Development Management (Planning)	DM 11 - End to end time to determine a planning application (Days)	Days	Quarterly	Low is good	Quarterly	63.49	54.32	58.04	67.34	57.44	Improving	Marked improvement in performance due to a higher number of more straightforward applications being submitted which can be dealt with in a shorter timescale.			
Development Management (Planning)	DM 13 - Number of live planning applications open	Num	Quarterly	Low is good	Quarterly	161	120	97	126	121	Maintaining	The number of live applications has remained consistent despite receiving more applications overall in the quarter and this is due to the decrease in end to end times.			
Development Management (Planning)	DM 16 - Percentage of applications approved	%	Quarterly	High is good	Quarterly	93%	95%	95%	96%	93%	Maintaining		85%	97%	On Target
Development Management (Planning)	DM 20 - Number of planning appeals allowed	Num	Quarterly	Low is good	Quarterly	0	2	1	0	0	Maintaining				
Development Management (Planning)	DM 21 - Percentage of Non-Major Planning Applications determined within the government target (70% in 8 weeks) measured on a 2 year rolling basis	%	Quarterly	High is good	Quarterly	90.29%	94.30%	95.00%	95.00%	94.67%	Maintaining	Excellent performance sustained for the third consecutive quarter and significantly above the critical nationally set target of 70%.	70.00%	90.00%	Above Target
Development Management (Planning)	DM 22 - Percentage of Major Planning Applications determined within the government target (60% in 13 weeks) measured on a 2 year rolling basis	%	Quarterly	High is good	Quarterly	96.36%	98.18%	98.28%	100.00%	100.00%	Maintaining	The team prioritises major developments and manages the timescales effectively in cooperation with the applicant to ensure that this performance is maintained at the highest level.	60.00%	90.00%	Above Target
Development Management (Planning)	DM 8 - Number of applications in the quarter	Num	Quarterly	High is good	Quarterly	278	246	264	234	247	Maintaining				

Annual Measures

Service Area	Measure	Unit	Cumulative or Quarterly	High / Low is good	2016/2017	2017/2018	2018/2019	Status	Q1/18/19 (Row Comment)	Under Performing	Target	Last Target Status
Affordable Housing	AH 8 - The number of eligible sites where the full Affordable Housing requirement was negotiated at or above the current target	Num	Quarterly	High	No data	No data	No data	N/A		75%	100%	N/A

APPENDIX A - DHR Strategic Quarterly Measures Q1

Service Area	Measure	Unit	Cumulative or Quarterly	High / Low is Good	Quarterly or Seasonal	Q1/17/18	Q2/17/18	Q3/17/18	Q4/17/18	Q1/18/19	Status	Commentary	Under Performing	Target	Last Target Status
<u>Housing Investment</u>	HI 4 - Percentage of council properties that are not at the 'Decent Homes' standard (excluding refusals)	%	Cumulative	Low is good	Seasonal	0.00%	0.00%	0.00%	0.00%	0.94%	Maintaining				
<u>Housing Investment</u>	HI 6 - Number of properties 'not decent' as a result of tenants refusal to allow work (excluding referrals)	Number	Quarterly	Low is good	Seasonal	3	4	4	4	174	Maintaining	At the start of each financial year a number of properties become non decent as a result of the ageing of key components used to calculate 'Disrepair' and 'Reasonably modern facilities' failures. Since Dec-17, we have attempted to stock condition survey these properties to assess failures and, if necessary, place these properties onto the relevant replacement programme. The Refusals relate to Boilers and Heating systems that have been either serviced or shown to be in good working order or have been capped. The new failures since the year end relate predominately to door replacements and Chimneys/Roofs which are being reassessed through targeted stock condition surveys.			
<u>Housing Investment</u>	HI 7 - Percentage of dwellings with a valid gas safety certificate	%	Cumulative	High is good	Quarterly	99.95%	99.95%	99.95%	99.96%	99.85%	Maintaining				
<u>Control Centre</u>	CC 5 - Percentage of calls answered within 60 seconds	%	Quarterly	High is good	Quarterly	98.48%	98.37%	98.36%	98.25%	99.09%	Maintaining				
<u>Rent Collection</u>	RC 3 - Rent collected as a proportion of rent owed	%	Cumulative	High is good	Quarterly	98.88%	98.21%	99.27%	99.68%	97.56%	Maintaining	Due to the introduction of Universal Credit we have revised our own internal targets for rent collection. Due to more and more of our existing tenants applying for Universal Credit and the delay in tenants receiving their first payment it has affected our collection figures.	93.00%	96.50%	Above Target
<u>Rent Collection</u>	RC 4 - Current tenant arrears as a percentage of the annual rent debit	%	Cumulative	Low is good	Quarterly	2.41%	2.59%	2.22%	2.11%	2.72%	Maintaining	Due to the introduction of Universal Credit we have revised our own internal targets for rent arrears. Due to more and more of our existing tenants applying for Universal Credit and the delay in tenants receiving their first payment it has affected our arrears figures. Our target for rent arrears this year is 3.5% due to this.	5.60%	3.50%	Above Target
<u>Housing Solutions</u>	HS 3 - The number of people currently on the housing waiting list	Number	Cumulative	Low is good	Quarterly	1,751	1,681	1,653	1,693	1,692	Maintaining				
<u>Housing Solutions</u>	HS 4 - The number of Homelessness applications progressed within the Housing team	Number	Cumulative	Low is good	Seasonal	53	127	183	279	167	Deteriorating	Due to the Homelessness Reduction Act changes which came into force in April 2018, we now have to open a homeless application/case for anyone eligible, threatened with homelessness within 56 days or is already homeless which has in turn increased the number of applications recorded.			
<u>Housing Voids</u>	HV 7 - Percentage of rent lost through dwelling being vacant	%	Cumulative	Low is good	Quarterly	1.15%	1.06%		0.97%	0.72%	Improving	Future demolition works at De- Wint Court have caused the void loss to come off these properties because they are no longer in management.			
<u>Housing Voids</u>	HV 9 - Average re-let time calendar days for all dwellings (including major works)	Days	Cumulative	Low is good	Quarterly	31.54	30.00	27.16	26.77	26.42	Maintaining		28	25	On Target
<u>Housing Maintenance</u>	HM 3 - Percentage of reactive repairs completed within target time	%	Cumulative	High is good	Quarterly	97.16%	96.52%	96.98%	97.49%	98.00%	Maintaining	Performance remains strong in this area. Last year we went back to SORs and we reviewed all tasks codes. This has enabled us to allocate the correct timescales on repairs e.g. 1, 3 and 20 day resulting in further improvements which were already made in the prior financial year.	95.00%	97.50%	Above Target
<u>Housing Maintenance</u>	HM 4 - Percentage of repairs fixed first time	%	Cumulative	High is good	Quarterly	86.94%	88.01%	88.91%	90.21%	93.38%	Maintaining				
<u>Housing Maintenance</u>	HM 5 - Appointments kept as a percentage of appointments made	%	Cumulative	High is good	Quarterly	96.52%	96.25%	95.71%	95.85%	96.56%	Maintaining				

**EXECUTIVE**

**29 AUGUST 2018**

<b>SUBJECT:</b>	<b>STRATEGIC RISK REGISTER – QUARTERLY REVIEW</b>
<b>REPORT BY:</b>	<b>CHIEF EXECUTIVE AND TOWN CLERK</b>
<b>LEAD OFFICER:</b>	<b>JACLYN GIBSON, CHIEF FINANCE OFFICER</b>

**Purpose of Report**

To provide CMT with a status report of the revised Strategic Risk Register as at the end of the first quarter 2018-19.

**Executive Summary**

An update of the Strategic Risk Register, developed under the risk management approach of 'risk appetite', was last presented to CMT and Members in May 2018 and contained seven strategic risks.

Since reporting to CMT and the Executive in May 2018, the Strategic Risk Register has been reviewed and updated by the relevant Assistant Directors. This review has identified that there have been some positive movement in the Risk Register.

The updated Register is attached at Appendix A, this contains seven strategic risks.

**Movements in the Strategic Risk Register**

A number of further control actions have now been progressed or completed and the key movements are outlined as follows:

Risk No 2) To deliver a sustainable Medium term Financial Strategy - Mitigation action plans to be developed and implemented in response to forecast overspend reported at Q1 – Aug 18. A Budget Strategy including review of assumptions and budget pressures to be prepared in September alongside the development of BR Pilot Bid for 2019/20.

Risk No. 3 - To ensure compliance with statutory duties and appropriate governance arrangements are in place, including: health and safety, Information Management/IT Security and ICT Disaster Recovery - Continue the current review of contracts for personal data and implementing and reviewing processes for retaining and disposing of documents in systems. Further data protection sessions carried out across the teams and the e-learning package and low risk data protection training rolled out.

