

## POLICY SCRUTINY COMMITTEE

**Tuesday, 14 January 2020**

**6.00 pm**

**Committee Room 1, City Hall**

Membership:	Councillors Bill Bilton (Chair), Laura McWilliams (Vice-Chair), Hilton Spratt, Alan Briggs, Ralph Toofany, Pat Vaughan and Jane Loffhagen
Substitute member(s):	Councillors Gary Hewson and Kathleen Brothwell
Officers attending:	Democratic Services, Legal Services, Donna Morris, Paula Burton, Simon Colburn, Martin Walmsley, Simon Walters and Matt Smith

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### A G E N D A

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**Present:** Councillor Bill Bilton (*in the Chair*),  
Councillor Laura McWilliams, Councillor Alan Briggs,  
Councillor Ralph Toofany, Councillor Kathleen Brothwell  
and Councillor Jane Loffhagen

**Apologies for Absence:** Councillor Hilton Spratt and Councillor Pat Vaughan

**49. Confirmation of Minutes - 20 August 2019**

RESOLVED that the minutes of the meeting held on 20 August 2019 be confirmed.

**50. Declarations of Interest**

No declarations of interest were received.

**51. Health and Environment Enforcement Policy 2019-2024**

Simon Colburn, Assistant Director Health and Environment Services

- a. presented the Health and Environment Policy 2019-2024 for consideration prior to submission to Executive.
- b. advised that the policy sought to clarify the principles which the Health and Environment service area would undertake in terms of regulatory activity including:
  - *We will ensure that we enforce the law in a fair, equitable and consistent manner;*
  - *We will work to assist businesses and others in meeting their legal obligations.*
  - *Our focus will be on prevention rather than cure, where appropriate.*
  - *We will take action against those who breach the law or act irresponsibly.*
- c. explained that the policy also clarified that Officers would follow relevant good practise guidance in all regulatory activities, this included:
  - The Principles of Good regulation
  - The Regulator's Code
  - The Code of Crown Prosecutors
  - Any other relevant legislation or guidance
- d. highlighted the Principles of Good Regulation (under the Legislative and Regulatory Reform Act 2006) as detailed at paragraph 4.3 of the report.
- e. further highlighted the Regulator's Code (Department of Business, Innovation and Skills) as detailed at paragraph 4.4 of the report.

- f. advised that the Policy also clarified that the Council would always have regard to the Code for Crown Prosecutors and the two tests detailed at paragraph 4.5 of the report.
- g. advised that the policy specifically introduced:
- Civil Penalties
  - Penalty Charge Notices in relation to Smoke and Carbon Monoxide Alarms.
  - Charging for Enforcement Activity under the Housing Act 2004
- h. advised that the policy applied to the functions carried out by the following services:
- a. Environmental Health – Food Safety, Health & Safety, Pollution Control and Private Sector Housing
  - b. Licensing
  - c. Anti-Social Behaviour and Public Protection
- i. explained that the overarching policy provided the context and framework for more detailed policies and procedures such as the existing Licensing Policy Statement and detailed procedures may be developed in particular service areas to assist officers in specific enforcement activities.
- j. advised that the policy would be reviewed no later than 2024.
- k. invited members comments and questions

During the discussion Councillor Laura McWilliams requested it be noted in the interest of transparency that she worked for a letting agent. The discussion did not relate directly to her employer and the only element being discussed was the legislation.

**Question:** Referred to paragraph 4.9 of the report and asked if the Council inspected rented properties for smoke and carbon monoxide alarms?

**Response:** Clarified that the Council would inspect Houses in Multiple Occupation as part of their licence to check that smoke and carbon monoxide alarms were fitted. Private rented properties would only be inspected by the Council if a complaint had been received. Landlords were required to include information in their lettings pack on how to make a complaint to the Council.

**Question:** What were the procedures for issuing a civil penalty?

**Response:** The procedures were set out in the separate guidance, all enforcement procedures would be followed before a fine was issued. There would be an opportunity to appeal against a fine.

**Question:** Could a fine be issued and then a person be prosecuted for the same offence?

**Response:** No, a fine would be issued instead of a prosecution.

**Question:** Had consultation on the policy taken place with landlords etc?

**Response:** They had not seen the Policy but there had been discussions and they were informed of the Councils intentions regarding Penalty Charge Notices.

RESOLVED that

1. the introduction and use of civil penalties, penalty charge notices and charging for enforcement activity be supported.

2. the contents of the report be noted and referred to Executive for approval.

## 52. Safeguarding Policy

Paula Burton, Housing Solutions Manager

- a. presented the proposed Safeguarding Policy for comments prior to submission to Executive.
- b. advised that the proposed policy was being implemented by all district councils within Lincolnshire.
- c. explained that the joint policy would ensure that all districts would operate in the same way which would ensure consistency across the county and also enable the districts to support one another and assist each other should changes to working practices require amending.
- d. advised that there had been changes within safeguarding and there was now more focus on the areas of Hate Crime and Mate Crime, Modern Slavery and Human Trafficking, County Lines and Cuckooing and Stalking. The proposed policy had been written to reflect this.
- e. gave an overview of the chapters included in the Policy:
  - Chapter 1 – Safeguarding is everyone’s business – roles and responsibilities.
  - Chapter 2 – Safeguarding Children and Young People
  - Chapter 3 – Safeguarding Adults at Risk
  - Chapter 4 – Domestic Abuse
  - Chapter 5 – Preventing Violent Extremism
  - Chapter 6 – Hate Crime and Mate Crime
  - Chapter 7 – Modern Slavery and Human Trafficking
  - Chapter 8 – County Lines and Cuckooing
  - Chapter 9 – Stalking
- f. advised that included in the appendices of the policy were declarations that were to be signed by all staff, volunteers, Members and contractors that declared that the person signing it was aware of the safeguarding responsibilities that were expected of them.
- g. advised that the proposed Safeguarding Policy and Procedures would be implemented with immediate effect and would be reviewed in 2022.
- h. invited members questions and comments.

**Comment:** Figures had been reported to Performance Scrutiny Committee recently that had shown an increase in the amount of hate crime reported. There was more of a focus on hate crime in this proposed policy which was welcomed.

**Question:** Had there been any referrals to PREVENT relating to preventing violent extremism?

**Response:** There had been 2 referrals but they had not come to anything.

**Question:** Did the Council assist vulnerable tenants to prevent cuckooing?

**Response:** Yes, consideration would be given to the area that the vulnerable person was housed, referrals could also be made to P3 for support. There had

been instances of cuckooing in Lincoln, the issues were addressed via a multi-agency approach. The Protecting Vulnerable People Board were looking at ways to flag up these issues.

**Question:** Would there be any training on this policy for Members?

**Response –** Yes a Members Development training session was planned for 30<sup>th</sup> October 2019.

In addition to the report The Strategic Director of Housing and Investment explained the role of the Protecting Vulnerable People Board and reassured members that Safeguarding was taken very seriously within the Authority.

RESOLVED that the Safeguarding Policy be supported and referred to Executive for approval.

### **53. Policy Scrutiny Work Programme 2019-20 and Executive Work Programme Update**

The Democratic Services Officer:

- a. presented the report 'Policy Scrutiny Work Programme 2019-20 and Executive Work Programme Update'.
- b. presented the Executive Work Programme October 2019 – September 2020.
- c. requested councillors to submit what items they wished to scrutinise from the Executive Work Programme and policies of interest.
- d. invited members questions and comments.

Members made no further comments or suggestions regarding the Policy Scrutiny work programme.

RESOLVED that:

1. the work Policy Scrutiny work programme be noted.
2. the Executive work programme be noted.

### **54. Health Scrutiny Update**

The Chair of Policy Scrutiny Committee updated members of the business that had been discussed at the Health Scrutiny meeting held on 18 September 2019, these were:

- Update for Healthy Conversion 2019, the NHS Long Term Plan and NHS Estates.
- Medical Services at Grantham and District Hospital – Cause for change and Emerging Options (Health Conversion 2019)
- Trauma and Orthopaedic Services – Case for Change and Emerging Options (Healthy Conversion 2019)
- General Surgery Services – Case for Change and Emerging Options (Healthy Conversion 2019)
- Winter Resilience.

RESOLVED that the report be noted.

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<b>SUBJECT:</b>	<b>REGULATION 7 DIRECTION ON LETTINGS BOARDS</b>
<b>DIRECTORATE:</b>	<b>COMMUNITIES AND ENVIRONMENT</b>
<b>REPORT AUTHOR:</b>	<b>KIERON MANNING, PLANNING MANAGER</b>

**1. Purpose of Report**

- 1.1 To provide an update on the application to the Secretary of State for a Regulation 7 Direction in certain areas of Lincoln, prohibiting the display of lettings boards.
- 1.2 To provide an update on post-implementation action against unauthorised lettings boards by the Planning Enforcement team.

**2. Executive Summary**

- 2.1 Due to the increase in complaints about the proliferation and constant display of lettings boards in certain areas of Lincoln, approval was sought to apply to the Secretary of State for a Regulation 7 Direction to prohibit the display of lettings boards within the identified areas of concern.
- 2.2 The matter was brought to Policy Scrutiny Committee on 16 January 2018 and approval was gained at Executive on 25 February 2019 to move forward with the application.
- 2.3 Approval from the Secretary of State for the Regulation 7 Direction was received on 7 January 2019 and the Direction was implemented on 8 April 2019.

**3. Background**

- 3.1 An increasing number of complaints had been received over the years regarding the proliferation of continuously displayed lettings boards in certain areas of the city where there are a high number of houses in multiple occupation. This was becoming increasingly difficult to enforce using the usual enforcement powers due to the difficulty in establishing whether the properties did actually have any rooms available to let.
- 3.2 At a meeting of CMT on 9 May 2017, approval was given for the commencement of the process of applying to the Secretary of State for a Direction under Regulation 7 of the Town and Country Planning (Control of Advertisements) Regulations 2007. This would remove deemed consent for lettings boards usually given under Class 3(A) of the regulations and would mean that express advertisement consent would be required for lettings boards in the specific areas covered by the Regulation 7 (See Appendix A).
- 3.3 The areas of concern are the Monks Road area, West End area, Sincil Bank area, Union Road and Waterloo Street. These areas were identified through enforcement

complaints from residents and Councillors and those identified by officers of the Council.

- 3.4 Surveys of the proposed areas took place in March 2017, September 2017 and again in January 2018. These surveys identified the number and type of boards being displayed and by whom.
- 3.5 Consultation on the proposed Regulation 7 direction took place between 16 October and 30 November 2017.
- 3.6 The proposal was brought to Policy Scrutiny Committee on 16 January 2018 and the application and evidence report was submitted to the Secretary of State in March 2018.

#### **4. Progress since approval by Policy Scrutiny and Executive Committee**

- 4.1 Following submission of the Council's application in March 2018, the application for a Regulation 7 Direction was approved by the Secretary of State on 7 January 2019 and the Regulation 7 Direction came into force on 8 April 2019.
- 4.2 During a survey in January 2018, a total of 394 boards were being displayed in the five areas in question. On 15 April 2019, one week post-implementation, 29 boards were still being displayed which were subsequently removed following contact from Planning Enforcement. A further 9 have been erected since the implementation of the Regulation 7 Direction but were subsequently removed following contact from Planning Enforcement. At the date of this report, one board remains and we are currently in the process of contacting the owner about this.

Before



After



The above photos show Ripon Street before and after the implementation of the Regulation 7 Direction.

## 5 Organisational impacts

### 5.1 Finance

The financial impact identified is Officer time which will be absorbed in the existing Development Management structure.

### 5.2 Legal implications

The display of lettings boards which are not considered deemed under the Town and Country Planning (Control of Advertisements) Regulations are currently subject to prosecution. Similarly any boards which are displayed in the areas covered by a Regulation 7 Direction will be subject to prosecution and the impact on the Legal Team as a result of the implementation of this Direction should be unchanged. As with all offences dealt with by the Planning Enforcement Team, every effort is made to rectify the breach without recourse to legal proceedings where possible.

### 5.3 Equality, Diversity and Human Rights

Consideration has been given to the impact on equality, diversity and human rights and the Equality Impact Assessment toolkit has been reviewed. The consultation provided an opportunity for residents and tenants to raise any concerns, and the consultation response from the Students' Union did suggest a potential positive impact on student properties. Otherwise it was concluded that there are no direct impacts to be assessed.

## 6. Risk Implications

No additional risk identified.

## 7. Recommendation

7.1 Members are asked to note the introduction of the Regulation 7 Direction which prohibits the display of lettings boards in the Monks Road area, West End area, Sincil Bank area, Union Road and Waterloo Street and note the success so far in relation to the reduction in the number of boards.

### Is this a key decision?

No

### Do the exempt information categories apply?

No

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

No

### How many appendices does the report contain?

None

### List of Background Papers:

None

<b>SUBJECT:</b>	<b>KEY HOLDING PROGRESS REPORT</b>
<b>DIRECTORATE:</b>	<b>COMMUNITIES AND ENVIRONMENT</b>
<b>REPORT AUTHOR:</b>	<b>STEVE LOCKWOOD, SPORT, LEISURE AND CITY SERVICES MANAGER</b>

**1. Purpose of Report**

- 1.1 To seek the views of Policy Scrutiny Committee on the progress and success of the City Council’s community centre key holding system which was launched at all the City Council’s community centres on the 4<sup>th</sup> July 2016.
- 1.2 On the 28<sup>th</sup> March and 28<sup>th</sup> November 2017 the Policy Scrutiny Committee were presented with reports on the impact of the Key holding system. Officers were asked for a further update in two years’ time (2019).

**2. Executive Summary**

- 2.1 The introduction of the key holding system was successfully implemented in 2016, the salient impacts reported to the Policy Scrutiny Committee on the 28<sup>th</sup> March and 28<sup>th</sup> November 2017. The Policy Scrutiny Committee asked that the contents of this report be noted and brought back for review in 2 years time.
- 2.2 In the two years since the last Policy Scrutiny Report, usage at the Community Centres has grown from 42 regular block bookings to over 60 per week.
- 2.3 Through key holder engagement and assistance the number of groups that still require support has reduced to two, Club 87 (disability group) at Bud Robinson CC and The Tuesday Club (50 plus group) at Sudbrooke Drive CC.
- 2.4 The ongoing savings generated by this key holding system has been in excess of the original target saving of £60,000 per year. In the first full year it was £61,700. An additional £5,000 savings (per annum) was found above and beyond the £61,700 already achieved. This additional saving was added to the TOFS targets from 2017/18.
- 2.5 Since the start of the key holding scheme a total of over 160 hirers have been key holder trained plus eight City Council staff, four County Council staff and 20 contractors.

**3. Background**

- 3.1 Before the introduction of the City Councils new key holding system, all community centre bookings required a paid caretaker to be in attendance at all times the centre was in use. This came at a significant cost to the City Council. The caretaker was required for 30 minutes in advance of and after the booking in order to open and then secure the premises.
- 3.2 Officers undertook a consultation with community centre users and trialled a successful key holding pilot scheme at the Grandstand Community Centre and West Common Pavilion. The consultation and trials were closely used to guide the principals of this new key holding approach. The capital cost of introducing the key holding system at all Community Centres was budgeted at £25,000. This was funded from the invest to save reserve from savings made within the first operational year. The actual cost of the system was £20,190 meaning a reduction of £4,810.
- 3.3 It was proposed that all future community centre bookings taken by the City Council from April 1<sup>st</sup> 2016 would require the user to key hold, alternatively, hirers would have the option to pay a service charge for a caretaker to be provided if they preferred. The 'key' came in the form of an access fob and this system would turn off/on intruder alarms and give bespoke access to the group in line with their bookings
- 3.4 The service charge for a Caretaker would be applied at cost.
- 3.5 Those groups who considered themselves unable to key hold, for example, if they considered themselves not physically capable, would be given the opportunity to apply to the portfolio holder (Social Inclusion and Community Cohesion) for financial support. An initial budget of £18,000 was set aside for this purpose. Given the limited demand for this support. This budget has been reduced over time and is currently £6,070 for 2019/20 with an expectation that this will reduce further in 2020/21 to support the TFS programme.
- 3.6 These new changes and expenditure savings were planned to enable the City Council to meet its savings target of £60,000 per annum. In the year prior to the introduction of the key holding system the City Council spent £78,000 on external agencies to provide the Councils community centre caretaking service. £78,000 less the £18,000 set aside for the portfolio Holders financial support budget left an annual savings target of £60,000 per annum.
- 3.7 In the first year of the key holding systems introduction, all existing Community Centre charges were frozen (in 2016/17) meaning there would be no inflationary increases. Since 2017, Community Centre prices have risen in line with inflation.
- 3.8 To further supplement this new service, all hirers were fully trained and supported to enable them to key hold safely and be comfortable doing so. Key holders were given the telephone numbers of the Recreation Officers to contact if they had any group or building related issues occurring during a booking within office hours. Additionally, to counter any key-holder problems or concerns with alarms (fire alarms/intruder alarms) or the Paxton system, occurring outside normal Monday to Friday core hours, key holders were supplied with the telephone number of the Councils' twenty-four-hour seven-day-a-week support team to deal with those issues arising out of hours.

3.9 The introduction of the Key holding system was successfully implemented in 2016, the salient impacts reported to the Policy and Scrutiny Committee on the 28<sup>th</sup> March and 28<sup>th</sup> November 2017 were as follows:

Positive Impacts:

- The prices paid by key holders for the use of the City Councils community centres was frozen for 2016/17 at 2015/16 rates.
- There was an increase in the number of regular hirers using the City Councils community centres since the introduction of the key holding system from 42 to 58. Regular hirer numbers currently stand at 69
- Initially two user groups with special needs were 'gifted' the cost of caretaker cover by the Portfolio holder. The two user groups are still receiving this support.
- The financial saving to the City Council in its operation of the community centres in the year 2016 to 2017 was £39,000. In the first full year of operation the saving was £61,700. In 2017/18 the saving was in excess of £67,000.
- The change to the key holding system was carefully and sympathetically implemented with minimal disruption to the day to day operation of the service.
- The Recreation Service review the event history on the Paxton system. This enables staff to monitor and audit access.

Records are maintained on any hirer issues to identify and deal with any repetitive issues or competencies.

3.10 Negative Impacts:

- Two regular hirers from a total of 42, cancelled all future community centre bookings when the introduction of the Key holding system was proposed.
- The cleanliness of some of the community centres became an issue late in 2016 (but the introduction of contract cleaners in February 2017 for 20 hours per week has improved this situation).
- Key holder training is not currently offered to a person or group wanting to book a community centre for a one off event as the training is time consuming and there is a cost implication in having additional sets of keys prepared.
- The roll out of the Paxton System and the training of users to key hold took longer than initially expected to complete.

3.11 Issues arising since the date of the last Policy Scrutiny report 28<sup>th</sup> March 2017

- Over the last year, there has been an escalation in the number of key holders that have been trained across our portfolio of community centres. A continuing trend of groups taking ownership is proving to be successful. A recent satisfaction survey was under taken to determine the key-holders views on the process and overall the feedback was highly positive.
- Through key holder engagement and assistance the number of groups that still require support has reduced to two, Club 87 (disability group) at Bud Robinson and The Tuesday Club (50 plus group) at Sudbrooke Drive Community Centre . Voluntary support is still being explored with Partner Organisations with the aim of moving all remaining groups to key-holding.

- On the date the Key holding system was introduced the five community centres had a total of 42 regular bookings. This number has increased to over 60.

Issues arising from the Policy scrutiny Report 28<sup>th</sup> November 2017

**Question** – How were the cleaning issues resolved?

**Response** – A private contractor had been employed to clean the community centres on a 4 hours per centre, per week basis which had resolved the issues.

**Question** – What would happen to the underspend on the £6,000 budget?

**Response** – The support budget of £6,000 per annum would remain, however, money that was not spent would not be rolled over to the next year.

**Question** – Would the Neighbourhood Boards be charged to use the Community Centres?

**Response** – Each Neighbourhood board has an allocation of free time to book the centres for their use.

**Question** – Would the community centres be redecorated?

**Response** – Major works are undertaken by Property Services where identified through condition surveys. Recreation Officers carry out minor works where feasible.

**Question** – Would the Paxton system be extended to the internal doors?

**Response** – The system has been amended slightly. It would compromise fire safety to extend to all doors. Recently a gate has been added to improve security and safety for key holders at Sudbrooke Drive Community Centre.