Risk No. 7 - Ensure sufficient levels of resilience and capacity exist in order to deliver key strategic projects within the Council. Commencement of recruitment process for vacant Director of Housing & Regeneration and management restructure consultation scheduled in August with approval scheduled by Executive in September 2018.

The above movement in control actions has resulted in one change to the assessed levels of likelihood and impact of risks identified on risk no. 7).

Control actions continue to be implemented and risks managed accordingly:

<b>Risk No.</b>	<b>Risk Rating</b>	<b>Likelihood</b>	<b>Impact</b>
1, 2 & 5	Red/High	Probable	Critical
6 & 7	Amber/Medium	Probable	Major
3 & 4	Amber/Medium	Possible	Major

A revised Strategic Risk Register is attached at Appendix A.

### **Strategic Priorities**

Sound risk management is one way in which the Council ensures that it discharges its functions in accordance with its expressed priorities, as set out in the Vision 2020, and that it does so in accordance with statutory requirements.

### **Organisational Impacts**

Finance – There are no direct financial implications arising as a result of this report. The Council's Strategic Risk Register contains two specific risks in relation to the Medium Term Financial Strategy and the Towards Financial Sustainability Programme.

Legal Implications including Procurement Rules – The Council is required under the Accounts and Audit Regulations 2011 to have a sound system of Internal Control which facilitates the effective exercise of the Council's functions and which includes arrangements for the management of risk. The maintenance of a Strategic Risk Register and the control actions which the Council undertakes are part of the way in which the Council fulfils this duty.

### **Risk Implications**

The Strategic Risk Register contains the key strategic risks to the delivery of the Council's medium and longer term priorities. A failure to monitor the action that is being taken to manage these risks would undermine the Council's governance arrangements.

### **Recommendations**

Executive are asked to note and comment on the Strategic Risk Register as at the end of the first quarter 18-19.

**Key Decision** No

**Do the Exempt Information Categories Apply?** No

**Call in and Urgency: Is the decision one to which Rule 15 of the Scrutiny Procedure Rules apply?** No

**How many appendices does the report contain?** Strategic Risk Register – Appendix A

**List of Background Papers:** N/A

**Lead Officer:** Jaclyn Gibson  
Chief Finance Officer

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# CITY OF LINCOLN STRATEGIC RISK REGISTER

Likelihood	4 Almost Certain				
	3 Probable			6. 7.	2.
	2 Possible			4.3.	1. 5.
	1 Hardly Ever				
		1 Negligible	2 Minor	3 Major	4 Critical
		Impact			

## STRATEGIC RISK REGISTER:

### REVIEWED DATES:

CMT 07/11/17

Risk owners 06.02.18

CMT 08/02/18

Risk owners 25.04.18

CMT 08.05.18

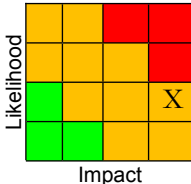
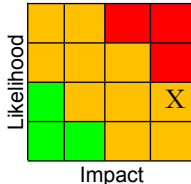
Tool 1. Risk Appetites - [U:\Current\\_RISK\\_Management\Toolkit - JULY 2018\Tool No 1 Risk appetites.pdf](U:\Current_RISK_Management\Toolkit - JULY 2018\Tool No 1 Risk appetites.pdf)

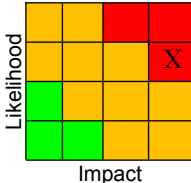
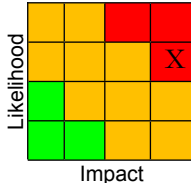
*Those “green” risks that have been on the risk register for 6 months or more can now be classed as “business as usual” risk and therefore be removed from the register*

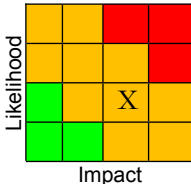
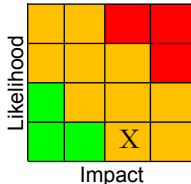
67

Likelihood	4 Almost certain	Retain	Transfer Modify Retain	Avoid Transfer Modify	Avoid Transfer Modify	Description of occurrence	Occurs several times per year. It will happen.
	3 Probable	Retain	Prioritise for Modifying Retain	Transfer Modify Retain	Avoid Transfer Modify		It has happened before and could happen again.
	2 Possible	Retain	Prioritise for Modifying Retain	Prioritise for Modifying Retain	Transfer Modify Retain		It may happen but it would be unusual.
	1 Hardly ever	Retain	Retain	Retain	Prioritise for Modifying Retain		Never heard of it occurring. We can't imagine it occurring.
		1 Negligible	2 Minor	3 Major	4 Critical		

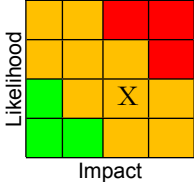
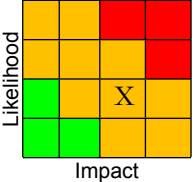
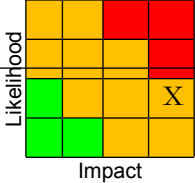
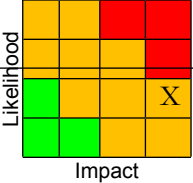
Impact	Service Delivery	Finance	Reputation	People
Critical (4)	Prolonged interruption to service	Severe costs incurred	Adverse national coverage with significant change in stakeholder confidence	Fatality, disability or serious long term health problem
Major (3)	Key targets missed- some service compromised	Significant costs incurred	Adverse local media coverage with moderate change in stakeholder confidence	Series injuries. Exposure to dangerous conditions
Minor (2)	Management action required to over short – term difficulties	Some costs incurred (handled within management budgets)	Adverse local media for 1-7 days	Minor injuries or discomfort. Feeling unease
Negligible (1)	Handled within day to day routines	Little loss anticipated	No significant comment or media coverage	No injury

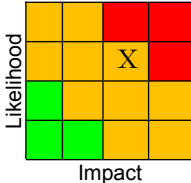
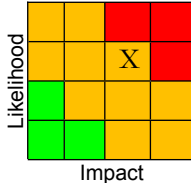

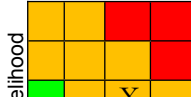
Risk No:	Risk Description	Risk Owner	Risk Appetite	Controls/Actions		Current Risk Score	Target Risk Score at end of March 2018	Level of Mgmt Assurance - (Full, Substantial, Limited, No)	Assurance – Direction of Travel (Improving, Static, Declining)
				Current/Already in Place	Required Mitigation (inc timescales)				
1.	Engaging with the Council's strategic partners, council staff and stakeholders to deliver against the Council's Vision 2020.	CX	<b><u>Creative &amp; Aware</u></b>  Projects & Major Change  Partnerships	<ul style="list-style-type: none"> <li>New Vision 2020 including 4 new strategic priorities launched internally</li> <li>Vision developed following extensive consultation with businesses, partners and community groups.</li> <li>Strong focus internally on 4 very clear strategic priorities within the Vision 2020</li> <li>Resources in MTFS directed towards strategic projects</li> <li>Dedicated officer support to ensure delivery of the 3-year programme, 'keeping the Vision alive'.</li> <li>Communications plan and stakeholder mapping done</li> <li>Review of internal delivery groups to ensure focus on delivery of projects</li> <li>First 4 x Vision Group meetings took place w/c 2.5.17 and continue</li> <li>All Vision 2020 related internal comms now being clearly flagged as being Vision 2020 projects</li> <li>Comms log' now being kept, to keep abreast of all Vision 2020 comms activity – both internal and external</li> <li>External launch of Vision including engagement with the GLLEP, Chamber of Commerce etc. –Feb 2017</li> <li>Promotion of the Vision through hoarding displays</li> <li>Online 'Engine Room'</li> </ul>	<ul style="list-style-type: none"> <li>High Performing Services monitoring arrangements in place</li> <li>Follow up session with key partners to be arranged following COL Vision 2020 Conferences Q2</li> <li>Revision of internal and external communication methods to be undertaken– Ongoing</li> <li>Continuation of partner meetings and 3rd sector - ongoing</li> </ul>			Substantial	Static