#### **4. Main Body of Report**

- 4.1 A report compiled during the first month of the key holding system being launched in July 2016 evidenced that the Paxton system had now been interfaced at all 5 community centres. This installation process was a complex operation involving a system build for the Paxton software and interfacing the Paxton system with City of Lincoln Council fire alarm and intruder alarm systems. Compatibility issues which were not anticipated were encountered in relation to some intruder and fire alarms. In some cases the alarm panels had failed and needed to be replaced. These problems were quickly resolved and the Paxton system was launched successfully
- 4.2 Initially during the first month of this service being introduced the majority of hirers opted to key-hold. Of the 42 regular hirers at the time, six indicated that they were unable or unwilling to be trained as key holders.
- 4.3 There are now over 60 regular hirers using the community centres.
- 4.4 There were a number of issues and concerns regarding the initial move to the key holding system, particularly in the very early stages. The anticipated roll-out of key holding across the centres was initially delayed because of complications with the new Paxton software and the difficulties in training hirers. The training of hirers proved to be a more difficult and time consuming undertaking than initially expected for the Recreation Officers and the Bookings team. The City Councils two recreation officers undertook all of the key holder training, this included the training of City Council and Lincolnshire County Council staff, contractors as well as the

many nominated hirers. Many of the hirers consisted of groups with multiple staff members who required training. As a consequence staff were engaged in almost full time training sessions over a period of 6 successive weeks. The need to train new groups in addition to those existing hirers that had already been trained continues to be a high priority and is still a significant part of the Recreation Officers role. Since the start of the key holding scheme a total of over 160 hirers have been key holder trained plus eight City Council staff, four County Council staff and 20 contractors.

- 4.5 Key holders are given additional time pre and post their booked time to enable them to carry out the responsibilities of being a key holder. Initially, some key holders overran their times but this has now been mostly resolved by key holders managing their time more effectively
- 4.6 The Recreation Service at City Hall regularly review the use of the community centres by monitoring the events history on the Paxton system. This enables staff to identify any problems with access, doors not locking and hirers trying to gain entry outside of time zones.
- 4.7 Other issues arising as a consequence of the introduction of the key holding system include;
- Inadequate cleaning,
  - lights being left on overnight,
  - doors not being secured,
  - there has also been some issues with some hirers not always carrying out all the necessary checks they are required to.

These are all picked up with the individual hirers. Records are maintained in order to identify trends, give assistance and if necessary review key-holding status of hirers.

- 4.8 Officers believe that the current satisfaction levels for hirers of our community facilities is high. Staff have worked hard to keep a positive relationship with key holders, the flexibility of the key holding system has been particularly appreciated by users. To aid our staff, key holders are encouraged to notify officers of any issues with regard to repairs, cleanliness or any other concerns with regard to the centres operation in general.

## **5. Strategic Priorities**

### **5.1 Let's drive economic growth**

The proposed savings to the operation of this service will ensure the City Council's Community Centre offer becomes more sustainable in the future.

### **5.2 Let's reduce inequality**

Protecting the poorest people in Lincoln

The existing low tariffs paid by users of the City Councils community Centres will remain in place to support the most vulnerable in our communities.

There were no price increase in 2016/17. There was an inflationary price increase in 2017/18.

## **6. Organisational Impacts**

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

Since 2017/18 all identified TOFS savings have been delivered in full.

Contract cleaning budgets have been implemented across all sites via existing budgets, most notably from the original £18,000 Community Support Fund.

There is still a remaining £5,000 Community Support Fund budget of which only 50% continues to be allocated to community groups specified above.

Across all sites income targets are achieving to budget and compensating for any cost of agency that is required.

The current and next MTFs assumes no further pressure within the operational running of the community centres and the key holding progress report can continue to be considered a success from a financial perspective.

### **6.2 Legal Implications including Procurement Rules**

There are no legal implications arising from this report.

### **6.3 Land, property and accommodation**

### **6.4 Human Resources**

### **6.5 Equality, Diversity & Human Rights**

This was considered as part of the original proposal, the community support fund has been used to help those groups requiring additional support.

## **7. Risk Implications**

### **7.1 (i) Options Explored – Cancel the Key Holding System**

To cancel the key holding system and return to the previous caretaking system would have a detrimental financial impact on the operation of this service and the City Councils medium term financial strategy. Users would no longer enjoy the current flexibility of the booking service the Paxton system allows. The pressure to raise prices for the use of our Community Centres be unavoidable.

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

## **8. Recommendation**

### **8.1 Policy Scrutiny Committee are asked to note the report and make comment on the attached Key Holder scheme.**

**Is this a key decision?** No

**Do the exempt information categories apply?** No

**Does Rule 15 of the Scrutiny Procedure Rules (call-in and urgency) apply?** No

**How many appendices does the report contain?** None

**List of Background Papers:** None

**Lead Officer:** Steve Lockwood  
Sports Leisure and City Services Manager  
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**SUBJECT: PROTECTING VULNERABLE PEOPLE UPDATE**

**DIRECTORATE: HOUSING & INVESTMENT**

**REPORT AUTHOR: PAULA BURTON, HOUSING SOLUTIONS MANAGER**

## **1. Purpose of Report**

- 1.1 To provide an annual update on the Protecting Vulnerable People work that has taken place over the last year.

## **2. Executive Summary**

- 2.1 Protecting Vulnerable People encompasses a range of legal duties and responsibilities designed to protect people's health, wellbeing and human rights and support them in preventing problems from escalating and enabling them to live free from harm, abuse and neglect.

## **3. Background**

- 3.1 The Council's Protecting Vulnerable People Group monitors the safeguarding work that is completed by officers in the Council. This includes all referrals made, cases that have an officer involved with them and all meetings attended by officers within the Council.
- 3.2 The responsibility of safeguarding is currently held by the Director of Housing and Investment and the operational Lead Officer is the Housing Solutions Manager. The Public Protection and Anti-Social Behaviour Manager is the designated Lead for Domestic Abuse, Prevent and Modern Day Slavery.

## **4. Work completed during the last year**

- 4.1 Over the course of the last 18 months the City of Lincoln Councils Internal Safeguarding meeting has been rebranded as 'Protecting Vulnerable People' and has been expanded to encompass Hate/Mate Crime, PREVENT, Domestic Abuse, Stalking and Modern Slavery. This approach ensures that we have a co-ordinated approach to a range of safeguarding issues and can ensure that training of staff and any materials that may be needed to protect vulnerable people are centrally stored. The group have initially worked on a number of priorities that focus around training of staff and ensuring that reports are centrally stored and auditable.
- 4.2 In October 2019 a county wide Safeguarding Policy was agreed at Executive Committee and over the coming year all district councils in Lincolnshire will start to operate in a more consistent way. All district council Safeguarding Lead Officers meet regularly and also share the attendance of meetings when that is possible. However, the number of multi-agency safeguarding meetings that the council are expected to attend has increased.

- 4.3 The Council is signed up to the Modern Day Slavery Charter which ensures that the Council's procurement chain is free from modern slavery. The Modern Day Slavery statement is also in place for the Council and all staff are trained in the meaning of this.
- 4.4 The Council have contributed towards the Modern Day Slavery review into a major operation and the report will be published once it has been approved by the Home Office.
- 4.5 Whilst officers are carrying out their day to day work they are trained to identify safeguarding concerns. Should they come across a concern an internal safeguarding referral is made and should it be necessary this will also be referred to Children's Services or Adult's Services. Below are the number of referrals that have been made over the last 18 months.

The numbers are thought to be mainly due to staff being more aware of the signs to look out for and that staff are being encouraged to identify cases using an improved process.

Quarter	Children	Adults	Total
July – Sept 18/19	1	5	6
Oct – Dec 18/19	8	13	21
Jan – March 18/19	4	11	15
April – June 19/20	5	11	16
July – Sept 19/20	10	19	29
Oct – Dec 19/20	10	16	26
Total	38	75	113

## 5. Work in progress or ongoing

- 5.1 A page will shortly be published on City People that will contain all safeguarding information. This includes guidance and advice on the elements of safeguarding. It will also include advice about how to make referrals to other agencies and the relevant forms or contact details to do this. This information will be accessible to all staff and Member able to access City People.
- 5.2 Officers continue to follow the Lincolnshire Safeguarding Children and Adults training pathway which includes online and face to face training. Each role within the Council is currently being reviewed by service managers to ensure that their staff are determined as requiring the correct level of training for their role. This then determines the level of the training pathway that is followed and compliance with this is monitored by the Protecting Vulnerable People Group.
- A verbal update will be provided during the meeting regarding the level of officers that are compliant with their training requirements.
- 5.3 Several Members have attended a safeguarding training event recently which covered all elements of safeguarding, including the newer sections included in the new Safeguarding Policy that has been adopted by the Council. Further training opportunities have been offered and arranged and any future training that Members required can be arranged by contacting Democratic Services.

- 5.4 All of the district councils within Lincolnshire are currently assessing the effectiveness and cost of implementing the Ecins IT system to record all safeguarding concerns and cases. This system is currently used by the Public Protection and Anti-Social Behaviour Team in Lincoln as part of the Community Safety Partnership but this will be a further development to introduce safeguarding to the system. The use of the system will provide a contextual approach to safeguarding and would enable users to identify if victims, perpetrators or vulnerable people are known to any other agency using the system.
- 5.5 Officers continue to attend multi-agency meetings for a variety of safeguarding reasons. These meetings include Multi-Agency Child Exploitation, Multi-Agency Risk Assessment Conference and the Vulnerable Adults Panel. Our involvement at the meetings ensures that the agencies involved are working in a co-ordinated way to aim to reduce the risks to the people being discussed.
- 5.6 A business case is being prepared for the Corporate Management Team regarding the capacity of officers to fulfil the current and ongoing requirements of safeguarding. This will provide information on the number of hours being spent and the nature of the work that is being completed.

## **6. Future concerns**

- 6.1 Although the nature of safeguarding referrals continues to be around similar referral reasons, there are also more unusual concerns being identified. Due to the successful training and publicity raising the awareness of officers and the public surrounding issues such as modern day slavery and exploitation there has been an increase in the number of concerns raised and subsequently cases that require assistance.
- 6.2 Lincolnshire County Council are currently reviewing their processes surrounding their approach to adult safeguarding and also how Housing Related Support is determined and allocated. A new approach is currently being consulted on and this could have a significant impact on the City Council depending on the amount of resources that would be offered to support the district councils in their proposed role. This proposed role could include assessing customers to determine what level of support they require and also staffing an increased number of multi-agency meetings to agree levels of support required. There is also a possibility that front line officers will be expected to have the elements of support they currently provide formalised.

## **7. Strategic Priorities**

- 7.1 The provision of effective safeguarding is critical to the Council in the delivery of its core responsibilities. The proposals, as set out in this report, strengthen the resilience of the Council to ensure that referrals are encouraged, when necessary, and officers are supported to make those referrals and also to represent the Council at multi-agency meetings.

## **8. Organisational Impacts**

- 8.1 Finance

This report is for information only and does not have any financial impacts.

## 8.2 Legal Implications including Procurement Rules

There are no specific legal implications arising as a result of this report.

## 8.3 Equality, Diversity and Human Rights

There are no Equality, Diversity and Human Rights implications as a result of this report.

## 8.4 Human Resources

There are no HR implications arising as a result of this report.

## 9. Risk Implications

9.1 There are no risk implications arising from this report.

## 10. Recommendation

10.1 Members of the committee are asked to note the contents of this report.

**Is this a key decision?** No

**Do the exempt information categories apply?** No

**Does Rule 15 of the Scrutiny Procedure Rules (call-in and urgency) apply?** No

**How many appendices does the report contain?** 0

**List of Background Papers:** None

**Lead Officer:** Paula Burton, Housing Solutions Manager  
Telephone (01522) 873734

**POLICY SCRUTINY COMMITTEE****14 JANUARY 2020**

**SUBJECT: LOCALISED COUNCIL TAX SUPPORT SCHEME – 2020/21**

**DIRECTORATE: CHIEF EXECUTIVE AND TOWN CLERK**

**LEAD OFFICER: MARTIN WALMSLEY, HEAD OF SHARED REVENUES AND BENEFITS**

**1. Purpose of Report**

- 1.1 To provide an opportunity for Policy Scrutiny Committee to discuss and comment, as part of the formal consultation period, on the proposed scheme for Local Council Tax Support (CTS) for the financial year 2020/21, as well as regarding proposals made in relation to an Exceptional Hardship Scheme, also regarding Council Tax changes.

**2. Background**

- 2.1 The Council Tax Benefit system was abolished on 31<sup>st</sup> March 2013 and replaced by the Council Tax Support Scheme. This scheme can be determined locally by the Billing Authority having had due consultation with precepting authorities, key stakeholders and residents. There are currently 8,542 residents claiming Council Tax Support in the Lincoln District.

There are 2,903 pensioners in receipt of Council Tax Support. Pensioners are protected under the legislation and receive Council Tax Support as prescribed by the Government (broadly similar to the level of Council Tax Benefit) and as a result are not affected by any changes made to the Council Tax Support Scheme.

It is the 5,639 working age claimants who will be affected by any changes made to the scheme, and as such any potential reduction in support being provided.

- 2.2 The Council agreed to a Local Council Tax Support Scheme which came into effect on 1<sup>st</sup> April 2013. Our scheme matched the previous Council Tax Benefit scheme, giving 100% support for both pension and working age customers.
- 2.3 The proposed CTS scheme must go through certain steps to comply with the provisions stated in the Local Government Finance Act 2012 before it can be adopted by this Council as a Billing Authority:-

*Before making a scheme, the authority must (in the following order):-*

- (a) consult any major precepting authority which has power to issue a precept to it,*
- (b) publish a draft scheme in such manner as it thinks fit, and*
- © consult such other persons as it considers are likely to have*

*an interest in the operation of the scheme.*

### **3. Our Council Tax Support scheme**

- 3.1 Our scheme has been updated by minor amendments each year to maintain the link with Housing Benefit and the previous Council Tax Benefit scheme.
- 3.2 For 2019/20, the cost of the scheme as at 31<sup>st</sup> August 2019 is £7,783,612, the Council's share of which is £1,183,109, for 8,542 claimants, 2,903 who are pensioners and 5,639 who are working age.
- 3.3 The current scheme has the following restrictions for working age customers: -
- Capital over £8,000;
  - Minimum entitlement of £2 per week;
  - Property banding capped at Band B e.g. a customer in Band C (and above) property, will only have their CTS calculated on Band B liability;
  - Backdating restricted to 1 month; and
  - Temporary absence from home in line with Housing Benefit.
- 3.4 The current scheme has the following Council Tax technical restrictions for all Council Tax Payers: -
- Introduction of additional 50% premium to empty properties over 2 years – total premium is 100% (total charge 200%);
  - Care leavers council tax exemption – 100% for those aged between 18 and 21<sup>st</sup> birthday and 50% for those up to their 22<sup>nd</sup> birthday;
  - Unoccupied discount 100% for the first month; and
  - Second Home discount of 0%.

### **4. Proposed Council Tax Support 'no change' scheme for 2020-21**

- 4.1 Based on the current core elements of the existing scheme, a caseload reduction of 1% has been modelled, along with an increase in Council Tax (ranging from 2% to 4%). These are summarised in Appendix 1, giving an indication of the potential cost and savings to City of Lincoln. Also included is the potential value for non-collection (based on projected collection in the taxbase of 98.75%).
- 4.2 As a billing authority the Council can decide whether or not to amend core elements of its scheme each year. Officers are not proposing any changes to the core elements of the scheme.

There will be some technical changes that will still need to be applied to ensure that the Council's scheme complied with the Prescribed Scheme Regulations (covering Universal Credit, premiums and discounts). These details are still awaiting from the Ministry of Housing, Communities and Local Government (MHCLG).

Technical amendments to the scheme in relation to uprating income, applicable

amounts, disregards and allowances are to be collated once statutory details have been released by the Secretary of State; it is intended that these will be circulated to Members for consideration at the Executive meeting on 20<sup>th</sup> January 2020. There will be no change to the adopted policy in the way CTS is calculated for these areas. Officers have considered if there is any need for any transitional arrangements to the revised scheme and concluded transitional arrangements are not needed for the 2020/21 scheme.

4.3 In developing the modelling for each of the Council Tax Support Scheme options a number of assumptions have been made, as follows:

- Uprating Freeze for social security benefits, based on the current national policy.
- As the Council and major preceptors are likely to set differing levels of Council Tax increases it creates a variety of modelling scenarios. An overall increase on all elements of between 2% and 4% has therefore been assumed for modelling purposes. The final cost of the scheme will though be increased by the level of Council Tax increases applied. The modelling does not though take into consideration that the Council's percentage share of the overall cost of the scheme would slightly reduce if other preceptors increase their Band D by a greater percentage than the Council, this would in effect reduce the cost of the scheme to the Council.
- 1% reduction in caseload for 2020/21.
- Collection Rate of 98.75%. The current Council Tax base is calculated on this collection rate which takes into account in year collection and collection of arrears. For 2020/21 it is proposed that the collection rate, based on current collection, is maintained at 98.75%.

#### 4.4 **Exceptional Hardship Scheme:**

Alongside a proposed 'no change' CTS scheme for 2020/21, it is also suggested that £20,000 for an Exceptional Hardship Scheme continues. Exceptional Hardship Payments (EHP) assist persons who have applied for Council Tax Support and who are facing 'exceptional hardship' – it is similar to the Discretionary Housing Payment scheme for Housing Benefit shortfalls. EHP provides a further financial contribution where an applicant is in receipt of Council Tax Support but the level of support being paid by the Council does not meet their full Council Tax liability.

The Council is required to provide financial assistance to the most vulnerable residents, who have been disproportionately affected by the changes made in 2020 to the Council Tax Support Scheme. Since April 2013, the Council agreed to introduce an Exceptional Hardship scheme each year, in order to provide a safety net for customers, in receipt of Council Tax Support who were experiencing difficulty paying their council tax. Exceptional Hardship falls within Section 13A(1) of the Local Government Finance Act 1992 and forms part of the

Council Tax Support Scheme.

The current EHP budget is £20,000 and the cost of EHP awards is being borne solely by City of Lincoln. As at 31<sup>st</sup> August 2019, a total of £9,396 EHP has been awarded.

## 5. Proposed changes to Council Tax

### 5.1 Care leavers Council Tax Exemption:

In July 2016, HM Government, Edward Timpson, Minister of State for Children and Families produced a report titled '[Keep On Caring - Supporting Young People from Care to Independence](#)'. The report encourages all local authorities to consider how they can support their care leavers, using flexibilities at their disposal. One of these flexibilities is through the award of a Council Tax exemption.

In January 2019, Council approved for City of Lincoln to introduce support for care leavers within their 2019/20 Council Tax Support Scheme. A summary of the scheme is as follows: -

- *Award 100% discount on balance of Council Tax up to the individuals 21<sup>st</sup> birthday, then give 50% discount for a further year to the 22<sup>nd</sup> birthday. This would give a phased reduction towards full liability for Council Tax from the individuals 22<sup>nd</sup> birthday. Award to be made through the 2019/20 Council Tax Support Scheme.*

The Children's Society suggested that care leavers up to, at least the age of 21 be exempt from paying council tax, but that they would also receive additional support from the county up to the age of 25.

The term 'care leaver' is defined in The Children (Care Leavers) Act 2000 and refers to eligible, relevant and former relevant children.

- Eligible children are young people aged 16-17 who are still in care and have been 'looked after' for a total of 13 weeks from the age of 14 and including their 16th birthday.
- Relevant children are young people aged 16 and 17 who have already left care and who were 'looked after' for at least 13 weeks from the age of 14 and have been 'looked after' at some time while they were 16 or 17.
- Former relevant children are young people aged 18, 19, or 20 who have been eligible and/or received relevant support prior to this age.

Officers propose to consider the extension of the 100% support up to their 25<sup>th</sup> birthday. There are currently 3 care leavers between the age of 22 and 25 where this exemption could apply. If we were to assume support for those 3 cases, the **total cost would be £3,617.28** (assuming full support at Band A of £1,205.76). **For City of Lincoln, this would be a cost of £578.76.**

## 5.2 Council Tax empty homes premium:

From 1<sup>st</sup> April 2013, billing authorities have been able to charge a premium on a class of property that has been unoccupied and unfurnished for 2 years or more. From 1<sup>st</sup> April 2019, the premium increased to 100% (from 50%) of the Council Tax on the property – giving a total charge of up to 200%. From 1<sup>st</sup> April 2020, councils will have the powers to charge even greater premiums on homes left empty following an amendment to a government Bill.