Risk No:	Risk Description	Risk Owner	Risk Appetite	Controls/Actions		Current Risk Score	Target Risk Score at end of March 2018	Level of Mgmt Assurance - (Full, Substantial, Limited, No)	Assurance – Direction of Travel (Improving, Static, Declining)
				Current/Already in Place	Required Mitigation (inc timescales)				
69				launched 22.6.17, <ul style="list-style-type: none"> <li>Physical Engine Room designed in Committee Room 4</li> <li>Annual Report with a focus on achievements towards Vision 2020 – to be sent to stakeholders by CX/Leader – Nov 2017</li> <li>Vision 2020 staff roadshows undertaken in January 2018.</li> <li>Sponsorship of Lincolnshire Construction and Property Awards in February 2018</li> <li>Successful COL Vision 2020 Conference held in March 2018.</li> <li>Alignment of Vision 2020 with Portfolios – May 2018</li> </ul>					
2.	To deliver a sustainable Medium term Financial Strategy	CFO	<b><u>Creative &amp; Aware</u></b>  Finance & Money	<ul style="list-style-type: none"> <li>MTFS 2018-23 approved in March 2018, continues to support Vision 2020.</li> <li>Good financial management with               <ul style="list-style-type: none"> <li>Quarterly monitoring and reporting to CMT, Exec and Performance Scrutiny Committee (including specific risks)</li> <li>SPIT monitoring of capital programme</li> <li>Savings targets monitored through Towards Financial Sustainability (Risk No 4)</li> <li>Key income budgets monitored monthly by CMT with mitigation plans for areas of target monitored quarterly.</li> <li>Monitoring arrangements</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Link to TOFS Programme, risk no 4 below.</li> <li>Continued assessment of future funding reforms, including The Fair Funding Review, reset of business rates baselines and 75% retention of business rates – Ongoing –</li> <li>Mitigation action plans to be developed and implemented in response to forecast overspend reported at Q1, including car parking income generation strategy -</li> </ul>			Substantial	Declining

Risk No:	Risk Description	Risk Owner	Risk Appetite	Controls/Actions		Current Risk Score	Target Risk Score at end of March 2018	Level of Mgmt Assurance - (Full, Substantial, Limited, No)	Assurance – Direction of Travel (Improving, Static, Declining)
				Current/Already in Place	Required Mitigation (inc timescales)				
				<p>firmly established for business rates, including the Lincolnshire Pool</p> <ul style="list-style-type: none"> <li>Budget flexibility to deal with in year changes</li> <li>Council has been successful in its bid to be a 100% Business Rates Pilot for 2018/19 with all Lincolnshire Districts together with the County and North Lincolnshire Council. <b>New monitoring arrangements now in place.</b></li> </ul>	<p><b>Aug 18</b></p> <ul style="list-style-type: none"> <li><b>Budget Strategy including review of assumptions and budget pressures to be prepared – Sept 18</b></li> <li><b>Development of BR Pilot Bid for 2019/20 – Sept 18</b></li> </ul>				
3.  70	<p>To ensure compliance with statutory duties and appropriate governance arrangements are in place, including:</p> <ul style="list-style-type: none"> <li>Health &amp; Safety</li> <li>Information Management/IT Security</li> <li>ICT Disaster Recovery</li> </ul>	CLT	<p><b><u>Creative &amp; Aware</u></b></p> <p>Regulatory standing &amp; legal compliance</p> <p><b>Cautious</b></p> <p>Business Continuity</p>	<ul style="list-style-type: none"> <li>Annual Governance Statement reviewed on an annual basis with plan/milestones developed for all significant issues, delivery of which is monitored quarterly through the Assistant Directors Team/Audit Committee</li> <li>Internal audit reviews undertaken as part of annual audit plan</li> <li>Health and Safety Development Plan/Work Programme in progress (includes the development of specific action plans e.g Asbestos)</li> <li>Corporate Groups in place which monitor work programmes/ actions for H&amp;S, e.g. Safety Matters Review Group/Champions</li> <li>Information Management Strategy and Action Plan approved in November 2015. Key elements being training programme for teams now completed and</li> </ul>	<ul style="list-style-type: none"> <li>Continued progression of ongoing actions in Information Governance Strategy. Data Protection e-learning package for all staff. To be re-presented every 2 years</li> <li>Information Management policies to be updated to reflect GDPR by May 18.</li> <li>Continued progression of GDPR Action Plan and Training Needs Plan.</li> <li><b>Waiting outcome of HSE inspection – outcome could be expected</b></li> </ul>			Substantial	<b>Static</b>

Risk No:	Risk Description	Risk Owner	Risk Appetite	Controls/Actions		Current Risk Score	Target Risk Score at end of March 2018	Level of Mgmt Assurance - (Full, Substantial, Limited, No)	Assurance – Direction of Travel (Improving, Static, Declining)
				Current/Already in Place	Required Mitigation (inc timescales)				
71				<p>Information Asset Audit conducted.</p> <ul style="list-style-type: none"> <li>Information Asset Register created and updated Retention schedules.</li> <li>Info Governance Project Officer post extended to complete action plan – including policy work, staff training.</li> <li>Formation of GDPR working group and Action Plan, being overseen by IG Group and Audit Committee</li> <li>Restructure of Health &amp; Safety Team completed and all roles now recruited to.</li> <li>Positive progression of actions in Health and Safety Development Plan (specific timescales in plan, majority of areas complete). Internal Audit carried out a review of CH&amp;S to assess progress against plan – Mar 17. Substantial assurance</li> <li>ITDR Plans – Business continuity arrangements for IT including new serves at Hamilton House now in place and endorsed at CMT.</li> <li>ITBC plan now endorsed and all critical service BCP's has been reviewed – March 2018</li> <li>DR procedure manual has been developed ( which is expected to change frequently as we build and refine)</li> <li>Revision of procedures for management of non-operational buildings completed and control</li> </ul>	<p>anytime up to October 2019</p> <ul style="list-style-type: none"> <li>ITDR plan endorsed and now needs testing which is to be scheduled in new financial year</li> <li>Continue the current review of contracts for personal data</li> <li>Implementing and reviewing process for retaining and disposing of documents in systems</li> <li>Data protection sessions carried out across the teams and the e-learning package and low risk data protection training rolled out.</li> </ul>				

Risk No:	Risk Description	Risk Owner	Risk Appetite	Controls/Actions		Current Risk Score	Target Risk Score at end of March 2018	Level of Mgmt Assurance - (Full, Substantial, Limited, No)	Assurance – Direction of Travel (Improving, Static, Declining)
				Current/Already in Place	Required Mitigation (inc timescales)				
				measures implemented February 2018 <ul style="list-style-type: none"> <li>DPO has been appointed.</li> <li>GDPR included in Vision 2020 project plans.</li> </ul>					
4.	Deliver the Towards Financial Sustainability Programme whilst ensuring the resilience of the Council	CFO	<b><u>Creative &amp; Aware</u></b>  Projects & Major Change  <b><u>Hungry</u></b>  Reputation and Public Confidence	<ul style="list-style-type: none"> <li>TFS Board and Programme Team in place.</li> <li>Established procedures and monitoring arrangements</li> <li>Reporting of achievement against targets included within quarterly financial monitoring/performance monitoring reports to Executive/Performance Scrutiny Committee</li> <li>Inclusion of ToFS Projects on DMT agendas to ensure focus remains on delivering against timescales.</li> <li>Annual reporting of progress and forward programme PSC</li> <li>Programme of reviews in place and monitored monthly through Board and Team.</li> <li>Target of £3.5m for 2017/18 overachieved.</li> <li>Savings targets increased as part of MTFS 2018-23.</li> <li>Delivery of Phase 5 (designed to overachieve targets in MTFS) commenced in November 2017 with a focus on 3 strands.</li> </ul>	<ul style="list-style-type: none"> <li>Monitor delivery of Phase 5 Programme through established arrangements - ongoing</li> </ul>			Full	Static
5.	Develop an appropriate strategic	CX	<b><u>Creative &amp; Aware</u></b>	<ul style="list-style-type: none"> <li>Information gathering and a watching brief on national and local developments</li> </ul>	<ul style="list-style-type: none"> <li>Information gathering and a watching brief on national and local</li> </ul>			Substantial	Static

Risk No:	Risk Description	Risk Owner	Risk Appetite	Controls/Actions		Current Risk Score	Target Risk Score at end of March 2018	Level of Mgmt Assurance - (Full, Substantial, Limited, No)	Assurance – Direction of Travel (Improving, Static, Declining)
				Current/Already in Place	Required Mitigation (inc timescales)				
	response to the changing structures in Local Government		Partnerships	<ul style="list-style-type: none"> <li>Formation of RLG Group (Reshaping Local Government) has been formed and meets regularly to review local and national developments, which continue to be monitored regularly. This includes the proposed business rate retention consultation, and any proposals for fairer funding arrangements.</li> </ul>	developments – ongoing. <ul style="list-style-type: none"> <li>Reviewing a range of policies, statistics and potential scenarios and keeping a watching brief nationally</li> </ul>				
6.  73	Meet the emerging changes required in the Council's culture, behavior and skills to support the delivery of the council's Vision 2020 and the transformational journey to a "performance culture".	CS	<b><u>Creative &amp; Aware</u></b>  People	<ul style="list-style-type: none"> <li>Leadership development delivered to CMT, Assistant Directors and Service Managers</li> <li>New HR Manager in post.</li> <li>Lead roles within HR developed for Health and Wellbeing and Performance.</li> <li>New People Strategy and action plan developed, approved March 2017</li> <li>New appraisal system implemented – June 2017</li> <li>Coaching Programme for CMT, Assistant Directors and Service Managers to be delivered – started August 2017</li> <li>Volunteering programme rolled out to support people strategy enhance staff wellbeing and corporate social responsibility– CLT in Nov-Dec 2017</li> </ul>	<ul style="list-style-type: none"> <li>Implementation of People Strategy action plan – <b>annual review.</b></li> <li>Further coaching programme to be made available for team leaders – TB</li> <li><b>Staff Recognition scheme in progress to be agreed and rolled out August 2018</b></li> <li><b>CMT to evaluate Coaching programme – July 2018</b></li> <li><b>Sickness Clinics to be progressed in areas of concern– June 2018</b></li> <li><b>Registration of Virgin Corporate Global Challenge for staff – May 2018</b></li> </ul>			Substantial	Improving
7.	Ensure sufficient levels of resilience and	CX	<b><u>Creative &amp; Aware</u></b>  Projects &	<ul style="list-style-type: none"> <li>BCP Plans in place for critical services</li> <li>New Vision 2020 launched, with associated 3 year</li> </ul>	<ul style="list-style-type: none"> <li><b>Allocation of further resources of £140k to areas needed further capacity</b></li> </ul>			Substantial	Static

Risk No:	Risk Description	Risk Owner	Risk Appetite	Controls/Actions		Current Risk Score	Target Risk Score at end of March 2018	Level of Mgmt Assurance - (Full, Substantial, Limited, No)	Assurance – Direction of Travel (Improving, Static, Declining)
				Current/Already in Place	Required Mitigation (inc timescales)				
74	capacity exist in order to deliver key strategic projects within the Council		Major Change	<p>programme, forming basis of service plans and priorities</p> <ul style="list-style-type: none"> <li>• Strategic Projects reported on a quarterly basis to CMT/Exec/PSC</li> <li>• Programme Boards established for key strategic projects.</li> <li>• <b>MTFS 2018-23</b> allocates resources in line with Vision 2020.</li> <li>• Lincoln Project Management model in place including allocation of Project Managers, Sponsors, appropriate project management records and Identification of critical tasks within specific project plans</li> <li>• Regular reporting of other all Strategic Plan schemes</li> <li>• Development of skills and abilities of key leaders and staff through Leadership Development Programme</li> <li>• Appointments have been made and Officers are in post for the two vacant Assistant Directors in Housing &amp; Regeneration</li> <li>• Interim Assistant Director – Strategic Development is in post.</li> <li>• Priority setting for Phase 2 projects, 2018/19 – 2019/20 commenced through CMT and Portfolio Holders</li> <li>• Vision 2020 Phase 2 projects agreed and work allocations within Directorates reviewed</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Service planning 2018/19 ensured capacity exists – April 2018</b></li> <li>• <b>Commencement recruitment process for vacant Director of Housing &amp; Regeneration – Autumn 18 (pending below)</b></li> <li>• <b>Management restructure, consulted upon and approved by Executive – Sept 18</b></li> </ul>				

Risk No:	Risk Description	Risk Owner	Risk Appetite	Controls/Actions		Current Risk Score	Target Risk Score at end of March 2018	Level of Mgmt Assurance - (Full, Substantial, Limited, No)	Assurance – Direction of Travel (Improving, Static, Declining)
				Current/Already in Place	Required Mitigation (inc timescales)				
				<ul style="list-style-type: none"> <li>Health and Wellbeing group being set up with staff to support People Strategy – Ongoing</li> </ul>					

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**SUBJECT: LOCAL LETTINGS PLAN**

**DIRECTORATE: HOUSING AND REGENERATION**

**REPORT AUTHOR: SIMON WALTERS, STRATEGIC DIRECTOR**

**1. Purpose of Report**

- 1.1 To agree a local lettings plan in relation to Council own new build accommodation.

**2. Executive Summary**

- 2.1 The Council has invested significantly in a new build development programme 2017 – 2020, which sees some 400 (total programme) new build properties being available for occupation from July 2018 onwards.
- 2.2 Executive is asked to approve the attached Local Lettings Plan which seeks to offer priority for these new properties to the Council's existing tenants who may be in housing need due to their current accommodation being unsuitable for them.

**3. Background**

- 3.1 Local Housing Authorities are required by the Housing Act 1996 to have in place a scheme for the allocation of Council housing. Section 166A(6)(b) however, of the Housing Act 1996, also allows Council's to agree a local lettings policy which sits outside this standard allocations policy.
- 3.2 In accordance with section 166A(6)(b) the Council may allocate particular accommodation to people of a particular description whether or not they fall within the 'reasonable preference categories' as required by the allocation policy. Such local lettings policies may be agreed in order to achieve particular Council or housing management aims or objective.

**4. Main Body of Report**

- 4.1 As described above, the Council's new build programme sees 400 (total programme) new build properties being ready for occupation from July 2018 onwards.

The Council wishes to give priority for these new build properties to its existing council house tenants who may be in housing need.

- 4.2 As members will note from the attached local lettings plan, there are currently 1700 applicants on the housing register of which 45% are existing council tenants. The Council proposes through the proposals in the attached policy, to give priority to the new build to these existing tenants.

- 4.3 It is worth noting that such a policy of letting new properties to existing council tenants has the additional benefit of freeing up the existing council properties these moving tenants leave behind for other people on our wider housing waiting list.
- 4.4 It is estimated that delivering approximately 400 new homes by the end of the vision 2020 plan period will generate approx. two and a half times that number of properties in total being made available.

## 5. Strategic Priorities

### 5.1 Let's deliver quality housing

The new build programme brings some significant new build properties becoming available, with priority given to existing tenants.

## 6. Organisational Impacts

### 6.1 Finance (including whole life costs where applicable)

There are no financial implications arising from this report

### 6.2 Legal Implications including Procurement Rules

As outlined in the report.

### 6.3 Equality, Diversity & Human Rights (including the outcome of the EA attached, if required) – **Please ensure that if a full Equality Impact Assessment is not required confirmation is provided that equality implications have been considered. Do not remove this section from the report.**

## 7. Risk Implications

### 7.1 (i) Options Explored

### 7.2 (ii) Key risks associated with the preferred approach

## 8. Recommendation

### 8.1 To agree to the local lettings plan for new build, as attached to this report.

<b>Is this a key decision?</b>	Yes
<b>Do the exempt information categories apply?</b>	No
<b>Does Rule 15 of the Scrutiny Procedure Rules (call-in and urgency) apply?</b>	No
<b>How many appendices does the report contain?</b>	Two
<b>List of Background Papers:</b>	None
<b>Lead Officer:</b>	Simon Walters, Strategic Director

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**Local Lettings Plan**  
**City of Lincoln Council**  
**New Build Accommodation**

<b>Landlord</b>	City of Lincoln Council
<b>Properties covered by this Local Lettings Plan (LLP)</b>	All council-owned new build accommodation becoming available from July 2018 onwards
<b>Reasons for the LLP</b>	<p>City of Lincoln Council is building a considerable number of affordable homes for rent across the city area over the coming years.</p> <p>This Local Lettings Policy is made under Section 166A(6)(b) of the Housing Act 1996 and sits outside the Council's standard allocations policy as described in the Council's published 'Lincs Homefinder Lettings Policy'. In accordance with Section 166A(6)(b) the council may allocate particular accommodation to people of a particular description whether or not they fall within the reasonable preference categories. Local Lettings Policies may be agreed in order to achieve particular Council or housing management aims or objectives.</p> <p>The Council wishes to offer priority for these new properties to its existing tenants who may be in housing need as their current accommodation is unsuitable for them.</p> <p>There are currently over 1700 applicants of the Housing Register and around 45% are existing council tenants. Within the priority bandings 52% of Band 1 applicants are council tenants, 58% of Band 2 applicants are council tenants and 37% of Band 3 applicants are council tenants.</p> <p>In the past 3 years, council tenants have been successful in securing considerably less allocations relative to their numbers on the Housing Register;</p> <ul style="list-style-type: none"> <li>• 2015/16 – of 589 allocations, 129 (21%) were to council tenants</li> <li>• 2016/17 – of 535 allocations, 101 (18%) were to council tenants</li> <li>• 2017/18 – of 510 allocations, 102 (20%) were to council tenants</li> </ul>
<b>Proposal for Letting</b>	<ul style="list-style-type: none"> <li>• Priority will be given to existing tenants of City of Lincoln Council</li> <li>• In the event of multiple bidders for a property, priority will be determined in accordance with the criteria set out in the existing City of Lincoln Homefinder Allocations Policy, namely priority banding and band date. If there is still equality between applicants then the longest serving tenant will receive the allocation</li> <li>• Tenants considered for allocation will have a clear rent account, no recent history (within the last 12 months) of proven anti-social</li> </ul>

	<p>behaviour, their current property meeting acceptable standards, and will be otherwise properly abiding with the terms of their tenancy agreement</p> <ul style="list-style-type: none"> <li>• City of Lincoln Council reserves the right to make Direct Lets to certain applicants, for example, where a disabled adaptation is required and the availability of suitable properties is limited</li> <li>• Where no council tenants bid for a property, or where the list of suitable council tenants is exhausted, the properties will be offered, under the usual terms, to general applicants on the Housing Register</li> </ul>
<b>How long will the LLP be in Force</b>	<p>First lettings and any subsequent lettings within the first 12 months of all council-owned new build properties from July 2018 onwards.</p> <p>Any subsequent lettings of these properties will be through the normal Lincs Homefinder choice based lettings policy and procedures</p>
<b>Approved By</b>	Executive
<b>Date of Lettings Plan</b>	July 2018

## Equality with Human Rights Analysis Toolkit

The Equality Act 2010 and Human Rights Act 1998 require us to consider the impact of our policies and practices in respect of equality and human rights.