The Rating (Property in Common Occupation) and Council Tax (Empty Dwellings) Act 2018 allows billing authorities to charge higher premiums on homes left empty.

The legislation provides for the following: –

- April 2020 – any property empty between five and ten years to receive a premium of 200% (giving a total charge of up to 300%); and
- April 2021 – any property empty over ten years to receive a premium of 300% (giving a total charge of up to 400%).

Decisions on whether to charge a premium, and the exact rates to be charged will remain a matter for Councils, taking local circumstances into account. Officers have included in consultation a number of considerations to be taken into account when applying the premium, - i.e. a range of factors to be considered by officers when determining whether or not such a premium is to be charged at individual case level.

Approval of any change for 2021/22 cannot be made until the 2021/22 Local Council Tax Support scheme has been consulted on.

## 6. Timetable

6.1 The timetable to approve any change to the new scheme takes into account the existing calendar of meetings. The Full Council as Billing Authority needs to approve the scheme after consultation as outlined in paragraph 2.3.

6.2 The timetable is as follows: -

- Consultation – 30<sup>th</sup> October 2019 to 14<sup>th</sup> January 2020 - the Council is required to review their current Council Tax Support scheme. The proposals and recommendations seek to ensure the Council has a robust review of its current scheme and understand the implications of adopting a new scheme.
- Policy Scrutiny Committee – 14<sup>th</sup> January 2020 as part of consultation process.
- Executive – 20<sup>th</sup> January 2020.
- Council – 21<sup>st</sup> January 2020 - the Local Government Finance Act 2012 requires a full review of the scheme by the Billing Authority. City of Lincoln Council will need to approve a new scheme after consultation by 31<sup>st</sup> January 2020.

## 7. Significant Policy Impacts

### 7.1 Strategic Priorities

**Let's drive economic growth** - Council Tax Support has a key role in Reducing Poverty and disadvantage by ensuring residents in those households who cannot afford to pay their Council Tax receive financial support. The changes to Council Tax Support form part of the national welfare reform agenda, with the risks of changes to numbers of claimants due to economic change and funding gap costs being passed from central government to local authorities. Central government now has a fixed cost funding arrangement whereas local government must set a scheme in advance of the financial year it applies to but cannot change it should circumstances change unexpectedly or if the assumptions used to decide the scheme are not realised. Central government states that this places responsibility for the local economy such as creating businesses and jobs on local government as part of the localism agenda.

**Let's reduce inequality** - The Authority will be obliged to comply with its general equality duty under the Equality Act 2010. The scheme is being amended in line with statutory requirements and uprating the financial allowances. Early modelling shows the number of customers affected and pay how much (total and average per week). Once a decision has been made regarding the options of modelling, an equality impact assessment will be undertaken.

Council Tax Support awards are notified on Council Tax bills. If the scheme were likely to change, consultation with precepting authorities, stakeholders (such as Citizens Advice and Financial Inclusion Partnership) and residents would be required. Once a decision has been made, notification within Council Tax bills and annual CTS uprating letters would be issued advising claimants of the decision once their award for the new financial year is known.

### 7.2 Organisational Impacts

**Finance** (including whole life costs where applicable)

The actual cost of the discount scheme in 2020/21 will not be known for certain until the end of the financial year and will be dependent on the actual caseload in year as well as the levels of Council Tax set by the City Council and the major precepting authorities.

An indicative range of costs based on various scenarios for 2020/21 is set out in Appendix 1.

The estimated cost of the scheme, based on current caseload, is taken into consideration when calculating the Council's tax base for the financial year and will impact on the estimated Council Tax yield for the year. Any difference in the actual cost of the discount scheme to that estimated in the tax base calculation will be accounted for within the Collection Fund and will be taken into account when future years surpluses or deficits are declared.

The exceptional hardship fund of £20,000, made available during 2019/20, is proposed to continue for 2020/21.

If the care leavers' exemption was extended to the age of 25, there will be an additional cost of £3,617.28 (assuming full support at Band A of £1,205.76). For City of Lincoln, this would be a cost of £578.76.

### **7.3 Legal implications inc Procurement Rules**

The Council Tax Reduction Schemes (Default Scheme) (England) Regulations 2012, laid before Parliament on 22<sup>nd</sup> November 2012, set out the regulations for a default scheme and this was adopted by the Council subject to local policy needs in January 2013. The Secretary of State has issued amendment regulations setting out some changes that must be adopted by the Council for pensioners and the Council has also decided in 2013 to keep the schemes allowances and premiums in line with those for Housing Benefit for working age claimants. These are incorporated into amendments to the local scheme for approval by the Council.

The regulations for the City of Lincoln Council scheme proposed to be adopted are to be collated and made available for Council in January 2020.

### **7.4 Equality, Diversity and Human Rights**

The Authority will be obliged to comply with its general equality duty under the Equality Act 2010 and is shown in Appendix 3. The scheme is being amended in line with statutory requirements and uprating the financial allowances.

### **7.5 Staffing**

No change to current staffing arrangements as a result of this policy.

## **8. Risk Implications**

- 8.1 The Council, along with the other preceptors, bears the risk of the cost of the Council Tax Support scheme should caseload increase causing the cost to increase more than predicted.
- 8.2 Any revisions to the scheme must be approved by 31<sup>st</sup> January 2020, before the financial year begins.
- 8.3 The scheme cannot be changed mid-year and therefore it is vital the correct scheme is in place.

## **9. Recommendations**

9.1 Policy Scrutiny Committee is asked to:

- 1) Consider and comment on a proposed 'no change' Council Tax Support scheme for 2020/21, as set out in Section 4.
- 2) Consider and comment on the continuation of the £20,000 Exceptional Hardship fund for 2020/21 to top up Council Tax Support awards in appropriate cases. This amount is funded through the collection fund.
- 3) Consider and comment on proposed Council Tax changes for 2020/21 – i.e. Care Leavers exemption, and Council Tax empty homes premium (with a range of factors for consideration).

**Key Decision** Yes

**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

**Does the report contain Appendices?** Yes

**If Yes, how many Appendices?** 3

Appendix 1 –Modelling 2020/21  
Appendix 2 – Suggested adjustments to Premium charges  
Appendix 3 - Equality Impact Assessment

**List of Background Papers:** None

**Lead Officer:** Martin Walmsley – Telephone 01522 873597

**Council Tax Support Scheme ‘no change’ proposal as at 31 August 2019**

All applicable amounts have been frozen, income with 0% increase, Council Tax with 2%, 3% and 4% increase and 1% caseload decrease.

<b>Option 1: No change to current scheme</b>	<b>Estimated Total Spend</b>	<b>City of Lincoln Spend – 15.2%</b>	<b>Difference to MTFS (1,237,579) – saving / (cost)</b>	<b>Amount expected to be collected using collection figure of 98.75%</b>
Current scheme only – 2% Council Tax increase	£8,004,133	£1,216,392	£21,177	£20,912
Current scheme only – 3% Council Tax increase	£8,087,399	£1,229,046	£8,523	£8,416
Current scheme only – 4% Council Tax increase	£8,170,678	£1,241,702	(£4,132)	(£4,080)

**Council Tax Technical Options for change as at 19 September 2019**

<b>Option 4: Council Tax Empty Homes Premium</b>	<b>Council Tax Band</b>	<b>Total properties per band</b>	<b>Additional revenue per band @ 200%</b>	<b>City of Lincoln Additional revenue – 16%</b>	<b>Amount expected to be collected using collection figure of 98.75%</b>
Introduce 200% premium (300%) charge for properties empty over 5 years	A	33	£39,776	£6,364	£6,285
	B	4	£5,625	£900	£889
	C	3	£4,821	£771	£762
	D	3	£5,424	£868	£857
	E	0	£0	£0	£0
	F	0	£0	£0	£0
	G	1	£3,013	£482	£476
	H	0	£0	£0	£0
<b>Total</b>		32	£58,659	£9,385	£9,269

**Care Leavers**

Officers propose to consider the extension of the 100% support up to their 25<sup>th</sup> birthday. There are currently 3 care leavers between the age of 22 and 25 where this exemption could apply. If officers were to assume support for those 3 cases, the **total cost would be £3,617.28** (assuming full support at Band A of £1,205.76). **For City of Lincoln, this would be a cost of £578.76**

### **Council Tax Premium Charges 2020/21 - Background**

1. Section 11B of the Local Government Finance Act 1992 gives Councils to power to charge additional amounts of Council Tax on long term empty properties. A long term empty property in this context is any property which has been both unoccupied and unfurnished for a period of over two years.
2. The amount of the additional charge is capped by the legislation at:
  - a. properties that have been long term empty for less than 5 years, 100% - City of Lincoln current have 89 (65 Band D equivalent) properties within this category; and
  - b. properties that have been long term empty between 5 and ten years, 200% - City of Lincoln current have 20 (14 Band D equivalent) properties within this category; and
  - c. properties that have been long term empty for 10 years or longer, 300% - City of Lincoln current have 24 (18 Band D equivalent) properties within this category.
3. The 200% premium (maximum charge of 300%) represents a new power for the financial year 2020/21. For the financial year 2021/22, an additional premium of 100% for properties which have been long term for 10 years or longer comes in to force, increasing the total premium to 300% (maximum charge of 400%). However, approval of any change for 2021/22 cannot be made until the 2021/22 Local Council Tax Support scheme is consulted on.
4. Since the Council was granted this power in 2013/14 it has adopted the maximum premium available to it each year. For the financial years 2013/14 to 2018/19, the maximum was 50% (maximum charge of 150%). From 2019/20 the maximum increased to 100% (maximum charge of 200%).
5. To apply the maximum (or any additional charge below the maximum) the Council must make a resolution to this effect prior to the start of the financial year to which it applies.
6. The number of long term empty properties at both Councils has reduced since April 2019 and this is believed to be as a consequence of the increased Premium. It is likely that increasing the Premium for those properties which have been long term empty for more than 5 years from 1<sup>st</sup> April 2020 (and 10 years from 1<sup>st</sup> April 2021) could have a similar beneficial effect.
7. The increase in the additional premium to 100% (maximum charge of 200%) from 1<sup>st</sup> April 2019 generated a considerable amount of criticism, not least because of the blunt nature of the additional charge applying to all qualifying properties, regardless of the circumstances at those properties, or the circumstances of the taxpayers.

8. The criticism is likely to be even greater if the Council were to apply the new maximum levels that come into force from 1<sup>st</sup> April 2020 in the same manner.
9. To deflect the criticism whilst still giving the Council the opportunity to use the powers available to it, it is recommended that from the commencement of the financial year 2020/21, the Council introduces a combination of the following adjustments to its determination:
  - a. a period of grace for the purchasers of long empty properties before they incur the Premium Charge – this could be for 6 months or a year – really a matter of judgement. This has been a justifiable complaint against the Council's application of the Premium Charge. A person purchasing an empty property will not know in advance whether it is a long term property or not and so feel aggrieved that they immediately incur the additional charges.
  - b. reductions (subject to conditions) if the taxpayer is:
    - i. repairing the property to bring it back into habitable condition
    - ii. making reasonable efforts to dispose of the property
    - iii. make adjustments to the property to make it suitable accommodation for someone living with a disability
    - iv. making adjustments to improve the energy efficiency of the property
10. The amounts of suggested adjustments are contained in Appendix 1 to this document.
11. At 1<sup>st</sup> November 2018, there were 154 long term empty properties in City of Lincoln. These figures have reduced to 133 on 1<sup>st</sup> September 2019.
12. There are 59 properties in Lincoln that are currently long term empty and will have been so for more than 5 years on 1<sup>st</sup> April 2020. Increasing the Premium rate to 200% (maximum charge of 300%) for these properties would have the effect of increasing the tax base by 43 Band D equivalents.
13. A suggested resolution is contained in Annex 2 to this document.

Annex 1

**Suggested adjustments to Premium Charges**

Circumstances	Considerations	Suggested Premium Amount	Length of adjustment	Details for owners
Change of owner	<ul style="list-style-type: none"> <li>What changes of ownership are acceptable? (suggest property has to have been marketed for sale to prevent abuse such as transfer between relatives etc.)</li> <li>Length of adjustment</li> </ul>	0%  (so new owners effectively paying standard empty property rate for first period of purchase)	6 months	The Council would write to the owner to advise of 0% charge from the first day of liability. The letter will advise of the % increase after 6 months
Properties undergoing repair	There is a locally defined discount with statutorily defined circumstances which applies and it would appear sensible to use those circumstances with some provisos. <ul style="list-style-type: none"> <li>Cannot apply to anyone who has already received the similar local discount at the property</li> <li>Question whether the discount can only apply in a specific period (e.g. in the first two years that the person is the taxpayer) so that people cannot hold on to property for years before commencing work on property to maximise discount</li> <li>The Council would have to be satisfied that work is actually taking place and likely to be completed in a reasonable</li> </ul>	Additional Charge to be halved  So for long term empty property that is: <ul style="list-style-type: none"> <li>Less than 5 years, 50%</li> <li>5 years or longer, 100%</li> <li>Could consider only applying to those over 5 years</li> </ul>	3 months  (this could be in addition to the initial 6 months) – new owners only	

	timescale (so as not to encourage delay)			
Properties being marketed for sale	<ul style="list-style-type: none"> <li>• Should only apply (if at all) to properties which are suitable for immediate occupation, so there is an incentive on owners to keep property in repair.</li> <li>• Council would need to see evidence of marketing</li> <li>• Council would need to be convinced that valuation is reasonable</li> </ul>	<p>Additional Charge to be halved</p> <p>So for long term empty property that is:</p> <ul style="list-style-type: none"> <li>• Less than 5 years, 50%</li> </ul> <p>5 years or longer, 100%</p> <p>Could consider only applying to those over 5 years</p>	3 months	
Property undergoing adjustment to make it suitable for disabled living	Probably similar to those undergoing repair, except it may be appropriate for it to be for a longer period, or in addition to the local discount.	<p>Additional Charge to be halved</p> <p>So for long term empty property that is:</p> <ul style="list-style-type: none"> <li>• Less than 5 years, 50%</li> </ul> <p>5 years or longer, 100%</p> <p>Could consider only applying to those over 5 years</p>	6 months Not limited – all owners	
Properties undergoing environmental	Probably similar to those undergoing repair, except it may be appropriate for	Additional Charge to be halved	6 months	

Appendix 2 – Policy Scrutiny Committee 14<sup>th</sup> January 2020 – Council Tax Support Scheme 2020/21

<p>efficiency improvement</p>	<p>it to be for a longer period, or in addition to the local discount.</p>	<p>So for long term empty property that is:</p> <ul style="list-style-type: none"> <li>• Less than 5 years, 50%</li> </ul> <p>5 years or longer, 100%</p> <p>Could consider only applying to those over 5 years</p>		
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Annex 2

**Suggested resolution**

1. Pursuant to Section 11B of the Local Government Finance Act 1992, the Council resolves that it shall levy an additional charge on the Council Tax for long term empty properties for financial years commencing with the financial year 2020/21. The additional charge shall, subject to paragraphs 2 and 3 below, be the maximum permitted by the legislation for any class of property according to the length of time that it has been a long term empty property.
2. (a) The additional charge shall not apply in the first 12 months that a taxpayer becomes liable for the Council Tax for a property following the date of its purchase.  
  
(b) This paragraph shall not apply if in the Council's view, the sale and purchase of the property was contrived in order to avoid the additional charges.  
  
(c) For the purpose of this paragraph, a property will only be considered to have been sold if there is a conveyance leading to an amendment regarding the proprietorship of the property on the Land Register entry for the property.
3. (a) The amount of the additional charge shall be halved in the following situations:
  - (i) Subject to sub paragraphs (b) and (d), the Council is satisfied that the taxpayer is taking reasonable steps to return the property to a habitable state
  - (ii) Subject to sub paragraph (c), the Council is satisfied that the taxpayer is taking reasonable steps to bring the property back into occupation
  - (iii) Subject to sub paragraph (d), the Council is satisfied that the taxpayer is taking reasonable steps to make the property suitable for occupation by a person with a disability.  
(b) This paragraph shall not apply in the following circumstances:
  - (i) The taxpayer has already received a local discount from the Council from the Council Tax for this property under Section 11A of the Local Government Finance Act 1992 and Class D of the Council Tax (Prescribed Classes of Dwellings) Order 2003.
  - (ii) The taxpayer has at the time of the repairs commencing been liable for the Council Tax at the property for a period of 18 months or longer.  
(c) This paragraph applies for a maximum period of 3 months.  
  
(d) This paragraph applies for a maximum period of 6 months.

## Equality with Human Rights Analysis Toolkit



### SECTION A

Name of policy / project / service	Council Tax Support Scheme 2020/21
Background and aims of policy / project / service at outset	<p>In January 2019, the meeting of Full Council approved City of Lincoln Councils Council Tax Support Scheme (CTS) for 2019/20. There were a number of changes made to the scheme.</p> <p>The Council must review and reapprove its Council Tax Support scheme each year as part of its budget setting process, and make any necessary changes for 1 April 2020</p> <p>It is recognised that the combined effects of the wider welfare reform package on the residents of the District requires a robust and detailed Equality Impact Assessment.</p> <p>The current document contains data derived from the current Council Tax Support caseload.</p> <p>Following publication of the draft scheme, formal consultation will commence on 30 October 2019 and will end on 11 December 2019, utilising a combination of the council’s consultation web-portal, press releases and social media directing the public to the on-line consultation documents. Letters will also be issued to all customers in receipt of Council Tax Support. Emails will be issued to relevant stakeholders, including Citizens Advice and the Financial Inclusion Partnership.</p> <p>The level of changes to the current scheme have been modelled and individuals / groups impacted by the selection of changes is shown below: -</p> <ul style="list-style-type: none"> <li>• Retain current scheme with a Council Tax increase between 2% to 4% and 1% caseload reduction – 8,542 CTS customers affected; and</li> <li>• Council Tax Empty Homes Premium to be increased from 100% to 200% (charge from 200% to 300%) - 20 council tax payers affected</li> </ul> <p>Each of these will be considered in relation to how the changes might differently and / or adversely affect</p>

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	<p>people with protected characteristics.</p> <p>The Equality Assessment provided support in approach to the consultation on the proposed scheme. Details of the responses to the consultation will be presented in the Localised Council Tax Support 2020/21 report pack which will be presented to Strategic Review Group on 16 December 2019.</p>
<p>Person(s) responsible for policy or decision, or advising on decision, and also responsible for equality analysis</p>	<p>Claire Moses – Revenues and Benefits Manager (Shared Service)</p>
<p>Key people involved <i>i.e. decision-makers, staff implementing it</i></p>	<p>Decision Makers – City of Lincoln Members, and Executive Staff implementing any changes</p>

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**SECTION B**



				based on the level of income they receive. The personal allowances for under-25's is lower than for those over the age of 25 years. This means that they could get less.		
Disability including carers (see Glossary)	Y			<p>The proposal to protected vulnerable groups will include those with a disability.</p> <p>The Department for Work and Pensions state that disabled people remain far less likely to be in employment, therefore the proposals do not impact on this group to the extent that they are regarded as a vulnerable group. The scheme protects disabled persons from the proposed changes except for the general uprating of all allowances and premiums.</p> <p>To qualify as 'disabled' the person must</p> <ul style="list-style-type: none"> <li>• Qualify for a disability, enhanced disability or severe disability premium for the claimant or partner, or</li> <li>• Qualify for disability or enhanced disability premium for a dependent, or</li> <li>• Qualify for a disability earnings disregard, or</li> <li>• Receive a disability related council tax reduction.</li> <li>• Be in receipt of Employment and Support Allowance (Work Related or Support Group component</li> </ul>	NA	With effect from 1 April 2020
Gender re-assignment			Y	There is no evidence at this stage of an impact	NA	With effect from 1 April 2020

Appendix 3 – Policy Scrutiny Committee 14<sup>th</sup> January 2020 – Council Tax Support Scheme 2020/21 Equality Impact Assessment

Pregnancy and maternity			Y	This does not have any effect on the decisions made under this policy.	NA	With effect from 1 April 2020
Race			Y	Persons from abroad are excluded from provision by statute but race or ethnicity itself does not have any effect on the application of the scheme.  Scheme rules do not take into account race or ethnicity.  Council Tax Support is proposed to be reduced for all working age customers.	NA	With effect from 1 April 2020
Religion or belief 45			Y	There is no evidence at this stage of an impact	NA	With effect from 1 April 2020
Sex			Y	There is no evidence at this stage of an impact	NA	With effect from 1 April 2020
Sexual orientation			Y	This does not have any effect on the decisions made under this policy.	NA	With effect from 1 April 2020
Marriage/civil partnership			Y	This does not have any effect on the decisions made under this policy.	NA	With effect from 1 April 2020
Human Rights (see page 8)			Y	This does not have any effect on the decisions made under this policy.	NA	With effect from 1 April 2020

- 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?