We should consider potential impact before any decisions are made or policies or practices are implemented. This analysis toolkit provides the template to ensure you consider all aspects and have a written record that you have done this.

If you need any guidance or assistance completing your Equality and Human Rights Analysis contact:

Heather Grover, Principal Policy Officer on (87)3326; email: [heather.grover@lincoln.gov.uk](mailto:heather.grover@lincoln.gov.uk) . Alternatively contact Legal Services on (87)3840

A diagram of the process you should follow is on page 2, and glossary and guidance to help you complete the toolkit can be found on pages 6-9.

Even after your policy, project or service has been implemented; it is recommended that analysis is undertaken every three years, and that this analysis is updated at any significant points in between. The purpose of any update is that the actual effects will only be known after the implementation of your policy, project or service. Additionally, area demographics could change, leading to different needs, alternative provision can become available, or new options to reduce an adverse effect could become apparent.

### Useful questions to consider when completing this toolkit

1. What is the current situation?
2. What are the drivers for change?
3. What difference will the proposal make?
4. What are the assumptions about the benefits?
5. How are you testing your assumptions about the benefits?
6. What are the assumptions about any adverse impacts?
7. How are you testing your assumptions about adverse impacts?
8. Who are the stakeholders and how will they be affected?
9. How are you assessing the risks and minimising the adverse impacts?
10. What changes will the Council need to make as a result of introducing this policy / project / service / change?
11. How will you undertake evaluation once the changes have been implemented?

## SECTION A

Name of policy / project / service	Local Lettings Plan – New Build Properties
Background and aims of policy / project / service at outset	<p>Local Housing Authorities are required by the Housing Act 1996 to have in place a scheme for the allocation of council housing. Section 166A(6)(b) however, of the Housing Act 1996, also allows councils to agree a local lettings policy which sits outside this standard allocations policy.</p> <p>In accordance with section 166A(6)(b) a council may allocate particular accommodation to people of a particular description whether or not they fall within the ‘reasonable preference categories’ as required by the allocation policy. Such local lettings policies may be agreed in order to achieve particular council or housing management aims or objectives.</p> <p>City of Lincoln Council tenants are less successful in securing allocations relative to their numbers on the housing register and this local letting plan would provide an opportunity to address this issue.</p> <p>There would be no change to the main housing allocation policy and therefore there would be no change in the way non-city council tenants were considered. Overall there would be more properties available, enabling more people to be housed.</p>
Person(s) responsible for policy or decision, or advising on decision, and also responsible for equality analysis	Alison Timmins, Housing Solutions Manager
Key people involved <i>i.e. decision-makers, staff implementing it</i>	Simon Walters, Strategic Director Communities and Environment, Yvonne Fox, Assistant Director Housing and Housing Solutions Team

## SECTION B

This is to be completed and reviewed as policy / project / service development progresses

	Is the likely effect positive or negative? (please tick all that apply)			Please describe the effect and evidence that supports this and if appropriate who you have consulted with*	Is action possible to mitigate adverse impacts?	Details of action planned including dates, or why action is not possible
	Positive	Negative	None			
Age			x		NA	
Disability including carers (see Glossary)			x	Existing disabled tenants would have the same opportunity to apply with requirement for adaptations considered in the same way as applications for any other property. A disability which in some way impacts on the behaviour of an applicant would not bar them from being considered for a new build property.	NA	
Gender re-assignment			x		NA	
Pregnancy and maternity	x			Positive impact because this provides an increase in availability of family accommodation.	NA	
Race		x		There could be a potential differential impact on migrants on the housing register as there are fewer eligible migrants who already have a tenancy due to recent changes to demographics in the city. However, the aim of this local lettings plan is to redress the situation where existing tenants are less successful in securing an allocation than others on the housing register. In responding to this aim existing eligible tenants would be considered regardless of race.	NA	

Religion or belief			x		NA	
Sex			x		NA	
Sexual orientation			x		NA	
Marriage/civil partnership			x		NA	
Human Rights (see page 8)	x			Potential positive impact on: <ul style="list-style-type: none"> <li>• Respect for private and family life, home and correspondence</li> <li>• Right to marry and start a family</li> </ul>	NA	

*\*Evidence could include information from consultations; voluntary group feedback; satisfaction and usage data (i.e. complaints, surveys, and service data); and reviews of previous strategies*

Did any information gaps exist?	Y/N/NA	If so what were they and what will you do to fill these?
88		No

## SECTION C

### Decision Point - Outcome of Assessment so far:

Based on the information in section B, what is the decision of the responsible officer (please select one option below):

- |   |                  |
|---|------------------|
|   | <b>Tick here</b> |
| • <b>No equality or human right Impact</b> (your analysis shows there is no impact) - sign assessment below                         | [ ]              |
| • <b>No major change required</b> (your analysis shows no potential for unlawful discrimination, harassment)- sign assessment below | [ X ]            |
| • <b>Adverse Impact but continue</b> (record objective justification for continuing despite the impact)-complete sections below     | [ ]              |
| • <b>Adjust the policy</b> (Change the proposal to mitigate potential effect) -progress below only AFTER changes made               | [ ]              |
| • <b>Put Policy on hold</b> (seek advice from the Policy Unit as adverse effects can't be justified or mitigated) -STOP progress    | [ ]              |

<b>Conclusion of Equality Analysis</b> (describe objective justification for continuing)	There are no negative impacts to introducing this policy. Apart from pregnancy and maternity where the increase in supply of family homes will have a positive benefit, there are no differential impacts of other protected characteristics. Non- council tenants will benefit from the overall increase in number of council properties available.
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87

<b>When and how will you review and measure the impact after implementation?*</b>	Ongoing monitoring of the policy and PIR of the new build project.
---	--

Checked and approved by responsible officer(s) (Sign and Print Name)		Date	
Checked and approved by Assistant Director (Sign and Print Name)		Date	

When completed, please send to [policy@lincoln.gov.uk](mailto:policy@lincoln.gov.uk) and include in Committee Reports which are to be sent to the relevant officer in Democratic Services

The Equality and Human Rights Commission guidance to the Public Sector Equality Duty is available via: [www.equalityhumanrights.com/new-public-sector-equality-duty-guidance/](http://www.equalityhumanrights.com/new-public-sector-equality-duty-guidance/)

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**SUBJECT: MANAGEMENT OF CHANGE WITHIN PPASB TEAM**

**DIRECTORATE: COMMUNITIES AND ENVIRONMENT**

**REPORT AUTHOR: PUBLIC PROTECTION, ASB & LICENSING SERVICE MANAGER**

## **1. Purpose of Report**

- 1.1 To seek approval from the Executive Committee on the proposed structure change within the PPASB (Public Protection and Anti-Social Behaviour) Team. The proposed change is to delete a Technical Officer Post and to replace the post with a Team Leader Post.

## **2. Executive Summary**

- 2.1 It has been identified that following the service manager taking over the management of the Licensing Service that the provision of management for overseeing the day to day running of the service has been impacted.
- 2.2 It is therefore proposed that the addition of a team leader post would ensure adequate oversight and support for the team.
- 2.3 The proposal is to delete a Technical Officer Post and to introduce a Team Leader post in its place. This does not carry a risk of redundancy within the team.
- 2.4 The maximum addition cost to the establishment of this change will be £11,370 in year 5 of the MTFs, however the entire cost will be funded from budgets held within the service as presented within the finance section of the report.
- 2.5 The proposal was heard by JCC on 7<sup>th</sup> August 2018. They agreed with the proposal contained within the report and referred to Executive for approval.