### 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):

Tick here

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

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<p>Conclusion of Equality Analysis (describe objective justification for continuing)</p>	<p>Council Tax has to be paid by all those liable to pay it but some people will have limited means to do this because of their low income or they have higher living costs due to illnesses, disabilities or family or personal circumstances.</p> <p>Council Tax is required to raise month to fund Council Services but a certain amount of money is directed to those who cannot afford to pay the Council Tax to reduce the financial burden on those households because they need it or because society considers that financial support is beneficial to help certain categories of people in certain situations.</p> <p>The aim of the proposed changes is to save some scheme expenditure in light of further reductions to local government finance.</p>
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<p>When and how will you review and measure the impact after implementation?*</p>	<p>The policy and CTS is the responsibility of City of Lincoln Council. It is approved by Executive and then Full Council. It will be administered by the Council's Shared Revenues and Benefits Service.</p>
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Appendix 3 – Policy Scrutiny Committee 14<sup>th</sup> January 2020 – Council Tax Support Scheme 2020/21 Equality Impact Assessment

	The Council will analyse its current caseload and produce figures showing the main groups of working age claimants getting Council Tax Support now and likely to be affected by changes to the current scheme. Extracts of the data will allow monitoring of the main types of people affected by the policy can take place as required
--	---

Checked and approved by responsible officer(s) (Sign and Print Name)	 Claire Moses	Date	3/9/2019
Checked and approved by Assistant Director (Sign and Print Name)	Martin Walmsley	Date	3/9/2019

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**SUBJECT:                    PARKING ON GRASS VERGES – A POSITION STATEMENT**

**DIRECTORATE:            DIRECTORATE OF COMMUNITIES AND ENVIRONMENT**

**REPORT AUTHOR:        SIMON WALTERS, DIRECTOR OF COMMUNITIES AND ENVIRONMENT**

## **1. Purpose of Report**

- 1.1 Further to the impromptu discussion at a previous policy scrutiny committee meeting, this report seeks to outline the position in relation to the council's current approach to tackling verge parking and goes on to suggest a pilot intervention on selected major bus routes where the impact is most acute.

## **2. Executive Summary**

- 2.1 The issue of verge parking has been a concern of some Members for a long time, and the City Council's approach to tackling the issue has been reviewed on a number of occasions in the past.
- 2.2 It has become more prominent once again following recent reports from Stagecoach that they are experiencing difficulties navigating a few selected areas on public bus routes due to the presence of parked vehicles.
- 2.3 This report therefore re-visits initial work completed in late September 2018, which provided an overview of verge parking, and seeks to focus the limited resources available on two or three identified hotspots on bus routes to the north of the city. This will enable the council to trial a tailored approach to each location to ascertain costs and success to then enable a more accurate picture of resource requirements to be developed for any wider scheme in the future.

## **3. Current situation**

- 3.1 **Appendix A**, attached to this report, provides an extract of work completed in September 2018 to review the then current situation. This extract provides a useful overview of the issue but stops short of providing a range of possible interventions primarily because the costs are prohibitive and such remedial works are so generic they will not provide the more bespoke solution to each location that Members of Policy Scrutiny Committee were keen on pursuing at the 20<sup>th</sup> August 2019 meeting.
- 3.2 Since the above report has been completed two important influencing factors have emerged:
- a. Stagecoach, though their regular liaison meetings with the City Council have confirmed that they have had to alter their route/ operating methodology in three locations –Roman Pavement, Trelawney Crescent and Broxholme Gardens due to the prevalence of parked cars preventing

the safe passage of buses.

- b. The County Council are in the process of developing a Transport strategy for Lincoln. Whilst the results of this have not been released, it is envisaged that over time the aspiration will be to reduce the reliance on cars and move to more sustainable modes of transport.

- 3.3 The first issue above would suggest that a focus of any intervention work should be on ensuring vital services such as bus routes, are maintained within local communities. Therefore, this leads the city council towards a more targeted approach.

The second issue above would suggest that any large-scale investment over a period years to tackle verge parking may not be the right solution in the long term. Streets that have grass verges positively break up the look and feel of the street scene and add much needed greenery to the area. Covering over the verges with hard standing to accommodate resident parking (where the streets are wide enough) would have a significant cost and visual negative impact. If the reliance on the motorcar will reduce over the years ahead then this solution is not sustainable long term and risks irreversible damage to the street scene.

#### **4. Way Forward**

- 4.1 In order to respond to the concerns of Policy Scrutiny Committee, and to trial bespoke solutions in areas where buses are unable to navigate due to parking, the proposal for consideration here is to focus effort on the three sites above
- 4.2 The Assistant Director of Housing, Matthew Hillman, has commenced an engagement process with both Stagecoach and County Council Highways to explore options for removing the problematic parking at these locations and open them up for bus travel once again. If achievable, this will give an insight into the relative responsibilities (and capacity) of partner agencies, cost and actual success of such bespoke interventions. These should in turn enable us to plan for any possible wider intervention based on the most urgent cases.
- 4.3 Of course, whilst this work is ongoing, officers will continue to use the techniques employed to date whereby in problem areas residents are encouraged voluntarily not to park on verges through various means of communication including direct letter. This has proved effective in many cases for a period, before old habits (and hence the cars) return. The proposed "Good Neighbour" agreement being developed by Housing colleagues also provides the following aspect "Ensure that you park considerately and do not block drives or carports and wherever possible, use designated parking spaces" which will further assist once implemented.
- 4.4 The Assistant Director will provide a verbal update at the meeting in terms of his initial conversations to address the above three locations.
- 4.5 The above approach also enables the city council to assess the support that can be achieved from other agencies who have a greater responsibility for the public highway. In particular the County Council as Highway authority have a significant role but have similar budgetary constraints as the City Council and hence have to prioritise. They continue to be resistant to any intervention beyond ensuring buses

can gain access to areas.

- 4.6 As the project moves forward, noting the pressures on the General Fund as below, then this issue could be considered further by Housing Sub Committee to enable the importance of this issue to be assessed against other estate improvement demands within the Housing Revenue Account. If considered a priority by that committee, then further conversations could take place to determine if an appropriate intervention could occur within those housing areas where there is a significant parking issue and the majority of properties are retained within council ownership.

## **5. Organisational Impacts**

### **5.1 Finance**

To tackle verge parking across the city would be prohibitively expensive and beyond the resources of the council. In fact, with the challenges on the council's Medium Term Financial Strategy present within the General Fund, it would require significant resource re-allocation by Members to tackle this issue on any wider scale than suggested in this report.

With regard to the Council's own estates, currently no (or limited) provision exists in the Capital elements of the 30 year business plan. That plan is currently under review and as such resources could be reallocated but this would be at the detriment of other investment priorities.

Therefore, at this stage a more nuanced approach that focusses on the most significant issues relating to access for public transport would potentially be more appropriate.

### **Legal**

The City Council could introduce measures which would prohibit parking in problem areas, using for example, Community Protection Notices or even a Public Space Protection Orders. Where fixed penalty notices have been issued for similar offences in the past it is our experience that the majority of these have been paid without the need to take court action. Where court action is necessary the majority of these cases would be heard on their papers without the need for a trial unless the Defendant requests one. Where appropriate (for persistent offenders) cases a Criminal Behaviour Order could be applied from the Magistrate's Court. Any enforcement action would have to be led by the PPASB team, and supported by legal services. This itself generates two issues:

- i) The capacity of the PPASB - the team, within current resources could not resource this. To tackle this on any scale will require significant time throughout the process and would be a never-ending draw on enforcement activity (including legal services). Whilst legally feasible, operationally its impractical in all but a few very targeted streets.
- ii) Where would the cars move to? Residents who need their cars will simply move them to adjacent streets if such Notices do not cover large areas – which takes us back to point (i) above

So whilst legally feasible, and so should be brought to Members attention, this is not a practical solution.

## **6. Recommendation**

6.1 Policy Scrutiny Committee are requested to:

- i) note the proposed approach to tackling problem verge parking in areas that affect major bus routes as identified and
- ii) refer this issue to Housing Sub Committee to consider the impact after these trial interventions have been undertaken to assess its further application, subject to funding with the 30 year business plan

**Is this a key decision?** No

**Do the exempt information categories apply?** No

**Does Rule 15 of the Scrutiny Procedure Rules (call-in and urgency) apply?** No

**How many appendices does the report contain?** 1

**List of Background Papers:** None

**Lead Officer:** Simon Walters  
Telephone (01522) 873470

September 2018

## Parking on Grass Verges – a position statement

### Introduction

The portfolio holder for Housing has asked for a short position statement in relation to residents, their visitors and other road users parking vehicles on the grass verges adjacent to roads, particularly within many of the council estates in the city.

This short brief paper has been written to cover the main issues to be considered to help the City Council frame its response to this concern.

### Current situation

It is understood that on many of our estates across the city (accepting the problem is more acute in some areas than others) there is a persistence of cars being parked on the grass verges between the roadside and footpath, and on other adjacent areas of open space, sometimes to the rear of the footpaths. This is sometimes causing traffic flow issues down the streets, especially for larger vehicles such as waste collections and emergency vehicles, but during periods of wet weather it is also leading to these areas being churned up by the cars moving on and off. This is creating an unsightly mess.

This situation has arisen primarily from changing travel patterns over the years as more cars are now present than the original council estates were planned and built to accommodate. Residents understandably wish to park their cars outside their own homes, but in many cases there are no front driveways and no vehicle crossings leading to them. This leaves the only option of 'on-street' parking.

The prevalence of parking on grass areas, often half on and off the highway, is not unique to the council estates – it's an issue across many of our high density housing areas - particularly in the West End, Monks Road and Lower High Street areas which are nearer to the city centre, and so also suffer from commuter parking pressures. Parking on paths can be a significant issue for pedestrians trying to navigate around these parked cars, particularly when they have pushchairs or are in wheelchairs/mobility scooters.

Residents parking is seen as one device to assist in reducing the level of commuter parking in those areas. However, within our council estates, residents parking schemes are not the way forward as commuter parking is not the issue – its resident parking habits. A further complication is that many houses on some estates are now in private ownership so the concept of a "council estate" where the City Council has overall landlord responsibility is less clear.

### **Historic context.**

Many years ago now the city council and county council used to work collaboratively and put significant sums into a single pot to fund parking improvements on estates. A list of target sites would be identified each year, and key members would visit these possible sites to agree the priorities. Work was then commissioned, usually by the county council as it involved layby construction. This work stopped many years ago when the City Council stopped being the highways agent for the county council.

Today officers will respond to look at sites that are the subject of complaint, but action is usually restricted to asking for cooperation. In some cases where the land is city council owned then tree planting or the installation of bollards is possible, but this is in a minority of cases. In seeking cooperation officers are mindful of the legal position, which is that verges are part of the highway, and thus action against anyone for damage would have to be taken by the county council. It is their view that they cannot take action for parking on verges.

### **Strategic context**

Officers currently take their direction for using staff resources from the previously agreed and publicly endorsed Vision 2020 strategy, and hence focus work on projects agreed with Members and contained within this strategic document. Resources are therefore matched to the projects contained within the plan. Any newly commissioned work outside the Vision 2020 document will need to be negotiated with the relevant portfolio holder and other projects slowed down or stopped to free the necessary resources to enable work to progress on the new project.

To be clear, with specific reference to grass verge parking, this is not a scheme within Vision 2020 and hence the resources will need to be found to deliver any sizeable work on this. This could result in other projects, such as residents parking changes or expansion, being slowed if staff are commissioned to work on the project.

### **Ownership issues**

However, before a decision is taken on if and where to locate the project, we need to first explore the ownership issue. As the problem relates predominantly to the grass verges between road and footpath, these are vested within the County Council as the highway authority

Officers have recently contacted the county council to ascertain their willingness to progress any work in this. Their response has been:

“It is the responsibility of the neighbourhood to not damage the verges in their community and there is little we can do to repair the majority of the damage. We can only attend to deep ruts but then we are only filling these with stone to offer some resistance to further parking. Re-soling is a waste of time and money we can ill afford due to demands on our budget to keep the surfaced carriageways safe from potholes etc. as they will only be parked on again and make a further worse mess. We do not routinely bollard off verges as this is an added expense and maintenance liability and causes issues for grass cutting (what grass is left).”

Clearly there is no county council budget nor county council officer capacity to progress work on this issue.

There are some open spaces on estates falling within the HRA or general fund but where problems are identified for these historically the Council has installed bollards or planted trees. As a result, predominantly where parking takes place on the grassed areas between road and footpath, these are vested in the County Council.

### **Way Forward**

Without County Council resource for any form of intervention, the responsibility would fall entirely on the City Council. Within the General Fund there is no budgetary provision to undertake any works. Within the HRA, such works would very quickly deplete the resources available for estate improvement works.

Currently the HRA contains a total budget of £225,000 per annum for estate improvement activity. Should verge parking emerge as the number one issue then these resources would be quickly depleted to the detriment of other estate improvement works.

Even if we could overcome the barriers covered in this report and get to the point of a trial, it is envisaged that this would quickly lead to calls for similar interventions elsewhere across the city, the volume of which would be very difficult to manage.

However, regardless of where the funding is identified, any highways works would need county council sign off before progressing and this brings into question the availability of officer capacity at the county council to review and approve the works. Additionally, even if the city council did find staff and funds for this work, because it can add to the maintenance costs, it is unclear if the county council would agree all works.

A further consideration is that even if all issues were addressed, and a way forward to stop parking on verges could be found, unless extra car parking capacity is also added in these areas, people would struggle to find parking alternatives.

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**SUBJECT: ICT STRATEGY 2020-25**

**DIRECTORATE: HOUSING AND INVESTMENT**

**REPORT AUTHOR: MATT SMITH, BUSINESS DEVELOPMENT AND IT MANAGER**

**1. Purpose of Report**

- 1.1. To consider the proposed ICT Strategy 2020-25 prior to referral to Executive to seek approval.

**2. Background**

- 2.1. The ICT Team have been working with Foresight Consultants on a proposed ICT Strategy for the period of 2019-25.

- 2.2. This ICT strategy, is based on:

- Council priorities and the likely challenges facing the service over the next three years.
- Supporting Vision 2025 and One Council agenda
- Interviews with key stakeholders
- Reviews of current infrastructure
- Potential future requirements
- Meetings with stakeholders
- Industry developments

**3. Objectives of the Strategy**

- 3.1. The proposed strategy, building on the previous document, combines essential and aspirational elements, acknowledging the reliance of the Council, as a modern business, on ICT; and also the requirement to develop further and seek to optimise the use of technology to enable new methods of service delivery, and customer expectations in the way they wish to access Council services.

- 3.2. Four key themes have been identified:

- Channel Shift – Customer Services
- New ways of working
- Value for money
- High availability and High Performance

- 3.3. The Strategy is also designed to support the Vision 2025 and One Council Agenda.

- 3.4. The Strategy considers a number of technical solutions which support the overall themes and corporate agenda and looks at the resources available for delivery.

- 3.5. It also acknowledges that the prevailing climate over a number of years has meant that it has been difficult to provide high levels of investment into ICT Services, and that in order to achieve a sustainable service more investment will be required. Furthermore, in order to meet some of the more aspirational aspects of the strategy, it will be necessary to reconsider the deployment of resources in some cases, and to invest on a Business Case based approach to enable New Ways of Working and to modernise ICT to support Service delivery.

#### **4. Essential Elements of the ICT Strategy**

- 4.1. There are some key elements without which the ICT function could not operate. Aside from the people and skills which are critical for operating the service, some elements of the ICT Infrastructure are required to form a platform for services. These include the data storage, servers, network, telephony and DR capability. These are covered in Section 6 of the strategy. Whilst some investment resources have been committed, these will be reviewed as part of the ongoing budget process, as per the ICT strategy.
- 4.2. In addition, desktop equipment has been provided on a cost-effective basis for many years. In order to modernise services this will mean that more investment will be required in order to optimise the way staff resources are deployed.

#### **5. Aspirational/Line of Business Services**

- 5.1. Section 4 of the strategy sets out the strategy for Applications. Some key highlights here are:
- The applications that the Council is utilising
  - The way they are consumed
  - The mix and spread of applications and how they may be rationalised
  - Underlying platforms
  - Staff skills and training to effectively utilise software
  - Customer requirements for self-service
- 5.2. Many of these elements will require investment and will be considered in more detail over the period of the strategy on a business case based approach.

#### **6. Costs**

- 6.1. Whilst it is not possible at present to identify costs that are associated with the strategy, some elements will undoubtedly require a shift in resource deployment and/or a level of investment in order to modernise services; this will need to be weighed against the benefits via ROI modelling or similar decision making matrix.

As the delivery of the strategy develops the skill sets and resources required will become more understood and be reported back at a later date.

#### **7. Strategic Priorities**

- 7.1. High performing services – The ICT Strategy is a key element of delivering services across the Authority. Investment in ICT will reap dividends across

services and enable enhanced working practices.

## **8. Organisational Impacts**

8.1. Finance - see section 6 above

8.2. Legal Implications including Procurement Rules - There are no legal implications at this time.

### Equality, Diversity and Human Rights

There are no E&D implications at this time. Indeed, ICT can be used as an enabler to make services more accessible to customers and staff. They will be considered further as part of any projects arising as part of the strategy.

## **9. Risk Implications**

9.1. Key risks associated with the strategy are related to resources, both in terms of appropriate skilled staffing and the amount of finance available for delivery.

## **10. Recommendation**

10.1. That the proposed ICT Strategy 2019-25 be referred to Executive for adoption.

**Is this a key decision?** No

**Do the exempt information categories apply?** No

**Does Rule 15 of the Scrutiny Procedure Rules (call-in and urgency) apply?** No

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

**List of Background Papers:** None

**Lead Officer:** Matt Smith, Business Development and IT Manager  
Telephone (01522) 873308

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# **ICT Strategy**

## **2019 to 2025**

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## 1. Introduction

This ICT strategy, covering the period 2019 to 2025, provides the Council with an ICT Strategy, based on the current thinking of the Council's priorities and the likely challenges facing the service over the next three years.

Section 2 addresses the external drivers that affect the Council's approach to and use of ICT.

Section 3 lays out the four key themes that have been identified.

- Channel Shift – Customer Services
- New ways of working
- Value for money
- High availability and High Performance

The purpose of this strategy is to provide direction and guidance for the delivery of ICT for the period stated whilst accepting it is a living document that will need to be managed and changed over its life. It supports the Council's Vision 2025 and One Council agenda.

Section 4 – Discusses the Council's line of business applications and how collectively these need to be managed going forward.

Section 5 – the Business Change Strategy outlines to processes for supporting good governance if this strategy

Section 6 – Sets out the Technical Strategy with a number of technological development initiatives, which are required to ensure the integrity, resilience and reliability of the Council's ICT infrastructure.

Section 7 – Describes the ICT Service budgets and management arrangements, and how the ICT service will be resourced to deliver this strategy over the coming period.

Section 8 – describes the process that will be undertaken to ensure the ICT Service has appropriate staffing resources.

## 2. Drivers

### 2.1 UK Government

ICT has a major role to play, in public and private sectors alike, in driving down costs, increasing productivity and improving customer service. Many councils have already invested in digital transformation as one way to enable councils to meet the Government's stringent spending targets. It is vital that the Council sees ICT as an enabler to improve customer service and deliver greater efficiencies.

Central Government is looking to achieve its target of 90% of people being online by 2020. The voluntary sector, businesses and statutory organisations are working hard to meet or exceed this target.