## **3. Background**

- 3.1 Following the resignation of the former PPASB Service Manager in Summer 2017, a decision was made to place the Licensing Service under the new Service Manager. While this gives better strategic and operational management of the team, the result of this is that the Service Manager is spread more thinly across the two teams leaving the potential for the PPASB Team to be under supported at certain times.
- 3.2 Within the Licensing Team there is a Team Leader and it was felt that this structure should be mirrored within PPASB to ensure the team is adequately supported at all times.

- 3.3 In July 2017 after the previous Service Manager resigned his post a temporary Team Leader was appointed from within the PPASB team. This was initially implemented to ensure service cover and to provide a degree of hand over to the new Service Manager once appointed. This post has been continued on a temporary basis as it has proved to be invaluable and necessary to ensure the smooth running of the service. It is proposed to make this arrangement permanent.

#### **4. The role of the PPASB Team Leader**

- 4.1 The Team Leader will be responsible for the day-to-day management of the team. They will approve leave and expenses, agree straightforward enforcement action and legal cases. They will also deal with level one complaints against service, support officers with complex cases and deal with appeals against fixed penalty notices.
- 4.2 The Team Leader will also provide oversight of some small projects and will support the Service Manager in delivering a professional and comprehensive service.

#### **5. The Structure**

- 5.1 Previously (pre Summer 2017)

##### **Appendix A**

- 5.2 Currently (as structured not including the temporary post of Team Leader)

##### **Appendix B**

- 5.3 Proposed Structure

##### **Appendix C**

## 6. The cost of the new structure

The current structure has 6 x Technical Officers on a grade 6. The proposal is to have 5 x Technical Officers and 1 x Team Leader on a Grade PO1A. The Proposed Team Leader post has been through Job Evaluation and was graded as a PO1A post.

	MTFS					
	2018/19	2019/20	2020/21	2021/22	2022/23	Total
	£	£	£	£	£	£
Current Structure	327,750	334,300	340,940	347,770	354,660	1,705,420
Revised Structure	338,330	345,050	351,900	358,930	366,030	1,760,240
<b>Increased cost to establishment</b>	<b>10,580</b>	<b>10,750</b>	<b>10,960</b>	<b>11,160</b>	<b>11,370</b>	<b>54,820</b>
Funded by:						
PPASB Training Budget	(7,380)	(7,380)	(7,380)	(7,380)	(7,380)	(36,900)
ASBO Projects Budget	(3,200)	(3,370)	(3,580)	(3,780)	(3,990)	(17,920)
Total funding	<b>(10,580)</b>	<b>(10,750)</b>	<b>(10,960)</b>	<b>(11,160)</b>	<b>(11,370)</b>	<b>(54,820)</b>

- 6.1** As illustrated above the additional cost of the Team Leader Post will be met by the service to ensure it is cost neutral to the MTFS.

## 7. The Consultation

- 7.1** On 27<sup>th</sup> June 2018, a meeting was held at City Hall, In accordance with the Management of Change Policy, all staff and unions were consulted with and face-to-face meetings were held on 27<sup>th</sup> and 28<sup>th</sup> June 2018. The closing date for consultations was Friday 13<sup>th</sup> July 2018.
- 7.2** During the face-to-face meetings a full document pack was provided to all team members this included a letter setting out the proposal, a copy of the Person Specification and Job Description for the Team Leader role and a proposed Timeline for implementation. A folder was also set up in the teams shared area containing electronic copies of all documents and a question and answer sheet that was populated based upon questions asked by the team. A copy of the Question and Answer document is attached as **Appendix D**.
- 7.3** All team members were encouraged to give their views on the proposed change both in writing and during the meetings, however no consultation responses have been received.

## **8. The Risk to PPASB Employees**

- 8.1 The proposed structure change does not present a risk to the employment of the PPASB Employees.

## **9. Strategic Priorities**

### **9.1 Professional, High Performing Service Delivery**

This underpins our ability to achieve our strategic priorities.

## **10. Organisational Impacts**

### **10.1 Finance**

The increased cost of the revised structure will be funded from within existing budgets, as per paragraph 6.1

### **10.2 Legal Implications including Procurement Rules**

None

## **11. Risk Implications**

### **11.1 Options Explored**

- i) To implement the proposed change in structure - The risk associated with this option is that we may not be able to recruit to the post if the PPASB Team members do not want the role.
- ii) To keep the existing structure – The risk associated with this option is that the team will not be adequately supported or resourced particularly on complex or high-risk cases.

## **12. Recommendation**

- 12.1 i) That Executive approve the proposed changes in the PPASB structure.

**Is this a key decision?**

No

**Do the exempt information categories apply?**

Yes

**Does Rule 15 of the Scrutiny Procedure Rules (call-in and urgency) apply?**

No

**How many appendices does the report contain?**

Appendix A – Previous Structure Chart  
Appendix B – Current Structure Chart  
Appendix C – Proposed Structure Chart  
Appendix D – Question and Answer Document  
Appendix E – Minutes of JCC

**List of Background Papers:**

None

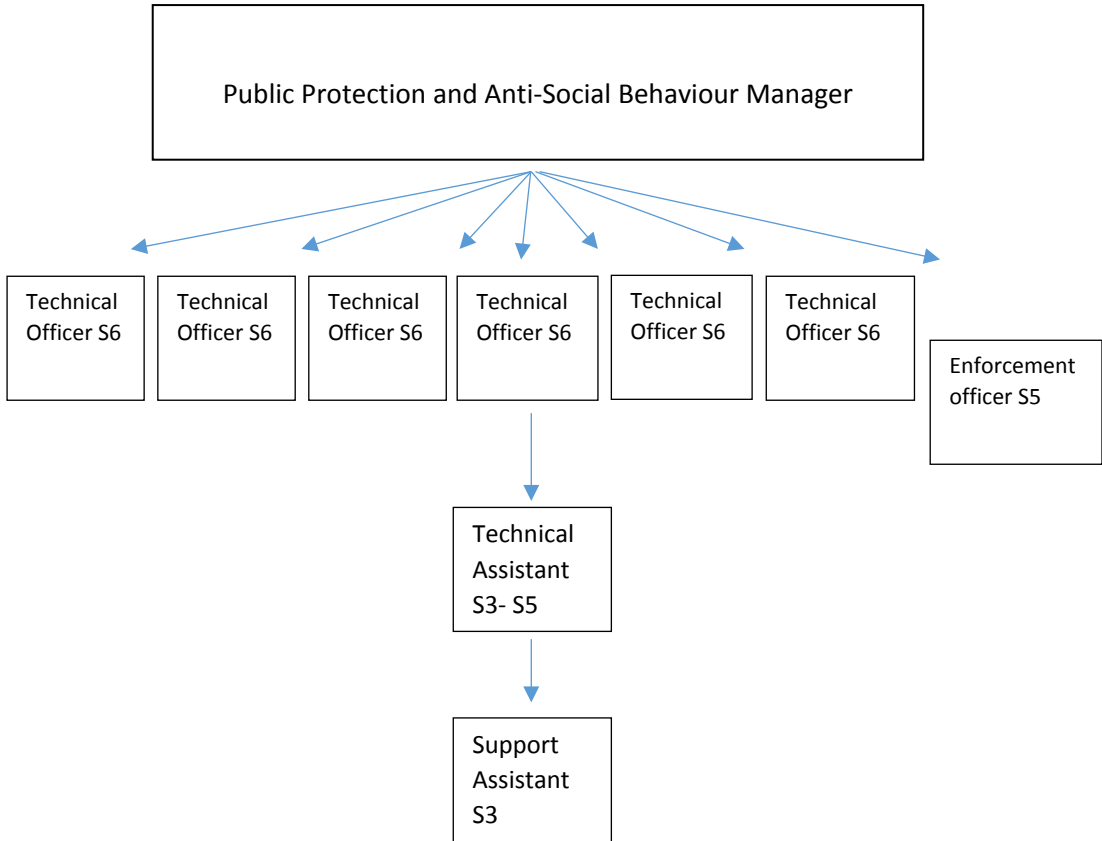
**Lead Officer:**

Francesca Bell, Public Protection, ASB & Licensing  
Service Manager  
Telephone (01522) 873204

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APPENDIX A – Previous Structure Chart