Source:

[www.gov.uk/government/publications/government-digital-inclusion-strategy/government-digital-inclusion-strategy](http://www.gov.uk/government/publications/government-digital-inclusion-strategy/government-digital-inclusion-strategy)

### 2.2 Digital Culture

Digital Culture will determine the organisation's ability to change to meet emerging requirements. Capgemini has developed a model '7 Dimensions of Digital Culture' for transforming to meet the requirements of a modern business. These are:

- 1) Customer Centricity – aligning to customer need
- 2) Innovation – the exploration of new ideas
- 3) Data-driven Decision Making – making evidence-based decisions
- 4) Collaboration – cross-team working between staff
- 5) Open Culture – working with external partners and networks
- 6) Digital First Mindset – 'Digital by default'
- 7) Agility and Flexibility – speed of decision making to meet changing demands

The culture of the organisation will need to adapt to these new models and they are reflected in pragmatic ways throughout this strategy.

### 2.3 Customers' Demands

Looking forward, there is little doubt that the pace of change is increasing, with more of our customers using smart phones and tablets, and expecting to interact with us online and digitally, much like they do with their bank, supermarket and other suppliers. Our staff already have some of the tools to work flexibly, from home, from different offices and some whilst on-the-road, but more needs to be done.

Whilst this clearly creates challenges, some technological, others cultural, the rewards can be very significant. No longer will staff need to first visit the office to collect a file before meeting with a customer out in the field. Information can also be captured at source, either by a member of the public entering their request on-line, or a member of staff entering this for them, via a mobile device.

Similarly, we need to recognise and respond to the needs of specific services on the use of mobile devices. ICT will need to be responsive to local demands, whilst providing the

underpinning connectivity and security to ensure that officers can do their job and customer data is not compromised.

## **2.4 Channel Shift**

Channel shift is a key way of both reducing costs and improving the service to our customers, whilst not forcing away those customers who still need to use traditional channels such as telephone or in person visits. CoLC has a Customer Experience Strategy that clearly recognises the need to 'shift' but also accepts this will need to be achieved through 'nudge' methods for it to gain wider acceptance as a strategic approach. It must be recognised that the greatest level of channel shift will be through offering better, simplified and more integrated digital solutions, including 'tell us once' services, rather than just targeting cost reductions.

In order to gain the benefits of customer self-service, strong leadership will be required and culture development within the organisation will mean that services need to be fully-engaged in transferring customer interactions to more cost-effective channels. This will require educating staff (internal customers) on the benefits of online services and promotion of online services to customers.

More channels and services will be added over the lifetime of this strategy, and we will work together with partner authorities to join up service delivery to enhance the customer experience.

As CoLC has already started to see, offering online services can produce considerable benefits for both the Council and for customers. Customers are able to receive a service 24 hours a day, 7 days a week, all-year round in a way that suits their requirements.

## **2.5 Scalability and Resilience**

Clearly, however, this increased demand and reliance on ICT requires our systems to be highly-available. Similarly, and as mentioned, there is a need for our systems to handle much greater peaks and troughs. Whilst a Council Tax billing run may create a significant demand on the phone system over a week or more, the availability of online services often creates larger peaks with customers 'doing things' right away. These peaks of demand, may, if they impact on the customer's experience, deter take up of online services, or even create periods of time when customers are unable to use the online systems. Such outages are often known to then trigger an unmanageable in-flux of calls, enquiring, or worse complaining, about the issues the customer faces. As councils increasingly adjust their resources downwards, and as customers increasing transact online, such outages could overwhelm the resources remaining to handle calls and visitors. ICT therefore needs to provide a highly performant and reliable operation with excellent resilience and disaster recovery capabilities.

In summary, ICT increasingly underpins the entire process of delivering all of the Council's services, and fully supports the objectives contained within the other strategies and plans produced by the Councils.

### 3. Corporate ICT Key Themes

Vision 2020 sets out what the City Council wants to achieve for Lincoln and how we are going to achieve it.

The strategic priorities that support this vision are:

- Let's drive economic growth
- Let's reduce inequality
- Let's deliver quality housing
- Let's enhance our remarkable place

These are underpinned by a commitment to professional, high performing service delivery and supported by three core values:

- Let's be approachable
- Let's be innovative
- Let's be trusted to deliver

The emerging Vision 2025 and One Council agenda will increase demands on ICT Service provision particularly through the 'Technology' and 'Creating Value Processes' workstreams. In addition the ICT Strategy seeks to complement and support other council strategies e.g. Medium Term Financial Strategy, Asset/Accommodation Strategy, Customer Experience Strategy.

For ICT, there are a number of important areas where ICT can contribute to the achievement of the vision. For example, as we have seen over the last 10 to 20 years, both in our professional and private lives, ICT can transform both the way that we do things and the services that we receive and can deliver. There is little doubt that new advances will bring about further change which the Council can leverage.

For example, ICT can enable us to:

- Seek to shift customer interactions to electronic non-assisted; embracing new technology.
- Review the way we work; making efficiency savings where possible.
- Deliver an excellent and consistent customer service through multiple channels.
- Provide greater access and seek higher levels of customer satisfaction through channel shift: it not only provides good VFM, it meets the need of our residents.
- Redesign and modernise our services, providing an opportunity to not only improve customers experiences but also to maximise efficiencies and continue to make the Council fit for purpose well into the future.
- Create a workforce that is flexible and adaptable; able to work as equally well as they do in the office out in the field, at home etc.
- Drive down operating costs.
- Progress channel shift to change the way people interact with our services.
- Improve customer experiences – redesigning and modernising services.
- Generating new income streams by up-selling and cross-selling

- Continue working towards a fit for purpose organisation with lean working practices embracing new ways of working (agile) to release space and reduce costs and new ways of delivering services.
- Enhance employee experience, helping to recruit and retain staff

Taking this mandate, in the remainder of this section, four key themes of the new ICT Strategy are set out - both their importance and what this means to the Council and the ICT Service. Many of these themes are interdependent, with advances in one theme benefiting other themes.

### 3.1 Channel Shift – Customer Services

Our residents, businesses and visitors are increasingly dealing with other organisations, e.g. banks, supermarkets, clothing stores, that not so long ago saw town centre shops or more recently the call centre as the optimal way of dealing with customers.

Looking forward, beyond simply providing the mundane - a basic, secure and credible online service, the lack of a single view of our customer (and their lack of a single view of the council) limits our ability to exploit commercial opportunities, e.g. up-selling or cross-selling them services which they might welcome – extra garden waste bins etc. A self-service portal, which allows customers to engage with us quickly and easily, but then builds over time, as we present them with pertinent opportunities and they increasingly tell us more about their needs, is a win-win for the Council and its customers – business, residential and visitors to the City.

The business case for channel shift, in itself, is very compelling. As the table below shows, the cost of servicing a customer electronically, via the web-site, is a small fraction of that of seeing them face to face, or cost of them calling in. Up-selling and cross-selling will further bolster this business case, allowing the Council to generate more income (and profit – surplus) from the opportunities taken up by our customers.

Channel	Cost per 'visit' (average of Deloitte & Socitm research)
Face to face	£11.44
Telephone	£2.30
Website	32p

### 3.2 New ways of working

The vision of New Ways of Working (NWoW) is about the use of mobility in its wider sense. Staff beeing freed up from working at a single fixed workstation and phone (fixed handset), and able to:

- Work away from their desk, within or away from the office, including the use of Wi-Fi or 4G and 5G, as coverage increases, to use the same systems and services that they enjoy at their desk.

- Work at home, on a corporate laptop, and access all the same systems and services in an efficient and effective way.

Clearly, there are a number of things that need to be improved before this vision becomes a total reality for all staff. These include:

- Technology improvements, e.g. honing of the Remote Access service.
- Information to become electronic where it is not currently (paper-based documents being held in an electronic form).
- Improved Wi-Fi and 4G/5G coverage throughout the district coupled to mobile modules and devices being deployed for line of business applications.
- Wider deployment of line of business application's mobile modules, e.g. Housing and Building Control, potentially supporting on/off line working and the introduction of specific devices for these.

### **3.3 Budgets and Investment**

Looked at in isolation ICT can often be seen as 'a money pit', which sometimes does not deliver the benefits which it sets out to achieve; this perception needs to change, with targeted investments only being made where a good return on investment can be demonstrated.

Improved cost control and the right-placing of budgets, e.g. taking away the ability of services to demand new desktop equipment will be introduced during 2019; this coupled to improvements in the project management overall will ensure that only projects demonstrating a good return on investment will be taken to CMT. Also, the review of corporate (non-Core ICT) services, both within the current ICT structure and out in the business, will be undertaken. This will result in CoLC being able to gauge the true cost of ICT and ensure that the capital budget is being used to maximum benefit for the Council.

### **3.4 High availability and High Performance**

As mentioned, with the need for around the clock (24 x 365) access comes the need for high availability. Gone are the days where backups and batch processing, making system unavailable for long periods of time, can be undertaken during the evening or weekends, customers are now demanding access to information and services at the times convenient to them. Given, as we have stated, that this may be out of hours when the Council is not normally contactable, then evenings and weekends become critical times.

High availability also means that that during challenging times, e.g. power cuts, local weather situations, etc., self-service capabilities can be maintained; proper Disaster Recovery (DR) facilities are also in place.

## 4. Applications Strategy

### 4.1 Overall Context

With the increasing pressures on local government – both financial and customers' demands for self-service - it is important that CoLC adopts flexible, innovative and cost-effective methods for delivering application services, which can adapt to the shape of the new organisation demanded by Vision 2020 and the emerging channel shift programme. This is likely to mean a greater emphasis on buying Software, e.g. Software as a Service (SaaS) solutions where the total cost of ownership makes sense, rather than deploying applications in-house and/or spending time customising systems. ICT will therefore need to work with service managers, exploring and explaining these options and their respective merits, as well as highlighting opportunities for new ways of working and enabling the general public to access more services online and through mobile devices.

The key objectives for the application strategy are:

- Having the ability to deliver applications in a cost-effective manner, that are relevant to the business requirements of the Council and that are fit for purpose. Sometimes, it will be ICT's role to challenge requests for functionality, which does not make good business sense.
- There will always be a compromise between minimising the number of different software suppliers and purchasing best in breed when required e.g. where licensing arrangements are beneficial or where there is a reduction in the need for interfaces and double-keying by services.
- Ensuring through future procurements that agreements are made which support joint working, where this makes sense for CoLC, with other Lincolnshire authorities (and beyond). Also, which enable CoLC to provide services to any commercial off-shoots.
- Highlighting and exploiting opportunities which would enable greater mobility and flexible working for staff; something that can still sometimes present challenges for staff. Also, which enhance Internet and mobile self-service applications to allow ease of use and flexibility to all CoLC customers.

To achieve these objectives will involve:

- Undertaking a full review of the application software estate over the life of this document
- Exploring the potential for enterprise applications, where this makes sense, to reduce the number of software suppliers. It should be noted enterprise applications are not always best of breed.
- Training and developing ICT staff so they have the correct skills and competencies to support and utilise the technologies deployed by the Council, e.g. Cloud.
- Commence a planned and regular exercise (twice yearly) of consulting with both Service leads (e.g. account management meetings) and end users (e.g. surveys).
- Using appropriate industry standard methodologies (such as ITIL, PRINCE 2 and RAD) to deliver services and manage projects. Publishing timescales, tying down scope and delivering on-time and within budget.
- Promote and market the skills of the ICT team; ensuring that the value of the project work is reflected in services' business cases.

- Continue to work closely with the Customer Services team to enable the delivery of channel shift, through the developing Customer Experience programme of work.

#### **4.2 Cloud Computing / Hosted Services**

Cloud and hosted services come in a number of shapes and sizes. From a CoLC perspective, the main option is Software as a Service (SaaS), where the licencing and delivery of application software can be provided as a rented service by a third party over the Internet. Examples of this type of service are iTrent and Modern.Gov, both current CoLC applications, where there is the option from the supplier for a SaaS version; little or no CoLC applications resource are then required to update, maintain or host these products.

CoLC should also remain aware that suppliers are motivated to switch customers to on-going revenue payments versus one-off capital purchase (and smaller revenue support costs), which over a three to five-year period tend to be more expensive. The Microsoft Cloud being an example of this where Azure hosted services and the rental of Microsoft software licencing has seen significant increases. The key to a good Cloud strategy is to consider the overall picture as moving services individually and expecting a cost reduction is not viable. Cloud has to be part of a long-term strategy that sees a reduction in staff costs and core infrastructure requirements.

This strategy recognises the need to adopt a hybrid approach in the medium-term as some services have already migrated to SaaS. It also recognises the need, as part of the application review, to provide a long-term strategy and consider the viability of a significant Cloud transition.

#### **4.3 Review of the Application Software Estate (see para 4.1)**

As mentioned earlier, in order to achieve the key objectives for the application strategy, there is a need to complete the review of the application software estate. This is also good practise, as working practices and the working environment changes, application suitability will become an issue to the efficient delivery of any service. As such a constant and planned review of applications needs to take place to keep pace with these changes.

The changing environment can include:

- Changes in legislation.
- Changes to the priorities of the Council.
- The requirement to make efficiency savings (shared / joint working between CoLC and other councils etc.).
- A change in the customer-facing delivery of the service (more self-service options and access to services, new technology).
- Additional partners, e.g. commercial off-shoots using ICT services.
- New options in the delivery of applications (hosting, cloud services).
- Support of mobile working.

The review cycle needs to encompass the business requirements, identify gaps or deficiencies in the current software, joint working potential, customer access and self-service requirements. At the same time, it can be used to promote standardisation within ICT, such as a common database type (MS SQL Server) and standard server software (Windows) to optimise support and licencing.

#### 4.4 Review the Delivery of Applications

This section sets out, under each of the sub-headings the detail of the review.

##### 4.4.1 Procurement of any related ICT items

The ICT lead must be informed and approval given before any Service within the authority embarks upon procurement for any ICT items – hardware, software or service. The ICT lead will also, assuming approval is given, state what involvement ICT will need to have. Major changes e.g. Line of Business applications, will need to be agreed by the ICT Steering Group. The centralisation of IT budgets will impact on this. Corporate Leadership Team is the recognised “gateway” for IT procurement.

##### 4.4.2 Single Instances of Corporate Applications

As part of the commitment to improving the cost effectiveness of ICT services, opportunities for common applications (e.g. a share website platform with LCC) between CoLC and across councils in Lincolnshire should be reviewed, looking at the best delivery model. There are potentially corporate applications which are the same across councils in Lincolnshire which currently use separate infrastructure. The advantages of using single instances of an application are:

- Cost savings on software licences.
- Reduction in hardware (servers etc.).
- Simplified upgrade process.

However, from the business prospective, there may be a need to:

- Align business processes between councils (standard workflow within the application).
- Allow for less flexibility (upgrading and maintenance are done at the same time).
- Consider the potential for a more problematic separation if there is a change in business requirements.

The overall total cost of ownership and return on investment will need to be considered against these points.

Element	Short-term (2019/20)	Medium-term (2020/21)	Long-term (2022 and beyond)
Applications Review	<ul style="list-style-type: none"> <li>• Review each application, and establish a roadmap for consolidation, retirement / replacement.</li> <li>• Produce definitive list of interfaces and integrations</li> </ul>	<ul style="list-style-type: none"> <li>• Implement roadmap for application consolidation.</li> <li>• Review market offerings for applications, dependent on outcome of review</li> </ul>	<ul style="list-style-type: none"> <li>• Continue consolidation work of LOB applications</li> <li>• Extend roadmap for additional applications</li> <li>• Review applications that have previously been consolidated</li> </ul>

##### 4.4.3 Cloud Computing / Hosted Services

It is inevitable that CoLC will continue to adopt a hybrid Cloud strategy as individual business cases may lead to SaaS / Cloud as the favoured option; some suppliers are increasingly keen to move customers away from on-premise solutions, which are less profitable and more costly for them to support.

It also seems inevitable that, with pressures from all sides, Cloud computing in its various forms is likely to play an increasing role in application delivery and that CoLC needs to be fully aware and able to adapt to such pressures.

Element	Short-term (2019/20)	Medium-term (2020/21)	Long-term (2022 and beyond)
Cloud Computing / Hosted Services	<ul style="list-style-type: none"> <li>Fully cost a SaaS roadmap and agree if it is viable.</li> <li>Assess the suitability of SaaS delivery on an application by application basis.</li> </ul>	<ul style="list-style-type: none"> <li>Ensure that the application roadmap includes a 5-year plan that considers the Cloud option.</li> </ul>	<ul style="list-style-type: none"> <li>Cloud based strategy based on business case and deliverability</li> </ul>

#### 4.5 Using Enterprise Applications

With the aim of reducing the number of software suppliers, there will be a need to look at enterprise solutions rather than using 'best of breed' applications. The benefits can include potentially lower licencing costs, simplified and efficient integration between applications and lower maintenance and training costs. For the services, staff training is also simplified as you generally have one user interface or presentation layer for the entire enterprise solution. This will also help support the key theme of service integration. However, again this will be looked at on a case-by-case basis as the balancing factor will be the services' requirements.

Element	Short-term (2019/20)	Medium-term (2020/21)	Long-term (2022 and beyond)
Using Enterprise Applications	<ul style="list-style-type: none"> <li>Review each application, and establish a roadmap for consolidation, retirement / replacement.</li> <li>Produce definitive list of interfaces and integrations.</li> </ul>	<ul style="list-style-type: none"> <li>Move to Strategic Platforms where this makes good commercial sense.</li> </ul>	<ul style="list-style-type: none"> <li>Implement roadmap and reduce dependency upon standalone platforms / point solutions.</li> </ul>

#### 4.6 Databases

At present the Council mainly has MS SQL Server databases, with some Oracle databases:

- Servitor (Stock control for HRS)
- IDOX Uniform (Planning)

Also APP (previously called Flare), a vendor driven data application, uses Sculptor.

Going forward, wherever possible, and due to cost in licensing and support, the Council will seek to migrate to a purely Microsoft SQL Server environment. The exception being where current applications or suppliers dictate otherwise. In future, where possible, CoLC application procurements should stipulate Microsoft SQL as the preferred database.

Element	Short-term (2019/20)	Medium-term (2020/21)	Long-term (2022 and beyond)
Databases	<ul style="list-style-type: none"> <li>• Standardise on MS SQL Server for any new applications</li> <li>• MS SQL Server 2008 end of life July 2019</li> </ul>	<ul style="list-style-type: none"> <li>• Identify opportunities for migration to MS SQL Server</li> <li>• A move to more cloud-based solutions may negate the need for database hosting</li> </ul>	<ul style="list-style-type: none"> <li>• Move away from non-MS SQL Server applications (where possible).</li> <li>• MS SQL Server 2012 end of life July 2022</li> </ul>

#### 4.7 EDRMS

The approach taken going forward will be to continue to utilise DMS solutions within the main line of business applications, rather than pushing Information@Work (I@W) – the ageing Corporate EDRMS. Similarly, with new procurements there needs to be a requirement to include such functionally. The key reason being that close integration delivers significant productivity gains, e.g. the current move of Creditors documents from I@W to Agresso. Whilst 10 years ago there was a big drive towards having a corporate EDRMS, the synergistic benefits are generally low, and often offset by the lack of such close integration with line of business applications.

Element	Short-term (2019/20)	Medium-term (2020/21)	Long-term (2021 and beyond)
EDRMS	<ul style="list-style-type: none"> <li>• Continue to develop and improve the quality of digital data within existing LoB applications</li> <li>• Ensure that duplication is kept to a minimum</li> </ul>	<ul style="list-style-type: none"> <li>• Minimise the costs associated with scanning paper items as very few will exist in the future</li> </ul>	<ul style="list-style-type: none"> <li>• Investigate “single pane of glass” for EDRMS applications</li> </ul>

#### 4.8 ICT Staff Training

With the changes in technology and delivery of services, e.g. away from build in-house to buying off-the-shelf packages and Cloud solutions, training and development of staff (e.g. project

management, procurement approaches) with the correct skills and competencies is vital. The ICT team will be developed to provide an improved application support service that will inevitably result in the need for greater investment in the skills of the application specialists. To meet these changes, and the changing support needs of the services, application specialists will need to take control of product roadmaps, supplier management and gain an understanding of contractual arrangements.

Element	Short-term (2019/20)	Medium-term (2020/21)	Long-term (2021 and beyond)
ICT Staff Training	<ul style="list-style-type: none"> <li>Identify and undertake training to support new roles and structure</li> <li>Implement performance agreement and personal development plan</li> <li>Develop the support matrix</li> </ul>	<ul style="list-style-type: none"> <li>On-going training appropriate with new demands of service, e.g. customer service, Cyber security, commercialisation</li> </ul>	<ul style="list-style-type: none"> <li>Consider succession planning</li> </ul>

#### 4.9 Provide further Self-Service applications for the Customer

The proportion of customers that are comfortable and knowledgeable in using the Internet, on-line services and mobile devices continues to rapidly grow. As such, the opportunity for CoLC to use these channels to provide services on a self-service basis will increase. This will allow staff to focus on the delivery of the Council’s services and reduces overheads, compared with telephone or face-to-face services. A knock-on benefit of self-service is also the ability it affords to the Council to gather information about its customers. This intelligence will better inform service delivery and targeted promotion of new services and information to our customers. ICT will continue work with both Customer Services and the departments to enhance their online services.

The Council already provides a range of self-service options for a wide variety of services. However, there are still some gaps in this provision and some services can be further enhanced and promoted to gain maximum benefit for both customers and the Authority.

An important project for ICT over the next year, will be deploying a new website CMS and establishing the need for delivering online services in different ways, for example:

- Customer Portal – allowing customers to sign-on and access information and services (including cross and up-selling) pertinent to their needs.
- Single customer database – to allow us to service our customers better, e.g. by mining the data to identify new needs and commercial opportunities.
- Support for social media – to make the Council more accessible; acknowledging that different people have different channel preferences; some may prefer Facebook, others Twitter or Instagram.
- ‘End user’ configurable forms and process generation to speed up the time to market for new online services.

Other options could include:

- Buying off-the-shelf pre-defined but customisable district/borough processes could accelerate significantly the whole process of making online service available to customer.
- Support for social media, e.g. Twitter, Facebook, and enabling services for mobile devices – smartphones and tablets.

Element	Short-term (2019/20)	Medium-term (2020/21)	Long-term (2021 and beyond)
Take forward the Customer Experience strategy	<ul style="list-style-type: none"> <li>• Set channel shift targets</li> <li>• Define and execute programme of work</li> <li>• Define needs and as appropriate</li> </ul>	<ul style="list-style-type: none"> <li>• Implement new functionality, for example, single account etc.</li> </ul>	

## **5. Business Change Strategy**

Projects will be authorised by appropriate leads. Larger projects and the programme plan will be approved by CLT/CMT working with ICT. It will be necessary to manage the overall demand and match it to available resources, budget and the ICT team's capability.

### **5.1 Governance**

ICT Projects will be required to adhere to new processes and procedures. The council has adopted a robust project management model (LPMM) all projects no matter their size should be managed using this process. These include:

- The inclusion of projects on high level workplans providing an indication of the 3-year plan for each department. See Appendix A
- The completion of appropriate standard LPMM project documentation and governance for each project.
- The appropriate approval to commence each project on the workplan.

Once in progress the monthly ICT Programme Board (likely to be CLT) will have oversight of projects on a quarterly basis (or as required). The overall workload across the whole CoLC ICT programme needs sense checking at a high level for at least the first six months.

### **5.2 Composition of the programme**

The programme will be developed further in consultation with CLT from four main sources:

1. Support to Vision 2025/One Council objectives
2. Consultation with the Service Managers.
3. Infrastructure plans that are known to the ICT team.
4. Business Process projects identified by the BD team

### **5.3 Procurement & Contracts**

Further governance arrangements will inevitably be required to comply with Procurement, legal and Financial standards. ICT needs to be fully aware of standing orders and challenge the procurement strategy of business-led projects as required.

### **5.4 Risk Management**

CLT as the ICT Governance Board will also oversee management of ICT and Cyber Risks through regular reporting which will be developed as part of the implementation of this strategy.

### **5.5 Compliance**

ICT Services will seek to comply with Government and other guidance on best practice surrounding ICT Security and joining to other public sector networks and services.

## 6. Technical Strategy

The technology headlines for the next 3 years will be:

- The refresh of the core infrastructure including the building blocks upon which new ways of working and improved performance/resilience can be delivered.
- A new direction for the desktop including the method of desktop delivery and device type to enable a more mobile workforce.
- The integration of telephony with the desktop, probably through the deployment of a new type of telephony solution with desktop integration.
- Managing the move to cloud hosting and working to a long-term plan with goals and objectives.

The infrastructure work plan provided in Appendix A outlines the key projects to be undertaken over the period covered by this strategy document. The delivery of this plan will require significant investment from the ICT Capital Reserve and a review of how CoLC spends both capital and revenue funds on ICT projects.

### 6.1 Core Infrastructure

As part of the standard hardware refresh cycle, it is necessary to invest in core infrastructure (storage, servers and network) towards the beginning of the period covered by this strategy. The current platform has not aged well; and it reaches its scheduled end of life from a third party maintenance perspective in October 2019. The ambitions of the council will only start to be fulfilled through the deployment of a new set of building blocks upon which new ways of working can be successfully deployed.

#### 6.1.1 Data Centres (Server Rooms)

The Infrastructure Refresh project will see a minor development of the server rooms both at City Hall and Hamilton House with the introduction of new racking, the rearrangement of space within racks and the decommissioning of the current storage/server platform.

During the period of this strategy ICT will aim to develop the server rooms to provide hosting facilities of a higher standard, improving resilience and reducing exposed cabling and work areas within the rooms.

Element	Short-term (2019/20)	Medium-term (2020/21)	Long-term (2022 and beyond)
Data Centres (Server Rooms)	<ul style="list-style-type: none"> <li>• Minor layout adjustments driven by the Infrastructure Refresh project</li> </ul>	<ul style="list-style-type: none"> <li>• Improve facilities, increase resilience and reduce exposed cabling / work areas</li> </ul>	<ul style="list-style-type: none"> <li>• Review space requirements, layout, UPS design and produce a long-term plan</li> </ul>

#### 6.1.2 Storage

The current NetApp hardware cannot support the 2019 demand for CoLC application hosting. This lack of performance is severely compromising the ability to deliver new services and providing less than optimal performance to ICT customers on existing services.

The refresh project scheduled to deliver a new storage solution in October 2019 will provide sufficient performance to host all services, offer a platform to deploy required services in-line with demand from the business and provide rapid DR facilities in-line with business expectations.

Element	Short-term (2019/20)	Medium-term (2020/21)	Long-term (2022 and beyond)
Storage	<ul style="list-style-type: none"> <li>Produce a specification for 5 years plus for data storage and performance</li> <li>Accepting that a Cloud strategy is needed, 2019/20 is not the time to provide an either/or decision – the need to refresh is now</li> <li>Deliver a new SAN and migrate existing servers</li> </ul>	<ul style="list-style-type: none"> <li>Decommission NetApp following completion of migration</li> </ul>	<ul style="list-style-type: none"> <li>Consider the effects of cloud on future storage requirements; what does the 2022-25 demand on local storage look like</li> </ul>

### 6.1.3 Servers & Virtualisation

New compute nodes (servers) with increased memory and processing power will be delivered as part of the Infrastructure Refresh project. This will allow all applications to be hosted on the Storage infrastructure along with satisfying demand for further business requirements.

Decommissioning of standalone servers, except where this has been done for licencing purposes (Oracle servers for instance) will simplify support and management.

Server operating systems will continue to need refreshing as Microsoft end of support dates drive this requirement. The next priority is Server 2008 which goes end of life in January 2020. All new servers and upgrade will be deployed at version 2019 where possible with 2016 or 2012 used where applications dictate. It should be made clear though as part of the decision making process that no new system deployment will be accepted at any version less than 2016.

VMware vSphere will remain the strategic server hypervisor for the foreseeable future. A version upgrade to 6.7 will be achievable and is desirable as part of the Infrastructure Refresh. This will leave CoLC well positioned for the duration of this strategy.

Element	Short-term (2019/20)	Medium-term (2020/21)	Long-term (2022 and beyond)
Servers & Virtualisation	<ul style="list-style-type: none"> <li>Deploy new server hardware through the Infrastructure Refresh project</li> <li>Remove all Server 2008 before January 2020</li> <li>VMware remains strategic for the period of this strategy</li> <li>VMware version upgrade to 6.7</li> <li>Adopt Server 2019 as the strategy server platform</li> </ul>	<ul style="list-style-type: none"> <li>Compute nodes strategic for 5 years</li> </ul>	<ul style="list-style-type: none"> <li>Compute nodes strategic for 5 years</li> <li>Plan the removal of Server 2012 which goes end of life in October 2023</li> </ul>

#### 6.1.4 Authentication & Directory Services

The Microsoft Active directory remains the primary means of desktop authentication. This is unlikely to change unless a major move towards Cloud services provides an opportunity to look at Authentication as a Service.

Element	Short-term (2019/20)	Medium-term (2020/21)	Long-term (2022 and beyond)
Active Directory Authentication	<ul style="list-style-type: none"> <li>AD remains strategic choice</li> </ul>	<ul style="list-style-type: none"> <li>AD remains strategic choice</li> </ul>	<ul style="list-style-type: none"> <li>Review the long-term requirements for authentication</li> </ul>

#### 6.1.5 Disaster Recovery

Over the next 3 years and through the investment in new core infrastructure, DR will be enhanced. The new infrastructure will provide a suitable environment at the secondary site, Hamilton House. This will allow the recovery of SAN hosted applications with minimum data loss, the exact details will need to be agreed with the business and BCP owner. Further work will be required to enable the satisfactory recovery of the telephony system.

Element	Short-term (2019/20)	Medium-term (2020/21)	Long-term (2022 and beyond)
Disaster Recovery	<ul style="list-style-type: none"> <li>Understand the business requirement and BCP interface</li> <li>Include the optimal level of DR in the Infrastructure Refresh project specification</li> <li>Ensure DR facilities are included in any ongoing procurement plans</li> </ul>	<ul style="list-style-type: none"> <li>Publish RPO/RTO SLAs to ICT customers</li> <li>Test a recovery to the DR site</li> <li>Write and publish a new ICT technical recovery plan</li> <li>Following the delivery of the SIP project (see telephony) agree requirements, secure funds and deliver DR for telephony</li> </ul>	<ul style="list-style-type: none"> <li>Tactical DR testing and continued reviews of the BCP requirements</li> </ul>

### 6.1.6 Connectivity

A tactical upgrade to the core switch will provide the connectivity required for the Infrastructure Refresh project. The redesign of switching to separate the SAN core fabric from the LAN core switching will resolve this known design issue.

The core switch hardware becomes end of life during 2020 and will need to be replaced, however this project should be delayed until after the migration onto the new storage infrastructure is complete. This will limit the amount of change being attempted at any one time.

Element	Short-term (2019/20)	Medium-term (2020/21)	Long-term (2022 and beyond)
Connectivity	<ul style="list-style-type: none"> <li>The core &amp; edge switching becomes end of life in 2020</li> <li>There is a need to upgrade the core to cater for the new SAN – this is low level tactical spend only</li> <li>The KCOM MPLS remains strategy for the duration of this strategy</li> <li>KCOM inter-site bandwidth needs</li> </ul>	<ul style="list-style-type: none"> <li>Produce a specification and run a procurement process to refresh the core &amp; edge switching</li> <li>Future proof bandwidth with a view to maximising the core throughput and allowing for gigabit connection to the desktop (currently restricted by</li> </ul>	<ul style="list-style-type: none"> <li>Internet bandwidth and resilience becomes critical as more services are moved to external (cloud) providers</li> </ul>

	consideration, particularly at Hamilton House	telephone handsets) Identify if there is a need for a dedicated connection for agile / SaaS applications	
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### 6.1.7 Telephony

The current Atos Unify Openscape telephony solution is in year two of a five year commitment . Although the current solution has proved problematic in delivery and fallen short of expected outcomes it would be a major decision to start the procurement of a replacement now. CoLC are at a crossroads with telephony as further investment would be needed to provide DR for the current solution through the purchase of additional hardware and SIP DDI facilities.

Towards the expiry of the current arrangement alternative hosted solutions will be consider to support mobile working and and reducing overall TCO. Due to resource issues and the number of short to medium term projects on the ICT infrastructure work plan, it is safer to put this project on-hold until closer to the scheduled end of life date for the Openscape services in 2023. As such, short-term investment for improved DR and the delivery of the SIP project, that has a good ROI, should be scheduled for after the Infrastructure Refresh is complete.

Element	Short-term (2019/20)	Medium-term (2020/21)	Long-term (2022 and beyond)
Telephony	<ul style="list-style-type: none"> <li>Continue to resolve issues with the Openscape service</li> <li>Look at alternative telephony solutions to support new ways of working</li> </ul>	<ul style="list-style-type: none"> <li>Linked to the above, migrate from ISDN to SIP for DDI traffic</li> <li>Identify suitability of existing phone system to support smart working.</li> <li>Upon successful completion of phases 1 / 2, Upgrade Openscape to provide DR</li> </ul>	<ul style="list-style-type: none"> <li>Plan for the procurement of a replacement telephony solution – specification, RFQ and programme office requirements</li> </ul>

### 6.2 Distributed Infrastructure

For a number of years the strategic desktop has been a RDSH ‘thin’ delivery with a Citrix layer for an improved experience. This has been offered both on thin client hardware and PCs. Recently there has been a shift towards mobile devices, in particular laptops and tablets resulting in difference solutions being required. There is now a demand for mobile devices which have been traditionally funded by the business units who have requested a range of devices

This now presents CoLC with decision about the future of the desktop that will define the possibilities and user experience for the next 5 years.

### 6.2.1 Desktop Devices

Driven by a business requirement for mobile working and hot-desking, the desktop needs to evolve over the course of this strategy. Laptops with docking stations will be provided in addition to harnessing the benefits of the thin client solution where appropriate for business needs.

A desktop refresh programme, fully funded by capital reserves will address 25% of the estate on an annual basis. ICT will target devices based on age, specification and customer needs to ensure new equipment goes to those who most need it.

ICT Customers will be addressed by agreed criteria and receive the device appropriate to their usage and where they operate from.

The strategy to increase mobility and agile working will also require changes to the office. This will be outside of ICT control and although a standard device and docking station will be agreed, only investment in more open plan office space will maximise the advantages of this new way of working.

ICT will create a new ways of working (NWoW) demonstration area to present the options to ICT customers and gain feedback. This will consist of:

- A standard laptop device set-up
- Soft phone, headset and unified comms
- Docking station including keyboard, monitor and mouse
- A remote access connection over Wi-Fi (Internet) with as much automation of the connection process as possible
- Access to data stores and email via the Cloud

Element	Short-term (2019/20)	Medium-term (2020/21)	Long-term (2022 and beyond)
Desktop Devices	<ul style="list-style-type: none"> <li>• Agree the refresh programme</li> <li>• Set-up NWoW office</li> <li>• Resolve slow logon issues</li> <li>• Select standard device</li> <li>• Test build</li> <li>• Select deployment and update tool</li> </ul>	<ul style="list-style-type: none"> <li>• Refresh 25% of desktop devices (this may be dependant of n the success of the M365 project – see later notes)</li> <li>• Assess the on-going need for Citrix</li> </ul>	<ul style="list-style-type: none"> <li>• Refresh 25% of desktop devices (this may be dependant of n the success of the M365 project – see later notes)</li> </ul>

### 6.2.2 Remote, Flexible and Agile Working

The remote access solution provided as part of the new ways of working build will be key to how the device operates on the move.

Coupled to the standard remote access, sub-laptop devices such as tablets and smartphones, will be able to access data on the move via the Microsoft cloud.

Element	Short-term (2019/20)	Medium-term (2020/21)	Long-term (2022 and beyond)
Remote Working	<ul style="list-style-type: none"> <li>• Testing of remote connection methods to determine roll out strategy</li> <li>• Rollout VPN on laptop devices</li> <li>• Provide Citrix based solutions integrated into Mobile working where practical</li> </ul>	<ul style="list-style-type: none"> <li>• Commence the roll-out of the new build including strategic remote access</li> </ul>	<ul style="list-style-type: none"> <li>• Continue to develop device flexibility and evolve the NWoW build</li> </ul>

### 6.2.3 Printing Services

The Konica MFD contract has recently been renegotiated for the next 4 years including the supply of new MFD hardware. The MFDs have secure print release features through the use of proximity cards.

Over the period of this strategy, ICT will continue to encourage those customers who still have standalone printers to discontinue the use of these in favour of MFD use. Colc still retains a higher than average level of printers with around 30 still in use but without high level backing this is difficult to reduce.

Element	Short-term (2019/20)	Medium-term (2020/21)	Long-term (2022 and beyond)
Printing services	<ul style="list-style-type: none"> <li>• New Konica MFDs to be installed</li> <li>• New 4 year contract in-place</li> </ul>	<ul style="list-style-type: none"> <li>• Monitor contract performance</li> </ul>	<ul style="list-style-type: none"> <li>• Monitor contract performance</li> </ul>

### 6.2.4 Mobile Telephony

The corporate mobile phone contract has reached its scheduled end date leaving CoLC currently in a rolling contract situation. Work needs to be undertaken during 2019/20 to establish the suitability of the current provider, KCOM / EE, and a decision taken on entering a new contract.

The current contract offers the best coverage for the Lincoln area whilst providing the features required such as pooled data, handset choice and unlimited calls/texts.

Element	Short-term (2019/20)	Medium-term (2020/21)	Long-term (2022 and beyond)
Mobile	<ul style="list-style-type: none"> <li>Put in-place a new contract for 3-5 years</li> </ul>	<ul style="list-style-type: none"> <li>Monitor contract performance</li> </ul>	<ul style="list-style-type: none"> <li>Monitor contract performance</li> </ul>

### 6.3 Data Security

The PSN Code of Compliance (CoCo), although less stringent than it once was, still acts as a good discipline to keep Council data security at a satisfactory level. The annual Health Check (ITHC) performed by a suitably qualified third-party will continue to provide the information needed to ensure that recommended levels of security are in place, patching is being undertaken, vulnerabilities are plugged and that software remains at supportable levels. The ITHC also provides the basis for the annual return to the Cabinet Office and enables connection to the PSN to be maintained.

ICT will continue to develop security policy in partnership with other councils and external partners. New policies will be provided to ICT customers during 2019/20 to improve awareness and encourage responsibility. With the ever present risk of cyber-attacks, ICT will work closely with the DPO to ensure that risks are minimised and awareness is maintained.

Element	Short-term (2019/20)	Medium-term (2020/21)	Long-term (2022 and beyond)
ICT Security	<ul style="list-style-type: none"> <li>Develop and Implement new ICT Security Policies</li> </ul>	<ul style="list-style-type: none"> <li>Develop Cyber/ICT Risk Register</li> <li>Regular reporting to ICT Governance board (CLT)</li> <li>Provide ICT Security Training for staff and Members</li> </ul>	<ul style="list-style-type: none"> <li>Regular reporting/monitoring to ICT Governance board (CLT)</li> </ul>

### 6.4 Software Licencing

Microsoft software remains a major part of both Server and Desktop solutions. This wide adoption will continue throughout the period of this strategy with version updates required to remain compliant. The main features of the current Enterprise Agreement (EA) are:

- Rental – 3-year agreement, licences are never owned, impacts revenue budget.
- No entitlement at the end of the agreement – options include renewing the agreement for a new period, buying licences outright or moving to a different agreement or software provider.
- Ability to upgrade to the latest versions of Microsoft software covered by the agreement at any time.
- Desk top OS licencing model will be tied to our Office M365 agreement
- Ability to true-up or true-down by +/- 20% at each anniversary.
- Ability to over deploy and true-up at the end of each year.

- No Cloud entitlement (Office 365).

CoLC currently pay around £90k per annum with the current EA ending in March 2020. At that point, decisions regarding the type of agreement will need to be taken if O365 features are to be delivered. These features have been discussed with CMT and the business and include:

- Cloud Exchange services, offering large mailbox sizes and built in DR.
- OneDrive for Business and Teams, offering unstructured data to be stored in the Cloud for easy access.