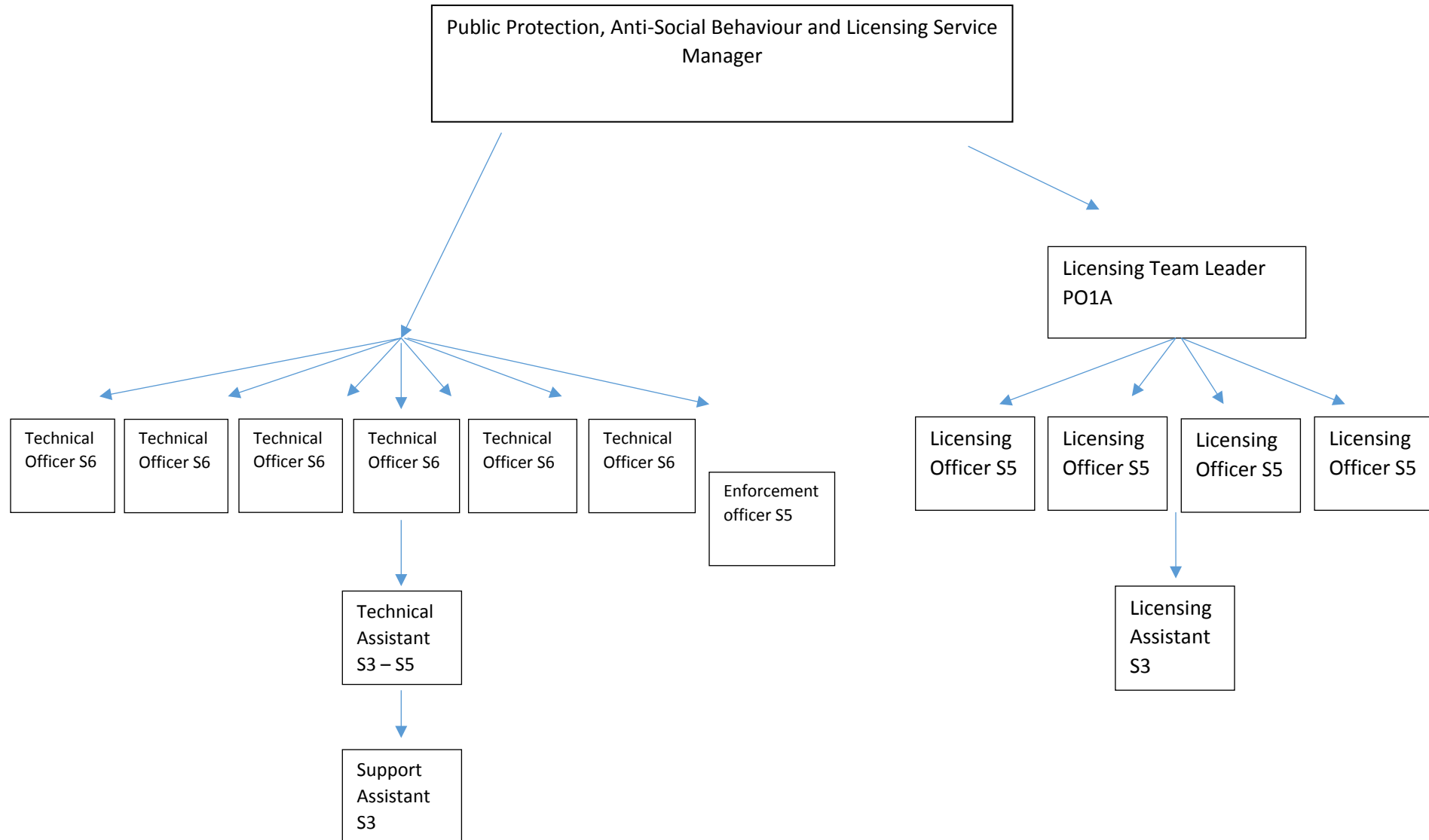
Previous Public Protection, Anti-Social Behaviour and Licensing Structure



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## APPENDIX B – Current Structure Chart

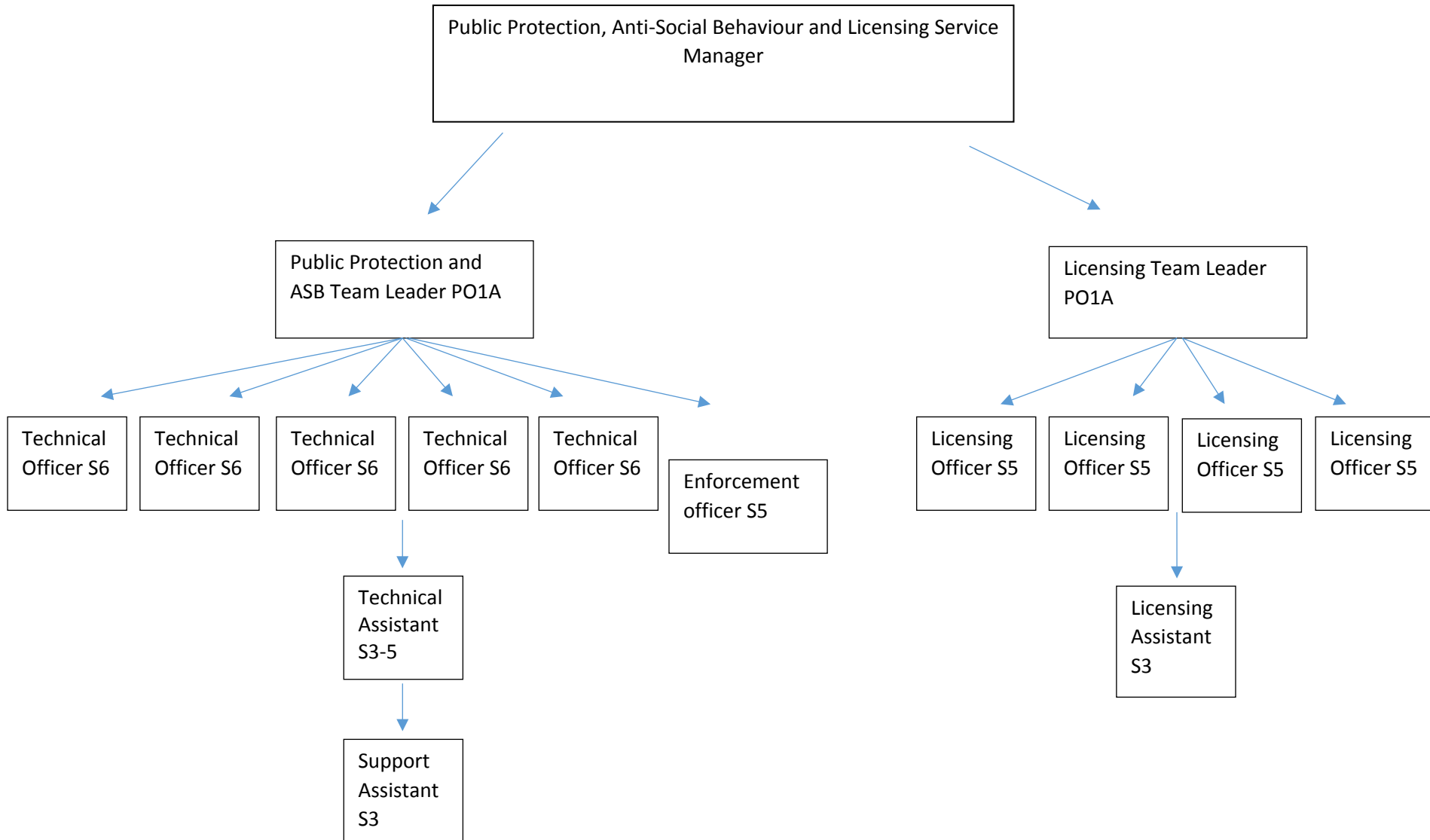
### Proposed Public Protection, Anti-Social Behaviour and Licensing Structure



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## APPENDIX C – Proposed structure chart

### Public Protection, Anti-Social Behaviour and Licensing Structure



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## APPENDIX D

### PPASB Management of Change

#### Questions and Answers

1. How will the workload be managed, if there are additional team leader duties, what will go from the technical officer role to accommodate that?

Answer: It is likely that the successful candidate will maintain the high-level specialist work maintaining their role as the council's expert in that area. Lower level casework may need to be distributed broadly across the team to free up the Team Leader to work on Team leader duties. This will be monitored and reviewed regularly.

2. How will the proposal effect non-technical officers?

Answer: It will officially change their reporting lines from me to the Team Leader.

3. What happens if no one applies?

Answer: Management will reconsider the option; this could include tweaking the job description. Feedback may also be sought on why no one applied

4. How do you get around the feeling that if you apply you will not get a fair crack of the whip when you are against someone already doing the job?

Answer: All Technical Officer are encouraged to apply. The JD has been written in such a way as to accommodate the fact that some officers are not already working in a team leader role. Whilst experience is a factor that will be considered. There are a number of other equally important areas that will be considered as part of the interview process. The successful candidate will need to perform well at interview across all areas tested. It is also important to note that the interview panel will only take into consideration the information presented to them through the interview process and will not therefore take into account anything that is known about the individual outside of the interview process.

5. Will there be a probationary period with the post, whereby the successful candidate would have to work a given period in post before the post was finalised?