The negative is likely to be the increase in EA pricing as a perfect storm is likely to include:

- Additional cost of O365 (Cloud Services).
- The increase in SQL licences due to more processing power.
- The need for a new EA agreement and Microsoft's recent price increases.

Enterprise agreements can be effective where there is wide adoption of Microsoft products (if Microsoft provide the functionality then it should be deployed) and where the organisation has a strategy to deploy the latest versions of products shortly after their launch. These concepts should be adopted as part of this strategy to ensure that the investment in the EA is maximised.

Element	Short-term (2019/20)	Medium-term (2020/21)	Long-term (2022 and beyond)
Microsoft Software Licencing	<ul style="list-style-type: none"> <li>• Minimise the SQL licence increase</li> <li>• Prepare for a new EA by producing a requirements specification</li> <li>• Pilot M365</li> </ul>	<ul style="list-style-type: none"> <li>• Procure new EA</li> <li>• Decide if M365 is to be undertaken in 2020</li> </ul>	<ul style="list-style-type: none"> <li>• True-up/True-down review</li> </ul>

## 6.5 Infrastructure / Technical work plan

A programme of work (infrastructure / technical work plan – see appendix A), aligned to this strategy will be agreed by CMT. The work plan will be adjusted during the period of this strategy.

## 6.6 Website & Online Services

The Council's current website is now an aging resource that does not meet the current needs of either the Council or its customers as well as not meeting WCAG 2.1. The Council is already undertaking a Website replacement project in partnership with Lincolnshire County Council and the solution provider Spacecraft. This new solution will be built upon the JADU continuum CMS platform.

This new platform will provide a platform to enable us to deliver a new customer focused resource for accessing all online services.

Web provision will become more embedded as ‘Business as Usual’ with the Authority and services will be encouraged to deliver services as ‘Digital by Default’.

Future phases of the project will look at the optimum delivery mechanism and applications for web service provision, rationalising services where appropriate.

Element	Short-term (2019/20)	Medium-term (2020/21)	Long-term (2022 and beyond)
Website	<ul style="list-style-type: none"> <li>Complete Website migration to new platform</li> </ul>	<ul style="list-style-type: none"> <li>Skill services to maintain and enhance web content</li> <li>Review web services provision including e-forms, customer accounts etc.</li> </ul>	<ul style="list-style-type: none"> <li>Consider rationalisation and enhancement of web services in conjunction with Customer Experience programme</li> </ul>

## **7. The ICT Service**

### **7.1 Forward budgeting**

#### **7.1.1 Capital Budget**

The ICT capital reserve accrues at a rate of £100k per annum with the fund intended to be used on major capital items, such as the Infrastructure Refresh project. The current situation is:

- The opening balance carried forward to 2019/20 is £258k.
- From the £100k allocated each year, ICT has already committed an ongoing £44k of costs, meaning that in effect the fund is only growing by £56k annually. The £44k includes staff costs and annual maintenance fees that clearly should be in appropriate revenue budgets.
- Funding for some desktop devices comes from departmental budgets in the form of new desktop hardware requests. This figure totalled £57k for 2018/19 and should be centralised to allow ICT to determine the desktop refresh rate on a merit rather than a funding basis.

In order to meet the objectives laid out in this strategy, there will need to be a review of existing operational arrangements, and in addition it is clear that there will be required to be new and sustained investment in ICT Services. Whilst some elements are essential for ongoing provision (although there may be alternatives, other are aspirational, and will need to be considered as business cases throughout the life of the strategy.

Essential items include the provision of core infrastructure, such as servers, storage, network and licences. In addition, desktop equipment has been under invested and in order to provide a good quality user experience will need to be enhanced.

#### **7.1.2 Revenue budget**

The revenue budget for 2018/19 has been adjusted below to:

- Include a best estimate for Line of business applications funded from departmental budgets. Further work needs to be done in this area and a decision taken on the most appropriate way to budget for applications – centralised in the ICT budget or decentralised in departmental budgets. There are good reasons to decentralise all but corporate software as business cases and ROI is scrutinised in far more depth if a service manager is funding an application upgrade or replacement.
- Non-core ICT staff costs have been removed, as detailed above.
- Income from Land Charges has been removed.

Further work in conjunction with Finance will be necessary to ensure that for 2020/21 the revenue budget clearly reflects the true cost of core ICT, providing the ICT & Business Development Manager with an opportunity to cost control the line items they have control and influence over. Existing revenue and capital ICT budgets from across the Council will be reviewed and options for consolidation and reinvestment will be considered.

City of Lincoln Council - ICT Strategy 2019 to 2025

Element	Short-term (2019/20)	Medium-term (2020/21)	Long-term (2022 and beyond)
ICT Budgets	<ul style="list-style-type: none"> <li>• Seek funding for core infrastructure projects</li> <li>• Work with finance to increase reserve contributions</li> </ul>	<ul style="list-style-type: none"> <li>• Business case-based approach to funding of new projects</li> </ul>	<ul style="list-style-type: none"> <li>• Secure financial stability of ICT Services for future Strategies</li> </ul>

## 8. Structure of Team

In the short-term, due to project delivery pressures, the ICT structure will remain as-is. It is however recognised that the current structure is less than optimal for the following reasons:

- There are roles managed by the ICT & Business Development Manager that are not considered to be core ICT roles.
- There could be more integration between the Business Development and Technical Teams.
- The Service Desk (currently a technical Help Desk) does not manage calls proactively as possible.
- The Service Desk system could be extended where beneficial to other linked services.

During 2020/21, once the major infrastructure projects have been delivered, service management will focus on improving the way the team works. This will involve minor changes to the structure and a clearer definition of staff roles.

Element	Short-term (2019/20)	Medium-term (2020/21)	Long-term (2022 and beyond)
Team structure	<ul style="list-style-type: none"> <li>• Develop team structure for delivering strategy</li> </ul>	<ul style="list-style-type: none"> <li>• Review further opportunities for ICT team as strategy progresses</li> </ul>	<ul style="list-style-type: none"> <li>• Monitor service provision to meet Council Business requirements</li> </ul>

## **Appendix A – Work Plans**

This section is intended to contain the work plans compiled through meetings with each of the service managers, consulting with them on what application, technology or business projects they require to support the Council’s 2020 Vision, the developing needs of their service or to ensure that current systems are kept up-to-date.

These plans will be flexed and adjusted as new requirements become known through the One Council programme and as reprioritisation becomes necessary.

Projects will be approved and managed in line with the Lincoln Project Management Model (LPMM).

The Infrastructure Work Plan (which covers cover infrastructure improvements and maintenance) reflects the urgent need to address the ageing and non-resilient infrastructure that currently exists and providing some of the known service improvements through new initiatives. The BDIT Service plan (for delivery of projects requested by service areas), will be flexed as priorities change and become apparent through Corporate and Service requires being defined.

A draft separate workplan for Business Development which will be further developed in line with emerging requirements from the One Council four pillars programme.

City of Lincoln Council - ICT Strategy 2019 to 2025

**Infrastructure Work Plan**

Project	Year 1 - 2019/2020													Year 2 - 2020/2021												Year 3 - 2021/2022
	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M		
<b>Channel Shift Projects</b>																										
Customer Self-service device replacement 3.1																										
Service Desk enhancements to improve customer experience																										
<b>New Ways of Working Projects</b>																										
Mobile working solution 3.2																										
Telephony enhancements - 3.2																										
Mobile phone contract procurement 3.2																										
WiFi at remote sites 3.2																										
Office 365 3.2/3/4																										
Citrix update																										
Mobile Security																										
<b>Value for Money Projects</b>																										
Implement SIP 3.2/3/4																										
SQL Server rationalisation																										
<b>High Availability and High Performance Projects</b>																										
Windows Server upgrades																										
Infrastructure Refresh Project (SAN) 3.4																										
Security Policy update and rollout																										
Network Switch Replacement 3.4																										
Telephony Disaster Recovery 3.4																										
Backup Redesign																										
DR Enhancement																										

City of Lincoln Council - ICT Strategy 2019 to 2025

**IT Service Plan**

Project	Year 1 - 2019/2020												Year 2 - 2020/2021												Year 3 - 2021/2022	
	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M		
<b>New Ways of Working Projects</b>																										
Servitor upgrade																										
Develop and implement desktop device strategy																										
<b>Value for Money Projects</b>																										
Create and implement Application Roadmap																										
Design + implement client device lifecycle management																										
<b>High Availability and High Performance Projects</b>																										
Members IT Refresh																										
Review Cloud SaaS Migration for LOB applications																										

## Appendix B - Glossary

Acronym	Definition
BCP	Business Continuity Plan
CLT	Corporate Leadership Team
CMS	Content Management System - a software application that can be used to manage the creation and modification of digital content.
CMT	Corporate Management Team
CRM:	Customer Relationship Management system – a system to manage customer data and interactions
DDI	Direct Dial In – specific calling to individual numbers through the telephony system
DMS	Document Management System - a system used to track, manage and store documents and reduce paper
DR	Disaster Recovery – processes to recover ICT services after a major event
EDRMS	Electronic document and records management system is a type of content management system and refers to the combined technologies of document management and records management systems as an integrated system
EA	Enterprise Agreement – a software licensing model for volume licensing through Microsoft
HRS	Housing Repairs Service
ITIL	A set of detailed practices for IT service management (ITSM) that focuses on aligning IT services with the needs of business
LAN	Local Area Network – network within Council Premises
LOB	Line of Business – related to service area
LPMM	Lincoln Project Management Model
MFD	Multi-function devices – copier/printer/scanner
MPLS	Multiprotocol Label Switching – a technology for routing network traffic
MS SQL Server	A Relational Database Management Systems
Oracle	A Relational Database Management Systems
OS	Operating System – software that manages computers
Prince 2	A structured project management method
PSN	Public Services Network – a shared secure network between public sector bodies in the UK
RAD	Rapid-application development (RAD) - used to refer to adaptive software development
RDSH	Remote Desktop Session Host – allows remote users to connect to computers
ROI	Return on Investment
RPO	Recovery Point Objective - The maximum targeted period in which data (transactions) might be lost from an IT service due to a major incident
RTO	Recovery Time Objective is the targeted duration of time and a service level within which a business process must be restored
SaaS	Software licensing and delivery model in which software is licensed on a subscription basis and is centrally hosted
SAN	Storage area network is a computer network which provides access to consolidated data storage.

City of Lincoln Council - ICT Strategy 2019 to 2025

SIP	Session Initiation Protocol is a technology used to manage phone calls over internet technology.
TCO	Total Cost of Ownership – financial estimating model
UPS	Uninterruptible Power Supply – provides power in the event of main power outage
VPN	Virtual Private Network – extends a private network over a public network
WCAG	Internationally recognised guidelines for website accessibility

**POLICY SCRUTINY COMMITTEE**

**14 JANUARY 2020**

<b>SUBJECT:</b>	<b>SCRUTINY ANNUAL REPORT 2018/19</b>
<b>REPORT BY:</b>	<b>CHIEF EXECUTIVE AND TOWN CLERK</b>
<b>LEAD OFFICER:</b>	<b>CLAIRE TURNER - DEMOCRATIC SERVICES OFFICER</b>

**1. Purpose of Report**

1.1 To present the Scrutiny Annual Report for 2018/19 for comments, prior to being referred to Full Council for approval.

**2. Background**

2.1 Within the Constitution it states that the scrutiny committees should produce an annual report to Council. Chairs of the Scrutiny Committees do produce individual reports to Council during the municipal year, however, the attached Scrutiny Annual Report (**Appendix 1**) summarises the work of the three committees for the full year and highlights the key achievements made under scrutiny in 2018/19.

2.2 Once the Annual Report has been approved, it will be published on the Council's website and circulated to interested persons or groups as appropriate.

**3. Recommendation**

3.1 That the Scrutiny Annual Report for 2018/19 be agreed and referred to Full Council for approval.

**Key Decision** No

**Key Decision Reference 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

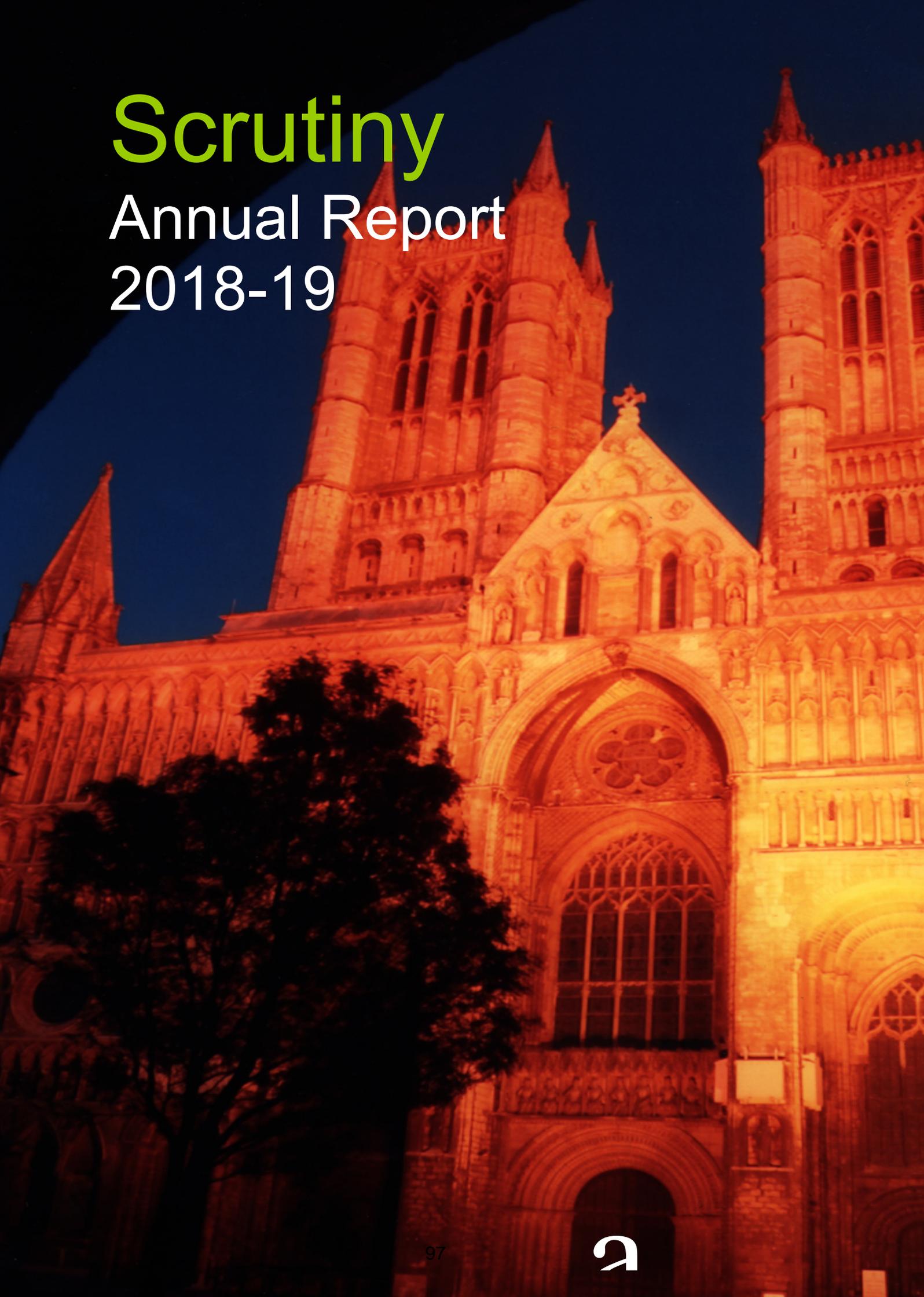
**Does the report contain Appendices?** Yes

**If Yes, how many Appendices?** One

**List of Background Papers:**

**Lead Officer:** Claire Turner, Democratic Services Officer  
Telephone 873619

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# Scrutiny

## Annual Report 2018-19

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## Introduction

During 2018-19 the City of Lincoln Council operated an Executive system, comprising the Leader and five other portfolio holders. Much of the decision-making within the Council takes place within the Executive. To improve the quality of the decisions made by the Council, a scrutiny structure remained in place under the local government modernisation agenda, which provided the opportunity for the remaining 27 non-Executive Councillors to challenge decisions made by the Executive, as well as to help the Executive in reviewing and developing new policies.

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## Background to Scrutiny

The scrutiny structure is:-

- Performance Scrutiny Committee
- Policy Scrutiny Committee
- Community Leadership Scrutiny Committee
- Select Scrutiny Committee
- Housing Scrutiny Sub-Committee

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## What Did We Achieve in 2018/19?

Main Scrutiny Committees were:

Committee	Chair
Community Leadership Scrutiny Committee	Councillor J Loffhagen /Bob Bushell
Performance Scrutiny Committee	Councillor Hewson
Policy Scrutiny Committee	Councillor C Burke
Select Scrutiny Committee	Councillor Hewson

With the exception of the Select Scrutiny Committee, the work programmes for these scrutiny committees were formally approved by the respective Committees in June 2018, and updated regularly throughout the municipal year. The Select Scrutiny Committee meets annually in order to consider crime and disorder, as well as considering any call-in requests made throughout the year.

This report identifies some of the key achievements made by the Committees. Current work programmes for scrutiny committees, can be found on the Council's website.

Sub/ Task Groups were:

Name of Group	Chair
Housing Scrutiny Sub Committee	Councillor Hewson

This sub committee sits under Performance Scrutiny Committee and reports back to this meeting on a quarterly basis.

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## **Community Leadership Scrutiny Committee**

The Community Leadership Scrutiny Committee considered main topics as scrutiny reviews during 2018/19, as follows:

### **Local Community Impact of Welfare Reform**

With the introduction of Universal Credit to Lincoln in March 2018, the wider impact of welfare reform and the high demand for affordable housing in the city, it was accepted that the topic of welfare reform was broad ranging. Two particular strands, however, had emerged which provided opportunities for review:

- Universal Credit
- Housing

On 3 July 2018 the Community Leadership Scrutiny Committee was given some background information regarding key changes to welfare provision including the benefit cap, the spare room subsidy and the roll out of Universal Credit, together with possible areas for the Committee to consider reviewing further as part of its scrutiny review. Martin Walmsley, the Council's Head of Shared Revenues and Benefits was a key witness for the Committee at this meeting and subsequent meetings of the Committee during the review.

On 28 August 2018 the Community Leadership Scrutiny Committee was given key information with regards to the challenges of Universal Credit, findings from the National Audit Centre, Impact of Universal Credit on Council Tenants, and feedback from the DWP on Universal Credit payments and evidence from the Council's Universal Credit Support Team. Helen Oliver, Chief Officer at Citizens Advice Lincoln and District was in attendance at this meeting.

On 6 November 2018 the Community Leadership Scrutiny Committee explored the topic of Universal Credit and the supply of affordable housing. Those in attendance providing the Committee with valuable evidence were:

- John Stewart, Policy Manager at the Residential Landlord Association
- Kieron Manning, Planning Manager, City of Lincoln Council
- Simon Colburn, Assistant Director of Health and Environmental Services, City of Lincoln Council
- Andrew McNeil, Assistant Director of Housing Investment and Strategy, City of Lincoln Council

On 18 December 2018 a special Community Leadership Scrutiny Committee took place following the announcement by the Department of Work and Pensions that it's Universal Credit Support Scheme which was currently provided by Local Authorities would be delivered by Citizens Advice from April 2019. Graham Metcalfe, Partnership Manager at the Department for Work and Pensions, Martin Walmsley, Head of Shared Revenues and Benefits at the City Council and Helen Oliver, Chief Officer at Citizens Advice Lincoln and District were in attendance for this meeting.