Answer: No, there is no probationary period for internal posts instead any serious issues arising would be dealt with under capability.

6. If there were to be a probationary period would this give the option to both the Council and the candidate to withdraw from the Team Leader pole if they were not performing well in the role?

Answer: No, see answer to question 5 above

7. Would the Team Leader role be permanently linked to the officer role once the post was finalised or would it possible for the Team Leader to surrender the team leader part of their

post and continue in their previous officer role assuming they took up any workload that had been reallocated to provide capacity?

Answer: The successful candidate will not be able to absolve themselves of the team leader aspect of the role once they are successfully appointed.

8. If the appointed Team Leader were to leave the team would the recruitment process be for a Team Leader with officer appropriate duties? Or would the Team Leader role be offered to all officers in the team at that time?

Answer: The vacant team leader post would be recruited to as a whole (officer specialism and team leader) for example Team Leader and specialism X, however, if an existing Technical Officer were successful through the recruitment process they could retain their existing specialism (for example specialism Y). If this were the case the now vacant post of Technical Officer Specialism X would be recruited for.

<b>Present:</b>	Scott Walker ( <i>in the Chair</i> )
<b>Councillors:</b>	Geoff Ellis, Gary Hewson, Edmund Strengiel, Hilton Spratt, Pat Vaughan and Fay Smith
<b>Trade Union Side:</b>	David Burton, Dawn Bushell, Kevin Clarke and Jamie Sheridan
<b>Apologies for Absence:</b>	Councillor Ric Metcalfe, Councillor Gill Clayton-Hewson, Councillor Rosanne Kirk, Councillor Jackie Kirk, Councillor Chris Burke, Andrew Johnston, Steve Syson, Daniel Taylor, Colin Todd, Angela Andrews, Wheeler and Hewson

**6. Exclusion of Press and Public**

RESOLVED that the press and public be excluded from the meeting during consideration of the following item(s) of business because it is likely that if members of the public were present there would be a disclosure to them of 'exempt information' as defined by Section 100I and Schedule 12A to the Local Government Act 1972.

**7. Confirmation of Minutes - 5 June 2018**

RESOLVED that the minutes of the meeting held on 5 June 2018 be confirmed.

**8. Declarations of Interest**

No declarations of interest were received.

**9. Food, Health and Safety Team Leader - Management of Change**

Simon Colburn, Assistant Director for Health and Environmental Services:

- a) Presented his report for a minor management of change in the Food, Health & Safety Team Leader for consideration and comments.
- b) Explained that the scope of the change was to create a post of a Food, Health and Safety Team Leader and delete an existing Environmental Health Officer post to accommodate the team leader post.
- c) Highlighted that a Food, Health and Safety Team Leader post had been trialled within the team for over a year and had demonstrated that the introduction of a Team Leader into the structure had redirected the line management and operational issues away from the Environmental Health and Corporate Safety Manager.
- d) Stated that the temporary Team Leader had introduced regular one to ones with all team members that directly reported to the role and had been acting

as the specialist advisor and mentor to the food team members to help them learn and develop new skills and be more effective and competent in their role.

- e) Referred to the implementation plan as outlined in paragraph 4.3 of the report
- f) Advised that in order to accommodate the proposed Food, Health and Safety Team Leader post graded at P01C the difference between the proposed deletion of an EHO (Environmental Health Officer) post graded at P01B would be funded within existing establishment budgets.
- g) Invited members questions and comments.

Unions expressed concerns that there would an expectation for 2 officers to carry out equivalent work of 3 officers and asked whether there was evidence to show signs of strain within the team.

The Assistant Director for Health and Environmental Services advised that there were 1000 food premises in the city with between 6 and 700 premises inspected a year. At the start of the year the inspections were allocated on a risk basis to the Environmental Health Officer and Food Health and Safety Officers and the Team Leader would be allocated the higher risk inspections. At the moment there were no concerns of excessive workload and staff were happy with the arrangements now that the long term sickness issue had been resolved.

Members queried whether the member of staff that was acting up as Food, Health & Safety Team Leader was likely to be recruited to the role full time.

The Assistant Director for Health and Environmental Services explained that the post would be advertised to all staff to ensure that there was a fair recruitment process.

RESOLVED that the report be noted and forwarded to Executive for approval.

#### **10. Corporate Health and Safety Compliance Officer (Housing)**

Simon Colburn, Assistant Director for Health and Environmental Services:

- a) Presented a report for an 18 month review of a Health and Safety Compliance Officer (Housing).
- b) Explained that the current post holder had been employed on a fixed term contract for 3 years at the end of March 2019.
- c) Stated that any extension of the post holder's contract after March 2019 would under employment rights be made permanent.
- d) Advised that the current post holder commenced employment in April 2016 working 28 hours per week and the remaining 9 hours were covered by the Health and Safety Compliance Officer (Corporate & Enforcement) with a Health and Safety consultant employed 1 day a week to backfill the cover.

- e) Referred to the reactive and programmed work demands as outlined in paragraph 5.1 of the report.
- f) Invited members questions and comments.

The report was considered in further detail.

RESOLVED that the report be approved.

## **11. Introduction of a Telematics System**

Matt Hillman, Maintenance Manager:

- a) Presented a report to introduce a telematics system to all the Council's fleet and all sub-contractors using telemetric.
- b) Informed that telematics was the technology of sending, receiving and storing information related to remote objects such as vehicles via telecommunication devices.
- c) Explained that telematics was broken down into two elements, the hardware and the software. The hardware was the actual tracking system within the vehicle and the software was the application that the data was sent to.
- d) Highlighted that the City of Lincoln Council were considering the introduction of a telematics system throughout its new fleet as part of its process of modernising its operations.
- e) Stated that the telematics system had been discussed for a number of years prior to implementation.
- f) Advised that the telematics hardware came preinstalled in most of the vehicles and the Council were now leasing their 78 vehicle fleet at no extra cost. The main cost for the Council in introducing telematics would be the back office software
- g) Invited members questions and comments.

Unions showed concerns around the telematics system being used for disciplinary reasons. It was highlighted that the old system stated that it wasn't going to be used for that purpose.

Officers advised that there would be a process prior to a disciplinary and that they didn't want it to be used solely for that purpose. It would be used to train and educate staff in the first instance. A disciplinary but that would be a last resort.

Members queried how complaints were logged and asked what method of correspondence would be defined as 'in writing'?

Officers advised that they didn't accept anonymous complaints which had previously been agreed by officers and unions. A complaint that had been made online, by email or in writing would be accepted however it would initially be signposted and the individual would be advised to go through the formal complaints procedure.

Unions showed concerns about the current complaints process and explained that there would be an equality issue e.g. if somebody had a disability and was unable to read or write. Following that, it was suggested that in future, the official complaints procedure should be adhered to at all times. If separate procedures were put in place it could set a precedent for other areas.

In conclusion, Members requested that the telematics system should be referred to JCC (Health and Safety) every 6 months' for review and feedback following the end of a fleet period. It was agreed that all Union representatives would also be informed.

RESOLVED that:

- 1) the report be approved and referred to Executive for further consideration.
- 2) The telematics system be referred to JCC (Health and Safety) every 6 months' for review and feedback.

## **12. Management of Change within the PPASB Team**

Francesca Bell, Public Protection, ASB and Licensing Service Manager:

- a) Presented a report to seek a view on the proposed structure change within the PPASB (Public Protection and Anti-Social Behaviour) Team.
- b) Explained that it had been identified that following the ASB and Licensing Service Manager taking over the management of the Licensing service, the provision of management overseeing the day to day running of the service had been impacted.
- c) Informed the Committee that the proposal was to delete a Technical Officer post and introduce a Team Leader post in its place.
- d) Advised that the maximum additional cost to the establishment of this change would be £11,370 in year 5 of the MTFS, however the entire cost would be funded from budgets held within the service as outlined in 6.1 of the report.
- e) Referred to the previous, current and proposed structure charts as outlined in Appendix A, B and C of the report.
- f) Invited members questions and comments.

RESOLVED that the report be agreed and referred to Executive for approval.

<b>SUBJECT:</b>	<b>EXCLUSION OF THE PRESS &amp; PUBLIC</b>
<b>DIRECTORATE:</b>	<b>CHIEF EXECUTIVE &amp; TOWN CLERK</b>
<b>REPORT AUTHOR:</b>	<b>CAROLYN WHEATER, MONITORING OFFICER</b>

**1. Purpose of Report**

- 1.1 To advise members that any agenda items following this report are considered to contain exempt or confidential information for the reasons specified on the front page of the agenda for this meeting.

**2. Recommendation**

- 2.1 It is recommended that the press and public be excluded from the meeting at this point as it is likely that if members of the press or public were present there would be disclosure to them of exempt or confidential information.

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