On 8 January 2019 the Committee considered Universal Credit and its links with housing, focussing on accessibility and affordability from the perspective of tenants. The review covered both the social and private rented sector and the following witnesses provided valuable evidence at the meeting:

- James Wilkinson, Strategic Development Project Manager, City of Lincoln Council
- Dave Ward, Acting Tenant Services Manager, City of Lincoln Council
- Martin Walmsley, Head of Shared Revenues and Benefits, City of Lincoln Council
- Helena Mair, Senior Case Work for Karen Lee MP

On 5 March 2019 the Community Leadership Scrutiny Committee met to discuss any emerging recommendations in relation to Universal Credit and its link to Housing Supply and Demand. Councillor Bob Bushell, the Chair of Community Leadership Committee, subsequently presented a report to the Council on the findings of the review. Key findings were as follows:

- There was a large need for affordable homes in Lincoln (17,400 across Central Lincolnshire by 2036)
- Development was slow, and material and land costs were high
- Lincoln was constrained by its boundaries
- 70% of landlords felt recent changes reduced profitability of letting homes
- 69% said the changes discouraged investment
- 67% said rents had to increase
- 62% would be unwilling to let to people on Universal Credit
- The Council is taking a tough position on rogue landlords, and driving up standards in the private sector generally

The final recommendations of the Scrutiny Review were agreed by the Committee and submitted to the Executive as follows:

1. That the Council, as part of the City Centre Masterplan and associated work already underway, sought to increase the vibrancy of the city centre and undertake a review of empty commercial units, particularly units above shops to ascertain whether there were any opportunities to convert them to residential use.
2. In view of the fact that the Welfare Advice Team, Universal Credit Team, Customer Service Team and Citizen's Advice all currently worked independently to provide support to Universal Credit claimants and customers and in light of the national decision to withdraw funding from local authorities and relocate this to Citizens Advice, that the Council undertakes a comprehensive review of the areas within its service delivery that supports welfare advice to the city's residents.
3. That the Council agrees to lobby local and regional Department for Work and Pensions representatives to better understand why there continued to be a delay in Universal Credit payments, which caused significant issues for Council's tenants as well as tenants in the private sector.

4. That the Council's Housing Directorate undertook a review of housing allocations and tenant services in order to increase and improve the sustainability of Council tenants.
5. That the Council reviews the provision and considers a re-launch of a scheme with the Acts Trust, which had previously been set up under a Service Level Agreement regarding the re-use and distribution of abandoned furniture to Council tenants, and identified any further opportunities to work with other charities or organisations to improve access to free furniture or white goods for those tenants struggling to furnish their homes.
6. That recommendations 1) to 5) be referred to the relevant Vision 2020 Groups for consideration and addition to their respective work programmes.

These recommendations were approved by the Executive on 5 March 2019.

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## **Performance Scrutiny Committee**

As part of the Performance Scrutiny Committee's remit, it held regular 'portfolio under scrutiny' sessions, where portfolio holders were invited to report on service achievements under their portfolio. Members were then able to ask questions about the performance of these service areas. The consideration of portfolio reports included the provision of a template for reports which placed a focus upon providing performance information relating to the member's portfolio. By doing so, the Committee was able to focus on the performance of a portfolio with fewer diversions into detailed analysis of policy issues.

A regular report was provided in the form of a Portfolio Performance overview presented by the Policy Unit to the relevant Performance Scrutiny Committee meeting with the purpose of bringing out key contextual benchmarking indicators about issues in the city overall in relation to the portfolio under scrutiny. This process helped promote effective scrutiny of the portfolio holder's report.

In addition to the regular scrutiny of portfolio holders, the Scrutiny Committee received reports in the following areas:

- Quarterly financial monitoring to provide members with a summary of actual income and expenditure compared to the revised budget and appropriate allocation of any surpluses to reserves.
- Quarterly performance update reports to ensure regular monitoring of the Council's operational performance as a key component of the Local Performance Management Framework.
- A quarterly review of the Strategic Risk Register - what improvements or issues have been identified.
- A report on Treasury Management and Actual Prudential Indicators as a requirement of the Council's reporting procedures under regulations issued under the Local Government Act 2003.
- An annual report detailing progress made by the Central Lincolnshire Joint Strategic Planning Committee.
- An update report on Section 106 contributions.

- Income and arrears monitoring reports providing updates to members on the position with regard to amounts of monies owed to the City Council as at 1<sup>st</sup> April.
- Revenues and Benefits performance updates providing members with an update on performance in the Revenues and Benefits Shared Service.
- A report on the financial and performance position of the Housing Repairs Service at the end of the 2017/18 financial year was received by members of Performance Scrutiny Committee on 24 January 2019. It was highlighted that performance continued to increase among the Housing Repairs Service with tenant satisfaction exceeding the performance target.

Members took part in the budget review process for the scrutiny of the proposed budget and Council Tax for the 2019/20 financial year and the Medium Term Financial Strategy 2019-2024, undertaken in two separate stages; firstly all members were invited to a briefing session to afford all members the opportunity to gain a greater understanding and awareness of the Council's financial position, thus aiding further scrutiny of the budget and in the case of the opposition party if desired the preparation of an alternative budget. This was followed by a more traditional scrutiny process undertaken to review in more detail the MTFs and the robustness of the proposed budget options and Council Tax for the 2019/20 financial year. This was undertaken in a committee format as the Budget Review Group with the appropriate governance arrangements in place.

The Committee held scrutiny reviews during the 2018/19 year in respect of:

#### Christmas Market Outturn Report 2017

Performance Scrutiny Committee had played a large part in monitoring the operational/performance costs of the Christmas Market for several years. Members were provided with a detailed report for the 2017 market at its meeting held on 12 July 2018.

Members commented that there was too much criticism for the closure of the Christmas Market the previous year and members were to be involved should the decision arise again to close the market.

#### Electoral Registration

Members received an update on electoral registration within the City of Lincoln at its meeting held on 24 January 2019, outlining the canvass process and stating the total amount of residents registered as at 1 December 2018.

#### Christmas Market 2018

Members received a Christmas Market Stalls/Budget Brief Pre Event Report at its meeting held on 4 October 2018.

At this meeting it was stated that the overall budget income from stall fee's for the 2018 market was £417,190. At this stage 146 traders had already fully paid and the remaining 28 stalls were under negotiation.

On 24 January 2019 a verbal update on the Christmas Market 2018 Outturn was also received by members, giving updated details on operational and budget matters.

On 22 August 2019 the Christmas Market 2018 Outturn Report was presented to members, providing the Performance Scrutiny Committee with key financial performance in relation to the 2018 Lincoln Christmas Market.

### Thematic Review - Homelessness

A report was given by Alison Timmins, Housing Solutions and Support Manager, with information relating to the provision of homelessness services following the enactment of the Homelessness Reduction Act 2017 on 3 April 2018

The Homelessness Reduction Act 2017 placed new duties on Councils so that everyone who was homeless or threatened with homelessness would have access to meaningful help, irrespective of their priority need status or local connection to the authority they approached. The new Act was the biggest legislative change in homelessness in the last 15 to 20 years.

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## **Policy Scrutiny Committee**

During 2018/19, the Committee met five times, principally to scrutinise decisions due to be taken by the Executive or Council. The Committee provided its insights and recommendations on a variety of topics, which were suitably reflected in the eventual decision-making process.

The Committee scrutinised the following topics in particular detail:

### Joint Municipal Waste Strategy for Lincolnshire

The Committee was presented with a draft Joint Municipal Waste Management Strategy as part of the consultation process. This set out how members of the Lincolnshire Waste Partnership could work together to protect the environment by delivering sustainable waste management services through the establishment of best value waste management practises across the County. A representative from Lincolnshire Waste Partnership gave a power point presentation and Councillor Poll, Lincolnshire County Councillor was also in attendance to answer any questions.

The committee debated the presentation and raised the following main points:

- Members were broadly supportive of the draft Strategy, and supported the comments in the proposed draft response.
- Members felt that communication was key to promote what could be included in bins for recycling and suggested that information could be sent out with Council Tax bills, social media and Your Lincoln.
- Members felt that it was important to simplify the current recycling system and if possible all of the local authorities have the same or very similar system.

- Members raised issues on fly tipping in the City and commented on the causes of this associated with HWRC restrictions, and added that enforcement needed to be increased.
- Members commented on the waste disposal centres and the difficulty for people in full time work to use them. They suggested that the service could be improved by amending the opening times which would encourage more people to use them.
- Members commented that it was important that the consultation was as wide as possible to ensure it captured everyone's views and suggested that more social media be used to promote the consultation.
- Members suggested that recycling should be promoted at the University on a regular basis as it was a large demographic and there was a lot of movement in the attendees at the University.
- Members supported the food waste proposals in principle and noted the implications on disposal resulting.
- Members supported the South Kesteven District Council pilot scheme for food waste collections, and they recognised that this was not straight forward and that there were wider implications to be considered before a full roll-out. They noted that the waste was producing bio-methane, which was being used to produce electricity
- Members recognised the need for significant changes to the current position and that officers needed to be supported to implement well thought through and financially viable change in due course
- Members supported the plastic straw campaign of some drink retail outlets.

The committee recommended that the draft consultation response be supported and that the comments made by the Policy Scrutiny Committee be considered by the Portfolio Holder for inclusion in the formal consultation response.

### Business Rates Growth Policy

The committee was presented with the draft City of Lincoln Business Rates Growth Policy for comment prior to consideration by Executive. The committee were advised that the policy aimed to provide a time limited rate relief discount to new and extended premises within the City, in the interest of building the Business Rates base, supporting economic growth and job creation.

Members of the committee discussed the report and generally supported the principle and initiatives of the scheme.

Following the discussion members recommended to Executive that the Policy be approved and that they consider an addition to the eligibility criteria to include a commitment to signing up to the Social Responsibility Charter.

In addition to the key topics, the Committee also scrutinised the following items and forwarded its comments for consideration by the Executive:

- Fair Trade Policy
- People Strategy
- Customer Experience Strategy
- Modern Slavery Statement and Charter
- Review of Mandatory Houses in Multiple Occupation Licensing Scheme

- Proposed Commemorative Plaque Scheme for Lincoln
- Proposals to Introduce a Public Space Protection Order to Allow St Peters Passage Lincoln to be gated.
- Protecting Vulnerable People
- Joint Protocol on Unauthorised Encampments in Lincolnshire
- Localised Council Tax Support Scheme 2018/19
- New Build Strategy

The committee also reviewed the following policies:

- Review of Mutual Exchange Policy
- Review of Fraud and Sanction Policy

The Committee also received regular updates from the Health Scrutiny Committee.

## Select Scrutiny Committee

The principal functions of the Select Scrutiny Committee are to meet as the Crime and Disorder Committee and to consider any requests for the Call-In of Executive decisions.

The Call-In process allows scrutiny members to challenge a decision made by the Executive or any of its individual portfolio holders, prior to the implementation. This gives the Select Scrutiny Committee the opportunity to examine a decision where particular concerns have been raised and respond accordingly. There were no call-in requests in 2018/19.

The Committee met on one occasion sitting as Crime and Disorder Committee on 25 July 2018 considering the following items:-

- Lincolnshire Police – Lincoln Performance Overview
- City Centre Intervention
- Lincoln Business Improvement Group

## Housing Scrutiny Sub-Committee

The Housing Scrutiny Sub-Committee is a sub-committee of Performance Scrutiny Committee. It was established in 2008 to increase engagement between backbench Members and Tenant Advisory Panel representatives. The Sub-Committee has continued to meet and tenants on the Committee consider that it has helped them have their say when scrutinising housing matters. The Committee met six times during 2018/19 and considered many reports which included the following topics:

- Role of the Housing Officer
- Tenant Involvement Strategy
- Annual Report to Tenants and Leaseholders 2017/18
- Portfolio Holder for Quality Housing Annual Report
- Repairs

- LTP Annual Report
- Resident Involvement Update

The Committee also effectively scrutinised Housing performance on a quarterly basis and received regular updates on the progress of the Lincoln Tenants Panel.

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## Contact Us

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**POLICY SCRUTINY COMMITTEE**

**14 JANUARY 2020**

<b>SUBJECT:</b>	<b>POLICY SCRUTINY WORK PROGRAMME 2019/20 AND EXECUTIVE WORK PROGRAMME UPDATE</b>
<b>REPORT BY:</b>	<b>CHIEF EXECUTIVE &amp; TOWN CLERK</b>
<b>LEAD OFFICER:</b>	<b>CLAIRE TURNER, DEMOCRATIC SERVICES OFFICER</b>

**1. Purpose of Report**

1.1 To present the Policy Scrutiny Committee Work Programme for 2019/20 and receive comments and considerations from members with items for the municipal year 2019/2020 and to advise Members of the items that are on the current edition of the Executive Work Programme.

**2. Background**

2.1 The work programme is attached at **Appendix A**.

2.2 The Constitution provides for the publication of the Executive Work Programme on a monthly basis detailing key decisions/ exempt para (Section B) items to be taken by the Executive, a committee of the Executive or a Member of the Executive during the period covered by the programme. This is attached at **Appendix B** and has been provided to assist members in identifying items for inclusion within the work programme.

**3. Recommendation**

3.1 That Members give consideration to the Policy Scrutiny Work Programme for 2019/20 and update where appropriate to include items which they wish to consider from the Executive Work Programme as required.

**List of Background Papers:** None

**Lead Officer:** Claire Turner, Democratic Services Officer  
Telephone 873619

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## Policy Scrutiny Committee Work Programme – Timetable for 2019/20

18 June 2019

Item(s)	Responsible Person(s)	Strategic Priority/ Comments
Community Infrastructure Levy Policy	Toby Forbes-Turner	Asked for at February 2019 meeting
Health Scrutiny Update	Chair of Policy Scrutiny	Regular Report
Policy Scrutiny Work Programme 2019 -2020	Democratic Services	Regular Report

20 August 2019

Item(s)	Responsible Person(s)	Strategic Priority/ Comments
Policy Scrutiny Work Programme 2019-2020 Update	Democratic Services	Regular Report
Health Scrutiny Update	Chair of Policy Scrutiny	Regular Report
Interim Air Quality Action Plan	Ian Wickes	
Acquisitions Policy Addendum	Kate Bell	Revised Policy

8 October 2019

Item(s)	Responsible Person(s)	Strategic Priority/ Comments
Health and Environment Enforcement Policy	Simon Colburn	Moved from 12 <sup>th</sup> March 2019 /20 August 2019
Safeguarding Policy	Paula Burton	
Policy Scrutiny Work Programme 2019 -2020	Democratic Services	Regular Report

Health Scrutiny Update	Chair of Policy Scrutiny	Regular Report
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**26 November 2019 - Cancelled**

Item(s)	Responsible Person(s)	Strategic Priority/ Comments
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**14 January 2020**

Item(s)	Responsible Person(s)	Strategic Priority/ Comments
Regulation 7 Direction on Lettings Boards Review	Donna Morris	Requested at meeting held on 16 January 2018
Key Holding Post Implementation Review	Steve Lockwood	Requested at meeting held on 28 November 2017
Protecting Vulnerable People	Paula Burton	
Council Tax Support Scheme 2021/21	Claire Moses	As part of consultation process
Parking on Grass Verges Position Statement	Simon Walters	Requested at meeting held on 20 August 2019
Annual Scrutiny Report	Democratic Services	Annual Report
ICT Strategy 2020-2025	Matt Smith	
Policy Scrutiny Work Programme 2019-2020 Update	Democratic Services	Regular Report
Health Scrutiny Update	Chair of Policy Scrutiny	Regular Report

**10 February 2020**

Item(s)	Responsible Person(s)	Strategic Priority/ Comments
Vision 2025	Pat Jukes	
Housing Allocations Policy	Yvonne Fox	
Policy Scrutiny Work Programme 2019-2020 Update	Democratic Services	Regular Report
Health Scrutiny Update	Chair of Policy Scrutiny	Regular Report

### 17 March 2020

Item(s)	Responsible Person(s)	Strategic Priority/ Comments
Review of PSPO at St Peters Passage	Francesca Bell	Requested at meeting held on 9 October 2018
Policy Scrutiny Work Programme 2019-2020 Update	Democratic Services	Regular Report
Health Scrutiny Update	Chair of Policy Scrutiny	Regular Report

### Unscheduled Topics

- **Review of Community Infrastructure Levy Policy**
- **Lincoln Social Responsibility Charter**

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## EXECUTIVE WORK PROGRAMME

**January 2020 - December 2020**

### NOTES

1. The Leader in consultation with the Chief Executive and Town Clerk prepares an Executive Work Programme to cover a period of twelve months.
2. The Executive Work Programme contains matters which the Leader has reason to believe will be the subject of a key decision during the period covered by the Plan or Executive decisions which are likely to be taken in private.
3. A Key Decision is one which is likely:
  - a) to result in the Local Authority incurring expenditure which is , or the making of savings which are, significant having regard to the Local Authority's budget for the service or function to which it relates; or
  - b) to be significant in terms of its effect on communities living or working in an area comprising 2 or more wards in the area of the local authority.
4. Whilst the majority of the Executive's business at the meetings listed in the Executive Work Programme will be open to the public and media organisations to attend, there will be some business to be considered that contains, for example, confidential, commercially sensitive or person information.

This document serves as formal notice under the Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012 that certain items in the Executive Work Programme will be considered in private because the item contains exempt information under Part 1 of Schedule 12A to the Local Government Act 1972 (as amended) and that the public interest in withholding the information outweighs the public interest in disclosing it. If an item is to be considered in private this will indicated on the individual decision notice.

If you have any queries, please telephone 01522 873387 or email [democratic.services@lincoln.gov.uk](mailto:democratic.services@lincoln.gov.uk).

### EXECUTIVE WORK PROGRAMME SUMMARY

<b>Date of Decision</b>	<b>Decision</b>	<b>Decision: Summary</b>	<b>Decision Taken By</b>	<b>Key Decision</b>	<b>Exempt Information</b>
06 January 2020	Developer Bin Contributions	To charge households where a developer refuses to pay for wheeled bins as a part of a new development or redevelopment.	Executive	No	Public
06 January 2020	New Build Housing Programme Update	Financial commitment for Rookery Lane development Approval to progress with proposed design Financial commitment for demolition of Garfield View and Woodburn View	Executive	Yes	Partly Private
06 January 2020	Zero Carbon progress report	To consider the progress and approve the delivery recommendations	Executive	Yes	Public
06 January 2020	Collection Fund Surplus/Deficit - Council Tax	To inform Members of the estimated balance for the Council Tax element of the Collection Fund and the surplus or deficit to be declared for 2019/20.	Executive	Yes	Public
06 January 2020	Intervention Team funding years 2 and 3.	whether to approve the reprofiled spending	Executive	Yes	Private
06 January 2020	Living Wage Increase November 2019	To recommend to Executive the proposed increase to the living wage announced by the Living Wage Foundation in November 2019.	Executive	No	Public
20 January 2020	Localised Council Tax Support Scheme 2020/21	To approve recommendations of consultation Nov 2019'	Executive	Yes	Public
20 January 2020	ICT Strategy 2019-25	Agreement of ICT Strategy	Executive	No	Public

20 January 2020	Investment Opportunity	To approve the purchase of an investment in the City Centre	Executive	Yes	Private
20 January 2020	Woodland Trust- Charter	Support in principle for the Woodland Trust's Charter for trees, woods and people.	Executive	No	Public
20 January 2020	Council Tax Base 2020/21	<p>The Executive is asked to recommend to Council that it:</p> <p>a) Notes that there are no special items as defined in Section 35 of the Local Government Finance Act 1992 (as amended) applicable to any part or parts of the City of Lincoln local authority area;</p> <p>b) Approves the Chief Finance Officers' calculation of the Council Tax Base for the financial year commencing 1 April 2020 and ending 31 March 2021, as set out in Appendix B of this report;</p> <p>c) Approves, in accordance with the Chief Finance Officers' calculation, and pursuant to the Local Authorities (Calculation of Council Tax Base) Regulations 1992 (as amended), that the Council Tax Base for the 2020/21 financial year is 24,689.50.</p>	Executive	No	Public
20 January 2020	Collection Fund Surplus/Deficit - Business Rates	To inform Members of the estimated balance for the Business Rates element of the Collection Fund and the surplus or deficit to be declared for 2019/20.	Executive	Yes	Public
20 January 2020	Draft Medium Term Financial Strategy 2020-25 and Budget	Approval for consultation of the draft budget and Council Tax proposals for	Executive	No	Public

	2020/21	2020/21 and the draft Medium Term Financial Strategy for 2020-25			
05 February 2020	Partnerships Update	Members to note update on progress with developing Revenues and Benefits partnerships	Shared Revenues and Benefits Joint Committee	No	Private
24 February 2020	Street Scene Contracts	Approach to be taken for the provision of these services when the existing contract ends in 2022	Executive	Yes	Private
24 February 2020	Vision 2025 - City of Lincoln Council Strategic Plan	Key decision Executive to approve proposals for the format, content and projects proposed included in the 5 year Vision 2025 corporate plan.	Executive	Yes	Public